

'PLANETS ALIGNING' AND 'LIGHTBULB MOMENTS': A REALIST  
EVALUATION OF HOW OD INTERVENTIONS DO AND DO NOT WORK

by

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A thesis submitted to the University of Birmingham for the degree of

DOCTOR OF PHILOSOPHY

Health Services Management Centre

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April 2015

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## ABSTRACT

Organisational development claims to improve an organisation's functioning through enhancing its members' performance. OD achieves this through deploying talk and text to trigger ideational change and so produce new sense-making and behaviours in organisational members. This thesis makes this explicit through a realist evaluation of three cases of OD practice.

OD literature highlights inconsistent outcomes, failure to produce transformational change and an absence of studies exploring the means by which interventions actually succeed or fail to produce change. Although the influence of context is regarded as a source of explanation for these shortcomings, OD has not resolved the issue of how to theorise and integrate it into practice. This thesis addresses these shortcomings through the proposal of an alternative theory of change upon which the field's theory and practice could be based. Neo-Durkheimian institutional theory articulates an inter-relationship between ideation and institution. It points to ways of developing culturally-specific OD practice. It provides an explanation for the need for different interventions for transformational and transactional change, and for the success of OD interventions within different cultural forms. NDIT's potential contribution to a richer understanding and explanation of OD is highlighted through an NDIT-driven realist evaluation of three OD cases.

## ACKNOWLEDGEMENTS

The journey to this point has been long and complex. Without the support, company and navigational skills of a dedicated group of people, the destination would never have been reached. Edward Peck and Perri 6 have been patient and long-suffering guides and map-readers, helping me emerge from my forays through the intellectual swamps in which I found myself. Teresa, my life-partner, regularly replenished my emotional resources, ensuring my self-doubt never got the best of me. My children have faithfully travelled with me, my research accompanying them to social activities, clubs and family holidays for most of their lives.

Thank you all – we've arrived.

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## CHAPTER 1: INTRODUCTION

During my time working as a clinical psychologist and senior manager in the National Health Service (NHS), I have had regular and direct experience of the work of organisational development (OD) practitioners. For example, picture this: A gathering of senior managers and clinicians from all departments within an NHS Trust. They have been invited by the Chief Executive to gather in a meeting room in a local hotel for a visioning event, to develop a vision for the organisation to inform its priorities and projects for the next three years. The facilitators are two OD practitioners from a consultancy firm commissioned by the Trust Board to work with the organisation to improve its outcomes, both financial and operational, in the context of increased financial and social pressure. Much of the focus of their work to this point has been with the Board and the Executive team. No interventions have been commissioned for middle and first line managers and care and corporate staff.

The Chief Executive, flanked by the Medical and Nursing Directors and the Director of Operations, opens the event by respecting the commitment of all present, by congratulating them on their hard work and for maintaining the quality of services provided by the Trust for patients and their families, and by stressing the difficult times facing the Trust. She stresses the importance of focus, clarity and shared ownership for the future success of the Trust. She then hands over to the two OD practitioners.

Participants have been allocated to round tables covered with paper tablecloths. The groups at each table are mixed in terms of role and services. On each table is bottled water and glasses, sweets, paper and pens. Each participant has an agenda for the event; introductions, strengths, opportunities, challenges, priorities and close. The ‘priorities’ item is accompanied by a list of possibilities that has been generated by the Trust Executive and Board, stuck to the wall of the room. Flipchart paper and post-it notes are also on each table.

The day proceeds with table-based group discussions, feedback to the whole room from each table, and discussion about the feedback, punctuated with refreshment breaks and lunch. The ‘priorities’ item involves participants walking to the wall, looking at the project descriptions and putting a mark against the three they think are most important for the Trust. A photographer from the Trust Communications Department walks around the room, taking photographs of participants in action. An enthusiastic buzz of conversation can be heard across the room for most of the day.

At the end of the day, all participants are thanked by the facilitators for their input and ideas. They state they are taking away all of the flipchart papers, post-its and tablecloths to collate and present to the Executive and Board.

After the event, an article about it is published in the Trust newsletter, accompanied by photographs. No further communication is received by the participants about the event's outcomes. Some months later, managers at a Group Board meeting are asked for their ideas on the priorities and opportunities for the Trust – one of the managers comments that these had been provided at the day-long event and she did not have the time to keep going over the same ground. The rest of the meeting agrees.

I have been a participant in similar events on numerous occasions. There have been differences in the events' venue and focus and in the make-up of the participants. What each has had in common has been the disconnect between the event, its outcomes and any perceptible influence on the future functioning or direction of the Trust's work.

As a participant within many of the OD events, I began to notice similarities between the interventions applied. The interventions were designed and delivered as a means of attempting to address perceived problems within our services. They all seemed to be based on the premise that the organisation's outcomes would improve through addressing participants' thinking, that sharing the thinking would inform shared priorities, the process of identifying priorities would produce ownership of them and participants' behaviour after the event would be congruent with this new direction. These changes in behaviour would impact on the organisation's outcomes; individual behaviour change would accumulate to

produce organisational change. I started to hypothesise that they assumed that senior managers such as myself could learn to think and behave differently as a result of their OD interventions and, as a consequence, lead and manage in new ways, thus changing the behaviour of our staff. Taken together, these changes in all our behaviours would lead to a resolution of the perceived problems and an improvement in our services.

My curiosity was further aroused by noticing that the OD interventions bore significant similarities to those I drew upon as a clinical psychologist in effecting change in my clients. Typically these interventions involved careful use of language to elicit motivation to change, to introduce different ways of seeing and thinking and to translate those into new behaviours. Different practitioners approached the task through different relational positions and rhetoric; for example, practitioners adopting person-centred positions would draw on a rhetoric of respect within a relationship of equality, those drawing on more technical approaches positioned themselves as experts and deployed rhetorics of responsibility and technique. These positions resembled the means by which therapists from different schools would approach clients. Their work seemed to be founded on a psychological theory of change, with practitioners drawing on different therapeutic approaches.

My relationship with these OD interventions was twofold; a recipient of them, as well as a stakeholder sharing and working within the world-view upon which they

were founded. That world-view appeared psychological, in terms of working through targetting individuals' thoughts, feelings and behaviours, and, more specifically, ideational; that is, using words, written or spoken, to change the way individuals think as a means to change the way they act, as a means, in turn, of producing better outcomes for them. For OD practitioners, these outcomes related to the organisation's functioning and enhancements of performance. For my own practice they related to reductions in individuals' distress and improvements in their well-being. However, I wondered about the appropriateness of such an application of psychological theory; that is, whether the application of interventions founded on an individual-based theory of change would maintain its potency when applied indirectly to unknown members of a large organisation.

What seemed to me to be essential elements of the individual change process seemed to be either missing or significantly diluted in OD practice. As a psychological professional, I had learned and practiced different therapy models. I had worked through these models to facilitate change with individuals, families and groups. All of this work was conducted in the context of an ongoing therapeutic relationship, based on regular face-to-face interactions. It was from this position that I attempted to understand the application of the psychological model of change within OD.

My reactions to OD interventions included disappointment in their limited outcomes; that is, their apparent failure to solve the present problems. This led to

my curiosity about why this particular paradigm of behavioural change was being applied in such a way. I understood the psychological paradigm to be founded on the premise of a close relationship between the practitioner and the individual or group seeking help. This relationship facilitates the ‘hearing’ of the ideational messages conveyed by the helper, by establishing an atmosphere of psychological safety which, if accepted, leads to the individual taking steps towards behaving differently. Changes in behaviour are facilitated by focusing on ideational change; change in the way an individual thinks, leading to change in how he or she behaves, within the context of a safe, facilitative relationship. The strength of this relationship together with the consistent triggering of specific ideational and behaviour change mechanisms have been recognised as the most critical ingredient in therapeutic change (Hubble et al 2010).

The application of such a paradigm within OD presumes, first, that the limited relationship established with participants within an OD intervention will be sufficient to produce changes in their sense-making and behaviour. Secondly, that any initial changes in participants’ sense-making and behaviour will transfer to their work environment and, thirdly, such changes will maintain sufficient potency to spread successfully through the rest of the organisation’s members. The implications of OD’s claims to produce transactional and transformational change within organisations, therefore, requires the OD practitioner using ideational interventions to produce change in individuals whom he or she may never meet, never mind with whom they will establish a close relationship, in the absence of key mechanisms

of ideational and behavioural change. It also assumes a congruence and consistency in triggering change mechanisms as the new learning and behaving are spread through the wider organisation. The more I thought about this apparent paradox, the more curious I became. I considered this a potential misapplication of the psychological paradigm for change and thus a possible explanation for my experiences of the limited outcomes produced by such OD interventions.

I then wondered about the possibility of other paradigms of change providing a more fruitful source of explanation and interventions for OD, other paradigms of which I, as a clinical psychologist, would have no knowledge. I shared this curiosity with clinical, academic and OD colleagues all of whom were able to recognise the seeming paradox within OD's relationship with psychological theories of change. Thus, the focus of this thesis began to emerge; first, to establish whether OD regularly exhibits the psychological roots that I had observed and experienced and so was designed and delivered within this frame. Secondly, I wanted to explore whether an alternative model might have the potential for producing better outcomes or providing a more robust account of how and why organisational change happens. Thirdly, I wanted to explore the possibility of the development of a different OD approach being developed out of this alternative model.

Unplanned change occurs continually in the NHS. The need for models to provide an understanding of these processes was increasingly evident, as was the need for an associated planned approach to change as a means of addressing

organisational problems. Thus, establishing the means for improving the effectiveness of OD interventions was critical. Neo-Durkheimian institutional theory with its inter-relationship between sense-making, structures and behavioural possibilities seemed to have the potential to provide a resolution to these dilemmas.

### **1.1 Research questions**

This research has therefore been designed to address four questions:

1. Is OD rooted in an ideational model of change?
2. If so, how do OD practitioners apply the ideational model of change in their practice?
3. Is there an alternative model of change that can address the inconsistencies within OD's outcome literature and explain the effect of OD's interventions?
4. What would OD practice look like within this alternative framework?

These questions will be addressed both theoretically and empirically. The theoretical aspects of the questions will be addressed through a close reading of the appropriate literature, uncovering the implicit theories of change. These theories will then be used empirically to analyse the thoughts and behaviours of three OD practitioners working on specific OD interventions. This analysis will be conducted using a realist evaluation methodology. Thus the outcome of such analyses will be flowcharts evidencing the 'context-mechanism-outcome

configurations' (CMOCs) representing change in action from both ideational and neo-Durkheimian institutional theory (NDIT) perspectives.

Research question 1 will be addressed through analysing the OD literature drawing out the underlying psychological foundations of the field and its related explicit and implicit theories of change. Generic and specific models of psychological change will be analysed and their application within OD will be explored. Parallels between psychological and OD practice will also be examined through the competencies expected of practitioners within each field. Any emerging strengths or difficulties for OD practice resulting from the adoption of this psychological theory of change will also be articulated.

Research question 2 will be approached through an analysis of the work of three OD practitioners delivering interventions within the NHS. The examination of their interventions will provide evidence of how the psychological change model is applied within actual OD practice. Similarities and differences between each practitioner in their application of this psychological approach to change will be explored.

An alternative theoretical paradigm will then be proposed in addressing research question 3. The model, neo-Durkheimian institutional theory (NDIT), will be presented as a means of providing a more robust explanation of the workings of OD, one that has the potential to address the limitations of the ideational

explanation, to address some of its shortcomings and to propose an alternative theory of change.

For research question 4, this alternative model and its associated theory of change will be applied to the work of the three OD practitioners. The same case study data will be re-analysed from an NDIT theoretical perspective. Thus, an alternative explanation for the means by which the practitioners' interventions have their effects will be articulated and an explanation for the different impact achieved by OD interventions will be proposed. The implications of these insights for a different form of OD practice will be explored.

I will now look at the arguments underlying each research question in more detail.

## **1.2 Organisational Development as ideational practice (research question 1)**

In examining OD's theory and practice, the thesis will show that the most accepted definition of OD describes it, in general terms, as the process of improving the performance of the overall organisation through addressing the functioning and development of its individual members. OD's ideational foundations will be explored in chapter two; first, through bringing out its apparent generic models of change and their psychological resonance; secondly, through articulating the specific models OD uses, which have strong parallels with their associated therapy models; thirdly, through highlighting the psychological roots of the academic

origins of many OD ‘gurus’; and, finally, through demonstrating the similarities between the competencies promoted in OD practitioners and practitioner psychologists.

#### *1.2.1 Generic mechanisms of ideational change*

The ideational approach to change is based on the power of words. Words are used to persuade people to think differently and so behave differently. Language is used as a means to construct and promote different versions of reality, its sense and meaning for individuals. Failures on the part of the individual to subscribe to the new versions of sense or to change their behaviour are attributed to either lack of motivation (will) or lack of comprehension (skill), shortcomings to be addressed through further application of ideational interventions.

Generic mechanisms of ideational change evident within the psychological literature include eliciting motivation for or commitment to change, channelling that motivation into changing thoughts and behaviours and maintaining those changes through the use of contingencies and feedback. These mechanisms are attenuated through the establishment and maintenance of a facilitative relationship. Thus, the generic ideational model of change evident within psychological literature comprises key elements of relationship, motivation, new sense-making and new behaviours. The concatenation of these elements can be described as follows.

First, relationship is produced and maintained through triggering specific causal mechanisms. The mechanisms are triggered through the use of carefully selected words. The outcome of establishing a relationship acts as the context for producing the second element of change; motivation. The mechanisms are again triggered through the strategic deployment of words. The resulting relationship and motivation act as context for producing the third element, new sense-making. Mechanisms for producing new sense-making are also triggered through the use of carefully selected and targeted words. Together with relationship and motivation, new sense-making acts as the context for producing the final element of change; new behaviours. Once again, these mechanisms are triggered through the OD practitioner's or therapist's use of carefully selected words.

### *1.2.2 Specific ideational change models*

The second source of evidence for the ideational foundation of OD is the use of specific OD interventions. This will be presented in three forms. First, specific OD models will be shown to parallel those within psychological therapy. The psychological 'big four' of psychoanalytic theory, humanistic theory, social learning theory and systems theory can be seen to have their applications in psychological therapies and OD interventions. Psychodynamic therapy and T-groups derive from psychoanalytic theory. Person-centred therapy and participative management can be seen to derive from humanistic theory. Cognitive-behavioural therapy and action research and survey feedback derive from social learning theory and systemic therapy and social-technical interventions derive from systems theories.

Secondly, it will be shown how the same OD intervention can be delivered in accordance with different ideational models of change. Core OD interventions such as team-building can be delivered out of a social learning theory or cognitive-behavioural therapy framework or one derived from psychoanalytic theory. Team-building's core ingredients will still be present but will be delivered using the words congruent with the specific ideational model. A cognitive-behavioural approach will emphasise the different understandings and attributions of events made by team members through a lens of cognitive heuristics and biases. A psychoanalytic approach to team-building will draw on concepts of defense mechanisms as reactions to conscious and unconscious anxieties and phantasies.

Finally, the transfer of psychological models from therapy into OD practice will be explored through the application of narrative therapy within OD in the form of narrative and story-telling approaches.

### *1.2.3 OD's founding fathers and their psychological origins*

The third source of theoretical evidence presented in chapter two derives from the academic origins of key theorists and founding fathers of OD. Many of OD's key theorists and founders will be seen to have embarked on their academic and professional careers from within the field of psychology.

#### *1.2.4 Competency frameworks*

This continuation of the close relationship between OD and psychology can also be seen in the competency frameworks developed for OD and psychological professional groups. The competency frameworks developed for both OD practitioners and practitioner psychologists will be compared to provide evidence of the underpinning ideational ethos in OD practice.

#### *1.2.5 The shortcomings of ideationally-based OD and the need for an alternative explanation*

Thus, research question 1, ‘is OD rooted in an ideational model of change?’, will be answered ‘yes’, using these four sources of theoretical evidence. In articulating this position, the shortcomings of OD’s ideational foundation will have become evident. OD’s outcome literature, albeit limited in volume and methodology, struggles to provide a clear evidence-base for its interventions. Contradictory outcomes are apparent for specific interventions and there is a lack of clarity in evidencing effective outcomes for its overall intervention programmes. It will be argued in Chapter Two section 2.6 that this situation can be explained as resulting from the implications of using the ideational theory of change within OD.

First, it will be shown that the ideational theory of change has been misapplied within OD; it is based on a one-to-one relationship between the change agent and the person in need of help. Outcome studies within the field of therapy research have evidenced that 45% of change is produced through the dynamics of this

relationship and the adaptations the therapist makes to his or her interventions to account for the individuality of the client. The application of the ideational theory of change within an organisational context thus dilutes the potency of this relationship and thus the effectiveness of OD interventions.

Secondly, there is a poor articulation of how change actually happens within ideational OD interventions. The relationship between specific interventions and change is poorly developed, with studies focusing on overall outcomes rather than the mediators and mechanisms of change. Within OD's own evidence base there is poor evidence that changing individuals' cognitions leads to changes in organisational outcomes.

Finally, OD's struggle with the relationship between ideation (agency) and institution (structure) will be shown to contribute to the ideational trap within which OD finds itself. OD has constructed this relationship as dichotomous; studies tend to be agency-focused or structure-focused with shortcomings in one being attributed to a failure to account for the other. Attempts to integrate the two draw on the ideational theory of change, thus proposing solutions that are located within an arguably inappropriate theoretical logic. The thesis will argue that genuine integration between ideation and institution requires a different explanatory model of change, one that articulates their inter-dependency.

### **1.3 How do OD practitioners apply the ideational theory of change in their practice? (research question 2)**

Through three case studies of OD practice in the NHS, the operation of the ideational theory of change in action will be elicited. Each case study will address the work of a different OD practitioner. Each case is made up of three elements.

The first element will comprise a pre-event semi-structured interview exploring each practitioner's theories of OD and how it works. This is followed by the second element, ethnographic observations of the OD event to explore each practitioner's application of his or her theories in action. The third element is a post-event semi-structured interview designed to explore the practitioner's rationalisations for his or her 'moves' within the event. Detailed descriptions of each case study are presented in Chapter Four.

The research strategy developed and adopted for the thesis is described and justified in Chapter Three. The research is located within the methodological paradigm of theory-driven qualitative research; more specifically realist evaluation. This research approach enables theory-derived mechanisms of change underlying OD to be made explicit and to be analysed in a contextual framework.

For research question two, the ideational theoretical framework will be applied. Realist evaluation driven by ideational theory will be conducted on the interview and observational data to establish the extent of each practitioner's commitment to it in the form of both theory-in-mind and theory-in-action. Context-mechanism-

outcome configurations (CMOCs) derived for each of ideational theory's core ingredients (relationship, commitment to change, sense-making and behaviour change) will be applied. Thus an analysis of ideational CMOCs in action will be conducted, resulting in flowcharts evidencing ideational OD in action. CMOCs underlying the work of each practitioner will be shown to draw exclusively on the ideational theory of change. The results of this analysis will be presented in chapter four. The results will be presented case by case, followed by a discussion of the similarities and differences in the application of the ideational theory of change across the cases.

#### **1.4 An alternative explanation for the effects of OD interventions (research question 3)**

The shortcomings of OD's ideational foundation provide the drivers for identifying and exploring an alternative model of explanation for change. It is clear that change does happen within NHS organisations and planned change is much needed to enable organisations to effectively meet demands made of them. An alternative model of change could address the shortcomings evident in an ideationally-founded OD practice, enabling OD to produce effective change through its interventions. Perhaps an alternative theory of change would need to at least integrate ideation with context or structure, to provide an explanation for the contradictions in OD's evidence base and to propose an alternative explanation for how organisational change does and does not happen as a result of OD interventions.

It will be suggested that neo-Durkheimian institutional theory (NDIT) could provide a solution to these problems, particularly through its understanding of the role of context in enabling and disabling change. It could provide OD with a means of understanding and incorporating the effect of context into practice without the limitations of the ideational model. In brief, NDIT will be shown to provide a theory of the reflexivity of ideation and institution, a theory of how organisational change and stasis occur and how OD interventions need to be deployed to affect these processes. The evidence for this proposal is presented in Chapter Five.

In summary, NDIT, through the cross-tabulation of Durkheim's dimensions of social regulation and social integration, posits the existence of four cultural forms; hierarchy (high regulation and high integration), individualist (low regulation and low integration), enclave (low regulation and high integration) and isolate (high regulation and low integration). Cultural forms determine the sense-making content and methods of their members; not only what sense it is possible to make, but what requires sense-making. This reciprocal relationship between form and sense-making will be shown to provide a model of integration of ideation and institution that goes beyond the traditional bi-polar construct advocated within organisational theory.

Within organisations, the rival cultural forms reach 'settlements' with each other, thus establishing an element of stability. Underlying the apparent stability,

however, is continual movement. Within each cultural form, its viability is maintained through positive feedback and thus movement towards more extreme versions of its own sense-making. Each form uses its own congruent sense-making to find solutions to the challenges with which it is confronted, striving to maintain and strengthen its position and to resist the challenges of other forms. This positive feedback in the face of external challenges creates extreme versions of the form, leading to an eventual undermining of the form's viability. Negative feedback from other forms in the face of such extreme challenge acts as a counter-balance and so maintains the status quo of the organisational settlement. Where the positive and negative feedback fall out of synchrony, disorganisation or the breakdown of the organisational settlement ensues and thus organisational dysfunction develops.

Each cultural form draws upon different rhetoric and practices to trigger mechanisms of change that protect and strengthen its position; that is, for hierarchy, mechanisms aim to produce a strengthening of its high regulation (grid) and high integration (group). For the individualist form mechanisms produce low grid and low group, enclave mechanisms produce low grid and high group and for the isolate form they produce high grid and low group. The mechanisms for strengthening each form include the selection and acceptance of congruent information and protection through the rejection of contradictory or anomalous information. In essence, cultural form determines not only the sense that its

members can make of their world but the recognition of what constitutes a problem and any necessary solutions.

The implications of NDIT for OD theory relate to the understanding of how organisational change does and does not occur and the means by which organisational settlements develop as responses to perceived challenges. Thus in answering research question three, ‘Is there an alternative model of change that can address the inconsistencies within OD’s outcome literature and explain the effect of OD’s interventions?’, it will be argued that there is an alternative model that can address the inconsistencies within OD’s outcome literature and explain the effects of OD’s interventions – neo-Durkheimian institutional theory.

### **1.5 What would OD practice look like within this alternative theoretical framework? (research question 4)**

Research question 4 will be addressed in two ways; a re-analysis of the case studies through an NDIT realist evaluation and the articulation of the implications of NDIT theory for OD practice.

First, the case study data will be re-analysed through the theoretical lens provided by NDIT. The results and conclusions of this re-analysis will be presented in Chapter Six. The context-mechanism-outcome configurations (CMOCs) for each cultural form will be used as a frame for coding each of the three practitioner’s

theory-in-mind and theory-in-action. The differences underlying their superficially similar approaches to OD will become evident. That is, each practitioner's practice will have been shown to be located within the frame provided by the ideational theory of change, facilitating change through the triggering of mechanisms that produce the essential ingredients of relationship, commitment to change, sense-making and behaviour change. Although each practitioner will have been shown to emphasise different elements of the ideational theory in different ways, it is through an NDIT analysis that stark differences between the approach of each practitioner will be laid bare. Through articulating the similarities and differences in practitioners' cultural positions and the configurations of form shaped by their interventions, NDIT's richer, more revealing explanation of how OD works will be highlighted.

Secondly, the NDIT realist evaluation of the case study data will provide a starting point for the articulation of an alternative model for OD. The implications of NDIT for OD practice will be examined in three ways. The first will be how the OD practitioner's own sense-making regarding an organisational problem influences his or her design and delivery of OD interventions. Both of these elements are influenced, according to NDIT, by the cultural location of the OD practitioner and thus the means by which the practitioner can 'see'. The implications of this for the matching of practitioner and organisation will be explored. The second element for OD practice is how to work with the cultural forms and settlements comprising the organisation or its sub-system; that is, how to balance respecting the form and

providing opportunities for change. Finally, the thesis will explore how OD practitioners could facilitate transactional and transformational change within the organisation. Transactional change would involve within-form work with the aim of improving effectiveness in the settlement's own terms. Transformational change would aim to provide the necessary surprises to the settlement to enable an organisation to transform, working beyond talk and text and deploying accountabilities, incentives and structures.

## **1.6 Conclusions**

This thesis will articulate the foundations of OD practice in terms of the psychological theory of change, its shortcomings and potential solutions. The theoretical argument and evidence for OD's psychological foundations will be drawn from psychological and OD literature through which their commonalities will become clear. The shortcomings of this theory of change for OD practice will also be articulated both through the flaws evident in OD's own outcome literature and the differences between psychological and organisational change. These arguments will be made in Chapter Two.

Chapter Three presents the methodology and design of the empirical elements of the thesis. It lays out the key elements of the research design and methods and provides the rationale for the realist evaluation methodology selected to address the empirical elements of the study's research questions.

Chapter Four provides the empirical evidence for OD's underpinning ideational theory of change. Through the application of a realist evaluation methodology, the inner workings of three cases of OD interventions are made explicit. Their congruence with the ideational model is apparent as well as the similarities across the three cases.

Chapter Five builds on the implications of the psychological theory of change for OD explored in chapter two and used as the basis of the analysis in chapter six. It addresses the shortcomings of this model through presenting an alternative theory of change; neo-Durkheimian institutional theory. This theoretical framework provides an integration of agency and structure, which provides an explanation for how change does and does not happen and for the effect of OD's interventions in the facilitation of planned change.

Chapter Six presents an articulation of OD practice based on NDIT's theory of change. It re-analyses the three OD case studies through this lens, constructing a different understanding of how OD works. It then applies this understanding to the current challenges reflected in OD's outcome literature, providing an explanation for the inconsistencies found within the literature and ways of addressing its key dilemmas.

The conclusions of the thesis are presented in Chapter Seven. The implications of the theoretical and empirical analyses of OD and theories of change are articulated, with the possible next steps proposed for the field of OD.

## CHAPTER 2: OD'S PSYCHOLOGICAL FOUNDATIONS

'To change ourselves effectively, we first had to change our perceptions' (Steven Covey)

'But words are more powerful than anything' (Jennifer Donnelly)

Psychological theories of change are based on the strategic use of words. Words are used to help people hear, to feel and, through these, to see and act differently.

The ideational theory of change is based on the power of words. Words are used to construct 'sense', to persuade people to subscribe to such 'sense' and to then behave in accordance with that 'sense'. This chapter will make the case for organisational development (OD) having developed out of and continuing to work within such a psychological ideational frame of causality.

The case will be made by drawing on both psychological and OD literatures, within four areas. First, generic theories of psychological change will be articulated in terms of their key ideational principles. Their presence within OD theory will then be evidenced. Secondly, specific psychological theories of change will be described and their application within OD explored. Thirdly, the psychological academic origins of OD's founding fathers will be highlighted. Finally, the similarities between the curricula and competency frameworks for OD practitioners and practitioner psychologists will be articulated. Together, these sources of evidence comprise a robust case for the location of OD theory and practice within

the psychological, and more specifically ideational, theory of change. The limitations for OD that derive from this location will also be articulated and explored in terms of their implications for the further development of the field. The limitations of such an ideational approach to change will be evidenced from OD's own outcome literature and the field's critique of itself. First, a brief overview of the psychological and ideational threads within definitions of OD theory and practice will be presented.

## **2.1 OD's psychological and ideational focus**

OD promotes a position of facilitating organisational effectiveness through an emphasis on developing individual potential. When individual and organisational goals are in synchrony, improvements will become evident within the organisation (Gallos 2006; Marshak 2006; Worley and Feyerherm 2003; Porras and Robertson 1992). This focus on the personal and social aspects of the organisation, the relationship between the organisation and its individual members, is regarded as the means of differentiating between OD and other organisational improvement initiatives (Cummings and Worley 2001).

French et al (2005) synthesised the array of OD definitions and summarised their four common themes. First, the OD change effort is long-term, planned and driven by a clear strategy. Secondly, the specific interventions of which the change effort is formed are educative and reflexive, encouraging a self-examining position within the organisation. This position is believed to promote self-sufficiency on the part of

the organisation and sustainability of the improvements. Thirdly, the OD interventions focus on human processes; the relationships between people within their work groups, targeting their beliefs, attitudes and values. Finally, the ultimate aim of OD practice is to establish an organisational culture of change founded on reflexivity and self-examination by the organisation and its members. The psychological foundation of the field is evident within these themes; the focus on working through change at an individual and group level within the organisation through focusing on their beliefs, attitudes and values.

Within this psychological framework, OD's ideational theory of change can be seen in more specific definitions of its purpose and methods. French and Bell (1995) defined OD as a means of improving an organisation's 'visioning, empowerment, learning and problem-solving' (p28). Organisations think through its members, thus OD is focusing on the sense-making of people. Bennus (1969) describes OD as 'a complex educational strategy intended to change the beliefs, values and structure of organisations...' (p2).

Marshak (2006) highlights the need for practitioners to directly challenge the thinking of organisation members;

'...It is, however, acceptable and appropriate for an OD practitioner to constructively confront blind spots in a client system and to engage in education or awareness-raising interventions should a client system be operating from incorrect or incomplete information..' (p17)

He describes the role of an OD practitioner as including;

'suggesting and facilitating processes that encourage and support inquiry, discovery, and motivation to change.' (p21)

OD theorists make claims for OD's production of two kinds of organisational change; transformational and transactional. It is claimed that organisational transformation works at the level of schemas or how the organisation learns (gamma change). Transactional change is triggered through the targeting of organisation's skills and behaviours; that is, at the level of alpha and beta change (Cummings and Worley 2009, French et al 2005, Golembiewski et al 1976). Each of these involves changes in the thinking and behaviours of individual members of the organisation.

In the five thematic threads of OD articulated by Hardacre and Peck (2005) and Burke's (2006) three precursors to modern OD, OD's ideational theory of change is clearly evident. The human process thread, derived from the work of Lewin and Argyris, with its T-group, sensitivity training and other personal development interventions, focuses on the interpretation of and feedback about individual behaviour and social interactions (Burke 2006). Such a focus provides the means by which the interactional dynamics within the organisation are brought into synchrony with the processes for potential goal attainment. The survey feedback thread, again developed from Lewin's work, focuses on attitude and behaviour change through the use of feedback and collaboration (Cummings and Worley 2001; Burke 2006). Sharing performance feedback directly with staff rather than

with managers alone, and involving staff in seeking solutions, promotes more effective change. Thus staff cognitions are deployed for the purposes of improving organisational performance. The action research thread also focuses on the use of feedback and collaboration, as means of engaging staff commitment to the changes being developed and implemented. This participatory focus and its democratic roots stressed the power of such collaboration in producing more effective organisational outcomes (Mirvis 2006). The socio-technical thread, developed from Trist and colleagues' work at the Tavistock Institute (eg Trist, 1960; Trist and Bamforth 1951; Rice 1958), also promotes staff engagement and involvement in problem-solving, decision-making and role performance but is supplemented with addressing structural issues so as to facilitate the behaviours necessary for organisational effectiveness. The reflexive relationship between the technical and social subsystems of the organisation is addressed (Burke 2006). The strategic thread of OD comprises both inward- and outward-facing interventions. The focus of inward-facing interventions on clarifying visions and values, within a focus on transformational cultural change (Cummings and Worley 2001; Schein 1999), further evidences the ideational foundation of OD.

Thus, within OD, the ideational theory of change is evident through its view of organisational change occurring through a process of deploying words to persuade people to think differently and using this change in thinking to trigger changes in people's behaviour. Cumulative or co-ordinated changes in individuals' behaviour comprise change in organisational performance. If individuals can be persuaded

of the ‘sense’ of the required change, they will comply with the behaviour changes required of them. Individuals’ failure to change is accounted for in terms of either their lack of motivation (will) or their lack of comprehension (skill). Thus the fundamental focus is psychological, facilitating change through the people within the organisation and, more specifically, their thinking and behaviour.

## **2.2 Ideational theory of change**

Ideational change theories have two inter-related elements; generic mechanisms of change and specific applications of those mechanisms (approaches and interventions). These will now be clearly articulated and their presence within OD theory evidenced.

The links between the generic and specific mechanisms of change are poorly developed in both the fields of psychological therapy and OD. Developments in generic and specific models often run in parallel, at times each falling into the ‘blindspot’ of the other. In both fields this dislocation is evidenced in the never-ending quest of dedicated practitioners to prove that their model or approach is THE right way to attain change in contrast to the academic researchers attempting to expose the overarching theoretical principles of and common factors in all change (eg Porras and Robertson 1992, Wampold 2001, Duncan et al 2004, Austin and Bartunek 2006, Evans 2013). As Rosenzweig (1936) stated;

'The proud proponent, having achieved success in the cases he mentions, implies, even when he does not say it, that his ideology is thus proved true, all others false...[However] it is soon realized that besides the intentionally utilized methods and their consciously held theoretical foundations, there are inevitably certain unrecognized factors in any therapeutic situation – factors that may be ever more important than those being purposely employed. (p412).

Although proponents of specific models acknowledge that theories of change are implicit in their work, the interdependencies between these two avenues of research are not systematically drawn out or explored in their analysis of the effectiveness of their work. As Frank (1976) notes

'features which are shared by all therapists have been relatively neglected, since little glory derives from showing that the particular method one has mastered with so much effort may be indistinguishable from other methods in terms of its effects.' (p74).

It is with this endeavour to articulate the essential components of generic change that the argument will begin.

### **2.3 Generic processes of change**

All forms of planned individual psychological change (therapy) require the persuasion of the client to view issues differently, to adopt new perspectives and to behave in accordance with them (Evans 2013). In working within an ideational explanation for change, both OD models and psychological therapies draw on generic or common factors of change. Frameworks for change from both fields will be described, followed by an analysis of the core elements of generic change models.

### *2.3.1 Overarching ideational frameworks*

Different authors have developed different frameworks for common principles or factors, but with significant overlap in content. Within the field of psychological therapy, Frank (1961) described four common principles of all therapies. First, therapy involves a confiding relationship with a person perceived by the patient to be competent, accepting and wanting to help. Secondly, the helping relationship is located within the context of a 'healing setting', differentiated from the patient's usual environment. Thirdly, a rationale exists that provides an explanation for the patient's difficulties; this rationale must specify goals and specific procedures for reaching them, it must be shared by both therapist and patient, be congruent with the patient's worldview and facilitate the patient's sense-making. Finally, the procedures are prescribed by this shared rationale and involve the active participation of the patient.

The therapeutic procedures, in turn, contain six common elements that produce change (Frank and Frank 1991); a therapeutic relationship that is maintained even in the face of the patient's hopelessness, the development and maintenance of patient expectation of help being effective, the provision of new learning experiences, the elicitation of emotion, the enhancing of the patient's sense of mastery or self-efficacy and the provision of practice opportunities.

Argyris's (1970) seven common factors can also be seen to integrate into this emerging framework. For Argyris (1970), factors are, first, an affirming relationship between patient and therapist; secondly, both parties expecting a beneficial outcome from their work together; thirdly, a shared conceptual framework; fourthly, direct confrontation of aspects of the problem; fifthly, encouraging client mastery through the development of new skills; sixthly, a focus on the present and future, and, finally, a focus on ensuring the client's autonomy.

The American Psychotherapy Association's Science to Service Task Force (2007) reiterates the significance of these common change factors in group psychotherapy. Within the factors identified by Yalom and Leszcz (2005), can be seen the core mechanisms of instillation of hope, imparting information, imitative behaviour (learning from others), cohesiveness (relationship), catharsis (emotional expression) and interpersonal learning. Thus, whether the modality is dyadic or group, the same common therapeutic factors are evident.

Asay and Lambert (1999) investigated the function of different therapeutic factors in producing change; 30% of the change is accounted for by the therapeutic relationship, 40% by client and environmental characteristics (client characteristics include readiness for change and client involvement), 15% by expectancy (including client's hope and therapist's credibility) and the final 15% by specific treatment techniques.

Elements of these generic models of change can be seen in OD theorists' description of planned organisational change. French et al (2005) describe planned change in OD as involving the introduction of new knowledge (sense-making), addressing the human reactions to the attempted introduction of such knowledge (potential sources of self-efficacy and motivation) and the translation of such information into different behaviours. Through interventions based on the practitioner's strategic use of words, clients are encouraged to commit to and work to gain organisational goals through changing their behaviour. That is, individuals are encouraged to change their behaviour through the process of changing beliefs, leading to changing intentions, leading to triggering new actions. Such encouragement would be based on an effective working relationship between the OD practitioner and organisation's members.

Within OD literature, these issues can be seen in Lewin's 'unfreeze, transition, refreeze' framework (Lewin 1951), Weick and Quinn's (1999) recognition of the phases of inertia, triggering of change and definition of the change process and Schein's (1965) organisational conditions for coping. Within Weick and Quinn (1999)'s description of OD's process of change, generic elements of sense-making and behaviour change are evident;

'[T]he change process becomes a sequence of events in which a person (a) determines or defines what currently exists (what is A), (b) determines or defines its replacement (Not-A), (c) engages in action to remove what is currently there, and (d) implants its replacement.' (p775).

Further Schein's (1965) conditions for coping make explicit the processes of sense-making, commitment to change and relationship. Organisations are required to absorb and convey information, to elicit commitment to change in their members and to develop a safe, supportive environment so enabling concern for the organisation to be prioritised over any individual sense of threat to self.

Thus, these frameworks can be seen to develop sense-making, skills and client self-efficacy and safety. These, in turn, trigger behaviour change. Evans (2013) described common mechanisms for producing effective change within the different generic frameworks as eliciting commitment or motivation, converting this into changes in cognitions and behaviours, and sustaining new behaviours. Within these frameworks, interventions for eliciting the behaviour changes are also founded on common processes; the use of goals, learning, feedback, and contingencies.

The core elements of the ideational theory of change will now be examined in turn; relationship, commitment to change, sense-making, and behaviour change.

### *2.3.2 Relationship*

Planned change within therapy occurs within a social context and thus through a therapeutic relationship. The quality of the relationship influences the effectiveness of the therapeutic outcomes; that is the success of behaviour change.

The power to influence the client derives from the emotional tone of the relationship, the expectancies of the client and the public commitment to change that is represented by entering therapy. The emotional tone must be one of acceptance and trust, without which the client's honest disclosure is thwarted. Client expectancies relate to the client and therapist sharing a rationale for their work together and their respective roles within that work. Key principles of effective therapeutic relationships are acceptance or unconditional positive regard (Rogers, 1951), the creation of a positive atmosphere within the sessions, expectation by the therapist of the probability of change, responsiveness of the therapist to the client, normalising the client's difficulties, and teaching the client new skills (Evans 2013, Lambert 2011). Thus the relationship influences change indirectly, through emotional atmosphere, and directly through the development and shaping of new skills.

Within a group therapy context, the potency of relationship is increased (Burlingame et al 2002). Cohesion is seen to be the proxy for relationship within group therapy settings and is derived from three interpersonal sources; member-to-member, member-to-group and member-to-facilitator (American Group Psychotherapy Association Science to Service Task Force 2007).

Weisbord (1989) highlighted the evidence of the place of relationship within OD interventions and the changes in the dynamics of that relationship. Three different forms of relationship are evident in the different approaches OD practitioners make

to the organisation. First, experts come into an organisation as technical problem-solvers – a process of ‘doing to’ and ‘fixing’ the organisation. Secondly, practitioners focus on processes, targeting specific groups within an organisation as the locus and vehicle for the organisation to solve its own problems. So, experts work with the system of the organisation (Emery and Trist 1973; Trist 1979) and, finally, experts facilitate the system to develop its own capabilities and capacity for organisation-wide development (Marshak 2006; Weisbord 1987). Underpinning each of these forms of relationship are psychological key ingredients for change; emotional tone, expectancies, and commitment to the process. The means of eliciting these key ingredients differ depending on the approach and position adopted by the OD practitioner. Parallels with these preferred positions can be seen with the relationship issues underlying different schools of psychotherapy; the expert position of the psychoanalyst, the facilitative position of the humanistic therapist and the technical skills-development position of the cognitive-behavioural therapist.

Relationship, of course, is not sufficient for change to occur. As Schein (1999) explains, through the helping relationship established by the OD practitioner with the organisation’s members, the members learn about themselves and their organisation. This learning acts as a precursor to being able to make change. Thus, relationship provides the context for and increases the power of interventions that focus on eliciting commitment, creating new sense-making and

developing new behaviours. All of this is done through the strategic use of language.

### *2.3.3 Eliciting commitment to change*

A critical difference between the context of psychological therapy and OD is that, in the former, the patient, in the main, subscribes to the view that they need to make change. They have developed a sense of motivation prior to embarking on the therapeutic endeavour. This is not always the case as, on occasion, patients are ‘sent’ to therapy by members of their social network or professionals who subscribe to the sense-making implicit in psychological models of cause for particular individual problems. Within OD, however, the client, that is the individual wanting change, may not be the recipient or ‘target’ of change. He or she may be commissioning the OD practitioner to facilitate change within the organisation through targeting the sense-making and behaviours of other organisational members. Thus eliciting commitment on the part of the participants in the OD interventions to embark on the OD process is of critical importance.

Motivational issues in psychological terms arise in the form of motivation to change and motivation to sustain behaviour. Both of these can be approached through a focus on drives (meeting internal needs) or goals (drawn by desired outcomes). Key processes include creating the expectancy of change, placing responsibility for change with the individual and eliciting new behaviours. Within OD such issues

are highlighted by stakeholders within the organisation through the request for input from an OD practitioner; in OD terms, the entry/contracting stage of the work. However, the OD practitioner may need to engage organisational members with different relationships to the request for change; those who perceive a need and those whose behaviour is needed to change.

Jaffe et al (1994)'s four-stage model of tasks required to introduce change in organisations involves addressing psychological reactions of organisational members when presented with a perceived need for them to change. Key responses include denial, when individuals will not believe that change is necessary or will happen, and resistance. Resistance can take any of the following three forms; refusing to participate, trying to postpone the process or trying to convince others that the change is not necessary. The anxiety underlying these reactions is reduced through safe exploration of change in the context of a safe relationship and individuals' commitment to the change is gained.

Within each phase of an OD programme, the means of eliciting commitment to change, or motivation, and addressing Jaffe et al's psychological issues take different forms. For example, in the contracting phase, key issues relate to making a decision about embarking upon a planned change process and eliciting commitment and access to resources for the project. Key outcomes of this stage of an OD project include a shared understanding of the problem to be addressed, clear expectations regarding respective responsibilities in the work and

establishing ground rules regarding the ongoing working relationship between the OD practitioner and organisational members (Kolb and Frohman 1970, Block 2000, Davidson 2005, Gallant and Rios, 2006). These can be seen to comprise the common processes of developing a shared framework and ensuring the client's autonomy, as well as setting the expectation that the intervention will be effective (Argyris 1970; Frank and Frank 1991). In the action and maintenance stages of an OD project, participants' motivation needs to be sustained, especially with regard to maintaining their efforts and any change produced. The use of feedback and rewards for shaping and reinforcing behaviour is therefore critical. Common processes critical in these stages are the development of mastery through new skills and learning experiences and the provision of practice opportunities (Argyris 1970; Frank and Frank 1991).

Psychological processes are even more explicit in the work of Armenakis et al (1999). They explicitly ground their approach to motivation upon Bandura's social learning theory (Bandura 1986). Drawing on Bandura's work, they articulate five components of effectively eliciting motivation and thus commitment to the change project. First, identifying and highlighting the discrepancy between the current condition and the desired future (the need for change). Secondly, helping the participants believe they have the capabilities to make the desired changes (self-efficacy). Thirdly, helping participants identify something to be gained for themselves in the process of change (personal valence). Fourthly, ensuring explicit support from principal stakeholders in the process (those stakeholders whom will

be most affected, support the change). Finally, ensuring the change is seen to be appropriate, that is, it makes sense for the organisation's members.

Motivation and ownership are further elicited within OD through data-gathering, diagnosis and feedback, key processes in psychological therapy underpinned by common factors (Evans 2013). Data-gathering occurs within the context of an open systems model of organisational change, viewing the organisation as comprising three levels from which to explore the presenting difficulty; organisation-level, group-level and individual-level (Cummings and Worley, 2001). The organisation as a whole coordinates the behaviour of its constituent groups that, in turn, coordinate that of their individual members. Data-gathering, as a process, affects the system; its intention is to

'raise awareness of specific issues, create expectations that change is possible, and build relationships.' (Noolan 2006, p204).

Analysed data are organised and fed back to the client with the intention of triggering recognition and ownership of the issues and eliciting motivation to act to resolve them;

'to act as a catalyst for collaborative change.' (Tschudy, 2006, p169).

Common factors triggered therefore include relationship-development and maintenance, the development of expectations of a successful outcome and

planting the seeds of self-efficacy (Argyris 1970; Frank and Frank 1991; Yalom and Leszcz 2005). Different diagnostic models address different theories of the source of organisational functioning and will be discussed in the context of specific models later.

Within psychological therapy, goal-setting is used to elicit and maintain commitment by means of providing indicators of change and progress for the patient, building a vision of the new life towards which the patient is working, as well as helping the patient recognise their ability to attain it (self-efficacy; Bandura 1971). The commitment to change represented through goals is achieved through ‘talk’; education and information, narratives, discourse and triggering of imagination to name a few of the many possible interventions. Within OD, similar principles are evident in the action-planning stage of a project. For example, Cummings and Worley (2001) describe creating a vision as a means of providing a common goal and rationale for change. These, in turn, trigger and are used to maintain commitment to change. Beckhard and Harris (1987) regard activity planning as a more specific and detailed version of action plans and visions, incorporating mid-point goals which can be used to provide regular feedback on progress, so maintaining ongoing commitment to change. Tschudy (2006) also adopts this perspective, describing action-planning as a means by which progress towards goals can be promoted and thus motivation maintained. Kolb and Frohman (1970) place significant emphasis on the power of collaborative goal-planning;

'The creation of plans for change should proceed co-operatively with the client to ensure that the plans are appropriate to his needs, and that he will understand them and *be committed to their execution* ...[I]f the objectives to be achieved are defined specifically enough with the client, often little else need to be done to solve the problem.' (p57). (emphasis added)

### 2.3.4 New sense-making

In psychotherapeutic terms, sense-making is initially addressed through the presentation of a formulation. A formulation addresses issues of the shape and development of the difficulty and the options for its resolution. Johnstone and Dallos (2006) described a formulation as a working explanatory hypothesis derived from the synthesis of information about the development and maintenance of the client's difficulties. It is used to facilitate the development of a shared conceptual framework to inform the psychological work. Within OD, formulation parallels the process of diagnosis and feedback to the organisation. This process aims to facilitate the clarification of issues, raise awareness regarding the underlying causes of the current difficulties, the operation of triggers, associated emotional reactions and the possibility of change (Noolan, 2006). Within therapy and OD practice, it establishes a shared perspective on the problem, around which intervention efforts can be coordinated. Thus the formulation (therapy) or diagnosis (OD) informs the treatment strategy.

The design of the OD project strategy, as with therapy, draws on the diagnosis of the presenting problems, the theoretical or conceptual framework underpinning the

diagnosis, the focus for change considered to be most appropriate by the practitioner and client and the depth of change required. Decisions regarding the sequencing of interventions also need to be made. The strategy will be developed from the range of interventions open to the OD practitioner designed to target change at the appropriate level for the project. All of the interventions operate through the triggering of common change factors (Cummings and Worley, 2009; Farquhar 2006).

The formulation within therapy is presented from the position of a specific therapeutic model. Each model comprises its own language of sense-making and its own emphasis on the model-specific variables seen to be most significant in facilitating change (Johnstone and Dallos 2006). Morgan's (1997) work on metaphor within organisations can be regarded as a theoretical parallel to this within organisation theory. Morgan's (1997) assertion is that metaphor provides a means for analysing organisations in different ways, that different metaphors provide different insights. Different metaphors lead us to see, understand, and manage organisational situations in distinctive yet partial ways. Changing the dominant metaphor or sense-making within an organisation will therefore change its sense-making and thereby its functioning. The application of Morgan's theory within OD is founded on the generic change principle of changes in sense-making leading to changes in organisational performance.

### *2.3.5 Behaviour change*

For an individual to change his or her behaviour either pre-existing behaviours need to be adapted or new behaviours developed. Common processes to facilitate these changes involve the use of feedback and reinforcement. Changing the contingencies of undesired behaviour through negative reinforcement and the production of new desired behaviours through the use of positive reinforcement are key underlying processes in this (cf Skinner, 1953; Thorndike 1898, Bandura 1977). The precise means through which these processes are triggered is dependent on the specific therapeutic or OD model the practitioner draws upon. All such models and their associated interventions aim to help and support clients in re-evaluating and responding differently to situations and in developing and applying new skills whilst releasing old, unhelpful ones. Such skills can be behavioural and cognitive; that is thinking differently as well as doing differently.

OD interventions are used to deliberately disrupt the status quo and so break the habitual cycles of behaviour within the organisation (Blake and Mouton, 1986). Such cycles can be helpful or detrimental to functioning and thus to the effectiveness of the organisation. Within this context, the role of the OD practitioner is to help the organisation, through its members, recognise the existence of such cycles (and their contingencies), evaluate their usefulness (consequences) and break into those that are no longer helpful (change the contingencies and consequences) – that is, to raise awareness, elicit motivation and make change at an individual level. Once again Argyris' (1970), Frank and Frank's (1991) and

Evans' (2013) common factors are evident. In this stage, the factors of facilitating individuals to confront all aspects of the problem, providing learning experiences and practice opportunities and facilitating the development of new skills.

### *2.3.6 Conclusion*

Thus it can be seen that OD's generic theories of change are rooted in psychological theories and their associated processes. The development of a facilitative, safe psychological relationship is critical and provides a means through which to trigger key change processes. Those processes aim to develop and maintain individuals' motivation and to intervene in the cause-and-effect or contingency relationships that maintain the undesired status quo in either an individual's life or an organisation's functioning. These processes, in turn, are triggered through the use of carefully selected words in the form of talk and text introduced into a carefully prepared psychological context, words targeting the ways individuals think and so behave.

## **2.4 Specific applications of ideational processes of change**

Having established the roots of OD deriving from generic ideational, psychological processes of individual change, the psychological roots of specific OD models and interventions will now be articulated. A brief overview of the main models in both fields will be given followed by a closer analysis of the intervention, team-building, and the transfer of a specific psychological therapy, narrative, into organisational development practice. Team-building will be used as a proxy for the application of

ideational processes of change within OD and has been selected due to its central position within OD practice (Gibb Dyer and Dyer 2010). Narrative therapy has been selected as a proxy for psychological interventions being directly transferred into OD. It has been selected for its recent development as a therapy from the 1980s and as an OD intervention from the 1990s, and growing popularity in both therapy and OD practice (Harwood 2006, Madigan 2011).

The different approaches in both OD and psychotherapy stake their claim to difference (and superiority) through their use of specific languages, ways of making sense of the human experience and the strategic use of their language as technique in the process of persuasion; that is, they function as metaphorical frames (cf Morgan 1997). As articulated above, Morgan (1997) describes the use of metaphor as systems of sense-making, different metaphors acting as different lenses, focusing and pulling specific aspects of the organisation into the foreground, relegating other aspects to the background. Shifts in sense-making, thinking and thus behavioural and organisational change require shifts in metaphor. So, it is suggested, a quick shift in the way we think is enough to produce better outcomes for our organisations. But how do others convince us to shift the way we think and maintain our new position? The answer to this question is found in the common underlying processes of psychological change articulated above and the indoctrination into a specific sense-making metaphor or approach as described below.

#### *2.4.1 The development of specific models of change*

OD and psychotherapy alike have not progressed through a linear or chronological development of their theory and practice. Rather both fields have seen the development and establishment of approaches within them in a somewhat reactive manner; phases in the development of psychotherapy and associated changes in OD can be seen as responses to ongoing challenges to their output as well as responses to broader philosophical and social developments. Thus chronological development of each field does not represent the rejection and improvement of previous theories and practices, but a supplementing of the range of models and a shaping within each model. Within psychological theories, the ‘big four’ remain, each with its own ‘family’ of applications in the form of therapies: psychoanalytic theory with psychodynamic therapies; humanistic theory with its associated person-centred, gestalt and existential therapies; social learning and learning theories and their associated therapies of behaviour therapy and cognitive-behavioural therapy; and systemic theories with their associated systemic, narrative and solution-focused therapies. Each therapy has its own set of interventions and technologies as means of implementing their specific approach to change. OD’s models and interventions can be seen to derive from these four psychological sources. Interpersonal relationship and group dynamics within T-groups (training groups) are influenced by psychoanalytic theories; participative management interventions by humanistic theories; action research and survey feedback, especially the role of feedback on behaviour, by social learning or cognitive-behavioural theories; and quality of work life interventions deriving from

Tavistock Institute of Human Relations' recognition that organisations comprise both social and technical systems are influenced by systemic theories (Cummings and Worley 2001, Burke 2006). Within both fields, approaches and interventions have developed that straddle the boundaries between these models. For example, cognitive analytic therapy integrates elements of psychodynamic and cognitive therapies and, within OD, different applications of process consultation and team-building draw on both psychoanalytic and social learning approaches.

Within OD, as in psychotherapy, the choice of approach and intervention depends on the specific theory of change held by the practitioner; that is his or her set of values, beliefs and attitudes (Huczynski 1987). So practitioners, like therapists, will have a preferred approach and style that will influence the analysis of the OD issue for which consultation or intervention is sought. As Gray and Starke (1984) state,

'...although some OD programmes have a theoretical base (job enrichment for example), many do not. Instead they are designed and sold on a normative basis ('this is how things should be done') rather than an objective assessment of whether the programme is appropriate for a given organisation. This practice has led to failures, as well as dissatisfaction with programmes that do not deliver all that was promised.' (p231).

The argument for the influence of the different psychological models within OD will be made, first, through an analysis of a common OD intervention, team-building, in terms of its roots in social learning, particularly cognitive, approaches, and, secondly, through the analysis of the application of a psychological approach, narrative therapy, in OD.

#### *2.4.2 The application of specific psychological models within OD: Team-building*

Social learning theory sees behaviour as being influenced by events (stimuli), by external reinforcement (environmental responses to that behaviour) and by cognitive processes that mediate between events and the production of behaviour.

Cognitive approaches emphasise the central role of these mediating cognitive processes, summarised in the following key assumptions. First, human beings respond primarily to their cognitive representations of the environment rather than the environment per se. Secondly, that learning is mediated through cognitive events. Thirdly, that thoughts, feelings and behaviours are causally interrelated. Fourthly, that awareness of an individual's cognitive events (attitudes, beliefs, interpretations and so on) is critical in understanding his or her behaviour. Finally, that the change agent drawing on this approach acts as an educator and technical consultant, focusing on unhelpful cognitive processes, devising the means by which they can be challenged and changed, and, therefore, changing their associated emotional and behavioural products (Fishman, Rego and Muller 2011).

The application of these principles in the form of a range of cognitive-behavioural therapies focus on the role of sense-making systems of schemas which bias information-processing and thus interpretation of current reality, and so determines how an individual behaves and feels. Therapy teaches the individual to become aware of these sense-making systems (and their different levels), to assess their accuracy and utility and to adapt them or, at least, compensate for their inherent unhelpful biases. Such awareness and skills development are approached through

the use of behavioural tasks as well as tasks involving the individual monitoring their ways of thinking (Hollon and DiGuiseppi 2011).

Team-building interventions aim to improve the performance of a team in terms of the way it accomplishes its tasks and improves the members' interpersonal and problem-solving skills (Cummings and Worley 2001). The basic stages of a team-building programme are preparation, start-up and data gathering, data analysis and problem-solving, giving feedback and action-planning (Gibbs Dyer and Dyer 2010). In accordance with social learning theory principles, the preparation stage involves explaining to the team the purpose of the intervention, thus increasing the team's commitment to the process. Possible concerns are raised and allayed, focusing on people's expectations (cognitive events) and associated fears (emotions and possible behaviours). Starting up the intervention, stage two, involves laying out the data-driven foundation of the intervention and eliciting data through specific behavioural or cognitive exercises. The exercises allow the facilitator to assess the functioning of the team through observing its problem-solving behaviours and the associated strengths and weaknesses. These are fed back to the team as a means of raising awareness (influencing sense-making) and informing goal-setting. The next stage of the intervention, data analysis and problem-solving, then involves the facilitator helping the team analyse its competencies (cognitive and behavioural) in relation to its perception of both task and group effectiveness. Feedback is shared within the group focusing on cognitions, behaviours and feelings that affect team performance. Such feedback

is then used in the final stage of the intervention to develop an action plan for making changes in factors that hinder the team's functioning. The team makes a commitment to implement the action plan.

Team-building has been presented through a social learning lens; that is, its focus on a team's cognitions and behaviours have been highlighted. Equally some team-building interventions are delivered in accordance with the more psychodynamic principles that underpin process consultation (Schein 1999) (indeed, Cummings and Worley (2001) highlight a lack of clear differentiation between team-building and process consultation interventions). The critical difference relates to the model of interpretation used by the facilitator, which is underpinned, in turn, by the specific psychological approach to which they subscribe. Psychodynamic formulations of process issues will draw on different metaphors and languages than those delivered within a social learning or cognitive-behavioural frame. However, the common effect is produced through the raising of a team's awareness regarding their functioning and the internal events (mediating cognitions and associated behaviours or psychodynamic processes and defenses) from which such functioning derives, and making changes to functioning based on that new awareness.

*2.4.3 The application of specific psychological models within OD: Narrative therapy*  
Another means by which OD's psychological roots are evident is through the transfer of therapy models into OD practice. A recent form of this has been the

development of narrative therapy and its transfer into OD in the form of narrative and story-telling approaches.

Narrative therapy has emerged out of social constructionism, applied to psychological practice. It is founded on the use people make of stories in making sense of their lives. This process of sense-making involves linking together events in a particular sequence across a period of time around a specific plot (Morgan 2000, White and Epston 1990, Freedman and Combs 1996). The constructed story becomes richer and thicker as more events are incorporated into the central plot and, as it becomes thicker, memories of other congruent events become more accessible. Those events that are not congruent are regarded by the individual as less important. The meanings an individual gives to his or her stories are influenced by the social contexts within which he or she is situated and the contributions of powerful others.

Within the context of therapy, clients present ‘thin’ descriptions of themselves and their lives in the form of their accounts of their problems. Thin descriptions can take the form of ‘truths’ about an individual, can present the world as simple rather than complex and are often developed by others who hold the power to define the individual (for example, parents, healthcare professionals). As these descriptions become stronger, they become the dominant means through which the individual and his or her life are interpreted by themselves and others. They obscure other possible meanings or stories, such as those that give preference to individual’s

skills and knowledge (Morgan 2000, White and Epston 1990, Freedman and Coombs 1996).

The process of narrative therapy involves supporting the client to seek out and foster alternative stories, to ‘re-author’ their lives. These alternative stories involve rich rather than thin descriptions; that is, descriptions constructed by the individual him or herself, which include fine details of varying threads and create new possibilities for living. The process of re-authoring uses language to separate problems from personhood, to ‘externalise’ the problem, to see it as a ‘thing’ rather than as a part of the person (Morgan 2002). This position facilitates the development of a different relationship between the client and the problem, making space for the narrative to include the client’s resources and the skills they draw on in managing the influences of the problem, occasions when the client has reduced the influence of the problem. The shift from ‘internalising’ to ‘externalising’ conversations requires a ‘linguistic shift’ -

‘a shift in the words I chose, the way I asked questions and the language I used in conversations’ (Morgan 2002, p88).

Once the problem has been externalised, re-authoring can proceed through uncovering ‘unique outcomes’ or exceptions to the thin narrative that are incorporated into an alternative story (White and Epston 1992). The alternative story provides space for difference – space for the client to make different sense and meaning and behave differently in accordance with such difference.

Stories have been used in different ways in OD practice and their resonance with Morgan's (1997) metaphors are clearly apparent. The use of stories in OD seems to take two main forms; the construction of specific stories for specific purposes by practitioners and managers or leaders, providing a 'reframe' of perceived organisational reality (Harwood 2005) which is presented to an organisation's members. Secondly, the OD practitioner facilitates the construction of stories by organisational members as a means of shaping sense-making. Within the former, Harwood (2005) describes story-telling and storyboarding as interventions and emergent narrative as a means of facilitating the latter. These interventions can be located on a dimension of ownership and co-construction. Story-telling, with its use of pre-existing stories, draws the least on the organisation's own stories and on organisational members' participation in developing stories. Stories are pre-selected by the practitioner from the repository within a specific culture (myths, fairytales etc) and given to the organisational members to engage their emotions and values. Story-boarding draws on material directly related to the organisation but the story is constructed by the practitioner in order to highlight the need for and shape the direction of the required change. Emergent narrative is co-created by the practitioner and organisation's members in the flow of the process of change. This latter form is situated most closely to the use of narrative as described in narrative therapy above.

Within the empirical organisational development literature, emergent narrative approaches have been used to assess and diagnose organisational difficulties and

select change targets (Boje 1991, Boyce 1996) as well as forming the main OD intervention within a project (Langer and Thorup 2006, Barry 1997). Barry (1997) describes the explicit use of narrative therapy techniques of externalising, influence mapping and re-authoring in his work in a healthcare setting, whilst Boje (1991) describes the use of natural story creating and telling in accomplishing change. Boje (1991) intervened in the natural story-telling conversations that take place in the organisation as a means of influencing the sense-making around change and listened to ongoing stories as a means of assessing the progress of change. He also used more formal story-telling sessions to ensure all voices were heard in the change process, using focus groups for those who were often excluded in the mainstream of story-telling in the organisation. He describes the purpose of story-telling interventions as 'facilitating the telling of relevant tales and helping the executives, managers, vendors and customers reach some consensus in their stories' (p16). Further, he describes the role of the consultant thus;

'the consultant hears stories, responds with stories, and is intervening in the storytelling life pulsating within the organisation....[T]he storylines told in halls, board rooms and restaurants accurately map the environment and direct stakeholders to change in anticipatory and responsive ways.' (p16).

Boje's (1991) intervention ensured that stories were used to develop rich and accurate pictures of the challenges facing the organisation, through the voices of all stakeholders being heard ('voicing the unheard stories' p16) and stories being shared directly between different stakeholders, thus ensuring meaningful participation of stakeholders and the authoring of a 'survival' narrative.

So, within OD practice, there are many examples of the application of specific ideational models or approaches that derive from psychotherapy – individual psychological planned change. Not only is this relationship evident through specific OD interventions but are also seen in specific schools or approaches. Indeed, famous therapy centres are as well-known within the field of OD for their development of model-specific OD approaches (eg Tavistock clinic (as distinct from Institute) for psychodynamic therapy and OD interventions, Metanoia for Gestalt therapy and gestalt approaches to OD).

## **2.5 OD's founding fathers and their psychological roots**

The application of specific psychotherapeutic models has been illustrated through a common OD intervention, team-building, and through the application of a therapeutic approach within the field of OD. OD's reliance on the generic psychological theory of change has also been made explicit. Such psychological foundations are not surprising when it is considered that many key theorists in the development of OD began their academic careers in the field of psychology. Key theorists are identified by their citations within core OD textbooks addressing the history of the field (Cummings and Worley 2001, Hinckley 2006, Burke 2006, Schein 2006, Gallos 2006, Jamieson and Gellerman 2006, Scherer and Alban 2010) and their endorsement as theorists who had influenced the practice of OD practitioners (Piotrowski et al 2001). As Gallos (2006) states;

‘The state of OD today is clearly linked to where and how the field began’  
(p1)

Key OD theorists began their careers in the fields of cognitive, social and clinical psychology, most with research spanning more than one psychological field (Argyris, Emery, Trist, March, Simon, Maslow, Lewin, Schein, Mayo, and Herzberg to name but a few). Lewin, Emery, and Schein's work developed out of post-graduate research in social psychology, addressing such topics as group dynamics (Lewin, Schein and Emery), and personality theory (Lewin). Cognitive psychologists include Argyris, March and Simon with their work on information-processing, heuristics and biases. Mayo, Herzberg and Trist conducted research or worked within clinical and social psychology, addressing such topics as motivation (Herzberg), the effect of groups on individual behaviour (Mayo) and recovery from trauma (Mayo and Trist). Argyris and Schon focused on the psychology of learning. Finally, Maslow's work originated within learning theory, leading to his founding the field of humanistic psychology. These affiliations are represented in Table 1.

THEORIST	FIELD OF PSYCHOLOGY
Schein	Social
Lewin	Social
Argyris	Cognitive and social
Maslow	Personality theory – learning theory and humanistic theory
McGregor	Social
Emery	Social
Trist	Clinical
March	Cognitive
Simon	Cognitive
Schon	Social and personality - learning theory
Mayo	Social and clinical
Herzberg	Social and clinical

Table 1: Psychological affiliations of OD theorists

The psychological origins of these OD theorists go some way to explaining the ideational basis of the change theories underpinning the field. Emery, Trist, March and Simon's work has made significant contributions to sense-making through the use of heuristics and biases. Maslow's humanistic developments, Lewin, Schein and Emery's work on group dynamics, together with Trist and Mayo's clinical origins contribute to the place of interpersonal relationship within OD interventions. Thus the predominant way of thinking drawn upon by founders of OD is an ideational one.

## **2.6 OD competencies**

Further evidence for the ideational roots of OD practice is found in the normative literature within the field, advocating the competencies OD practitioners need to possess in order to be effective. 'Competence', in this context, is defined as the ability to perform the activities of an occupation to the standard expected in employment.

As the field of OD has grown, the range of professionals working within it has continued to expand and the entry routes into the field have diversified. Attempts have been made to develop consensus on the core sets of skills and knowledge deemed necessary to function effectively as an OD practitioner. Such consensus facilitates the recognition by clients of what OD is and is not and who is or is not an OD practitioner, thus clarifying the definition of OD. On the basis of such clarity

of purpose and consensus on competencies, training and development programmes for OD practitioners can be designed. Thus a virtuous cycle of personal professional development and development of the profession is established.

Crucially, the profession's competencies can be shown to draw on the ideational theory of change. Evidence to strengthen this case will be provided through making a comparison with those competencies expected of clinical psychologists; a profession whose core purpose is to deploy generic and specific ideational theories of change in the interests of alleviating psychological distress (DCP 2010).

### *2.6.1 Practitioner psychologists' competencies*

The competencies of clinical psychologists are derived from the deconstruction of the core purpose of the profession. These, in turn, inform the accreditation of professional training courses in clinical psychology and the state registration of individual clinical psychologists.

The Division of Clinical Psychology (DCP) divides psychologists' competencies into nine domains; transferable skills, psychological assessment, psychological formulation, psychological intervention, audit and evaluation, research, personal and professional skills, communication and teaching skills and service delivery skills (Toogood 2010). As would be expected for a profession whose core purpose is to facilitate psychological change, implicit within these domains are the essential

ingredients; relationship, commitment to change, sense-making and behaviour change. The Core Competencies Logbook defines the specific competencies expected of a clinical psychologist within each domain (BPS, 2006, 2008).

Relationship elements are evident in the domains of psychological assessment (developing and maintaining effective working alliances with clients, including individuals, carers and services' pA7.7), psychological formulation ('using formulations to plan appropriate interventions that take the client's perspective into account' pA7.8), psychological intervention ('...implementing psychological therapy or other interventions.... in a collaborative manner' pA7.9), personal and professional skills and values ('appreciating the inherent power imbalance between practitioners and clients...' pA7.13; 'working collaboratively and constructively with fellow psychologists, and other colleagues and users of services, respecting diverse viewpoints' pA7.14) and service delivery ('working with users and carers to facilitate their involvement in service planning and delivery' pA7.16).

Commitment to change is implicit within many of the competencies but can be seen clearly in the domains of personal and professional skills and values ('understanding of ethical issues and applying these in complex clinical contexts, ensuring that informed consent underpins all contact with clients..' pA7.13) and psychological intervention ('understanding therapeutic techniques and processes as applied when working with a range of different individuals in distress...' pA7.9).

Sense-making is evident in the domains of transferable skills ('making informed judgements on complex issues..' pA7.5; 'ability to communicate psychologically-informed ideas and conclusions clearly and effectively to specialist and non-specialist audiences, in order to facilitate problem solving and decision making' pA7.6) and psychological formulation ('Using formulations with clients to facilitate their understanding of their experience' pA7.8; 'revising formulations in the light of ongoing intervention and when necessary re-formulating the problem' pA7.8).

Sense-making interwoven with behaviour change is evident in the domains of psychological intervention ('ability to implement therapeutic interventions based on knowledge and practice in *at least two* evidence-based models of formal psychological therapy..' pA7.9) and communication and teaching ('supporting others' learning in the application of psychological skills, knowledge, practices and procedures' pA7.15).

### *2.6.2 OD practitioner competencies*

Much of the work on practitioner competencies has comprised developing lists of OD skills and knowledge through seeking the opinions of established practitioners. These lists have then been refined through extracting common themes underpinning proposed competencies (Shepherd and Raia, 1981, Worley and Varney, 1998, Goodman 1999, Worley and Feyerherm, 2003, Worley, Rothwell and Sullivan 2010, Sullivan and Quade 1995).

Worley, Rothwell and Sullivan (2010) developed a competency framework that would provide people wanting to enter the field with an overview of the skills and knowledge needed to practice effectively, to guide ongoing professional development for more established practitioners and to develop curricula for academic-based training in OD. The competency domains comprise ‘who one needs to be, what one needs to know and what one must be capable of doing’ (p109). Worley et al (2010) draw on previous competency studies; Shepard and Raia (1981), Worley and Feyerherm (2003) and Sullivan et al’s annual reviews of competencies (published annually from 1992-2005). These studies were based on the opinions of ‘OD experts’ and early founders of the field as well as, in the latter case, engagement at OD Network conferences (USA), sessions conducted with post-graduate OD students at Pepperdine and Loyola Universities, engagement with OD professional organisations and ‘sessions’ conducted in Malaysia, Singapore, South Africa, Ireland, India and Russia. Each of Sullivan’s revisions has attempted to develop consensus within the field of OD rather than test the impact of the competencies listed. Worley et al (2010) have attempted to address this shortcoming by exploring the importance of various competencies and to develop a structure from within the list.

Worley et al (2010) structured their competency survey in accordance with stages in an action research model; marketing and start-up (entry and contracting), diagnosis and feedback, action/intervention planning, intervention, evaluation and

adoption and separation. The survey was disseminated through the internet, inviting OD professionals to complete it. Professional OD networks, publications and events were used to publicise the survey. 364 OD professionals responded. Respondents were asked to identify whether the competency was essential in today's OD practice (yes/no response) and, for those seen to be essential, to rate on a scale from 1-5 how important they were seen to be. The final set of competencies comprised 106 items in 23 clusters. 17 clusters attained good agreement from both factor analyses – analysis by section and overall analysis. The clusters are listed below with the 17 highly agreed ones marked with an asterisk. The number of items within each competency cluster is in brackets;

- self-mastery \*, (9)
- being comfortable with ambiguity \*, (2)
- managing transition and institutionalization \*, (7)
- participatively creating a good implementation plan \*, (6)
- managing the separation \*, (4)
- managing client ownership of the change \*, (3)
- setting conditions for positive change, (7)
- using data to adjust change, (5)
- the ability to work with large systems \*, (6)
- staying current with technology \*, (5)
- ability to evaluate change \*, (5)
- ability to clarify data needs \*, (3)

- understand research methods \*, (4)
- being available to listen to multiple stakeholders, (6)
- building realistic relationships, (3)
- ability to work with and manage diversity \*, (4)
- ability to clarify roles \*, (2)
- ability to work with power \*, (3)
- ability to keep an open mind \*, (2)
- ability to see the whole picture, (8)
- ability to integrate theory and practice \*, (6)
- ability to focus on relevance and flexibility \*, (5)
- clarifying outcomes. (1)

Those clusters based on an ideational theory of change are expanded by Worley et al (2010) and represented in table 2:

CLUSTER NAME	REPRESENTATIVE ITEMS
Self-mastery	Be aware of how one's biases influence
	Clarify personal values
	Clarify personal boundaries
	Manage personal biases
	Manage personal defensiveness
	Recognise when personal feelings have been aroused
	Remain physically healthy when under stress
	Resolve ethical issues with integrity
	Avoid getting personal needs met at the expense of the client

Manage transition and institutionalisation	Help manage impact to related systems
	Use information to correct negative change
	Transfer change skills to internal consultant so learning is continuous
	Maintain/increase change momentum
	Mobilise additional internal resources to support continued change
	Determine the parts of the organisation that warrant a special focus of attention
	Ensure that learning will continue
Participatively create a good implementation plan	Co-create an implementation plan that is concrete, simple, clear, measurable, rewarded and logically sequences activities
Manage diversity	Facilitate a participative decision-making process
	Be aware of the influences of cultural dynamics on interactions with others
	Interpret cross-cultural influences in a healthy manner
	Handle diversity and diverse situations skillfully
Address power	Identify formal power
	Identify informal power
	Deal effectively with resistance
Keep an open mind	Suspend judgment while gathering data
	Suppress hurtful comments during data gathering
Manage client ownership of change	Reduce dependency on consultant
	Instil responsibility for follow-through
	Involve participants so they begin to own process
Manage the separation	Be sure customers and stakeholders are satisfied with the intervention's results
	Leave the client satisfied
	Plan for post-consultation contact
	Recognise when separation is desirable

Set the conditions for positive change	Collaboratively design the change process
	Clarify boundaries for confidentiality
	Select a process that will facilitate openness
	Create a non-threatening atmosphere
	Develop mutually trusting relationships with others
	Solicit feedback from others about your impact on them
	Use information to reinforce positive change
Use data to adjust for change	Use information to correct negative change
	Use information to take next steps
	Establish method to monitor change after intervention
	Use information to reinforce positive change
	Gather data to identify initial first steps of transition
Be available to multiple stakeholders	Collaborate with internal/external OD professionals
	Balance the needs of multiple relationships
	Listen to others
	Interpersonally relate to others
	Use humour effectively
	Pay attention to the spontaneous and informal
Build realistic relationships	Build realistic expectations
	Explicate ethical boundaries
	Build trusting relationships

Table 2: Ideationally-based OD competencies

Implicit in these items are the generic ideational change factors outlined earlier in this chapter. Drawing on Evans' (2013) articulation of generic categories of change

processes, it is possible to see how these competencies fall within such a framework. This mapping is represented in Table 3:

GENERIC CHANGE MECHANISM	OD COMPETENCIES
Relationship	Self-mastery Manage diversity Address power Keep an open mind Set the conditions for positive change Be available to multiple stakeholders Build realistic relationships
Elicit commitment to change	Participatively create a good implementation plan Address power Manage client ownership of change Set conditions for positive change
Sense-making	Use data to adjust for change
Behaviour change	Manage transition and institutionalisation Participatively create a good implementation plan Use data to adjust for change

Table 3: OD competencies as generic change mechanisms

Worley and Varney (1998), on behalf of the Academy of Management OD competency task group, focused on curriculum development for OD postgraduate training. Their identification of core knowledge base for OD practitioners also highlights the field's roots in ideational, psychological models; learning theory, motivation theory, perception theory, group dynamics, role theory, communication and decision-making processes and stages of group development. Such a knowledge base is very familiar with undergraduate psychology students through

their core modules of cognitive psychology, social psychology and theories of personality (Atkinson and Hilgard, 2014).

Thus, it is evident that, on reflecting upon itself, experts and academics in the field of OD identify the ideational theory of change as being critical to the competency of OD practitioners. Such a competency framework has significant overlap with those of professions explicitly located within an ideational model of change such as psychologists. Thus the competencies held to be essential in practicing as either an OD practitioner or clinical psychologist have in common generic change principles founded on an ideational model of change. This work supports the practice and research literature describing the workings of generic and specific OD approaches and interventions which, has been shown above, is firmly rooted in the ideational model of change.

## **2.7 Limitations of the ideational theory of change for OD**

OD's growth out of such psychological roots and its subscription to ideational models of change have produced significant challenges for its practice and evidence-base. The first challenge relates to the appropriateness of the ideational theory for change for OD. Psychological models of change have been developed out of the context of a one-to-one or small group change relationship; that is, one individual, the therapist, helping another individual or individuals, the patient. This model has been applied to one individual, the OD practitioner, working with a mass

of individuals, the organisational members, some of whom will be directly influenced by the practitioner, and others indirectly.

The second challenge for OD is to explain how its interventions work; that is, identification of the mechanisms of change that its interventions are designed to trigger and so produce the organisation's desired changes. OD's application of ideational change theory implies that changes in organisation members' cognitions will produce improvements in the performance of the overall organisation. Within OD's own literature, this link has not been clearly demonstrated. Consequently, there is poor evidence for the effectiveness of OD interventions in terms of producing organisation-level improvements and a failure to address the means by which such changes would happen.

OD's third challenge relates to the inter-relationship between ideation (agency) and institution (structure). OD has constructed this as a dichotomous relationship, struggling to articulate the mutual dependency within it. There is mixed evidence for the effectiveness of OD interventions. Studies tend to be either agency- or structure-focused, with failure in agency-focused interventions being attributed to the effects of the organisational structures and vice versa. Solutions proposed to address this dilemma are derived from the ideational theory of change, so perpetuating the belief that words alone can change organisations. Each of these issues will now be examined.

### *2.7.1 The appropriateness of the ideational theory of change for OD*

Both generic and specific theories of change have been developed within the context of a focused therapeutic relationship. As Asay and Lambert (1999) highlight, at least 45% of change within individual therapy can be said to be produced through the dynamics of the relationship between therapist and patient, and the way in which the therapist adapts the relationship to gain best effect for the patient. Martin et al (2000), Norcross (2001) and Wampold (2001) place emphasis on generic mechanisms of relationship, commitment to change, sense-making and behaviour change as having more significance in triggering change than any model-specific interventions. Burlingame et al (2004) support the effectiveness of such factors in group therapy. Group therapists further strengthen such influences through the creation of a therapeutic interpersonal environment (Fuhriman and Barlow 1983, American Group Psychotherapy Association Science to Service Task Force 2007).

The evidence supporting the potency of such mechanisms for producing individual change raises issues for the ideational foundation of OD practice. Typically, OD practitioners engage with larger numbers of people for brief periods of time, indeed the practitioners within this study worked with between 5 and 100 participants for periods of between half a day and two days. In addition, each of the participants within an OD event may have different expectations regarding the proposed change, are potentially at different stages of readiness for change and have different quality of relationship with the practitioner. Thus, OD practitioners are

diluting the strongest influences on ideational change and so reducing the power of their interventions.

### *2.7.2 How OD interventions work*

OD promotes the ideational position that changes in individuals' cognitions will produce improvements in organisational performance. Bradford et al (1964), Schein (1988) and Porras and Bradford (2004) highlight the relationship between individual cognitive and behavioural change and the improvement of organisational performance. This position is based on the perspective of organisational difficulties deriving from human interactions. Improvements in interpersonal skills would somehow spread through different levels of the organisation, culminating in organisation-wide behavioural improvements. Such improvements in individual behaviour would then produce the organisation's desired outcomes (Burnes and Cook 2012). Such a position is still supported albeit with a recognition of its naivete;

'I am not saying that we should throw out all that the field has stood for. Making organizations more effective will require making members personally more effective....Organizations can only temporarily improve if there is no individual development. Long-lasting organizational effectiveness will only occur when there are long-lasting improvements in individual well-being and abilities..... That is a basic belief that OD has had from its origins, and it's still very relevant today.' (Porras and Bradford 2004, p401)

Early studies into the effectiveness of such interpersonal interventions failed to evidence improvements at an individual level generalising into more effective

organisational performance (eg Campbell and Dunnette 1968, Porras and Berg 1978). Such failure derives, in part, from a lack of attention to organisational performance in studies focusing on human process interventions. This can be seen in, for example, some studies on team-building and large group interventions. Neuman et al's (1989) meta-analysis of team-building studies focuses on the effects of the intervention on changing attitudes, satisfaction and emotions. There were no data provided on the effects of such cognitive and emotional changes on organisational performance. In the Journal of Applied Psychology's special issue on large group interventions, studies described the events as means to enable those who are traditionally unheard to be heard (Lent et al 2005, Lukensmeyer and Brigham 2005), to produce engagement (Tyler et al 2005) and to improve inter-organisational relationships (Miller et al 2005). The influence of such process improvements on organisational outcomes was not examined.

Thus the relationship between individual change and organisational performance is poorly developed within OD. A framework for explaining the relationship between producing change at the different levels of the organisation and the deployment of specific interventions drawing on different change theories is also lacking (Worley and McCloskey 2006, Grol et al 2002). This integration of the different focus for change interventions will now be discussed in the form of the relationship between ideation and structure or ideation and institution.

### *2.7.3 The false dichotomy of ideation and institution*

Within the corpus of OD research, studies that focus either on ideational interventions or those that focus on structures are apparent. Human process-based studies such as those referred to in the preceding section focus on individual ideation, with interventions such as business process re-engineering addressing structural issues within organisational development (Ho et al 1999, Woodward et al 1999). Studies located at either end of the dichotomy seem to attribute poor outcomes to issues pertaining to the alternate end. For example, Greiner (1967) highlights success in human process interventions hinging on a supportive organisational context, whereas in addressing structural interventions, Ho et al (1999) identify lack of staff co-operation and commitment to the change as issues in their limited success, with Woodward et al (1999) reporting increased staff anxiety and insecurity leading to decreased teamwork. Bate and Robert (2002) attempt to account for the disappointing outcomes produced by NHS quality improvement Breakthrough Collaboratives (new structural forms) through calling for a renewed focus and integration of ‘people’ issues;

‘Our view is that [Collaboratives] should retain the basics of what they are doing but avoid overemphasising the ‘rules, regulations and reporting relationships’ and develop a parallel OD programme to deal with all the important (but missing) ‘people’ processes.’ (p649).

Such a dichotomy is implicit in Burnes and Cooke’s (2012) observation regarding the development of strategic interventions in OD;

'[The emergence of] strategic change initiatives were recognition that smaller-scale interventions were often hindered by divisional and company-wide structures and large-scale production and process technologies' (p1403)

Pettigrew (1985) criticised OD for its de-contextualising of change. He promoted an approach based on the recognition of change as a complex process involving cultural and political dynamics, aiming to challenge the core beliefs and structures of the organisation (Pettigrew 1987). Kaplan et al (2010) identified the role of contextual factors in the inconsistent results for quality improvement initiatives. 66 influential contextual characteristics were identified across 47 quality improvement articles, including both structural (eg clinical integration across departments) and ideational (eg micro-system motivation to change, customer focus) factors. As Porras and Bradford (2004) highlight,

'Over time, approaches evolved taking the environment more into account.....but they just never took off and I can't fully explain why.' (p396)

Other studies attempt to integrate ideation and structure, recognising their interrelatedness. Currie et al's (2008) study of collaboratives for leadership in health research and care (CLAHRCs) articulates the interplay of agency and structure in affecting knowledge transfer and application;

'the translation gap can be conceptualized as an institutional challenge, where local level agency (either meso-level or micro-level) mediates the macro-level structures that generate professional and organizational boundaries to the translation of evidence-based innovation into healthcare practice' (p4)

The CLAHRC itself acts as a new institutional form. However, CLAHRC coordinators are expected to act as agents of change, mediating structural barriers through the development of facilitative networks of stakeholders, and; ‘to connect, recombine, and transfer to new contexts otherwise disconnected pools of ideas: i.e. they get the right knowledge into the right hands, at the right time.’ (p6)

Bate et al (2000) also attempt to break out of this dichotomy by fusing structural and ideational change through integrating organisational development and organisational design. They articulate a view of culture as being produced through everyday ‘interactions and interventions’ (p198) and being evident in assumptions, values, artefacts and symbols. Their ‘culturally sensitive approach’ involved the development of a ‘from/to chart’ which described the desired state to which participants were working in cultural and social terms against which they could evaluate their actions throughout the process. Inter-group conflicts were negotiated through parallel temporary structures, new structures that were tested before being formally established, with the ultimate stage in the process being the ‘hardwiring’ of such structures.

Although these projects represent sophisticated attempts to integrate both structure and culture, they still draw heavily on ideational explanations of cultural and structural creation. New ways of being are created through discussion and facilitation – ideational processes – incorporating the key components of generic change articulated above (collaborative relationships, trying out new ways of

working, small steps to generate short-term results to create enthusiasm and so on).

OD's attempts to address these issues presents as an example of old wine in new bottles. Although claims are made regarding new developments within the field of OD (Bunker et al 2004), so-called new approaches still subscribe to the ideational theory of change (Burnes and Cooke 2012).

## **2.8 Conclusions**

This chapter has laid out the argument for the ideational foundation and psychological roots of OD in four ways. First, it has been articulated through examining the generic psychological change model and highlighting its place throughout OD. Secondly, by illustrating the psychological roots of specific OD approaches and interventions, through the examples of team-building and emergent narrative. Thirdly, through evidencing the psychological origins of OD's founding theorists and, finally, by describing the psychological roots of the competencies expected of an OD practitioner and their commonality with those of practitioner psychologists.

OD's theoretical and practice commitment to both the generic ideational change model and its specific applications has been shown to produce significant difficulties in producing the organisational changes for which it strives. OD practice undermines the power of ideational processes, especially that of relationship. It

fails to articulate the means by which individual or small group changes in cognition, which its interventions may achieve, then translate into improvements at an organisational level. OD has struggled to break out of the structure-agency dichotomy underlying its intervention strategies; structural interventions are deemed to compensate for the failures of those agency-based ones and vice versa.

It is this apparent contradiction between OD's stated purpose (producing organisational change) and the means by which it attempts to fulfil it (by aiming to produce changes at an individual or small-group level, through the application of ideational change theories) that has led to the exploration in this thesis of alternative models of change. Such models would need to be able to provide a different, integrated, reflexive relationship between agency and structure. This exploration is presented in chapter five. Prior to presenting such an alternative, OD's application of the ideational theory of change is presented through three cases of OD practice. The next chapter articulates and justifies the methodological approach to be adopted in examining these cases of OD in action.

## CHAPTER 3: METHODOLOGY

### 3.1 Introduction

This chapter will present and justify the rationale for the research design and strategies adopted in empirically addressing the following research questions;

- How do OD practitioners apply the ideational model of change in their practice?
- What would OD practice look like within this alternative framework?

The research design is located within the realist philosophy of science, founded on realist concepts of causation; that is, it is based on theory-driven research design focusing on the ‘hows and whys’ of the functioning of OD interventions rather than the ‘what and whens’. A brief description of realism, in contrast to positivism and relativism, will be provided, together with their respective positions regarding causation. The implications of such a realist theoretical foundation will be articulated in relation to the research design, data collection and data analysis methods. Ethical and quality issues will also be explored.

### 3.2 Realism

Realism is one of three most common positions in the philosophy of social science, together with positivism and relativism. 6 and Bellamy (2012) provide a thorough explication of the three philosophical positions. In brief, positivism, as a sub-

category of empiricism, is based on the belief that there exists a real world, which can be detected and studied through systematic observations. Positivism makes a claim that statements about unobservable entities can in principle be reduced, without loss of meaning, to statements about observable ones. Observations of the latter lead to the identification of cause-and-effect relationships (Trochim 2006) or regularities, which, in turn can be used to understand, predict and control the world. Data about the world is observable and measurable and subjecting such observations to deductive reasoning produces testable theories. The process of such theory-development and attempts at refutation progresses scientific knowledge (Popper 1992).

Relativism, in contrast, rejects the position that truth and reality are absolute, that there is a world external to our perceptions of it (6 and Bellamy 2012). The relativist position is that it is not possible to separate ourselves from our world and our knowledge of it. Consequently, all of our interpretations are context-specific, anchored in a particular situation or time. Reality is socially constructed, with multiple positions or perspectives on ‘truth’ and ‘reality’. For relativists, therefore, positivism is one, but not the only, position on reality and its explanations comprise merely one version amongst many.

Realism can be contrasted to both positivism and relativism. It problematises positivism’s view of the goal of science - knowing reality with certainty – and relativism’s position of the incommensurability of perspectives on reality (Trochim

2006). Realism provides an alternative to the polar extremes of positivism and relativism (Pawson and Tilley 1997), through its ontologically real position (the real world exists independently of our perceptions of it) and its acceptance of an epistemological relativism and constructivism (the understanding of the world is a product of the observer's particular position or view and different views can be equally valid) (Maxwell 2012). For realists, 'the real' refers to the structures and powers of 'objects' (social and physical), the 'actual' to the consequences of the activation of those powers and the 'empirical' to the realm of experience (Sayer 2000).

Realism's perspective on the development of scientific knowledge derives from this ontological and epistemological position. Its acceptance of the existence of directly unobservable entities and, thus, the importance of inference in accessing reality, leads to the conclusion that the knowledge of 'truth' can only ever be partial or approximate (6 and Bellamy 2012). The pursuit of science is therefore the refinement of our approximations to increasingly plausible accounts of phenomena. In explaining social action, realists advocate making claims and developing theories and models about unobservable entities such as class, democracy, structures, power and so on (6 and Bellamy 2012, Pawson 2000). Such concepts, although not directly observable, refer to aspects of the real world and are positioned within causal theories. For example, an individual's action of making a purchase using a debit card is meaningful only in the context of the institutional systems of trade and banking (Pawson 2000).

Realism, like relativism, recognises the validity of different accounts of social phenomena (Maxwell 2012). Individuals exist in social contexts, which incorporate social structures. Such structures constitute and influence the construction of shared meanings. These meanings underpin individual reasoning and its social action (Sayer 2000). Realists do not accept that such a position rules out causal explanations but, rather, it broadens the concept of cause to encompass individuals' internal events. According to Pawson and Tilley (1997)

'social interventions only and always work through the action of mechanisms, through a process of weaving resources and reasoning together' (p69).

Thus, for realism, scientific progress emerges from the development and refinement of causal explanations (Pawson and Tilley 1997). The development of social theory proceeds through the explication of the contexts and mechanisms that produce observed regularities (Pawson and Tilley 1997). Scientific progress takes the form of improvements in theories of causation improving the understanding of how regularities are produced. Such regularities can provide the foundation for predictions or hypotheses but, in contrast to those evident within a positivist methodology, are founded on the acceptance of unobservable, yet real entities. In contrast to relativist and positivist approaches, the cumulation of knowledge does not only relate to empirical generalisations but to the generalising of middle-range theories;

'What are transferable between cases are not lumps of data but sets of ideas. The process works through the development of a body of theory which provides an *organizing framework* which 'abstracts' from a program a set of essential conditions which make sense of one case after another. Many (perhaps most) researchers would ascribe to the importance of toing and froing between the empirical and the theoretical as the route to progressive understanding and transferable knowledge.' (p120)

### 3.3 Causation

Each of the above scientific paradigms implies a different position on causation.

#### 3.3.1 *Positivist position on causation*

Within the positivist paradigm, variables are regarded as the critical causal agents in producing observed regularities (Pawson 2008, Maxwell 2012). The process of causation itself is unobservable; it occurs within a 'black box' (Maxwell 2012), but is inferred from regular repeated association between variables. This association is made evident through experimental design facilitating the exclusion of other possible causal variables, so de-contextualising the process of causation. Pawson (2008) encapsulates this view of the causal process in terms of 'the ubiquitous causal arrow' (p3); a change in one variable (independent variable) is regarded as bringing about a change in a second variable (dependent variable). The focus of the positivist perspective, then, is on effects or outcomes and their associations (Astbury and Leeuw 2010), and the assumption that what has happened in the past is an indication of what will happen in the future. Two significant flaws within such a perspective have been highlighted. First, in terms of association;

'as even the beginner knows, 'correlation does not equal causation'...' (Pawson 2008, p3)

and, secondly, through positivism's emphasis on the place of succession in causation. As Sayer (2000) highlighted, the number of times an event has occurred does not relate to the reasons for its occurrence; the fact that something has happened or not in the past does not constitute all of the possibilities for the future.

### *3.3.2 Relativist position on causation*

The relativist position problematised positivism's perspective on the role of variables (Pawson and Tilley 1997); that is, it is argued that interventions cannot be seen so narrowly as the discrete introduction of objective variables, but rather are constituted through processes of social interaction and human understanding;

‘...whatever the program, in whatever the circumstances, it will ‘work’ through a process of reasoning, change, influence, negotiation, battle of wills, persuasion, choice increase (or decrease), attribution or some such like.’ (Pawson and Tilley 1997 p17)

So, for relativists, the focus has shifted from outcomes and inputs (positivism) to processes, with interventions working through the negotiation of meaning and evaluations of their outcomes. Actions are produced out of systems of belief, connecting events through processes of sense-making (Maxwell 2004, Lin 1998).

### *3.3.3 Realist position on causation*

In contrast to positivism's regularity theory of causation and relativism's position of causation being a matter of social construction and negotiation, realism advocates

'mechanisms' as critical to causality (Maxwell 2012). That is, causal explanation focuses on the processes held within the 'black box', comprising the identification of underlying causal mechanisms. Realism, in contrast to the positivist position on causation, also recognises the significance of the circumstances around the mechanisms' activation (Sayer 2000). Causal mechanisms can, therefore, be regarded as the theories and explanations that provide models of how outcomes are produced (George and Bennett 2005). For example, a car engine works through the following rich causal concepts:

'the carburettor *feeds* the gasoline and air to a car's engine...  
the pistons *suck* air in through the venturi...  
the low-pressure air *sucks* gasoline out of a nozzle...  
the throttle valve *allows* air to flow through the nozzle...' (Cartwright 2004, pX)

A more relevant example for this thesis is a description of the causal mechanisms operating within therapy;

- The therapist and patient FORGE a working relationship.
- The therapist and patient EXPLORE the patient's current predicament.
- The therapist HELPS the patient MAKE NEW SENSE of the predicament, using ideas that RESONATE with the patient.
- The therapist SUPPORTS the patient to DEVELOP new ways of RELATING to and MANAGING the predicament.

These mechanisms operate under certain conditions, and different effects are produced depending on the interaction between the multiple mechanisms within

these contexts. That is, a causal mechanism, within a specific context, will produce an outcome. Some of these mechanisms will contribute to the effect and some will reduce or counteract the effect. So within this realist approach, the explanation of causation relies on identifying causal mechanisms, how they work, whether or not they have actually been activated within a specific situation and the conditions of their activation (Sayer 2000). Thus, realist mechanism-based explanations ‘open up the black box’ of causation (Hedstrom and Swedburg 1996, p298).

Progress in theory-development within this realist paradigm derives from making explicit the mechanisms and contexts which will regularly produce specific outcomes. Such mechanisms constitute the ‘building blocks’ of middle range theory (Hedstrom and Swedberg 1996). These theories provide a means of developing explanations for the presence of common mechanisms across different situations, to be able to abstract generalisable theoretical conceptualisations. Middle range theories provide conceptual frameworks that link social phenomena (Pawson 2000). Merton (1968) defines middle range theories thus;

‘Middle-range theories consist of limited sets of assumptions from which specific hypotheses are logically derived and confirmed by empirical investigation...These theories do not remain separate but are consolidated into wider networks of theory..[that are] sufficiently abstract to deal with different spheres of social behaviour and social structure.’ (p68).

Social mechanisms comprise combinations and relationships between individual action and social constraints. Examples of middle range theories evidencing the influence of mechanisms for social behaviour include Merton’s ‘reference group

theory' (people see a particular group as their reference point for social comparisons relating to their own situation. This selection brings with it expectations which arise from such bonds, which have institutional force and cannot be reduced to mere beliefs), and 'social role theory' (the effect of the sets of connected actions, obligations and norms by which individuals operate within social situations). Both of these evidence the realist nature of such mechanisms and their place within middle range theory. When applying such an approach to social change, the focus of the examination is on the interplay between the individual and the institution (Pawson and Tilley 1997). The interplay evidences the mechanisms in action. The methodological application of the realist paradigm and middle range theory takes the form of realist evaluation, a member of the family of theory-driven evaluations now discussed.

### **3.4 Theory-driven evaluation**

Theory-driven evaluation methodologies have been in development since the 1980s (Leone 2008, Marchal et al 2012, Astbury 2013). This development was a response to the failure of black-box evaluations of social programmes to provide outcomes useful to policy-makers in their decision-making.

Theory-driven evaluation is based on an explicit theory of how a programme produces its desired outcomes and an evaluation strategy is designed to address the programme's theory or theories (Rogers et al 2000). Successionist or experimental approaches to evaluation, derived from the positivist paradigm,

conceive programmes as whole entities, regarding context as a confounding variable to be controlled (Blamey and MacKenzie 2007). A theory-driven evaluation, in contrast to evaluations based on successionist models of causality, focuses on the causal mechanisms and contextual factors instrumental in producing change, recognising that programme theories are multifarious and context is critical to their effects (Chen 1990, Blamey and MacKenzie 2007, Pedersen and Rieper 2008, Marchal et al 2012). Its significance is expressed by Chen (1990, p18);

‘...if a black box evaluation shows a new drug to be capable of curing a disease without providing information on the underlying mechanisms of that cure, physicians will have difficulty prescribing the new drug because the conditions under which the drug will work and the likelihood of negative side effects will not be known.’

Within the field of social sciences, Kaneko (1999) illustrates the significance of mechanisms and context in his evaluation of smoking cessation programmes. He challenges the successionist model on the grounds that it is unable to explain the variance in outcomes even in matched pairs of communities reported by the COMMIT Research Group (1995). Indeed, COMMIT’s quasi-experimental design attempted to eliminate the effect of context in its focus on inputs and outcomes, rather than addressing its influence on the effects of the ‘medicalization’, ‘primary group encouragement’, ‘substitution’, and ‘role model’ mechanisms. As highlighted in chapter two, Chen’s (1990) criticism is also relevant for OD practice. In OD’s own outcome literature, the underlying mechanisms of OD interventions are not

articulated and the reported inconsistencies are attributed to the influence of context (Kaplan et al 2010).

The family of theory-driven evaluation has developed out of three core methodologies; Chen and Rossi's (1989) theory-driven evaluation, Weiss's (1995) 'theory-based evaluation' and Pawson and Tilley's (1997) realist or realistic evaluation. Chen and Rossi (1989) saw social programmes as omitting a theory of change, thus the black box of causality was empty. For Weiss (1995), programmes do have theories but they are not clearly articulated and may be multiple. So the black box contains a mess of theories. For Pawson and Tilley (1997), programmes cannot be said to have produced change unless the means by which change has been achieved is made clear. Programmes and their evaluation fail to open the black box without such an explanation (Stame 2004).

Each of these methodological approaches to theory-driven evaluation promotes a different solution to these issues. For Chen and Rossi (1989), the programme's missing theory, the 'descriptive theory', needs to be provided and the evaluation designed around it. Weiss (1995) articulates two kinds of underlying theory; the 'implementation theory', which describes the steps involved in implementing a programme, and the 'programme theory', which comprises the mechanisms of change. Weiss's theory-based evaluation clarifies the 'programme theory', breaking it down into its constituent mechanisms and testing their effects. Pawson and Tilley (1997) locate people and their responses to the mechanisms of change,

in the centre of the programme evaluation. Realist evaluation deploys ‘middle range theory’ or the context-mechanism-outcome configurations to provide the most plausible explanation for the process producing change (Stame 2004).

### *3.4.1 Criticisms of theory-driven evaluation*

Criticisms of theory-driven evaluation in all of its three main forms relate, first, to whether the focus on the means by which change is produced by an intervention is actually the business of evaluation and, secondly, shortcomings in the practical application of the methodology.

Scriven (1998) launched the criticism of theory-driven evaluation in terms of the role and competency of evaluators. He promoted the position that evaluators and the commissioners of evaluations did not require theories of change but rather judgements on the outcomes of a programme, an answer to the question, does it work? He described theory-driven evaluations as ‘luxuries’ drawing on the analogy of electronic typewriters to illustrate his position;

‘One does not need to know anything at all about electronics to evaluate electronic typewriters, even formatively, and having such knowledge often adversely affects summative evaluation.’ (Scriven 1991, p360)

Stufflebeam and Shinkfield (2007) question the feasibility of conducting meaningful theory-driven evaluations. Key factors contributing to the perceived impossibility of this task include the absence of clear programme theories to drive the evaluation and the resource implications of developing and investigating them.

Coryn et al (2011) highlight issues regarding the quality of theory-driven evaluation as applied in practice. They developed core principles for theory-driven evaluation and assessed 45 cases conducted between 1990 and 2009. The five core elements are; theory formulation, theory-guided question development, theory-guided evaluation design and implementation, theory-guided construct development and, finally, causal description and explanation. Although all of the studies reviewed drew on deductive, inductive or combined theories, assessment of their plausibility was simplistic and alternative possible theories were not considered. In developing questions derived from theory, Coryn et al (2011) highlight their descriptive rather than evaluative focus. The means by which questions were prioritised were not described in the reviewed studies. In many of the reviewed studies, the programme theory was not used to inform the design and implementation of the evaluation and, when it was used, the application was described as simplistic. Concerns were expressed by the authors regarding the quality of construct development as well as the neglect of the possibility of unintended outcomes triggered by the programmes.

Other authors have focused on specific elements of theory-driven evaluation; programme theories, mechanisms and context. For example, Helitzer et al (2014) examine the difficulties in developing programme theories, highlighting the absence of specific tools to facilitate this process and promoting a process for developing conceptual frameworks as a means to address this shortcoming.

Astbury and Leeuw (2010) problematise the use of the concept of causal mechanisms within theory-driven evaluation, describing the common position of unpacking and ordering the components of the programme without developing and articulating its explanatory theory. Mumtaz et al (2015) focus on the relationship between programme theory and context in evaluation, highlighting the shortcomings of the espoused programme theory when applied to its ‘real-world’ setting. The failure of the programme designers to challenge assumptions underpinning their programme theory resulted in significant implementation difficulties. Thus, theory-driven evaluation needs to pay attention to the limitations implicit within the clearly espoused programme theory it seeks to evaluate.

Thus, although Coryn et al's (2011) review and the concerns raised by other authors identify implementation issues, Coryn et al's (2011) review does not support or undermine the broader issues raised by both Scriven (1991, 1998) and Stufflebeam and Shinkfield (2007). Scriven's (1991) challenge that articulating the theory of change underpinning a programme is not a requirement for conducting evaluations was addressed through examining the place and contribution of theory in the evaluations. Coryn et al (2011) present a mixed picture with some theory-driven evaluations failing to make adequate use of the theory whereas others using the programme theory as the key driver in the design and implementation of the evaluation. It could therefore be argued that more attention needs to be paid to the decision regarding the appropriateness of using theory-driven evaluation methodologies in the design stages of projects. Stufflebeam and Shinkfield's

(2007) concerns regarding the feasibility of conducting accurate theory-driven evaluations were not supported. Coryn et al (2011) find no evidence to judge such evaluations as either of better or poorer quality than those of other evaluation approaches.

The thesis will now turn to a closer examination of, first, the central tenets of realist evaluation and secondly, the criticisms specific to this methodology.

### **3.5 Realist evaluation**

#### *3.5.1 Overview*

Realist evaluation can be distinguished from other theory-driven evaluations by its strong realist philosophical foundation (Marchal et al 2012, Astbury 2013, Pawson 2013). It provides a strategy for addressing the dilemma of how to answer the question ‘does the programme work?’ when some elements work for some individuals some of the time. The realist evaluation addresses the production of the programme’s outcomes; what has produced them, how and in what circumstances. Once a pattern between a programme and its outcomes has been recognised, evaluators develop theories of the means by which it has been produced.

Pawson (2013) articulates seven key principles underlying realist evaluation:

- First, ‘theory’, in that the theories of change implicit in a programme are the focus for analysis, as opposed to the programme or intervention per se.

- Secondly, ‘abstraction’, in that the development of ideas or concepts is the ‘bridge-head’ for cross-evaluation comparisons and theory development.
- Thirdly, ‘reusable conceptual platforms’, in that conceptual frameworks are created to classify different interventions and their underlying change theories.
- Fourthly, ‘model building’, in that the conceptual platforms are redeveloped and refined over a succession of evaluations testing the change theories and the contexts in which they come into effect.
- Fifthly, ‘adjudication’, in that evaluations provide a means of adjudicating between different hypotheses regarding change theories – a process of the ‘survival of the fittest’, in terms of ‘better or worse’ rather than right or wrong.
- Sixthly, ‘trust’, in that an evaluation can only focus on a limited number of underlying programme theories and so ‘takes some features on trust’.
- Finally ‘organised scepticism’, in the form of critical scrutiny and cross-validation of realist evaluations (Pawson 2013, Astbury 2013).

Realist evaluation approaches the investigation of a programme’s outcomes through the concept of context-mechanism-outcome configurations. It is ‘mechanism and context driven’ rather than ‘programme led’ (Pawson and Tilley 1997 p78). As Pawson and Tilley (1996) state,

‘evaluation ..has the task of discovering precisely what new ideas and resources are presented to subjects and whether these have the capacity to change future thinking and action.’ (p575).

The capacity to change is influenced by the context of the presentation; that is, 'the culture, resources, and opportunity structures which enable certain actions and constrain others.' (p575).

Thus context has to be incorporated into realist explanations of causality. The approach can be summarised through the reworking of the question, 'does this programme work?' to 'what works for whom, in what circumstances, in what respects, and how?' (Pawson and Tilley 2004, p2). A realist evaluation tries to articulate the configuration of these elements needed to produce the desired outcomes of the programme rather than determine whether a programme is a success or failure (Pawson and Tilley 2004). The configuration of elements makes the best 'sense' available of the programme's outcomes. A realist evaluation might indicate that a programme works in different ways depending on which mechanisms are addressed, that a programme gets implemented in different ways, that it works differently for different groups, that it has more utility in some settings rather than others, that it has intended and unintended outcomes and/or that its outcomes will maintain or fade (Pawson and Tilley 2004). It facilitates 'thinking through' how a programme could be successful for the target population in terms of its implicit mechanisms; as Pawson and Tilley (2004) state, the production of a "highway-code" to programme building' (p21). Thus, realist evaluation is founded on the identification and refinement of context-mechanism-outcome configurations (CMOCs).

### *3.5.2 Context-Mechanism-Outcome configurations (CMOCs)*

Pawson (2000) proposes the use of middle range theory as a means of focusing research strategies to further develop causal theories. This focus is derived from the development of context, mechanism and outcome configurations, realist evaluation's essential ingredient (Pawson and Tilley 1997). Each of the CMOC components will now be examined, starting with the centrality of mechanisms.

#### *3.5.2.1 Mechanisms*

As 6 and Bellamy (2012 p180) state,

'[a] mechanism, ..., is the force that is responsible for *how* things happen: for example, *how* an independent variable works on a dependent one.'

Mechanisms thus act as the causal arrow in explanation. Such a perspective is familiar in, for example, medical science – the effects of a drug are generated by mechanisms operating at the physiological level, such as boosting immune systems or destroying cancer cells (Pawson 2008). George and Bennett (2005) go further in defining causal mechanisms as

'ultimately unobservable physical, social, or psychological processes through which agents with causal capacities operate, but only in specific context or conditions, to transfer energy, information or matter to other entities' (p137).

A mechanism outlines a process, for example, X leads to Y through steps A, B, C, whereas a law promotes a correlation, for example, if x, then y. So, a mechanism is

'an account of the make-up, behaviour, and interrelationships of those processes that are responsible for the regularity. A mechanism is thus a theory – a theory which spells out the potential of human resources and reasoning.' (Pawson and Tilley 1997, p68).

Thus, mechanisms can be characterised by being hidden, by being influenced by the contexts within which they operate and by generating outcomes (Astbury and Leeuw 2010). Mechanisms are unobservable. Their existence cannot be determined by repeated observations; rather their existence is inferred through their observable effects; that is their operation is evidenced by the presence of an outcome, the explanation for which can only be provided through reference to mechanisms (Astbury and Leeuw 2010, Sayer 2000). The attribution of the existence of mechanisms is dependent, therefore, on the development of a causal theory (6 and Bellamy 2012). Pawson (2008) equates mechanisms to the 'inner workings' of a clock;

'We cannot understand the working of a clock by examining its face and hands, rather we need to know about clockworks (balanced springs or, nowadays, oscillating caesium atoms).' (p14).

### *3.5.2.2 Context*

Context matters for the operation of mechanisms. Thus, within physical science, the operation of gunpowder will be influenced by such contextual factors as the presence of a spark, low humidity levels and plentiful oxygen. Social action occurs in contexts comprising culture, rules, norms, power dynamics and so on. The key

contextual influence in social research is regarded as the human interpretation of events (Astbury and Leeuw 2010). As Pawson and Tilley (2004) explain,

'[c]ontexts are the pre-existing institutional, organisational and social conditions that sometimes enable and sometimes constrain people's choices.' (p16).

Such contextual features influence the effects of mechanisms through their activation or neutralisation (Pawson 2000, Pawson and Tilley 1997).

### 3.5.2.3 *Outcomes*

Within social science, social outcomes are generated by people's actions, generated in turn by collective choices, facilitated by resources and capacities (Hedstrom and Swedberg 1998, Pawson 2008). As described above, mechanisms are triggered within conducive contexts and so produce such outcomes. Outcomes are the focus of social explanation but, for realists, explanations are constructed through articulating the processes of producing outcomes; that is,

'explanation takes the form of positing some underlying mechanism (M) that generates the outcome, which will consist of propositions about how structural resources and agent's reasoning have constituted the regularity. The workings of such mechanisms are always contingent and conditional, and hypotheses will also be constructed in respect of which local, institutional and historical contexts (C) are conducive to the action of the mechanism.' (Pawson 2000, p298).

The recognition of outcomes of interest is therefore the start of the research process, not its culmination.

#### *3.5.2.4 Causal configurations*

The context-mechanism-outcome configurations (CMOC) are the integration of the context and mechanisms implicit in the production of an outcome. CMOCs address the realist evaluation question; ‘what works for whom in what circumstances...and why’ (Pawson and Manzano-Santaella 2012).

A CMOC, therefore, is the hypothesis about the means by which an outcome has been produced; the intervention or programme works (O) because of the action of an underlying mechanism or mechanisms (M), which is/are activated within a particular context (C). Thus, when an intervention is deemed to be successful, an explanation needs to be provided that articulates how the intervention works for which individuals under which contextual conditions in producing the desired outcome. The relationship between programmes, interventions and CMOCs will now be articulated.

#### *3.5.3 Programmes, interventions and mechanisms*

The terms ‘programme’ and ‘intervention’ are frequently used in the evaluation literature. For realist evaluation, a programme comprises a number of interventions which, in turn, comprise a number of CMOCs. The programme comprises the strategy developed in response to a perceived need for change and a vision of how things could be different. Implicit within a programme and within its constituent interventions are theories about how the undesired situation has arisen and how changes might be brought about (Pawson and Tilley 2004). These theories

comprise the programme's underlying mechanisms. Programmes and interventions therefore work through mechanisms and their success lies in their ability to persuade and provide opportunities for individuals to change (Pawson 2013). As Pawson (2013) states;

'If policy seeks significant behavioural transformation then the coordination of whole series of ideas and agents is required to create durable change. Programmes need to construct runways rather than springboards for change.' (p131).

### *3.5.4 Realist evaluation design*

Realist evaluation follows the same design steps as other social scientific investigations (theory, development of hypotheses, collection and analysis of data, interpretation and generalisation) but with its content focusing on CMO configurations. Thus the hypothesis is in the form of what it is about the programme that works for whom in what circumstances – its middle range theory, the data collection focuses on the hypothesised context, mechanisms and outcomes configurations, the data are then analysed to see if the initial theory can provide an explanation for them and, finally, the theory is revised. The design, therefore, is driven by theory and culminates in a refined middle range theory (Pawson and Tilley 1997, 2004, Marchal et al 2012).

In essence, realist evaluation can be crystallised into eight 'rules' (Pawson and Tilley 1997):

- First, generative causation; the focus of an evaluation needs to be on how and why they strive to produce change. Change takes the form of individuals taking action enabled by the provision of reasons and resources which, in turn, are facilitated by a conducive context.
- Secondly, ‘ontological depth’; the forces of change within a programme are not directly observable but take the form of macro and micro social forces. Thus, an evaluation needs to delve below the directly observable inputs and outcomes.
- Thirdly, mechanisms; an evaluation needs to address the means by which the pre-existing, problem-inducing mechanisms are neutralised or blocked by the new potentially change-inducing mechanisms implicit within the programme.
- Fourthly, contexts; an evaluation needs to clarify the influence of context in perpetuating the effects of the problem-inducing mechanisms and those of the change-inducing mechanisms.
- Fifthly, outcomes; these are analysed within realist evaluation to see if the hypothesised mechanisms have indeed produced the desired outcomes – a step further than merely confirming the presence or absence of the desired outcomes.
- Sixthly, CMO configurations; these bring together the synergistic influence of the three aspects of programme change – contexts, mechanisms and outcomes – providing a means of creating middle-range theories that enable cross-case interpretations.

- Seventhly, teacher-learner processes; the evaluator learns about the theories of stakeholders, building on them in the development of CMO configurations and then feeding the refined versions back to the stakeholders for their further shaping.
- Finally, open systems; social programmes are implemented in a context that is influenced by the wider world which is in a continual state of flux.

Within this research study, the programme theory can be elicited through interviews with the OD practitioners who designed the interventions, and from the research literature from the area in which the projects are located; in this case, ideational theory of change, organisational development and neo-Durkheimian institutional theory (NDIT). The programme theory is then disaggregated into CMO configurations. These are then explored through interviews and evaluated in practice through ethnographic observations. The elicited theory of change can then be assessed across cases. This analysis will highlight the strengths and weaknesses of the resulting middle range theory within the contexts covered by the cases (Pawson and Tilley 2004). As the programme context can be difficult to differentiate from its mechanisms, Marchal et al (2012) propose defining contexts as actors and other factors such as norms, regulations and procedures external to the intervention which are considered to be influential.

### *3.5.5 Criticisms of realist evaluation*

Criticisms levelled at realist evaluation include those described above in relation to the issues it shares with other theory-driven evaluation methodologies, as well as issues relating specifically to its implementation.

Marchal et al (2012), in their review of 18 studies using realist evaluation in the field of health systems, and Salter and Kothari (2014) in their review of 14 studies using realist evaluation in the field of knowledge translation discover methodological challenges relating to all of the aspects of realist evaluation outlined above.

#### *3.5.5.1 The development of middle range theories and CMOCs*

The development of middle-range theory and its underlying context-mechanism-outcome configurations presented a challenge for Rycroft-Malone et al (2010) in their study of protocol-based care, highlighting the challenge of theory-development when there has been little attention paid to this in the field. This issue is also raised by Goicoechea et al (2013) and Ranmuthugala et al (2011), with Linsley et al (2015) describing the development of CMOCs as requiring skill, flexibility and understanding of the topic being evaluated. Salter and Kothari (2014) also highlight variability between studies in how CMOCs are developed and applied. They attribute this to the absence of clear guidelines for conducting a realist evaluation. This variability is also identified by Marchal et al (2012) in terms of the articulation of the development and use of CMOCs as either descriptive or explanatory.

This challenge leads, in turn, to difficulties in articulating each element of the CMOCs and their causal relationship.

### *3.5.5.2 The identification of context, mechanisms and outcomes*

Difficulties in differentiating between mechanisms and contexts and mechanisms and outcomes are described by Byng et al (2005, 2008) and Marchal et al (2010).

For example, Byng et al (2005), in their study of shared care for people with mental health problems, describe three possible ways of identifying the action of a link worker reviewing a patient register to identify those requiring follow-up appointments;

- a mechanism for organising follow-up care,
- a context for having a physical review and
- a CMOC in terms of ‘having a link worker’ and ‘the register’ acting as contexts for the mechanisms of ‘checking the register’ with the outcome of ‘identifying patients requiring review’.

Some studies in Marchal et al’s (2012) review apply Pawson and Tilley’s (1997) definition of mechanisms as theories (for example Rycroft-Malone et al 2010), whilst other authors incorporate specific interventions comprising the programme (for example, Tolson et al 2007, Evans and Killoran 2000). Tolson et al (2007) describe difficulties in developing outcome indicators with Vareilles et al (2015) outlining the challenges they faced in identifying context.

Thus, issues arise with the application of realist evaluation in practice. Such issues derive from the absence of clear methodological guidelines. As Rycroft-Malone et al (2010) state;

‘[Pawson and Tilley’s (1997)] book...is not a methodological recipe for doing realistic evaluation...the greatest challenge with using this approach was in its operationalisation...’ (p11)

As a solution, Pawson (2013) proposes that practitioners of realist evaluation form a community for scrutinising the methodology’s application. Thus the problems identified above are addressed through the reflections upon and development of solutions to these practice dilemmas by evaluators (eg, Pedersen and Rieper 2008, Jackson and Kolla 2012, Mark and Henry 2013, and Helitzer et al 2014).

### **3.6 Research design**

#### *3.6.1 Development of research questions*

Of the four research questions within this thesis, two are addressed empirically. The following consideration of research design focuses on these two questions; ‘how do OD practitioners apply the ideational model of change in their practice?’ (research question 2) and ‘what would OD practice look like in this alternative [NDIT] framework?’ (research question four).

As is evident from the literature explored in chapter two, OD is located theoretically within the ideational theory of change. A key question deriving from the OD

literature is how OD interventions produce change when operating within this ideational theoretical framework. An OD programme comprises a configuration of interventions addressing different aspects of the organisational problem. The mechanisms for change implicit within these interventions will be the means by which participants are provided with opportunities for change; that is, they influence the thinking and behaviour of participants. The mechanisms latent within interventions can facilitate new ways of thinking and acting or restrict old ways of thinking and acting.

As discussed in chapter two, the published literature is sparse in terms of addressing the question of how OD interventions achieved their outcomes. Where they existed, evaluations took the form of whether an intervention actually produced its targeted change or not. This study therefore is designed to deductively address the research question; ‘how do OD practitioners apply the ideational model of change in their practice?’ (research question 2).

The fourth research question of this study focuses on an empirical analysis of OD practice from an alternative theoretical perspective on change. The question, ‘what would OD practice look like in this alternative framework?’, has been developed from the application of neo-Durkheimian institutional theory (NDIT) to the case study data. As argued in chapter two, OD’s failure to adequately integrate the concept of context into its practice underpins its inconsistent outcomes. In chapter five, NDIT will be presented as a theoretical framework built upon the inter-

dependency of culture and practice. The framework highlights the effect of the four requisite cultural forms and their interrelationships on organisational members' potential for change. It also echoes realist evaluation's emphasis on context as a source of influence on the possibility of individual and organisational change. OD practice is analysed through this theoretical lens, deriving and applying middle-range theories from these cultural forms to the interview and observational data derived from the three cases of OD interventions.

### *3.6.2 Case-based research design*

#### *3.6.2.1 Definition of 'case'*

In addressing the questions of the ways in which ideationally-based OD interventions are applied and the form an alternative approach to OD practice may take, a case-based research design has been adopted. Case studies are defined as

'...an empirical investigation of a particular contemporary phenomenon within its real life context using multiple sources of evidence' (Robson, 2001, p52).

Such a design examines cases as whole entities (Gerring 2004, 6 and Bellamy 2012). The integrity of the case is respected, not broken down into constituent variables. As Della Porta (2008) argues, this allows the case's social mechanisms to be uncovered. In this research study, the cases comprise a particular OD intervention delivered by an OD practitioner working within the National Health Service (NHS).

Key concepts of ‘organisational development’ and ‘organisational development practitioner’ are critical to the identification of a ‘case’ and have been defined in accordance with the literature explored in chapter two. That is, ‘organisational development’ enhances individual development and promotes organisational performance. It works through planned change projects which involve the introduction of new knowledge and addressing the human reactions to the attempted introduction of such knowledge and its translation into different behaviours (French et al 2005). As articulated in chapter two, an ‘OD practitioner’ could come from any field of work or profession. Key definitions are based on sets of competencies rather than specific qualifications or career histories, competencies that seem to relate to the application of ideationally-based techniques and approaches. In essence, an OD practitioner is an individual delivering OD interventions; that is, an individual working to improve the functioning of an organisation, in toto or in part, through the functioning of its members.

A case is marked out from the flow of reality within which it is located. The rationale for the delineation of the case derives from the theoretical frame upon which the researcher draws (della Porta 2008). Thus, for this research, the boundaries have been drawn from OD conceptualisations of ‘fields’ and structured interventions. The cases examined within this research are located within the field of public sector healthcare and focus on a specific element of the flow of events that comprises a

piece of OD work; that is, they focus on the actual event or intervention per se, excluding the preceding negotiation and commissioning processes and any post-event work with commissioners.

Case studies can be used in many ways; for example, descriptively, for inductive theory-development or for theory-testing (Eisenhardt 1989, della Porta 2008). Within a realist evaluation strategy, case studies are used to shape and further develop theory; to articulate case-based CMO configurations with a view to developing theoretical rather than empirical generalisations to further cases. The context of each case is respected and brought into the design as a significant factor in the attainment of observed outcomes. The multiple case studies presented within this research are concerned with analytic generalisation. The use of multiple cases adds confidence to the middle-range theories developed to account for the OD interventions' outcomes. Each case seems to be similar in terms of being examples of the OD interventions in action yet, in analysing their underlying CMO configurations through two different theoretical frameworks, significant differences can be seen.

### *3.6.2.2 Selection of 'cases'; OD practitioners*

The case studies analysed here were selected from the population of OD practitioners in Britain delivering human process OD interventions to the NHS. This population included both private and public sector practitioners and those working within and external to specific NHS Trusts. Thus, each of the practitioners within

this research worked as an OD practitioner, in that they were striving to improve the performance of part of the target organisation, through facilitating change and development within its members. They had been commissioned as OD practitioners.

Approaches were made by email to OD consultancies across the country describing the nature of the research project, the criteria for participation and the requirements that would be made of the participants. Although many practitioners expressed an interest in the research, they did not have any NHS projects in development and thus were not able to participate.

The next step in the selection process was to approach University OD departments, again by email, with the information provided as described above. Again, expressions of interest and support were received but practitioners did not have any suitable projects in development. At this stage, a snowballing technique was used through using the direct contacts of the researcher gained through her previous participation in NHS OD projects as a member of NHS staff. An NHS mental health institute was approached, an organisation through which NHS Mental Health Trusts could access OD. This approach was made by email and, once possible contacts were provided, these individuals were emailed directly and then followed up by telephone. Face-to-face conversations were scheduled with practitioners who expressed interest in being involved. From this strategy, the practitioner within CS1 became involved and, through him, the practitioner within

CS2 agreed to participate. Supportive OD practitioners within the academic field also continued to look for colleagues who might be appropriate for and interested in the study and, through this route, the practitioner within CS3 agreed to participate.

Thus, three cases of OD practitioners and their interventions were secured for the study. Two cases were of practitioners external to the organisation receiving the intervention (CS1 and CS2) with CS3 focusing on the work of an internal OD practitioner within an NHS Trust.

### *3.6.2.3 Selection of ‘cases’: OD interventions*

Face-to-face meetings were held with each practitioner, covering the design and demands of the study and the ethical implications of their participation. The meetings also assisted the practitioners in defining OD interventions appropriate for the research. One meeting was held with practitioner CS1 as it was established that his next project met the criteria of a human process OD intervention within the NHS. Three meetings were held with practitioner CS2, as well as accompanying him to meetings with potential project commissioners. From this, one project was identified as being relevant for inclusion within the research. One meeting was held with practitioner CS3 through which one strand of her organisation’s OD strategy was identified as relevant. In addition, three of her OD team meetings were attended as a means of establishing working relationships with other individuals who would be involved ‘behind the scenes’ in delivering the OD intervention.

Practitioners CS1 and CS2 were able to make decisions regarding their participation in the research without reference to any higher authority in their organisation. They secured consent from the organisations into which they were intervening. Practitioner CS3 secured consent for participation from her line manager. Assurance was given to all participants about anonymity of data, ensuring that neither they nor the organisations into which they were intervening would be identifiable.

For CS1 the focus of the intervention was a specialist community mental health team and he was commissioned by the team leader to address the team functioning. For CS2 the targeted organisational members were key stakeholders in NHS mental health trusts within the geographical region, responsible for the governance of commissioning and providing mental health services. He was commissioned by a regional health organisation's modernisation leaders to develop and support the process of integrating new waiting time rules into mental health service commissioning and delivery systems. For CS3, senior leaders within the practitioner's organisation comprised the target group and the event was commissioned by the organisation's Chief Executive Officer (CEO). The CEO wanted the organisation's commitment to the OD and improvement work to be highlighted, as a means of ensuring staff and management engagement and motivation. Thus the selection of cases for this research was founded on the conjunction of two criteria forming the definition of an OD intervention; a project

designed to improve the functioning of an organisation through its members and the intervention designed and delivered by an individual whose role is specific to that purpose.

#### *3.6.2.4 Structure of cases*

Each case was divided into three stages designed in accordance with the realist evaluation cycle. First, practitioners were interviewed to ascertain their theory of how OD interventions produce outcomes. This interview data placed the theories held by the OD practitioners in each case within the context of the configurations derived from the OD and NDIT theoretical literature.

The second stage of the case comprised observation of the practitioner's intervention in action. This data elicited the presence or absence of the hypothesised CMO configurations derived from the literature and the congruence or lack of it between the practitioner's theories in mind and their theories in action.

The third stage of the case, the post-interview, provided supplementary evidence for the CMO configurations in action, as well as the practitioner's theory in mind. It addressed the underlying decision-making regarding the delivery of specific aspects of the event, as a means of refining the CMO configurations.

### *3.6.3 Data collection tools*

Interview and observation data were collected using semi-structured interview schedules and ethnographic participant observation methods. These were deployed within a realist evaluation framework with its specific emphasis on a teacher-learner research relationship (Pawson and Tilley 1997).

#### *3.6.3.1 Semi-structured realist interviews*

Interviews based on a realist evaluation research design aim to elicit the reasoning and resources of key stakeholders within, in this research, the OD intervention. Thus, interviews focused on the reasoning, or theory in mind, of the OD practitioners (Pawson and Tilley 1997) through questions, within a semi-structured or focused format, designed to address contexts, mechanisms and outcomes within OD. Within a realist evaluation strategy, however, the interview is theory rather than data-driven. That is, the interview strategy is informed by the aim of eliciting data in relation to the interviewer's theory. The researcher plays an active role in introducing or teaching the interviewee the theoretical underpinnings of the investigation. In this case, such a theory comprised CMO configurations derived from the ideational theoretical foundation of OD. Post-event interviews were designed to thicken the CMO configurations refined within the OD events (theory in action). Transcripts of and data tables for these interviews are to be found in Appendices 1-9.

### *3.6.3.2 Ethnographic Participant Observations*

The approach taken to the observation of the OD events was ethnographic participant observation (Robson 2001, Silverman 2001, Hammersley and Atkinson 2007). Ethnography is a method of “seeing’ the components of social structure and the processes through which they interact’ (Rosen 1991, p13), studying the actions, sense-making and social interactions that occur within a social unit (group, team, organisation, community) (Reeves et al 2008). The prime task of an ethnographic approach to data collection relates to ‘uncovering’ or ‘explicating’ the means by which people complete their tasks within specific settings, in terms of their sense-making, decision-making and actions (van Maanen 1988, Rosen 1991, Bray 2008). This is achieved through fieldwork; the interaction of the researcher for a significant period of time with the individuals in their natural context (van Maanen 1988). Characteristics of the ethnographic observation method are that it is naturalistic, in that people are observed ‘in situ’, unobtrusive with minimal interference from the observer, it aims to understand the world from the perspective of those being studied, it produces in-depth data usually in the form of field notes and is used with other methods.

Reeves et al (2008) propose nine elements to ethnographic observations; physical layout of spaces, range of people involved, sets of related activities, physical objects present, single actions undertaken, specific events that people carry out, sequencing of events, goals and feelings. Each of these domains can be mapped onto realist concepts of context, mechanism and outcomes.

### *3.6.4 Piloting of data collection tools*

A pilot study was conducted to test the data collection tools in the field. Access to the pilot study site was gained through one of the academic OD practitioners contacted in the recruitment stage of the research. She was entering the final stages of a three-year OD project with public sector organisations. The pilot comprised two elements; first, an interview with the OD practitioner using the pre-interview schedule and seeking feedback on the experience of being interviewed. Secondly, conducting ethnographic participant observations within two forms of OD event; a small group event and a large-scale conference.

#### *3.6.4.1 Semi-structured realist interview*

The key concern of the researcher was the success of the interview in eliciting the ‘theory-in-mind’ of practitioners, the core ingredients of the CMO configurations, as well as facilitating the teacher-pupil process underpinning realist evaluation. The interview took place in the practitioner’s home to minimise any inconvenience to her, again mirroring the proposed process of the interview. It was apparent that the format and questions would elicit a reflective, ‘curious’ position from practitioners in relation to their articulation of the theory of change that underpinned their work. The interview schedule had the potential of enabling practitioners to develop their thoughts in situ, maybe practitioners surprising themselves with their reflections. The interview was also considered to have an educational or developmental outcome for practitioners through facilitating increased awareness

of their practice. The pilot also highlighted the utility of contextualising the practitioner in terms of professional journey and derivation of their ‘theory in mind’.

#### *3.6.4.2 Ethnographic participant observations*

Two types of intervention were observed; a small group meeting with senior managers of the participant organisations and a whole-day large-scale conference focusing on service user engagement. Observations took place over two days; one day per event. These provided opportunities to trial the different data collection methods in different OD contexts.

Issues that arose during the observation pilots included the need to negotiate more explicitly with the practitioner about how to introduce the researcher to participants at the events, the location of the researcher to facilitate note-taking and participation in the event, the management of informal contact with participants (for example, at tea breaks) and the technical means by which notes should be taken. The different formats raised context-specific issues for the researcher; the differences in physical positioning of the researcher in large and small group events, the level and form of participation of the researcher and how this might be negotiated and different ways of conducting the relationship of the researcher with the OD practitioner.

The different event formats also presented different challenges with regards to the researcher-participants relationship; the dynamics within the larger service user

engagement conference felt more defensive in relation to the researcher's participation, whereas the smaller managers' group event wanted greater participation from the researcher. The informal interaction during the refreshment breaks provided the opportunity for the researcher to position herself differently to make relationships with OD practitioners and event participants. Potential role positions open to the researcher in this context included NHS manager, NHS worker, university student, fellow professional and so on. The selection of role descriptor was determined by the researcher's judgement regarding its effect on facilitating effective engagement with participants.

#### *3.6.4.3 Outcomes from the pilot study*

Adaptations were made to the ethnographic observation data collection methods, but no adaptations were required for the semi-structured interview formats.

Changes made as a result of the pilot study were:

- The development of a form of words for the OD practitioners to adapt in introducing the researcher within the events. The introduction framework covered the researcher's role as a part-time PhD student, the focus of the research being conducted and the researcher's day-to-day role within the NHS as a means of attaining credibility.
- The decision to use a digipen for 'jottings', to transpose these into field-notes after the event and to prepare them for post-hoc analysis.
- Increased confidence for the researcher in how to manage informal interactions.

- Increased confidence for the researcher in how to balance the level of participation within different elements of the OD events.

### *3.6.5 Data collection*

#### *3.6.5.1 Stage 1: Pre-interviews*

As described above, the pre-interview was designed to elicit the reasoning of the OD practitioners, in terms of the context, mechanism and outcome configurations of their underlying ideational theory of change. Prior to the pre-interview, the interviewee was sent the participants' information sheet outlining the hypotheses of the study and the topic areas for the interview.

Contexts were addressed through exploring the practitioners' route into the field and the sources of their ideas. Mechanisms were addressed through questions about the means by which the practitioner thought their interventions work, a description and analysis of their approach and the key ideas and concepts on which they drew. Outcomes were addressed through questions on the purpose of OD interventions, practitioners' definitions of success and their views on sustainability. The configurational quality of a realist evaluation was addressed through the discussion between the interviewer and interviewee throughout the interview.

Interviewees' reactions to this theoretical clarity and the discursive process of the interview facilitated the second element of realist interviews; conceptual

refinement, or ‘assisted sense-making’ (Pawson and Tilley 2004, p12). The interviewees’ corrections to or agreements with the theory proposed by the interviewer enabled ‘mutual understanding’ to develop. Such an interview strategy has been summarised thus; ‘I’ll show you my theory if you show me yours.’ (Pawson and Tilley 1997, p169).

Both the pre- and post-event interviews were conducted at venues selected by the interviewees, based on their convenience. Thus venues were their office bases and local cafes. This enabled a relaxed atmosphere to be created with the interviewees feeling at ease. Interviews were recorded using a digital Dictaphone and downloaded for transcription onto the researcher’s personal password-secured laptop. Interviewees could stop the recording at any time. Interviews lasted between 40 and 60 minutes. The interviews took on a conversational style, covering all of the topics but in the order determined by the conversational flow. Interviewees were given time at the end of each interview for any further points they wished to make or clarification they needed about the research project in toto. After each interview, the interviewees were sent a transcript and asked to make any factual corrections.

### *3.6.5.2 Stage 2: Ethnographic participant observations*

Participant observations were conducted of the whole of each OD event facilitated by each practitioner. Thus periods of observation ranged from 4 to 16 hours. Positions of observer-as-participant and participant-as-observer (Ackroyd and

Hughes 1992) were adopted at different stages during the OD events. The position of participant related to the work of the OD practitioner, not to the position or perspective of the event participants. That is, the researcher's observations focused on the practice of the OD practitioner from the physical position of the side of the room (observer-as-participant) or were made from the perspective of acting as an assistant to the OD practitioner (participant-as-observer). The position taken was founded on the principle of 'marginality' (Hammersley and Atkinson 2007); a balance between gaining access to the perspectives of the OD practitioner and over-identification. As Rosen (1991) describes it, adopting the role of 'professional stranger' (p15).

Different degrees of participation were required within each event, depending on the format. Observer-as-participant provided the starting position for the researcher, positioned very much as an observer of the OD practitioner. Over the duration of the events, the position of participant became more apparent, as the researcher would assist the OD practitioner with setting up exercises, handing out materials, putting up flipcharts and so on. For example, within CS1's event, participation took the form of arranging the furniture during breaks and sticking up flipchart paper. For CS2 it involved distributing paper and pens for small group work. Within CS3's conference format, participation took the form of helping set up the rooms, distribute handouts, and fetching drinks for speakers. This flow of participation and observation ensured that the data collection remained as unobtrusive as possible, not interrupting the natural flow of the events and ensuring

the presence of the observer was not a distraction or source of anxiety for the events' participants.

Prior to the events, each OD practitioner had informed their event's commissioner of the presence of the researcher. Participant observation required the construction of a 'working identity' to be presented to both the OD practitioner and the event participants (Hammersley and Atkinson 2007). Within the events for CS1 and CS2 the researcher was introduced to the participants by the OD practitioner. She was introduced at different times to event participants in the roles of 'part-time PhD student', 'assistant to the OD practitioner', 'NHS mental health worker', 'NHS manager' and 'clinical psychologist'. For the OD practitioners, the role of 'research student' and 'assistant' were dominant role identifiers, as means of marking the difference between the previous professional connections that existed between the researcher and OD practitioners and the current role. It was highlighted to event participants that the researcher's focus of attention was on the OD practitioner and his or her work. Event participants were invited to ask any questions of the researcher regarding the research during the breaks. Within the event for CS3, the researcher was introduced in the same way but to the conference speakers. The researcher had been introduced to the rest of the conference organising team prior to the event.

When not involved with any specific tasks, the researcher sat to one side of the room making notes on the actions of the OD practitioner (or in the case of CS3,

the practitioner and guest speakers) and the reactions of the event participants. The researcher and OD practitioner had agreed on the means by which notes would be taken; that is, the researcher would take notes in situ at moments during the proceedings when she was not directly involved in helping with the tasks of the event. Event participants (in CS3, guest speakers) were informed that the researcher would be making notes about the actions of the OD practitioner (and for CS3 the guest speakers in terms of the design and delivery of their interventions as commissioned by practitioner CS3). Contemporaneous 'jottings' were taken by hand in situ. A digipen was used for digital capture and downloading to the researcher's personal laptop for transcribing. The 'jottings' comprised descriptive observations (Robson 1993), which were then coded and analysed after the event. Observations were made in accordance with Reeves et al's (2008) identified elements, including direct quotations of the OD practitioner, descriptions of the practitioner's actions, descriptions of the exercises used, and the make-up of the group of participants. Researcher's reflections were captured in brackets within the field-notes. The selection of actions and interactions to capture in the field-notes was informed by the hypothesised CMO configurations developed through the OD literature and pre-interviews, as well as the researcher's experience as a clinical psychologist. The latter provided experience and skill in identifying verbal and non-verbal interactions and actions and the subtle nuances implicit in them. The disadvantage of such experience lay in the risk of over-familiarity with ideational models blinding the researcher to their potential limitations. Safeguards were put

in place in the form of using a descriptive approach to field-notes, leaving coding and analysis as post-event tasks.

#### *3.6.5.3 Stage 3: Post-interviews*

Post-event interviews were designed to thicken the CMO configurations refined within the OD events (theory in action). The CMO configurations to be tested were based on ideational and NDIT theories of change. The topic list included analysis of the workings and outcomes of specific actions taken by each practitioner within their event. The actions to be discussed were selected by the interviewer as reflecting aspects of key CMO configurations and thus the interview maintained its realist strategy of presenting the interviewer's theories to elicit responses from the interviewees.

Prior to the post-interview, interviewees were sent the information sheet, the topic areas for the interview and a clean transcript of the observations taken during the event. This enabled them to gather their thoughts prior to the actual interview.

### **3.7 Data analysis**

The data analysis strategy aimed to develop and refine context-mechanism-outcome configurations related to each research question from two perspectives; ideational and neo-Durkheimian institutional theory (NDIT). Differences between the cases will be evident through the coding and construction of CMO

configurations of change, thus highlighting the implicit differences between supposedly similar cases.

The coding systems reflected what form OD practice would take within an ideational theoretical framework, context, mechanism and outcome codes derived from OD's ideational theory of change. Also, what form practice would take if it were located within different NDIT cultural forms, within the domains of strengthening or weakening the pre-existing cultural forms and settlements.

### *3.7.1 Coding*

Coding facilitates the reduction of data into meaningful units. Patterns become evident within and between units (Kawulich 2008). Codes, according to Merriam (1998), need to be exhaustive, mutually exclusive, sensitive to category content and conceptually congruent. Thus, for the purposes of this research, coding systems need to facilitate the recognition of units of data as constituting elements of the context, mechanisms or outcomes components of ideational change and elements of context, mechanism and outcome components within each of the four NDIT cultural forms. Theory-driven deductive coding schemes, in contrast to inductive coding, comprise indicators of the theory in evidence. Coding schemes within realist evaluation require coding of context, mechanisms and outcomes as configurations – working across data tables rather than vertically within one category to build explanations (Pawson and Manzano-Santaella 2012). Such

coding schemes are then applied through open and axial coding – identifying concepts and then linking them into CMO configurations (Kawulich 2008).

Three sets of codes were required for identifying the presence of context, mechanisms and outcomes. Contexts were identified through characteristics of form of event (for example, single-team, loose network, large organisation), event participants, commissioners and practitioners. Within these can be articulated the relationship between the OD practitioner and the event participants. In addition, context codes included the practitioners' own context through their route into OD and the ideas on which they drew. These are described in both ideational and NDIT terms. The former related particularly to relationship and psychological safety with the latter relating to social regulation (grid) and social integration (group). Other aspects of context relate to participants' readiness for change, which shifts throughout events, with the outcomes of one stage of the event acting as the context for the next, thus evidencing the concatenation of mechanisms. Such contextual factors can be made explicit or kept implicit in a piece of OD practice. The latter seems the most common situation in OD literature.

Mechanisms applied within this research were derived from ideational theories of change, as articulated in chapter two, and from the cultural forms developed within NDIT articulated in chapter five. Ideational mechanisms fell within four categories; relationship, commitment to change, sense-making and behaviour change with sub-categories for each. They triggered the release of old ideas and adoption of

new ones, the opening of participants' minds, dissuasion or persuasion of participants of the need for change and so on. The four NDIT cultural forms were coded within a framework articulating the persuasion and justification in protecting each form (rhetorical components of each form; ethos, atmosphere, focus, logos and environment), the mechanisms for selecting and accepting information (control, authority, management and information-selection), effective sense-making (structures and problem-solving methods), information rejection (recognition and response to anomalies), openness to transformational change (surprises) and openness to transactional change (OD problem-solving, focus and facilitation style). Again, these acted as means of triggering changes in sense-making and behaviour.

Outcome codes related to the practitioners' perceived purpose of their events (for example, consensus-building, team-building and consciousness-raising) and their criteria for success. In addition, micro-outcomes were present from each stage of the events in terms of participants' readiness and commitment to change; for example, increased psychological safety, shifts in participants' behaviour and increased confidence. The outcomes were coded from both ideational and NDIT perspectives. Ideational outcomes related to shifts in relationship, commitment to change, sense-making and behaviour change as evidenced in observation data and post-interviews whilst NDIT outcome coding related to strengthening or weakening of the cultural form and openness to transactional or transformational change.

### *3.7.2 Data analysis strategy*

Provisional context-mechanism-outcome configurations were developed from the theoretical literature in chapter two (ideational theories) and chapter five (NDIT theories). Hypothesised CMOC tables (Pawson and Tilley 2004) were used to represent these preliminary theories. These were then used to analyse the underlying change theories of practitioners' theory-in-mind and theory-in-action. Ideational theories were used to address research question two ('how do OD practitioners apply the ideational model of change in their practice?') and NDIT theories to address research question four ('what would OD practice look like within this alternative framework?'). Open coding proceeded through close reading of the transcripts of the interviews and observation field-notes. CMO tables and flowcharts were then used to represent the theories of change underlying the three cases of OD interventions in relation to each research question. The three sets of CMOCs were then compared, providing a cross-case comparison, which could thicken or refine the theories of change underlying OD interventions. The product of such analysis can be summarised by using Tilley and Laycock's (2007, p19) formulation;

‘Same problem. Same tactic. Different context. Different mechanism.  
Different outcome.’

Analysis will be seen to highlight the means by which ambivalent outcomes have been achieved within the OD research literature; the influence of context on the triggering or disabling of different mechanisms producing different outcomes.

### **3.8 Ethical issues**

Ethical issues underpin all aspects of the design and conduct of a qualitative research project. Such issues can be seen as relating to the power relationship between researcher and participant and its influence at all stages of the project.

Ethical aspects of this project will be addressed through issues of consent, anonymity and confidentiality and demands made of research participants.

#### *3.8.1 Consent*

According to Sieber (1992) informed consent is

'more than a consent statement. It means communicating respectfully and openly throughout the project including debriefing and consideration about dissemination'.

Thus, informed consent is a process of relating between the researcher and research participant. It takes different forms at different stages of the research involving the provision of information and participation in decision-making.

Information provision in the initial stages of the research project aims to enable the participant to make an informed decision about their involvement, to ensure that potential participants are fully aware of the nature of the research and the role they

may play within it (Oliver 2014). This includes details of the purpose of the research, the contribution required of the participant, the protection of the research data, the outcomes of the research, their format and plans for dissemination. For the OD practitioners approached for this study, initial consent was addressed through the provision of written information about the study and its rationale and a series of conversations about the role of the participant within the research. Issues addressed in conversation were the time and effort involved both during the actual data-collection episodes and contact with the researcher outside of these scheduled times, the format of data collection and the implications of these formats for the participants, the ownership of the study in terms of the researcher and the university systems within which she was located, the protection of the data in terms of security and sensitivity especially relating to anonymity of participants and the organisations with which they were working, the participants' influence over the data produced, and any benefits for the participants that could derive from their participation (cf Miles and Huberman 1994).

As the research proceeded, the participants were reminded of their ability to influence the process of data-collection. That is, influence through their willingness for the interviews to be recorded and their ability to stop the recording at any time. In addition, participants were given transcripts of the interviews for them to highlight any factual inaccuracies. They were also given copies of clean field-notes.

The researcher negotiated with participants the role they required of her during the OD events. The two priorities of data collection and the delivery of an effective OD intervention were negotiated in such a way that participants were reassured that the involvement of the researcher would not be intrusive but, rather, potentially helpful. Participants were also able to decide the form of contact with the researcher during breaks within the events and immediately afterwards. All participants requested feedback from the researcher about their work, regarding the conversations as opportunities to reflect on the proceedings of the event and on their work in general. Two participants referred to the process as being similar to one of clinical supervision, something that they did not have within their practice and valued.

### *3.8.2 Anonymity and confidentiality*

Anonymity requires the research to be conducted and reported in such a way that participants and, in this case, organisations, cannot be identified. Confidentiality refers to the range of people who will be able to access the research data in raw form. Both of these issues can influence the likelihood of the research data being attributable to particular participants (Oliver 2014). These issues require more than name changes but also changing geographical references and implicit descriptions of organisational structures (for example, names of different forms of service provider being made generic).

All data were analysed by the researcher during the transcription of interviews and cleaning up of observation field-notes. The participants were able to see the anonymisation of their interview and observation data when asked to assess its factual accuracy. Anonymising the data at this stage of the research also ensured that confidentiality was maintained; that is the researcher was the only stakeholder to be aware of the identity of the participants and the organisations into which they intervened as OD practitioners.

### *3.8.3 Interviews*

In attempting to reduce the demand of interviews on the participants, interviews were scheduled and located in such a way as to reduce any inconvenience. Confidentiality was held in mind through the selection of the location within the venue and the time of day. The familiarity of the venues to the participants contributed to them feeling at ease within the interview. A conversational style was adopted furthering the ease of the participants, taking the form of two colleagues sharing their ideas about their work, with respective areas of expertise.

### *3.8.4 Observations*

Within the observation element of the research, not only was consideration given to the impact on the research participants but also on the individuals participating in the OD event. The researcher and research participants collaborated on the most effective means of informing the event commissioners and participants in such a way as to ensure the quality of the event was not compromised in any way,

that the position of the event participants was respected and that the quality of data collection was safeguarded. It was stressed that the focus of the research and data collection was on the actions of the OD practitioner. Assurances regarding confidentiality and anonymity were given to key organisational stakeholders.

### **3.9 Quality issues**

The quality of this research can be determined in two domains; its fidelity with the requirements of realist evaluation studies and its rigour in terms of its use of qualitative methods.

#### *3.9.1 Fidelity with realist evaluation design*

Quality issues within realist evaluation fall within two spheres; the cumulation of knowledge or generalisation and the fidelity of the research design.

A progressive realist research programme would facilitate cumulative understanding of more fully articulated models of causality or middle range theories (Pawson and Tilley 1994, 2004, Pedersen and Rieper 2008). That is, its contribution to the cumulation of knowledge lies between universal theories (abstract configurations) and the specifics of a particular programme (focused configurations) (Pawson and Tilley 1997, 2004), in the development of ‘families’ of CMO configurations (Pedersen and Rieper 2008). Cumulation and generalisation of knowledge takes the form of the development of ideas rather than proclaiming the typicality of a case –

'what are transferable between cases aren't lumps of data but sets of ideas' (Pawson and Tilley 1997, p120).

Thus, within an area of inquiry, each evaluation acts as a case study and contributes to the focussing of the CMO configurations and middle-range theory in the research domain. This comprises what Pawson and Tilley (1997) call the 'abstraction/specification cycle' (p126).

Although realist evaluation is a strategy rather than a specific procedure, there are common elements which would be required to be able to recognise an evaluation as realist. Three critical areas in which fidelity can be compromised are the absence of an explanatory focus within the evaluation, not using multiple methods and not investigating contexts, mechanisms and outcomes in configuration (Pawson and Manzano-Santaella (2012). As realist evaluation is theory-driven, it should start with the articulation of the theory upon which programmes or interventions are founded. Analysis of outcomes alone is not explanatory. Multi-method design addresses the issue of clear articulation of contexts, mechanisms and outcomes within a realist evaluation. Clarity can be attained through the use of different methods for different elements, for example qualitative methods to explicate mechanisms and quantitative methods to evidence outcomes. Pawson and Manzano-Santaella's (2012) third criterion is that of CMO configurations or – if-then' theories;

*'If the right processes operate in the right conditions, then the programme will prevail.'* (p184).

These areas are supplemented by Coryn et al (2011) in their criteria for recognising an evaluation as a theory-driven evaluation. For Coryn et al (2011), these criteria are using theory to develop a formulation, using the theory to guide the planning, design and execution of the evaluation, using theory to develop core constructs and focusing on causal explanation. Marchal et al (2012), in their review of 18 research papers applying realist evaluation principles, highlight the wide diversity evident in their application in health systems research. Less than half of the papers they reviewed went through all of the steps in Pawson and Tilley's (1997) realist evaluation cycle. Most of the papers did not refer to the realist foundations of realist evaluation but did refer to a middle range theory. Some of the papers used CMOCs as descriptions of the intervention and context rather than analysing their links. The definition of mechanism varied, as did the differentiation between mechanism and context. In conclusion, Marchal et al (2012) acknowledged the position of realist evaluation as a general strategy and called for

‘more clarity ...concerning the definitions of mechanisms and context and how the configuration of context, mechanism and intervention can be described and assessed.’ (p208).

This study has demonstrated its fidelity to these criteria for realist evaluation. The use of the case study data to articulate the espoused and applied theories of change within OD practice contributes to the identification of ideational change theory as the middle range theory of change drawn upon by the field of OD. In

addition, the application of an NDIT data analysis framework enables an alternative theory of change to be considered as a source of a more robust middle range theory for the explanation of the production of the outcomes of OD interventions.

Evident in the design of this research are the essential elements of realist evaluation studies. The design is theory-driven and articulates the presence of context-mechanism-outcome configurations in terms of both ideational and NDIT theories of change. Multiple methods are used for data-collection to uncover the presence of these configurations. The ideational theory of change is shared with participants within the pre-interviews and the researcher's theory of change is shared in addressing specific aspects of the practitioners' work in the post-interviews.

### *3.9.2 The quality requirements for qualitative research*

The validity and reliability of qualitative research relates to the credibility of the answers to key questions about the research design; does the study investigate what it means to?, how broadly can the results be applied?, how can bias be avoided? And what degree of certainty can there be in the results? (Kirk and Miller 1986). Many authors have developed different frameworks for assessing the reliability and validity of qualitative research (eg Lincoln and Guba 1985, Campbell 1988, Mishler 1990, Miles and Huberman 1994, Denzin and Lincoln 2005).

Maxwell (2012) attributes the quality of research to both the trustworthiness of the methods deployed and the credibility of the conclusions drawn by the researcher. The former contribute to the latter through the evidence available for the emergence of findings from the research process. However, the credibility of conclusions is also derived from the management of sources of bias within the study and the transparency of the sense-making applied by the researcher to the data. Thus, the means for establishing the credibility of a study include the selection, design and use of the most appropriate methods for collecting and analysing the data, the skill of the researcher in using those methods, the means for verifying data derived from different sources, the clear definition of the concepts used within the study and the means for identifying and addressing potential bias in interpretation (Lincoln and Guba 1985, Robson 2001, Shenton 2004).

The rationale for the selection of the data collection tools, semi-structured interviews and ethnographic participant observations, has been described above. Within case-study designs involving participant observation, credibility is increased through prolonged involvement with the case (OD practitioner) and sufficient periods of observation (observing the whole of each OD event). For the semi-structured interviews, credibility was apparent through the items' relationship with context, mechanisms and outcomes within the realist evaluation framework.

The researcher's skill in using these methods derives from her 25 years of clinical experience in interviewing and observing people in clinical settings. The parallels

between qualitative research interviews and those conducted in therapy settings have been recognised (Hart and Crawford-Wright 1999). The effective use of interviewing within clinical psychology is founded on the ability to establish a safe context for an interview, to put people at ease, to establish rapport and to develop a quality of relationship that promotes self-disclosure on the part of the interviewee; in essence, the ability to facilitate people to talk freely and honestly. Clinical interviewing also requires the skills to address the same issue in different ways to reduce the chance of misinterpreting responses and to clarify any ambiguities. The clinical use of interviews also requires a level of self-awareness from the interviewer, to ensure that the interviewer is clear about his or her preconceptions brought into the interview and the effect of the interviewer's behaviour on the interviewee. The use of reflection within the practice of clinical psychology also acts as a means of protecting against bias; that is, the interviewer is able to conduct an internal dialogue to challenge her use of particular phrases and particular interpretations of the interviewee's responses.

The researcher's experience of being a recipient of NHS OD events facilitated the understanding of the contexts for the three case-studies presented here. The researcher's clinical practice also involves the effective use of participant observation, both in terms of directly assessing clients in their 'natural' clinical settings and in the evaluation and development of the effective functioning of service settings (Hickman and Crawford-Docherty 2010). Thus the researcher has

robust experience of the collection and analysis of observational data, including the ability to identify potential interpretational biases.

The means for verifying the data took the form of 'checks' by the research participants of the accuracy of the data. Participants provided 'checks' for the accuracy of the data both within and after data collection. For the interviews, the understanding of the researcher was checked out during the process of the interviews, as appropriate, through summarising and reflecting. After data collection, participants checked the accuracy of the data through receiving and commenting on transcripts of interviews and the observation data.

Concepts critical to the study were 'OD', 'OD practitioner', OD intervention' as well as the codes for ideational and NDIT mechanisms and outcomes. As discussed above, these were all derived from the theoretical literature for ideational theory of change, OD theory and practice and NDIT. Their development can be seen within the literature in chapters two and five.

The management of bias within the study is addressed in three ways. First, the use of the self-awareness and reflexivity skills of the researcher. The researcher's skills in this area are discussed above. Secondly, the range of participants, settings and events comprising the case studies. The three case studies examine different forms of OD events in different settings, although all being examples of OD human process interventions. Case study one's event lasted two days and was located in

an NHS training centre owned by the NHS Trust. The participants were known to each other as members of the same specialist mental health team. The OD practitioner was commissioned by the team manager and worked externally to the organisation. The second case study comprised an event of half a day, in a regional venue with participants from a range of NHS organisations so not necessarily knowing each other. The OD practitioner was commissioned by regional NHS managers, external to the participants' organisations. Case study three's event lasted five hours and was held at a venue external to the organisation and its members. Participants were from the same organisation but worked in different parts of it. The OD practitioner was employed by the organisation and had been commissioned to organise and deliver the event by the Chief Executive Officer. Thirdly, bias was reduced through presenting the case studies in such a way as to evidence the emergence of the findings from the data. As Hammersley and Atkinson (1983 p191) state

‘data in themselves cannot be valid or invalid; what is at issue are the inferences drawn from them.’

The transparency of the data analysis is evidenced by the provision of the transcripts and observations provided in appendix 1-3, together with the data tables provided in appendix 4-9. The tables represent the coding of data points from the interviews and observations.

Thus, the quality of this study as both a piece of qualitative research and a realist evaluation is clearly demonstrated.

### **3.10 Summary**

As has been illustrated above, this research study can be located within a realist philosophy of science, founded upon realist conceptualisations of causation. It has been designed as a realist evaluation of the workings of OD interventions and thus is theory-driven in its processes of design, data collection and analysis. It has been designed in accordance with the fidelity criteria promoted by Pawson and Mansano-Santaella (2012) and has attempted to address the weaknesses evidenced in previous realist evaluation studies identified by Coryn et al (2011) and Marchal et al (2012). It has adopted a case-based design facilitating the realist evaluation explanatory focus on contexts, mechanisms and outcomes and their configurations. This has been approached through two theoretical lenses; ideational and NDIT. Cases comprise the theory-in-mind and theory-in-action of three OD practitioners delivering OD interventions in the NHS. The research questions addressed are the workings of OD interventions through an ideational theoretical framework and how a different theoretical framework (NDIT) strengthens the understanding of OD interventions.

The next chapter will now apply the realist evaluation framework, founded on the ideational theory of change, to three cases of OD.

## CHAPTER 4: HOW DO OD PRACTITIONERS APPLY THE IDEATIONAL THEORY OF CHANGE IN THEIR PRACTICE?

### 4.1. Introduction

As articulated in chapter two, OD practice aims to improve the functioning of an organisation through changing the behaviours of its members. In ideational terms, it strives to persuade members to see the problematic issues in a different way, to adopt new perspectives on those behaviours and to behave in accordance with them. Different ways of seeing are attained through a strong relationship, a conducive atmosphere, a commitment to change and new sense-making. This different way of seeing constitutes a context for adopting the new perspectives and behaving in accordance with them, thus producing a new behavioural repertoire for organisational members (outcome). The skeleton of a context-mechanism-outcome configuration can therefore be derived from the middle range ideational theory of change. This ‘thickened’ set of CMO configurations will be presented below.

### 4.2 Ideational Context-Mechanism-Outcome configurations

As described in the preceding chapter, a realist evaluation framework will be adopted to identify the means by which OD works through such CMO configurations, and, further, to refine and thicken them. The empirical work, therefore, follows the steps of a realist evaluation; clarifying the CMO configurations elicited from the OD and ideational theoretical literature, fine-tuning

these preliminary CMO configurations through the data provided in each practitioner's pre- and post-interviews and using those configurations to analyse their OD practice, as evidenced through the OD events.

CONTEXT	MECHANISMS	OUTCOME
Unknown relationship between practitioner and participants	Communicate core conditions (trust, unconditional positive regard (UPR), respect and openness) Develop positive atmosphere Support participants Collaborate with participants Place responsibility for change with participants Develop participants' sense of ownership Reduce participants' dependency on practitioner Address human reactions Elicit hope Elicit commitment Build relationship	Stronger relationship between practitioner and participants Conducive atmosphere established

Table 4: Ideational Context-Mechanism-Outcome configurations (CMOCs): Relationship and conducive atmosphere

The outcomes of a stronger relationship between practitioner and participants and a conducive atmosphere act as the context for the next CMO configuration (table 5):

CONTEXT	MECHANISMS	OUTCOME
Stronger relationship between participants and practitioner  Conducive atmosphere  Unknown level of participants' motivation to change	Elicit motivation	Commitment to change process
	Challenge participants re need for change and practitioner	
	Develop expectation for improvement in participants	
	Develop belief that participants can make change	
	Manage resistance to change	
	Challenge participants' resistance	

Table 5: Ideational Context-Mechanism-Outcome configurations (CMOCs): Commitment to change

Within the new context of commitment to change and the ongoing presence of a relationship between the practitioner and participants within a conducive atmosphere, the next CMO focuses on shifting sense-making (table 6):

CONTEXT	MECHANISMS	OUTCOME
Commitment to change process	Raising awareness	New sense-making
	Introducing new knowledge	
	Making new sense	

Table 6: Ideational Context-Mechanism-Outcome configurations (CMOCs): New sense-making

Within the ideational paradigm, shifts in sense-making lead to shifts in behaviour (table 7):

CONTEXT	MECHANISMS	OUTCOME
New sense-making established	Giving feedback on behaviour Setting new goals Teach new skills Elicit desired behaviours Positively reinforce new desired behaviours Negatively reinforce undesired behaviours	New behaviours

Table 7: Ideational Context-Mechanism-Outcome configurations (CMOCs): New behaviour

In accordance with the realist evaluation methodology, the theory-in-mind of the OD practitioners was examined for evidence congruent with the above context-mechanism-outcome configurations. Although the pre-interviews were designed to elicit data relating to distal contexts, mechanisms and generic outcomes through distinct questions, practitioners addressed and interwove all aspects of the context-mechanism-outcome configurations throughout the interviews.

#### **4.3 Theory-in-mind: pre-interview analysis**

The full transcript of each practitioners' interview and tabulated data on the presence of the different mechanisms and outcomes within the interviews can be found in Appendices 1-6. Illustrative extracts and analyses from each practitioners' interview now follow, highlighting the refinement of the ideational CMO configurations.

#### 4.3.1 Case study 1 (CS1)

*What is the purpose of OD interventions?*

CS1 described the purpose of OD interventions as producing the outcomes identified in the OD literature – establishing relationship, eliciting motivation and commitment to change, producing new sense-making and changing behaviour.

His identification of relationship and sense-making is evident here;

'trying to embed change within an area, trying to facilitate a group of people to actually look at getting a real clarity on the current position of an issue that needs to be developed or moved ... trying to provide a good engagement, the right environment, so people can be honest' (p1).

He continued and elaborated the specific mechanisms of change producing such outcomes:

'Part of it is around people feeling comfortable to do that and then being able to have the dialogue around what is the real current reality and ... actually allowing people to try to use narrative explanations; words, sentences, phrases that make sense for them around what's the current position, so ... the situation is actually owned by them and they've got an awareness of it.' (p1-2)

CS1 provides evidence of his commitment to the mechanisms of establishing ownership, addressing human reactions and collaboration that produce the outcome of an effective relationship, as well as the mechanism of raising awareness in producing the outcome of new sense-making. Thus, CS1's articulation of the outcomes and mechanisms of his practice are congruent with those derived from the ideational literature of change.

CS1 continues and addresses the production of new behaviour;

'...within any change process, there's a balance between, one, recognising the issues to be developed and .. also moved to celebrate the stuff that's going well ... because for me it's around encouraging change and development' (p2)

He interweaves mechanisms of challenging regarding the need for change (outcome of commitment to change) and positive reinforcement (outcome of producing behaviour change), in this case, positively reinforcing the team's explicit recognition of their effectiveness.

CS1 also blends the outcomes of relationship, commitment to change and new behaviours;

'...it's really important that the role is a support and facilitative one, that whatever is developed ... is that there's an ownership, that the plan is developed by individuals and a plan that makes sense to them. And also, I think, within that it's important that people visualise a desired future as well, they've got direction of travel, they see where they want to get to.' (p2)

Thus, he suggests these outcomes are produced by the triggering of mechanisms of support and ownership for establishing a strong relationship, and eliciting motivation as means of producing commitment to the change process and setting goals for behaviour change.

The four mechanism-outcome configurations of the ideational paradigm of change are brought together by CS1;

'having the protected time to say 'this is important' but also being able to encourage, for people to actually recognise what's gone well, what they have done and then to be clear about the next steps.' (p2)

That is, producing the outcome of strong relationship and conducive atmosphere through the mechanism of developing a positive atmosphere ('protected time'), eliciting commitment to change through building participants' belief that they can make change ('what they have done'), sense-making in terms of raising awareness ('recognise what's gone well') and behaviour change through goal-setting ('next steps').

*How do the OD interventions produce change?*

CS1 struggles to explain the means by which change is produced from within the ideational paradigm;

'I think it's a combination of the planets aligning, really. You know, I've done development days where there's been little change or there's maybe been resistance but there are obviously external factors sometimes; sometimes the timing's not right, sometimes the group of people in the room don't really want to be there, sometimes they're actually, you know, ... Where I think success has actually happened is, I think, where, maybe the timing is right, where people feel, 'yeah we need to do something'. (p3)

So CS1 draws on mechanisms that produce motivation as critical to producing change but argues that lack of requisite motivation is not his responsibility. He attributes the failure of mechanisms to produce this required motivation on external and serendipitous factors, but cannot produce an ideational explanation for the failure to produce desired change. In his struggle to provide an adequate

explanation for such difficulties, CS1 draws on an astrological metaphor illustrating the mysterious means by which change is and is not triggered. This reflects the position within the theoretical literature, explored in chapter two, of an absence of an alternative theory of change from which such ideational shortcomings can be explained. Practitioners drawing on the ideational theory of change struggle to find congruent explanations for its failure to deliver on its promises.

*What constitutes a successful intervention?*

For CS1, success for an OD intervention is firmly focused on producing a strong relationship, with the outcomes of generating new sense-making and behaviour change playing a subsidiary role;

'I think [success]'s measured in engagement, as well as product, to be honest. And, for me as well, around people feeling part of it I think is probably the biggest success. It might be that outcomes come out of it along the journey, at different stages, but I think, to get people engaged in I think is one of the biggest success' (p4)

Within an OD intervention, CS1 articulates indicators of success at different stages of his work. He refers to all of the outcomes identified in the ideational literature, relationship, commitment to change, new sense-making and behaviour change. As CS1 articulates his perspective on outcomes, he also describes associated mechanisms (develop positive atmosphere, elicit motivation, raising awareness, goal-setting):

'I think the first bit of success is actually engaging with the group of people right at the beginning.... I think people actually, getting together on the day and actually saying 'OK we're going to give it a go'..... [A]llowing people to

have their current reality, desired future, what helps and hinders, discussion, dialogue,..... and then actually go through to 'OK what needs to happen?', developing an action plan together ....' (p4)

*A description of the practitioner's approach*

CS1 describes his standard approach as comprising two days of work with teams.

The days can be seen to follow the development of different elements of ideational CMO configurations;

'the first day very much is .... around setting the scene, developing an environment where people feel empowered, comfortable, being able to be honest, being able to challenge with kindness....'(p5)

This element has a clear focus on the outcomes of producing strong relationships and a conducive atmosphere through the mechanisms of developing a positive atmosphere and communicating core conditions and the outcome of commitment to change through challenging resistance. CS1 then moves onto the triggering of mechanisms of raising awareness, making new sense and introducing new knowledge in producing new sense-making;

'So we .... guide people to, one, explore their own sense of where they are in the team,..... and then for the group itself to start to look at valuing the differences within the group so almost doing ... a skills and attributes mapping, and then looking at OK are we making best use of the people that we've got in the group' (p5-6)

Finally, CS1 moves on to addressing the outcome of new behaviour through mechanisms of setting goals and teaching new skills;

‘And then when we do the second day we develop an action plan; we look at, OK, who are the ones who are going to drive it, how are we going to get the masses to move forward, if we want to do things differently who are the ones who can think out of the box.’ (p6)

### *Summary*

Thus, within CS1’s theory-in-mind, there is extensive evidence to support the CMO configurations derived from the ideational paradigm. There is no evidence for CMO configurations beyond the ideational paradigm and, where limitations are apparent, alternative explanations are not provided by CS1. CS1’s theory-in-mind does not introduce any ideational mechanisms further to those identified in the psychological and OD literature.

CS1 regards the most critical outcome of OD interventions as establishing a strong relationship and conducive atmosphere, with these outcomes acting, in turn, as the context for producing commitment to change. His work on producing a strong relationship and, through this, commitment to change, starts prior to the event, with CS1’s pre-event engagement actually involving its identified participants. This commitment, in turn, acts as the context within which new sense-making and behaviours are produced. These latter outcomes are regarded as naturally occurring; that is, they are produced by participants with minimal, if any, input by the practitioner, subsequent to the actual OD event.

#### **4.3.2 Case study 2 (CS2)**

In contrast to CS1's pre-interview, CS2 provided succinct answers to the questions with minimal interweaving of mechanisms and outcomes in addressing the workings of OD interventions.

##### *What is the purpose of OD interventions?*

CS2 describes, succinctly, the purpose of OD interventions as the development of the organisation in such a way as to help it be  
'better able to do what's required of it.' (p1).

Thus the focus is on improved organisational performance in terms of organisational members developing new behaviours.

##### *How do the interventions produce change?*

Again, CS2 addresses this question very succinctly;

'Changes the way people think and to get them to apply that thinking to what they do ... there's no point in thinking with no action, action without thinking. You want the two together.' (p6)

CS2 therefore sees new sense-making as a prerequisite for developing new behaviour. He sees new sense-making and new behaviours as interwoven outcomes of OD interventions.

In unpacking his concept of ‘thinking’, or producing new sense-making, CS2 draws on the mechanisms of making new sense, introducing new knowledge and raising awareness;

‘I help people think. I give them or help them find ways of thinking. For some people it’s very analytical, most use analogies or stories. Most are NOT abstract thinkers. No-one is purely abstract so I find analogies they can use as vocabulary and also apply them to the situation.... I find them through listening, what do people talk about. People come up with their own analogies.’ (p6)

Behaviour change is addressed through CS2’s ‘call to action’, the mechanism that directly elicits the desired behaviour;

I use a ‘call to action’ statement. For example; ‘what are you going to do now, that is a demonstration of what we’ve just talked about?’. (p6)

However, CS2 struggles to articulate the means of integrating these two aspects of the work and their inter-relationship, drawing on a computing metaphor to attempt to provide a clearer explanation;

‘It’s not easy to put into words – it’s NOT because it’s intuitive because that seems too unconscious, but it actually seems very eclectic and variable.... To use a computer programming analogy, it is not sequential programming or a process, it’s more like an object-oriented programme..’ (p7)

CS2 also articulates obstacles to change through the quality of the atmosphere of an intervention. He problematises the presence of emotion in the ability to produce change and thus works with a concept of the outcome of ‘conducive atmosphere’ as one that is functional and rational; for CS2, therefore, a key mechanism is the

triggering of a ‘positive atmosphere’ in the form of absence of emotion and presence of rationality;

‘Everyone’s first reaction to a situation is emotional. If emotions continue then the work is not going to be enduring because the situation changes. If you move on to something more rational you can get something more sustainable. If it’s built on an emotional response, it won’t sustain.’ (p8)

He also problematises OD’s central focus on people skills as a means of forming relationship. Rather he triggers trust, an essential element of relationship, through working with the systems of the organisation, such that the systems provide assurance to the organisation’s members. So, for CS2, relationship with the system is critical for the process of change.

‘Touchy-feely’ doesn’t get beyond the emotional stage. Where I’m not comfortable as an individual is in some of the people skills in terms of the ‘touchy-feely’ skills ... I don’t feel any motivation to develop those skills. The systems part of the process is more enduring. They work together to build personal trust. So if you set up systems to have assurance in the system, you have systems-based trust.’ (p8)

CS2 attempts to articulate the importance of structure in producing organisational change. He struggles to explain the means by which structure supports change from within the ideational paradigm, thus highlighting one of its previously identified shortcomings and an omission in ideationally-based CMO configurations;

‘To have no structure to achieve outcomes is wrong. People can feel comfortable with something structure-less in the very short term because they are easy situations (no structure, nothing to challenge, nothing to do something with) but there’s still a requirement to provide a service or outcome. It becomes more stressful to provide outcomes with no structures. (p6-7)

Thus, within CS2's theory-in-mind regarding organisational change, the shortcomings of the ideational theory become evident. Although CS2 recognises the importance of the contribution of structure in producing change, CS2 is not able to access other paradigms to explain this, but draws on further metaphors (computing, jumbo jet) to restate his perspective.

*What constitutes a successful intervention?*

For CS2, a successful outcome comprises the meeting of goals;

'Success from my point of view is when I've achieved what I want to achieve and, from the client's view, when they've achieved what they wanted to achieve.' (p7)

Implicit in his perspective is the setting of clear objectives for an intervention, a mechanism for producing new behaviours. He recognises the advantage of some congruence between the respective objectives, but does not elaborate on the process of establishing common goals;

'...Collaboration is important because it works well when both are the same.' (p7)

*A description of the practitioner's approach*

In describing his approach, CS2 articulates three phases; motivation, action and evaluating. CS2's motivation phase incorporates the mechanisms of challenge and setting goals;

'First I ask questions that, potentially, the client can see as discouraging. I usually ask three questions; what observable change do you want to see in 3/6/12 months time?, why do you need me to do it – why can't you do this yourself? And what are the external expectations, pressures or requirements on what it is that needs to be changed?' (p5)

CS2 uses the mechanism of setting goals as a means of producing commitment to change. The use of goal-setting constitutes an addition to the identified mechanisms for producing this outcome.

Producing commitment to change is addressed within a context of a strong relationship with clients. This is approached through working directly or collaborating with them. In ideational terms such direct contact ensures the potency of relationship;

'To work directly with the client or clients – working with an intermediary is inefficient and it does put the quality of the project and the outcomes at risk in my experience.' (p1)

His perspective on the quality of relationship differs from the humanistic foundation apparent in much OD theory, with its basis on recognition for the practitioner's control of the process being explicit;

'...to keep a steer on the project and keep some accountability...' (p2)

CS2 highlights the power and control he brings to the process as the facilitator, a mechanism for change not evident in the OD literature. CS2's emphasis on the power in relationship is further stressed in his articulation of responsibility;

'My responsibility is to think and act in a way that helps them achieve what's needed. Also, my responsibilities include explaining what I do so the communications are clear, and being accountable for both the consequences of what I do, but also the resources that I use..... Responsibility of the client is to be as open as they can about all the information that's needed and to provide the executive authority that's needed within their organisation to implement whatever changes. They've got to have somebody in charge who says 'this is what needs to be done if we're going to achieve this.' (p2).

So, for CS2, collaboration is founded on a particular facilitation style;

'Getting the permission of the client...to be directive when needed...So that's useful because it means there's a kind of permitted way of using a directive approach and I take the view that people do like to know what's expected of them – its actually less stressful.' (p3)

CS2's second phase focuses on producing new sense-making. This is approached through triggering mechanisms of raising awareness and introducing new information. He attempts to trigger awareness-raising through applying his adaptation of mindmaps;

'Mindmaps...I find that very useful when I'm listening to a client and they're explaining things that at first seem disparate and sometimes might even still seem disparate and unconnected to them, but actually you can start to make the connections, some of which ... the client wouldn't have made until presented to them. So you might call that reverse mind-mapping.' (p3)

He also draws on principles or rules as a means of triggering the mechanism of raising awareness;

'People will always remember or will always know that somebody said this is what we should be doing [the right thing] ... you should never do something that's knowingly harmful to somebody against their wishes, ...[T]his makes sense to clinicians directly through things like the Mental

Health Act and Codes of Conduct but working with an organisation it's actually no different because you're still working with people who work with people.... those kinds of principles make sense to everyone I've worked with so far.' (p4-5)

He aims to trigger the mechanism of 'introducing new knowledge' through his 'test to destruction' technique;

'The 'test to destruction' and the 'no unacceptable risks', that's always useful. You can never make anything 100% infallible, obviously, but it makes sense to, if you're proposing a service model idea, a project plan or whatever, to test it to destruction in order to find out where the risks are, ... if something fails what effect will it have on the rest of the organisational development that's being proposed or the organisation itself.' (p3)

The resulting new sense-making then acts as the context for producing new behaviour. CS2 sees this outcome being achieved through the triggering of the mechanism of 'eliciting desired behaviours' through developing and implementing risk management plans:

'.... putting risk management plans, effectively, into practice. These might be called management plans but when you do it from the point of risk assessment, your actions are risk management actions.' (p3)

CS2 describes the rationale of his third, evaluation, phase as ensuring that the established outcomes are achieved;

'The third phase ... is monitoring and understanding what you've done. It's not clearly a third phase because often it's very interwoven into the second one where you might, in very small, very frequent feedback cycles, check out what you're doing constantly. And what you're doing is looking overall at achieving the outcome.' (p6).

The mechanism of giving feedback on behaviour is used to produce the outcome of new behaviours as well as consolidating new sense-making, a further adaptation to the ideational change CMOCs derived from the literature.

### *Summary*

Thus, within CS2's theory-in-mind regarding the functioning of OD interventions, the ideational explanatory paradigm is clearly evident in terms of its core context, mechanism and outcome configurations. However, he reaches beyond the hypothesised CMO configurations through his emphasis on control and power within the relationship between practitioner and participants and his use of mechanisms of producing new behaviours as means of developing commitment to change and new sense-making. He also draws on a different concept of 'conducive atmosphere' to that implied by OD's humanistic roots, and redefines the source of humanistic core conditions such as trust, moving from a human relationship to a relationship between people and the structures within which they are located.

#### **4.3.3 Case Study 3 (CS3)**

*What is the purpose of OD interventions?*

For CS3, OD interventions aim to

'move the organisation to where it wants to be through its people' (p1).

Further,

'what ... people need to be able to deliver in the future and to realise what's going on in the system and how they impact on it.' (p1).

So, CS3 recognises the outcomes of new behaviours and new sense-making through OD interventions.

The mechanisms of raising awareness and introducing new knowledge as means of developing new sense-making are evident;

'I'm very clear that we're there to deliver what the organisation wants and then to try and influence the direction that might be a better direction than we think it is. ....[I]t's a really big thing for me, a big principle that we demonstrate how things could be different and in that way influence.' (p1)

For CS3, the organisational objectives against which she is intervening included developing systems, skills and motivation to enable staff to improve patient care and to help the workforce to make connections between their professional development and the needs of the organisation. Within these organisational objectives can be seen the outcomes of new behaviours (new skills in staff), commitment to change (a staff group motivated to improve patient care) and new sense-making (the ability to make connections between staff development and the needs of the organisation). In addition, CS3 refers to mechanisms of change relating to the outcomes of relationship and behaviour change.

The event facilitated by CS3 is a showcase of the OD work delivered thus far within the organisation. Showcasing, as a form of raising awareness and introducing new knowledge, is presented as a mechanism for eliciting commitment to change;

'[the Chief Executive] saying to me 'showcase what you're doing' shows that, because he ..... thinks we're doing a good job, it's great to show everybody.. and, also, clearly, to the organisation he's saying we're going to put the resources into having this time for OD, so there's lots of stuff in there about, it's not about showcasing what we do, it's about confirming the organisation still thinks it's the right thing to do' (p3)

### *How do the OD interventions produce change?*

The OD programme, in general, and the event, in particular, aim to produce new sense-making and commitment to the change process. The hierarchical culture of the organisation acts as a context for producing commitment to change. The symbolism inherent in the roles of the opening speakers through their hierarchical positions attenuates the mechanisms of eliciting motivation and challenging participants regarding the need for change;

'...we're a very hierarchical organisation and [Chief Executive]'s going to open this conference, Chairman and [Director of HR] are going to close it, so that tells the world, the [organisation] that, again, this is a really important thing to do. (p4)

Through its focus on leadership, the conference links into sense-making and behaviour change initiatives in progress within the organisation. Thus structural congruence acts as a contextual factor in the CMO configurations drawn upon by CS3;

'We know that leadership has had a very high profile, leadership development stuff I'm doing, and I think a lot of the people who are coming are coming because of that,...if I'd sent an email out to all our senior managers saying 'come and spend 2 days thinking about having different kinds of conversations with your team', I'd have been laughed out of the organisation.'(p4)

The conference aims to further develop change within the organisation through achieving the outcome of producing new sense-making. This will then act as a context for the mechanisms designed to produce new behaviours. The mechanisms for producing new sense-making include raising awareness;

'For me it's about them realising how they are now and the impact they're having...' (p4)

The mechanisms for producing new behaviours include setting goals and eliciting new behaviours;

'... thinking about what impact do they want to have and how there'd be a different way of doing it.' (p4)

The importance of relationship in the production of individual change is also recognised by CS3. The establishment of relationship is seen to be facilitated through the mechanism of support, with such relationships acting as a context and ongoing mechanism in producing commitment to change;

'they have coaches, mentors as and when appropriate, they have action learning sets, they have me, so they have support and it's a question of 'try it – what's the safest way you can try it?' that kind of stuff, so there's plenty of support....' (p5)

So, within the CS3 pre-interview the interweaving and concatenation of the four CMO configurations is strongly evident, within an organisational context of hierarchy as the basis for relationship.

*What constitutes a successful intervention?*

For CS3, success of the specific intervention – the conference - lies in producing new behaviours in the form of changing the way conferences are presented within her organisation. This, in turn, will be facilitated by a context of new sense-making produced by the mechanism of raising awareness;

'The event – success for me is when we see clinical conference being delivered in a different way ... something that shows me they've stopped and thought about 'do we have to keep doing it like this?' (p6)

Success is also described in the form of new behaviours (contacts with the OD team) and a commitment to change through seeking to be involved in OD activities;

'some of the big hairy goals are then around how many enquiries do we get as a result of the day, how many people then come to us and say 'oh tell me more about this leadership programme' or 'can I get involved in the work experience stuff that you're trying to do?' so how much engagement, real engagement is there in terms of people saying 'what can I do to help this along?' (p6)

Further, the production of new sense-making;

'Or for people to come back to me and say 'you know I went to this 20 minute thing on having productive conversations. It was really great'. So they spend longer thinking about that or emotional intelligence or whatever .....' (p6)

So, for CS3, outcomes take the form of changes in commitment, sense-making and behaviour within the organisation. These changes will be achieved primarily through the mechanism of raising awareness producing new sense-making and this shift in sense-making producing commitment and behaviour change.

### *A description of the practitioner's approach*

CS3 works as an internal OD practitioner. This influences the way she works and the context of her interventions. The internal or external relationship between practitioner and organisation acts as a form of context for CS3 when considering her approach.

CS3 highlights the difference such context makes for the outcome of relationship;

'I've been an internal and an external consultant.. [I]t's internally it takes longer to build the relationships, I think because the expectation [when you're external] is you're a consultant, people know you're costing them money so you come in, everything's accelerated, they want to work with you, but when you're an internal consultant it can be much more subtle, you know you'll have your direct sponsors but then everybody else there's a lot of relationship building before any contracting can start, whereas really from an external point of view you're contracting from the beginning.' (p1-2)

A strong relationship is seen to be important for both internal and external OD practice. However, the mechanisms by which such an outcome will be achieved operate differently. For example, perceived value and cost of external practitioners and a sense or absence of urgency affecting the process of contracting influence the priority given to the work by the organisation, and so its focus on relationship and commitment to change.

The risk of weaker commitment to change within the context of working as an internal practitioner is seen to be mitigated by the outcome of increased commitment on the practitioner's part;

'You can more easily lose any credibility you've got when you're working internally because people don't have to work with you because they're not, well yes they are paying you but not for a specific piece of work, so they can lose interest and, you know, so what ... And then there's the legacy, ...you're there ..., you're seeing the impact in a much more real way and its impacting on you.' (p2)

This highlights additional possible mechanisms for triggering commitment to change; that of perceived cost to the organisation of the OD intervention for the organisation's commitment and the potential loss of credibility for the internal practitioner's commitment.

CS3's focus on relationship and commitment to change is also evident in her description of the essence of her approach - her use of questions. One aspect of her 'asking questions' produces a stronger relationship between CS3 and participants through triggering the mechanisms of placing responsibility for change with the participants and reducing dependency on the practitioner;

'My approach, I guess, is one of asking questions, and not coming in as 'I'm the OD expert. I've got the answers, you need to do this, this and this.' (p8)

Questions are also used to trigger mechanisms of challenging participants' resistance to change and eliciting motivation, so producing commitment to change;

'... challenging where you need to... It's about influencing the organisation to want OD.' (p8)

The place of new sense-making is also clear through CS3's use of stories. Stories are deployed to trigger mechanisms of raising awareness and making new sense in producing the outcome of new sense-making;

'Absolutely for a long time I've had this belief that it's about changing the stories, because that's the culture isn't it, really.....[B]ut it really is about the stories that you hear, that you change, that people tell, that happen, but how often do we put them out there for people to experience.' (p12)

New sense-making is also produced through triggering the mechanism of raising awareness in the form of modelling;

'It's all about being curious, asking questions, ... but most of the time modelling, showing how things could be rather than telling.' (p8)

The impact on the organisation of the OD team failing to demonstrate the desired behaviours is an obstacle to the production of commitment to change;

'Because as soon as the organisation sees us doing something that either it doesn't want us to or that it doesn't want to be seen doing that in that way, very quickly you lose any kind of integrity that you've got. At the end of the day there's always the risk.' (p8)

Thus managing the perceptions of the wider organisation as a means of maintaining commitment to change is critical to the approach.

### *Summary*

Thus, within CS3's theory-in-mind regarding the functioning of OD interventions, the ideational explanatory paradigm is clearly evident in terms of its constituent

CMOCS. CS3 reaches beyond the hypothesised CMO configurations through her articulation of context in terms of the OD practitioner's commitment to the organisation and his or her location as internal and external to the organisation. The latter contextual issue triggers the mechanism of regarding the external practitioner as a cost to the organisation, inducing a sense of urgency and thus producing commitment to the change process. The former attenuates mechanisms of commitment to change through increasing the commitment of the practitioner, triggered, in turn, by fear of loss of credibility.

#### *4.3.4 Refinement of ideational CMO configurations*

Each of the three cases of the OD practitioners' theory-in-mind clearly draw on the ideational theory of change. They articulate explanations that reflect ideational CMO configurations; mechanisms producing the outcomes of strong relationship and conducive atmosphere acting, in turn, as the context for producing commitment to change acting, in turn, as the context for producing new sense-making acting, in turn, as the context for producing new behaviours. None of the practitioners refer to any other paradigms for explaining organisational change and the behaviour of the organisation's members.

Limitations of this explanation are evident for CS1 and CS2. The ideational explanation falls short for CS1 in his attempts to explain reasons for OD interventions failing to produce the desired change and, for CS2, as a means of articulating the contribution of systems or structures in producing organisational

change. In attempting to address these issues from within the ideational frame, they both draw on metaphors which, although helping them to express the dilemma, fail to provide adequate explanations.

Both CS2 and CS3 provide information that refine the hypothesised CMO configurations. CS2 problematises the humanistic form of the relationship outcome articulated in OD literature. The relationship outcome implied by CS2 is more authoritative and directive than that evident in the OD literature. CS2 also deploys the mechanism of 'setting goals' to produce commitment to change and the use of the mechanism of giving feedback as a means of producing new sense-making. CS3 enriches the context of the relationship-producing CMO configuration through her articulation of practitioner commitment to the organisation. The mechanism of face-saving strengthens internal practitioners' commitment to change, which, in turn, attenuates the mechanisms triggered to produce commitment in the organisation. For external practitioners, their presence acts as a mechanism for recognising the urgency of the OD intervention and thus producing commitment to change.

Research question 1 will now be addressed through the analysis of each practitioner's theory of change in action. This will be approached through an analysis of the practitioners' delivery of OD interventions in the framework of the refined CMO configurations developed above. Each case will be presented, first, by describing the intervention and its aims, secondly, by presenting an analysis of

the observations made during the events together with any clarifications provided within the post-interviews, and, finally, by developing flow diagrams of the progression of the event in terms of the workings of the ideational CMO configurations.

#### **4.4 Theory-in action: Observational analysis and post-interview triangulation**

The ethnographic field-notes for each case and their respective data-tables are to be found in appendices 1-6. Each event varied in length; two days (CS1), half a day (CS2) and five hours (CS3). The data collected for each case varied accordingly and so the reporting of the analysis of each case is of significantly different lengths.

##### **4.4.1 Case study 1 (CS1)**

###### *4.4.1.1. Description of the OD event*

This case comprised two consecutive days of structured interventions aiming to promote the development and ownership of a team vision and an action plan for its implementation. Participants were members of a newly formed specialist community mental health team (SCMHT); the team leader, a social worker, a community psychiatric nurse, a social work student and a psychiatric nursing student. It was held at an NHS training facility on the geographical patch of the SCMHT. The practitioner had liaised with the team leader regarding the desired outcomes for the event. The agenda for the event can be found in Appendix 1.

The first day involved engaging with the team members individually and the team as a whole and developing a consensus on the team's 'current reality'. Engagement was facilitated through introductions and making connections with each member of the team, by asking about their journey into this form of community mental health work. Team engagement was facilitated through an exercise requiring the team as a whole to draw and describe their team as a mode of transport (Team Engagement Exercise), with specific aspects of functioning for them to address. The outcomes of this exercise were then used to articulate key issues confronting the team.

The next exercise on day 1 aimed to articulate the key features of a specialist community mental health service from the perspectives of service users and of staff. Team members had to write issues from each perspective on post-it notes and group them into key themes. They then named the themes. These themes were transposed into segments of a diagrammatic self-assessment wheel, which comprised the domains of the 'desired future' and 'current reality' of the team's service. Each segment was then assigned a score first by members independently and then a consensus score by the team as a whole to represent the 'current reality' of the service. Scores were between 1 and 5, with 5 representing a perfect performance. Each consensus score was plotted on the wheel and the 'dots' joined up to form a shape – a perfect service would produce a perfect wheel. The 'desired reality' was presumed to be scores of 5 in each domain. Segments scoring 1 or 2 were discussed to explore issues of what would be required for these themes to

gain a score of 4 or 5. Key issues addressed were ‘helps’ (bright ideas), hindrances and a clearer vision of how a score of 4 or 5 would be experienced by service users and staff members. An action plan was developed from this discussion. The first day then ended by seeking feedback from the participants on their experience of the process of the day.

Day 2 started with feedback being sought on the experience of day 1, followed by ‘The Dream Team’ exercise, an ‘energising engagement exercise’. The participants had to select a team of six famous people from a pool of projected photographs. They had to justify their selections. From the six, they had to select a leader. From the famous people not selected, they had to pick one they would definitely not have on a team and say why. On completing the exercise, the team were asked to reflect on the process.

The next phase of the event focused on the team developing a process map of their service from a service user’s point of view. The practitioner presented an ‘Introduction to Process-mapping’. He stayed in the room whilst the team got started and then left the room for the rest of the session. He returned every 20 minutes to assess the team’s progress and to provide any support or technical clarification they needed. On completion of the process map, the issues ‘parked’ during the exercise and ideas generated were examined, together with the actions from day 1. From these components, a final action plan was agreed. Reflections

on the process of the two-day event were then sought from the team and given by the practitioner.

#### 4.4.1.2 Data analysis

On analysis, the two-day event fell into five stages; context-setting, positioning and engagement, introduction of task in disguised form, explicit focus on task, independent working and ending. Within these stages different foci on the outcomes within the CMO configurations were evident. Outcomes from the earlier stages were maintained within and provided a context for subsequent stages. This structure can be seen in table 8.

STAGES OF EVENT	OUTCOMES
Context-setting, engagement and positioning of the group in relation to task	Establishing relationship Conducive atmosphere
Introduce task in disguised form	Commitment to change New sense-making
Overt focus on task and issues	New sense-making New behaviours
Independent working	New behaviours
Ending	Relationship

Table 8: Structure and outcomes of CS1 event

#### *Stage 1: Context-setting, engagement and positioning of the group in relation to task*

In aiming to produce a strong relationship from the start of the event, CS1 interwove the key mechanisms of ‘build relationship’, ‘communicate core conditions’ and ‘develop positive atmosphere’. ‘Build relationship’ took the form of

CS1 describing his past career history in a way that reflected the focus of the specialist community team – positioning himself as sharing their interests and values;

'[CS1]...moves into description of [specialist community mental health team] experience, set up [SCMHT] in [West Midlands town], 'hooked into [SCMHT]'.' (p1)

CS1 used non-verbal behaviours to connect with participants in triggering the mechanism of 'build relationship', emphasising his verbal enthusiasm;

'lots of praise, lots of eye contact with everyone in the room.  
'fantastic', '[team leader] now has mates', [town] forming team, chuffed to be here to do work WITH you in [SCMHT]" (p1).

Such non-verbal behaviours were reciprocated by participants, thus evidencing the establishment of relationship.

The mechanism of 'develop positive atmosphere' was evident through CS1 drawing attention to the quality and amount of time the participants had been given for the event;

"allowing opportunity for protected time, have time-out to think about next steps" (p2)

"time to reflect is rare, precious, the days are about you, just to reflect, just to stop..." (p2)

The importance of producing the outcomes of relationship and conducive atmosphere was reiterated by CS1 in his post-interview;

'developing a relationship with those guys to make the most of that protected time because they're busy clinicians..... but also provide an environment for them where they are able to be honest, where they are able to actually work through processes without feeling hurried or rushed' (p1)

CS1 also focused in the event on producing the outcome of new behaviours through positively reinforcing participants' sharing of their experiences, a behaviour CS1 regarded as a significant part of the process. Such openness was regarded by CS1 as elements of the desired ways of team members relating to one another within the event, as well as providing evidence of the outcome of stronger relationship and conducive environment;

'[CS1] asks [student] about other placements (makes contact, turns his chair towards her, lots of NV nodding, 'fab', encourages her to describe her placements and links to [SCMHT] – 'share your experience with us - great'.)' (p1)

'lots of nodding [from CS1] as [participant] describes experience, eye contact, 'bitten by the bug" (p1).

The mechanism of 'eliciting commitment' was subtly introduced through highlighting participants' commitment to their work;

'Really strong emphasis 'getting bitten by the drug', 'exposed to doing something different', 'great network', 'great ethos', 'driven', 'where people want to be" (p2).

The mechanism of 'collaboration' was shaped through the concept of dialogue as the key process of the event;

"Start a dialogue" (p2)

The mechanism of ‘developing participants’ sense of ownership’ was seeded through giving the participants responsibility for decision-making;

‘[Participant] asks about phones on/off – asks “[team leader] – dialogue between [participant and team leader] – turns phone off so definitely ‘protected’. (p2).

In summary, stage one proceeded in the context of an undeveloped relationship between the participants and OD practitioner. The practitioner triggered mechanisms of ‘build relationship’, ‘communicate core conditions’, ‘develop positive atmosphere’, ‘elicit commitment’, ‘collaborate’ and ‘develop participants’ sense of ownership’ as means of producing the outcomes of stronger relationship and conducive atmosphere. Indicators of these outcomes took the form of the non-verbal communication from the participants – their reciprocal smiles, eye contact and so on. In addition, the mechanism of positively reinforcing desired behaviours was used to produce the new behaviour of openness CS1 saw as critical to the form of relationship and process of the event. This outcome was evident through participants’ disclosures during the event introductions. The context, mechanism and outcome configurations evident in stage one are represented in the form of a flowchart (figure 1):

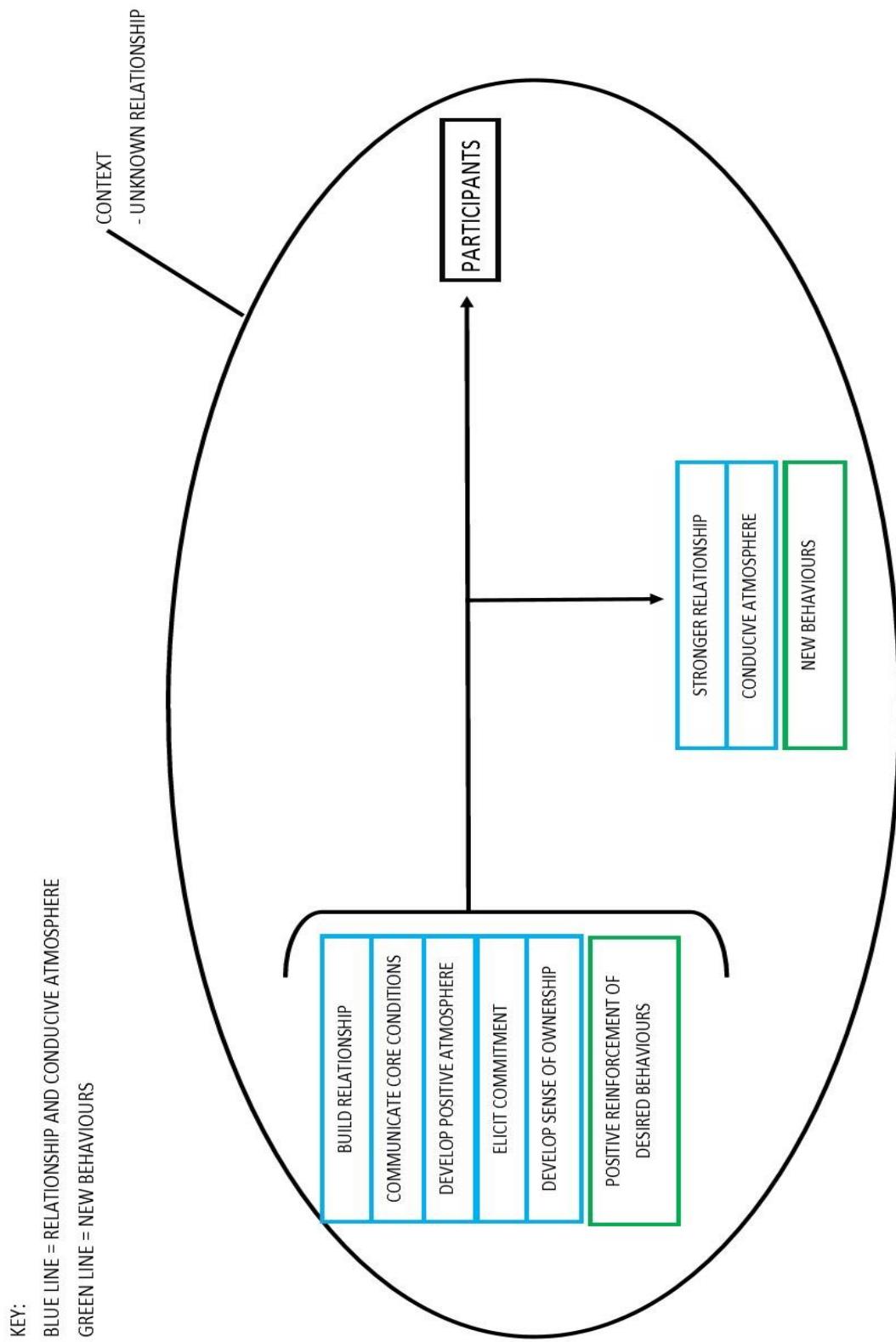


Figure 1: Ideational Context—Mechanism—Outcome Configuration for Stage 1 of Case Study 1:  
Context-setting, engagement and positioning of the group in relation to task

### *Stage 2: Introduce task in disguised form*

The outcomes from stage one, established relationship and conducive atmosphere and developing new behaviours, provided the context for stage two. CS1 continued to draw heavily on mechanism-outcome configurations for producing strong relationship; triggering mechanisms of ‘collaborating’ and ‘developing sense of ownership’. Conducive atmosphere was maintained through the mechanism of ‘communicating core conditions’ and ‘developing positive atmosphere’.

‘[CS1] describes engagement exercise (‘not an icebreaker’) – helping to engage, feel comfortable, environment so can all talk, can all engage – fun exercise and talk about service’ (p2)

Within this extract can be seen the mechanisms of ‘collaboration’ (‘engage’, ‘can all talk’), ‘building relationship’ (‘engage’), ‘addressing human reactions’ (‘feel comfortable’) and ‘developing positive atmosphere’ (“environment so can all talk”).

CS1 drew on humour as a means of triggering the mechanism of ‘developing positive atmosphere’;

‘..laughter..’ (p3)

‘reflects back humorously’ (p3)

The participants also using humour evidenced the presence of a conducive atmosphere;

‘..group engages in humorous conversation...’ (p2)

The mechanism of ‘collaboration’ took the form of allocating tasks to particular participants and encouraging ‘dialogue’ and ‘sharing’ (p3). ‘Placing responsibility with the participants’ was marked by CS1’s physical positioning; sitting to one side of the room, observing rather than leading or participating. Triggering ‘developing a sense of ownership’ took the form of permission-seeking, use of the word ‘you’ to emphasise the group’s creation of the work and using props that did not prompt or guide the group in any way;

“CS1 asks permission to make comments” (p3)  
‘you feel...’ (p3)

‘CS1 puts blank flipchart sheets on the wall....’ (p4)

Evidence supporting the presence of this outcome took the form of participants engaging in the tasks together with no or minimal intervention from CS1.

Producing commitment to change was approached through triggering the mechanisms of ‘managing resistance to change’ and ‘eliciting motivation’. The former was triggered through the avoidance of group defences;

‘[CS1] reiterates will have fun talking about issue’ (p3)

The latter was achieved through the naming of the outcomes participants would achieve as a result of the event, related, in turn, to the issues identified in the metaphor exercise;

'Look at how, as a team, you gain consensus – part to talk about where we're at and going, what are important things to enable the train to continue' (p3)

CS1 focused on producing new sense-making through the mechanism of 'raising awareness'. This comprised the metaphor exercise and CS1's interpretation of the group's outcomes from the exercise. The humour produced through the exercise acted as a means of maintaining a conducive atmosphere. The metaphorical nature of the exercise also provided a means of 'managing resistance to change', a mechanism to produce commitment to change, through disguising potentially challenging issues for the team. The interpretation of the themes within the resulting description of the team as a train enabled the serious nature of the issues to be made explicit without triggering team defences. Through the context of the absence of defences, the group's awareness could be safely raised regarding the issues within the team. This was evident in the more sober responses from the group as CS1 provided interpretations;

'On flipchart – 'Describe service as mode of transport – draw mode of transport – answer:

1. who's the driver?
  2. What fuel does it run on?
  3. What's the capacity of the mode of transport?
  4. How reliable is the mode of transport? How often does it break down, if ever
  5. Speed
- 10 minutes, be creative'

.....[CS1] pulls out themes: everyday, reliable, having route/journey.. choice, important in [SCMHT], capacity...

Responses from group more sober – ‘interesting, you’ve seen it...’

CS1 reiterates will have fun talking about issue – reflects dynamics of exercise – fun but pulled out serious issues and feelings’ (p2-3)

The group’s responses and their congruence with the content of the discussion evidenced their making such connections between the exercise and their day-to-day functioning as a team. That is, their new sense-making starts to take shape.

As well as the introduction of mechanisms to produce new sense-making, mechanisms for producing new behaviours were also evident. They took the form of ‘eliciting desired behaviours’ through CS1’s use of verbal prompts;

“Do you want to say any more about that?...’ encouraging prompts’ (p3)

‘Time for really honest discussion about central issues/important bits and pieces you raised’ (emphasis by CS1)’ (p3)

Thus CS1 was seeding sharing and honesty as desired behaviours. These behaviours became evident through the responses made by participants.

In summary, stage two proceeded in the context of the presence of a relationship and a conducive atmosphere which was maintained through mechanisms of ‘collaborating’ with participants, ‘developing a sense of ownership’, ‘placing responsibility for change with participants’, ‘communicating core conditions’, ‘addressing human reactions’ and ‘developing a positive atmosphere’. The presence of such outcomes was evident through the behavioural reciprocity

between CS1 and the participants and the congruence between the tone of the topics discussed and the mood in the room. Within this context, the outcomes of commitment to change, new sense-making and new behaviours were approached through mechanisms of, first, ‘managing resistance to change’ and ‘developing the expectation for improvement’ (commitment to change), secondly, ‘raising awareness’ (new sense-making) and, finally, ‘eliciting desired behaviours’ (new behaviours). Again, evidence for these outcomes took the form of the participants’ verbal contributions. These CMO configurations in action are represented in figure 2:

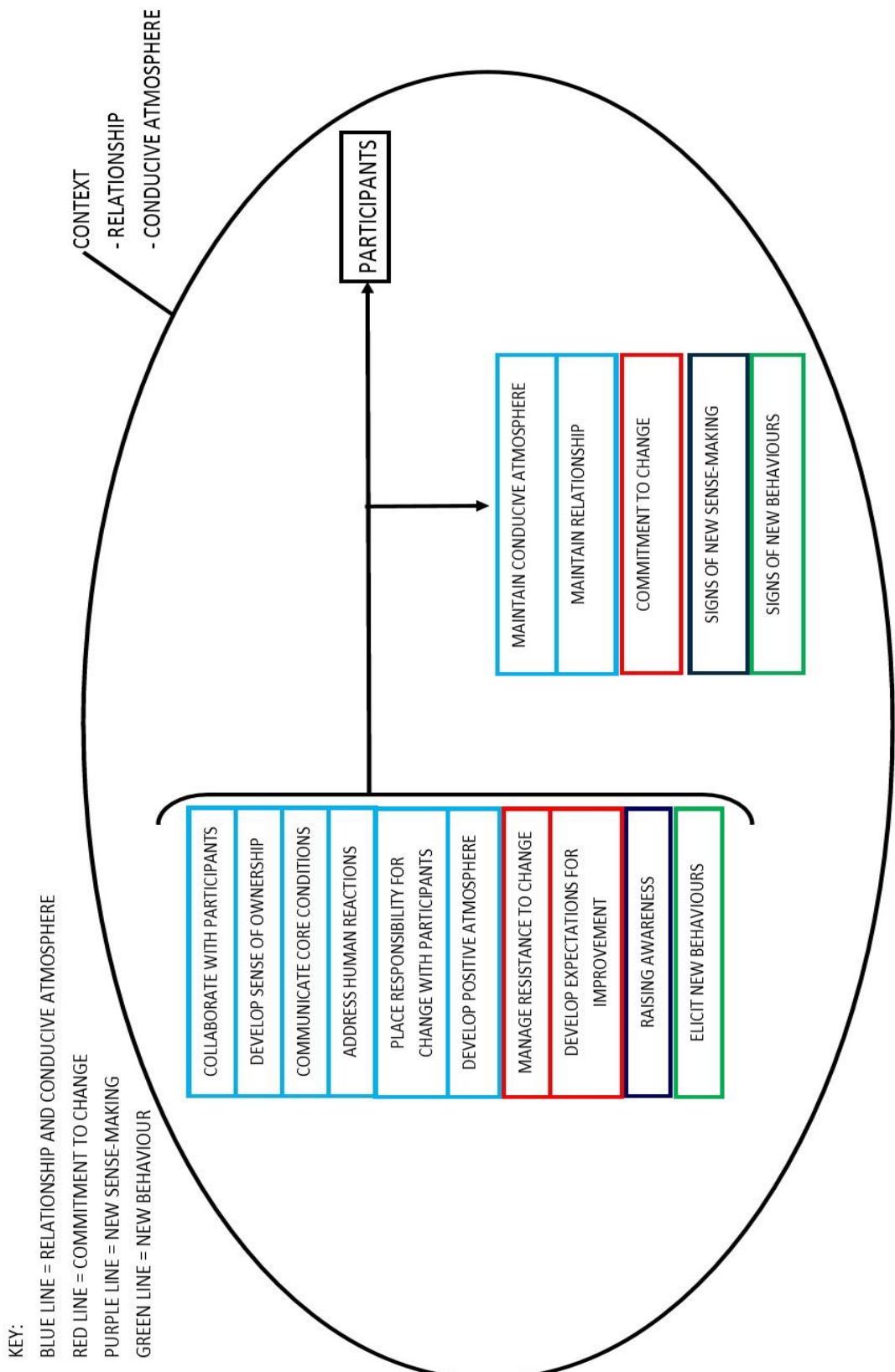


Figure 2: Ideational Context—Mechanism—Outcome Configuration for Stage 2 of Case Study 1:  
Maintain relationship, introduce task in disguised form

### *Stage 3: Overt focus on task and issues*

The outcomes from stage two, maintenance of conducive atmosphere and relationship, commitment to change and the first shoots of new sense-making and new behaviours, provide the context for stage three. Once again, CS1 worked to maintain this context through the relationship and conducive atmosphere mechanisms of ‘develop positive atmosphere’, ‘communicate core conditions’, ‘addressing human reactions’ and ‘collaboration’. His success in producing these outcomes was evident in the participants’ reactions;

‘When [CS1] [uses non-verbals], gets responsiveness, congruence in members’ responses to his intervention’ (p7)

These were supplemented by a greater use of mechanisms triggering a ‘sense of ownership’ and ‘responsibility for change’. Responsibility took the form of explicit tasks allocated to participants, whereas ownership was less direct or explicit. Ownership drew on the use of the word ‘you’ in addressing the team, as well as allowing the participants to have unfacilitated discussions;

“... what you think is important..” (p4)

‘...gets whole-group discussion..’ (p8)

Participants’ engagement in unfacilitated discussions which were focused on the topic at hand, provided evidence of the development of responsibility and

ownership. ‘Placing responsibility for change’ with participants was evident in the following;

“you’ll be designing...” (p4)

‘CS1 sits at side and observes/listens’ (p4)

Thus the emphasis on maintaining the outcomes of relationship and atmosphere differed from the preceding stages by focusing more on the mechanisms of relating to responsibilities of the participants and, through CS1’s physical positioning in the room, with less dependency on the practitioner.

CS1’s view of the importance of triggering the mechanism of ‘placing responsibility for change’ with participants was echoed in his post-interview. He described different ways of marking the responsibility of the participants for the outcomes of the event including responsibility for developing and completing the tasks allocated and for managing themselves. His use of the word ‘you’ was mentioned as a means of triggering this, together with his active engagement;

‘I think it was around times to actually be heavily engaged and times to be a coach through the process’ (p2)

‘so for me it was around some of that subtle responsibility-giving but also to reinforce ‘it’s our day together’. There was a little bit around boundaries, I feel.’ (p7)

Commitment to change was also maintained and strengthened throughout stage three. Mechanisms of developing participants' belief that they can make change include;

'you are experts..'"(p4)

'acknowledges wisdom of team beyond specific skills' (p7)

Managing participants' resistance was triggered through CS1's style and his reinterpretation of participants' potential objections;

"That's fine, that's OK, you really don't have to justify it' - when member talking about giving lower score' (p8)

"For me listening to some of that feedback, I'm glad that it's not surprising, it's on your radar.' (p9)

Participants' willingness to openly express their objections evidenced the quality of the relationship with CS1 and the conducive quality of the environment.

His focus on commitment to change through managing and challenging resistance was also apparent in the post-interview. CS1 described his use of these together in the face of potential hopelessness from participants when addressing resources and other practical issues. He first acknowledges their experience and then challenges their perspective;

'I think it is important to actually realise that there are things around that are out of our control ..... it's really important that when we do the Project Wheel and we talk about the current reality/desired future/helps and hinders ..... and are really, really honest about there are things that are out of our control... For me, it's around allowing people to discuss and talk about those

and be realistic but actually to say ‘there are a lot of third sector organisations that don’t have any of these kind of things but can work very creatively’. So I think there is an option to talk about those and be real – you need to – but I think it is to try to get back on track again and to be realistic and optimistic.’ (p8)

CS1 drew more significantly on mechanisms to produce new sense-making during stage three of the event. Mechanisms of ‘raising awareness’, ‘making new sense’ and ‘introducing new knowledge’ were used. ‘Raising awareness’ continued to draw on the themes implicit in the metaphor exercise, with CS1 making them more explicit. The shaping of thinking that comprises the ‘making new sense’ mechanism could be seen in CS1’s expanding the points made by participants and using questioning to facilitate participants to develop their thinking;

‘Agreement and expansion and summarising of member’s point about inter-related nature of themes’ (p8)

“So there’s some preparation you’re doing with people, readiness, people indicate their readiness to you” (p8)

Again, CS1 stressed the importance of such mechanisms for producing new sense-making in his post-interview, through his use of phrases of ‘allow people to think more creatively’ (p8), ‘opening the blinkers a little bit’ (p9), and ‘open some of the thinking’ (p10).

Throughout the event, participants continued to use the language of their team metaphor in articulating points or observations they wished to make, thus evidencing the changes in their sense-making.

CS1 also continued to use mechanisms to produce new behaviours. These focused on the interactional process of the event, as well as the desired task-related behaviours. The mechanisms drawn upon were ‘eliciting desired behaviour’, ‘feedback’ and ‘positively reinforcing desired behaviours’. ‘Eliciting desired behaviour’ took the form of specific requests for particular responses from participants. Examples of eliciting desired behaviour were;

‘gives prompt in terms of eg ‘can you name the cluster and write it on post-it for me...’ (p5)

The success of CS1’s attempts to ‘elicit desired behaviours’ in the form of recognition of the group’s strengths was evident in the range of scores they allocated within the wheel exercise;

‘CS1 seemed to put more energy into permission-giving for team to feel pleased with themselves’ (p7)

“Come on, are we there? Are we going to do it? Yes, we’ve got our second 5!” (p8).

The mechanisms of ‘feeding back’ and ‘positively reinforcing desired behaviours’ were differentiated by the specificity of the practitioner’s response. For example, feedback comprised;

“You’ve reflected obviously a lot around this case and made some positive changes..’ (p8)

The behaviour desired by CS1 comprised participants making a contribution to the discussion, focusing on the achievements of the team, participants reflecting on their work and acting on the reflections. Examples of CS1's use of 'positive reinforcement' were his non-verbal behaviour and thanking participants for specific forms of contribution;

'As member talking about positive parts of work, [CS1] smiling, nodding 'excellent, thank you' ' (p8)

'Following contributions, 'thanks for that', but not ALL contributions' (p7)

CS1 also engaged with participants' contributions as a means of providing positive reinforcement;

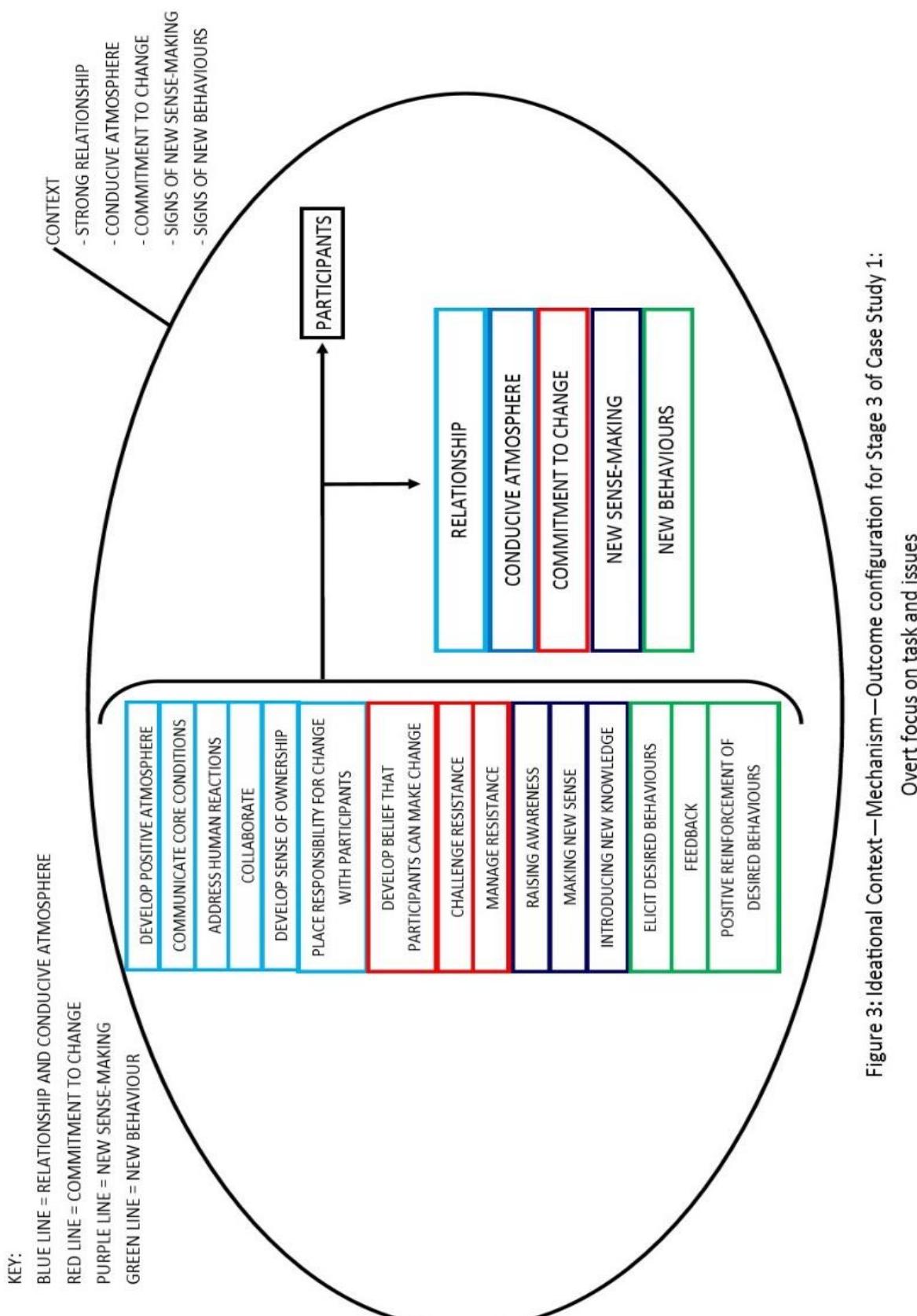
'If minority is higher, CS1 seems to get this account – if group is higher and minority lower, gets whole-group discussion and doesn't specifically seek out thoughts of minority members.' (p7).

Within the post-interview, CS1 concurred with the description given of his use of positive reinforcement in changing behaviours;

'I do actually reinforce it....it is about celebrating...I tend to find that people are..quite hard on themselves a lot of the time. So its trying to reinforce this balance.' (p13)

Participants exhibiting these behaviours evidenced the success of these mechanisms.

In summary, stage three proceeded in the context of a strong relationship, conducive atmosphere and commitment to change, with the first signs of producing new sense-making and new behaviours. Relationship and atmosphere continued to be maintained but through more use of mechanisms triggering responsibility and ownership and reducing dependency. Evidence for these outcomes was provided by participants' engagement with the process and exercises, and the ease with which they engaged. Participants' commitment to change was strengthened through addressing their reactions to change and their belief in their abilities. New sense-making and behaviours were more explicitly addressed. Mechanisms which more directly produced such outcomes were triggered; 'eliciting behaviours', 'positive reinforcement' and 'feedback' (new behaviours) and 'raising awareness', 'making new sense' and 'introducing new knowledge' (new sense-making). These outcomes were evidenced through the contributions of the participants. These CMO configurations are represented in figure 3.



#### *Stage 4: Independent working*

The context for stage four comprised relationship, a conducive atmosphere and established commitment to change. New sense-making and new behaviours were evident. These outcomes were maintained throughout stage four. As the stage progressed, mechanism-outcome configurations shifted from a focus on commitment to change to new sense-making through to producing new behaviour.

Maintaining relationship and conducive environment was attained through mechanisms of ‘reducing the dependency of the participants on the practitioner’ and ‘placing more responsibility’ with them. These comprised CS1 outlining tasks for them to complete and leaving the group to progress at their own pace, in their own way;

‘...CS1 left the room for 20 minutes to leave the group to do the exercise alone.’ (p10)

“[I] want you to identify which areas you work on” (p9)

Their compliance with the task and production of outcomes evidenced the success of these mechanisms in producing these qualities of relationship.

Commitment to change was maintained through mechanisms of ‘developing participants’ belief in their ability to make change’, ‘managing resistance to change’ and ‘developing their expectation of improvement’. For example, developing their belief in their ability to make change included;

‘CS1 unpacked/punctuated some of ‘help’ to emphasise the importance and quality of their ideas’ (p10)

‘You are the experts in working with your people’ (p14)

Resistance to change was managed through the use of pacing and non-verbal behaviour;

‘[CS1] kept focus and pushed on particularly when became very negative. As group sounds flatter, (slower, sighing, heavy breathing etc), CS1 seems more up-beat and active.’ (p11)

Participants’ explicit agreement with CS1’s ideas for the approach they could take to the task evidenced the absence of resistance.

‘Developing participants’ expectation of improvement’ took the form of linking the group’s efforts into future benefits;

“Great opportunity for us to start to build a picture of a pathway. In that can look at transitions, partnerships...” – gave egs of things team actually said yesterday’ (p12)

“Once identify it, we’re going to use it – that’s sometimes where the pain starts! Going to use it to improve the service” (p14).

Mechanisms to produce new sense-making comprised ‘introducing new knowledge’, ‘raising awareness’ and ‘making new sense’. New knowledge comprised ways of making sense of the work the group had done and were going to do during the event. For example;

'Few slides to introduce simple way for process-mapping – common signs and symbols' (p12)

'Raising awareness' made explicit the participants' learning and knowledge;

'References to train metaphor – translate issue of capacity to 'carriages on the train" (p17)

'Making new sense' comprised subtle shaping and naming;

'..looking at opportunities, what are the things we think are good opportunities' (p13)

"How easy was that task to do?" (p13)

Participants' capturing their own 'bright ideas' for themselves evidenced the development of their sense-making;

'...group committed 'quick win' to post-it.' (p10)

Stage four's focus on producing new behaviours included mechanisms of 'setting new goals', 'positively reinforcing desired behaviours', 'negatively reinforcing undesired behaviours', 'eliciting desired behaviours', 'teaching new skills' and 'giving feedback'. They were drawn upon in that order. For example, goals took the form of setting targets for the work;

"Develop tentative action plan" (p12)

'Positive reinforcement' took the form of emphasising desired behaviours verbally and non-verbally, as a means of controlling the direction of the group's work;  
'CS1 emphasised positives, reflecting on positives' (p12)

'Negative reinforcement of undesired behaviour' included;

'When started to get dissent between [team leader] and [team member] just before the break, CS1 seemed to 'shut down' dissent and clarify how to do the pathway' (p16)

'Eliciting desired behaviour' and 'teaching new skills' involved instructing and prompting the participants;

'CS1..... prompts: "what happens next?"  
As group gets going, CS1 moves away and watches from outside – observer position but interjecting 'helpful' points eg "is it worth highlighting some of contact points?"' (p15)

'CS1 more actively contributes re technical aspects of using post-its, identifying how to represent question points – technology of process-mapping, not content of process.' (p15)

The participants' development of new behaviours was evidenced by their production of the process map and action plans in the absence of CS1. This was also facilitated by their responsibility and ownership of the event's outcomes;

'CS1 asked group if they wanted us around or to leave them to 'crack on with it' – group decided to 'crack on'. (p17)

'Giving feedback' was used towards the end of stage four as a means of giving general positive feedback on the performance of the participants;

“Absolutely fabulous guys, I’ve got to say” (p18)

CS1 stressed the importance of feedback as a behaviour change mechanism in his post-interview;

‘products are produced to be proud of.....but also you need to produce real feedback that can help...give an outsider’s feedback – some just need to be subtle comments, things that people can actually appreciate’ (p14)

In summary, stage four proceeded within a context of strong relationship, conducive atmosphere and commitment to change. Throughout the stage, more of a focus on producing new sense and new behaviours was adopted, drawing on the identified mechanisms. In contrast to stage three, the full range of identified mechanisms was deployed; ‘raising awareness’, ‘making new sense’ and ‘introducing new knowledge’ (new sense-making) and ‘eliciting behaviours’, ‘teaching new skills’, ‘positive’ and ‘negative reinforcement’, ‘giving feedback’ and ‘setting goals’ (new behaviours). The participants’ production of the process map and action plan were indicators of the presence of these outcomes. These CMO configurations are represented in figure 4.

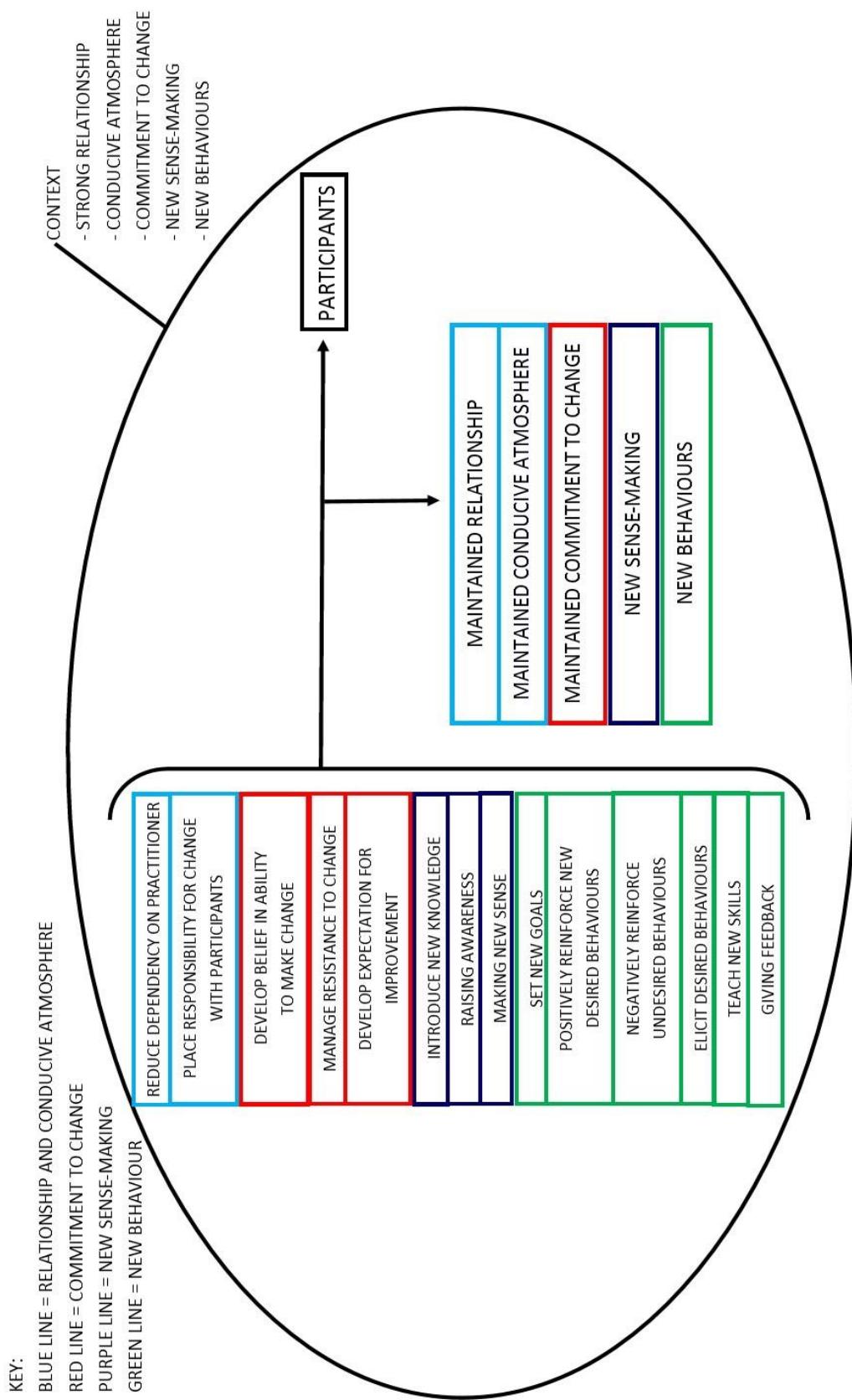


Figure 4: Ideational Context—Mechanism—Outcome Configuration for Stage 4 of Case Study 1:  
Independent working

### *Stage 5: Ending*

On entering stage five, new behaviours and new sense-making had been produced. Relationship and conducive atmosphere had been established. Commitment to change was being acted upon. In stage five, maintaining new sense-making and new behaviours was the main focus. This was approached through interweaving relationship mechanism of ‘developing participants’ sense of ownership’ and behaviour change mechanism of ‘giving feedback’;

“I’ve just provided technique – they’re your ideas, process, work” (p18)

“You’ve invested two days here and worked really, really hard...” (p18)

A new CMO configuration was also apparent; producing the outcome of seeding sustainability through triggering mechanisms of ‘ownership’ and ‘giving feedback’, and using this feedback to then ‘develop expectation of improvement’. Feedback focused on the abilities of the participants, highlighting their competency in taking the work forward;

“You’ve invested two days here and worked really, really hard. It would be a shame not to use that” (p18)

In summary, stage five proceeded within a context provided by the five key outcomes identified in the CMO configurations – strong relationship, conducive atmosphere, commitment to change, new sense-making and new behaviours. The focus of stage five was to trigger mechanisms that would produce a further outcome; sustaining of the new sense-making and behaviours. The success or

otherwise of producing this outcome was not evident within the event. These CMO configurations are represented in figure 5.

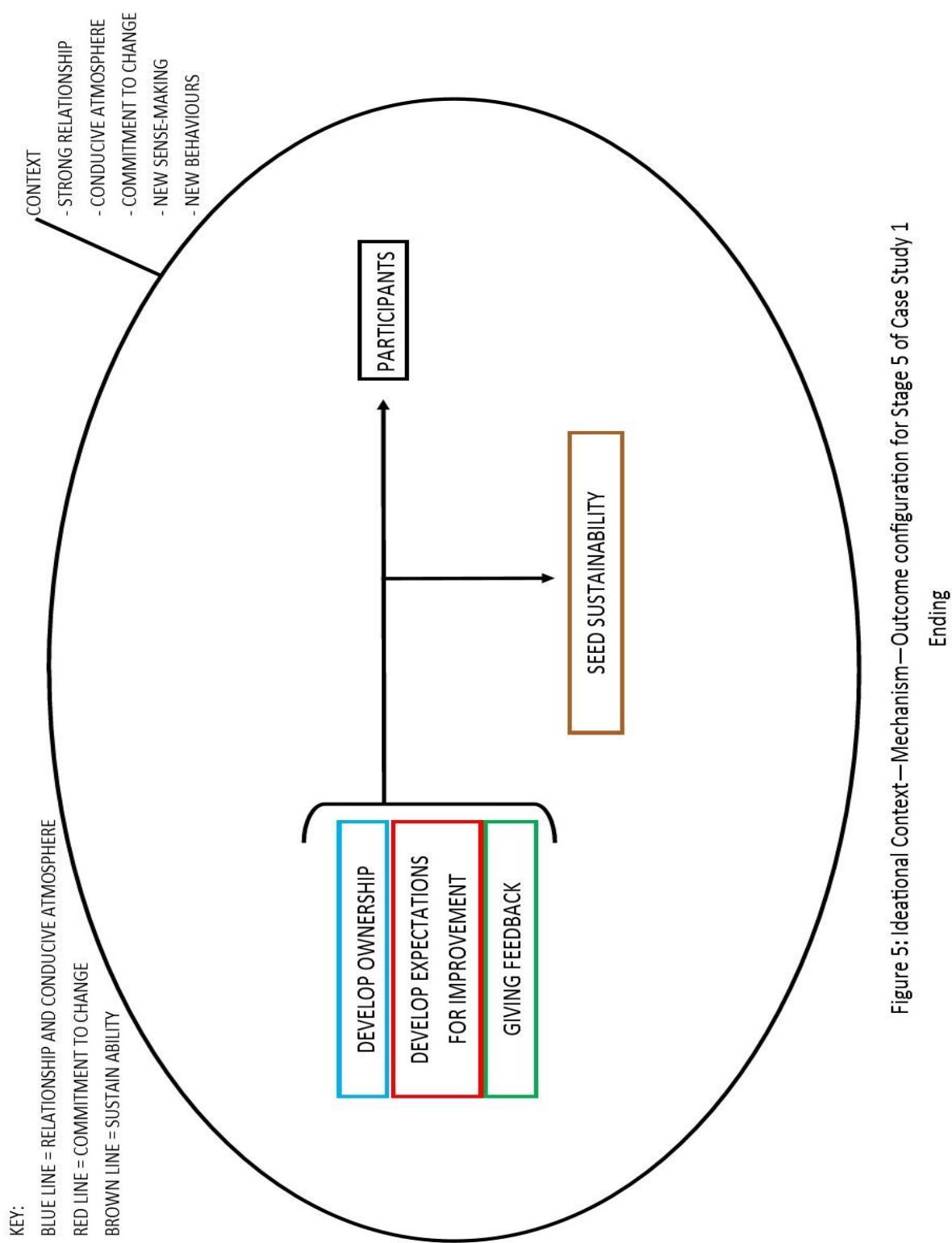


Figure 5: Ideational Context—Mechanism—Outcome configuration for Stage 5 of Case Study 1  
Ending

From the observations of the theory-in-action of CS1 and his reflections in his post-interview, it can be seen that his practice drew on the ideational explanatory theory of change. His practice aimed to produce ideational outcomes of strong relationship and conducive atmosphere, commitment to change, new sense-making and new behaviours. His emphasis was on establishing relationship and atmosphere and maintaining these throughout the event. In this context he produced new sense-making and new behaviours. He also addressed sustaining such changes through CMO configurations not articulated in his theory-in-mind. Thus the work of CS1 illustrates the ideational theory of change in action through a typical OD intervention; developing a team vision and plan for its implementation.

#### **4.4.2 Case study 2 (CS2)**

##### ***4.4.2.1 Description of the OD event***

CS2 had been seconded and commissioned by a regional NHS organisation to work on the operational development of the '18-week wait from referral to treatment' initiative in mental health services. He had been commissioned to deliver a half-day workshop for key stakeholders in the region, including Primary Care Trust (PCT) service commissioners and local service providers. There was no set agenda circulated prior to or at the event, and the invitations had been issued by the regional organisation. The commissioners of the OD work, were clear that they were limited in what they were willing to offer to local services and so CS2 was expected to promote a position of self-reliance in the participants ("important to get message of 'you need to take it forward'....Don't want to tell

them ‘[CS2] will come round to your organisations’ (p1)). The event commissioners were present at the event to provide information but they had not liaised with CS2 regarding content. The implicit agenda can be found in appendix 2.

The first half of the workshop focused on providing information about the initiative and examining its practical implications. This would help participants develop their local decision-making. After the break, participants would be given the opportunity to use the information in thinking about the steps they needed to take on return to their workplaces and what the issues might be in enabling them to achieve the requirements of the 18-week wait in terms of commissioning and service provider systems. One of the commissioners of the event was also a co-presenter and so was present throughout. The other commissioner was also present but with no specific role. Throughout the event, CS2 periodically sought the commissioners’ opinions on its direction and the subsequent resources the regional NHS organisation was prepared to provide.

#### *4.4.2.2 Data analysis*

On analysis, the half-day event proceeded through three implicit stages of context-setting, collaborative thinking, and problem-solving and application. CS2’s use of ideational CMO configurations was apparent throughout the event, with each stage focusing on producing different outcomes. This structure can be seen in table 9.

STAGE OF EVENT	OUTCOMES
Context	Relationship Conducive atmosphere Commitment to change
Collaborative thinking	New sense-making
Problem-solving and application	New sense-making New behaviours

Table 9: Structure and outcomes of CS2 event

### *Stage 1: Context-setting*

The aim of stage one was to establish a relationship with the participants and to focus them on the task at hand. This stage was very brief, lasting a matter of minutes, and drew on mechanisms to produce relationship, conducive atmosphere and commitment to change. The relationship and atmosphere outcomes were produced through triggering mechanisms of ‘build relationship’ and ‘develop positive atmosphere’. The former drew on use of names and the latter on humour.

CS2 also interwove the two mechanisms;

‘Round of introductions – names and job titles and organisations.  
Jokes about length of job titles.’ (p2)

The atmosphere created was one of functionality and focus, a contrast to that developed in case study 1, and congruent with CS2’s theory-in-mind. This focus was confirmed by CS2 in his post-interview. He described the focus of the event as one of developing and applying new sense-making in relation to the legal requirements of the proposed 18 week wait legislation, through a relationship founded on his role as analytical expert, rather than friend;

'Not friend, expert advisor more in analytical ability rather than knowledge....Probably directorial in terms of explaining what needs to be done...' (p4)

Mechanisms triggered to produce commitment to change included 'developing the expectation of change' in participants, through articulating explicit objectives for and opportunities within the event;

"refresh on 18 week rules" (p2)

"chance for some thinking this morning" (p2)

These configurations in action are represented in figure 6.

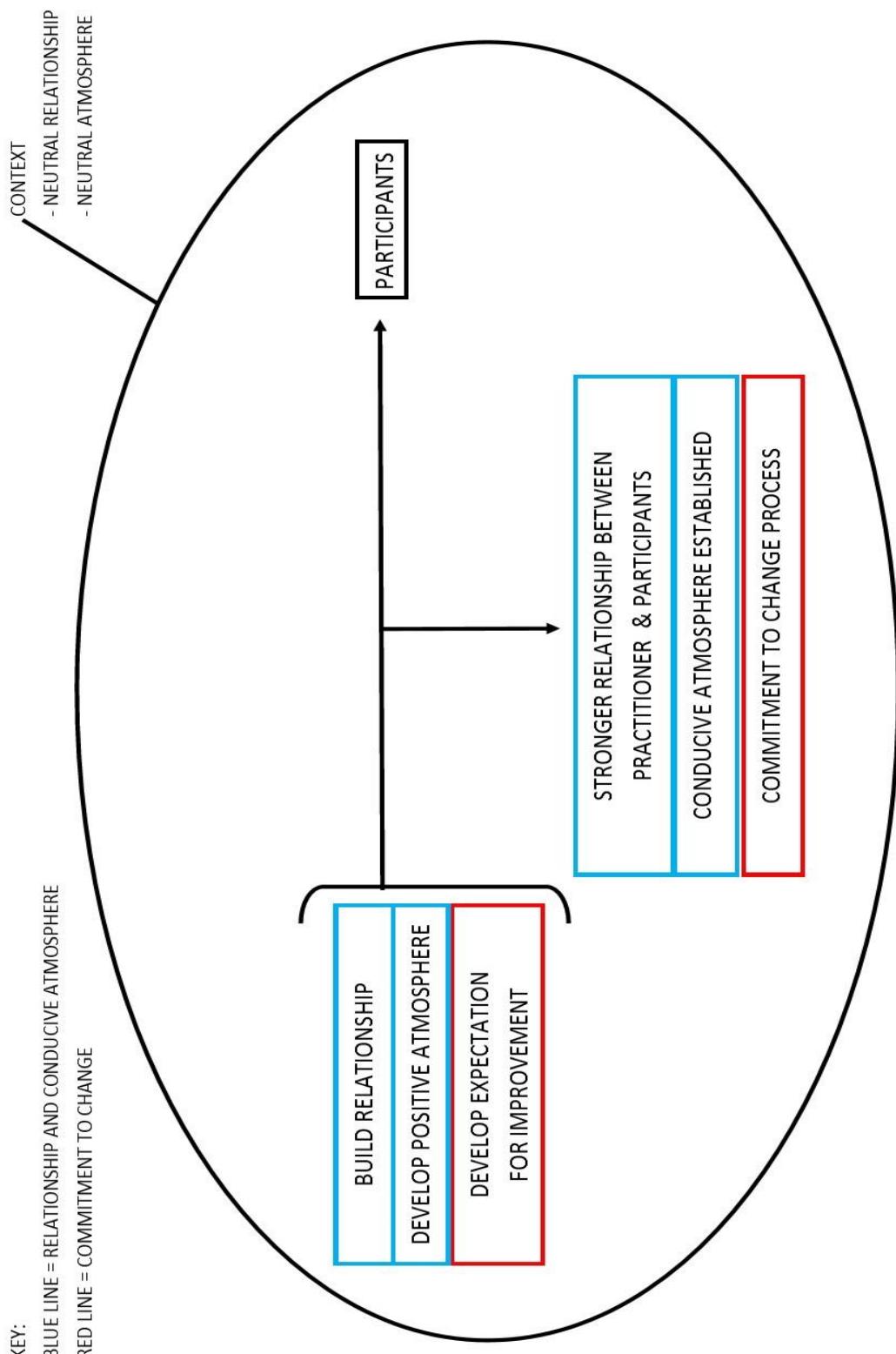


Figure 6: Ideational Context—Mechanism—Outcome Configuration for Stage 1 of Case Study 2:  
Context-setting

### *Stage 2: Collaborative thinking*

The outcomes of stage one of the event, stronger relationship and conducive atmosphere, and the assumed outcome of commitment to change, provided a context for stage two. This stage focused on developing new sense-making around the requirements of the 18 week wait initiative. The initial part of the stage focused on mechanisms to produce new sense-making and to maintain relationship and conducive atmosphere. The former took the form of ‘introducing new knowledge’ and ‘making new sense’, with the latter maintained through the triggering of the mechanism of ‘collaboration’ and ‘building relationship’. As described above, the form of relationship CS2 aimed to build was one based on recognition of his analytic expertise regarding sense-making about the new 18 week framework, not one based on support and the humanistic core conditions. Further mechanisms to maintain conducive atmosphere included ‘placing responsibility for change with participants’.

Examples of the mechanism of ‘collaboration’ included;

‘CS2 takes questions as he goes along - ‘yes, ask questions, let’s keep this discursive” (p3)

‘CS2 seeks feedback from audience for key examples eg ‘self-referral; anyone got any examples?’ (p3)

Participants’ questions and humorous contributions throughout this stage evidenced the collaborative nature of the relationship and the quality of the atmosphere produced.

The mechanism of ‘placing responsibility for change with participants’ became more evident as the stage progressed. This mechanism was triggered through emphasising the requirements participants need to meet, using words ‘you’ and ‘need’;

‘Highlights where participants need to make specific decisions. ‘Lot of this is about how you....” (p4)

“need to be able to capture...” (p3)

The combination of mechanisms of ‘making new sense’ and ‘introducing new knowledge’ took the form of clarifying issues within the 18-week wait, subtly emphasising differences in language and using particular narrative themes;

“at 18 weeks create legislation risk’ – 18 weeks = ‘breach of policy’ or legislation risk – not a target – want to get fastest treatment (differentiates targets, risks, ethics)’ (p2)

“Not what clinician feels, but what clinician decides’.....‘Whilst it is not in the guidance, intelligently you can....” (p5)

This apparent focus was supported in the post-interview, with CS2 describing his concern that participants develop an understanding of the implications of the policy for their services;

‘I wanted to be able to show to everybody.....which parts of it are non-negotiable.....talk about those and then look at what we have to do.’ (p3)

Within the event, participants' engagement with the process of producing such new sense-making could be seen through their use of questions and their raising points about the implications of the initiative for service delivery;

'Participant raises underlying political issue...' (p4)

As stage two came to an end, commitment to change was readdressed. Mechanisms to further strengthen this outcome were 'challenging participants regarding the need for change' and 'developing the expectation for improvement';

"You will come up with local issues, but to get there you'll need to understand what needs to be managed.." (p5)

"I want to use this as an opportunity to think about working across commissioner/provider." (p5)

This was further supported in the post-interview through CS2's description of his use of the policy or legal framework to highlight the imperatives in making change;

'..there's another foundation which is the 'this is what we are required to do'.....And what I was looking to for was to strengthen the policy one...' (p9)

However, the observations did not elicit any explicit indicators of participants' commitment to change within the event.

CS2 focused on producing new behaviours within the event through triggering the mechanism of 'eliciting desired behaviour'. This was attempted through prompting participants;

"Use this system to highlight bottlenecks...How can people use this to move these things on?" (p5)

CS2 also highlighted the need for developing the new behaviour of collaboration, during his post-interview. Collaboration was promoted between service commissioners and providers;

'...whilst [the service commissioners] are responsible, it is the behaviour of the providers that it is dependent upon so they need to be able to collaborate on that. So dialogue is the first step towards that.' (p9)

Thus, stage two ended with participants having been given the opportunity to develop new sense-making regarding the requirements of the 18 week initiative and their responsibilities within it. There was no explicit outcome within this stage of the event to evidence the actual sense-making of the participants. However, CS2's presumption of new sense-making was used to initiate its application in attempting to produce new behaviours. New behaviours were seeded through the introduction of the mechanism of 'eliciting new behaviour'. Commitment to change was reinforced through challenging participants in terms of what would be required of them and articulating expectations for how they would use the event. CS2 periodically connected with the issues of relationship and conducive atmosphere, ensuring that they remained congruent with the tasks at hand. He positioned himself as having a form of expertise – his analytical abilities – whilst avoiding an explicit position as expert, which could undermine the responsibility for change he was attempting to give participants. The triggering of this mechanism of

participants' responsibility became more evident as the stage progressed, with an absence of the 'softer' mechanisms of support and communicating core conditions. Thus the context of a role-based collaborative relationship and business-like atmosphere, a commitment to change and new sense-making was established, together with the beginnings of the presence of new behaviours. These were apparent through the participants' questioning of CS2 regarding the initiative, thus engaging with new sense-making through a conducive atmosphere and effective working relationship. Within the post-interview, CS2 verified his use of mechanisms of 'responsibility for change with participants', 'challenging participants regarding the need for change', 'eliciting new behaviour', and 'making new sense' in working to produce the outcomes of commitment to change, new sense-making and new behaviours. These provided the context for stage three, problem-solving and application. The CMO configurations evident in stage two can be seen in figure 7.

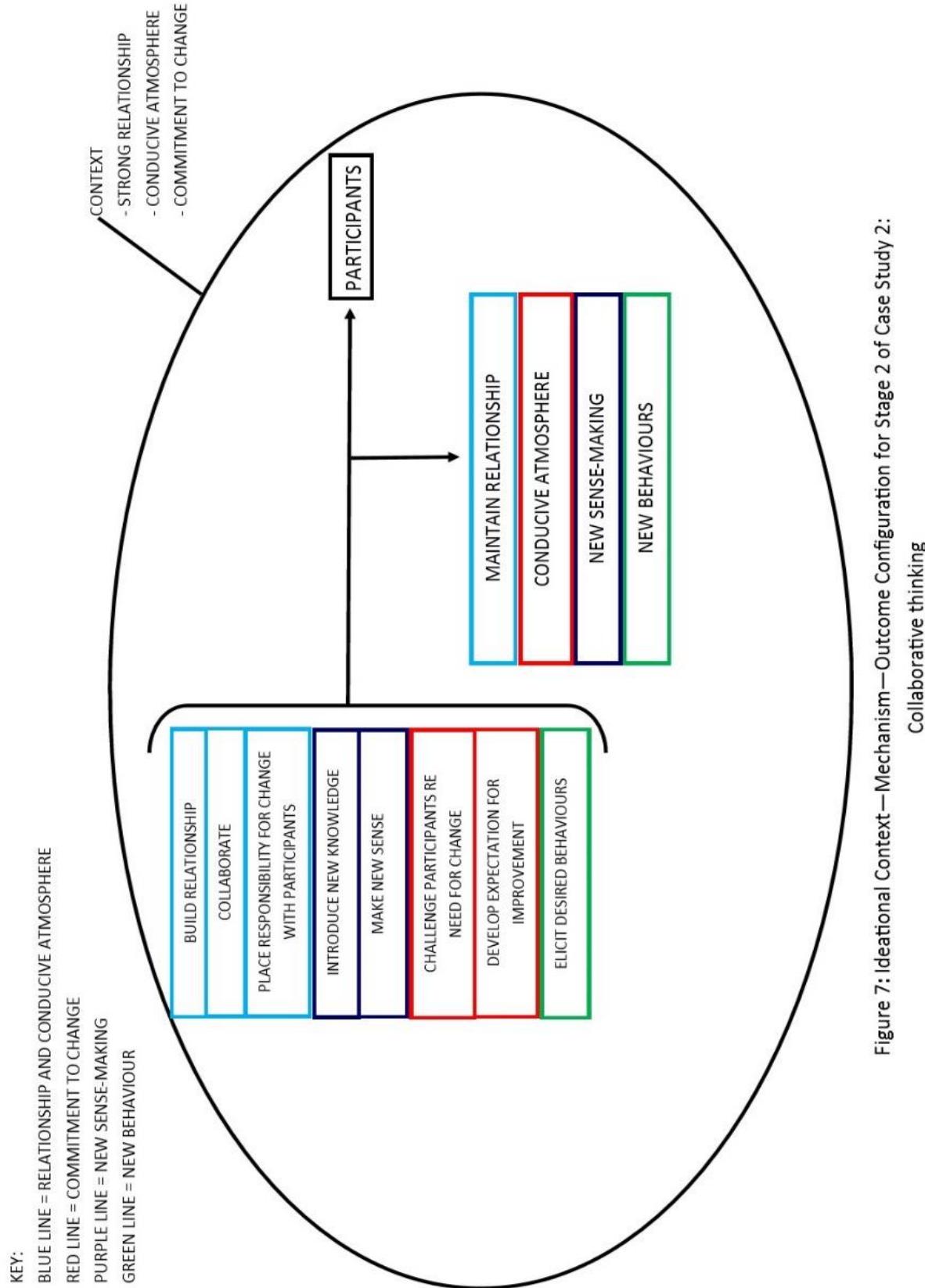


Figure 7: Ideational Context—Mechanism—Outcome Configuration for Stage 2 of Case Study 2:  
Collaborative thinking

### *Stage 3: Problem-solving and application*

Within the context described above, stage three of the event continued the focus on producing new sense-making and new behaviours, as well as maintaining the quality of relationship, conducive atmosphere and commitment to change. CS2 continued to trigger the mechanism of ‘participants’ responsibility for change’ but supplemented this with one of ‘support’. ‘Participants’ responsibility’ was triggered through the use of ‘you’, giving instructions for participants to carry out tasks and CS2 leaving the groups so participants would continue without him. Examples of this mechanism included;

‘As groups feed back CS2 asks ‘is that an action you think you can take yourselves?’’ (p7)

‘CS2 leaves groups and captures some points on flipchart/issues park whilst groups left to own devices/discussions’ (p6)

‘Support’ took the form of non-verbal and verbal acknowledgement of the expressed needs of the participants. Examples of these mechanisms included;

‘One table raised ‘need for appreciation of how big this is for an organisation’ (CS2’s non-verbals: eye-contact, nodding, listening intently) (p7)

‘Participant: we need leadership from the [regional NHS organisation]..CS2: ‘I understand but we, [event commissioner 2] and I, need to have discussions about this feedback on what needs to happen” (p7)

In his post-interview, CS2 reiterated his use of location in triggering the mechanism of participants’ responsibility for change;

'...the message to the audience is 'I've given you the task, I've gone round, you all appear to understand it and you're all grown-ups, I'll be back in 5 or 10 minutes, you get on with it and you tell me what you've done' and it's clear then, that to them, that whilst they are on their own, nobody else is going to carry that task for them.'(p11)

In maintaining participants' commitment to change during this stage of the event, CS2 triggered the mechanism of 'developing participants' belief in their ability to make change' through acknowledging their expertise;

'This sounds like stating the obvious...' – acknowledging expertise in room where point already been made earlier in session.' (p5)

CS2 focused on producing new sense-making through the mechanism of 'making new sense'. This was triggered through his use of metaphor and interpretation;

'Emphasises risk throughout presentation – language of 'risk', 'breach', 'mechanisms', 'systems' – designing out variances/feelings' (p5)

'Pulling out themes from local conversations.' (p6)

This intention was, also, reiterated in the post-interview, with CS2 highlighting the importance of his use of translation in clarifying the real-world implications of the legislative framework;

'day-to-day people will work in the real world. The policy world is a set of rules which apply to the real world but are none-the-less abstract,...it's useful then to be able to translate some examples of those real actions that meet the requirements of the rules...' (p9)

In the event, CS2 also introduced new knowledge;

'Develops [process mapping concepts] to show how to use process-mapping with data processes – how to make process-mapping useful' (p6)

CS2 attempted to produce new behaviours through the mechanisms of 'positive' and 'negative reinforcement'. CS2 used both verbal and non-verbal behaviours as positive reinforcers for desirable behaviours and his non-verbal behaviour and physical position as negative reinforcers for undesirable behaviours;

'Big supportive non-verbal behaviours when mentioning ideas that fit with direction of travel' (p7)

'CS2 moves on to next table – closes preceding discussion' (p7)

Stage three ended with participants being seen to apply their new sense-making through engaging in new behaviours within the event. This application of new sense-making occurred within a context of participants having taken responsibility for developing their own understanding of the required changes in their organisations. The issue of their expressed needs being met after the event (further intervention and support from CS2) was left unresolved;

"I'll liaise with [SHA commissioners] re action points re SHA because you're saying you need consistency'..... [Commissioner 1] highlighted that had asked participants 'what you're going to do', but CS2 asked for 2 items from each group and they asked for external support [from SHA]' (p8)

Thus, in stage three, CS2 succeeded in producing the ideational outcomes of new sense-making and new behaviours as applied within the event. Evidence for these outcomes took the form of the participants' engagement and productivity. He also

succeeded in producing commitment to change in the form of participants' verbal commitments to subsequent actions. CS2 produced a relationship based on participants' responsibility for change and triggered support as a means of strengthening his allegiance with them in contrast to with the event commissioners. This strategy was supported by post-interview data in which CS2 described his strategy within the event as comprising three elements;

'defining the task or the non-negotiables,...looking ..or.. some regard to how to achieve that and.....the interactive part, you work with the audience so they've got time and space to assimilate it and internalise it...' (p4).

The CMO configurations evident in stage three can be seen in figure 8.

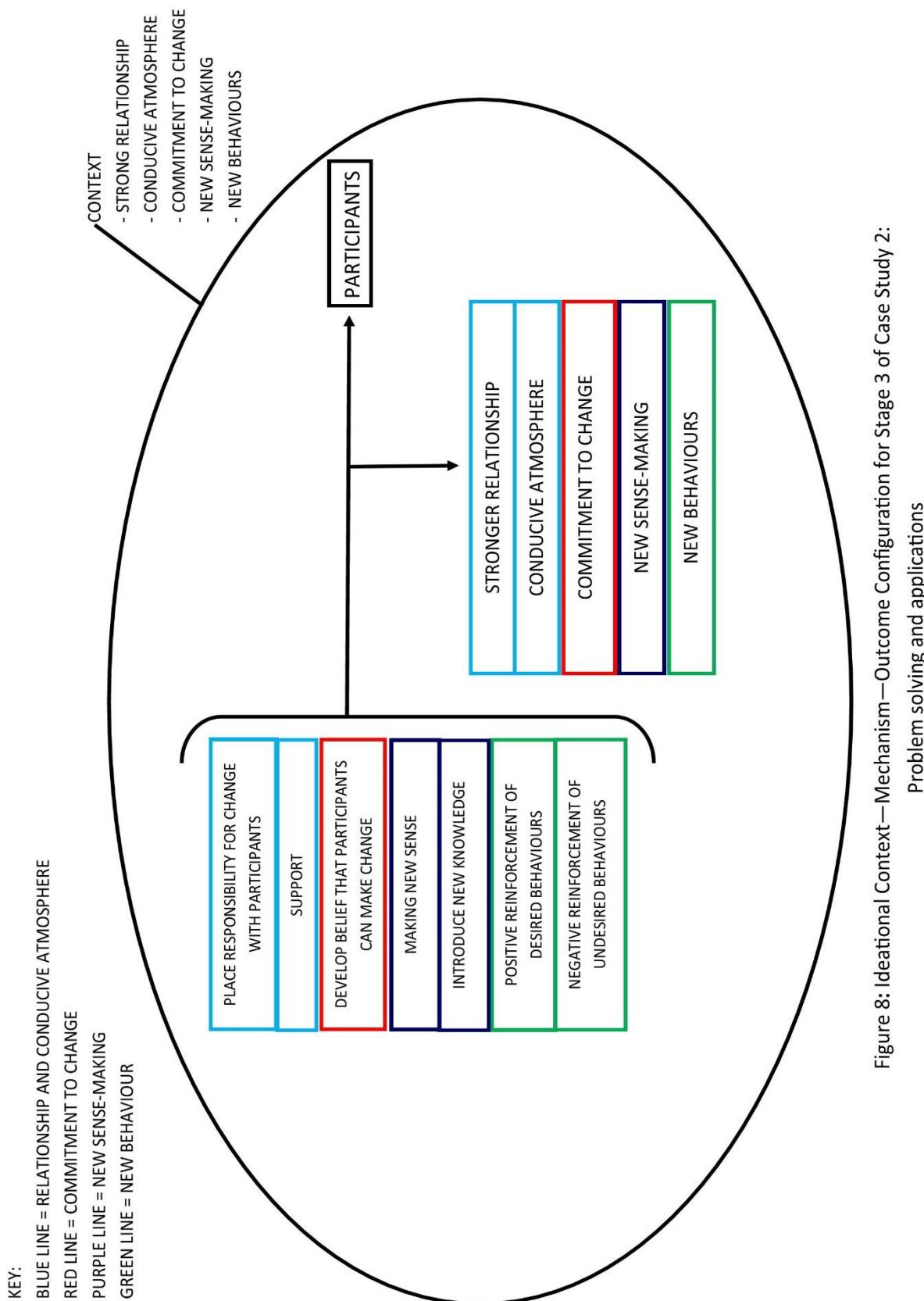


Figure 8: Ideational Context—Mechanism—Outcome Configuration for Stage 3 of Case Study 2:  
Problem solving and applications

As with CS1, the observations of the theory-in-action of CS2 and the analysis of his post-interview data, provide evidence for the location of CS2's OD practice within the ideational explanatory theory of change. CS2 could be seen to have produced a working relationship and atmosphere conducive to the production of the new sense-making and behaviours required for participants to make changes required by the new 18 week wait framework. He also produced commitment to change within and after the event, with the latter evidenced by participants' requests for specific forms of support subsequent to the event. His practice was based on the hypothesised CMO configurations articulated through the OD literature, thus producing a concatenation of relationship, atmosphere, commitment to change, new sense-making and new behaviours. There was no evidence of any attempt to produce subsequent transfer of these within-event changes to the participants' workplaces or to address their sustainability.

#### **4.4.3 Case Study 3 (CS3)**

##### *4.4.3.1 Description of the OD event*

CS3 had been asked by the Chief Executive of her organisation to put on an OD conference. She was given the flexibility to design the event in order to 'showcase' to the organisation what the OD team was doing, as a means of confirming to the organisation that OD was recognised as valuable. CS3 grasped this opportunity to influence the organisation by modelling a different way of organising and delivering events such as conferences.

The conference took place over a morning, with an optional masterclass and action learning set in the afternoon. The masterclass was an open event but the action learning set was only open to students on the organisation's 'Engaging Leaders Programme'. The agenda for the event can be found in appendix 3.

Invitations to the event were issued by the OD Team but in the form of a letter from the Chief Executive of the organisation. The letter was composed in the first-person and articulated the purpose of the event as a celebration of the 'tremendous progress that has been made to date' in the delivery of the Trust OD strategy. The content of the event was described as a number of opportunities for participants to 'develop' themselves through taking part in the 'taster sessions, coaching sessions and listening to the inspirational speakers'. The event programme was personalised for participants who had registered for specific workshops, the masterclass or the action learning set. Personalisation was in the form of the participant's name printed at the top of the programme.

The event's opening and closing comments were shaped by CS3 to ensure the most influential messages were given to the participants by the most authoritative people. She worked with the perceptions within the organisation of the role and power held by the Chief Executive, Chairman and Director of Human Resources and OD. The leadership masterclass and action learning set were both facilitated by the keynote speaker and, again, were influenced in terms of content and delivery by CS3. She used the image and reputation of the presenter as a core

part of the influence of the message. The presentations and taster sessions were delivered in a large hall (the gymnasium at the local fire service training centre). Displays of the work of the OD Team were inside the hall and displays of the work of ‘partner organisations’ (universities, OD consultancies) were around the refreshment area. A rolling DVD presentation of the work-experience workstream of the OD team played in the refreshment area and a PowerPoint presentation about the OD team played in the hall during breaks in the programme. These presentations drew on photographs and stories from members of the organisation about their experiences of the programmes and support delivered by the OD team.

#### *4.4.3.2 Data analysis*

The event, on analysis, comprised four stages; introduction, new sense-making, ending and further sense-making. As with the preceding case studies, each stage focused on producing different ideational outcomes. Outcomes from the earlier stages were maintained within and provided a context for subsequent stages. This structure can be seen in table 10.

STAGE OF EVENT	OUTCOMES
Introduction	Relationship Conducive atmosphere Commitment to change
New sense-making	New sense-making
Ending	Commitment to change
Further sense-making	New sense-making

Table 10: Structure and outcomes of CS3 event

### *Stage 1: Introduction*

This stage comprised opening comments by the OD practitioner and the organisation's Chief Executive Officer. Mechanisms of 'collaboration' and 'building relationship' were used as means of producing the relationship outcome. 'Collaboration' took the form of the Chief Executive's use of 'we' in his opening remarks;

"we don't think that's acceptable – we never want to see that again." (p2)

Naming key stakeholders was one form of building relationship;

'..mention all stallholders etc so connecting and creating community feel.' (p2)

The atmosphere constructed was one of a conference. The aim was to produce this through the collaboration evident in the interactions between the senior leaders of the organisation, those presenting and those present as conference participants. Within the post-interview, CS3 also described creating a conducive atmosphere through the mechanisms of 'developing positive atmosphere'. This was triggered through the standard of the conference, as an indicator of the pride of the OD team;

'we genuinely wanted people to feel comfortable and welcome and all that stuff but we, the way it was approached really showed that we all had a huge sense of pride in showcasing the stuff and wanting to give people that experience' (p14)

Mechanisms to produce commitment to change within this stage of the event included 'developing a belief in participants that they can make change',

'challenging them regarding the need for change' and 'developing an expectation for improvement' on the part of participants. The fact that the Chief Executive delivered the opening remarks and, thus, was the agent triggering such mechanisms attenuated their influence through his status as an authority figure in the organisation. Belief in the possibility of change took the form of naming the successes of the organisation and locating credit for these with organisation members. Challenge for the need for change took the form of ethical injunction and expectation for improvement comprised naming outcomes and implicit expectations;

"Over 5 years, huge fantastic journey.. One of best-performing organisations...You are critical and at the heart of ..." (p2)

"So, as senior leaders, make sure we influence our society....." (p2)

"use today in really exciting way....learn how to carry forward..." (p2)

"Today is about helping us to help you recognise what's changing so we can do what we do even better." (p2)

The design of the conference prevented interaction between participants and the presenters other than in the formal breaks. Thus the effect of these mechanisms in stage one was difficult to ascertain. These CMO configurations can be seen in flowchart form in figure 9.

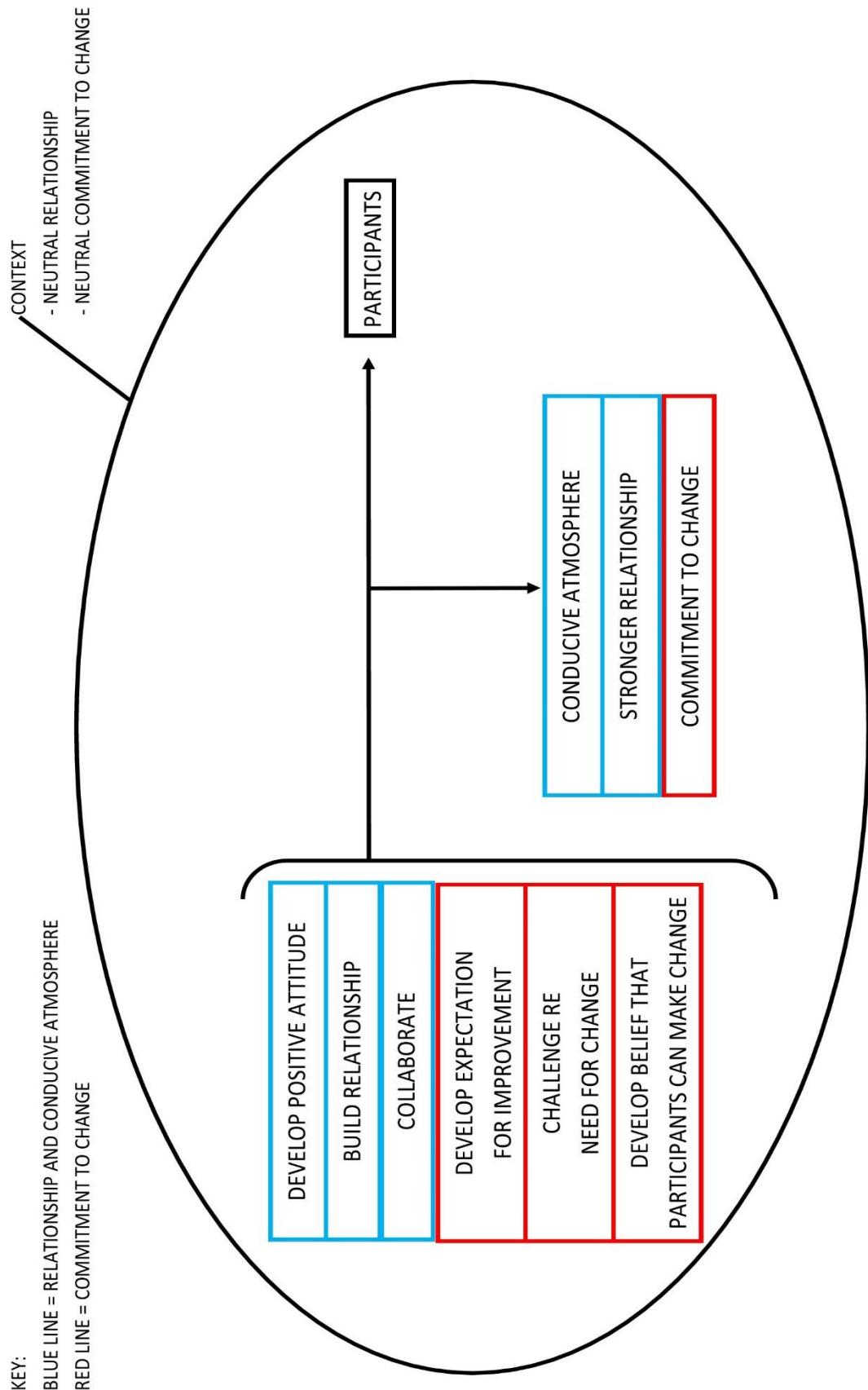


Figure 9: Ideational Context—Mechanism—Outcome Configuration for Stage 1 of Case Study 3:  
Introduction

### *Stage 2: New Sense-making*

The outcomes from stage one, relationship, conducive atmosphere and commitment to change, provided the context for stage two. This stage focused primarily on producing new sense-making together with maintaining stage one's outcomes. This stage comprised the key-note presentation given by the guest speaker as well as the four smaller taster workshops facilitated by CS3 and representatives of partner agencies.

Relationship and conducive atmosphere were maintained through both the keynote presentation and workshops. Within the keynote presentation mechanisms of 'addressing human reactions', and 'developing positive atmosphere' were triggered through the use of stories and metaphors. Examples included;

'Then light-hearted again – hands together and thumbs on top exercise [to exemplify implicit culture]' (p3).

'example of own child giving drawing – personal connection with example of kindness.' (p3)

The mechanism of 'collaboration' was triggered through the concept of sharing;

"I want to share with you today the importance and power of language"  
(p3)

and 'developing ownership' was based on the event's participants and presenters all being part of the NHS;

"aren't we the organisation?" (p4)

Commitment was elicited through the use of strong emotive imagery;

“Team you know would bleed for you and you would bleed for them” (p4)

Within the taster workshops the focus was on the mechanism of ‘building relationship’. This mechanism was triggered through the use of ‘you’ and ‘I’, providing a level of connection or relationship but not collaboration;

“Let me tell you about why I became an NLP practitioner’ [stories]’ (p6)

Mechanisms to produce participants’ commitment to change were evident within the keynote presentation. They comprised ‘developing the belief that participants could make change’ and ‘challenging them with the need for change’. The former took the form of attributing power for change to participants;

“It’s what you do as people that makes the difference” (p3)

‘Challenging participants with the need for change’ took the form of highlighting the size and importance of the task ahead and ethical imperatives to act, pulling on humanistic values. The presentation opened and closed with this focus;

“put your hand up if you think the organisation has got it absolutely right....put your hand up if you think the organisation still has a lot to do” (p3)

“bring about change, not stewardship...have to improve faster – be more alive as organisation than competitors...anyone can be a babysitter....getting people to commit themselves and to grow as human beings” (p5-6)

This focus on commitment to change through challenging participants regarding the need for change and their resistance was acknowledged and stressed by CS3 in her post-interview. Her selection of the guest speaker as a Chief Executive who looked and sounded so different to the leader of her own organisation provided a challenge to complacency;

'My aim was to get people excited about leadership from someone who does it in the NHS, so they can't say 'oh yeah, it's alright for them to say that – they work for Price Waterhouse Cooper or whatever" (p8).

'I wanted people to kind of feel, almost a kick up the backside, a wake-up call. We always make excuses in the NHS..... So I knew that when he pitched up he was going to look very different, I knew he was going to be dressed informally..... here's two ends of the spectrum, and he's a successful Chief Exec in the NHS so, this, [organisation's Chief Exec] doesn't mean success necessarily in the NHS, even though he's leading a successful organisation there are other ways.' (p18)

CS3 also described her aim to produce commitment to change through triggering the mechanism of 'developing participants' belief that they can make change'. This was triggered through the use of stories on a DVD from members of the organisation about their work and professional development;

'It makes it real because you're putting a face to a name – someone says 'I've done this and here's what happened to me as a result' – and the you might think, 'oh, if Fred can do it, maybe I'd get something like that from it..... and maybe helps your belief that you could achieve something similar'. (p12-13)

She underlined the significance of stories in eliciting emotion so eliciting motivation;

'You remember how people make you feel don't you, you don't necessarily remember any of the other stuff and what drives you to change things is how you feel about it usually, isn't it' (p17)

Mechanisms to produce new sense-making within the event included 'raising awareness', 'introducing new knowledge', and 'making new sense'. Again, stories and metaphors were used to introduce these. An example of 'raising awareness' was;

'Example: what's first thing you do in a lift – how did you learn that? London lifts in underground – turn round and no-one else does – 'I didn't know the rules...Get trained in a way of thinking and doing that often works and sometimes doesn't" (p3)

'Introducing new knowledge' drew heavily on Morgan's (1997) metaphors of machines, organisms, brains, cultures, flux and transformation and psychic prisons. 'Making new sense' comprised unpacking the metaphors, drawing on day-to-day examples to exemplify the points;

'Focuses on psychic prisons – Plato's cave, Munsch 'the scream', Beatles 'help" (p4)

"Emails are about passing the monkey on' – prevent face-to-face interaction' (p4)

The ideational explanatory foundation of OD was explicitly stressed as part of the production of new sense-making;

"OD is not.....Not about science improvement stuff. [OD] is about 'relational practice' – 'how I work with you as....' Repeat x3. 'Power of language to get people to want to change" (p5)

"To change, start by changing the way you talk" (p5)

CS3 reiterated the production of new sense-making through the mechanisms of 'raising awareness' and 'making new sense' in the post-interview. The coaching sessions were designed to trigger 'raising awareness' through providing a positive experience of something participants would not have had before and thus influencing their perceptions of coaching's utility. The commitment to modelling throughout the event was designed to trigger raising awareness through 'showing not telling', showing different ways to do things. 'Making new sense' was described in the post-interview as being triggered through providing opportunities throughout the stage of the event for participants to make connections;

'people making connections around what they've experienced on the day and themselves.....people get a bit of a lightbulb...' (p13-14)

CS3 assumed a causal relationship between sense-making, produced by the mechanisms of 'raising awareness' and 'making new sense', commitment to change and behaviour change, as expressed in the post-interview;

'a big goal certainly of mine ..... was just to inspire people just to try something, to see there's a different way, to listen to the stories, to the speeches and to talk to each other and to feel like when they were walking out I really wanted people to think 'hang on I'm going to try something" (p15)

This stage of the event thus ended on the presumption of outcomes of stronger relationship, conducive atmosphere, commitment to change and new sense-making. The atmosphere in the room and the reactions of participants provided some evidence for these outcomes being attained. That is, the presence of both laughter and silence throughout the stage was congruent with the emotions elicited by the speakers and, thus, indicated the presence of atmosphere and relationship (the former) and thinking or processing the information (the latter). These outcomes comprised the context of the final stage of the event. The CMO configurations evident within stage two can be seen in figure 10.

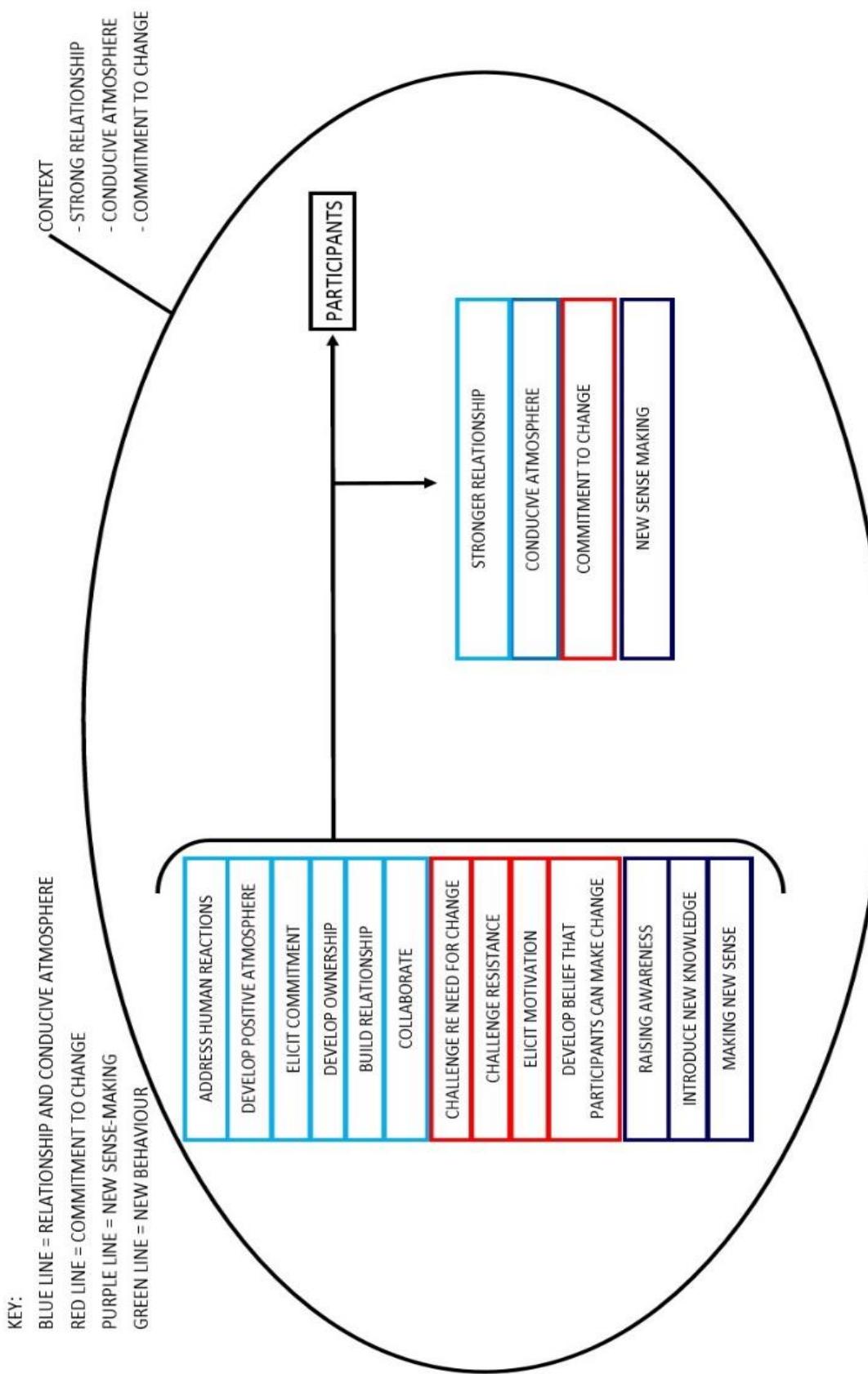


Figure 10: Ideational Context—Mechanism—Outcome Configuration for Stage 2 of Case Study 3:  
New sense-making

### *Stage 3: Ending*

Stage two's outcomes of relationship, conducive atmosphere, commitment to change and new sense-making formed the context for stage three. The ending stage of the event comprised the Chairman and Director of Human Resources making closing comments. This represented the respect for hierarchy within the organisation, with both individuals recognised by participants as authoritative leaders. This stage continued to focus on the outcomes of relationship, conducive atmosphere, commitment to change and new sense-making. The mechanisms targeting the production of relationship and atmosphere comprised 'developing a sense of ownership' on the part of participants and presenters as members of the organisation and 'eliciting commitment'. These contrast with the focus on the mechanism of 'collaboration' within stage one;

"My fantastic OD team have been bringing together" (p7)

"shows the commitment and support the [Trust name] places in leadership" (p6)

Mechanisms aiming to maintain commitment to change included 'challenging participants regarding the need for change' and 'developing an expectation for improvement', a theme throughout the event. Examples of such 'challenge' were;

"important these continue when you are back in the workplace (seeding sustainability)...and inspire others" (p7)

"living the values as a leader is really what you're all here to do" (p7)

'Expectation for improvement' related to future events;

“The first...conference...I do see this as part of a series of conferences...”  
(p7)

“want to make sure that the next event is even more exciting than this one”  
(p7)

The outcome of new sense-making was targeted through the mechanism of ‘making new sense’. This took the form of telling stories that exemplified the message of the speaker regarding effective leadership;

‘Messages to take away: ‘every soldier has got the right to ask any officer, ‘by what right do you lead me?’ – if they have to point to their rank, they haven’t got the right – superficial and diminished you as leader’ (p7)

and of describing what the event delivered;

“Bringing together key pieces of OD work...” (p7)

This stage comprised the ending of the full event at which all participants were present. The CMO configurations evident in this stage are represented in figure 11.

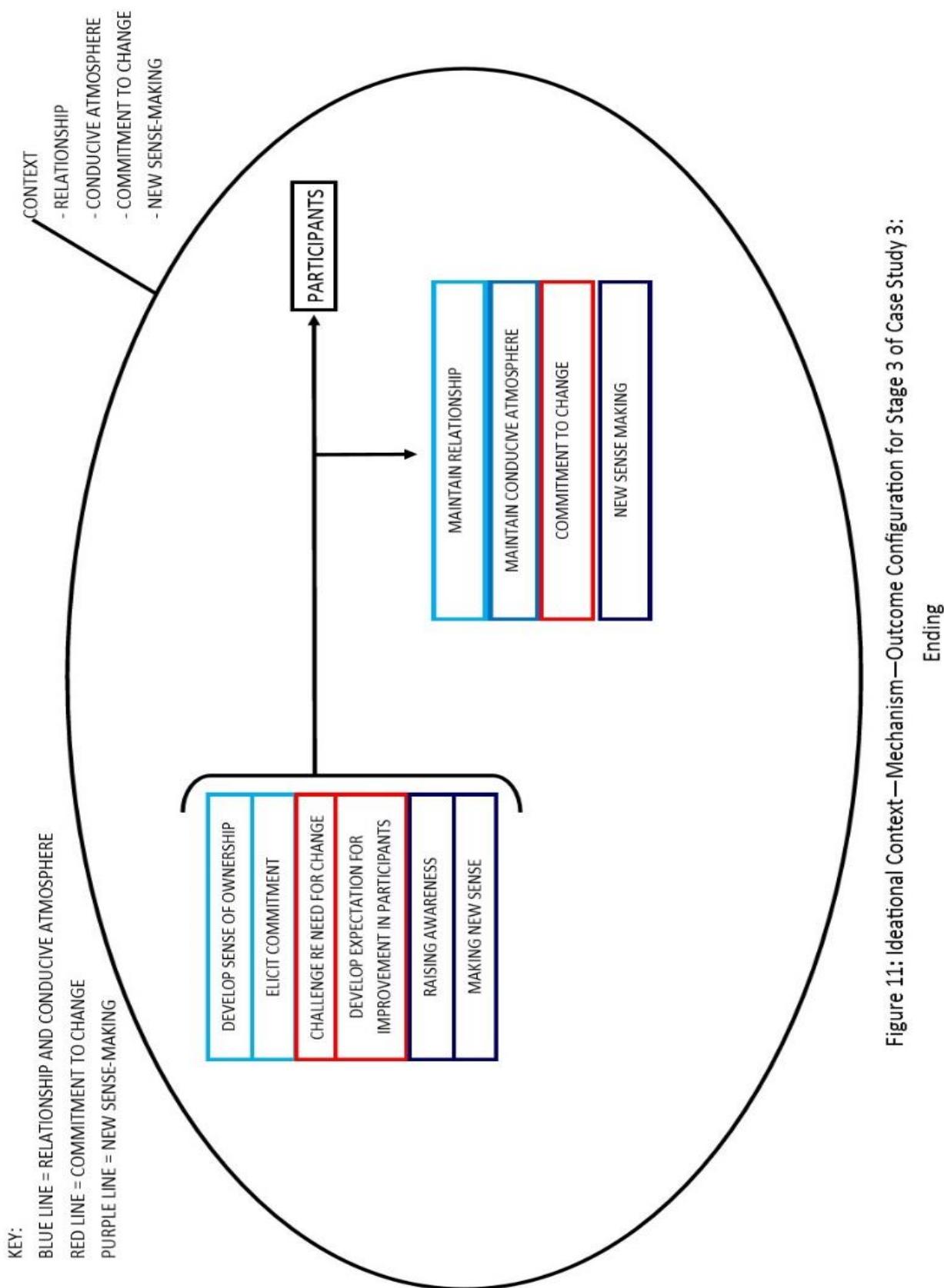


Figure 11: Ideational Context–Mechanism–Outcome Configuration for Stage 3 of Case Study 3:

#### *Stage 4: Further sense-making*

Stage three was followed by an optional masterclass. The event was closed in terms of the ‘take-home messages’ CS3 aimed for all participants to receive. The event then re-opened, in effect, through the scheduling of the masterclass, facilitated by the guest speaker. The majority of participants remained for the masterclass, whether they had registered in advance or not, providing evidence for the engagement of the participants. This engagement could have been founded on the outcomes assumed to have been produced through the preceding elements of the event; relationship and conducive atmosphere, commitment to change and new sense-making. Observational data did not enable the clear articulation of these different outcomes as sources of the participants’ motivation to attend.

The masterclass continued to support the ideational theory of change evident throughout the rest of the conference. It maintained and built upon the pre-existing foundation of relationship and conducive atmosphere. This was achieved by triggering mechanisms of ‘addressing human reactions’ through evoking significant emotion;

‘magic moments, seminal moments, pivotal points that shaped you’ – gave stories that pull emotion down – very moving, poignant’. (p8)

‘Very, very emotive story about A and E – death of a worker. Message of gift of being heard.

Finished on that note – the gift of being heard.

Very emotional feel in room’ (p10)

Within this context, the predominant focus within the masterclass was the production of new sense-making. Mechanisms evident for producing this outcome included ‘raising awareness’, ‘introducing new knowledge’ and ‘making new sense’. The triggering of ‘raising awareness’ formed the largest proportion of mechanisms used within this element of the event, drawing predominantly on the use of metaphor. For example;

‘Eskimo and dogsled story – pulling people together to get to where they need to be – step back and let team take the credit.’ (p8)

‘Analogy of pushing child into deep end of swimming pool and how we’d teach someone to lead – examples of perceptions from pavement art, Escher etc’ (p8)

‘Introducing new knowledge’ also related to the use of metaphor and story-telling in leadership and change;

‘5 things leaders need to be explicit about; models, ....metaphor, ....paradigms,..... personal constructs,..... archetypes....’ (p8-9)

This new knowledge was founded on OD’s ideational explanations for change;

“the power of story is the power to transform, to change lives, organisations and even the world” (p9)

‘Role of leader – sense-making  
Interpret, live out, make sense of, help staff see – job of leader’ (p9)

The mechanism of ‘making new sense’ was triggered through translating jargon ;

‘Distributed leadership – believe and live out values from front, side, rear  
High reliability organisations: strategise, anticipate, organise, rehearse, perform, notice, sense-make, adjustment, celebrate success, believe.’ (p9)

Thus, the masterclass continued to support and supplement the perspective of OD as being one of producing organisational change through the application of ideational interventions; the use of powerful words. It combined mechanisms for producing new sense-making with those designed to maintain conducive atmosphere and relationship. These were particularly evident at the beginning and end of the class. These CMO configurations can be seen in figure 12.

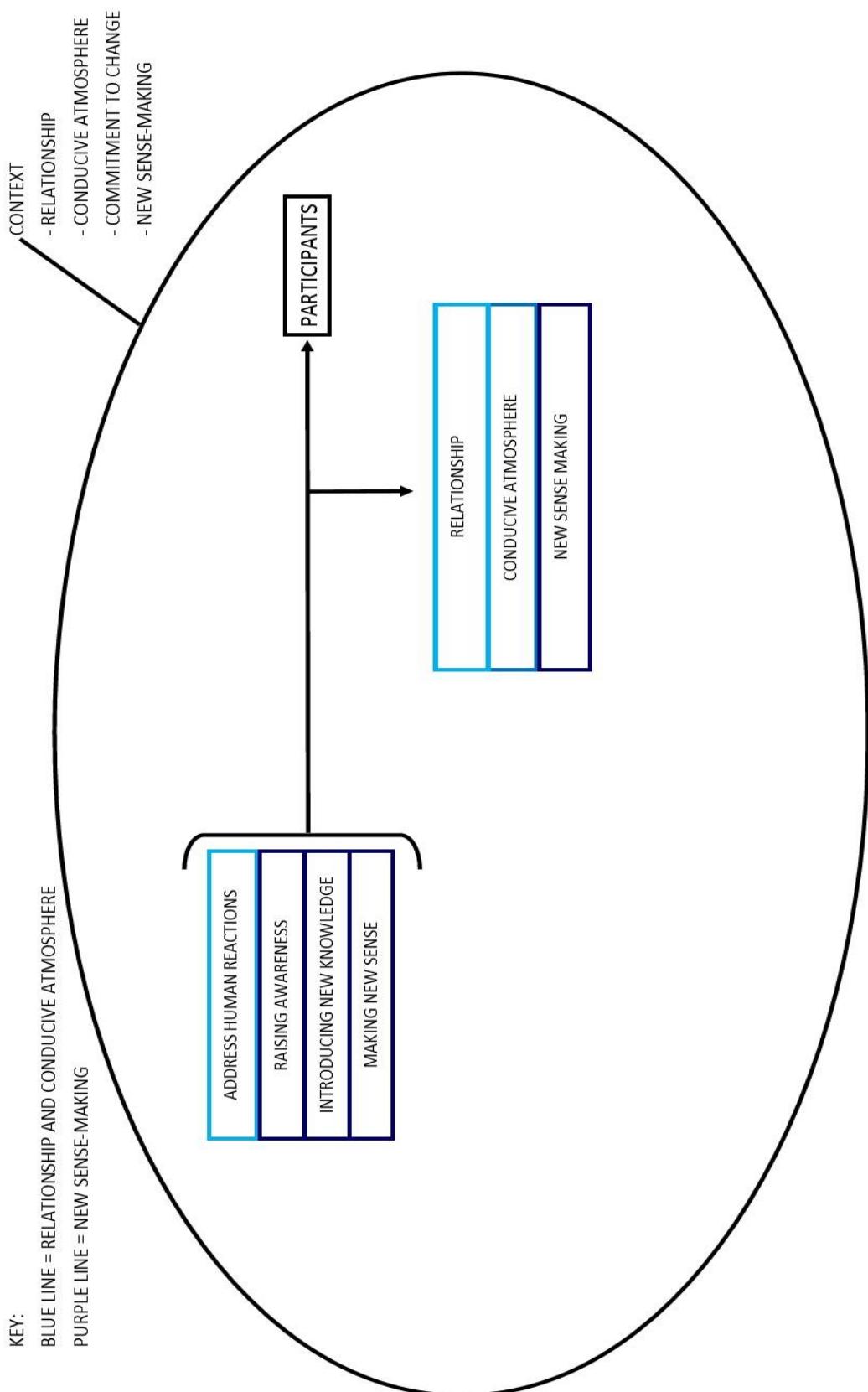


Figure 12: Ideational Context—Mechanism—Outcome Configuration for Stage 4 of Case Study 3:  
Further sense-making

This OD event, therefore, comprised three main components; conference, taster sessions and masterclass. All three components illustrated the use of the ideational explanatory framework for change dominant in the field of OD. The outcomes of strong relationship, conducive atmosphere, commitment to change and new sense-making were evident across the event, with different emphases within each element. That is, the opening and closing stages focussed on the production of outcomes of relationship, conducive atmosphere and commitment to change, the taster sessions focussed on relationship and new sense-making, and the key-note speech and masterclass focused on conducive atmosphere and new sense-making. Within the post-interview, CS3 confirmed the ideational CMOCs underlying the event.

#### *4.4.4 Similarities and differences between the theory-in-action evidenced within the three cases.*

The three practitioners' theory-in-action as evidenced through the observations of their OD events illustrated the ideational theory of change in action. Each of the events comprised all of the core ideational CMO configurations and so aimed to produce the outcomes of relationship, conducive atmosphere, commitment to change, new sense-making and new behaviours. Strong similarities existed between the three cases, with the exclusive use of ideational CMOCs leading to a superficiality in the attempts to produce change.

There was some limited variation between each event in terms of the quality of the relationship and atmosphere produced and the combinations of mechanisms triggered. Thus CS1's relationship could be characterised by humanistic qualities with CS2's being more authoritative and directive. CS3's event operated within a nexus of relationship congruent with the organisation's, and thus the event's, hierarchical context. The focus on producing new behaviours varied both as a priority and in terms of the mechanisms deployed. CS1 focused on producing new skills in his participants to provide the start of further improvement in their services. CS2 focused on new sense-making and its application in the form of new behaviours. CS3's event did not address the production of new behaviours but rather focused on new sense-making and commitment to change.

As evidenced throughout the analysis of the observations and post-interviews, each practitioner's post-interview provided support for the conclusions drawn from the analysis of the ethnographic observations. Each practitioner articulated the change strategy underlying their event in terms of ideational CMOCs, reflecting the differing emphases on these CMOCs evident in their events.

#### **4.5 Conclusion**

The evidence presented within this chapter, in the form of interview and observational data, supports the position that OD is founded on an ideational explanatory theory of change and illustrates its application within OD practice. The realist evaluation analyses made explicit the workings of OD, both in terms of the

practitioners' own sense-making about their work, and their application of that sense-making in their event facilitation. The CMO configurations evidenced in the interviews and observations were largely congruent with those implicit in the OD literature, with differences taking the form of how to account for failure to produce change (CS1 theory-in-mind pre-interview), the relationship between structure and sense-making and behaviours, and different forms of relationship (CS2 pre-interview) and the context provided by practitioner's commitment to and position in relation to the organisation (CS3 pre-interview).

Differences were also evident between three OD practitioners' theories of change and their applications. These took the form of the emphasis placed by each practitioner on the specific ideational outcomes and their concatenation. Variations were also evident in the practitioners' interpretation of the required quality of relationship and conducive atmosphere. Although such between-practitioner differences existed, each practitioner's own theory-in-mind and theory-in-action were consistent.

When addressing the absence of change or limitation in outcomes produced by OD interventions, practitioners did not leave the ideational theoretical frame. When practitioners raised the issue of structure, no account was given regarding the interrelationship between structure and organisational performance or behaviour, their mutual influence and how OD practice could co-ordinate interventions into

both domains. Such a significant limitation of ideational OD can be addressed through NDIT, as will be explained in the next chapter.

The distinct approach adopted by these OD practitioners was not driven by the context of the host organisation or the sense-making of the event commissioners. Rather, these events were seen to be typical of each practitioner's approach. Each practitioner subscribed to a particular application of the ideational theory of change within their OD practice, and applied it consistently to the interventions for which they were commissioned. This raises the issue of the effect of this practitioner-driven approach on producing desired outcomes through OD interventions. This issue could underpin the inconsistent evidence-base for OD, potentially providing an account for the contradictory results attained across initiatives drawing on the same interventions. Examples include key interventions of team-building and the use of stories, the latter of which was evident in the work of each of the practitioners presented here. A means for explaining the implications of the relationship between the OD practitioner's approach and the culture of the receiving organisation will be addressed in the next chapter, through the proposal of neo-Durkheimian institutional theory (NDIT) as an alternative theory of change upon which to found OD. The practical implications of this alternative model of change for OD practice will be explored in chapter six, through the NDIT-driven realist evaluation of the three case studies.

## CHAPTER 5: INSTITUTIONS AND SENSE-MAKING: NEO-DURKHEIMIAN INSTITUTIONAL THEORY AND ORGANISATIONAL CHANGE

'...we think in terms of languages and images which we did not invent, but which were given to us by our society' (A Watts)

'We don't see things as they are. We see things as we are' (Anais Nin)

### 5.1 Introduction

The above quotes encapsulate the dilemma at the heart of current OD theory and practice; the field's failure to adequately answer the questions 'where do OD practitioners' words come from?' and 'how do practitioner's choose the particular words they use?' Further, how do practitioners' incorporate the organisation's relationship to words in their design and delivery of their interventions and how do they anticipate that their participants' new ways of sense-making will be received in their organisations, such that they trigger change? OD's allegiance to the ideational theory of change, despite its apparent shortcomings, and its seeming blindness to recognising the need for a different foundation explains the field's failure to address these questions.

The previous chapters have established that organisational development is founded on an ideational theory of change derived from psychological models and that, through the realist evaluation of three cases, OD practice clearly evidences the application of this theory of change. OD's ideational foundations were made

explicit, first, through mapping OD against generic psychological theories of change, illustrating the psychological underpinnings of specific OD interventions and drawing out the connections between this psychological model and the competencies required by OD practitioners. Secondly, through the realist evaluation, showing that OD practice took the form of triggering ideational mechanisms of change to produce outcomes of establishing and strengthening relationship and conducive atmosphere, commitment to change, new sense-making and new behaviours. This change strategy was evident in practitioners' theory-in-mind and theory-in-action.

Limitations of OD's application of this explanatory mechanism of change were introduced in chapter two. They included the undermining within OD of the main psychological change ingredient (relationship), highlighting difficulties in OD's fundamental premise of cognitive change leading to behavioural change (and thus different outcomes for organisations) and the poor integration of institutional and ideational interventions within OD programmes. Practical limitations of the ideationally-based OD practice were exposed in chapter four in the form of practitioners' difficulty in explaining how change does NOT happen (CS1), in explaining how to integrate form and culture (CS2), the relationship of the practitioner to the organisation (CS3) and, crucially, the differential effect of the practitioners' more or less consistent approaches on the production of organisational outcomes.

This chapter will build on this foundation in addressing the third research question of this thesis; ‘is there an alternative model of change that can address the inconsistencies within OD’s outcome literature and explain the effect of OD’s interventions?’. This question will be addressed through presenting an alternative explanatory mechanism for change derived from a focus on institutions, practices and sense-making. Neo-Durkheimian institutional theory (NDIT), will provide the theoretical framework which will highlight and offer a resolution to OD’s ideationally-derived shortcomings. It will also be applied in articulating a possible ‘new’ OD practice.

In developing the argument for this alternative foundation for OD practice, previous theoretical attempts to resolve the institutional-ideational tension will be articulated and, secondly, the concept of ‘sense-making’ will be explored. NDIT’s theory of social form, sense-making and change will then be presented. Its implications for OD theory and practice will be made explicit.

## **5.2 Institutions and organisational change**

Institutions are defined as structural features of the society or organisation, which may be formal or empirical (explicit rules) or informal or fundamental (sets of shared norms) (6, 2004; Peters, 2005). Institutions pattern interactions between groups of individuals over time, so producing stable social interactions. Institutions are communicated and perpetuated through their members’ practices, through the characteristics of their environmental location and through shared values and

meanings. They provide a means of predicting and expecting the behaviour of others, so facilitating co-ordinated action. Thus, institutions can be said to both enable and constrain individual behaviour (Peters 2005; Hodgson 2006).

Institutional theory has come to be regarded as the dominant framework within which the work of understanding organisations and change is approached (Greenwood et al 2008). Organisational institutionalism introduced the idea that organisations are influenced by their institutional context. The development of the field of organisational institutionalism has been characterised by different emphases on organisational change. The initial foundations focused on the creation of order and structure within organisations followed by a shift in focus from stasis to change. A subsequent focus on the sources or mechanisms of change and the creation of heterogeneity was followed by broader focus on institutional work and logics (Greenwood et al 2008). Each of these phases echo difficulties found within OD as articulated in chapter two. However, they are approached from the opposite end of the institutional-ideational seesaw.

### *5.2.1 Institutional explanations of stasis*

The early foundations of institutional theory within organisational analysis emphasised the ways in which systems of shared rules create order and structure, which then constrain actors' choices and actions and, in turn, organisations' options (DiMaggio and Powell 1983). The starting-point for this development was the publication of four key papers; Meyer and Rowan (1977), Zucker (1977),

DiMaggio and Powell (1983) and Scott and Meyer (1983). This first wave focused primarily on stasis with little exploration of organisational change.

Zucker (1977)'s work is particularly relevant to the ideational framework shown in chapter two to underpin OD practice. She focused on micro-level processes of institutionalisation, and their relationship with ideation;

'upon the cognitive processes involved in the creation and transmission of institutions; upon their maintenance and resistance to change; and upon the role of language and symbols in those processes.' (1991, p104).

Her drawing on the ethnomethodological approach enabled her to explore the influence of institutions on individuals' cognitions and actions with a specific focus on the persistence of institutions; transmission, maintenance and resistance to change. Her hypothesis was that transmission increases with level of institutionalisation, and that such transmission is sufficient for maintenance of highly institutionalised acts. Her experimental studies provided empirical evidence supporting these predictions. In commenting on her 1977 paper in 1991, Zucker (1991) concluded that

'without a solid cognitive, microlevel foundation, we risk treating institutionalization as a black box at the organizational level, focusing on content at the exclusion of developing a systematic explanatory theory of process.....Institutional theory is always in danger of forgetting that labelling a process or structure does not explain it.' (p105-6).

Thus Zucker (1991) locates ideation within an institutional frame but nevertheless fails to produce an integrated theory of change rather than stasis.

### *5.2.2 Institutional explanations of change*

The issue of actual changes in organisations became more apparent within the next phase of theoretical development. Key issues pertinent for this thesis that emerged during this period of theoretical development related to the variability in organisational responses to institutional pressures (in contrast to the proposed homogeneity) and the means by which changes are transmitted. Studies examining the transmission of new organisational responses were conducted (eg Tolbert and Zucker 1983; Fligstein 1987) and built upon by studies examining the actual means of transmission. Proposed mechanisms or 'agents' of diffusion or spread included professional networks, government agencies, senior executives and, perhaps most interesting for the purposes of this thesis, management consultants (Ghoshal 1988). Thus, change is produced through different mechanisms relaying ideas and practices. However, the trigger and impetus for such change is not explored and a uniform concept of organisation is still promoted; that is, the inconsistencies and struggles within organisations are not critically addressed or, rather, the resolution or settlement between the conflicting groups within any organisation is not explained. In addition, the mechanisms of the way ideas, words and so on change organisational behaviour are not problematised; we are still within an ideational frame.

### *5.2.3 Heterogeneity between organisations*

Powell (1991) raised two critical issues in the field's theoretical development; the view of institutionalised organisations as relatively passive in their influence on sense-making and the view of organisations as static and over-constrained. He identified potential sources of institutional reproduction and persistence as including the exercise of power (persistence being a sign that those with power benefit from and so protect and perpetuate the institutional arrangement), the interdependency of institutional practices (so making change is extremely complex and costly) and the taken-for-grantedness of institutional practices (to the extent that they are not recognised as issues to be addressed or questioned). Powell (1991) proposed that heterogeneity and change could be accounted for by closer examination of their sources and patterns. Key sources of variation include differences in resource fields, competing demands from different parts of the environment, different sources of legitimacy drawn upon by professions and occupations and differences in ability to influence institutional expectations. Sources of difference in institutional change include incomplete institutionalisation of practices, novel re-combinations and applications of diffused ideas and unintended changes arising from inaccuracies in imitation of institutional practices.

Underpinning these new directions in exploring organisational heterogeneity is the idea that organisations exert control over their interpretation and the adoption of institutional practices. Scandinavian scholars (for example, Czarniawska and Sevon 1996, Sahlin-Andersson 1996, 2001) highlighted this dynamic through the

concept of translation of ideas. That is, during the adoption of ideas and practices, they are interpreted and reformulated. These interpretive processes enable changes to the ideas and thus organisations

'were no longer presented as conforming to institutional demands, but as making sense of them, adapting them, enacting them, and working upon them' (Greenwood et al 2008, p17).

Sahlin and Wedlin (2008) highlighted how Scandinavian studies of organisational institutionalism focused on the dynamic processes of the adoption of ideas and practices. Three key mechanisms were explored; imitating, translating and editing. Studies of imitation have focused on 'who is imitating whom and how' or 'organizations as fashion followers' (Sahlin and Wedlin 2008, p219). The focus on translation has been one of recognising that ideas transfer into a context of pre-existing institutions; actors, ideas, traditions. So the adoption of ideas is a more active process as it involves the integration of such new resources into the pre-existing context. This, in turn involves processes of editing as ideas take on new forms and meanings in the translation process. However, although conflict and power as mechanisms of change are highlighted, their exploration and critique is still limited in its explanatory power by its theoretical location within the ideational frame. Researchers are articulating the power of cognitions and interpretations as sources of influence and change without articulating the means by which ideas are produced, their sources and which ideas win out. Once again, the integration of ideation and institution and actual mechanisms of transmission are not evident.

#### *5.2.4 A practice perspective on organisational change*

Lawrence and Suddaby (2006) highlighted the significance of a practice perspective on institutional work; that is, institutional work as ‘intelligent, situated institutional action’ (p219). Such a perspective focuses on what happens within the processes of institutionalisation, what the actors are doing to affect the processes. Institutional work has three elements; first, culturally competent actors who have practical and cognitive skill sets which they apply creatively within their organisations or organisational fields. Secondly, institutions as constituted through the conscious acts of the constituent actors and thirdly, a recognition that actions are themselves institutionalised practices. Lawrence and Suddaby (2006) extrapolated institutional work practices within phases of creating, maintaining and disrupting institutions. Creating practices fell into three broad categories; political work relating to material resources, configuring belief systems, and practices focusing on altering meaning systems upon which boundaries and categories were based. Maintaining institutions involves ensuring compliance to rules and work focusing on the reproduction of norms and belief systems. Disrupting practices derive from the recognition that existing institutional arrangements do not suit the interests of all stakeholders. Practices aim to attack or undermine practices that induce compliance with institutions. Disruption is not the same as the creation of new institutions but involves its own distinctive practices. In conclusion,

'actors appear to disrupt institutions primarily by redefining, recategorizing, reconfiguring, abstracting, problematizing and, generally, manipulating the social and symbolic boundaries that constitute institutions.' (Lawrence and Suddaby 2006, p238).

Institutional work re-introduces actors' intentions in relation to institutions, establishing a broader perspective on individuals' freedom to act. However, again, work articulating the sources of triggers for change appears absent. The source of the actors' different perspectives, their ability to penetrate the dominant institutional screen where other actors fail, is not accounted for. A dynamic of change is introduced; pressure, failures in reproduction of legitimacy, but the breakdown is not accounted for in terms of 'why now?' and 'where from?' It seems to introduce the possibility of unlimited heterogeneity within organisations through the absence of any mention of limitations on actors' challenges to institutions. Although Lawrence and Suddaby (2006) appear to provide an alternative, practice-based perspective, underlying their practice gloss still remains an unarticulated argument regarding the origins of practices and their relationships to sets of institutions. A circularity becomes apparent from which ideational-based theories struggle to free themselves.

Thus organisational institutionalism echoes some of the difficulties confronting OD theory, articulated in chapter two; inconsistent outcomes in terms of the production of change and a lack of clarity on the precise mechanisms that have produced change and its variations. Institutional theory reverts to ideational theories of the

transmission of change yet fails to articulate their inter-relationship with institutions. It seems to lay out an artificial dichotomy between institutions and individual action, whereby the presence of the latter infers the absence of or breaking free from the former. It does not address the source of such freedom to act, the production of the options from which actors are selecting, which themselves would be derived from institutions. It also needs to go further in exploring and explaining how different sets of practices ‘win the day’ and maintain their position. Thus, organisational institutionalism remains trapped, reverting back to ideational concepts of change, adding nothing to the attempts to break out of the cul-de-sac within which OD and theories of organisational change find themselves. To break out of such circularity, adequate theory would need to explain how and why change occurs within organisations, the form change takes and the contribution OD could make to change processes. It is this contribution that NDIT can make.

### **5.3 Sense-making**

NDIT is based on an articulation of the causal relationship between social organisations and sense-making. As articulated above, organisations are configurations of institutions, which produce and maintain accountabilities between organisational members. These institutions shape their members’ options for sense-making and associated actions, facilitating and limiting them to ensure the institutions’ viability. It is to this aspect of theory of change and its implications for organisational development that we now turn.

Sense-making involves the construction of plausible accounts of happenings. These accounts are used to make interpretations of actions and events, with such interpretations being constrained or facilitated by the institutions within which they are located. Through these processes, explanatory narratives are constructed which make experience ‘legible’ for organisational members, facilitating interpretation, decision-making and choices of action. Such fundamental assumptions or worldviews become apparent through the content of the narratives developed – the metaphors, images, concepts and so on of which they comprise.

Sense-making is triggered when actors experience shocks in their perceptions of the world and so pay attention or notice. Effort is then expended to make sense of the shock, to repair the rupture in the shared construction of reality. Such shocks can be induced by an interruption due to new unexpected events or interruptions by expected events that did not occur. Examples of the former include novelty, ambiguity and undesirable situations, whilst the latter includes discrepancies, turbulence and complexity (Weick 1995).

Weick (2001) further developed the concept of sense-making through examining it as a means of producing order, or organising. Sense-making produces and is maintained by social form, through the processes of commitment and justification; ‘social order is created continuously as people make commitments and develop valid, socially acceptable justifications for these commitments.’ (Weick, 2001, p26).

For Weick (2001), the process of sense-making is triggered by action. Actions develop meanings through the justifications attached to them. Justifications are drawn from features of the social context or environment. Plausible justifications are those that are supported by, and meaningful to, significant group members. Commitment to a course of action derives from the need to justify it, a need which is intensified if the action is public, volitional and irreversible. This process of justification and commitment originates at an individual interactional level. Organisation is produced through the justification for such social acts, referring to institutions or social forms. This justification, in turn, establishes expectations, which are adopted by other actors;

'Confused people pay closer attention to those interdependent acts that occur in conjunction with some combination of choice and/or publicity and/or irrevocability..... As they become more fully bound to these interdependent actions, people are more likely to invoke some larger social entity to justify the commitment. This act of justification,...invokes a presupposed order such as a role system, institution, organization,...that explains the action.' (Weick 2001 p15)

Thus social order is reified, strengthened and explained and action becomes more predictable and organised. The entity of an organisation is constructed through the justification process triggered in relation to social action.

So, sense-making is a social accomplishment, developed through social interactions which, in turn, are shaped by and shape the social organisation or institutional nexus within which they are located. Sense-making is comprised of both interpretation and justification, effective sense-making increasing

commitment to the social form. Within whole organisations, different institutional configurations are evident, each with its own reflexive process of sense-making, whose content is derived from valid sources of justification for actions. If it is accepted that social form and sense-making are interdependent, then the effect of OD interventions will be constrained by this relationship. That is, if OD interventions are regarded as being valid in terms of the social form's accepted sense-making, they will be accepted. If the OD intervention falls outside of the accepted sense-making of the social form, it will be regarded as invalid and will fail to have any effect. Thus the challenge for OD and its ideational interventions is to find a way of penetrating the institution's sense-making in a way that will trigger changes within it. In addressing this challenge for OD, it is necessary to develop an approach to practice that is able to work into this reflexive relationship between social forms and sense-making (shared beliefs or culture).

#### **5.4 The inter-dependency of structure and sense-making: Neo-Durkheimian Institutional Theory (NDIT)**

The interdependency of social form and sense-making has been explained, with the implications of this for OD practice highlighted. NDIT will now be articulated to further develop a theoretical model upon which to base an alternative approach to OD.

#### *5.4.1 Origins*

Durkheim's project, from which NDIT derives, was to offer a convincing alternative to all forms of methodological individualism then being offered by economists and psychologists. Durkheim and Mauss (1963 [1902-3]) proposed that the means by which people articulate their experience reflects the social relations within which they are located; that is, practice precedes and is then supported by belief, such that people believe because they pray, not pray because they believe. Durkheim (1951 [1897]) had mapped social relations on two dimensions; social regulation or the extent to which social life is ruled or governed (discipline) and social integration or accountability to a collective or group (attachment). These theoretical developments introduced a more collective and normative underpinning to social behaviour in contrast to previously individualistic explanations.

Douglas (1982) further developed Durkheim's analysis by creating an intersecting framework out of his two dimensions. The cross-tabulation of these two dimensions produces four 'ways of life' or cultural forms. Each of these strives to maintain and sustain its existence, to be 'viable', through ensuring a congruent relationship between its structures and its values and beliefs (Thompson et al 1990);

'The viability of a way of life...depends upon a mutually supportive relationship between a particular cultural bias and a particular pattern of social relations. These biases and relations cannot be mixed and matched.....A way of life will remain viable only if it inculcates in its constituent individuals the cultural bias that justifies it. Conversely..., individuals, if they wish to make a way of life for themselves, must negotiate a set of values and beliefs capable of supporting that way of life.' (p2).

Individuals' institutional positions will determine what they are able to interpret and appraise, that is what sense they make of their world and their place within it and how they do this (Durkheim 1982; Douglas 1986).

#### *5.4.2 Cultural forms*

The institutional positions or cultural forms can be described in terms of their location on Durkheim's key dimensions; social regulation or 'grid' (Durkheim's discipline) and social integration or 'group' (Durkheim's attachment). Douglas's cross-tabulation of these dimensions produced four cultural forms; high group high grid (hierarchy), high group low grid (enclave), low group high grid (isolate) and low group low grid (individualist). These are illustrated in figure 13. The implications of these positions have been examined within the fields of risk perception (Douglas 1992), sacred beliefs (Douglas 1970), 'taste' (Douglas 1996), policy implementation (Peck and 6 2006), political decision-making (6 2013), organisation development (Peck and 6, 2008), public sector management (Hood 1998), use of new technology (6 2004), environmental issues (Thompson and Rayner 1998; Thompson 1979), terrorism (Douglas and Mars 2003) and dinner parties (Mars and Mars 1993) to name a few. The relationship and interdependency between cultural form and sense-making have been made explicit as means of providing causal explanations for choices and actions in all of these areas. The four cultural forms and their relevance for organisations will be described. These descriptions are

based on a synthesis of the work of many authors including 6 (2004), Douglas (1986), Hood (1998), Peck and 6 (2006) and Thompson et al (1990).

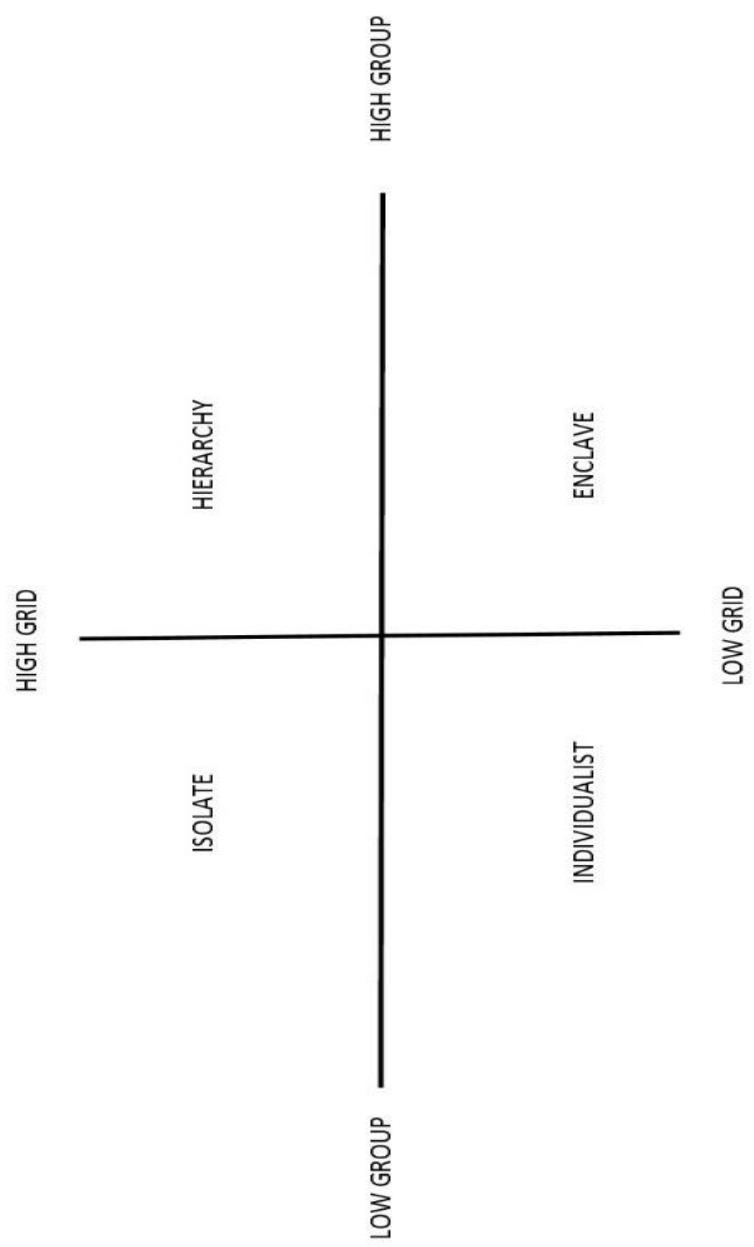


Figure 13: NDIT Cultural Forms and Their Grid and Group Positions

Hierarchy is constructed through and characterised by high group in which the individuals' needs are sacrificed for the good of the group, and high grid in which explicit accepted ground rules determine behaviour. Each member has their place and is given respect for their contribution to the overall functioning of the system. They are subject to control by other members of the form and by the responsibilities inherent in their roles. Authority and status are conferred through role. Sense-making is led by those with authority at the top of the hierarchical structure. Regulation provides a structure for appropriate interaction and role performance, with accountability being directed upwards in the hierarchy. Failures are attributed to a lack of rule-following.

Individualism is characterised by low group and low grid; that is, prioritising the needs of the individual over those of the group and the use of negotiation and flexibility rather than using preset rules. This form does not look to the higher echelons for guidance but values bottom-up entrepreneurial styles of problem-solving and improvement. Thus members use their own skills and experience to make gains for themselves, assuming that self-interest is the overarching driver for change. Competition is perceived as the process by which problems will be resolved, drawing on rational means-ends perspectives. Authority derives from control of resources (including skills and achievements) and, in turn, is the source of status. Accountability to others is limited. Failures are attributed to lack of competition and personal shortcomings.

Enclave is constructed by the intersection of high group and low grid. That is, prioritising the needs of the group over that of the individual but with an emergent perspective on rules; the group developing their own rules in preference to authority granted by position. Enclaves are formed around commitment to certain universal principles. Group solidarity around these principles fosters effective functioning and sense-making. Group self-management and solidarity provide the sources of accountability and authority. The boundary between the group and the outside is strongly protected, with rejection by the group being the ultimate sanction for wrong-doing. Information-sharing is used to strengthen the bonds between members rather than to develop innovative ideas. Failures are attributed to lack of loyalty to the group and its values, and to existential threats to everybody posed by the system.

The isolate form is characterised by low group and high grid; that is an absence of any form of group solidarity and a perception of being controlled by rules outside of the control of the individual – a ‘learned helplessness’ position. A lack of trust and collective loyalty reflects the low group position of this form, with associated rejection of participation and collective action. Sense-making is difficult due to the weakness of social connections and the perceived random nature of authority. Organisational failure is seen as inevitable and attributed to fate, outside any influence of members of this form.

Thus, the essence of this typology is the influence of the forces of constraint (grid/discipline) and bonding (group/attachment) (6, 2004). Together they influence the approach taken to sense-making by each cultural form; the dominant worldview. Thus, institutions shape thinking – not only the content of thinking but also what is recognised as something requiring thought. They determine what is perceived to be problematic, what the sources of potential solutions could be, what possibilities are available for change and so on. It can therefore be seen that institutional contexts or cultural forms and their dynamics influence the potential for ideational change within them and OD needs to work with these dynamics.

#### *5.4.3 Sense-making and the protection of cultural forms*

The dynamics of sense-making and protection of cultural forms will now be examined in more detail, through preference formation, information selection and rejection and rhetoric. The selection of a cultural form by an individual carries significant implications for preference formation. According to Wildavsky (1987),

‘cultural theory is founded on the axiom that what matters most to people is their relationships with other people and other people’s relationships with them. ...[T]he major choice made by people....is the form of culture – shared values legitimating social practices – they adopt. An act is culturally rational, therefore, if it supports one’s way of life.’ (p6).

##### *5.4.3.1 Preference formation*

This cultural position provides a foundation for forming preferences – the individual’s intention is to strengthen his or her cultural form. Preferences reflect the internalisation of the cultural form and its constituent social relations and

attempts to justify its practices. So preferences are formed from the choice individuals make about how to relate to others (Douglas 1986; Thompson et al 1990). According to Thompson et al (1990), preferences emerge from cultural forms in two ways; new situations are approached from the perspective of their support or undermining of the cultural form and, secondly, through committing to a cultural form, individuals commit to specific ways of organising life which carry with them other implications. For example, in the former situation a member of an enclave form need only address the issue of whether the options will increase or decrease equality between people. In the second situation the enclave member holds beliefs relating to ‘us and them’, which will act as an implicit lens through which issues will be interpreted. Thus, as Douglas (1986) states,

‘institutions survive by harnessing all information processes to the task of establishing themselves. The instituted community blocks personal curiosity, organizes public memory, and heroically imposes certainty on uncertainty.’ (p102).

Not only does this have relevance for members of an organisation, but also for OD practitioners and their membership of the different cultural forms within the field of OD. The interpretations, or sense, that OD practitioners make of the organisational issues they are called upon to address, will be determined by the cultural lens through which they look, which is derived from the cultural form in which they are located.

#### *5.4.3.2 Information selection and rejection*

Cultural forms are also protected through the selection and rejection of information. Each organisational form reflects different rationalities; that is, different forms of sense-making underpinned by different positions regarding information-gathering and rejection. Each cultural form will be open to different kinds of learning which influences what kind of information it seeks out. They each draw on distinct styles of inference from their hypotheses, seeking out different forms of confirmatory evidence. Hierarchies are interested in entitlement and status and seek out information regarding how to maintain their existing order and legitimacy. They value hypothesis-generation and knowledge-testing founded on a legitimacy granted by recognised expertise and formal methods and are slow to relinquish old methods and knowledge. The individualist form engenders in its members an interest in maximising results with minimal information-seeking effort, evaluating hypotheses or predictions with these criteria. Thus satisficing is the strategy of choice. The enclave form prioritises equalising outcomes and thus promotes the search for evidence of inequality and strategies for addressing and rectifying it. The isolate form does not produce interest in information or change other than to brace itself against the further consequences of fate (Taleb 2007).

Thompson and Wildavsky (1986) go further in examining leadership as a means of exercising power. The form of such exercise will be determined by the cultural

form. So, within hierarchies, authority and power are associated with position and so are protective of leadership. Individualist forms regard leadership as any other commodity, not investing in it unless absolutely necessary and for as short a time as necessary. Enclaves regard leadership as inequality but will accept charismatic leadership when under threat. Isolates do not have a relationship with leadership as, to do so, would contradict the passive isolate style.

Thus, cultural form has extensive effects on core OD issues; for example, learning and leadership. OD is also concerned with awareness of the need for change and motivation to change, both dependent on cultural members being able to 'hear' the differences that OD practitioners present, without rejecting the information. NDIT's work on anomalies and information rejection is especially relevant to this endeavour.

The presence of an anomaly triggers responses from cultural forms designed to protect their existence. Anomalies are events or problems that call for a decision but for which the cultural form's style of classification and information-processing fall short (6 2012); that is, they do not fit into the form's accepted ways of thinking (Bloor 1978). Douglas (1966) showed how anomalies of classification reflected tensions or ambiguities within a cultural form. She drew upon animal classifications in Leviticus and the Lele cult of the pangolin to evidence the relationship between social tensions and their displacement onto observable things (6 2012). Bloor (1978) articulated different responses to anomalies according to cultural form when

examining the development of mathematical theory. Hierarchies recognise anomalies as situations or issues that disrupt the equilibrium of the form. They respond through a process of ‘monster-adjustment’; that is, adjusting or furthering developing classificatory systems and rule-based frameworks. Individualist forms embrace anomalies, embracing them as opening up new ways to progress. Members of this form exploit anomalies for their own advantage. Enclave forms recognise anomalies as situations that violate their classification systems, threatening their viability. Anomalies are regarded as taboos and ‘monster-barring’ or expulsion are used as responses. The isolate form recognises anomalies in terms of their increase in cost and difficulties for the members. These courses of action will still be pursued regardless of such costs (6 2012).

Thompson (2008) also differentiates between the kind of information rejected and the way it is rejected by cultural form. Each cultural form has a distinctive information-rejecting style which is critical to its continuation, as represented in Table 11. Thus, hierarchies practice paradigm protection, so resisting changes that threaten their hierarchical structure – ‘closing ranks by an establishment’ (Thompson and Wildavsky 1986 p281). Hierarchies draw on ‘collectivist manipulative’ strategies – more rules are constructed to address the shortcomings or failure to address anomalies by pre-existing sets of rules. Networking is practiced by individualists in shifting less important information to more peripheral parts of the network. Individualists draw on individualist manipulative strategies and thus exploit anomalies. Expulsion is the style practiced by enclave cultural

forms, protecting its ‘us and them’ boundaries. Collectivist survival strategies are drawn upon. Risk absorption is associated with the isolate position of accepting anything the world inflicts. The aim is one of individualist survival.

ISOLATE (high grid, low group): Co-existence of anomalies, exception-barring Risk absorption	HIERARCHY (high grid, high group): Monster-adjustment, exception-barring Paradigm protection
INDIVIDUALIST (low grid, low group): Exploitation of anomalies for own benefit Networking	ENCLAVE (low grid, high group): Monster-barring Expulsion

Table 11: Information Rejection Styles By Cultural Form, developed from Bloor (1978) and Douglas (1966).

Thus within each cultural form, only specific forms of persuasion and justification will be effective; that is, will penetrate and not be framed as an anomaly and thus rejected (Bloor 1978). This has significant implications for OD’s use of talk and text. As has been shown, each cultural form draws on its own sense-making and associated rhetoric to support and sustain its position. As Hood (1998) explains, ‘the rhetorical key that will open one type of social lock is unlikely to serve as a master-key for all of the others.’ (p178).

#### 5.4.3.3 Rhetorical persuasion

So each cultural form will be associated with a different rhetoric. For talk and text not to be rejected, therefore, OD practitioners need to deliver interventions in ways that respect the sense-making of the cultural forms. They need to recognise the

configuration of forms into which they are intervening and adjust their rhetoric accordingly.

Three components are critical for a cultural theory or NDIT account of the use of rhetoric; the ethos or credibility of the speaker, the pathos or emotional atmosphere created and the logos or the quality of the argument itself (Hood 1998). The argument itself can draw on four different rhetorical devices; first, use of metaphor, secondly, use of details used as representations of the whole, thirdly, an associated property or characteristic and, finally, the use of paradox. Each cultural form will require different styles of these rhetorical components to be able to hear the message, as represented in Table 12. So, for hierarchical forms, the ethos will be one of an authoritative figure with a somewhat paternalistic relationship with the audience and atmosphere (pathos) – for example, teacher and pupils. Logos, or qualities of the argument can include metaphors of games such as chess with its rigour, structure and implicit status (6, 2004), details in terms of rules and integrated machines, properties or characteristics such as coats of arms and paradox drawing on examples that highlight the fragility of group solidarity (enclave) and individualised competition (individualist). An individualist rhetoric is delivered by ‘a lonely figure battling the collective’, within a frame of self-help. Metaphors include individual games of skill such as poker, details include strategic competitive encounters, properties include contracts and paradoxical interventions include the tendencies of enclaves and hierarchies to subvert the market. Enclaves’ rhetoric would be delivered by a ‘member of a persecuted group’, in an

atmosphere of anger stemming from abuse of power by those in control. Metaphors include games such as football with its team ethos and rejection mechanisms (transfers) (6, 2004), details including informal group-based interaction, properties being seminars or conferences and paradox including individual incompetence (individualist) and failure of top-down leadership (hierarchy). Finally, isolate forms require rhetorics delivered by a sceptic constructing a resigned atmosphere. Metaphors include games of chance, details of confusion and chaos, properties being red tape and paradox including unintended side-effects from planned interventions (Hood 1998). In conclusion, 'all the packaging in the world will not help if the basic content of an idea does not fit the cultural context at which it is being aimed. Some ideas will simply be 'unsellable' to particular audiences' (p189).

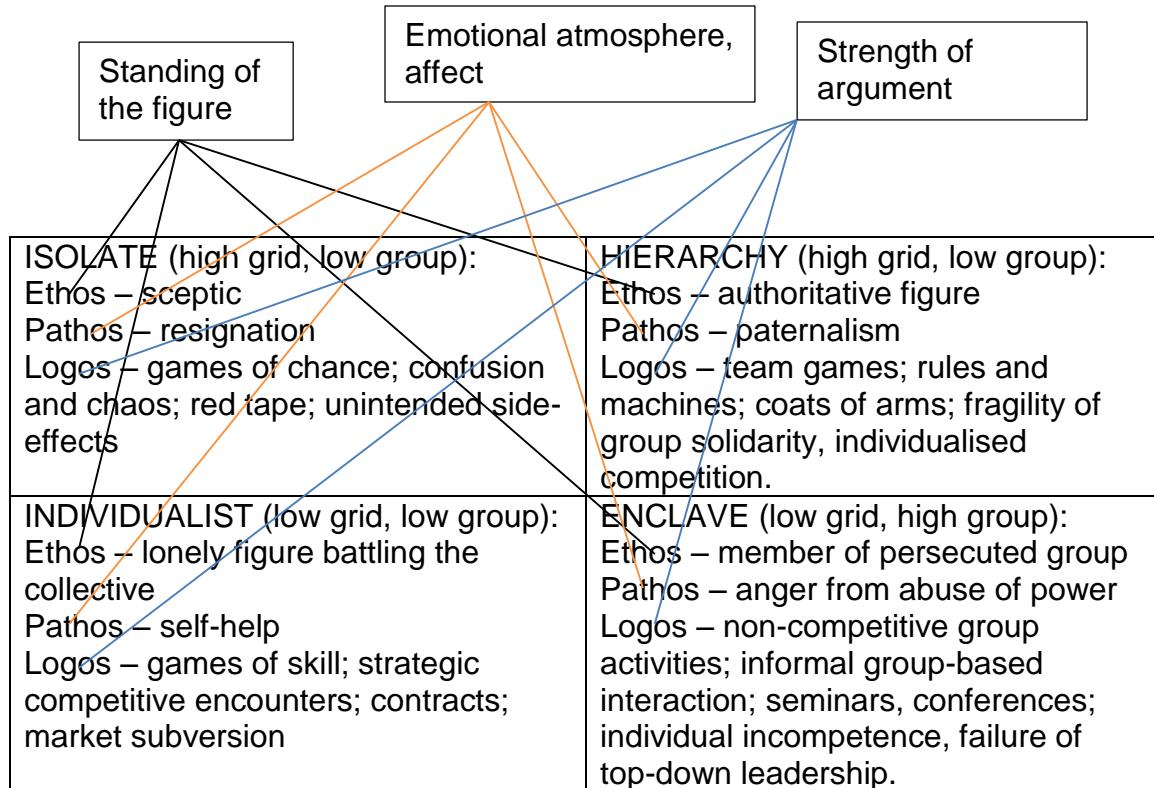


Table 12: Rhetorical Persuasion By Cultural Form developed from Hood (1998)

#### *5.4.4 The dynamics of organisational change*

Organisations comprise different configurations of cultural forms. The discussion above has addressed the internal relationship between structure and sense-making. Now it is to the dynamics between cultural forms and their implications for organisational change that we turn.

Cultural forms are dynamic, continually moving. Each of the cultural forms has strengths and weaknesses in their provision of solutions to particular situations (Peck and 6, 2006). Change occurs when the cultural form fails to deliver on its promises resulting in members looking beyond its confines for alternatives, as well as when the institutions comprising each form are strengthened by the thinking and acting of its members (Thompson et al 1990). Each cultural form needs its rivals to react against, to provide compensation for its weaknesses or to exploit. Each cultural form depends on its rivals for survival. This is Thompson et al's (1990) requisite variety condition. To illustrate;

'Were [enclaves] to eliminate hierarchies and individualists... their lack of a target to be against would remove the justification for their strong group boundary and thus undermine their way of life....[W]ere individualists ever to rid the world of hierarchy, there would be no extra-market authority to enforce laws of contract, thus producing the breakdown of the individualists' way of life.' (p4).

Organisations contain combinations of these four forms; two, three or four-way combinations. The weaknesses of a cultural form lead to the seeking out of

alliances with other forms with compensatory strengths. However, simultaneously, each form tries to undermine its rivals to deter its own members from being tempted to leave and to attract members from other cultural forms. As one form exerts its strength in its attempts to attain dominance, the others react. Settlements between the forms need to be achieved in order to introduce temporary stability, to enable people working within different cultural forms to be able to co-operate sufficiently to enable the organisation to survive. Four different kinds of settlement are possible; separating the different institutional forms into different spheres of operation, tolerance whereby each form is given an element of recognition, mutual dependency whereby one form provides resources for another and compromise or hybridity whereby cultural forms concede some commitments in exchange for the recognition of others (Peck and 6 2006). Each of these settlements has strengths and weaknesses but are essential in ensuring the viability of the organisation. For example, individualists and hierarchy may form an alliance or settlement as a means of gaining stability (hierarchy) and economic growth (individualist). However, individualists may fear hierarchy's restricting of competition and hierarchy may fear individualist's introducing too much competition and thus destabilising the order of the organisation (Thompson et al 1990).

#### *5.4.4.1 The positive feedback dynamic*

The dynamics within and between each cultural form can be explained in terms of positive and negative feedback loops. As discussed above, members of different cultural forms are institutionalised into ways of thinking and being. Through their

ways of thinking and being they reinforce the cultural form, but thereby, produce more extreme versions of its institutions. This process is called positive feedback. Each cultural form undermines itself through this positive feedback loop as it becomes more extreme in terms of its position in relation to grid and group. Hierarchy, with its style of developing more rules and roles in the face of new challenges, can undermine the effectiveness of the organisation through producing gridlock through the quantity and complexity of the rules and roles, de-motivating members as a result of the associated loss of clarity. Positive feedback within the individualist form can produce short-termism and extremes of self-serving behaviour and reduced loyalty to the organisation. Positive feedback within the enclave form can produce an increase in confrontation with other forms, leaders striving to be even more charismatic to maintain commitment of the group and using longer and longer decision-making discussions. Within the isolate form positive feedback produces fatalism. The result of such positive feedback loops is disorganisation as the once functional institutions (in terms of sense-making) become unhelpful for their members in predicting the world and trusting fellow organisational members. Thus the positive feedback hits a point at which the organisation tips from functionality to disorganisation.

Thompson et al (1990) describe such experiences as ‘surprises’; a mismatch between the expectations held by exponents and the reality delivered by the cultural form, such that the worldview fails to provide a means of making sense of the situation. Each of the cultural forms has flaws and blind-spots from which

surprises and disappointments derive. ‘Surprises’ can be regarded as a form of anomaly – an exception that is discovered suddenly. So the different cultural forms are ‘surprised’ by different situations, or rather by different combinations of situation and interpretation, or expectation and reality. For example, hierarchy predicts that, with knowledge and care, the organisation will do well. It will be surprised if competitors who are regarded as less knowledgeable and less careful do better. Members of an enclave form predict that the outside world is cruel and thus do not expect to do well in it. So, a surprise will occur if they do well and this is seen as evidence that the world is not as cruel as had been assumed. Change is triggered by ‘the cumulative impact of successive anomalies and surprises’ (Thompson et al, 1990, p69), the point at which individuals look beyond the cultural form for alternative explanations. These alternatives take the form of a different worldview being seen to compensate for the failures of the original form. Arguments promoting alternative cultural forms are made out of the shortcomings and rejections of the occupied position and not necessarily the promotion or strength of the advocated position.

#### *5.4.4.2 The negative feedback dynamic*

Negative feedback is the means by which each cultural form keeps the other forms in check. When a particular form is overly dominant, other forms act to temper or limit the extremes of the opposing forms through negative feedback mechanisms. Competition and conflict emerge as members look towards the options provided by alternate cultural forms in their search for solutions to their sense-making

problems. Thus, as cultural forms operate within their settlements, the dynamics of positive and negative feedback continually undermine and rebalance these settlements. The internal, positive feedback processes in one cultural form destabilise it, leading to members looking elsewhere for sense-making solutions. Negative feedback operates between cultural forms, preventing the overall dominance of one form over others and so the slide into disorganisation. Within NDIT, therefore, two dynamics of change are evident; moves to extreme positions, which expose the weaknesses of the cultural form, destabilising it. The dominance of a cultural form triggers responses from the other forms, negative feedback, producing clashes and the breakdown of settlements (Thompson et al 1990; Hood 1998; 6 and Peck 2002; Peck and 6 2006). At this point the organisation is entering disorganisation. OD is often commissioned at this point to re-establish organisational functionality.

Thus, the fundamental components of NDIT have been presented. It can be seen how NDIT addresses the shortcomings of both ideational theory underpinning OD and those implicit in institutional approaches to organisations; that is, the failure to articulate an intergrated reflexive relationship between structure and ideation. However, NDIT is not without its critics and it is to these that we now turn.

## **5.5 Criticisms of Neo-Durkheimian Institutional Theory (NDIT)**

Criticisms of NDIT relevant to this thesis fall into two main groups; NDIT's presentation of an overly simplified view of the social world or 'nursery toys'

criticisms and NDIT's poor empirical support and implicit methodological flaws or criticisms of 'soft science' (Hood 1998). These criticisms both seem to be founded on fundamental misunderstandings and misapplications of the theory.

### 5.5.1 '*Nursery toys*'

Such criticisms address the proposal of four elementary forms of social life and the mismatch between the reality of social life and the clear mapping of it onto these forms (Hood 1998). As is evident from the arguments laid out above, this is a misrepresentation of the theory, failing to address NDIT's perspective on change which introduces the place of settlements between forms as solutions to the problems created by positive and negative feedback.

Marsh et al (2001) charge NDIT with being limited in its perceived failure to address anything other than the elementary forms. Again, the dynamics of change underpinning the theory and the critical relationship between practices and forms contradict Marsh et al's (2001) position. Marsh et al (2001) also charge the theory with being circular through their perception of coding for forms requiring the attribution of motive. Once again their error is apparent; forms are coded on the basis of indicators of social organisation, not on any indicator of thoughts or motivations. Indeed the theory is founded on a move away from such ideational explanations.

### *5.5.2 ‘Soft science’*

These criticisms of NDIT address issues of its empirical support. Criticisms of its weak empirical support have been made by Latour (1988), Boholm (1996), Sjoberg (2003), Oltedal et al (2004), and Oltedal and Rundmo (2007) to name a few. These criticisms seem to be founded on a misinterpretation of the crux of NDIT; the articulation of the causal relationship between social structure, practices and sense-making. Not surprisingly, such misunderstandings then lead, by some authors, to advocating a focus on operationalisation of NDIT’s key concepts of elementary forms (eg Chilton 1991), the grid and group dimensions (eg Dutton 2006) and sense-making (eg Sjoberg 2003).

The studies empirically investigating the predictive power of NDIT take the form of focusing on its application within specific sphere, for example in risk decision-making, defining the cultural location of the individuals within the study and then measuring the sense-making of the individuals (eg Palmer 1996; Marris et al 1998; Sjoberg 1997, 2003; Oltedal and Rundmo 2007). The studies report weak correlations between cultural form and sense-making. On closer examination of such studies, misapplications of the theory become clear. The first error lies in attempting to apply the theory as a static descriptive typology rather than dynamic practice-based explanation of the development and maintenance of styles of sense-making. In applying NDIT as a typology, authors have approached it as a personality or attitudinal theory (Wildavsky and Dake 1990, Sjoberg 1997, 2003, Marsh et al 2001), focusing on the individual rather than the social organisation,

within a fixed, de-contextualised time-frame. Questionnaires designed by authors to identify cultural position fail to address the crux of the theory – that it is style of sense-making, not content, that determines such positions. Researchers have overlooked the critical component of the theory as the need to start with social organisation as the unit of analysis, defined through position on the dimensions of grid and group as well as recognising the existence of settlements (6 2004, 6 2014).

Sjoberg (2003) addressed the explanatory utility of NDIT through three studies of distal factors in risk perception. In his second study he focused on world-views and risk perception, using questionnaire data drawn from a representative sample of the Swedish population. The world-views derived from NDIT were compared with those of New Age beliefs and environmental beliefs, in terms of their explanatory power in predicting risk perception. The NDIT world-views were measured on six indices; group, grid, hierarchy, individualist, enclave and isolate. Three items made up each index. Scores attained on these indices were correlated with those attained for perceived general and personal risk relating to 37 hazards. There were no significant correlations found between any of the NDIT indices and risk perception.

This study was further developed in terms of focusing exclusively on NDIT in relation to risk perception within genetic engineering. The sample population was drawn from five Nordic countries, again using questionnaires for data collection.

The four cultural forms were each operationalised with five items. Risk of genetic engineering was addressed using two items. Immediately, significant errors are evident in the understanding and application of the implications of NDIT for this research question. Sjoberg (2003)'s primary error lies in examining the content of beliefs rather than the style of sense-making underlying the production of such content. He has collected data within a de-contextualised, static context rather than using a design that represents the dynamics of form and sense-making. In short, he has applied NDIT as a cognitive or social psychological theory of attitude and ideation, rather than a practice-based theory of the causal relationship between social organisation, practice and thought style.

In summary, then, many of the criticisms levelled at NDIT can be addressed through highlighting the misapplication of the theory as ideational and attitudinal, rather than as one driven by practices and social form.

## **5.6 NDIT and OD practice**

So, NDIT provides an account of how and why change can happen – exaggeration of cultural form through positive feedback with the eventual breakdown of settlements through negative feedback. It provides an account of the relationship between micro-level practices and organisational performance in terms of the cultural forms' associated practices through which meanings and values are established and maintained – positive feedback loops. These dynamics provide opportunities for OD to make informed interventions into an organisation.

An account of how change does not happen is also articulated through the balance between positive and negative feedback supporting organisational settlements. This practice-based articulation of the formation of culture and organisation and its dynamics of change can be seen to have significant implications for OD as a talk and text based strategy. As has been articulated above, each cultural form will be open to specific forms of rhetoric and sense-making and will work to actively reject other forms. However, openness to change is evident at the tipping point between positive and negative feedback, the cusp of moving from organisation to disorganisation – that moment when the cultural form is open to ‘surprises’. OD is looked to as a solution to the problem of organisational disorganisation or a drop-off in functioning (Peck and 6 2006).

As shown in chapter two, OD makes claims to produce two kinds of organisational change; transformational and transactional. NDIT has implications for OD practice within both of these forms. Transformational change, with its focus on changes in the organisation’s sense-making, would be expected to address settlements between cultural forms, whilst transactional, with its focus on skills development, would work within a cultural form, strengthening its pre-existing sense-making systems. Both interventions would require a correlation between cultural form and rhetoric, either through introducing variation within the tolerances of the form, or through rhetorical surprises.

### *5.6.1 Transformational change located within an NDIT theoretical framework*

As articulates in chapter two (section 2.1), working towards transformational change involves shaping organisational sense-making (Cummings and Worley 2009, French et al 2005, Golembiewski et al 1976). Within an NDIT framework, this would require changes to the prevailing organisational settlement and its associated structures. Interventions would therefore need to surprise the organisation and facilitate the development of negative feedback to rebalance the settlement between the cultural forms. Hierarchy expects organisations to operate in accordance with rules and roles and to need management and structure to ensure effectiveness. Thus unanticipated results (isolate position), signs of potential revolt (enclave position) or subversion of rules (individualist position) would challenge hierarchy's sense-making and so provide potential for surprises.

The enclave form expects organisations to be oppressive and thus encountering problems that require rules and order for their resolution (hierarchist position), the perceived failure of working to principles leading to a coping position (isolate position) or the perception of individuals making gains in the face of the oppression of the system (individualist position) provide potential for surprises.

For the individualist position, with its commitment to entrepreneurialism, potential surprises take the form of recognising the need for some protection in the face of too much insecurity (enclave position), the need for some regulation in the face of

too much exploitation (hierarchist position) and recognising the absence of reward for skilled behaviour (isolate position).

For the isolate position and its perceptions of the randomness of systems, the potential for surprises derives from recognising a pattern to discrimination (enclave position), recognising success deriving from individual effort (individualist position) and recognising potential for a worsening of circumstances in the absence of authority (hierarchical position).

Such potential surprises are represented below (cf Thompson et al 1990; Peck and 6 2006). As such awareness develops amongst members of cultural forms, there emerges the opportunity for the OD practitioner to intervene without the rejection of such new forms of sense-making.

ISOLATE (High grid, low group): Potential for worsening circumstances without authority (hierarchy) Pattern to discrimination (enclave) Success from individual effort (individualist)	HIERARCHY (High grid, high group): Unanticipated results (isolate) Potential revolt (enclave) Subversion of rules (individualist)
INDIVIDUALIST (Low grid, low group): Need for regulation in face of exploitation (hierarchy) Need protection from insecurity (enclave) Absence of reward for skilled behaviour (isolate)	ENCLAVE (Low grid, high group): Problems require rules for resolution (hierarchy) Failure of principles leading to coping (isolate) Individuals making gains in face of oppression (individualist)

Table 13: Potential ‘surprises’ by cultural form developed from Thompson et al (1990), Peck and 6 (2006)

### *5.6.2 Transactional change located within an NDIT theoretical framework*

As articulated in section 2.1, transactional change within OD is produced through focusing on improving the organisation's pre-existing skills and behaviours. Interventions enable the organisation to do what it does, in the way it does, but to better effect (Cummings and Worley 2009, French et al 2005, Golembiewski et al 1976). Therefore, interventions designed to improve transactional functioning of the organisation would involve addressing the sense-making within cultural forms; that is working with the established sense-making but in a way that tempers the influence of positive feedback loops. Sense-making relating to organisational functioning within the hierarchical form relates to social cohesion through rules and roles, regulatory structures and upward accountability. Methodical problem-solving approaches are employed, using analytical inference, with a focus on expertise and forecasting. OD practitioners can draw on such approaches to sense-making as a means of assessing the extent of the presence of hierarchy within the organisational settlement. In working with this form, interventions need to draw on the rhetorical devices described in table 12 above, using structured, expert-led procedures.

The individualist form values space for innovation and competition. Problem-solving relies on insight and satisficing, drawing on opportunism and creativity. In working with this form, the OD practitioner's credibility would be established through past success in terms of individual skill, with interventions facilitating the development of new pragmatic insights. Loose, dynamic exchange between an

event's participants would enable such creative development of ideas, enabling participants the freedom to develop (and protect) their own approaches to the issues at hand.

OD interventions with the enclave form highlight the mutual belonging of the group and their boundaries with the rest of the organisation. Also emphasised are the qualities of support, caring and shared values. Consciousness-raising and strengthening of commitment to the group's endeavour provide a focus to the work, aiming for consensus-building and group ownership of the process.

The isolate form strives to survive through immediate coping with the demands placed upon it by the wider organisation. Focus is on day-to-day survival of the unpredictability of their experience. So, for the isolate form, the engagement with OD interventions may act as a means by which they appease their regulators, a means to be seen to be playing the game and so a survival strategy. Such a response can be seen in Golding's (1980) description of management sense-making and responses to what they see as an issue of low morale in the workforce. OD style for each form is represented in table 14.

That is not to say that specific OD interventions are suitable only for specific cultural forms; rather, it is about the application of the intervention. For example, team-building interventions within an enclave would take a different form in terms of rhetoric, structure and process than the use of team-building within a hierarchy.

So, in order to penetrate and influence the intra- and inter-relationships of cultural forms with a view to producing the desired change, OD practitioners need to develop an understanding of the cultural settlements into which they are intervening and to adjust their rhetorical and structural interventions accordingly.

ISOLATE (High grid, low group): Problem-solving – immediate coping Focus – day-to-day survival in face of unpredictability Facilitation -	HIERARCHY (high grid, high group): Problem-solving – analytical inference Focus – expertise, forecasting Facilitation – expert, structured
INDIVIDUALIST (Low grid, low group): Problem-solving – insight, satisficing Focus – opportunism, creativity Facilitation – past success in terms of individual skill, loose, dynamic	ENCLAVE (Low grid, high group): Problem-solving – mutual belonging, boundaries, support and shared values Focus – consciousness-raising, strengthening of commitment to group's endeavour Facilitation – consensus-building, group ownership of process

Table 14: OD intervention style by cultural form

### 5.6.3 Successful OD interventions within the NDIT theoretical framework

Success of an OD intervention is perceived in terms of both the process of its design and delivery, as well as the outcomes produced. In improving outcomes, the process of the design would start with the development of a formulation of the organisation's challenges, based on its history of change; that is, it would draw on an assessment of the organisation's preceding cultural settlement, the positive and negative feedback loops which destabilised the settlement and the form of the settlement breakdown. This assessment would highlight the rebalancing required to regain organisational viability; re-establishing the original settlement

(transactional change) or developing a new settlement (transformational change) (Peck and 6 2006, 6 2004, Thompson et al 1990).

The success of the specific OD intervention would be evaluated in terms of the particular cultural forms being strengthened. For example, if a team-building intervention were selected as a means to strengthen the enclave form within the settlement, indicators of success would derive from the practices and sense-making of enclave – for example, strengthened bonding or belonging and an emphasis on the boundaries of the group. Should the use of a team-building intervention aim to strengthen hierarchy, the outcomes were be congruent with that form – for example, the strengthened place of role and relationship, as well as the emphasis on rules. Thus, success would be evident in terms of the triggering of practices and sense-making congruent with the desired settlement.

## **5.7 Conclusions**

In conclusion, then, examining the concept of organisational change through the lens of neo-Durkheimian institutional theory (NDIT) explains the limited prospects for ideational OD practice in producing transformational change. Naïve introduction of talk-and-text interventions into organisations without an analysis of the prevailing settlement between cultural forms in an organisation and their respective contributions to the impending or realised disorganisation is doomed to failure, in the absence of serendipity. A co-ordinated intervention strategy addressing the integration of structure and sense-making would be required. NDIT

addresses the interdependency of structure and sense-making, how ‘institutions think’ and what they are able to think about (Douglas 1986). The ways in which organisational change becomes apparent through positive and negative feedback and surprise between forms, provide explanations for change and absence of change within organisations. Through the articulation of processes of preference formation and information rejection, the challenges confronting talk and text or ideational explanations of change become apparent. OD interventions need to acknowledge the cultural context within which they are being introduced; that is, to assess the context or settlement in order to increase the likelihood of producing a positive transactional outcome in terms of desired change and reducing the likelihood of triggering counter-reactions that could take the organisation further into disorganisation. A different repertoire of interventions would be required for producing a shift in structure with its reciprocal effects on sense-making. A means of explaining the inconsistent results attained by OD interventions is evident – the inadvertent ‘match’ between OD practitioner style and adaptation of intervention to impact upon the structures underlying the predominant cultural settlement within the organisation (transformational change), the ‘match’ between ideational intervention and cultural form (transactional change) or the ‘match’ between OD practitioner’s cultural allegiance and that of the organisation within which he or she is intervening. So, in relation to the third research question, ‘is there an alternative model of change that can address the inconsistencies within OD’s outcome literature and explain the effect of OD’s interventions?’, this chapter has made the case that, yes, a model derived from neo-Durkheimian institutional theory. It is not

possible to produce ideational change without addressing the relationship between cultural form and sense-making and NDIT has been shown to provide a framework through which this can be approached. With regard to research question four, ‘what would OD practice look like within this alternative framework?’, this chapter has proposed some considerations that need to be given to the focus of interventions, their form and content and their sense-making. These issues will be further elaborated in chapter six, through the NDIT-based realist evaluation of three cases of OD practice.

# CHAPTER 6: HOW WOULD THE ALTERNATIVE THEORY OF CHANGE, NEO-DURKHEIMIAN INSTITUTIONAL THEORY, EXPLAIN THE WORKINGS OF OD INTERVENTIONS?

## 6.1 Introduction

As articulated in the preceding chapter, neo-Durkheimian institutional theory (NDIT) provides an alternative theoretical means of making sense of OD's success in and failure to elicit organisational change. It has the potential to explain how and why change occurs within organisations, the form change takes and the contribution OD may make to this process in different circumstances or contexts. NDIT is built upon the integration and inter-relationship of social organisation and sense-making, articulating the existence of differences in sense-making style resulting from and influencing different social forms. These inter-relationships between form and sense-making are critical to the success or failure of OD's talk and text interventions. As highlighted in chapter five, this relationship between cultural form and sense-making and their reciprocal constraints, suggests that OD interventions will also be constrained unless a means of intervening into the relationship is introduced; that is, unless the relationship is either subverted or strengthened by the OD interventions.

This chapter aims to apply the NDIT articulation of change and stasis to the OD theory-in-mind and theory-in-action held by the three OD practitioners within the

case studies. Implicit in NDIT are broad context-mechanism-outcome configurations through which the practitioners' work can be analysed.

## 6.2 NDIT CMO configurations

Within NDIT, middle-range theories of change are evident. These have been used to develop generic CMOCs, which are represented in table 15:

CONTEXT	MECHANISM	OUTCOME
Cultural form	Positive feedback (within tolerances of other cultural forms)	Strengthening of form and maintenance of settlement
Cultural form	Positive feedback (outside of the tolerance of the other cultural forms) Negative feedback	Distortion of cultural form Breakdown of prevailing settlement
Distortion of cultural form	Tempering of positive feedback	Re-establishing functionality of cultural form
Breakdown of cultural settlement	Introduction of surprises	New settlement

TABLE 15: NDIT's generic middle-range theory of change

Specific CMOCs for cultural theory have also been developed through applying a realist evaluation lens to NDIT's perspective on change, as evidenced in the work of authors including Hood (1998) and Peck and 6 (2006). These authors argue at the more specific level of each cultural form (hierarchy, individualist, enclave, isolate), different mechanisms are triggered to produce the outcomes of a strengthened or maintained form, an undermined form, and the development of new settlements. For each specific form, the context of the CMOC comprises the

form's grid and group position, as well as the means by which the current organisational difficulty has been produced (the dynamics of positive feedback and negative feedback). Mechanisms relate to aspects of sense-making congruent with the context or cultural form in the domains of sense-making, rhetorical persuasion and justification (rhetoric), information selection and rejection and recognition of and responses to anomalies. Outcomes comprise the maintenance, strengthening or weakening of the form as well as the production of new organisational settlements between forms.

The analysis of the theory-in-mind and theory-in-action data of each practitioner using the NDIT theory of change, will show that OD talk-and-text interventions relate to the different cultural forms in terms of contextual congruence or incongruence. According to NDIT articulated in chapter five, congruent OD interventions will succeed in triggering mechanisms to produce outcomes of strengthening the cultural form (transactional change) or re-establishing a functional organisational settlement (transformational change). Incongruent interventions will fail to trigger facilitative mechanisms and, instead, trigger anomaly-rejecting mechanisms. The change CMOCs for each cultural form, together with those for OD practice congruent with it will now be presented.

### *6.2.1 Hierarchy form*

The hierarchy form, created from a high grid, high group position on Douglas's cross-tabulated dimensions of 'rules' (grid) and 'attachment' (group), can be seen

to maintain and strengthen its position through a sense-making based on roles, rules and analytic approaches to evaluating information, founded on authority granted through recognised expertise. The form is protected through mechanisms of adjusting and re-balancing its classificatory and regulatory systems. These themes are evident within the rhetorical devices used to influence and justify the organisation's position. These are represented in table 16.

CONTEXT	MECHANISMS	OUTCOMES
High grid High group	Increase social cohesion through rules and roles	Effective sense-making – strengthening of form
	Regulatory structures	
	Upward accountability	
	Methodical problem-solving	
	Analytic inference	
	Expertise	
	Forecasting	
	How to maintain order and legitimacy	Selection/acceptance of information – strengthening of form
	Hypothesis-generation	
	Knowledge-testing	
	Leadership through position, protect leadership	
	Recognition of anomaly as disruption of equilibrium	Rejection of information – protection of form
	Response to anomaly in 'monster-adjustment'; adjusting classificatory systems and regulatory frameworks	
	Paradigm protection	
	Closing ranks	
	Develop more rules	Persuasion and justification – protection of form
	Authoritative figure, paternalism (ethos)	
	Paternalism, teacher-pupil (atmosphere)	
	Team games, rules, machines, coats of arms (logos)	
	Emphasise themes of rules, rationality, product (not process), social cohesion, regulation structures, upward accountability, role over personhood, best for organisation, forecasting, expertise, methodical problem-solving	

TABLE 16: Context-mechanism-outcome configurations for maintenance and change for the Hierarchy cultural form

A congruent OD approach would be based on analytic problem-solving, expert-based facilitation and functional structure in terms of producing transactional change. Opening the organisation to a more transformational focus for change would require the gentle introduction of 'surprises' or apparent exceptions to hierarchy's predictive sense-making. The CMOCs in table 17 represent the workings of OD practice.

CONTEXT	MECHANISMS	OUTCOME
High grid High group	Analytic inference, methodical problem-solving, hypothesis-generation, knowledge-testing (style of problem-solving)  Expertise, forecasting, product (focus)  Expert structured, less focus on relating, functional focus (facilitation)	Openness to transactional change
	Surprise: less knowledgeable and careful competitors do better than form's members -unanticipated results (openness to isolate sense-making); potential revolt (openness to enclave sense-making); subversion of rules (openness to individualist sense-making)	Openness to transformational change

TABLE 17: OD practice within the hierarchy cultural form

### *6.2.2 Individualist form*

The individualist form, derived from a low grid, low group position can be seen to maintain and strengthen its position through the application of sense-making based on creativity, opportunism and satisficing; that is, a stance based on maximising outcomes through minimising effort. The individualist form is protected through adapting to anomalies or challenges, embracing them as new opportunities for development. These themes are apparent in the individualist rhetoric based on self-help, individual skill and competition. These CMOCs are represented in table 18.

CONTEXT	MECHANISM	OUTCOMES
Low grid Low group	Innovating	Effective sense-making – strengthening of form
	Competing	
	Insight	
	Drawing on opportunism	
	Creativity	
	Maximising results with minimal information-seeking effort	Selection/acceptance of information – strengthening of form
	Satisficing	
	Leadership as commodity – use for as short a time as necessary	
	Recognition of anomaly as failure of competition	Rejection of information – protection of form
	Response to anomaly – embracing anomaly	
	Anomaly as opening up new ways to progress	
	Exploit anomaly for own advantage	
	Networking	
	Individualist manipulation	Persuasion and justification – protection of form
	Shift less important information to peripheral parts of network	
	Lonely figure battling the collective (ethos)	
	Self-help (atmosphere)	
	Individual games of skill, strategic competitive encounters, contracts (logos)	
	Innovation, competition, opportunism, creativity, new insights, satisficing, reward and incentive structures, individual responsibility (themes)	

TABLE 18: Context-mechanism-outcome configurations for maintenance and change within the individualist cultural form

Congruent OD interventions aiming to produce transactional change would comprise developing new insights, satisficing, and dynamic, flexible facilitation.

Opening the form to opportunities for transformational change would require the triggering of ‘surprises’ highlighting the need for protection and regulation and circumstances when individual effort has not produced fair results. These CMOCs are represented in table 19.

CONTEXT	MECHANISM	OUTCOME
Low grid Low group	<p>Insight, satisficing, reward and incentives, individual responsibility (style of problem-solving)</p> <p>Opportunism, creativity (focus)</p> <p>Credibility established through past success in terms of individual skill, loose dynamic exchange between participants, facilitate development of new insights, focus on self (what's in it for me?) (facilitation)</p>	Openness to transactional change
	<p>Surprise: market and skill do not yield anticipated results - absence of reward for skilled behaviour (openness to isolate sense-making); need protection from insecurity (openness to enclave sense-making); need regulation in face of exploitation (openness to hierarchy sense-making)</p>	Openness to transformational change

TABLE 19: OD practice within the individualist form

### 6.2.3 Enclave form

The enclave form, created from a low grid, high group position, can be seen to maintain and strengthen its position through a sense-making based on mutual belonging, shared values and assessing and addressing inequalities. The form is protected through strengthening its external boundaries in the face of perceived threats, expelling internal sources of threat and adopting collectivist survival strategies. Enclave themes are evident in its rhetorical themes of co-operation, shared values and a focus on the dynamics underlying the process of relating.

These CMOCs are represented in table 20.

CONTEXT	MECHANISM	OUTCOME
Low grid High group	Highlight mutual belonging of group	Effective sense-making – strengthening of form
	Highlight boundaries of group with wider organisation	
	Emphasise support, caring, shared values	
	Equalising outcomes	Selection/acceptance of information – strengthening of form
	Search out evidence of inequality and strategies for addressing it	
	Leadership as inequality – accept charismatic leadership when under threat	
	Recognition of anomaly as situation that violates classification system	
	Recognition of anomaly as threat to viability as group	Rejection of information – protection of form
	Response to anomaly – taboo, monster-barring, expulsion	

	Protect 'us and them' boundaries	
	Collectivist survival strategies	
	Member of a persecuted group (ethos)	
	Anger stemming from abuse of those in control, psychological safety (pathos)	
	Non-competitive group activities, informal group-based interaction, paradox of individual incompetence and failure of top-down leadership (logos)	
	Highlight non-competitive, non-captained activity, mutual attachment, mutual reliance, shared values, effectiveness in group's own terms, process not product, emphasise boundaries/limits/range of group, us vs them, person not role, attachment, consciousness-raising, strengthen group commitment, consensus-building, ownership of process (themes)	Persuasion and justification – protection of form

TABLE 20: Context-mechanism-outcome configurations for maintenance and change for the enclave cultural form

Transactional change would be triggered through mechanisms of co-production, a problem-solving style of co-production, a focus on group commitment and consciousness-raising and facilitation attending to psychological safety and group.

Opening the form to transformational possibilities would necessitate the introduction of an awareness of exceptions to its perceptions of the harshness of the external world, its negativity towards rules and regulations, its principles addressing all dilemmas and the need for solidarity in winning against the system.

These CMOCS are represented in table 21.

CONTEXT	MECHANISM	OUTCOME
Low grid High group	Emphasise mutual belonging, boundaries, support, shared values, co-production (style of problem-solving)	Openness to transactional change
	Consciousness-raising, strengthening of commitment to the group's endeavour (focus)	
	Consensus-building, group ownership of process, attention to psychological safety, support, circle so group members can see each other (facilitation style)	
	Surprise if do well in harsh, cruel outside world so world not as harsh and cruel as assumed - encountering problems that require rules and order for their resolution (openness to hierarchy sense-making); the perceived failure of working to principles leading to a coping position (openness to isolate sense-making), the	Openness to transformational change

	perception of individuals making gains in the face of the oppression of the system (openness to individualist sense-making)	
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TABLE 21: OD practice within the enclave form

#### 6.2.4 *Isolate form*

The isolate form, a low group high grid position, maintains and protects itself through a focus on survival and passivity. The form accepts anything inflicted upon it. Themes of chance, unpredictability, resignation to fate and survival are evident within its accepted rhetoric. These CMOCs are represented in table 22.

CONTEXT	MECHANISM	OUTCOME
Low group High grid	Strive to survive	Effective sense-making – strengthening of form
	Day-to-day survival of unpredictability of experience	
	No mechanism – no interest in information	Selection of information – strengthening of form
	No relationship with leadership – passive, style	
	Acceptance of anything world inflicts	Rejection of information – protection of form
	Sceptic (ethos)	Persuasion and justification – protection of form
	Resigned atmosphere (pathos)	
	Games of chance, details of confusion and chaos, red tape and paradox, unintended side-effects from planned interventions (logos)	
	Strive to survive, immediate coping, day-to-day survival,	

	unpredictability, randomness of system (theme)	
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TABLE 22: Context-mechanism-outcome configurations for maintenance and change for the isolate cultural form

A congruent OD approach would focus on immediate coping with unpredictability.

Openness to transformational change would be dependent on developing an awareness of predictability and pattern to their experiences, the possibility of protection through structure and authority and evidence of individual success.

These CMOCs are represented in table 23.

CONTEXT	MECHANISM	OUTCOME
High grid Low group	<p>Immediate coping (style of problem-solving)</p> <p>Day-to-day survival in the face of unpredictability (focus)</p> <p>No facilitation</p> <p>Surprise: things seen to potentially be worse and have a pattern to them – recognise potential for worsening circumstances without authority (openness to hierarchy sense-making); perceive pattern to discrimination (openness to enclave sense-making); recognise success from individual effort (openness to individualist sense-making)</p>	<p>Openness to transactional change</p> <p>Openness to transformational change</p>

TABLE 23: OD practice within the isolate form

Settlements between the forms would be evidenced through blending the CMOCs from the constituent cultural forms. For example, a blend of hierarchy and individualist forms would be evident in the use of creativity and innovation in the interests of the organisation, strengthening the position of the organisation in the face of competition. Enclave cultural form could be seen within wider hierarchy organisations, with the enclave ‘us and them’ boundaries defining a subgroup within the organisation, but each enclave having a clear place and function. OD practice would then be seen to draw on the form-specific CMOCs with the aim of reinforcing the effectiveness of the settlement.

The NDIT-driven realist evaluation is based on the application of the CMOCs representing OD practice and the mechanisms the practice strives to trigger in producing openness to either transactional or transformational change. The theory-in-mind and theory-in-action of each case will now be presented. This analysis facilitates the identification of the cultural location of each OD practitioner’s practice and associated style of sense-making. As will be seen, different practitioners draw consistently on mechanisms congruent with different cultural forms or settlements.

### **6.3 Theory-in-mind: Pre-interview analysis**

The full transcripts of the interviews can be found in appendices 1-3. Tabulated data on the presence and absence of the forms’ different mechanisms and outcomes within each interview are to be found in appendices 7-9. Illustrative

extracts and analysis will be presented for each case, highlighting its NDIT CMO configurations for the production of openness to transactional or transformational change.

### 6.3.1 Case Study 1 (CS1)

Within CS1's theory-in-mind can be seen his dominant use of enclave sense-making style with limited use of hierarchy and isolate forms.

*What is the purpose of OD interventions?*

CS1's articulation of the purpose of OD interventions focuses on the outcomes of strengthening 'group' or attachment; that is, strengthening the enclave cultural form through its associated sense-making. The emphasis on strengthening group or attachment is evident in CS1's reference to engagement and ownership;

'...trying to provide a good engagement, the right environment, so people can be honest...' (p1)

Ownership is focused on participants developing their own plan of action and associated goals;

'..that the plan is developed by individuals and a plan that makes sense to them....they see where they want to get to.' (p2).

These outcomes are produced through the mechanism of an enclave facilitative style. The style triggers mechanisms of providing support and eliciting group ownership;

'the role is a support and facilitative one...' (p2)

'I didn't come with any preconceived ideas,...I always start with blank pieces of paper and then the days develop with the individuals...' (p2)

These enclave mechanisms are interwoven with those of the hierarchy form within the description of his facilitation style. This is evidenced through CS1's use of guidance papers – sources of authority and regulation;

' I will use, obviously, guidance papers, I use evidence to actually support and encourage the change..' (p2)

Thus, for CS1, the outcomes to be produced by his OD interventions strengthen the enclave cultural form, particularly through the triggering of mechanisms of eliciting ownership and producing a supportive, encouraging atmosphere. The enclave form's mechanisms of eliciting ownership and providing support are interwoven with the hierarchy form's mechanisms of respecting expertise and regulation.

#### *How do the OD interventions produce change?*

For CS1, the mechanisms to be triggered in producing the desired outcomes again derive from the enclave cultural form. CS1 emphasises the mechanism of co-production, thus eliciting, in turn, taking ownership of the process and creating a sense of psychological safety. These are elicited through CS1's enclave problem-solving and facilitation style. Commitment to the process of change is also elicited through the focus of the interventions;

'I do like to co-plan the framework of the agendas so people know what's happening...I do feel that when you do turn up with a blank piece of paper and you reinforce the protected time, ... and you do actually work with groups of people, I think there's better success.' (p3)

The sense-making of the failure of OD interventions to produce change is also congruent with the enclave cultural form. The sense-making emphasises the boundaries of the group, attributing failure to issues beyond the group's control, as well as emphasising the misuse of authority through making participants attend. Such interpretations enable the rejection of information and thus the protection of the enclave form;

'I've done development days where there's been little change or there's maybe been resistance but there are obviously external factors sometimes...' (p3)

'sometimes where we've been asked to do pieces of work by, maybe, a third party, or there hasn't been that negotiation or that clarity or that process hasn't happened where agendas have been fixed for people, I think it has been difficult.' (p4)

CS1 also draws on isolate sense-making when accounting for the failure of OD interventions to produce change. Such sense-making draws on the mechanism of triggering resigned acceptance of random events, events that are characterised by a metaphor highlighting the rare and uncontrollable nature of such outcomes;

'I think it's a combination of the planets aligning really.' (p3)

So, for CS1, sense-making regarding the mechanisms triggered by OD interventions is congruent with the enclave cultural form. The mechanisms produce

strengthened commitment to the group (and ‘group’ attachment) and its way of looking at the world as well as rejection of external influences and interpretations (‘grid’).

*What constitutes a successful intervention?*

A successful intervention for CS1 is one that triggers mechanisms of commitment to the process, again strengthening the enclave form;

‘If people are engaged with me on the journey, I think that’s one of the biggest successes....you can’t just look at the product at the end of the day...., it’s a real success, because people are hooked into the process.’  
(p4)

This is congruent with enclave sense-making style and focus emphasising mutual belonging, group ownership and the quality of the process of the event.

*A description of the practitioner’s approach*

CS1’s commitment to the enclave form is apparent in the sense he makes of his approach to OD practice. His style of problem-solving focuses on the triggering of co-production, eliciting or strengthening group ownership, attachment and shared values. Through the triggering of such mechanisms, ‘group’ or attachment is strengthened and so the enclave cultural form is reinforced;

‘I used a tool and technique to try to bring the group together...’ (p6)

‘start with a blank piece of paper for teams to identify what are the important things they should be doing, rating where they think they are at and developing the project wheel of key themes.’ (p5)

Also evident in this description is the emphasis on the group's consensus acting as the rules within which it approached its work, thus strengthening the group's sense-making and reducing their reliance on external rules or 'grid'.

The focus on humour in some of CS1's tools is congruent with enclave's emphasis on psychological safety;

'...identify the team as a mode of transport, and part of that, in a way, was using humour, looking at the individuals into the group and starting the contribution in a light-hearted way.' (p6)

The enclave form's information-selection strategies are also apparent in CS1's description of the development of his approach, drawing on issues of power and equality. The development of his approach derives from his recognition of inequality in the relationships between different stakeholders in mental health service provision, with the response to such a perceived problem being one of empowering the disempowered parties;

'The process was developed, really, by doing some work with the third sector where.... there's issues about a power imbalance at times with different sorts of groups and organisations, and what we wanted to do was come from a position of a level playing field...' (p5)

CS1 also draws on hierarchy's sense-making in terms of the importance of role. However, this emphasis on role was used, within his approach, to emphasise enclave's theme of mutual reliance within the group;

'So we do an exercise called Human Dimensions for Change, which is around identifying different roles; so there's a driver, an analyst, an amiable, an expressive personality styles. Each of those traits has got different attributes they might bring to a team ...' (p6)

CS1 draws on these concepts in describing his own style, locating his sense-making within the enclave cultural form through drawing on its rhetorical themes of process and ownership and its atmosphere or pathos of psychological safety;

'my own style is an amiable style,.....I'm an amiable which means I work with groups of people to be the tour guide, to encourage them to move forward,.... You know, I'm not here to put a guidance paper on the table and say 'we need to work through this, a, b, c, d, e' .... My style is around provide the right environment, encouraging people, supporting them through the process, being very sensitive to that group and holding them through the process ... because, you know, it's great to get a product at the end of the day, but I don't want that to be at anybody's cost.' (p13)

Thus, the sense CS1 makes of his approach to OD draws on the mechanisms and outcomes of the enclave cultural form. He emphasises his focus and problem-solving style drawing on strengthening group connection and commitment, the group's own evaluation of its needs for improvement and co-producing the event and its outcomes. His approach involves him 'joining' the group, facilitating the development of consensus and thus stronger group attachment and promoting and managing psychological safety. His perception of his own approach as drawing on enclave sense-making enables him to produce a sense of safety for the group, so strengthening the enclave form. Thus CS1's OD interventions could be expected to produce transactional change for those organisations or groups located within the enclave form. For those organisations or groups lying outside of enclave, such

an approach could trigger information-rejecting mechanisms and so neutralise any attempts to produce change.

### 6.3.2 Case Study 2 (CS2):

Within CS2's theory-in-mind can be seen his dominant use of hierarchy sense-making with some use of that of the individualist form and no use of that of the enclave or isolate forms.

#### *What is the purpose of OD interventions?*

CS2 draws heavily on hierarchy's style of sense-making in articulating the purpose or desired outcomes of OD interventions. Interventions are used to shape the organisation to be better able to meet the demands made of it, as articulated through its contracts with external stakeholders. Such shaping, if congruent with the organisation's cultural form, strengthens the form;

'its requirements will be determined by external factors such as its....contracts and also what it needs to do internally in order to meet those.'

(p1)

The mechanisms whereby these outcomes are achieved are premised on a rational perspective of data driving behaviour; that is, using problem-solving styles of analytic inference and methodical problem-solving to strengthen the organisation;

'I don't have a theoretical set of interventions as a clinician would, but I've probably got some mental models.....based on a rational approach, some evidence, with the intentions of getting whatever the client or organisation needs. I stress 'need' as opposed to 'want'. (p1)

Thus, CS2's style of sense-making regarding the outcomes to be produced with OD interventions is congruent with the hierarchy cultural form.

*How do interventions produce change?*

For CS2, his interventions trigger mechanisms that produce taking responsibility and clarifying roles. These strengthen the hierarchy form;

'My responsibility is to think and act in a way that helps them achieve what's needed...[M]y responsibilities include explaining what I do so the communications are clear, and being accountable for both the consequences of what I do, but also the resources that I use..... Responsibility of the client is to be as open as they can about all the information that's needed and to provide the executive authority that's needed within their organisation to implement whatever changes. They've got to have somebody in charge who says 'this is what needs to be done if we're going to achieve this.' (p2).

CS2 also emphasises a directive facilitation style as a means of highlighting the expectations he has of participants. Again, clarity of role and responsibility produces a strengthening of the hierarchy form through increasing attachment or 'group' through role and 'grid' or rules and regulation;

'Getting the permission of the client to be directive when needed...I take the view that people do like to know what's expected of them.....[T]o tell them what needs to be done, it's usually helpful for people..' (p3)

The facilitation style of functionality and structure with an analytic style of problem-solving also triggers hierarchical sense-making and so strengthens the hierarchy form;

'[I]t's always useful to do the thinking beforehand, .... to get some clarity on what's needed, but also how to achieve it, so you can pretty quickly back up your statement 'this is what we need to do and this is how I think we need to do it.' But keep it conversational because they'll certainly know things you don't so keep it open.' (p4)

Hierarchy's methodical style of sense-making informs CS2's selection of interventions;

'You have certain things to do certain tasks and those can be used in any sequence required to do the task...make sure the techniques and tools work and then use whichever ones are appropriate for the task at hand.' (p7)

He sees his interventions as giving participants new ways of thinking and prompting them to act in accordance with them. Implicit in CS2's description of his OD interventions is the triggering of hierarchy's mechanisms of change – emphasis on role and resources in the form of power bases and adopting a directive facilitative style and working relationship - and so any new sense-making is still congruent with the cultural form. In the following example it is evident that authority is key to producing compliance and directing sense-making;

'I use a 'call to action' statement. For example, 'what are you going to do now, that is a demonstration of what we've just talked about?' I help people think. I give them or help them find ways of thinking.' (p6)

Thus, in articulating the means by which OD interventions produce outcomes, CS2 draws on hierarchy sense-making, focusing on the strengthening of attachment in terms of role within the organisation and the regulation of activity and relating within the organisation. Mechanisms producing this strengthening of form aim to rebalance the functionally based relationship between the operation of the organisation and the demands of the environment. CS2's OD interventions therefore aim to produce transactional change within the hierarchy cultural form.

*What constitutes a successful intervention?*

Congruent with hierarchy sense-making, success, for CS2, is rational; that is, it constitutes having achieved what is set as the target for achievement. CS2's approach to OD is founded on transparency and constancy of desired outcomes and thus success will be clear;

'when I've achieved what I want to achieve and, from the client's view, when they've achieved what they want to achieve.' ([8])

However, within this quote, CS2's use of individualist sense-making is also apparent. This is evident through CS2 going beyond the use of expertise in his OD facilitation to giving equal weight to his own desires regarding outcomes.

CS2's use of hierarchy's sense-making style is also evident in his articulation of the mechanism of problem-solving through the use of principles. This is prefaced with a rejection of enclave sense-making regarding 'group';

"It's not a social club...those kind of statements show there are underlying principles.... [T]he new person, I think just through experience at work, wasn't convinced that what we were trying to do would succeed. And I said 'that doesn't matter. It is important, but if we know what's right, it's important that we do what we know is right, because then if it fails we know at least we've tried.' (p5)

Thus, CS2 highlights the significance of the function of roles and rules whilst implicitly rejecting enclave sense-making regarding relationships as a mechanism for mutual belonging.

In summary, CS2's sense-making regarding success within organisations draws on hierarchy's mechanisms of increasing clarity of role and rules and thus protecting and strengthening the hierarchy cultural form.

#### *A description of the practitioner's approach*

CS2's approach is founded on clarity of responsibility and role as articulated above in his description of how OD interventions work. CS2 articulates both his role in terms of ensuring that the objectives of the event are achieved and maintaining his accountability to the client;

'My responsibility is to think and act in a way that helps them achieve what's needed...include explaining what I do so the communications are clear, and being accountable for both the consequences of what I do, but also the resources I use.' (p2)

CS2 draws on hierarchy's functional facilitation style in terms of being directive enabling him to tell participants what is required of them;

'Getting the permission of the client to be directive when needed...I take the view that people do like to know what's expected of them....If you've got the clarity and confidence to tell them what needs to be done, it's usually helpful for people.' (p3)

Within this context of role and responsibility, CS2's work is described as comprising three stages; eliciting motivation, delivering the desired interventions and evaluating their effects. Each of these stages is delivered within a frame of hierarchy and individualist sense-making. The first stage draws on hierarchy sense-making in triggering the clarification of objectives and expectations of role and responsibility. Interwoven with this is individualist sense-making addressing the rationale for commissioning an external facilitator – the 'what's in it for me?' question for both the organisation and CS2 to address. For CS2, this enables him to make an informed decision about taking on the work in that the level of commitment of the organisation becomes clear;

'First I ask questions that, potentially, the client can see as discouraging. I usually ask three questions: what observable change do you want to see in 3/6/12 months time?, why do you need me to do it – why can't you do this yourself? And what are the external expectations, pressures or requirements on what it is that needs to be changed?' (p5)

CS2's individualist sense-making can be seen in the following quote, evidencing the problem-solving style of satisficing and eliciting insight;

'I'll do that within an agreement of no obligation, so if the client finds those three questions helpful and says 'thank you I realise I don't need any help, I can do this myself.' Then actually it saves us both a lot of hassle. It also tests how committed the client is to the project because you get high-cost clients who don't actually want to be involved in change in their organisation and usually therefore it doesn't work, so a lot of effort goes into the project but very little outcome..' (p6)

The interweaving of individualist and hierarchy sense-making continues through CS2's description of his approach, with his interventions focusing both on the outcomes achieved for the organisation and eliciting feedback for CS2 regarding his own performance. The latter evidences the individualist focus on self or low 'group';

'Evaluations, when I've done those, have usually been getting feedback in how I've performed in the project but also the period after, maybe 3 months, 6 months, to actually see what effect that has had...' (p6)

CS2's problem-solving and facilitation style within his work evidences hierarchy's problem-solving style. His interventions of 'reverse mind-mapping' and 'test to destruction' trigger analysis based on specific rules or principles relating to information, triggering respect for and reliance upon rules;

'there's a logic that applies which helps keep the rational thinking disciplined... there's a set of multidimensional relationships you can make between things ...and how you connect them can actually be given some logical rigour..' (p5)

The style underpinning the individualist eliciting of insight is founded on hierarchy's mechanism of change – the use of expertise;

'...but actually you can start to make the connections, some of which in some cases the client wouldn't have made until presented to them.' (p3)

His facilitation style is founded on such expertise and recognition and respect for structure. CS2's inter-relations with participants and their relating with each other are based on functionality of relationship;

'[K]eep it conversational because they'll certainly know things you don't...' (p4)

'The people part is it's people who do it.....If you only work with the systems and no people, nothing will be implemented.' (p9)

Once again, he explicitly rejects enclave sense-making regarding the mechanism of psychological safety and support in prioritising the production of stronger attachment or 'group';

'Everyone's first reaction to a situation is emotional. If emotions continue then the work is not going to be enduring... If move on to more rational you can get something more sustainable. ....'Touchy-feely' doesn't get beyond the emotional stage. Where I'm not comfortable as an individual is in some of the people skills in terms of the 'touchy-feely' skills. I'm also not interested in it. I don't feel any motivation to develop those skills.' (p9)

Implicit in this quote is CS2's use of individualist sense-making whereby the perception of the skills required for intervening in organisations is based on his own perspective of his interests and needs, the 'what's in it for me?' position.

Thus, for CS2, his approach draws heavily on the hierarchy sense-making style with its mechanisms of clarification of role, responsibility and rules to produce effective organisational functioning. He explicitly rejects enclave sense-making regarding the mechanism of relating as a means of producing effective functioning.

CS2 also focuses on his own interests as evidenced through his use of individualist sense-making relating to mechanisms of satisficing and gaining benefit for self.

For CS2, therefore, his theory-in-mind regarding OD can be seen to comprise a hybrid settlement between a dominant hierarchy and subsidiary individualist cultural form. He aims for the production of transactional organisational change through the deployment of hierarchy's problem-solving, focus and facilitation style as a means of triggering mechanisms of change and strengthening of form, with individualist sense-making being drawn upon in relation to his own interest in his work.

### **6.3.3 Case Study 3 (CS3):**

Within CS3's theory-in-mind can be seen her use of a blend of hierarchy and individualist sense-making, developing a settlement between the two forms founded on mutual dependency.

#### *What is the purpose of OD interventions?*

CS3 draws heavily on hierarchy's style of sense-making in describing the purpose or outcomes of OD interventions. For CS3, the focus of OD interventions is to produce what is best for the organisation. This is expressed in terms of the identification of the roles required of people within the organisation and forecasting. Such strategies are based on the roles of organisational members and their utility

for the needs of the organisation as a whole. Thus interventions aim to strengthen the 'group' dimension of the hierarchy form;

'building for the future...get the workforce-planning right...and the talent management, succession planning stuff is all about the future.....[t]hat's why I see it as supporting the organisation itself; what do people need now in their jobs and..how do we keep finding out in a better way what they need and what we think..' (p2)

The specific OD intervention commissioned for CS3, the conference, is located within the hierarchy form in terms of its purpose or mechanism-outcome relationships;

'The event came about because the Chief Executive asked us to put on an OD event...for him saying to me 'showcase what you're doing' shows that he thinks we're doing a good job...' (p3)

The outcome of strengthening the sense-making regarding the importance of OD to the organisation is believed to be produced through the rhetorical ethos of the authoritative figure as encapsulated in the Chief Executive, with his perspective determining what is best for the organisation, what the organisation thinks. Thus, the intervention has come about through respect for authority of role and through the triggering of the mechanism of upward accountability;

'...and to the organisation he's saying we're going to put the resources into having this time for OD...it's about confirming the organisation still thinks it's the right thing to do.' (p3)

CS3 draws on individualist sense-making when describing the opportunity presented by the commissioning of the event. The event is seen as an opportunity

to provide insight into difference, exploiting the hierarchical commissioning of the event for CS3's purposes of achieving what she thinks is right for the organisation. This therefore constitutes a means of strengthening the individualist form's low 'grid' and 'group';

"..I thought 'OK, so here's a great opportunity because we know how we do conferences normally, so let's put this principle to the test. Say 'you could do a conference like this – it doesn't have to be like that.'" (p4)

Thus, CS3 interweaves hierarchy and individualist mechanisms of change in articulating the purpose of OD interventions. She foregrounds the best interests of the organisation and the authority of stakeholders through their role in explaining the purpose and functioning of interventions and emphasises the purpose of strengthening the perspective of the individual in triggering creativity and opportunity as contributing to the best interests of the organisation. Thus, the individualist change mechanisms and outcomes were deployed to the benefit of the hierarchy cultural form.

#### *How do the interventions produce change?*

CS3 draws on hierarchy's sense-making style in articulating the means by which change will be produced by her intervention. The mechanisms of respect for authority and upward accountability are triggered through the presence of authority figures from the organisation;

‘we’re a very hierarchical organisation and [Chief Executive]’s going to open this conference, Chairman and [Director of HR] are going to close it, so that tells the world, the [service] that, again, this is a really important thing to do.’ (p4)

CS3 also draws on individualist mechanisms of change in the form of triggering recognition of individual opportunity or ‘what’s in it for me?’ which, in turn, strengthen commitment to self or individualist’s low ‘group’;

‘...most of the people who have booked on are managers in the organisation. So, again, what’s that telling me? That’s telling me that there’s something there of interest to them.’ (p5)

Such a commitment to self is then deployed through the problem-solving style of analytic inference, linking individual interest to the needs of the organisation – so triggering the strengthening of ‘group’. CS3 interweaves mechanisms of change congruent with both individualist and hierarchy cultural forms in explaining how change is produced by her interventions. Individualist problem-solving and facilitation mechanisms of triggering new insights and focus on self drive the production of change within the individualist form as the focus on gain for self becomes strengthened and then is related to the organisation;

“There were lightbulb moments from the first round ... And then that creates a reason for them to want to develop, a will,...and what we focus on is their individual journeys and needs and the organisation.” (p5)

The mechanism of triggering the focus on self through the design and facilitation of the event also strengthened the individualist location on the ‘grid’ dimension;

'because they can see that any time when they get together, it's kind of the minimum amount of time they need, I always make sure they leave thinking 'oh I want more of this' rather than 'I want to leave early" (p5)

This is combined with hierarchy's functional facilitation focus;

'so I do very little 'here are 5 leadership models....' So I take a load of books in and ask them what they think...So I don't see it as teaching, I really see it as facilitating that awareness in them.' (p5)

within a functionally focused, supportive context of facilitation;

"they have coaches, mentors as and when appropriate, they have action learning sets, they have me.." (p5)

CS3's use of hierarchy's problem-solving style can be seen to trigger mechanisms of knowledge-testing and methodical problem-solving;

‘..Focus on you and your teams and how you’re going to be different. Prove that the way you want to do things is going to work.” (p5)

‘so they really drill down into ‘here’s how I am, how do I need to be in order to deliver what I need to deliver...” (p4)

CS3 does not directly address the issue of failure of OD interventions in producing change. Rather, she addresses her own approach to evaluating her work and outcomes in general. The presence of measurable indicators provides a focus to her event in terms of product, but her failure to conduct the evaluation of her intervention is explained as an anomaly through lack of compliance with rules. Failure in terms of outcomes is avoided through engaging in ‘monster-adjustment’

in response to the anomaly. The hierarchy form's sense-making was thereby protected;

'In the strategy itself we've got some key measurables...So we've got some KPIs ...and we're collecting the data. But what we haven't done really is made too much sense out of it. I think that's for two reasons; one because some of the stuff that's supposed to be happening wasn't – one of my team's since left and another reason I think is that it feels a bit too soon to start looking at some of those KPIs ...'(p7)

Thus, CS3 articulates OD interventions as working through triggering hierarchy and individualist mechanisms of change through style of problem-solving, focus and facilitation. Individualist outcomes of strengthened commitment to self (low 'group') and a pragmatic or satisficing approach to rules (low 'grid') are integrated into the hierarchy cultural form through a role-based sense of attachment and a focus on the interests of the organisation (high 'group'). A settlement is reached between the two forms. Within this context, hierarchy mechanisms of change such as authority and upward accountability are accepted and thus effective.

#### *What constitutes a successful intervention?*

CS3's interweaving of hierarchy and individualist mechanisms and outcomes is also apparent in her articulation of her perspective on success for her interventions. Criteria for success draw on hierarchy's valued outcomes in the form of product – delivering conferences in different ways and increased enquiries – and individualist outcomes in the form of self-interest – people leaving the conference wanting more and evidencing the benefits that accrue for individuals;

'...First signs are good because they want to know how to set the website up so that's a big win...Another criterion for me is that people leave thinking 'I wish that had been a full day event'.' (p6)

'...and collecting the stories...[report based on stories] says to everybody 'this is the difference it makes to individuals' lives' and actually a lot of those individuals are managers [participants at conference]...' (p7)

CS3 draws on hierarchy's mechanism of respect for authority in defining success.

The behaviour of authority figures is an indicator for success that counteracts CS3's doubt about the effect of the interventions on the organisation;

'...What I don't know is really what impact it's having on the organisation...except there are some things that pop out...like [Chief Executive] saying 'I want you to develop a careers event and a process that's around growing the future [Trusts'] service operations directors and chief executives'....And his point to me was that 'I've had a lot of positive feedback about how this is going'.' (p7)

Thus, for CS3, success is produced through the triggering of hierarchy's mechanisms of value for product and legitimacy through authority, so strengthening hierarchy's 'group'. Individualist form is strengthened through the triggering of mechanisms of increasing self-interest. These mechanisms are triggered through the focus and facilitation style of her OD interventions.

#### *A description of the practitioner's approach*

CS3's description of her approach draws on hierarchy's sense-making style. It focuses on problem-solving and facilitation triggering mechanisms of methodical problem-solving and functional challenge producing a style of sense-making

congruent with hierarchy. This is interwoven with the individualist problem-solving mechanism of eliciting insights which, in turn, acts as a mechanism for triggering the organisation's motivation for OD, the focus of CS3's intervention;

'My approach...is one of asking questions...challenging where you need to, but most of the time modelling, showing how things could be rather than telling. It's about influencing the organisation to want OD.' (p8)

Her approach is also articulated in terms of her management and development of her own OD team. Her approach is described in terms of use of authority in producing the outcome of protecting hierarchy through the mechanisms of recognising non-compliance as an anomaly and closing ranks in protecting the reputation of her team and so her work within the organisation. A failure in such protection risks being identified as an anomaly by the wider organisation, triggering rejection of the team as a means of the organisation's response of paradigm protection;

"...my job is to keep that sense check at a higher level. You know, 'is what we're trying to do, does that fit in with the vision, our principles, our agreed team objectives, behaviours, all of that stuff, so we don't stray off....I always assume that me and my team's reputation could at any minute be on the skids. So anything that could start to chip away at that needs to be dealt with straight away....[A]s soon as the organisation sees us doing something it doesn't want us to or that it doesn't want to be seen doing that in that way, very quickly you lose any kind of integrity you've got.' (p9)

She also describes developing the functionality of the team for the interests of the organisation through triggering the individualist problem-solving mechanism of insight and then deploying it to produce benefits for the organisation;

'The team were a random selection of people left over from all the different legacy Trusts...[team member 1's] had her insights and changed the way she's working because of the Engaging Leaders programme. So she's been challenged in some areas and she's just got it,...she can see where it will get her, she's transformed the way she's working.' (p9)

Her use of individualist sense-making is also evident in her positioning of herself as a lone individual battling the system. She subverts the rules of hierarchy through challenging an authority figure, thus introducing a surprise to the system. Any outcome of such a surprise in terms of openness to transformational change is not apparent. However, a hierarchy response to anomaly in the form of adjusting the classification of who has authority and legitimacy can be hypothesised, thus accepting CS3's authority as an expert;

'First meeting in August [Director of HR] wanted an OD strategy by December. So that was my, both our tests, our first test because I said to her 'I can get you one now – I can go and google OD strategy, change the names on it and you can have it. There you go, I can do that right away – is that what you want?' ...'....but that's not what I'll actually be delivering because I don't know what I need to do...' No one had ever spoken to her in that challenging way before...' (p10)

Implicit in the above quote is also CS3's location within the hierarchy form, in terms of information-selection through an analytic problem-solving style and a functional focus to her knowledge-collection and application.

CS3's interweaving of the triggering of individualist and hierarchy's mechanisms of change is evident in her use of stories to elicit insight and a focus on self

(individualist problem-solving and facilitation) with a functional facilitation style and focus on the needs of the organisation;

‘..you don’t come and work in the NHS for the money so there must be somewhere some long forgotten thing to why you did it...I felt like I could give anybody feedback that deserved it without me asking if they wanted it, so I’d go up and say ‘just let me tell you what I’ve seen and the impact that you might have had, ..so is that what you wanted to do, to make a person feel like that?’..’ (p12)

Thus, CS3’s approach can be characterised as a strong settlement between the hierarchy and individualist cultural forms based on mutual dependency. Her approach triggers individualist problem-solving mechanism of insight with a focus on the interests of the individual. This strengthens the individualist form’s approach to how things are done or ‘grid’. The individualist facilitation style of triggering the mechanism of a focus on self is channelled into striving to attain new roles or position within the organisation. This then will produce an increase in the individual’s commitment to the organisation so strengthening its hierarchy form.

#### *6.3.4 Conclusions to OD practitioners’ theory-in-mind*

As is evident in the interview data analysis presented above, NDIT makes explicit the similarities and differences of the practitioners’ approaches to OD. Although in chapter four’s analysis, each practitioner could be seen as operating within an ideational framework, drawing on the same ideational mechanisms, NDIT highlights the differences between those superficially similar approaches. Such differences have significant implications for the success or failure of OD

interventions, as the organisational context into which they are introduced accepts or neutralises them.

Thus, CS1's theory-in-mind regarding the practice of OD can be seen to draw almost exclusively on the enclave cultural form with its desired outcomes of strengthening attachment to the group (high group) and respecting the group's own perceptions of right or wrong (low grid). CS2's approach draws heavily on the hierarchy form but with some use of individualist sense-making. He explicitly rejects the enclave form. His focus of change with regard to the organisation is to strengthen the hierarchy form – its functional role attachments (high group) and its systems (high grid). His focus of change in relation to himself as a practitioner draws on the individualist form with an emphasis on self-interest (low group) and pragmatism or satisficing (low grid). CS3 provides a third version of OD practice with a strong settlement between the hierarchy and individualist cultural forms. The outcome of strengthening the hierarchy form through role-based attachment (high group) and respect for systems and rules (high grid) is partly facilitated through integrating the ambitions of individual members (low 'group') with the best interests of the organisation.

NDIT analysis will now be conducted on the three practitioners' OD theory-in-action. This will be approached through a realist evaluation of the practitioners' delivery of OD interventions, drawing on the NDIT CMO sense-making and OD practice configurations for each cultural form articulated above. Each case will be

presented in two sections; a brief summary of the intervention and its aims, followed by the analysis of observations made during the intervention event. NDIT CMO configurations of each stage of the events will be presented in flowchart form.

#### **6.4 Theory-in-action: Observational and post-interview triangulation**

The analysis of practitioners' events and post-interview reflections and explanations will show the congruence or contradictions between their theory in mind, or sense-making, and their theory-in-action, or practice. The analysis of the three cases of OD practice will further highlight the differences in OD's application as evidenced through the production or strengthening of NDIT cultural forms and settlements. As evidenced in the previous empirical chapter, each practitioner's practice drew on the same four ideational mechanisms of change; relationship, commitment to change, sense-making and behaviour change. The NDIT analysis of their practice will evidence the underlying differences to their superficially similar approaches. Each event varied significantly in its length, a further reflection of the sense-making style and practices acceptable to the cultural form within which the OD intervention was located, and so the amount of observation data gleaned varied; CS1's event lasted two days, CS2's event half a day and CS3's event five hours. This variation is reflected in the length of the analysis of each practitioner's theory-in-action.

#### **6.4.1 Case Study 1 (CS1)**

##### *6.4.1.1 Description of the OD event*

CS1's event is described in detail in the previous empirical chapter. A brief summary will be presented here.

The event comprised two consecutive days of structured interventions with a specialist community mental health team. The event was commissioned by the team manager. The aim was to facilitate the team in developing a vision for their service and an action plan for its implementation. The first day focused on engaging with the team members and developing a consensus view on the team's current functioning through two structured interventions. The second day focused on further assessment of the team's functioning and the development of an action plan. Two structured exercises were used. Over the two days, CS1's level and form of engagement changed with closer involvement at the start of the event and 'arms length' relationship towards the end of the event. The event was analysed as comprising five stages; context-setting and positioning the group in relation to the task, maintaining relationship and introducing task in disguised form, overt focus on task and issues, independent working and, finally, ending.

##### *6.4.1.2 Data analysis*

As evidenced in the previous empirical chapter, each stage of CS1's event focused on different ideational mechanisms and outcome configurations. The NDIT analysis facilitates the development of a more refined understanding of the

operation of those ideational configurations by evidencing the specificity of their cultural location. Such a location and its congruence or incongruence with the context within which they are being introduced, determines the effectiveness of the intervention in producing the desired change. In practicing OD as represented in the event observed and his post-event clarifications, CS1's interventions and style were located within the enclave cultural form. His interventions triggered enclave mechanisms of change to strengthen the cultural form. That is, CS1 drew on enclave's problem-solving and facilitation style and focus, thereby strengthening group attachment (high group) and group ownership (low grid). CS1, in his role as facilitator, drew on the hierarchy form's rhetorical ethos and atmosphere as a means of triggering respect for his authority and the educational atmosphere of the event.

CS1's use of sense-making and practice mechanisms from the four different cultural forms in his event can be seen in appendix 7.

*Stage 1: Context-setting and positioning the group regarding task and engagement*  
Throughout this stage, CS1's enclave OD approach was evident. It was deployed to strengthened the enclave form's 'group' dimension through a facilitation style triggering mechanisms of psychological safety and ownership of the process;

'lots of smiling, eye contact, hand movements.' (p2)  
'the days are about you' (p2)

Enclave problem-solving style was evident through the use of mechanisms of emphasising mutual belonging and co-production;

'[CS1] drew out connections between members and him' (p2)

'start a dialogue' (p2)

The mechanism of strengthening of commitment was triggered through the focus taken in the event. The participants were positioned as members of a persecuted group, a mechanism for producing a strengthening of the form, with the event acting as a response to such a position. Thus the need for the OD event arose from an anomaly or threat to the enclave form;

"Don't know about you guys but busy chasing targets....Demanding... time to reflect is rare,,the days are about you, just to reflect..." (p2)

Thus, within stage one of the event, CS1 adopted an enclave OD style of sense-making, triggering mechanisms strengthening the form through the facilitation and problem-solving style and the event's focus. These strategies were validated within the post-interview, in which CS1 described his focus on triggering mutual attachment, support and caring.

These mechanism-outcome configurations are illustrated in figure 14.

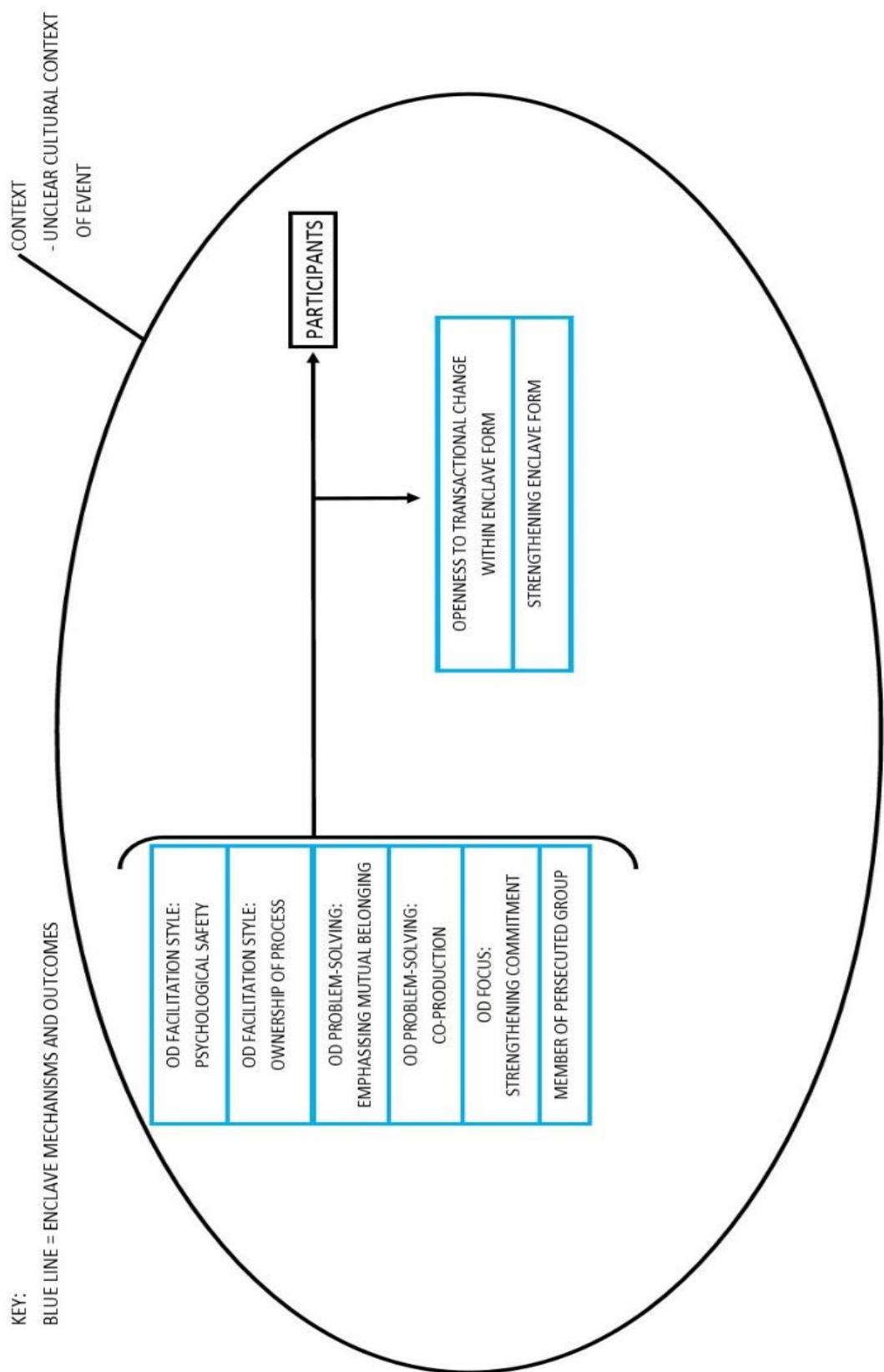


Figure 14: NDIT Context—Mechanism—Outcome Configuration for Stage 1 of Case Study 1:  
Context—setting, engagement and positioning the group in relation to task

*Stage 2: Maintain relationships and introduce task in disguised form*

The outcome of a strengthened ‘group’ dimension of the enclave form acted as the context for the next stage of the event. This stage maintained the strength of the ‘group’ dimension and triggered mechanisms to reinforce the form’s location on the ‘grid’ dimension; its underlying rules of engagement. The former outcome was produced through a facilitation style continuing to trigger mechanisms of psychological safety and, the latter, through ownership of the process;

‘....’fun exercise...” (p2)

‘would somebody from the group like to tell us about...’ (p3)

This mechanism was also triggered through CS1’s physical location as facilitator;

‘[CS1] ...observes from the side’ (p2)

CS1 triggered enclave mechanisms of consciousness-raising in the focus of the event, through the use of a metaphor exercise. He pulled out themes evident in the picture produced by the participants;

‘[CS1] pulls out themes: everyday, reliable, having route..’ (p3)

Thus, CS1’s style of facilitation and problem-solving, as well as the focus of his interventions, was congruent with attempting to produce transactional change within the enclave form. His approach to OD as evidenced in this stage of the event focused on triggering enclave mechanisms of change, aiming to strengthen the

enclave 'group' (psychological safety) and 'grid' (ownership of the process). These strategies of triggering the mechanisms of group ownership of the process were confirmed by CS1 in his post-interview.

These mechanism-outcome configurations evident in stage two are illustrated in figure 15.

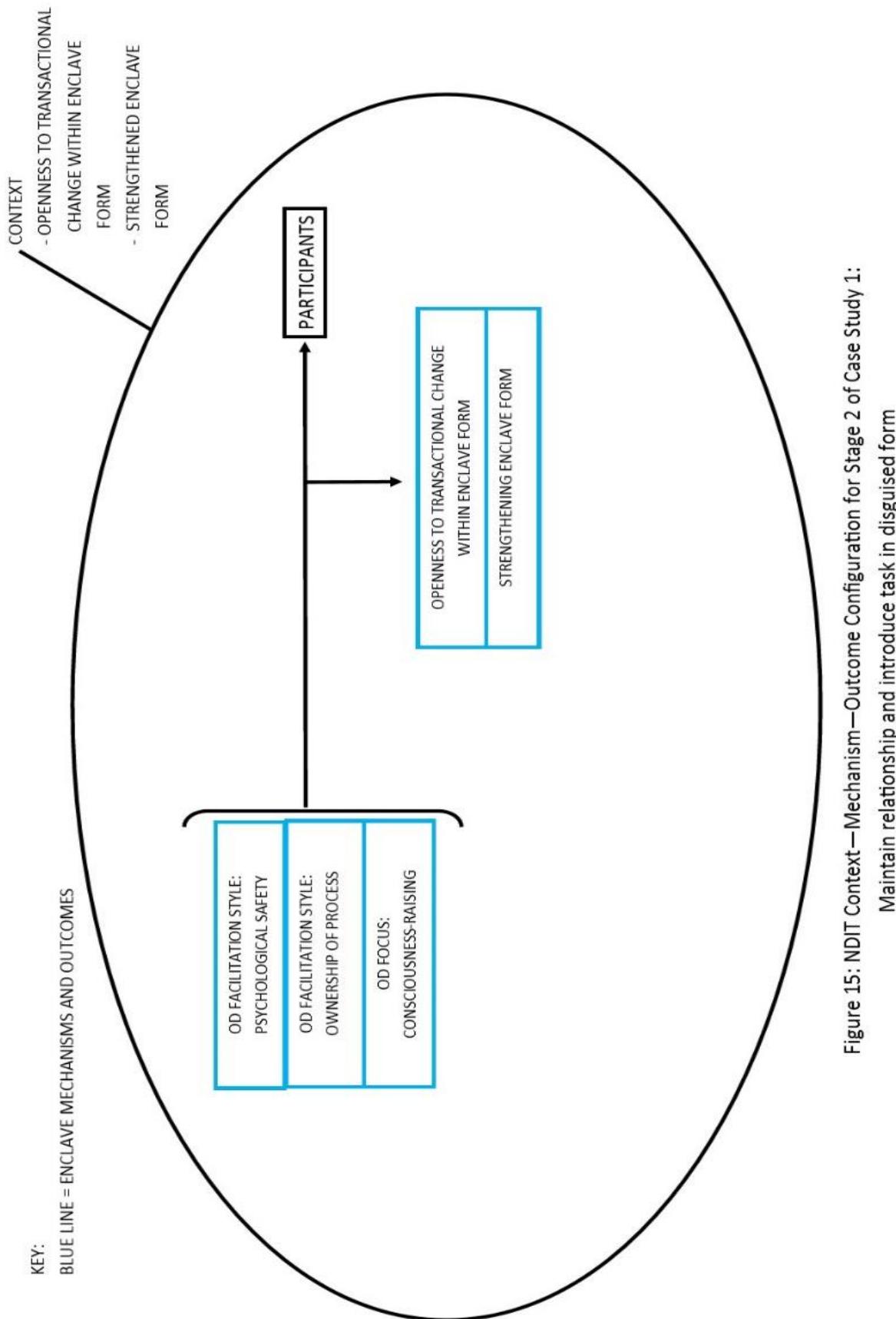


Figure 15: NDIT Context—Mechanism—Outcome Configuration for Stage 2 of Case Study 1:  
Maintain relationship and introduce task in disguised form

### *Stage 3: Overt focus on task and issues*

The outcomes of stage two, strengthening of enclave high ‘group’ and low ‘grid’, form the context for the third stage of the event. Once again, CS1’s interventions triggered mechanisms to maintain the context of the preceding stages; psychological safety, ownership of the process and consciousness-raising. Within this stage of the event he focused on triggering enclave problem-solving and facilitation mechanisms that further strengthened the group’s ownership and production of its own rules; that is, triggering mechanisms of co-production and ownership of the process. Examples of CS1’s triggering co-production took the form of CS1 emphasising the participants’ involvement within the event;

“...really important – you are going to design and develop the day” (p4)

“Are you happy that these eight themes we’ve generated together are the issues we work on for the rest of the day?” (p5)

Examples of triggering ownership of process were;

‘[CS1] gives clarification if requested – ‘whatever makes sense to you’” (p4)

These were also strengthened through enclave OD focus, through triggering the mechanism of consciousness-raising.

‘[CS1] seems to give clues by drawing on issues raised in ‘transport exercise’ – ‘you mentioned access...’” (p5)

These enclave mechanisms were interwoven with hierarchy’s facilitation style taking the form of expert structured interventions;

'Group has to stand up and move to do this themselves.' (p4)

These mechanisms were emphasised through hierarchy's facilitation style triggering mechanisms of marking authority and structure, evidenced through the teacher-pupil atmosphere and expert-led exercises or interventions;

'[CS1] uses different feedback/discussion method for different 4-3 scores – sometimes asks for account of higher score when this is a minority position, sometimes goes for group discussion.' (p7)

The interweaving with the enclave style of facilitating avoided triggering rejection mechanisms on the part of the participants;

'...you might want to consider...', 'could do a link with your other themes'...'these are just suggestions to maybe help a little bit.' (p5)

'[CS1] explains task and stands with group but does not touch post-its – keeps action with team members – guiding but not doing – standing on edge of the group, providing instructions and guidance but not in group or acting for group.' (p5)

CS1's recognition of triggering hierarchy mechanisms was reflected in his post-interview. He was mindful of the risk of hierarchy's facilitation style in terms of his endeavours to strengthen the enclave form;

'...sometimes there's a perception that somebody comes in and it's one way to do things. ...there's sometimes a tendency as well when somebody's facilitating to expect them to give the answers as well, so, for me, I wanted to be really clear.....actually giving them the ownership...them developing the product that makes sense to them...' (p3)

This was also reflected in CS1's reflections on the influence of the organisation's hierarchy on the process of the event, and his attempts to trigger mechanisms to strengthen the enclave form;

'I think there's a natural hierarchy within teams as well....what I wanted to do was... to make it really explicit that it was everybody's day...trying to engage everybody...' (p4)

'...there's an issue about hierarchy and established roles, ....so to use metaphors like the vehicle can help people...' (p4)

This focus for CS1's interventions was more evident in the early part of this stage. As the stage progressed and group ownership of process and co-production became established, the focus shifted to consensus-building and sense-making regarding the causes and resolution of perceptions of failure. Consensus-building was evident in the style and selection of exercises used within the event to develop the team's perspective on their current functioning against their own developed standards;

'[CS1] calls out numbers and people have to raise their hand when their number is called out – writes spread of scores next to segment...Asks person who's number is different to explain score...Ask rest of group for explanation of their score – together not as individuals....'If we were, as a group, we were going to plot where we are re.., what would we say?' - then reflected team response – 'so the team is saying..." (p6)

CS1's triggering of consensus-building was confirmed in his post-interview;

'...If it's a broad range of views..it's around trying to allow people to air those differences and to try to gain a consensus...' (p11)

'...but the overall outcome is to try to gain consensus for each of the segments...' (p12)

Sense-making regarding difficulties in the team's service provision triggered enclave mechanisms of identifying anomalies as violating the sense-making of the group. This produced a protection of form through attributing failure to the system and responding by collectively developing new strategies;

'As [team manager] tells story of difficulty for client, [CS1] keeps empathic serious face - 'difficult for you guys..', 'you put all that work in..'.....'So the experience ...had a significant impact on you...How has it left you with 'transitions' now?' Team move on to positive changes made as a result. 'You've reflected obviously a lot around this case and made some positive changes.' (p8)

In summary, CS1's practice of OD as evidenced in the third stage of his event focused on maintaining the enclave 'group' context of mutual attachment and support. It also focused on developing the enclave form's 'grid' through triggering group ownership of the process and outcomes of the event and strengthening the group's sense-making regarding the underlying values of their work and the way such specialist services should be. CS1's interventions and facilitation style were firmly located within the enclave form but with elements of hierarchy's use of expertise and structure. The outcomes of this stage were a strengthening of the attachment of the group, together with strengthening the 'rules' of the group in relation to how such specialist mental health services should be. CS1 confirmed this analysis of the key mechanisms used within the post-interview.

The mechanism-outcome configurations evident in stage three are illustrated in figure 16.

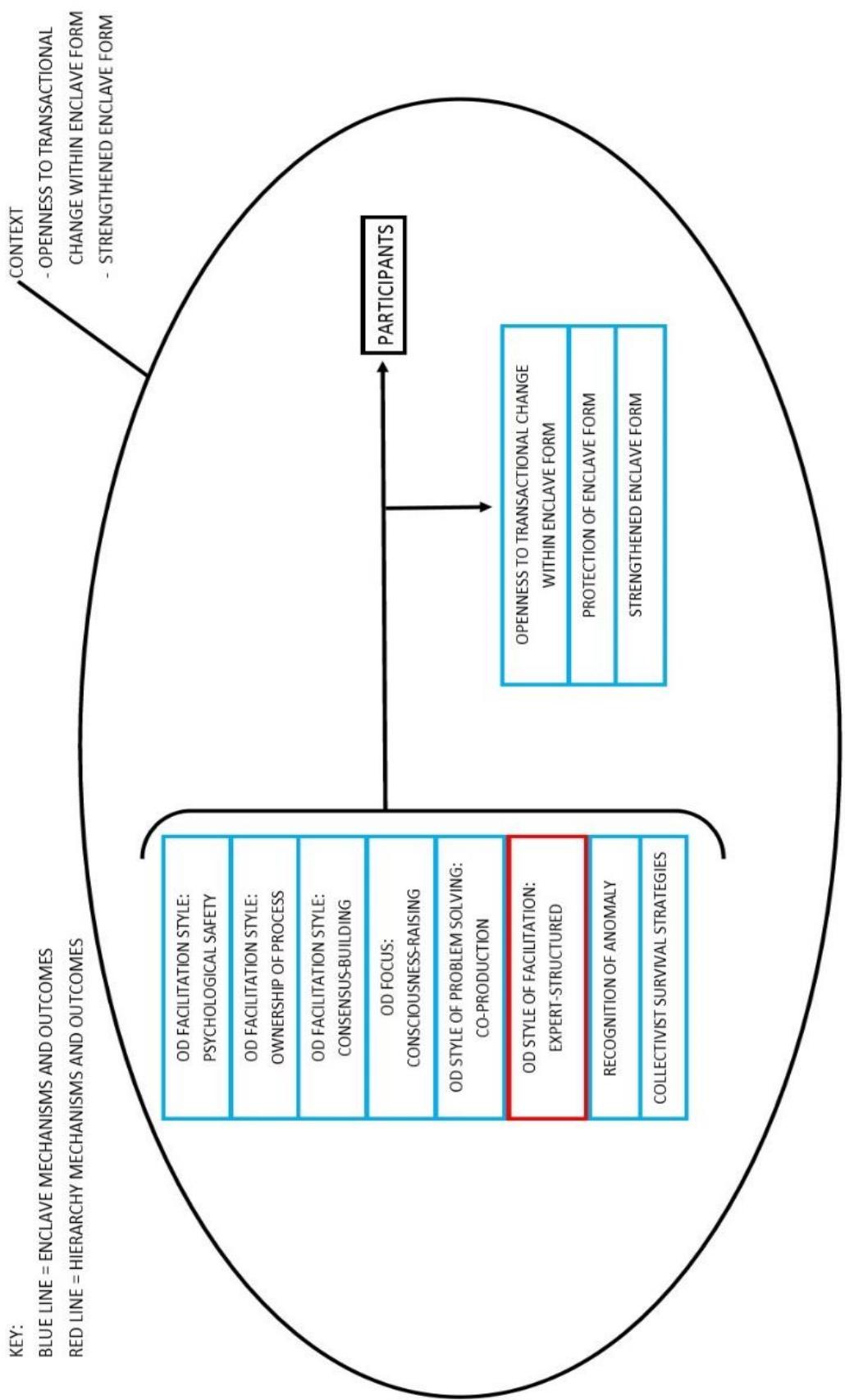


Figure 16: NDIT Context—Mechanism—Outcome Configuration for Stage 3 of Case Study 1:  
Overt focus on task and issues

#### *Stage 4: Independent working*

The outcomes of stage three, strengthening ‘attachment’ or group and the group’s own sense-making regarding grid, acted as the context for stage four. CS1’s interventions during this stage triggered hierarchy facilitation mechanisms of function and focus of producing product. These were interwoven with triggering enclave problem-solving and facilitation mechanisms of co-production, ownership of process and support. As in the preceding stage, CS1 established a hybrid settlement between the enclave and hierarchy forms, producing outcomes of strengthening the group’s ownership and commitment (enclave group and grid) together with acceptance of the authority and control of CS1 in driving the event (hierarchy’s group or attachment). These mechanisms were triggered at different points within the stage. This stage straddled the two days of the event and so included aspects of ending (day one) and re-starting (day two). These transitions were facilitated by drawing on enclave mechanisms of prioritising process over product and establishing a sense of psychological safety and group ownership of process, and hierarchy mechanisms of expert structure and functional focus.

CS1’s control of the process of the event, his triggering of hierarchy mechanisms of expert structured interventions, was evidenced through his explicit and direct use of instructions;

“I’d like you to have a scribe and have focused discussions about transitions – build a picture for me around transitions; current reality, what would be the desired future,...Does that make sense?” (p10)

These mechanisms were supplemented with triggering hierarchy's mechanism of focusing on product;

"Come out with some really clear actions by the end of the day." (p10)

CS1 triggered enclave mechanisms of ownership of process by leaving the room, so leaving the group to work independently;

'..[CS1] left whilst the group completed the exercise..." (p10)

During the last 30 minutes of the first day of the event, CS1 drew more heavily on hierarchy mechanisms of controlling the process of the event and facilitating with a strong functional focus. This contrasted with his facilitation style earlier in the day;

[CS1] stuck post-its on posters – in previous exercises the group members did all of the moving about....[CS1] kept focus and pushed on particularly when the group became negative....' (p11)

This approach seemed to trigger doubt about the group's own control and judgement – an undermining of enclave and turn towards hierarchy. CS1 addressed this through triggering problem-solving mechanisms of shared values, thereby strengthening the enclave form;

'[CS1] addressed doubt about 'what if we're told we're doing the wrong thing' – 'affirmation and protected time to reflect are really important.' (p11)

He continued to strengthen the importance of the experience and process, emphasising enclave's shared values of attachment and belonging;

'..I've enjoyed it as well..', 'I hope everyone's felt included'..., 'for me it's around the journey – it's important everyone's on the train that [team manager's] driving'..it's about getting people's views..." (p11)

CS1 opened the second day of the event by triggering enclave's focus on commitment mechanisms of emphasising the group's ownership of the event and the importance of the process;

"We started some dialogue didn't we...We had some protected time...We got shared ideas, team consensus, identified things that looked for you as the desired future...You also identified opportunities and things that may hinder...You shared feedback...You identified quick wins...These are the things that seemed to come out of your team day..."(p12)

CS1 then drew on hierarchy mechanisms of authority and teacher-pupil atmosphere as he introduced the aims of the second day. This was further emphasised through the use of structured interventions and a functional style of facilitation;

"It is very important we define start and finish of process map, identify where the steps are, then interventions at different stages.." (p12)

Once again, these were interwoven with enclave mechanisms of support and psychological safety through the use of humour;

'[CS1] not involved in the exercise but joins in non-verbally, with laughter and eye-contact as group becomes humorous.' (p13)

The focus of his facilitation triggered enclave sense-making mechanisms of consciousness-raising;

‘...’Reflecting on our own values and what’s important to us...” (p14)

His style of facilitation triggered enclave mechanisms of emphasising psychological safety and support;

“There might be bits that are difficult to flesh out, but it’s only when we try we can see where they are.” (p14)

In setting up the structured exercise of process-mapping, CS1 triggered enclave problem-solving and facilitation mechanisms of co-production and ownership of process;

“I’m not coming with a map – it’s your map, your area, your journey...”(p14)

“It’s up to you to define where you want to start..[CS1] throws responsibility/power to make decisions back to the team...but shaped from behind by [CS1]’ (p15)

These mechanisms were interwoven with hierarchy’s functional facilitation style;

‘[CS1] gets them to add timings and name chunks..’ (p17)

In summary, throughout stage four, CS1 continued to interweave enclave and hierarchy mechanisms as he focused on the group’s ownership and co-production of the outcomes of the event but also drove that process through a facilitation style founded on expertise and structure. The outcomes of the event took the form of

actual products – process map and action plan – as well as group ownership of those products and strengthening of the participants' attachment as a group. CS1's use of these enclave mechanisms was confirmed in his post-interview. These outcomes formed the context of the last stage of the event. The mechanism-outcome configurations are represented in figure 17.

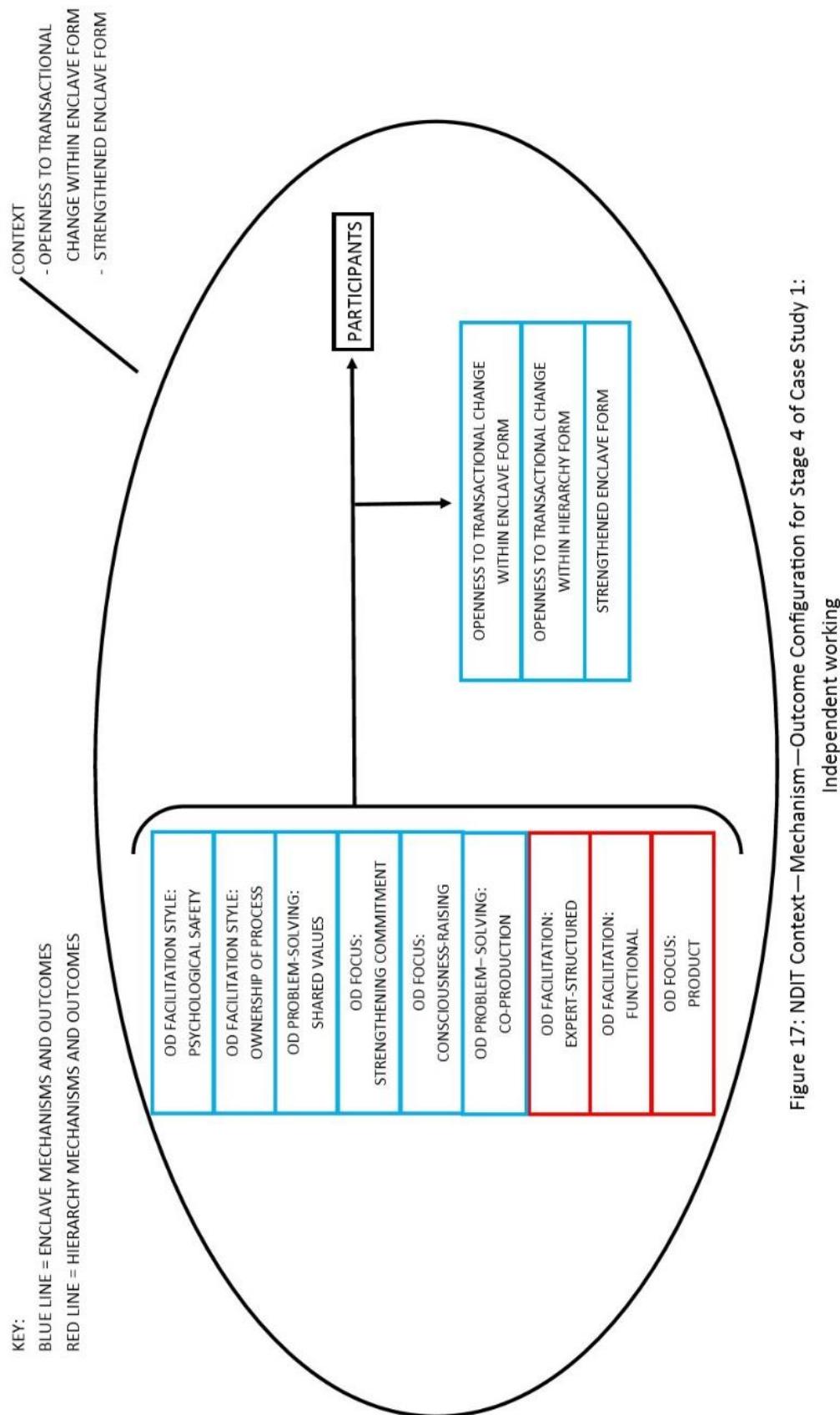


Figure 17: NDIT Context—Mechanism—Outcome Configuration for Stage 4 of Case Study 1:  
Independent working

### *Stage 5: Ending*

CS1's interventions during this brief stage of ending emphasised the enclave focus on strengthening commitment to the group endeavour;

'You've invested two days here and worked really, really hard. It would be a shame not to use that.' (p18)

"The reports will be your capture, our write-up, your words. I might add some critical friend reflections.." (p18)

These were interwoven with hierarchy's functional facilitation style;

[CS1] gave out process-mapping handouts – 'you've learned a skill – here's a crib sheet'. (p19)

Thus, stage five was congruent with the interweaving of enclave and hierarchy mechanisms evidenced in the preceding stages. The enclave form was strengthened through the production of stronger commitment to the group and its work, with hierarchy being strengthened through functional facilitation and expert structure, so triggering recognition of CS1's role and authority. The mechanism-outcome configurations of stage five are represented in figure 18.

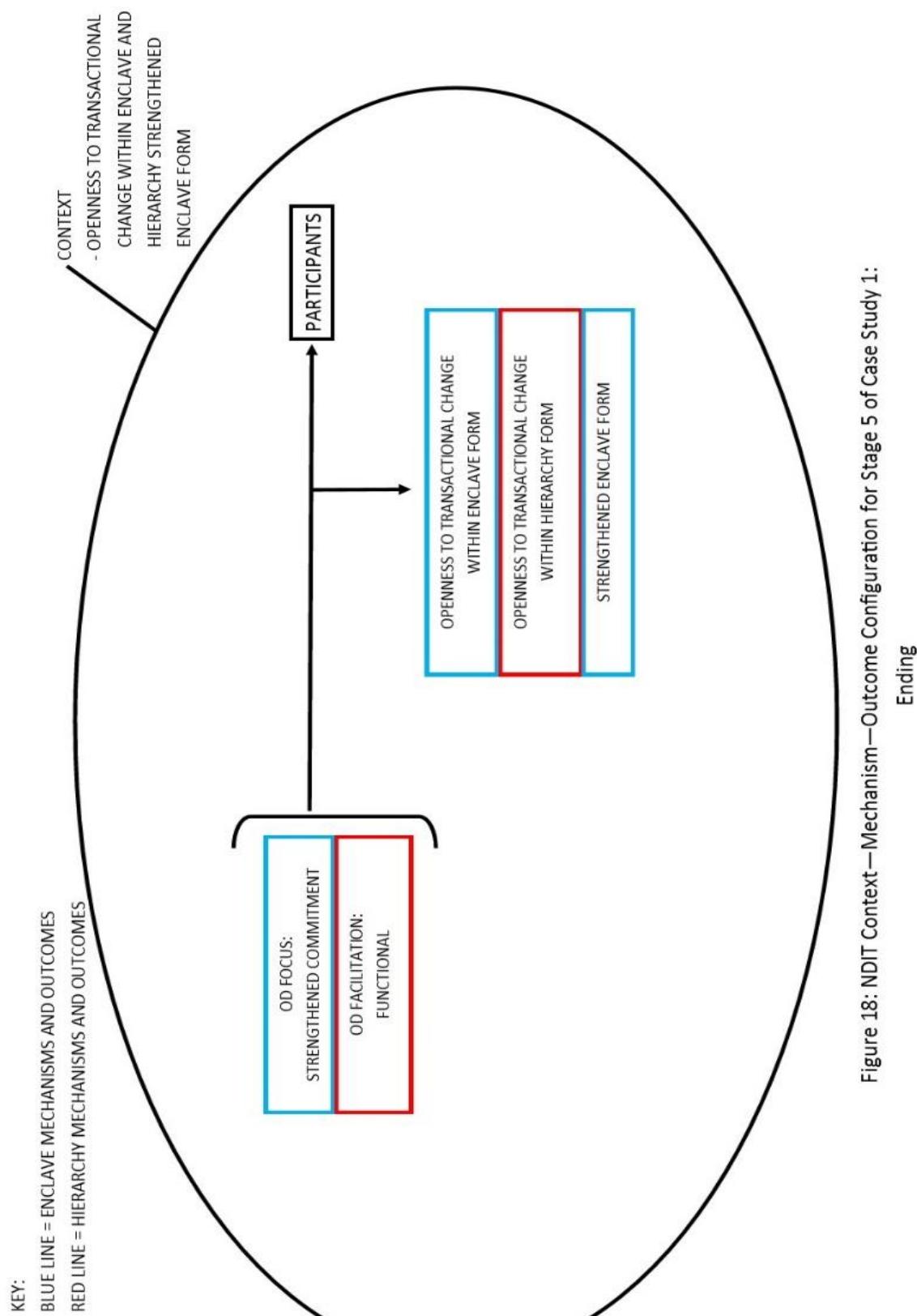


Figure 18: NDIT Context—Mechanism—Outcome Configuration for Stage 5 of Case Study 1:  
 Ending

From the NDIT analysis of CS1's theory-in-action, it has been shown that the focus of CS1's practice was on strengthening the enclave form in terms of its high 'group' or attachment and its low 'grid' or external rules. The latter position was strengthened through the triggering of mechanisms to produce the ownership of the event and its outcomes by the group and the control they took over the process; 'co-production', 'ownership of process', 'consensus-building' and 'consciousness-raising'. The high enclave 'group' position was strengthened through triggering mechanisms to produce attachment between group members and a safe psychological atmosphere; 'mutual belonging', 'support', 'shared values' and 'psychological safety'. This change strategy was confirmed by CS1 in his post-interview.

Sense-making regarding the need for the event and its focus drew on enclave anomaly recognition as a violation of the enclave system of classification ('externally imposed targets') and response to the anomaly in the form of protecting the group's boundaries and developing collectivist survival strategies (protected time and developing new strategies).

CS1's role as facilitator of the event implied an acceptance of his role in the face of threat to the enclave form. This underpinned the acceptance of his use of hierarchy mechanisms of expert structure and functional facilitation. Thus his relationship with the participants was founded on hierarchy's group mechanisms,

whereas the participants' relationship with each other was strengthened through the triggering of enclave's group mechanisms.

The importance of balancing the cultural forms within any settlement was highlighted in CS1's adoption of a hierarchy position regarding more active and functional facilitation style, which was met by the appearance of self-doubt by the group. CS1 addressed this strengthening of hierarchy's 'grid' position by reasserting enclave's internal rule-making, emphasising their own wisdom. This settlement between the enclave and hierarchy forms is illustrated in figure 19.

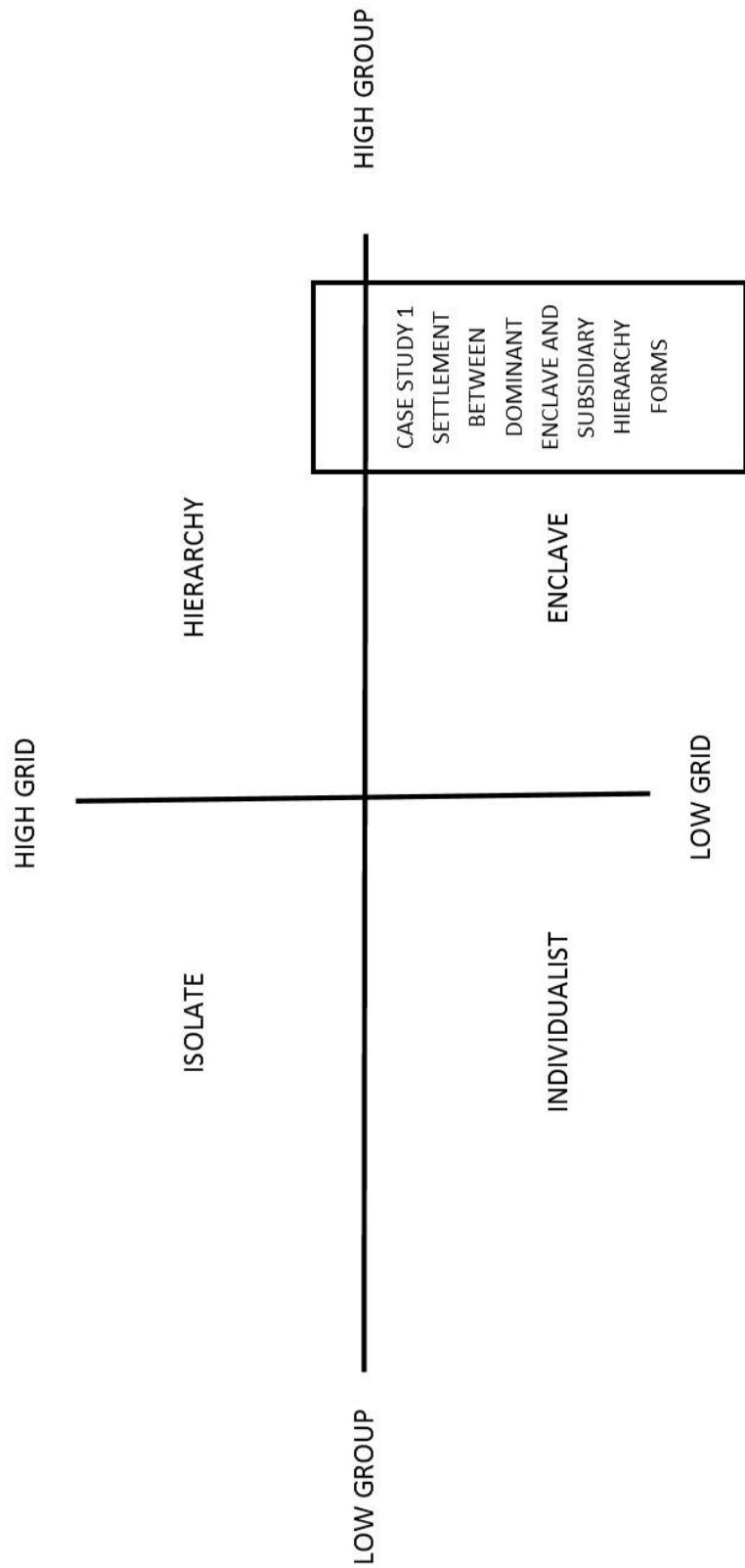


Figure 19: NDIT Cultural Location of OD Practice within Case Study 1

## **6.4.2 Case study 2 (CS2)**

### *6.4.2.1 Description of the OD event*

CS2's event is described in detail in the previous empirical chapter. A brief summary will be presented here.

In contrast to CS1's two-day event, CS2's event was a half-day in duration. The event was commissioned by a regional NHS organisation to work with senior mental health managers and commissioners across its geographical region. The focus of the event was on the proposed '18-week wait from referral to treatment' initiative in mental health services. It aimed to highlight the operational issues and legal requirements of services in its implementation and to facilitate participants thinking about their next steps. CS2 was expected by the event's commissioners to promote a stance of self-reliance in participants, as the commissioners were not prepared to invest further resources into supporting the implementation of the initiative. No formal structured exercises were used. PowerPoint presentations, discussion and small groupwork comprised the key interventions. On analysis, the event comprised three stages; context-setting, collaborative thinking and problem-solving and application.

### *6.4.2.2 Data analysis*

As evidenced in chapter five, CS2's OD practice and sense-making produced outcomes through the triggering of ideational mechanisms of change. Thus, superficially, CS2's practice, when analysed through the ideational CMOC

framework, was similar to that of CS1. CS2's practice, as represented in this event and in his post-event clarifications, was analysed through an NDIT realist evaluation framework and, in so doing, the cultural location of his practice has been highlighted. As articulated above, the congruence or incongruence of this location with the cultural form into which he introduced his interventions, determined the success or otherwise of his work.

CS2's practice evidenced a form of hybrid settlement between the hierarchy and individualist forms, congruent with his theory-in-mind. His interventions triggered mechanisms of sense-making and change that strengthened the hierarchy form in terms of its high 'group' and high 'grid' positions. That is, CS2's interventions emphasised rules and roles as means of attaining cohesion, expertise and forecasting as the focus of his interventions, and OD emphasising analytical problem-solving approaches. CS2 also focused on expertise with a facilitation style drawing on structure and functionality. His use of the individualist sense-making style was evident in the facilitation and problem-solving mechanisms triggered within the event; credibility based on his past success, and individual responsibility.

The data derived from CS2's observations and post-interview reflections were more limited than those of CS1. This related in part to the significant difference in length and cultural complexity of the events, and to the culturally-congruent process of facilitation adopted by the practitioner. Thus, CS1's event lasting four times as long as that of CS2, with CS1's enclave location requiring a greater focus

on process and relationship whilst CS2's practice being firmly located within the hierarchy and individualist forms, with their functional, satisficing focus. This focus within the event was mirrored in its design and facilitation and its sense-making style was evident in his post-interview reflections. Thus the analysis and reporting of case study 2 is much more succinct than that of CS1.

CS2's use of mechanisms across the cultural forms can be seen in Appendix 8.

#### *Stage 1: Context-setting*

CS2 opened his event with a hierarchy sense-making focus on product within a functional, expert structured facilitation style;

'Round of introductions – names and job titles and roles' (p2)

"..get action plans agreed" (p2)

'questions and comments from participants and answered by facilitators' (p2)

These mechanisms produced a strengthening of the hierarchy's 'group' or attachment. This use of mechanism-outcome configurations during stage 1 can be seen in figure 20.

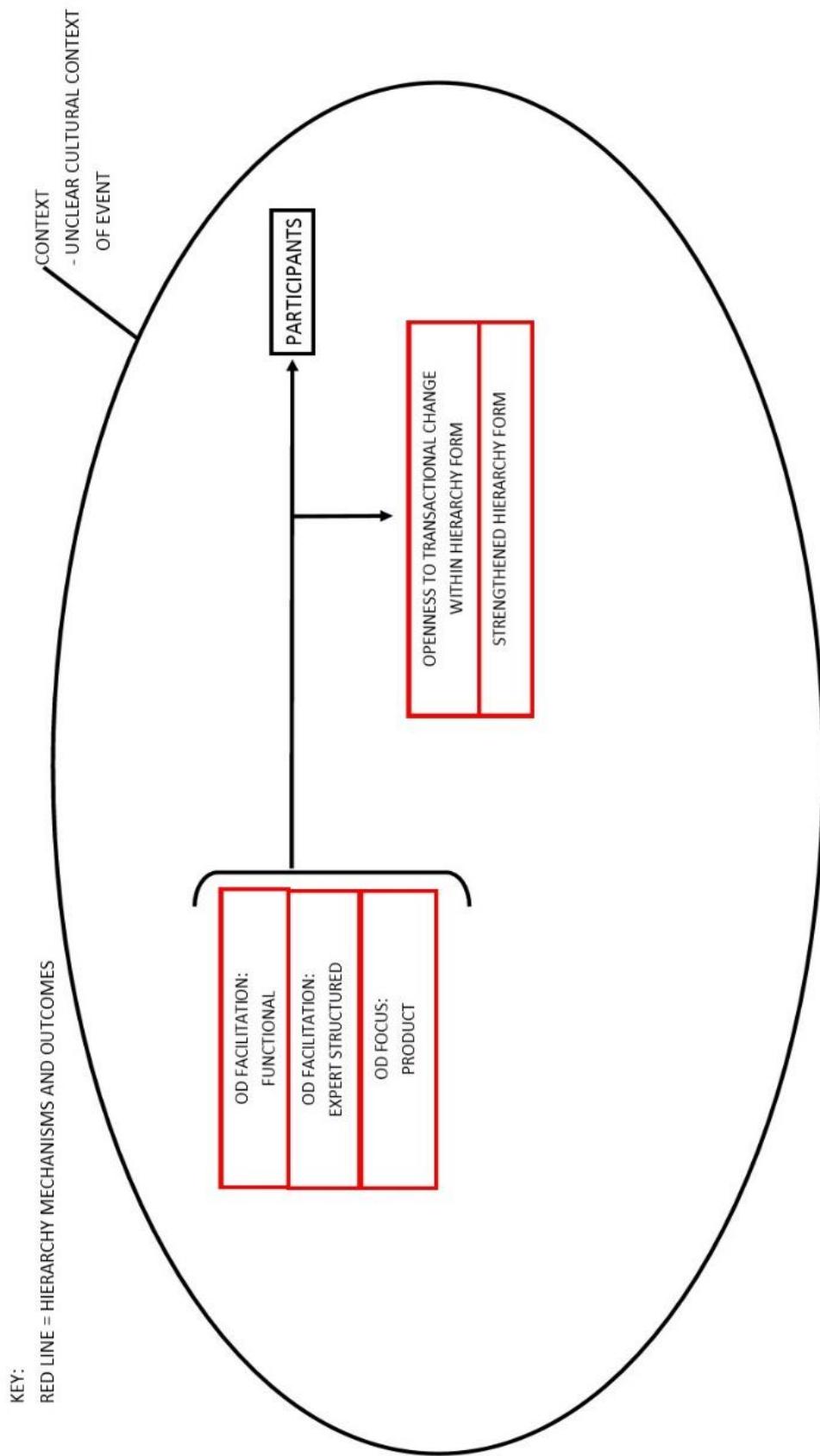


Figure 20: NDIT Context—Mechanism—Outcome Configuration for Stage 1 of Case Study 2:  
Context-setting

### *Stage 2: Collaborative thinking*

Stage one's outcomes of strengthening of form acted as the context for stage two.

Within stage two, CS2's facilitation style and focus were clearly triggering hierarchy sense-making and mechanisms of change. He produced an atmosphere congruent with the hierarchy form, through his functional, structured facilitation style. Within this context, he triggered interactions based on utility in terms of role and structure rather than personhood, so strengthening hierarchy's 'group';

"[CS2] writes points on flipchart at front...writes issues that aren't clear..." (p4)

"Take a break for 10 minutes. I'll then show a slide of provider suggestions.." (p5)

Thus, CS2 adopted a functional approach within the event, with no explicit focus on the process of the introduction of his interventions. He used breaks and feedback to address clear needs within the event – participants' need for a drink in the break and the participants' need to gain information required for their organisational role performance. His functional focus was confirmed within the post-interview.

CS2 further strengthened hierarchy's 'grid' location through triggering problem-solving mechanisms of analytic inference and developing a focus on forecasting the potential consequences of actions;

"What I'll try to do ..show how rules fit with the real world of mental health and learning disabilities..." (p3)

"I am interpreting it this way so I'm not encouraging you to do anything that puts your organisation at risk" (p4)

Within the post-interview, CS2 also articulated his use of the hierarchy sense-making mechanism of upward accountability. This was not explicit within the event but informed the style and content of CS2's presentation;

'If somebody were sued for the hazard of an 18 week breach due to those terms not being identified and their defence was that they'd been ill-advised...what they'd have to do...would be to sue the people who advised them...that would have been us..So I'm actually managing the risks of a charge against the [regional organisation] itself as well.' (p8)

Within the event, the problem-solving style of the event triggered hierarchy sense-making mechanisms of methodical problem-solving and knowledge-testing;

'[CS2] gives a formal statement from policy, highlights the real world implications – translates into real world terms.' (p3)

"Let's test your scenario.." (p5)

These were supplemented with triggering a focus on expertise;

"I [CS2] think what's important here is..." (p4)

"You have to be clear on what's recommendation and what's 'best opinion' here..." (p4)

CS2 drew on individualist problem-solving style through his triggering of the mechanism of individual responsibility. This was particularly evident in his use of 'you';

'CS2 cuts back in: 'some of the things for you to think through... As [service] commissioners, you need to decide...' (p4)

CS2 also echoed his individualist theory-in-mind position in his post-interview reflections on this stage of the event. He refused to compensate for the poor coordination evident in the presentation by commissioner 2;

'The audience are smart enough to see who's not co-ordinated and who's not prepared. Let them see...' (10)

In summary, CS2 facilitated stage two in such a way as to produce a strengthening of the hierarchy form in terms of its 'grid' location, whilst maintaining the outcomes of stage one in terms of 'group'. He triggered mechanisms that produced stronger sense-making in terms of regulations and expertise, with problem-solving style based on methods of knowledge-testing and methodical approach. He also triggered the individualist mechanism of individual responsibility, strengthening the 'group' position of this form. Thus, CS2 was creating and strengthening a settlement between the hierarchy and individualist forms, focusing on producing transactional change in terms of more effective problem-solving on the part of participants. The context-mechanism-outcome configurations evident in stage two are represented in figure 21.

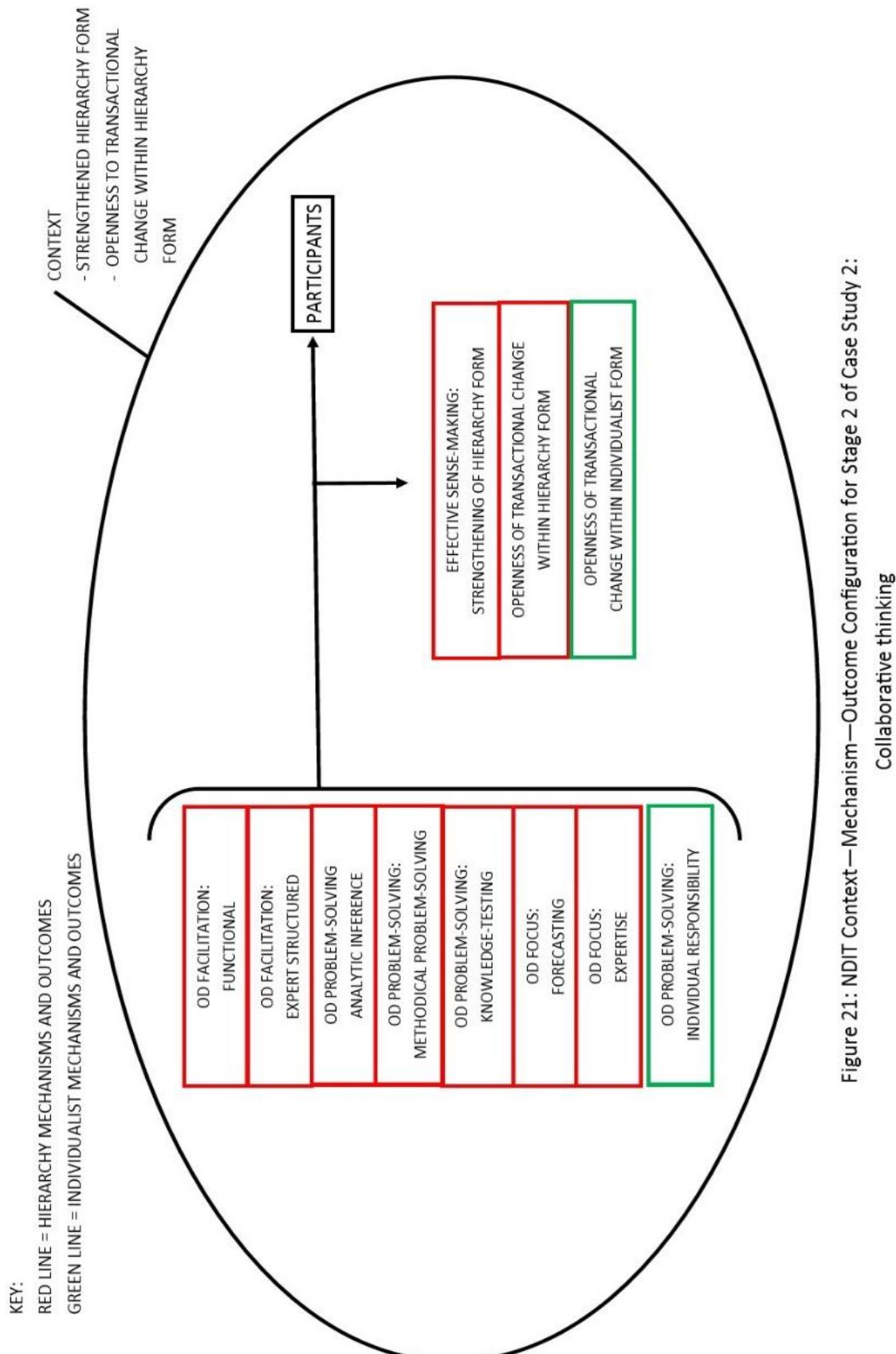


Figure 21: NDIT Context—Mechanism—Outcome Configuration for Stage 2 of Case Study 2:  
 Collaborative thinking

### *Stage 3: Problem-solving and application*

Stage three continued the process evident in the preceding stage. CS2 continued to draw on hierarchy's problem-solving and facilitation style of methodical problem-solving and functional role-based interactions;

"So if that needs to be acknowledged, who do you think needs to acknowledge it?...Why do you say the [regional organisation]?" (p7)

'[CS2] divides information specialists and commissioners to ensure equal distribution across groups' (p6)

His limited focus on relating was also evident:

"When I say OK, it's OK I've heard it, not OK I'm giving." (p7)

He maintained a teacher-pupil atmosphere within the event with participants and respected the upward accountability operating within the event;

'[CS2] continued rotating around small groups, clarifying tasks, getting 'heads up' on what they might be feeding back.' (p6)

'[CS2] checks with co-facilitators about what SHA can offer...[CS2] seeking rules from SHA...' (p7)

Thus, CS2 continued to trigger mechanisms that would strengthen the hierarchy form both in terms of 'group' and 'grid'. Interwoven with this approach, however, was further use of individualist problem-solving mechanisms of individual responsibility;

'As they feed back, [CS2] asks 'is that an action you think you can take yourselves?' (p7)

Minimal use was also made of enclave problem-solving mechanisms in response to a participant highlighting the need for more support from the regional organisation;

'One table raised 'need for appreciation of how big this is for an organisation.' [CS2]'s non-verbal behaviours supportive; eye-contact, nodding, listening intently.' (p7)

This re-configuring of the cultural focus of the event was in response to participants resisting the regional organisation's facilitators' position of refusing more support;

'Softer support issues brought up as needs by participants – not represented in the day. [Regional organisation] people...very wary of this 'hearts and minds' support but [CS2] pushing them to commit to it.' (p7)

In summary, stage three of CS2's event continued in the same vein of the preceding stages; that is, it was firmly located within the hierarchy form with significant use of the individualist problem-solving mechanism of individual responsibility. Minimal use was made of enclave sense-making, introduced in the form of an isolated problem-solving mechanism being triggered with no embedding in the ongoing facilitation of the stage. Once again, this analysis was supported by CS2 in his post-interview. The CMO configurations of stage three are represented in figure 22.

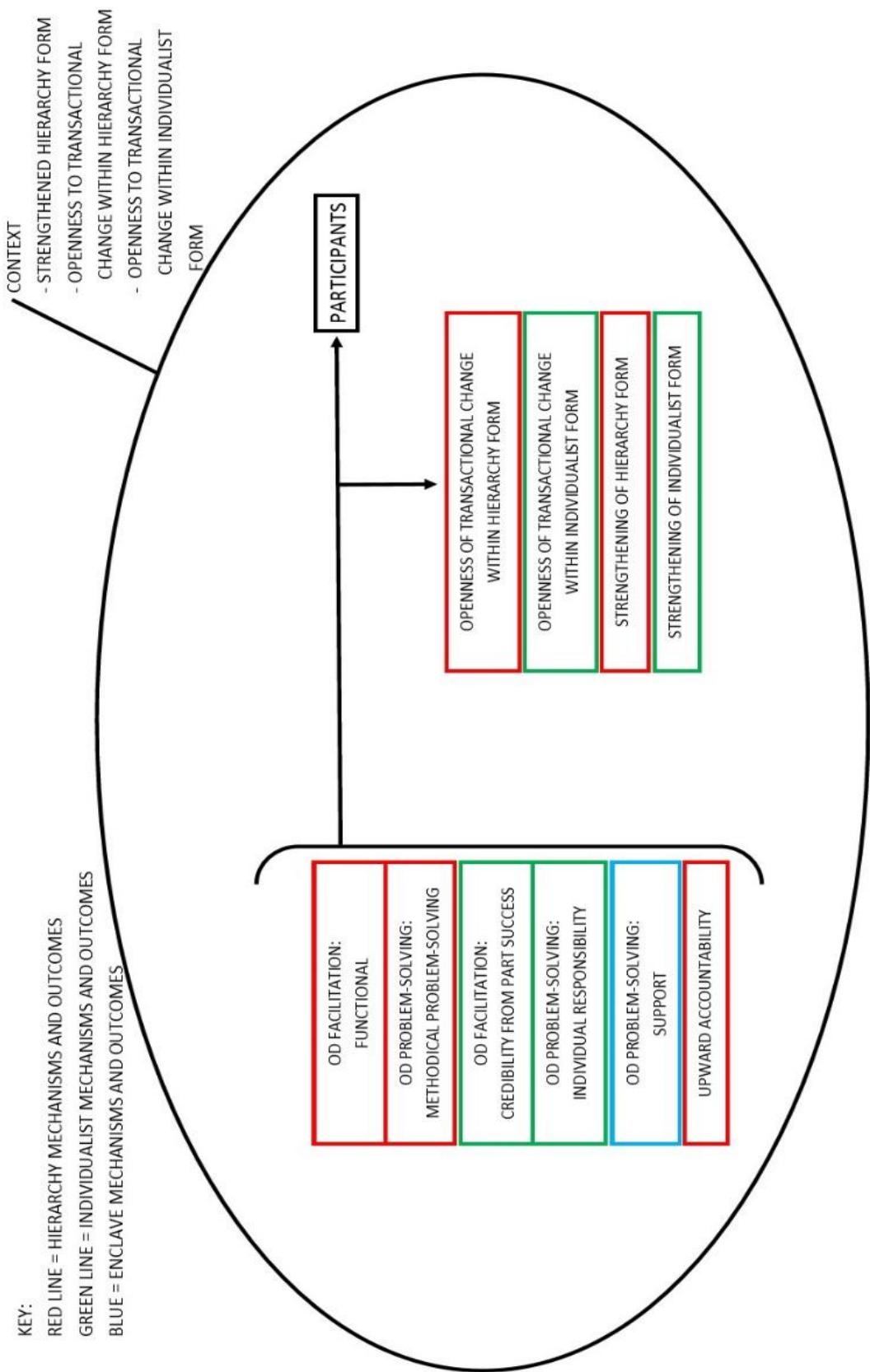


Figure 22: NDIT Context—Mechanism—Outcome Configuration for Stage 3 of Case Study 2:  
Problem-solving and application

Thus, CS2's OD practice, as represented in the observed event, was firmly located within a settlement between the hierarchy and individualist cultural forms. CS2's interventions triggered mechanisms designed to produce stronger 'group' in the form of recognition of role and relationship to the organisation, as well as stronger 'grid' in the form of respect for rules and regulations, recognition of the utility of information and methodical and analytical approaches to problem-solving. His interventions triggered mechanisms designed to produce both group and grid focusing on individual responsibility. CS2 positioned himself in both hierarchy and individualist terms; through his expertise and credibility from past success. In the face of participants' seeking an integration of enclave sense-making in the face of the changes required of them, CS2 drew on mechanisms of support but did not directly address the creation of this three-way settlement within the event.

The cultural settlement underpinning CS2's approach to OD within this event is represented in figure 23.

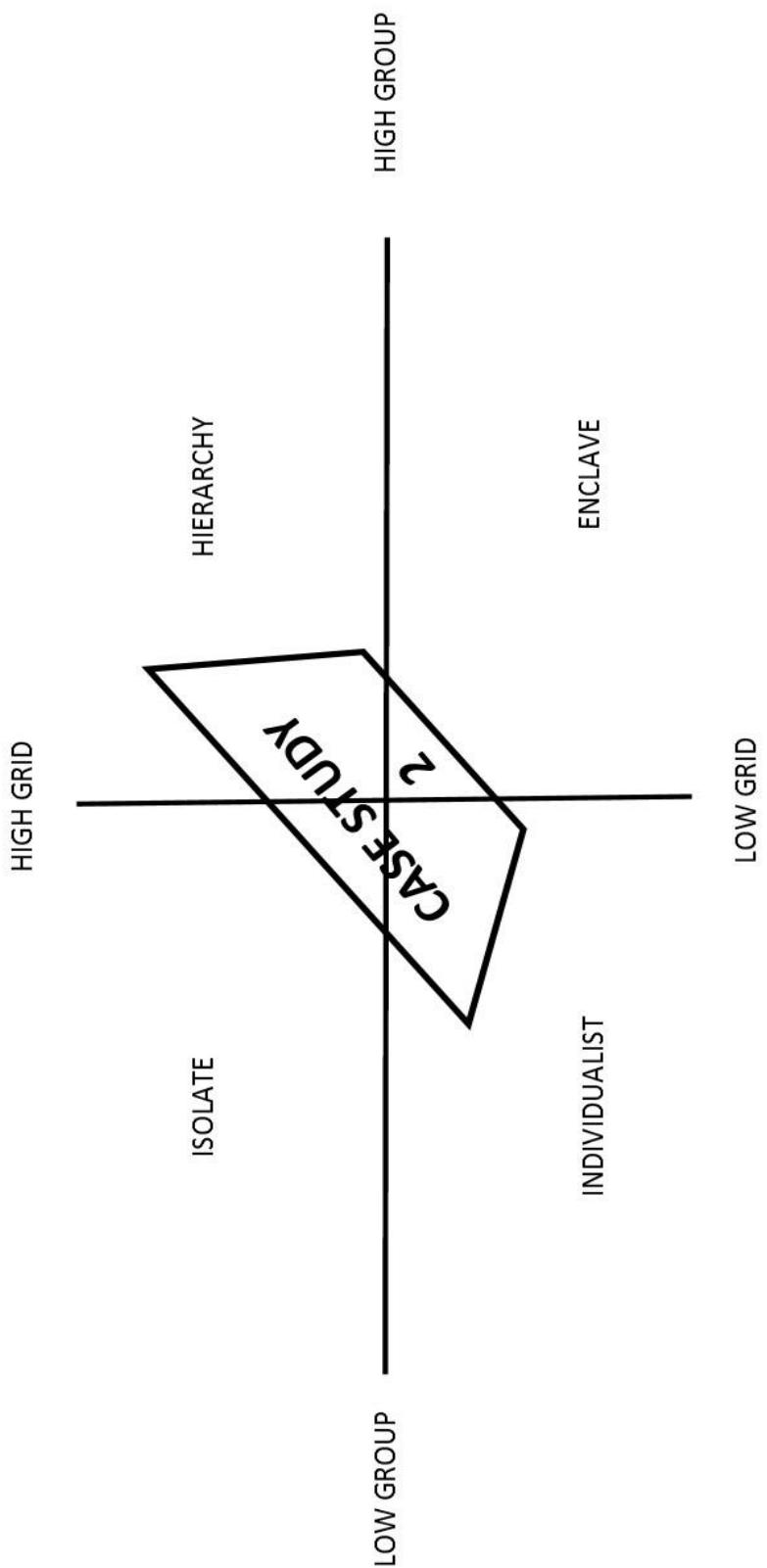


Figure 23: NDIT Cultural Location of OD Practice within Case Study 2

### **6.4.3 Case Study 3 (CS3)**

#### *6.4.3.1 Description of the OD event*

CS3's event is described in detail in the previous empirical chapter. A brief summary will be presented here.

CS3's event comprised two open sections; the conference and the masterclass. A further closed action learning set was not observed. Together the open sessions lasted five hours, thus longer than CS2's event but significantly shorter than CS1's event. The event was commissioned by the Trust's Chief Executive to showcase the OD work of the organisation. This showcasing was a means of demonstrating the commitment of the organisation to the OD strategy. The conference comprised opening comments, a keynote speech from a guest speaker, taster workshops, speed coaching and closing comments. This was followed by an optional leadership masterclass, again facilitated by the guest speaker. Although CS3 did not directly deliver or facilitate every element of the event, she planned and briefed all of the presenters about what she wanted their particular contribution to achieve and the key messages she wanted them to deliver. Thus, the event can be seen as representative of CS3's practice. On analysis, the event comprised four stages; introduction, new sense-making, ending and further sense-making.

#### *6.4.3.2 Data analysis*

As with the OD practitioners represented in case studies one and two, CS3's OD practice and sense-making were shown to operate within an ideational frame in

the previous empirical chapter. Her practice aimed to produce its outcomes through triggering ideational mechanisms to change sense-making and behaviour. In analysing CS3's practice through an NDIT framework, the cultural location of CS3's work becomes apparent and thus the potential for her work to produce change within different forms becomes clearer.

CS3's work represented a settlement between dominant hierarchy and individualist forms, with subsidiary use made of the enclave sense-making style. Different stages of her event foregrounded different forms, with stage one comprising mechanisms producing a strengthening of the hierarchy form and stage two sequentially triggering mechanisms derived from the hierarchy and individualist forms, with some use of the enclave sense-making style. In stage three, there was a return to the dominance of the hierarchy form. Stage four comprised the masterclass delivered by the guest speaker. It drew heavily on individualist sense-making, within a hierarchy ritual context. Thus, within this event, the use of non-hierarchy sense-making and mechanisms for change provided potential surprises within the event; the introduction of surprise from the enclave form which was easily neutralised by the hierarchy ritual context and subsequent stages of the event. This could be seen as seeding surprises in terms of introducing anomalies for the enclave form (sources of disempowerment and entrapment) and presenting difference to the hierarchy sense-making style as evidenced through the differing enactment of the role of Chief Executive in stages 1 and 2, so preparing the organisation for transformational change; organisational consciousness-raising.

This occurred within the ongoing triggering of mechanisms designed to produce openness to transactional change, strengthening the organisation's performance through strengthening CS3's perception of the organisational settlement between the hierarchy and individualist forms. This strategy for change was supported by CS3 in her post-interview.

CS3's use of mechanisms from the different cultural forms can be seen in Appendix 9.

#### *Stage 1: Introduction*

CS3's event was delivered through the triggering of hierarchy facilitation mechanisms as seen in the physical layout and materials in and around the main hall and coffee room. The audio-visual presentations running on a 'loop' during the registration for the event illustrated work experiences within the organisation and presented objective data about key organisational outcomes. These materials triggered hierarchy OD mechanisms of focus on product;

'..playing work experience stories on DVD flanked by 'Careers with the [name of organisation] banners....On stage OD department slideshow running.... Slides about completed appraisals' (p1)

Individualist facilitation mechanisms of focus on self or 'what's in it for me?' were interwoven into these materials;

'Personal testimonials about people in different roles achieving qualifications' (p1)

This was supported in the post-interview;

'it's people saying what a difference this thing they've done has made to them.' (p10)

Such self-interest produced outcomes for individuals within the organisation and thus acted as a mechanism for strengthening hierarchy's 'group'. The hierarchy form was further strengthened through mechanisms of rhetorical ethos of the authoritative figure;

..[CS3] introduces the speaker for the opening address: 'Chief Executive, Mr [first name, surname].' (p2)

'Chief Executive: 'In summary, congratulations to [CS3], [Director of HR] and the team.' (p3)

CS3 supported this analysis in her post-interview, highlighting the symbolism of the presence of the Chief Executive validating the legitimacy and significance of the event.

Mechanisms of OD focus on product and forecasting were also triggered, thus strengthening hierarchy's openness to transactional change;

'Chief Executive announced shortlisted for HSJ[service sector] Trust of the Year award.....'reflects the hard work and dedication all of you put in" (p2)

Such organisational achievement provided a foundation for forecasting the future needs of the organisation;

'Chief Executive: 'Today's about looking forward.' He highlights the need to change through the world changing.' (p2)

Sense of social cohesion was also triggered as a means of strengthening hierarchy's 'group' or attachment;

'Chief Executive: 'Create a sustainable society that we're proud of...' (p2)

In summary, stage one of the event comprised mechanisms aiming to strengthen the hierarchy form of the organisation. Such mechanisms included respecting authority and promoting social cohesion, through the deployment of OD mechanisms of focus and facilitation. These mechanisms strengthened the 'group' dimension of the hierarchy form. Where the individualist sense-making style was evident, it was harnessed in the interests of the hierarchy form; that is, promoting self-interest in terms of making gains within the organisation, so strengthening the members' commitment to it. The mechanism-outcome configurations evident in stage one of the event are represented in figure 24.

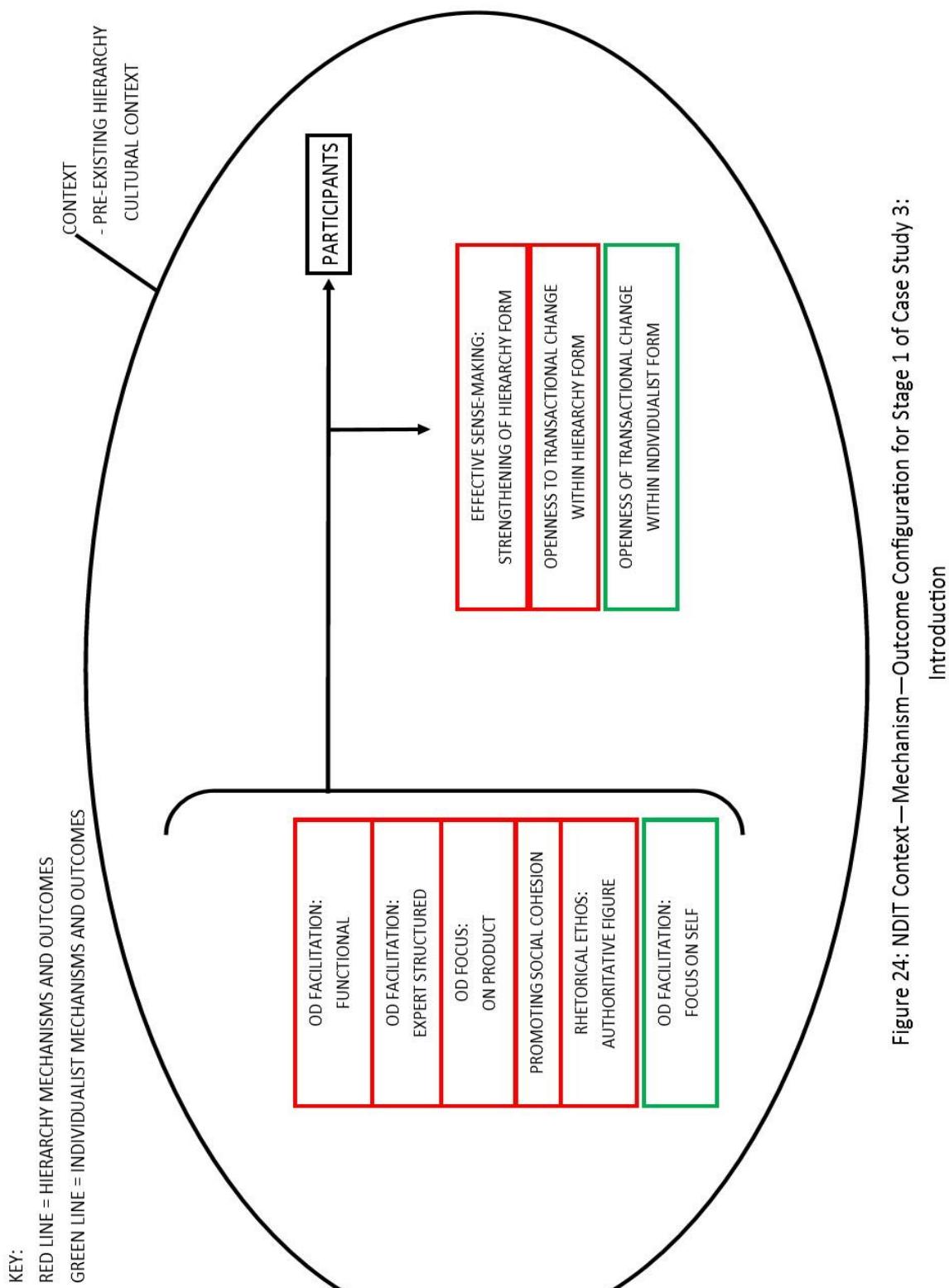


Figure 24: NDIT Context—Mechanism—Outcome Configuration for Stage 1 of Case Study 3:  
Introduction

### *Stage 2: New sense-making*

The outcome of stage one, the strengthened ‘group’ dimension of the hierarchy form and the openness to transactional change within the hierarchy and individualist settlement, acted as the context for stage two. This stage comprised the guest speaker’s presentation and the taster workshops. The guest speaker was a Chief Executive external to the organisation. The presenter’s role of Chief Executive in the NHS and his style and content of presenting acted as a contrast to the traditional perception of Chief Executive in the organisation. This stage of the event contrasted with the preceding stage through its use of enclave mechanisms of change. Hierarchy sense-making style was evident in the presentation through the functional facilitation and problem-solving style and the focus of expertise. The content of the presentation drew on the styles of the hierarchy, individualist and enclave forms.

The hierarchy form was strengthened through the OD facilitation style within this stage. The guest speaker used a powerpoint presentation, talking to the participants from the front of the hall. Questions were not taken during the presentation. Further, this triggered the focus of the OD intervention on the presenter’s expertise. Hierarchy’s OD problem-solving approach was also evident in the form of the analytic inference required through the need to apply the metaphors to the organisational context;

‘Guest speaker: ‘what is an organisation?...machines...organisms...’ (p4)

The individualist form was strengthened through the use of the problem-solving style of individual responsibility;

‘Guest speaker: Be the change you want to see’ (p4)

‘Guest speaker: To change, start by changing the way you talk’ (p5)

The enclave form sense-making style was evident through OD facilitation triggering psychological safety and problem-solving style of shared values and mutual belonging;

‘Guest speaker: ‘It’s all about the people isn’t it’ (p3)

‘proud to be a part...’ (p4)

His attention to psychological safety took the form of his use of humour;

‘....then light-hearted again’ (p3)

The guest speaker’s presentation triggered the OD focus mechanism of consciousness-raising, so attempting to produce enclave ‘group’. Within this stage, this was evident through the use of metaphors founded on personal rather than work situations;

‘Guest speaker: eg of own child giving drawing...’(p3)

Enclave sense-making was particularly evident in the guest speaker’s narrative regarding organisational failure and responses to it. Sense-making regarding

failure triggered recognising ‘the system’ as an anomaly, disempowering and entrapping people;

‘Guest speaker: all those things that force people to behave the way they behave...’ (p4)

Such anomalies are addressed through a collectivist survival strategy;

‘Guest speaker: ‘Give people back the language” (p3)

NHS managers were presented as members of a persecuted group. The event’s participants were all NHS managers. Thus, enclave mechanisms of mutual belonging and membership of a persecuted group were triggered with the outcome of strengthening the attachment, or enclave ‘group’, of the participants in the event. The response to such persecution was one of empowerment, breaking through individual entrapment and facilitating the liberation of the organisational members;

‘...[guest speaker] describes ‘entrapment’ at the individual level...Describes entrapment at organisational level...’One of real skills of leadership is to really listen...’unlock’ some of the ways of thinking’...’ (p5)

OD was then positioned as a solution to organisational failure through such empowerment. It was also positioned as drawing on relationship between people as a means for change;

“OD is about ‘relational practice’...how I work with you....’ Repeated 3x’ (p5)

Thus, the guest speaker's presentation introduced the enclave sense-making style, strengthening the 'group' dimension of this cultural form. The design of this element of the OD intervention triggered hierarchy mechanisms of focus and facilitation together with the individualist problem-solving mechanism of individual responsibility. So the pre-existing settlement was maintained. Within the post-interview, CS3 described the strategy for commissioning the presentation in terms of providing contrast;

'My aim was to get people excited about leadership from someone who does it in the NHS...Because here we've got the culture that we have, it's driven from the top, until he leaves that's going to be the prevailing culture, so building the OD stuff,...it's always about changing hearts and minds in small numbers.' (p8)

'...I wanted people to kind of feel, almost a kick up the backside, a wake-up call..' (p18)

The CMOCs for this first part of stage two can be seen in figure 25.

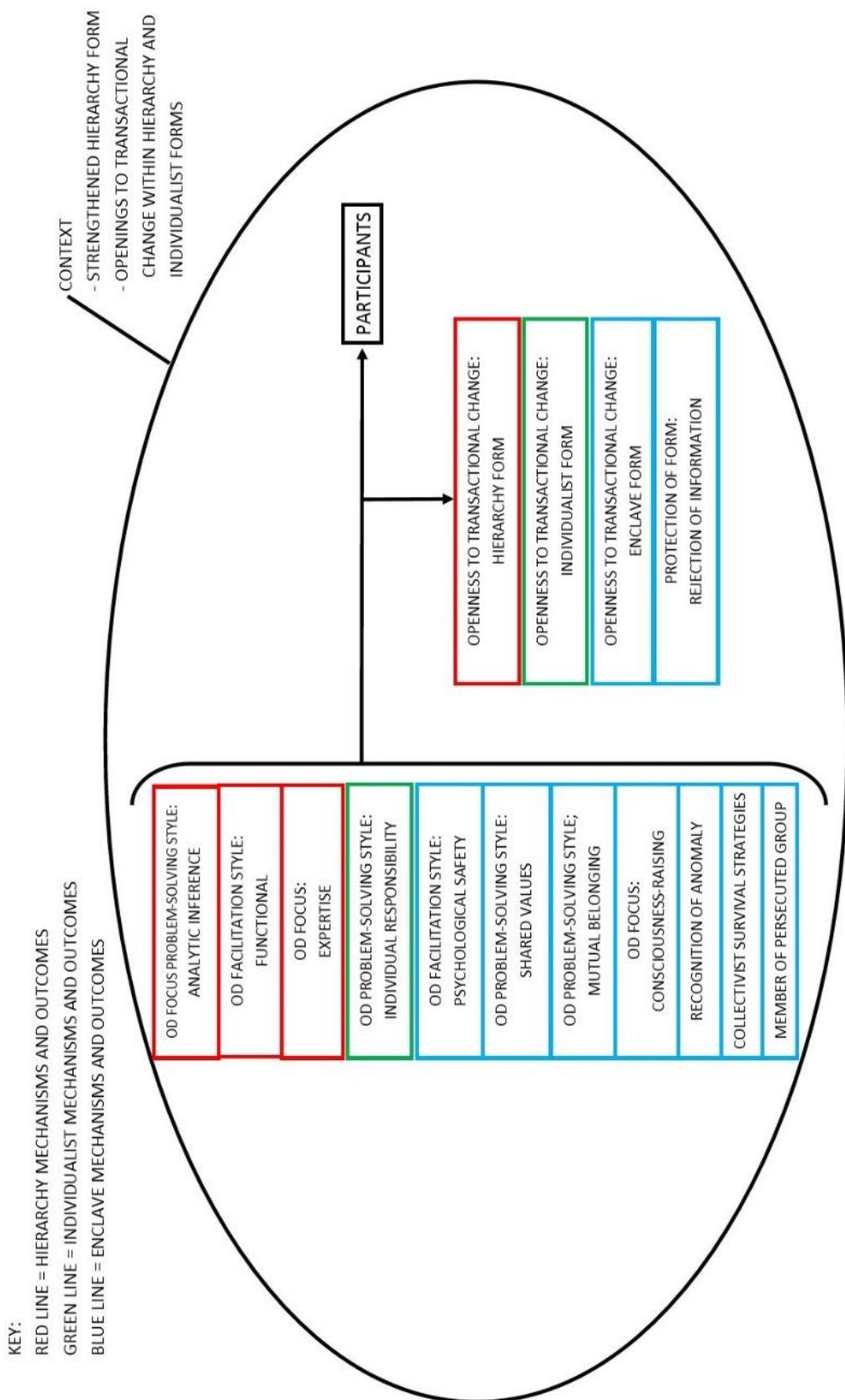


Figure 25: NDIT Context—Mechanism—Outcome Configuration for Stage 2 of Case Study 3:  
New sense-making (Part 1)

This different enclave sense-making style was not followed through either by a 'question and answer' session or through further exploration of its themes in the next elements of the event. Rather, its enclave sense-making was left, followed by a refreshment break. The break was followed by taster sessions, drawing on individualist OD focus within a hierarchy functional facilitation context.

Individualist OD focus mechanism was reward;

'[CS3]: "Why did you come?" (p6)

'[CS3]: "How do you think these kinds of skills might help you?" (p6)

This was supported in the post-interview;

'my concern that people take something away for themselves, hence the workshops, the coaching...' (p13)

These mechanisms produced a strengthening of the low 'group' dimension of the individualist form which, as was apparent in stage one, can be harnessed as a motivator for working in the interests of the organisation – success for the participants in their roles as organisational managers equates to goal attainment within the organisation. The CMOCs for the second part of this stage of the event can be seen in figure 26.

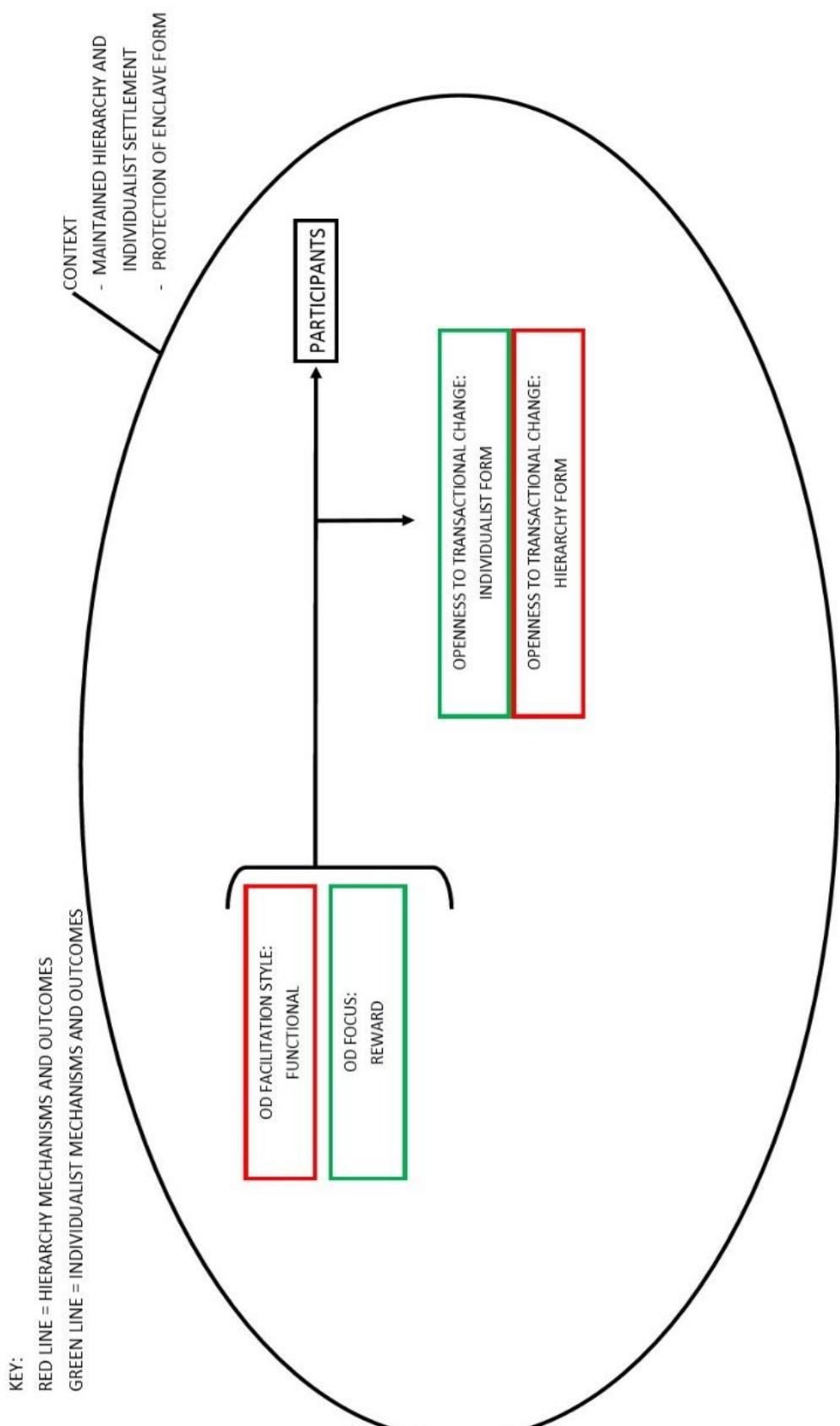


Figure 26: NDIT Context—Mechanism—Outcome Configuration for Stage 2 of Case Study 3:  
New sense-making (Part 2)

In summary, stage two of the event provided surprises for the participants through its use of enclave's sense-making style. This sense-making was used to position them as members of a persecuted group who could push through the constraints of the system and produce change through relating and listening to people. This aspect of sense-making was then followed by a brief return to individualist sense-making as a source of motivation for skills development. Hierarchy's sense-making presence was maintained through the functional facilitation style of the event and its focus on expertise. The outcomes of this stage related to providing a contrast to the organisation's traditional world-view, but not sufficiently to challenge the hierarchy form. Enclave 'group' was strengthened in terms of a new group identity but was not supported by the following element of the event which, through its use of individualist sense-making, returned the focus to self, so undermining this 'group' attachment.

### *Stage 3: Ending*

The context for this stage of the event was provided by stage two. It could be seen as one of awareness of the possibility of difference in the form of enclave but integrity of the settlement between the individualist and hierarchy forms through reasserting the individualist sense-making style. The ending stage took the form of closing comments by the Chairman of the organisation and the Director of Workforce and Development. Both were introduced in terms of their role within the organisation, thus strengthening the hierarchy form's 'group' dimension through their ethos as authoritative figures;

[CS3]: ‘I’m delighted to introduce the [Trust name]’s Chairman....” (p6)

This mechanism was stressed in the post-interview regarding the selection of the two speakers;

‘I thought I can’t not ask [Director of HR] to say anything because she’s my boss....But [Chief Executive] and [Chairman] do tend to top and tail...[Chief Executive] goes first, Chairman wraps it up.’ (p5)

The previous elements of the event were positioned by the Director within hierarchy’s educational or teacher-pupil atmosphere;

[Director of Workforce and Development]: ‘...a taster of different ways of looking at organisational development...” (p6)

This could be seen as a means of the hierarchy form protecting itself by responding to the guest speaker’s enclave-based presentation as an anomaly through reclassifying the contribution as a set of interesting ideas.

The closing comments triggered mechanisms of persuasion through rhetorical themes in the form of working in the best interests of the organisation and perceiving the organisation as a team or family;

[Chairman]: ‘What is the motivation to be a leader? To make the organisation better when you leave it than when you found it.” (p7)

[Chairman] told a story summarised by ‘they do it for you” (p7)

These mechanisms strengthened the hierarchy 'group' dimension. In summary, stage three stabilised the organisation in the face of the potential destabilising of its sense-making. It reasserted the status quo in terms of triggering hierarchy's sense-making style through the rhetorical themes of role and working to the best interests of the organisation within the OD facilitation form of the conference presentation. The form also protected itself from the anomaly presented by the enclave sense-making evident in the preceding stage. Thus the outcome of this stage was a strengthening of hierarchy which acted as the context for the final open element of the event; the masterclass. The mechanism and outcomes evident in stage three are represented in figure 27.

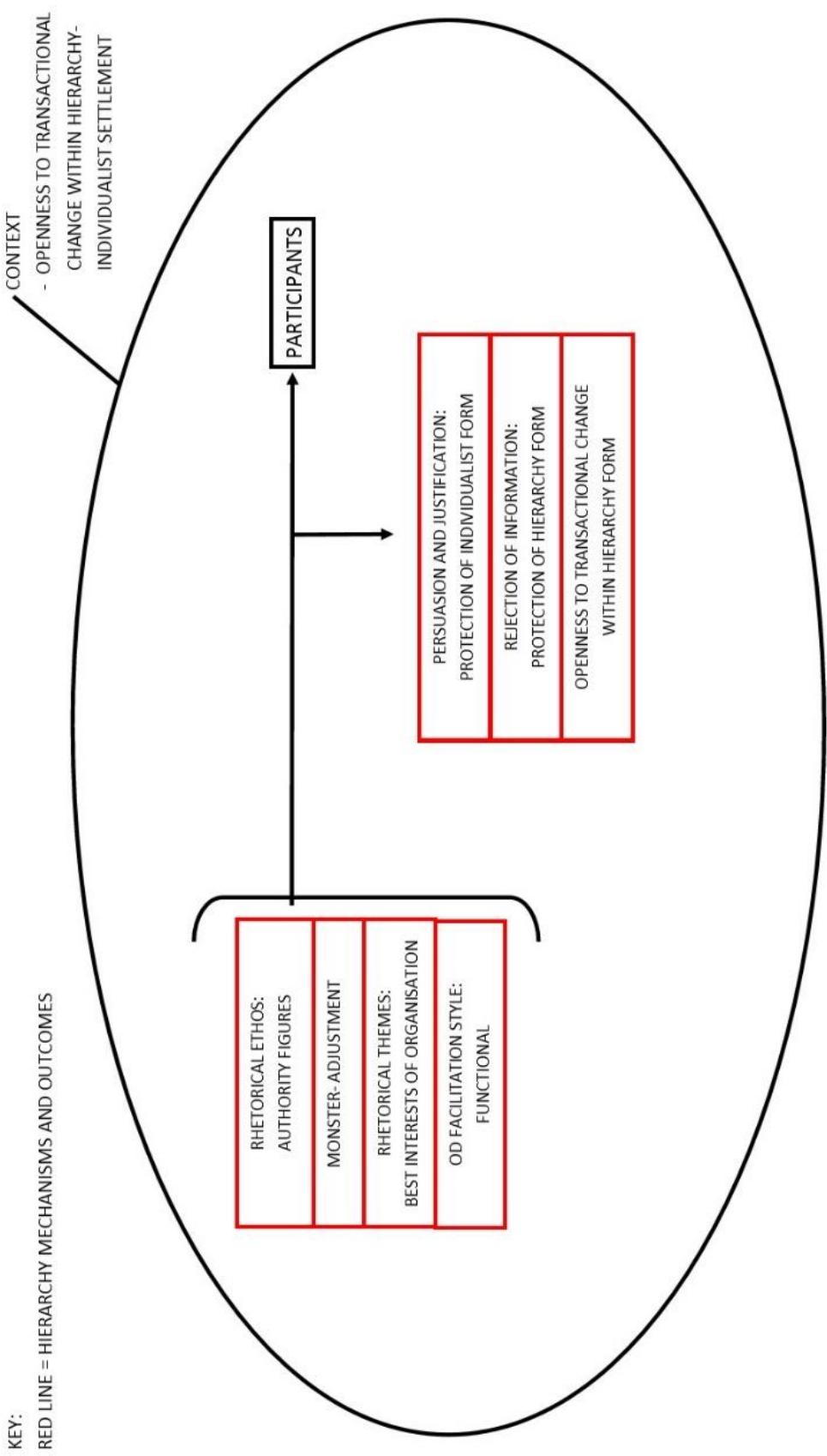


Figure 27: NDIT Context—Mechanism—Outcome Configuration for Stage 3 of Case Study 3:  
Ending

#### *Stage 4: Further sense-making*

This stage returned to hierarchy and individualist sense-making styles, with minimal use made of that of the enclave form. The masterclass was presented by the guest speaker who had presented such a surprise to the participants in stage two. The structure of the masterclass reflected the hierarchy OD facilitation mechanism of functionality and expert structured; the presentation was made with powerpoint in a traditional format. This was supplemented by triggering problem-solving and focus mechanisms of analytic inference and product through the use of metaphor;

'[Guest speaker]: Eskimo and dogsled – pulling people together to get where they need to be...' (p8)

Such mechanisms produced a strengthening of the sense-making style of the hierarchy form, opening it up to transactional change.

The individualist problem-solving mechanism of eliciting insight was triggered throughout the presentation;

'[Guest speaker]: 'Proust quote – the real act of discovery consists not in finding new lands, but in seeing with new eyes....Leaders tune into others' paradigms.' (p9)

'Ends with story: 'why listening matters'. Very very emotive story about Accident and Emergency department – death of one of the workers. Illustrated the gift of being heard...' (p10)

Such insights were linked back to the hierarchy mechanism of persuasion through the rhetorical theme of working in the best interests of the organisation;

[Guest speaker]: ‘...The difference between success or failure is great leadership...High reliability organisations strategise, anticipate, organise....High reliability leaders listen to grass roots, understand levers, ...develop shared story,...raising awareness is not enough – need to change behaviour,... Good leaders have answers, great leaders ask questions...” (p9)

In summary, this final stage of the event integrated the sense-making evident within the preceding stages of the event. The hierarchy form was strengthened through the persuasion mechanisms of role and working in the best interests of the organisation, triggered through the OD focus, and facilitation and problem-solving styles. The individualist mechanisms of eliciting new insights strengthened the form, thus reinforcing the organisational settlement. These mechanism-outcome configurations are represented in figure 28.

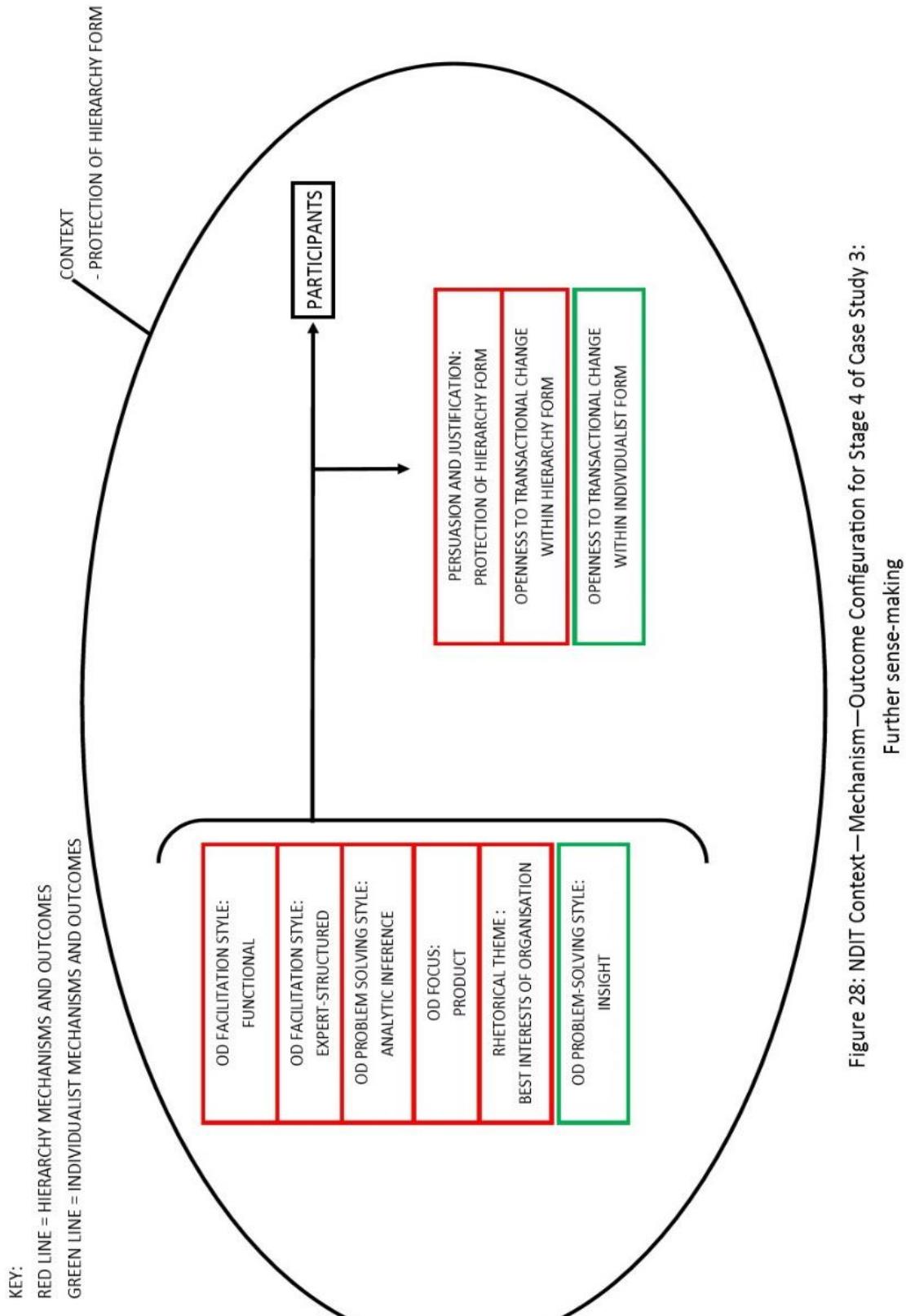


Figure 28: NDIT Context—Mechanism—Outcome Configuration for Stage 4 of Case Study 3:  
 Further sense-making

CS3's event opened and closed with a strengthening of the hierarchy cultural form. Within this context, individualist self-interest mechanisms were channelled in the interests of the organisation and a challenge was triggered through enclave sense-making. Thus, in CS3's design of the OD event, it was clear that a settlement was being supported between hierarchy and individualist cultural forms, with a risk taken by the subtle challenge presented by introducing enclave sense-making. The settlement between hierarchy and individualist forms was produced through the interweaving of their respective mechanisms of change; for example, linking the individualist 'what's in it for me?' mechanism back into the hierarchy 'group', such that the gains for an individual derive from performing well for the organisation.

The challenge to this settlement came in the second stage of the event, in which enclave sense-making was dominant. The presence of an external speaker, fulfilling the role of a Chief Executive in another Trust, provided significant contrast to the organisation's usual experience of the physical representation and enacting of the role. In addition, the content of the presentation triggered enclave OD mechanisms of focus on consciousness-raising, problem-solving style of mutual belonging and shared values, and facilitation style of psychological safety. The enclave form's mechanisms of recognising anomalies within its empowering and supportive sense-making and the positioning of managers as members of a persecuted group were also triggered. Such mechanisms strengthened the enclave 'group' form, providing an alternative form of attachment to that commonly experienced within the organisation. Thus, the mechanisms triggered in the

presentation offered a ‘check’ on the hierarchy sense-making style dominant in the organisation, producing an awareness of a different form of ‘group’. This could be regarded as an attempt at ‘surprising’ the organisation, triggering hierarchy anomaly recognition and ‘monster-adjustment’. The timing of this ‘surprise’, in terms of it being followed by a refreshment break and taster sessions designed to trigger individualist and hierarchy sense-making, diluted its potential impact. Thus, the cultural status quo was maintained.

The cultural form evident in the event is represented in figure 29.

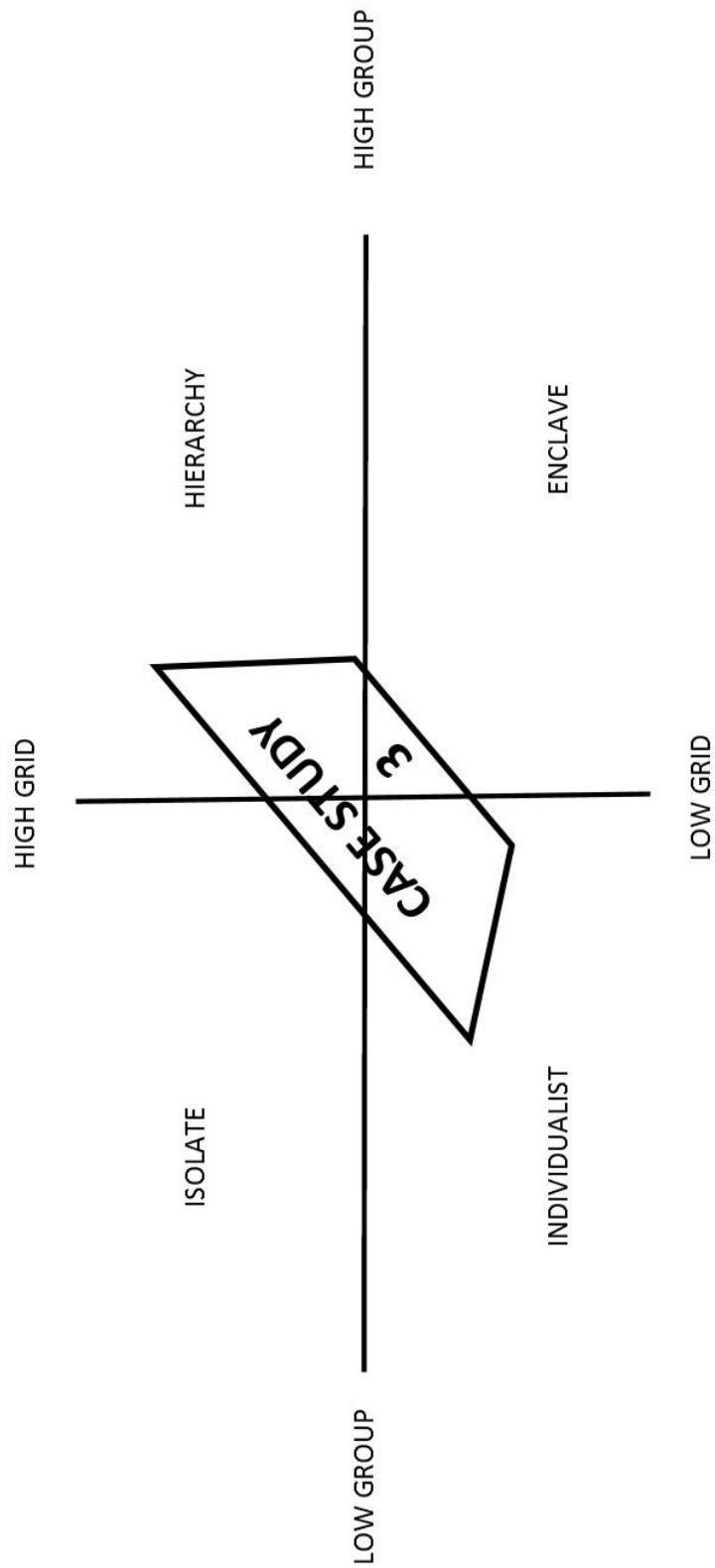


Figure 29: Cultural Location of OD Practice within Case Study 3

## **6.5 Conclusions**

The evidence presented within this chapter has illustrated the differences underlying apparently similar OD ideational approaches through the application of a realist evaluation based on a neo-Durkheimian institutional theory of change. Through this analysis, it has become clear that there are significant differences underlying the theory-in-mind and theory-in-action of OD practitioners that are eclipsed by the somewhat superficial explanations provided by the ideational explanatory frameworks through which OD practice is traditionally explored. Although the three cases of OD practice examined were shown in chapter four to incorporate different nuances or emphases in ideational practice, NDIT provides a means of explaining these differences and their implications for the success or otherwise of OD interventions.

The application of the CMOCs to the theory-in-mind and theory-in-action of each of the three cases of OD highlighted their significant underlying differences in terms of both sense-making and practice. The three ‘ideational’ OD practitioners, all drawing on ideational mechanisms of relationship, commitment to change, sense-making and behaviour change, practice OD from different cultural positions. Their positions inform the outcomes they aim to produce and the means by which they achieve this. These differences are represented in table 24:

	Case Study 1 (CS1)	Case Study 2 (CS2)	Case Study 3 (CS3)
Theory-in-mind	Enclave	Hierarchy Individualist (explicit rejection of Enclave)	Hierarchy- individualist blended settlement
Theory-in-action	Enclave Hierarchy	Hierarchy Individualist (resists to Enclave)	Hierarchy- individualist blended settlement Enclave 'surprise'

TABLE 24: Cultural differences in sense-making and practice between cases

The realist evaluation based on NDIT highlighted how each practitioner used their talk-and-text interventions to trigger the mechanisms of change supported by each cultural form. This strategic deployment of OD interventions seemed to be an automatic, non-conscious practice on the part of each practitioner, as reflected in their theory-in-mind of their general OD sense-making and practice. Thus, each practitioner's selection of their OD interventions was not based on a formulation of the cultural form into which they were intervening, but rather on the cultural location of the practitioner. The lack of awareness of the implications of this location and its congruence or dissonance with that of the organisation, introduces a significant element of randomness into the process of producing effective outcomes through OD practice. The focus of the practitioner in formulating their sense of the needs of the organisation and the means by which desired change could be produced seems to derive from their cultural location, not that of the target organisation. This failure of explicitly identifying and working with the organisation's cultural form provides a means for understanding the success and failures of OD in producing its desired outcomes and the contradictions within the evidence base relating to

the effectiveness of OD approaches in general and specific interventions in particular.

Each case study also provided an insight into the richer contribution NDIT can provide in understanding organisational change and OD practice. CS1 highlighted the effect of subverting the fragile relationship between the two cultural forms evident in the OD event. The facilitation style congruent with the enclave form was neglected in favour of a more hierarchy-based style as the practitioner pushed harder for outcomes. Participants reacted to this through doubting their own judgement regarding the sense they were making about effective services, evidencing a weakening of the enclave grid position in the face of a strengthening of that of hierarchy. The practitioner took steps to re-establish the enclave grid position.

CS2 highlighted the effect of the practitioner resisting the sense-making of the event participants. The practitioner worked from a hybrid settlement between hierarchy and individualist locations and, within his theory-in-mind interview, actively rejected the enclave form's practice implications. The practitioner had not clarified the cultural settlement into which he was intervening. Within his event, participants called for more enclave style interventions in the form of support. These requests were not accepted by the practitioner or event commissioners, but rather were met with hierarchy's rational, functional mechanisms of persuasion and

justification and individualist mechanism of individual responsibility. The issue was left unresolved.

CS3 highlighted the means of strengthening a mutually dependent settlement between two cultural forms (hierarchy and individualist) as well as the subtle use of surprise as a means of preparing for more transformational organisational change. The practitioner understood the culture of her organisation, although not in NDIT terms. She was able to design an event that strengthened the integration of hierarchy and individualist forms; the individualist trope of 'what's in it for me?' being addressed through the benefits of recognition in role within the organisation and so harnessing the personal motivation to working in the best interests of the organisation. The practitioner deliberately designed in an enclave surprise through the form and content of the guest lecture, but did not follow it through in the subsequent stages of the event. Rather, there was a return to the established hierarchy-individualist settlement.

In summary, this chapter has provided evidence for the following conclusions:

- There are significant differences between the three cases studies of OD practice presented in this work. Each case was shown in chapter four to sit within an ideational theory of change. However, the application of that theory eclipses significant differences in OD practice.

- Neo-Durkheimian institutional theory provides a means of understanding the importance of the cultural location of the practitioner, the organisation and their inter-relationship in producing or failing to produce desired organisational change.
- NDIT cultural locations influence sense-making in terms of the recognition of an organisational problem, an understanding of its development and maintenance, what form a solution to the problem would take and the means of producing that outcome.
- Transactional OD works within a pre-existing cultural form or settlement, through congruence between the OD interventions and the form of the organisation. The interventions focus on strengthening the form and its efficiency.
- Transformational OD works through the introduction of surprises to subvert the pre-existing problematic cultural settlement, through establishing and working through a dissonant relationship between the OD interventions and the organisation's cultural form or settlement. OD interventions need to address cultural form as well as its associated sense-making. Interventions aim to, then, produce a new, more effective cultural settlement.
- CS1 drew on enclave sense-making, CS2 on a hybrid settlement between hierarchy and individualist sense-making and CS3 through a mutually dependent settlement between hierarchy and individualist forms. Each practitioner's commitment to their form was consistent across their theory-in-mind and theory-in-action.

## CHAPTER 7: CONCLUSIONS

'you never change things by fighting the existing reality. To change something, build a new model that makes the existing model obsolete' (Buckminster Fuller)

### 7.1 Introduction

This research was conceived from my curiosity about why my psychological sense-making seemed to be being applied within contexts for which, in my opinion as a clinical psychologist, it wasn't best suited and, within which, it would not produce its desired outcomes. That is, a psychological model of change developed from the power and influence of human relationship was being applied to situations, which, by their very nature, diluted the essential ingredient upon which its interventions relied. These initial observations were based on being a recipient of OD interventions as well as a practitioner of OD's paradigm of change and led me to want to check out my assumptions regarding how OD worked and to see if OD could do better. The research study was born.

The directions taken by this research and the discoveries made on that journey will now be brought together as three key themes; how OD works, what possibilities are available for OD to be improved and what these possibilities could mean for the field.

## **7.2 How OD works**

### *7.2.1 Methodology*

To address the issue of how OD works, a different methodological approach to that seen in the OD literature is needed. Repeated use of research designs based on positivist, black box theories of causation would only add to the already-evident inconsistencies in OD's evidence-base. The main body of OD research has attempted to address the question of whether OD interventions work, producing inconsistent results across interventions and across studies analysing the same interventions. It seems that something is being missed within the application of the positivist successionist methodology that aims to produce a yes or no answer to a supposedly simple question, 'does it work?', thereby not addressing the question of 'how?', through focusing on correlations between stand-alone variables (Befani et al 2007). A different approach to causality is therefore required to address the how of OD, rather than the outcome of its interventions, to address causation within a generative logic. That is, an approach that facilitates the examination of the intervention as a whole, in context, addressing the means by which variables are bound together, and influence and are influenced by individuals' reasoning (Befani et al 2007). Thus, a realist evaluation was designed to provide a new perspective on the effects produced (or not) by OD interventions.

A prerequisite for applying a realist evaluation methodology is the development of a theory of change. As explained in chapter three, this theory is the source of context-mechanism-outcome configurations or middle range theories of change

underpinning the evaluation. The source of such theory was sought within OD literature and, as its echoes of psychological change became louder, through a closer examination of the theories of change apparent within the field of applied psychology, particularly psychotherapy.

#### *7.2.2 Research Question 1: Is OD rooted in an ideational model of change?*

Through focusing on ‘change’ and the means by which OD uses its interventions in its attempts to produce it, research question 1 has been addressed. The field’s parallels with psychotherapy leap out. Developments within the field of OD parallel those of the wider field of psychotherapy. Phases of knowledge-development within both fields have focused on similar issues; the evolution of specific interventions, the rivalry between them in pursuing the holy grail of the ‘best’ intervention and the effect of context.

The lack of clear answers to the efficacy question in the field of psychotherapy, led to a refocusing of the question of ‘does it work?’ to ‘what treatment, by whom, is most effective for this individual, with that specific problem, and under what specific set of circumstances?’, addressing both the ‘how’ of change and the influence of context. The clarification of generic change mechanisms in this study has provided a means of re-examining how specific interventions worked. As was described in chapter two, the generic mechanisms of relationship, commitment to change, new sense-making and new behaviour have been established as being present within all therapy models. This focus on identifying generic change mechanisms is not

apparent in the OD literature. The field still seems to focus on the establishment of specific models, with no attempt to articulate the essence of their production of change. However, on examining OD theories and approaches through this ideational generic change lens, it was found that they employ the same mechanisms.

The development, delivery and outcomes of the study, therefore, have provided validation of my first impressions of OD, uncovering strong evidence for its ideational foundations within both its theorising and practice. Similar shortcomings are also apparent within the two fields. The key dilemmas that have been shown to emerge for OD are the influence of context and the role of relationship as a mechanism for change. Within the field of psychotherapy, great emphasis has been placed on the power of the relationship between the therapist and the client, both as a means of change per se, through the core conditions espoused by Rogers, and as a means of increasing the potency of the psychological interventions, the words used by the therapist. This seems to be a problem for OD's application of the psychological theory of change.

A further complication for OD practice founded on the ideational model of change is the failure of the field to integrate the dynamics of agency or culture and context or structure. Ideational models of change are biased towards the agency end of the dichotomy, leaving an inadequate articulation of the contribution of structure or context in organisational change and an absence of an effective integration of the

two sets of factors. Again, the critical contribution of context has been recognised in psychotherapy outcome research. Further, it has been integrated with its evaluation of the influence of relationship, through more recent work aiming to establish what form of relationship, or therapeutic stance, would be required for best effect in what sets of circumstances.

#### *7.2.3 Research Question 2: How do OD practitioners apply the ideational model of change in their practice*

The above-mentioned theoretical foundation evident in OD's corpus of theory provides the basis for a realist evaluation of practitioners' delivery of OD interventions, the means by which research question 2 has been addressed. As chapter four set out, the ideational basis of the practitioners' work was plain to see, both in terms of their theory-in-mind and their theory-in-action.

The theory-in-mind of all three of the OD practitioners within this study was shown to draw heavily and exclusively on the ideational model of change. The essential ingredients of relationship, commitment to change, new sense-making and new behaviour were clearly laid out by each practitioner, albeit with different emphases placed on each components by the three practitioners. Thus, CS1 stressed relationship as the critical ingredient for change, with his approach focusing on using strong relationship to drive all change within his interventions. CS2 focused on sense-making, with CS3 demonstrating a blend of relationship, sense-making and behaviour change. Within the theory-in-mind of all of the practitioners could

be seen the shortcomings of the ideational theory of change and their struggles to address them. These were particularly evident in CS1's difficulties in explaining why change did not happen – he did not have a well-articulated theory of change on which to draw, in CS2's difficulty in explaining the role of structure in influencing organisational change, and in CS3's attempt to draw on the context provided by the OD practitioner's relationship with the organisation in explaining the effect of OD interventions. Thus the deficiencies in OD literature relating to the influence of relationship and context were reflected in the limitations of practitioners' theory-in-mind.

Each practitioner's practice, or theory-in-action, was shown to draw on the ideational model of change with its constituent elements of relationship, commitment to change, sense-making and behaviour. There was some variation between the implementation of the ideational change model but the commonalities were striking. Subtle differences echoed those evident in practitioner's theory-in-mind. They were particularly evident in terms of the quality of relationship and atmosphere produced, and the concatenations of mechanisms triggered.

Each practitioner developed a different form of relationship; CS1's producing a humanistic or person-centred relationship, CS2 a directive and authoritative one and CS3 a relationship congruent with the organisation's hierarchical style of interaction. Thus the theme of relationship in terms of its contribution to change was evident. The source of each practitioner's position on relationship was difficult,

if not impossible, for them to identify. For CS1, the source was attributed to his personality - who he was as a person, for CS2 it was derived from his attraction to different metaphors and models as well as his work history, and, for CS3, it seemed to derive from the context within which she worked as an internal OD practitioner. Thus the theme currently found within psychotherapy literature is again evident in the struggles of OD practitioners; how to harness the potency of relationship and how to identify the most effective relationship in a particular context.

Within each practitioner's theory-in-mind and theory-in-action, the absence of any reference to context was striking. Rather, they described their events as being typical exemplars of their approach, drawing on the interventions and theories to which they regularly subscribed.

### **7.3 What possibilities are available for OD to be improved?**

*7.3.1 Research Question 3: Is there an alternative model of change that can address the inconsistencies within OD's outcome literature and explain the effects of OD's interventions?*

So, my initial impressions of OD's pursuit of change were confirmed; a struggle to successfully apply psychological principles of change and the field developing ever-expanding toolboxes of implements all tackling the same tasks – the triggering of ideational mechanisms. There was the distinct absence of a strategy informing the choice of which new tools may be required to facilitate change,

beyond the traditional ideational mechanisms. In realist evaluation terms, no attention was paid to the context within which these interventions would be triggered.

Such a strategy would need to address the relationship between context and change. It would need to be grounded on a theory which would inform decision-making on the deployment of interventions and the approach to developing relationship proxies within the organisation, decisions that would be determined by elements of the organisational context. The limitations of ideational theories of change in their own terms in addressing the influence of context suggests the need to move beyond the psychological paradigm dominating OD.

OD practice founded on the ideational model of change has been shown to struggle to provide a theoretical and practical means of integrating the dynamics of agency or culture and structure or context. Ideational models of change are biased towards the agency end of the dichotomy, leaving an inadequate articulation of the essential contribution of structure in organisational change and an absence of an effective integration of the two sets of factors. If an alternative model is to help OD theory and practice resolve the issue of working with and influencing context, it needs to provide a means of breaking out of this dichotomy. It needs to address the co-ordinated creation of and reflexive relationship between structure and sense-making. This is the crux of the limitations on OD's outcomes. Neo-Durkheimian institutional theory (NDIT) was shown, in chapter five, to address

these issues and to provide a new direction for the development of OD theory and practice.

As explained in chapter five, NDIT is based on the co-relationship between social organisations (structure) and sense-making (culture). It directly addresses their integration and reflexivity. Social organisations are configurations of institutions, which produce and maintain accountabilities between their members, shape their members' sense-making and behavioural options and so ensure the organisation's viability. Everyday practices reinforce those aspects of sense-making that validate the social relations within which they are located. It is this inter-relationship between structure and sense-making which determines the success or otherwise of OD interventions, providing an explanation for the means by which some ideas penetrate the sense-making of the organisation whilst others are effectively resisted and rejected.

NDIT's four cultural forms provide a means of articulating the development and influence of context for organisational change. As explained in chapter five, each cultural form sustains its existence through congruence between its structures and sense-making. The sense-making or dominant worldview of each form determines what requires thought; what is perceived to be problematic, what the sources and forms of potential solutions could be and what possibilities are available for change. Within any organisation there will be a settlement between the four forms (hierarchy, individualist, enclave and isolate), which enables effective

organisational functioning. Organisational change within this model occurs as a result of the dynamics within and between the cultural forms. Within each form, solutions to problems are sought from within its own sense-making, which result in shifts to the extremes of their position in terms of regulation and attachment. Such extremes destabilise the form's functioning, ultimately resulting in dysfunction. As each form moves in response to its difficulties, the other forms respond. This response rebalances the settlements between the four forms through a process of negative feedback. It is into this context that OD interventions must be introduced.

## **7.4 What those possibilities could mean for the field of OD**

### *7.4.1 Research Question 4: What would OD practice look like within this alternative framework?*

NDIT therefore provides a nascent framework through which OD can adopt a more strategic approach to facilitating change in organisations, an approach based on the decisive influence of context on the success of OD interventions. It provides the opportunity for OD to divest itself of its ideational straitjacket and take a new theoretical direction in explaining, and overcoming its previous practice limitations. The practice implications for this will be explained, but, first, it is important to see whether applying an NDIT lens to OD practice shifts the explanatory focus for the effects of practitioners' interventions. This issue was addressed in chapter six, through the application of an NDIT-driven realist evaluation of the three cases of OD.

#### *7.4.2 New ways of ‘seeing’*

Within the realist evaluation of the three OD cases presented in chapter six, it quickly became evident that, although all three practitioners worked within an ideational theory of change, their means of making sense of and trying to influence the change process varied quite significantly. Although each practitioner’s theory-in-mind and theory-in-action were congruent, the differences between their approaches were stark. CS1 worked out of the enclave form, strengthening the group members’ mutual attachment and ways of relating. CS2’s practice was located within a hybrid settlement of the hierarchy and individualist forms, strengthening sense-making based on rules and regulation through processes of analytic problem-solving and focusing on the interest of the individual. CS3’s practice evidenced a mutually dependent settlement between hierarchy and individualist forms, interweaving the priorities of the individual with the best interests of the organisation. Each of the practitioners drew on interventions that strengthened these cultural positions. An NDIT analysis enabled significant differences to be made explicit which were obscured by the application of OD’s ideational change theory. So, from the start, NDIT has provided information that may go some way towards explaining inconsistent outcomes from similar OD interventions – the cultural location of the OD practitioner, with its associated sense-making, influences the means by which superficially ideational interventions were deployed.

### *7.4.3 The practitioner-organisation relationship*

This awareness of the possibility of difference then takes us on to the interface between the OD practitioner and the organisation. As was explored in chapter five, different cultural forms promote and facilitate different styles of sense-making and forms of practice. Through the mechanisms of persuasion and justification, information selection and rejection, and recognition of and response to anomalies, cultural forms protect and strengthen themselves. For the members of the form to accept particular concepts, they need to be congruent and so acceptable to the culture, evaluated in terms of their effect on the viability of the form. Dissonant sense-making risks resistance and rejection. With no explicit means of assessing such sense-making, the effectiveness of OD interventions is difficult to predict. The critical issue is one of congruence; whether the cultural location of the OD practitioner is consistent with that of the organisation. Thus the institutional context of the relationship between practitioner and organisation is critical to the form and effect of the OD interventions delivered. The different institutional accountabilities underpinning this relationship within the three cases analysed illustrates this; CS1, although external to the team itself, had belonged to the community of such specialist mental health teams across the region, teams developed out of the recognition of the disempowering effects of mental health services. Thus his enclave practice reflected this relationship. CS2 was bought in as a freelance external expert to deliver a short, sharp, one-off intervention – a position congruent with the hybrid settlement of the hierarchy and individualist forms evident in his practice. CS3, in contrast, was an internal practitioner working within a context of

upward accountability and a focus on personal reward. Her approach reflected the settlement between these two forms. Thus NDIT provides an explanation of these differences in OD practice.

Bearing in mind the influence of cultural location on sense-making, a more institutionally varied OD would be required. This would have to be grounded on more institutionally diverse relationships between practitioners and the organisations that commission them. The initial stages of an OD commission would require a means by which such accountabilities and their effect on sense-making and practice would be made explicit, with decisions regarding more specific congruent or dissonant interventions driving the development of the OD strategy.

A more team-based approach to OD practice may be desired, whereby culturally-diverse teams of OD practitioners would be formed to enable the plurality of perspective to be tailored to the needs of the organisation. There are clear parallels with the more recent approach to the design of therapy teams in health care, comprising specialists from different psychotherapeutic schools, and the use of reflecting teams within systemic therapeutic practice.

#### *7.4.4 OD practice*

An NDIT theory of change has implications for OD's tasks of assessment and diagnosis, as well as for interventions per se. In assessing the development and

maintenance of an organisation's espoused difficulties, an NDIT-based practice would require practitioners to appraise the current organisation in terms of its constituent settlement and the history of its formation. Its maintenance would need to be construed in terms of the dynamics of positive and negative feedback within and between the constituent cultural forms. Decisions regarding the form of intervention and the style of OD facilitation would be made based on the formulation of the dynamics of the current problematic settlement and the clarification of the desired alternative. The objective of transactional or transformational change would require significantly different sets of interventions. Within the NDIT theory of change, transactional and transformational outcomes would be produced through the triggering of different kinds of OD interventions.

#### *7.4.4.1 Transactional change*

In NDIT terms, transactional change aims to strengthen the existing cultural form or settlement, in its own terms. Interventions congruent with its sense-making and structure would be required. A mismatch between the cultural form underpinning the OD practitioner's approach and that of the target of his or her intervention will undermine its potency. A match between them will facilitate their penetration of the form and thus their effectiveness. Each form therefore is open to specific rhetoric and practices. For OD interventions to be effective, practitioners need to match rhetoric and practices to cultural form. For example, hierarchy responds to rhetoric comprising the ethos of an authoritative figure, the relationship between the practitioner and participants occurring within a paternalistic atmosphere or pathos

and draws on logos including metaphors of captained team games and machines, themes of rules, accountability and rationality. Hierarchy would be open to a methodical, analytic, inferential problem-solving style, with a focus on expertise and a facilitation style that is structured by the expert, and has a functional focus. By contrast an enclave form assumes credibility from a position of experience of persecution (ethos) within an atmosphere of anger at the abuse of power (pathos). Logos would include non-competitive group games, informal group-based interactions, the failure of top-down leadership and individual betrayal. Themes would include mutual attachment, mutual reliance, shared values, and 'us and them'. Enclave would be open to a supportive problem-solving style focusing on shared values and mutual belonging, with a focus on consciousness-raising and strengthening group's commitment to their endeavour and a facilitation style of consensus-building and group ownership of the process. OD interventions would not usually be commissioned to address the survival style of the isolate form but, rather, would focus on strengthening the other aspects of the settlement. Thus the structural location of each form in terms of 'grid' and 'group' is respected and strengthened through the use of the appropriate rhetoric and practices.

#### *7.4.4.2 Transformational change*

Transformational change is produced through subverting the pre-existing organisational settlement and facilitating the formation of a more functional one. The introduction of, or working through, 'surprises' facilitates an opening-up of the settlement. In such a space, new practices need to be introduced to facilitate the

establishment of new relationships between structure and sense-making. OD's ideational interventions are not fit for the purpose of eliciting structural change. Instead, interventions would be designed and introduced to reform the accountabilities and incentives that operate within the organisation to produce new behavioural repertoires, triggering, in turn, new means of rationalising or making sense of such behaviour. Thus, shifts in structures produce shifts in sense-making which produce new cultural settlements.

## **7.5 Contributions of this thesis**

This thesis, through addressing the four research questions, 'Is OD rooted in an ideational model of change?', 'how do OD practitioners apply the ideational model of change in their practice?', 'is there an alternative model of change that can address the inconsistencies within OD's outcome literature and explain the effect of OD's interventions?' and 'what would OD practice look like within this alternative framework?', has shown the following.

First, that OD has a foundation built upon ideational theories of change. This has been shown through the examination of generic and specific theories of change, the origins of gurus within the field of OD and the commonalities between the competency frameworks developed for the professions of OD and psychological practitioners.

Secondly, the thesis has developed a means of articulating the 'how' of OD practice through the use of realist evaluation methodologies. It has shown how OD practice applies ideational theories of change through an analysis based on context-mechanism-outcome configurations. This analysis has highlighted the triggering of ideational mechanisms to produce outcomes of relationship, commitment to change, new sense-making and new behaviour.

Thirdly, through examination of OD's own outcome literature and the analysis of OD practice, the limitations of the ideational theory of change for explaining the differing outcomes produced by OD have been made clear. The ideational generic theory of change, reflected in the context-mechanism-outcome configurations, struggles to capture the variability within superficially similar OD practice.

Fourthly, the thesis has made a case for the development of an alternative theory of change to underpin OD practice, one founded on the inter-relationship between structure and sense-making and the critical influence of context. The proposed alternative theory is neo-Durkheimian institutional theory (NDIT).

Fifthly, through the application of an NDIT-driven realist evaluation of OD practice, the thesis has shown how the differences between the cases of OD can be revealed. The cases, which appeared to be superficially similar when analysed from an ideational theory of change, now can be seen as significantly different examples of OD practice.

Finally, the implications of the application of NDIT to OD practice have been highlighted through examining the logic and form that transactional and transformational intervention strategies would take if delivered within this theoretical frame.

## **7.6 Next steps**

### *7.6.1 Methodological developments*

This thesis has attempted to clarify a potential different theoretical model for OD and to suggest its possible implications. This case has been made based on a small number of cases of OD, focusing on the processes implicit within one stage of the OD change process – the event. The strength of this argument could be augmented by adopting a longitudinal realist evaluation of OD practice, incorporating the preceding entry and contracting stage, and following up the longer-term effects of the interventions introduced within the event. Such a design would enable the NDIT context-mechanism-outcome configurations to be traced throughout the OD process.

### *7.6.2 OD practice developments*

The adoption of an NDIT-driven OD practice would have significant implications for OD practice. These can be articulated through considering each stage of the OD process.

#### *7.6.2.1 Entry and contracting*

The critical issue here would be one of cultural ‘matching’ of practitioner and organisation. The issue of the matching or mismatching of OD practitioners’ cultural location and the requirements of and accountabilities to the organisation could be explored through experimental trials of one practitioner working with organisations with either clearly congruent and incongruent cultural locations, and the model of teams of practitioners forming to provide the flexibility required to be responsive to diverse cultural settlements. Such studies would require the development of methods for assessing the cultural location of practitioners in this domain of their lives which, in turn, would require more robust operationalising of the grid and group characteristics and interplay of each form.

#### *7.6.2.2 Diagnosis*

Tools or frameworks would be required for assessing the cultural settlement within organisations and their underlying dynamics of change and stasis. Data sources could include the organisation’s ritual practices, such as meeting processes, and the analysis of artefacts such as mission statements, polices and so on. The outcomes from such assessments would require a formulation to inform the deployment of either particular teams of practitioners or particular suites of interventions. Thus technologies would be required to facilitate this decision-making process.

#### *7.6.2.3 Intervention*

The interventions deployed by OD practitioners would need to be designed to either work within the organisational settlement (transactional change) or to challenge it (transformational change). Research would need to focus on the development, testing and refinement of interventions to trigger appropriate mechanisms of change within the context provided by cultural form and settlements and to produce the outcomes of shifting structures (addressing accountabilities and incentives) and sense-making (targeted use of sense-making).

#### *7.6.2.4 Evaluation*

Evaluations of OD programmes would focus, initially, on the ‘how’ of eliciting change. As middle-range theories for OD become refined, their theoretical generalisability could be addressed, with the field of OD developing a more robust evidence base for how to elicit change.

### **7.7 Conclusion**

In conclusion, this research has shown that OD is founded on psychological and ideational principles of change. This has been evidenced using both theoretical and empirical data. This foundation has produced difficulties for the field, which can be accounted for in terms of the misapplication and limitations of such models, an inadvertent undermining of the essential ingredient of relationship and a failure to adequately incorporate the influence of context into OD theory and practice. The

study has attempted to address this incongruence through identifying an alternative model of change, which can address OD's dilemmas and transform its practice. That model was found to be Neo-Durkheimian institutional theory (NDIT). This model has been applied empirically to OD practice, highlighting the significant differences implicit in superficially equivalent ideational interventions.

This simple contribution of NDIT to understanding OD has been shown to raise exciting possibilities for the development of the field. These possibilities for OD practice have been explored through the influence of context on the practitioner-organisation relationship and the desired outcomes of OD in terms of transactional or transformational change. Suggestions have been made for further development and application of the NDIT theory in OD practice through the framework of the stages of an OD project.

My journey through the development of this thesis provides a potential parallel to that which OD will experience, if it rises to this challenge to change. The exploration of this alternative model of change led me to places beyond any of my previous professional experiences as a clinical psychologist. Venturing into anthropology, sociology and politics following the trail of NDIT's cultural theory proved to be an exhilarating experience but one risking the undermining of my previous professional certainties. The new sense-making provided by NDIT enabled me to understand and contribute professionally in new ways. I sat in meetings at work identifying the functioning of the organisational settlement in which I was located

and observing its struggles as new challenges confronted it. I observed the positive reinforcement cycles leading to the breakdown of settlement and the extreme forms of structure and sense-making that ensued. I observed the negative reinforcement of other forms and the increasing conflict between them, as well as the increasing membership of the isolate form by disempowered staff. Thus, not only have I been studying cultural theory, but living it. These experiences have enabled me to enrich my understanding of the potential application of NDIT in organisations as well as the areas in which more focus might be required.

Of course, paradoxically, OD as a field will only be able to rise to the challenges presented within this thesis if they are successful in triggering ‘surprises’ for OD’s cultural settlement, thus opening it up to the possibility of change, and in avoiding being identified as anomalies and subjected to processes of information rejection. Only time will tell.

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## APPENDIX 1: CASE STUDY 1 RESEARCH DATA

### i. PRE-INTERVIEW TRANSCRIPT

Researcher (R) and interviewee (CS1) chat informally whilst making drinks and settling into the interview room.

R: The idea is that usually I do this interview first and then come and observe you. So this is to discuss what you call your 'theory in mind'; the theories that you carry about OD, about how change happens, how you maintain it and so on and then I observe you doing what you think in your OD practice. And then we'll have another interview after your event where we go through what I've seen

CS1: Fine

R: and how it fits. So basically we just have a conversation about it and these [pointing to interview schedule] are my prompts.

CS1: OK

R: OK. So the first area is to get you to describe for me what you think OD interventions are for, what's the point of OD interventions?

CS1: Right. For me, I mean, people obviously take different positions, I know that you've been out with colleagues as well, people've got different positions. For me it's about trying to embed change within an area, trying to facilitate a group of people to actually look at getting a real clarity on the current position of an issue that needs to be developed or moved. So I think there's, for me, there's a real strength in trying to provide a good engagement, the right environment, so people can be honest

R: Yeah

CS1: about the current position, around the areas that are difficult, that need developing

R: Yeah

CS1: Part of it is around people feeling comfortable to do that and then being able to have the dialogue around what is the real current reality and I tend to invest a lot of time in the development days actually allowing people to try to use narrative explanations; words, sentences, phrases that make sense for them around what's

the current position, so really, it, it's um, the situation is actually owned by them and they've got an awareness of it.

R: Yeah

CS1: But I also feel as well, within any change process, there's a balance between, one, recognising the issues to be developed and but also moved to celebrate the stuff that's going well

R: Yeah

CS1: as well, because for me it's around encouraging change and development and for me there's nothing like actually recognising when you have development days go well. The other thing for me as well as actually positioning it and trying to foster a degree of ownership, is looking at the sustainability

R: Yeah

CS1: of it as well and for me it's really important that the role is a support and facilitative one, that whatever is developed, again, whether it's an action plan, a development plan, is that there's an ownership, that the plan is developed by individuals and a plan that makes sense to them. And also, I think, within that it's important that people visualise a desired future as well, they've got direction of travel, they see where they want to get to

R: Yeah

CS1: and part of it is being able maybe to set some milestones as well along that so people can see a journey of travel. For me as well the other part of change is being able to review with people afterwards, so whenever I do change, any development work with people I set a review time to actually follow-up with them around, you know, how've things been, where are you at. Part of that for me is, again, having the protected time to say 'this is important' but also being able to encourage, for people to actually recognise what's gone well, what they have done and then to be clear about the next steps. That's the sort of frame that I tend to

R: so something about engagement, protection and safety and the honesty

CS1: the honest current position, very much around using their words, using their.. I don't come with any preconceived ideas, you know, I always, if I can, I always start with blank pieces of paper and then the days develop with individuals, because then I feel that when I go the work remains within the area, it's not like someone parachuting in, doing some work and then moving away so.. I will use, obviously, guidance papers, I use evidence to actually support and encourage the change but I very much start at a position of zero.

R: OK, OK. So, right, tell me a bit more about the celebration, about why you think the celebration is important.

CS1: I think it's really important. I think in two ways. I think it's important when you do work with a group of people, that whenever you do work it's not always 'things to do', you know it isn't always, because within an organisation there's always things to do, there's always things to develop and sometimes it can be an onerous forced march for people. I think it's important you do work with people to take the time to actually look at, OK, what's gone well the last 6 months, the last 12 months. When you do identify the current position, what's really going well because it is around people recognising developments that have happened and developments that are happening as well as developments that need to happen. So for me, it's around the encouraging, the reassuring and keeping the momentum with people as well, so part of the current reality stuff is the balance around what needs to happen, what's going well. I also think the celebration's important to the review as well because it is around encouraging, motivating, keeping the momentum going with people so, I think, again, it's important. I also feel that giving people the opportunity, the protected time to celebrate is important because people very easily self-criticise or are very easily criticised but people aren't very often praised and, even less so, do they actually praise themselves

R: Yeah

CS1: So I also think that protected time, that facilitation, that encouragement is important as well.

R: OK. So how do you think your interventions actually produce the change?

CS1: I think it's a combination of the planets aligning, really. You know, I've done development days where there's been little change or there's maybe been resistance but there are obviously external factors sometimes; sometimes the timing's not right, sometimes the group of people in the room don't really want to be there, sometimes they're actually, you know, so there's lots of different variables. For me, I do like to meet up with people before I do the day, you know, to talk about expectations, what's going to happen. I do like to co-plan the framework of the agendas so people know what's happening. I do like to actually set the ground rules or the frame with people so you get the journey of travel. Where I think success has actually happened is, I think, where, maybe the timing is right, where people feel, 'yeah we need to do something'. I do feel though that when you do turn up with blank pieces of paper and you reinforce the protected time, this is their opportunity to do something and you do actually work with groups of people, I think there's better success.

R: Yeah, yeah

CS1: And the groups I've done this process with, you know, hand on heart, I would say that, you know, most or, if not all of the days have been successful because of that sort of model and framework. When I have gone back to groups and teams, things have developed, people have been using action plans to develop work. The feedback has been very positive as well, afterwards, either verbally or by email. So I do have the feeling that using that sort of structure it works. Where, I think historically sometimes where we've been asked to do pieces of work by, maybe, a third party, or there hasn't been that negotiation or that clarity or that process hasn't happened where agendas have been fixed for people, I think it's been difficult. And I think to say as well, the framework I work through now has been as a result of being burnt or as a result of not seeing change or resistance. So it's been a learnt approach and framework really and it has been dipping the toe in the water at the beginning, but actually then recognising from the feedback, from the follow-ups that actually this process for me, as a facilitator, with the groups I work with it does seem to work.

R: So, what for you is successful? What is a success?

CS1: I think there's lots of success around the process. I think the first bit of success is actually engaging with the group of people right at the beginning. So that initial meeting, that relationship, being able to meet each other, set the framework, you know is success because people could just say 'I don't want it' and walk out the door. That's the first bit. I think people actually, getting together on the day and actually saying 'OK we're going to give it a go'. I think, again, you know, is really success. I think, going through the days, seeing participation, seeing people being able to be honest, I think is really important. For me, a big part of the time is around allowing people to have their current reality, desired future, what helps and hinders, discussion, dialogue, I think is really important, and I think, once people have had the chance to be open and honest, to have a bit of a debrief, to go through that process and then actually go through to 'OK what needs to happen?', developing an action plan together, you know, I think, again, people coming away from a day feeling as though, 'OK something might come out of this day', and then maybe six months later seeing that people have been engaged in the process, I think, is success. So the question about success I think is at lots of different levels along the journey for me. I think it's measured in engagement, as well as product, to be honest. And, for me as well, around people feeling part of it I think is probably the biggest success. It might be that outcomes come out of it along the journey, at different stages, but I think, to get people engaged in I think is one of the biggest success

R: Right, something about the cohesion that comes out of it

CS1: For me, the big part of it is around the journey, and my job, as a facilitator, or tour guide to help people along that journey. If people are engaged with me on the

journey, I think that's one of the biggest successes. Because I think there's an issue sometimes, when you do a development day, you do an action plan. I think there's a cooling-off period afterwards. So I do feel that you can't just look at the product at the end of the day. I think, if you've still got engagement with people, you follow-up by email dialogue, you know, it's a real success, because people are hooked into the process. So, I think, if people are on that journey and I feel they're on the journey, that for me is a bigger success than the product at the end of the day.

R: OK, could you describe the approach that's evolved?

CS1: Yeah, my background is a clinical one so part of it I think is around, and the reason that I do the development work I do, is very much being able to work on the ground with people and very much around having a shared understanding, having a degree of empathy really with people's situation, you know, clinically, on the ground working with different teams, being aware of some of the processes and being aware of some of the knowledge about, you know, what's happening at the coal face. So part of my approach, really, is around working with people in a very honest way and very much around going through the journey with them. The process was developed, really, by doing some work with the third sector, where, even more so there's issues about a power imbalance at times, with different sort of groups and organisations, and what we wanted to do was come from a position of a real level playing field, where we use tools and techniques, we do emphasise that it's a structure, it's a framework, that we do actually work with what people give us to work with. So, start with a blank piece of paper for teams to identify what are the important things they should be doing, rating where they think they are at and actually developing the project wheel of the key themes. I think it's a really important start and, for me, it actually empowers people in that group, so part of the approach that we sort of developed through a lot of the work that we do is around that similar style every time. So it's people almost straight away being involved in the discussion and dialogue and very much starting to identify what's important, have a bit of a debrief around where they are at, what have been the issues and around developing a way forward. I think a lot of that is a combination of experience of working with different groups, being aware of people's experience of development days, awaydays sometimes and developing something, maybe piloting it, getting great reviews from groups we worked with and maybe just refining the approach, and it's tended to work that way. What we tend to do with the groups is we tend to start off with the two day development programme for any group we work with and the first day very much is around what we talked about before, it's around setting the scene, developing an environment where people feel empowered, comfortable, being able to be honest, being able to challenge with kindness, so part of it is around the first day is: one, is using tools and techniques to have some fun together, so part of it is around being able to work as a group as well as being able to have some honest self-awareness as well. So we use different tools and techniques to guide people to, one, explore their own sense of where

they are in the team so we do a lot of work around individual styles and how people communicate and then what people actually bring, what they feel they bring to the team, so it's very much around who am I as an individual, what do I bring, where am I in the group, how do I contribute, and then for the group itself to start to look at valuing the differences within the group so almost doing a skills mapping in the group, a skills and attributes mapping, and then looking at OK are we making best use of the people that we've got in the group. It very much actually brings individuals into a group setting and then starts them to work as a group. And the second day is around, as a group, as a team, what service are we developing. It's very much the individual into the group into the service – that kind of approach, but I do feel that the first day is really, really important. I tend to use the day one as well to actually identify particular groups, to identify the action-planning as well on the second day. So we do an exercise called Human Dimensions for Change, which is around identifying different roles; so there's a driver, an analyst, an amiable, an expressive personality styles. Each of those traits have got different attributes they might bring to a team and also they might bring to an action or development plan. So we identify who are the drivers, who are the ones with the creative ideas, who are the ones that can bring the group forward, who are the ones that analyse the data, make sense of it and interpret it. So we do that on the first day, and then throughout the day we use terms like driver and analyst and amiable so they get used to it and identify their strengths and traits as well. And then when we do the second day we develop an action plan; we look at, OK, who are the ones who are going to drive it, how are we going to get the masses to move forward, if we want to do things differently who are the ones who can think out of the box. We tend to do it that way.

R: OK. You mentioned a bit about sustainability, and you mentioned, if I understood, ownership and being the tour guide but it's their journey. Is there anything else that you bring to the issue of sustainability?

CS1: Yeah, I mean what I do, I very much emphasise the issue about protected time and very much sort of reinforce that the day's the start of the process, and that I'm working with them to give them a framework, a structure, a draft action plan, a direction of travel, but it's around them taking that on board and having some protected development sessions as a group, as a team between when I leave the development days and then when I catch up with them in 6 months time. So there is an expectation that they have protected time to work some of that up. I also do say to them though around implementation, sustainability is 'the group have identified that there are essential elements within a successful team right at the beginning. They've identified the areas which are things that are 'must dos', so I do say to them 'actually this is core business, this is core development that it should happen, it's not an add-on. So it shouldn't take extra capacity, it should be what you're already doing', so, for me, it's just formalising their natural development. So part of it is around that, you know, reinforcing lack of add-on but part of it is being really explicit that there is an expectation that they take the baton

and they work it up. It's not an end product – it's the start of it. So it is almost handing them that baton, saying 'OK, I'm going to see you in six months time, but there is a need to work this up and sustain it through protected time for you'

R: So is there, have any of the teams asked you to work out how they are going to do that?

CS1: Yeah, I'm going up to [name of service], I think it's week after next. They did a development plan and one of the areas was actually developing some referral pathways, and they were very stuck, they didn't know where to start really. So I do say to teams as well, is in-between, when we do the action plans and I do the reviews, if there's a need for me to come in and do bits of work to kick-start then I'd do that. So, even though there's ownership there, I am willing to come in and kick-start bits and pieces to get things going, especially if they are big shifts, if the big piece of work that might involve stakeholders or wider groups or if it's a process that people aren't used to. You know, if it's something like process mapping or something like stakeholder analysis or an open day, if they've not done it before, I'd rather make the time and go and help. Again, support them, work with them to do it instead of just, you know, the action not happening.

R: It's that shaping isn't it

CS1: Yeah, so part of it is the protected time and the expectation of people taking it on, but I am explicit as well that I am a resource in between when I leave, that I can, you know. So it does sustain the process, it doesn't just stop with people feeling as though this is a big wall and how do we get over it

R: Yeah we've looked out on the day – now what do we do

CS1: and sometimes there is that feeling. I also did a day in [another service] about a month ago now, where they wanted to do some focussed work around communication and they'd identified some communication styles in the team, they developed a team matrix. But they wanted to look at how they could develop different people within the team to take a more direct role in communication, in publicising the team, in being experts. So I've agreed to do a morning with that team around communication styles. So that was a big part of their development plan and, again, it's an extra half a morning but you know that if you don't invest that time, it's a bit of a stumbling block and it does affect the momentum of the journey. So, again, I'll go and I'll do half a day and they'll carry on with the next bits of it.

R: OK. So where have you got all of your ideas from?

CS1: Part of it is a combination of my own experience. Part of it is around working with teams. From the beginning one of my main roles at [NHS national

organisation] was around supporting the 18 [specialist community mental health] teams being developed. When, um, this is probably about five years ago now. When it started there were a lot of single project leads who were really struggling and part of it at the time was offering mentorship, relationship-building, helping to develop some of the early team work. So a lot of the inspiration for 'where people were at', a lot of the 'where do we start' stuff, part of it is around that journey. So a lot of it has come from working with the clinical teams and their development and an understanding of, maybe, what needs to happen and where teams are at, so a lot of that is around on the ground knowledge working with people, early days stuff. The other tools and techniques were developed, I was commissioned to do some work with the third sector, with Chief Executives, Directors of Third Sector organisations across the [region]. And we wanted to help develop the Third Sector into being more of an equitable partner in the community, having more of a voice, being able to promote their services more, you know, at equal levels with, maybe, statutory or other sectors. So we worked with colleagues from the NHS Institute and we piloted a service development programme with, I think initially it was 10 Directors and Chief Executives from organisations, and we developed the programme as we went. So we started off by identifying people's journeys and to get an idea of the projects, where they were coming from and then we looked at 'OK, for each of your projects, or a successful project, what would the elements be?' So we started off the post-its and the clusters, and then we started to identify themes from those and then we started to develop the wheel, because what we wanted to do within those groups, we wanted to look at what were the commonalities, what were the things that would be a successful project for you. Part of that was to actually develop that core group and to start the group that would take the journey, but also part of it was to work with them as a group to develop tools that made sense to them. So all of the tools that I use are tools that have been developed with people on the ground.

R: Where did you come across things like the skills and attributes mapping and things like that?

CS1: Part of the work came from the NHS Institute – [worker at Institute] was actually supporting a colleague and myself through the process. So we would develop tools on the ground with people, but also we would bring tools from other places and [she] actually brought a lot of tools as well. We also were able to use some of the Improvement Leader Guides that the NHS Institute developed and part of it was around adapting some of those as well. So it was a combination, it was a combination of experience, doing some pilot work with groups, starting to use their own language, developing some commonality, developing a toolkit and then, for some of the more formal assessments, the communication styles work, risk matrices, process mapping. Then we used elements of those guides and then we did some very simple sides of A4 where we'd use them as aide memoires, but we very much went down the role of modelling approach and then using an aide

memoire instead of going through a formal process. So it's a combination of those really.

R: OK

CS1: And it is still evolving. And I think it's important to say, as well, that the continued work I've been doing with teams aren't refined approaches. I use a toolkit that is developing, you know, there's not a static toolkit, this one's I intend to develop. There's also, you now, we talked about the two days which I offer as 'a starter for 10' almost. I think it's really important to say early on that I negotiate with the team manager, whoever's commissioned, and meet with the team and we do an agenda that makes sense to them so, even though we might do the two days, we might do other things within those two days that are directed by the team. So it's a combination of a few things, so it might be that the toolkit that I've got I might not have something in there so I might need to develop something. So, you know, the week before I might develop the toolkit and then I'll run it by the manager and then I'll literally go with it with the team. So there is a flexibility to respond, to develop on the hoof as well and a lot of that is around things that I think make sense, using frameworks more than tools in their entirety. You know things that I can actually maybe use as anchor points, frameworks, processes more than anything. And to go with that approach I think has a lot more flexibility to do different things, you're not so constrained

R: Yeah, so you know what the big themes are that you're looking for, you just

CS1: Yeah I use tools and techniques that will help me with the individuals to go through the journey more than the tool to develop a product if that makes sense.

R: Yeah, yeah, so it's that they're process tools in a way, they're about the journey and the product is sort of secondary in a way because if the process is right the product should take care of itself.

CS1: And the way which I work, Anne, is very much, we've talked about this before is around very much working with people going through the process and I feel if you give people the opportunity to identify what's important, to get a clarity of where they are, where they want to get to, they will define the end result. You just need to refine the process, make sure that you're on the journey together. That's my approach.

R: And so there's something about the 'how' that they're using is something that will help them get to where they want to be

CS1: I give people the protected time to identify what's important, honestly where they're at, where they need to get to, what helps and hinders and then the rest is

just the journey to get there because the desired future is where they want to get to

R: Absolutely

CS1: So they've identified where they are, where they want to get to, what might help, so the bright ideas, things that might move, be aware of some of the blocks, then I think you've got a lot of things in place, you just need to get the process to, and that's when I use some of the tools and techniques to provide the right environment, identify the champions and be able to move the direction forward.

CS1: Have you ever had the situation where the 'desired future' is something that you think, you kind of know is quite 'off whack' with what they're going to have to produce?

R: What I tend to find with groups, with individuals, and I do say this right at the beginning is that it is a process, a journey and what I don't want to do is constrain the desired future because what I do find is that the thing that normally comes up is resources, money, budgets, organisational structure impacts on us and before we know it people are already constrained with their thinking, so I actually try not to constrain that but what I do say to people is that the desired future would be a 5 on the wheel, so that would be there, where we would want to end up, but part of the action planning, setting the milestones is actually being honest about where are we going to review along the journey. So it's encouraging but not constraining, but it's also being realistic about the stage and the process. But it is important to have that goal. But also important to say 'there are going to be lots of different stages and it could take some time. We might not get to a 5 on the wheel, but actually 4 would be great'. So part of it around that is negotiation but not constraining because you don't want to stop it before it starts.

R: I guess also they're very good, as you said at the very beginning, at identifying their constraints. They might not put it in that language but all the reasons why we can't do this and why we have no power or influence.

CS1: For me as well, I mentioned before, Anne, very much around the current reality is identifying the stuff that's going well as well as the difficulties, the tensions, and the reason I use the project wheel, as well, is it's incredibly visual and when people do plot where they're at, the 5s, we made a big celebration about 5s, and that is around, 'OK, you can actually get there'. So when we talk about the journey and people saying 'OK, there's resources and everything in the way', you can actually say 'well, you've actually got two 5s there and you've actually got two 4s there. How did you get there? Because obviously the same influences are there but you obviously were able to do it'. So tools like that, again, can help the journey and the process.

R: OK. One of the questions is 'what are the key ideas and concepts you draw on?' Now you've mentioned loads of them anyway so I think we've probably covered all of them unless there are any others. The final area is how you actually got into this role in the first place, what was your past experience or training, how did you get here from being a jobbing clinician or, way back, deciding to be a jobbing clinician?

CS1: OK, how I've come to do what I do now. Yeah, OK. I started off as a young carer, my Mum had mental health problems so that got me engaged into mental health very early and around trying to understand some of the needs of carers, family members where there was mental health. Aware of mental health very, very early. I was a young carer from about 11 to 16. My Mum's friend was a nurse at the local hospital. I was unsure about a career but, actually, it was probably pre-defined anyway. I became a nurse at 18; became a hospital inpatient nurse and then became one of the first community nurses that went into the community in the early 90s when large hospitals were closing. Worked within community mental health teams so, again, looked at the wider needs of families and communities. Working within those teams saw a lot of young people come through with early psychosis and their journeys were very long - lots of contact points. By the time young people got to us they were very unwell. A lot of young people came through admissions in hospital, had very traumatic events. Families were very guilt-ridden, felt very disempowered. I, when I was managing a community mental health team in the late 90s, I bid for some Health Action Zone money, myself and a Consultant Psychiatrist, to take me out of the community mental health teams to do some project work with young people with psychosis. This was probably 99, 2000. And we set up a two-year project in [town] around looking at young people with early psychosis. This was prior to a lot of the team development work, policy implementation guide. So that was really successful. Within a couple of years the [specialist mental health] services nationally started to have a focus. I was part of the group that helped develop the implementation guide, so I was part of the national steering group. I got a secondment from [national practice development agency] nationally, then, to become the national [specialist mental health services] Co-ordinator so my role was to support national [specialist mental health] development, and also, we had a lot of international visits, so I hosted internationally. I taught internationally, lots of countries. So, very much driving [specialist mental health service] development in the early 2000s. I got a secondment to work in [national practice development agency] to support the 18 [specialist mental health] team developments and, as a result of that, I was asked whether I wanted to develop a role within wider service improvement, which I did. And then that led to other work with the third sector, other groups, so my role tended to change from a clinician, sharing my own experiences and supporting single leads, to a service improvement lead, looking at developing services, teams, sort of more wider. So that's the journey really.

R: So you start at [specialist mental health] and then 'change'

CS1: So, because the [specialist mental health] developments were really successful, because I had a willingness to. I was asked to make a decision actually, it was a really pivotal decision, was that, I think two years in my secondment was due to be reviewed and I was asked if I wanted to go back to clinical practice, be a Nurse Consultant, go down that route, because I'd just completed a master's degree, or whether I wanted to do developmental work, so I chose developmental work. And that's when the opportunities opened up to do wider work with groups and teams and that's when we worked with the NHS Institute to start to develop this toolkit and start a pilot of the work. So that's how things developed.

R: That was all I had on my prompt list. Is there anything else you think would be relevant that I haven't asked about, or you haven't had the opportunity to talk about?

CS1: I think the only couple of things which I think are really useful as well within the change process, is around the relationships that I build with people that commission me to develop the work. So a lot of that is around being explicit around keeping that contact and relationship as well. When they are nominally the team manager or the team lead as well, is offering them mentorship and support as well, so I do offer mentorship to all the [specialist mental health service team] managers and other groups that I've done development work for as well, I also offer supervision, mentorship as well. Because part of it is around their steering the development, so they might feel very isolated at times, they might want new ideas and encouragement. So I do back that up with an offer of mentorship as well.

R: So are you usually commissioned by the team manager or are you ever commissioned by, like the General Manager for community or..?

CS1: It can vary. What I did is I publicised that I could offer to teams the two days and other further work, so I offered it widely. I backed that up with being able to host at times as well, provide some support with hosting. I gave them the opportunity, then, to actually ask me for the days. So I publicised, I literally put myself out there and then I had then people sort of asking. But the third section of the work, we did expressions of interest from organisations where they actually put forward expressions of interest, identified projects, we had protected number of spaces. We did it that way. Other pieces of work have been directly commissioned through commissioners, so I'm doing some audit work at the moment with [Trust] Services as part of their review so that's a direct commission. Others might come through service managers, New Ways of Working leads. So it's varying commissioning route. Some will just be a telephone call with 'help'. Some might be an email that might develop something else. So a wide commissioning.

R: So when you've been approached by, say, the team manager and then you go in and do work with the team and the team manager is one of the participants, are there any issues, that's too strong a word, stuff you have to adapt or hold in mind

differently because you've got a different relationship with one of the people in the room. Does that make a difference or not?

CS1: No. I very much, I meet with the team manager first and negotiate what they actually want, and then I'll meet with the team, with the manager straight away, so for me, it's really important it's all transparent, and even though I've negotiated with the manager around what he thinks are the issues, again, I'm really explicit that that's a guide for me. What I do say to the team is that I come with a blank piece of paper, but the manager has told me some of the issues but the days are around the whole team identifying the issues. What I do say to the team is that, if the issues haven't come out on the day, which they always do, it is that I will challenge with kindness, I will float that idea on the table and then we'll discuss it whether it is an issue. It's never happened

R: What, so usually have a good sense

CS1: When we say to people 'what's current reality?' it always comes out. I've never found teams feel there's anything underhand or being driven by an external force. And that's important to me that it's really transparent. That's why I go through that sort of process and reinforce it. Because people then don't feel there's any hidden agendas, that somebody's driving it but we don't know who's driving it.

R: Your style sounds to me, with a psychologist's hat on, very like a person-centred style. A lot of those humanist concepts in terms of safety, genuineness, empathy,

CS1: It's really important because my own style is an amiable style, I'm not a driver, I'm not somebody that pushes things through, you know, I'm an amiable which means I work with groups of people to be the tour guide, to encourage them to move forward, and that's my style. And I'm comfortable working with people, I'm very open and explicit with groups that that is my style. You know, I'm not here to put a guidance paper on the table and say 'we need to work through this, a, b, c, d, e' that's not my style. My style is around provide the right environment, encouraging people, supporting them through the process, being very sensitive to that group and holding them through the process is my role because, you know, it's great to get a product at the end of the day, but I don't want that to be at anybody's cost. So, for me, it's important that everybody's OK on the journey more than we need to deliver this project. And some people might say 'OK, that's a bit of a woolly, airy fairy way to go about it' but I find that, actually, what that process does do is that the priorities are defined and owned by everybody, it's clear and transparent, everybody's empowered and involved and it's sustained.

R: And I suppose there's no, then, any hidden surprises or shocks further down the line it's all out at the beginning so the implication being if you make them feel safe enough at the beginning, all of the nasties can come out

CS1: And it might be that down the journey, things start to come out as people start to feel more comfortable. For me, as well, I can't overemphasise the issue about the first engagement with the group, seeing them first before you do the day, them meeting me, dispelling the myths, talking about what we're going to do, saying how everybody's going to be involved and nobody's going to be put on the spot, nobody's going to be embarrassed, nobody's going to be told off, all those kinds of things. Those are the sort of things that I do when I go and meet the teams.

R: So you meet the teams prior to those days

CS1: Yeah, so I'll go and see them and I'll introduce myself and go through that sort of process.

R: So the engagement is quite important

CS1: I'm meeting a team this afternoon in [town]. They've got a development day in the next couple of weeks. Even though I've done work with them before, I'll need to go meet with them again because I'll need to also, for me, as a facilitator, get a feeling of where they're at emotionally, and I do find that that soft engagement at the beginning gives me a bit of an idea around, 'OK, where are people at?'. So I think that preparation bit, meeting the manager, meeting the team, prepping the agenda with them, a blank piece of paper, going through the process, offering support in between the days and the review and then the follow-up and review. I think it tends to work. For me, it tends to work for me.

R: It's quite a nurturing approach in a way

CS1: Yeah, it tends to work for me. It's a good approach and it's a nice one as a facilitator to go through as well.

R: Thank you

ii. OD EVENT PROGRAMME:

DAY 1

9.30	Welcome and round robin and expectations for the day
9.45	Engagement session exercise
10.10	2 small groups to identify all indicators of a successful EI team: - as... 1.) Consumer group 2.) EI team worker group
10.30	Clustering into groups with facilitation  And...  Identifying the areas of the self assessment wheel
11.00	Producing a self assessment wheel (individual) and gaining a team consensus
11.30	Comfort break
11.45	What is the current reality and the desired future for each identified segment?  And...  What helps and hinders the service in each identified segment?
12.30	Share and discuss this section in the large group
1.00	Lunch
1.30	Action planning for each identified area  Identify Must, Should, Could priorities and Total, Partial and No control aspects to the action planning stage
2.30	Comfort Break
2.45	Sum up of the day and round robin
3.00	Close

**DAY 2**

9.30	Welcome and round robin and expectations for the day
9.45	Engagement session exercise
10.00	An introduction to process mapping as an aid to development
10.30	Development of a current reality process map:- <ul style="list-style-type: none"><li>♣ Developing the timeline</li><li>♣ Identifying the start and finish</li><li>♣ Identifying the steps</li><li>♣ Identifying the interventions offered</li></ul>
11.30	Comfort break
11.45	Development of a current reality process map continued:- <ul style="list-style-type: none"><li>♣ Identifying bright ideas</li><li>♣ Identifying hot spots</li><li>♣ Identifying partners</li><li>♣ Identifying transitions</li></ul>
1.00	Lunch
1.45	Looking at improvements:- <ul style="list-style-type: none"><li>♣ Early detection opportunities</li><li>♣ Transition and discharge opportunities</li><li>♣ Other opportunities</li><li>♣ Training issues</li></ul>
3.00	Comfort Break
3.15	Action planning and way forward continued
3.45	Sum up of the day
4.00	Close

### Iii ETHNOGRAPHIC OBSERVATIONS

Located at NHS training centre on outskirts of [town]. I met CS1 in café behind the venue. I arrived 30 minutes early to allow myself to settle in and prepare.

CS1 has sent me agendas for 2 days. These 2 days are in context of his role as [specialist mental health service] development lead for [national practice development agency]. He offers time for team development, facilitation, and so on. and also facilitates group for [specialist mental health] team leaders across Strategic Health Authority patch – a mentoring role.

Venue: motivational posters on the walls in the corridors – achievement, ‘the difference of one’. Staff sat round a square table in small room with shelves and bookcase with miscellaneous NHS and nursing books.

CS1 puts up prepared flipcharts and distributes agendas to the group.

Team manager gets drinks for CS1 and I from kitchen across the corridor.

5 participants including team manager.

Small-talk re CS1’s crate of equipment.

Introductions:

CS1 – nurse, carer of mother with mental health problems, long service award, known team manager since 90s, moves into description of [specialist mental health] experience, set up [specialist mental health team] in [town], ‘hooked into [specialist mental health]’.

Asked to join [national practice development agency] to develop [specialist mental health service] nationally and regionally for the last 5 years.

‘journey’, see development of projects, lots of praise, lots of eye contact with everyone in the room.

(‘fantastic’, ‘[team manager] now has mates’, [town] is now forming a team, chuffed to be here to do work WITH you in [specialist mental health’].)

Team member S: Social work student till end of May with team

CS1 asks about other placements (makes contact, turns his chair towards her, lots of non-verbal nodding, ‘fab’, encourages her to describe her placements links to [specialist mental health]– ‘share your experience with us - great’.)

Team member M – student nurse – ‘at start of journey’, ‘fantastic’

Team manager – ‘got some mates now’ – CS1 gave thumbs up.

Team member J: community psychiatric nurse – CS1; lots of nodding as J describes experience, eye contact, ‘bitten by the bug’ – mental health and [specialist mental health]

Team member Je – social worker in mental health – ‘recover’ course

CS1 drew out connections between members and with him.

Really strong emphasis 'getting bitten by the drug', 'exposed to doing something different', 'great network', 'great ethos', 'driven', 'where people want to be'  
Made connection with students – can bring experience of working with younger people

'Been a long journey for [specialist mental health]'  
'Been a bit of a rush for people', 'allowing opportunity for protected time, have time-out to think about next steps'  
Lots of smiling, eye contact, hand movements  
'It's about making time together'  
'Don't know about you guys but busy chasing targets..'  
'Demanding .... time to reflect is rare, precious, the days are about you, just to reflect, just to stop...'  
Personalising, recognition of their work and opportunity to reflect...

'Start a dialogue'  
'Done two days with 14/18 [specialist mental health] teams – found them helpful (credibility of programme from own constituency)  
'Opportunity for more dialogue..'  
Structure for 2 days but time at the end for extra stuff they want to do - 'protected' is key metaphor  
Team member J asks about phones on/off – asks team manager – dialogue between team manager and J – turns phone off so definitely 'protected'

CS1 describes engagement exercise ('not an icebreaker') – helping to engage, feel comfortable, environment so can all talk, can all engage – fun exercise and talk about service

CS1: 'I've got a task for you' – apologetic, humorous manner – gives team manager job to write questions

Exercise:

Describe service as mode of transport – draw mode of transport – answer:

6. who's the driver?
7. What fuel does it run on?
8. What's the capacity of the mode of transport?
9. How reliable is the mode of transport? How often does it break down, if ever
10. Speed

10 minutes, 'be creative'

Whilst group engages in humorous conversation, CS1 draws on flipchart – observes from side.

(1<sup>st</sup> stage seems to be around engagement with each individual, and with mental health and [specialist mental health]  
Emphasizes commitment of all members, contributions of everyone even students, long-term relationship with team manager)

CS1 puts blank flipchart sheets on wall with blutack – post-it notes down side

(Does engagement task of transport support ‘journey’ metaphor?)

CS1 gets team member to put ‘transport’ picture on the wall

Reiterates task - ‘describe team as mode of transport’

‘would somebody from the group like to tell us about the team as a mode of transport and the answers to the questions I posed you’ – invitation and repetition

CS1 drawing attention to detail of the picture – yep, yep, OK, eye-contact, smiling

Addresses comments to the group – lots of laughter and smiles

CS1 reflects back answers to each question – ‘OK, multi-fuel’

‘Do you want to say any more about that?...’ encouraging prompts

Reduces laughter when provide more detail to questions

CS1 repeats phrases, nods for encouragement/emphasis of speaker

CS1 looks at all participants – uses smile and eye-contact to maintain connection with less vocal members of group – met with smile back

Reflects back humorously to pull out serious points, underlying feelings – eg ‘high speed train with people hanging off the top, variable brakes, feels fast at times...’

CS1 asks permission to make comments – ‘clear driver’, ‘easy to recognise driver’, CS1 pulls out themes: everyday, reliable, having route/journey

Choice, important in [specialist mental health], capacity (can add extra coaches), recognise little bit full but can squeeze on..., fuel: feels bit of uphill struggle, manpower gets you through the obstacles – speed: you felt fast train, feels brakes can go on

CS1 pulls out different themes – lots of references to feelings, ‘you feel...’ etc.

Responses from group more sober – ‘interesting, you’ve seen it...’

CS1 reiterates will have fun talking about issue – reflects dynamics of exercise – fun but pulled out serious issues and feelings

‘Time for really honest discussion about central issues/important bits and pieces you raised’

Share experience of what it’s like

Reflection time

Dialogue – drew in their metaphor (where’s the train going, what about the brakes etc)

Look at how, as team, gain consensus – part to talk about where we're at and going, what are important things to enable train to continue

CS1 explains point of day, how things work

Reiterates 'protected time'

'Really important – you are going to design and develop the day'

Framework for timings etc but you'll be designing...

CS1 holds up blank flipchart – 'we'll start with that ... blank paper'

"I'm not coming with any pre-conceived ideas about [town] and where you should be going....you are experts..."

'Start to fill piece of paper with what you think are key things ..'

'2 perspectives; your perspective as [specialist mental health] worker, and perspective of service user/family member'

'I'd like you to ...'

Each person to take post-it and write one thing that's important for [specialist mental health]; C=consumer, W=worker'

'Don't be constrained; what you think is important..'

'Is that all right..?'

Very permission-seeking style, checking out, seeking agreement

As group proceeds, CS1 sits at side and observes/listens

Has flipchart up (drew wheel on it)

Gives clarification if requested – 'whatever makes sense to you....'

Smiles when eye-contact made with him – nods, non-verbal, as listens to conversation, but doesn't speak

When more contentious issues raised by group (difficulty from group with external factors eg medical cover), CS1 smiles, ?recognition, ?support

Team manager made comment about him doing all the writing – CS1 interjected reflecting metaphor – 'you're driving the train, [team manager]' and made whistle-pulling gesture the group had performed earlier – greeted with laughter.

Then group returned to [specialist mental health] discussion

(on agenda, breaks highlighted in different colour)

Humour from CS1 about team manager having to stretch to put post-its on - you're stretching further [team manager]...'

Comments from team using train metaphor – laughter

CS1: 'people will be dreaming about trains tonight' – laughter.

(Outside of event, team manager talked about support worker not allowed to attend because not funded to attend such things, but she'll try to pop in – seems outside of team manager's control and determined by external funders.)

Time-keeping prompt from CS1 – 'another couple of minutes to tease out ....'

CS1 moves blank post-its on wall onto each piece of blank flipchart paper - across the top – 8 post-its

CS1: 'Any last burning thoughts?'

Ask group to take 5 minutes to cluster their post-its into themes

Group has to stand up and move to do this themselves

CS1 explains task and stands with group but does not touch post-its etc – keeps action with team members – guiding but not doing – standing on edge of group, providing instructions and guidance but not in group or acting for group

Stands back and observes – gives prompt in terms of eg 'can you name the cluster and write it on post-it for me...'

CS1 prompts re process of task where 'confusion' in group

Prompt where group seems to be struggling for words – but in tentative way 'is it social inclusion....as an offer'

Prompts could be moving group on as well as clarifying with them

Next stage – 'you have three other theme areas: - you might want to consider.. 'could do a link with your other themes', 'other things that are really core for [specialist mental health], 'must-dos' for [specialist mental health]', 'these are just suggestions to maybe help a little bit' – reinforcing ownership when they seemed to go quickly with one of his suggestions.

CS1 summarises each theme title as core/really important for [specialist mental health]

All standing looking at the wall with flipchart and post-its

'Is there anything glaringly missing?' (Is CS1 pushing them towards something – he seemed clear that there were 8 themes; 8 post-its.)

CS1 seems to give clues by drawing on issues raised in 'transport exercise' – 'you mentioned access..'

'You are saying these 8 areas are core part of [specialist mental health] business'

Are you happy that these 8 themes we've generated together are the issues we work on for the rest of today?'

'Are we happy?'

Summarises process: 'from blank piece of paper we've generated issues for worker and consumer.... 8 areas'

'Now where are we at ..... re 8 areas...'

'Totally honest, warts and all'

'Do this initially individually – not about individuals; about where as individuals we think the team is at...'

Describes wheel with 8 segments that's on flipchart and on A4 handouts – each segment of wheel relates to 1 theme – write name of theme on outside edge in same order as on wall 'clockwise from 12 o'clock' – first one is x - giving very specific instructions for exercise

(Exercises very structured but content created by team)

CS1 writes themes on wheel on flipchart  
Everyone, including CS1, working on wheel  
CS1 gives instructions step-by-step;

1. Name segments
2. We'll refresh each area
3. Rate/score from your point of view using scale on handout – draw/plot rather than write number (centre = 0; edge = 5) – put dot and write score next to it

'If you think the team is performing fantastic on all areas, will have perfect circle – let's see what the circles look like'

CS1 then reads out some of the post-its that are on the wall under each theme – 'eg

under social inclusion, you've got things like...' – he didn't say 'you've got x', said have things like..'

(Is this to keep flexibility or wider perspective on theme?)

'Once you've got dots and scores, join dots up and see what wheel's like – would it roll?' – development of metaphor

'weird and wonderful shapes' – 'show how creative people were at school!'

'Important thing to say...to start a dialogue...your perception...look at differences where people think team is at'

'Valuing differences in opinions... no right or wrong... is that OK... we respect people's different opinions...'

CS1 calls out numbers and people have to raise hand when their number is called out – writes spread of scores next to segment.

Asks person who's number is different/higher to explain score – 'tell us a little bit more about that...'

CS1 reflects back the explanation of their score – 'you feel...'

Ask rest of group for explanation of their score - together, not as individuals.

CS1 allows team manager to speak for long time about his score first – reinforces non-verbally

CS1 gives significant eye-contact, nods to speaker – summarises comments  
Reflection of feeling and content – 'sensing real frustration', 'causing a degree of tension', 'emotive area', 'you use words like..', 'hot spots..'

'If we were, as a group, we were going to plot where we are re .., what would we say?'.- then reflected team response – 'so team is saying,,,

When person seems uncomfortable with their score being better than others, CS1 reassures them re it being their opinion.

'Any other comments from those who rated that as 2?' – full attention given to each speaker – summarises comment to the speaker

Asks questions about what speaker thinks causes issue – gives list of 4 possible options – 'we're going to dig down later into some of opportunities, blocks, tensions later. I don't mean to stifle discussion but we'll cover later' – style is very apologetic, deferential.

When group rated 2 x 5; 3 x 4, CS1 addressed questions to whole group – “some of you feel you’re there, some ‘nearly there’”

‘Part of this exercise is just that – taking stock of where we’re doing really well..’  
(picked up group member’s comment and expanded it)

Positive feedback from student – ‘thanks for that.... outside perspective... thanks for sharing that..’

Picks up words of member and expands them – CS1 seemed to put more energy into permission-giving for team to feel pleased with themselves

Humorous clapping and laughter when scored themselves as 5 – CS1: ‘great - our first 5!’

‘X ....plays a big part for you guys’ – uses hands to ‘embrace’ group when he says ‘you guys

(When CS1 uses non-verbals, gets responsiveness, congruence in members’ responses to his intervention)

Summarises discussion for rating – ‘in the team...but context affects...’  
‘still very good but still work to do around x x..’

“Are people happy to take a break there?”

BREAK – everyone left the room except CS1, team manager and myself.

Team manager left to smoke – CS1 and I joined rest of team in kitchen to make drinks

Regroup: ‘is it OK/are people ready to regroup?’

CS1 reiterates purpose of exercise and where we’re going in next part of day

‘Professional development’ came out 4-3 – 1 person gave 3

CS1 didn’t ask ‘outlier’ with lower score to give rationale but kept it to group discussion – asked particular area for development because not given a 5

Group –articulating what needs to be different, what they aspire to.

‘There’s wider range of skills you bring, less formalised, life experiences etc’

?pulls out/acknowledges wisdom of team beyond specific skills

Reflecting back, pulling out points –

‘so being able to use skills as well as have them’

J: ‘we’ve gone for a 4 haven’t we’

CS1: ‘Have you gone for a 4?’ – checked out consensus of group

CS1 uses different feedback/discussion method for different 4-3 scores - sometimes asks for account of higher score when this is minority position, sometimes goes for group discussion.

If minority is higher, seems to get this account – if group is higher and minority lower, gets whole-group discussion and doesn't specifically seek out thoughts of minority members.

Following contributions, ‘thanks for that’, but not ALL contributions – (how does he decide which ones?)

CS1 allows group to develop discussion - sometimes takes observer role – re-enters with NV prompts – ‘yeah, uh-huh’ etc.

CS1: ‘these are critical components .... about planets aligning’  
Agreement and expansion and summarising of member’s point about inter-related nature of themes  
When couldn’t get consensus, went to vote starting with higher number – set out in terms of considering discussion and points made....

CS1 celebrated when member gave a 5 – ‘hooray, we’re cooking on gas now! Another 5’  
As member talking about positive parts of work, CS1 smiling, nodding ‘excellent, thank you’  
‘so you can see a 5’ – humour with team manager who says can’t bring himself to ever give score of 5.

‘I’m going to go back to your train analogy, and for me...’ Described parts of analogy that support higher score for access – used their own data to reinforce/shape higher score  
‘Come on, are we there? Are we going to do it? Yes, we’ve got our second 5!’

“Transitions.... just to ‘anchor into it’ ...” Then gave description of issues that would be under this heading.

“That’s fine, that’s OK, you really don’t have to justify it’ - when member talking about giving lower score

As team manager tells story of difficulty for client, CS1 keeps empathic serious face – then ‘difficult for you guys...’ ‘you put all that work in – change in emotional tone – CS1 stays with more sombre tone

When intervention to lighten tone not picked up, CS1 ‘I’m just joking’  
‘So the experience of ...had a significant impact on you... How has it left you with ‘transitions’ now?’

Team move on to positive changes made as result  
‘You’ve reflected obviously a lot around this case and made some positive changes..’

CS1 breaks in to pull out key issue:

'so something about the approach you use re ...'  
'there's some feeling of protectiveness..'  
CS1 listens to team talking about 'I'm angry about it'  
'Are there any transitions that have gone really well'  
'So there's some preparation you're doing with people, readiness, people indicate their readiness to you'  
More animated non-verbals from CS1 as talking about better examples – when discuss more difficult examples, CS1's non-verbals more restrained/subdued  
"So 'transition' is a real tension in the team, it's difficult, it's a real tension in the team"  
CS1 illustrates previous point made by group members about inter-relatedness of themes – highlights 'important to you, but not outside of the team'

Once last theme rated and plotted, CS1 joins the dots on flipchart

'The idea of that exercise is to highlight areas, look at differences in perspective, differences in experience – starting dialogue"  
'Recognising what we do really really well - points out areas that scored 5s, points out 3/4s and areas you felt are real tensions (1/2), add function to the track' (reiterating team's transport metaphor)

"We are going to talk later about what we can do..."  
CS1's response to comment about lower scores on themes 'outside of our control'  
-  
"There are things we have no control over and then about how we influence, lobby, so you're dead right, need to think about what we have control over"  
CS1 outlined different approaches to different themes.

Eg 'lobby, influence'  
'Any comments on scores wheel?'  
Reflected back/summarised – 'so for you that's a little bit disappointing..'  
'Any other feelings?'  
'Any other last comments?'

'For me listening to some of that feedback, I'm glad that it's not surprising, it's on your radar. It wasn't around really contentious issues – discussed whether 4 or 5. Also, to be able to celebrate a little bit...'

'Now protected time, you can start doing some work on these... next bit to begin to have more focused discussions'  
"do this as a large group, OK?"  
(handed out 'current reality.. helps and hinders' handout)

'Want you to identify which areas you work on'

'My proposal is that you focus on 2s and 1s – 3s and 4s are where you need to shape what you're doing already. My feeling is that we have focused work on transitions, partnerships... What are people's feelings about that?'  
One comment from group – 'that makes sense' – rest of group quiet.

'I'd like you to have a scribe and have focused discussion about transitions – build a picture for me around transitions; current reality, what would be desired future, what it would look like if 4/5 – current things that might be able to help (quick wins, bright ideas) but important for us to identify what might be some of the blocks. Does that make sense?'

Quieter, heavier feel in the group.

ACD and CS1 left the room for 20 minutes to leave the group to do the exercise alone

Came back in – they completed exercise and then CS1 breaks group for lunch.

Outlines what will do this afternoon

'Focus on some of the bright ideas that have come out of the discussion'

'What's a priority (must/should/could), level of control (total/partial/no control)...and then action plan'

'Come out with some really clear actions by the end of the day'

Return from lunch at 1.50

'Same exercise on 'partnerships', and 'organisational support', then break and then identify bright ideas to take into tomorrow'

CS1 and ACD leave

CS1 usually leaves the room for this bit and for transport metaphor exercise

Want to get 'bright ideas' for tomorrow for each area to influence tomorrow's work

ACD and CS1 left whilst group completed exercise on 2 themes

Last 30 minutes of the day

CS1: 'tell us the story then' – 'give us a couple of quick bits of feedback from each one'

CS1 pulled out key points from discussions over the day as way of moving pace on

CS1 unpacked/punctuated some of 'help' to emphasise the importance and quality of their ideas

'It's hard work, isn't it, to keep maintaining relationships, hard work isn't it' – empathy, accessing feeling

'So, looking at 'partnerships', can people think of 1 or 2 'bright ideas' that could help discussions – any 'quick wins'... snippets, nuggets, not worked up action plans. What could be some things?'

CS1 making suggestions out of examples/ideas given – non-verbals hopeful, up-beat – reflecting/summarising to unpack clearly what group is saying

Once group committed ‘quick win’ to post-it, CS1 asks group to say whether ‘must/should/could do’

As discussion developed, CS1 pulled out other ‘bright ideas’ – team member wrote them down

Fed back to group the two bright ideas for this area – pushed them to rate must/could/should and total/partial/no control – put these codes on post-it and post-it into flipchart

Same tasks for ‘transitions’ and ‘structured organisational support’

CS1 keeping up pace and focus – up-beat speech (speed, tone), lots of non-verbals (nodding etc), saying more than in earlier parts of day

CS1 pulled out some points from flipchart and connected with group through it eg ‘blame culture – that’s a biggy isn’t it?’

Use of questions at end of statements to seek approval, consensus etc from members

Faster tempo – CS1 closed down elements of discussion by looking at scribe and asking how she can capture bright idea.

CS1 stuck post-its on posters – in previous exercises, the group members did all of the moving about

(focus on pace and completing product)

CS1 kept focus and pushed on particularly when became very negative

As group sounds flatter, (slower, sighing, heavy breathing etc), CS1 becomes more up-beat and active.

When team manager had phone-call at 2.55, CS1 waited till he’d finished call before proceeding

Round robin – how has today been as a process? – CS1 asked every member of the group individually

Also asked each one, ‘anything you think has been missing?’

CS1 addressed doubt about ‘what if we’re told we’re doing the wrong thing’ – ‘affirmation and protected time to reflect are really important.....’

CS1: ‘I’ve really enjoyed it as well.....’

‘hope everyone’s felt included’

‘for me, it’s around the journey – it’s important everyone’s on the train that [team manager]’s driving’

‘about getting people’s views.....’

## Day 2

13 March 2009

CS1 putting up flipcharts from yesterday at back of room, and today's blank sheets on front wall.

Set up projector for presentation – distribute agenda – aim to finish at 4pm

Flipcharts from yesterday are CR/DF/H/H sheets for Transitions, Partnerships, Structured Organisational Support

CS1 preparing process mapping flipchart – putting up appropriate symbols

3 people present – other 2 joining us at 11.30

CS1: any quick reflections/feelings about how yesterday was for people? Anything we missed, need to pick up?

“Mixture of positives and ‘opportunities for development’. Balance between positives and tensions”

CS1 emphasized positives, reflecting on positives.

Refers to yesterday's group wheel.

“Started some dialogue, didn't we, about tensions and things going well”

“Had some protected time to look at 3 areas that scored lower”

“Got shared idea, team consensus, identify things that look for you as desired future”

“You also identified opportunities and things that may hinder...”

“You shared feedback with us”

“You identified quick wins, plans to start for improvement in areas”

CS1 read out quick wins/areas for action

“3 areas are about the journey; about pathway”

“These are things that seemed to come out of your team day”

“Great opportunity for us to start to build a picture of a pathway. In that can look at transitions, partnerships...” – gave egs of things team actually said yesterday

Next steps and how we actually do it

‘Develop tentative action plan’

“Exercise with a bit of fun to get us energised for the day but about what we want from potential partners, the dream team”

Few slides to introduce simple way for process-mapping – common signs and symbols – some may have done it before, some not.

“Start with current reality map

Time-line/journey line – will be chunked up

Very important we define start and finish of process map, identify where steps are , then interventions at different stages.

Then break – then from yesterday bright ideas and hot spots.... “  
After lunch, looking at opportunities, what are the things we think are good opportunities  
Finish off by agreeing what actions are needed to put in place to make changes

“Bit of fun, get energy in the room” – big hand movements

Group exercise: Celebrity Team

Instructions on powerpoint and handout

“I know you’re a dream team anyway, but who would you choose from celebrities to make a dream team..”

6 who want and why and leader – 1 person you don’t want and why

Get people to identify celebrities and make sure we all know who they are and what they do

15 mins – CS1 and ACD stay in room

ACD and CS1 not involved in exercise but join in non-verbally, with laughter and eye-contact as group becomes humorous – involved but not involved – observer  
CS1 keeps projecting pictures of celebrities on front wall

(I noticed that in second day harder to stay outside of exercises/group – as facilitators bonded with group – CS1 threw in the occasional comment re celebrities the group is discussing)

CS1: 5 minutes – reminder of tasks required

Preparation of flipcharts:

Team name

List of 6 members and what they bring

Leader and why

Who not and why

CS1 wrote outcomes on flipchart

‘How easy was that task to do?’

Group reflected on process of exercise

‘When looking at team and stakeholders now, you don’t get the opportunity to choose the qualities you’d like’

‘As personal reflection, do you recognise those traits in yourselves, in your team?’  
Got group to pull out what they’ve got in themselves from list they’ve developed of what they value.

CS1 also pulled out skills/attributes from list that were referred to yesterday eg passion

“You’ll be looking for these traits from potential partners”

“Seeking out like-minded ethos..’ Gave examples of complementary styles from his own [national development agency] team

'This exercise helps us think about what skills we're looking for on the journey...'  
'What do folks have in common?' – all had mental health problems

'Don't do ice-breakers – it's about messages. Reflecting on our own values and what's important to us. Think about as team develops, what you'll be looking for to complement your team, also different stakeholders'

Powerpoint: "Process mapping: as a tool to redesign. An introduction to Process mapping"

CS1: 'Can be complex and get bogged down. I always start really simple and then build up'

"Blank piece of paper"

'You are the experts in working with your people'

'It's your map'

'I'm a critical friend'

'You're developing something today'

'Have to have a go at doing it for it to make sense'

'There might be bits that are difficult to flesh out, but it's only when we try we can see where they are'

Explained history in response to question: LEAN thinking reducing processes in car –making, to be more efficient. Can also highlight hidden processes/unknown steps. Idea that if you can reduce the number of processes in a journey, reduce opportunity for errors, confusion etc.

Eg of use in NHS – Accident and Emergency

Helps us identify if there are bits we can cut out

'There might be bits we need to put in!'

Outline of symbols

Going to use post-its because then we can move them around

(although very didactic, more animated non-verbals and lots of eye-contact with each individual – very simplified language with real-world examples and rationales)

Seems to only tell them what they need to know about process-mapping

'We're going to walk-the-walk as individuals do, in individuals' shoes'

'Only question we're going to be asking is 'what next"

(Changes use of 'we' and 'you' at different points in the 2 days – in process-mapping, uses 'we')

'Once identify it, we're going to use it – that's sometimes where the pain starts!

Going to use it to improve the service'

Have different colour post-its to capture 'bright ideas' and 'tensions' as go along

"Issue park" – if there are real issues that come up we 'park' them on a separate flipchart at the front"

"I'm not coming with a map – it's your map, your area, your journey. Have to map it as it really is – warts and all map. We've got all day. Let's do something with the protected time that really makes a difference"

"If there's disagreement, we don't discard things – we map both views. Everybody's got a contribution – we don't lose anything"

Personalised language in the descriptions – CS1 talks as if he's a patient eg 'this doesn't make sense to me, I'm going backwards'

Examples grounded in experiences of service users and them as clinicians

Ends presentation with a funny picture – 'Life is Fun – Enjoy It'

CS1 sends group for break whilst CS1 and ACD re-arrange the room

Checked out that made sense in context of yesterday

Re-arranged room to make 1 long table – blutacked 4 sheets of grid flipchart paper, touching each other, onto table.

4 stages: assessment, care plan, intervention, review – "tentatively I've put 4 segments"

Pile up post-its – yellow large for steps, small in 2 colours for 'bright ideas' and 'tensions'

No chairs out for sitting – will be moving around both sides of the tables

Lots of use of the word 'maybe' from MR as he's describing possible segments/stages

Get team member to draw O at start and end of table to mark start and end of process/time-line

Length of tables = what period of time (3 -3 1/2 years)

'Can we start by mapping typical, 'ordinary' journey?

('Ordinary' is team manager's word – then used a lot to describe typical journey)

"It's up to you to define where you want to start.."

Throws responsibility/power to make decisions back to the team – get them to writing, phrasing etc – but shaped from behind by CS1

CS1 stands with group – summarises and reflects their discussion points – prompts: "what happens next?"

As group gets going, CS1 moves away and watches from outside – observer position but interjecting 'helpful' points eg "is it worth highlighting some of contact points?"

(description of stages tends to be provided by team manager with J writing – following team manager's lead – no intervention/reflection or anything by CS1 on this pattern in terms of whether there'd be any other views)

When group identified and owned 'confusion', CS1 maintains open, curious interested position – does not address/respond to 'confusion' as statement but more holds person-centred non-verbal position/neutral position

CS1 more actively contributes re technical aspects of using post-its, identifying how to represent question points – technology of process-mapping, not content of process.

Occasionally seeks clarification if group seems to be contradicting itself – 'so at that point it could be x, it could be y, or could be z? So quite a few options at that point that we can clarify'

This seems to happen when process is 'bundled' and CS1 helps to unpack the bundle.

Others arrive at 11.20

CS1 gives very brief account of the exercise and techniques (post-its, questions) – said will give proper fuller catch-up after break at 11.30. (presumably doesn't want to interrupt flow of exercise?)

When started to get dissent between team manager and social worker just before the break, CS1 seemed to 'shut down' dissent and clarify how to do the pathway (Was this deliberate? If so, why? - Did CS1 recognise dissent re pathway?)

Social worker didn't automatically defer or agree to team manager like other member (J) does – J even asks team manager 'what do we do then?'

## BREAK

Reconvened

Welcoming back the two who weren't present this morning – 'we missed you'  
'Recap for you 2, if that's OK?' – went over what covered, how and why this morning

Got feedback on yesterday from the two of them in turn

CS1: 'Also around celebrating stuff you do really well, stuff that's excellent. And stuff worked on partnerships, transitions..'

Presented as a good thing the fact that stuff produced yesterday close to issues they identified on their own team development days

CS1 dipping out for next bits - they know bit more about process-mapping so he'll dip out for next 20 minutes

'It's the start of a process – won't get everything nailed today. It's a start'

Outlined key stages: finish main line, then check if any post-its need to move position in pathway

Adding transitions and interventions on either side of pathway

When CS1 and ACD re-entered, CS1 sought feedback on process of exercise – also observation on learning from exercise, eg not linear, some circular/spiral processes.

Reflection: linear pathway gives steps but not accurate representation of nature of journey

CS1 highlights elements they've drawn out of process

Round Robin: how feel about process of exercise?

#### AFTER LUNCH

'Wring last bit of energy out of you!'

CS1 summarises work 'you've' done so far today

Sought clarification on meaning of blank post-it notes which represent tensions

Recap progress – where got to in plan for the day

(CS1 left room after coffee this morning to give dynamics a chance to settle down after return of 2 people who weren't here this morning)

CS1 outlined how he wants group to integrate yesterday's 'bright ideas' in transitions, structured organisational support and partnerships into 'bright ideas' in process map.

CS1: sought clarification on 'hidden process' around exit from pathway

Asked group if they wanted us around or to leave them to 'crack on with it' – group decided to 'crack on'

#### AFTER AFTERNOON BREAK

Had left group alone for an hour, with CS1 popping in 3 times to see if OK

Start by getting group to fill us in on their process pathway

CS1: lots of para-verbals as team manager walks him through the pathway – also summarising/clarifying what he's heard

CS1 adds timings to pathway by asking questions so group identifies time and CS1 gets them to add them to pathway

Interaction between team manager and CS1 with comments from rest of team as appropriate.

CS1 makes link with yesterday's work – 'so when you get to x, that's when other structural needs appear – so the stuff from yesterday's sheet would go in here' 'Again, this whole area on the pathway is where some of tensions and hotspots emerge' – process observation?

References to train metaphor – translate issue of capacity to 'carriages on the train' – humour from team as response

CS1 suggests 'as an outsider', ways of chunking stages

CS1 gets them to add timings and name chunks

Highlights which other issues come in eg partnership opportunities

CS1: 'What are some of the tensions?'

CS1: checking key issue captured as 'blue' (hotspot)

CS1 allowed review of process pathway to significantly over-run – no sign of tension from CS1 or group, no sign of pushing on

CS1 made explicit link between issue of leaving service and fact that had bright idea earlier in pathway eg self-sufficiency and empowerment that pulls this earlier in the pathway. This seemed to address issue of leaving thoughts of discharge 'too late' without saying this in terms of desired/effective pathway but made point with team's own ideas

"I'm incredibly impressed – you've got tons of bright ideas and actions. Great walk-through...fantastic map...can start to see tensions and bright ideas..."

"As an outsider, it makes sense"

"For all of the blues, you've got a green"

CS1 will write it up FOR the team

"I'm just reflecting on some of the narratives from earlier...there's very little fog (earlier comment about fog by team manager)"

"At your development day you've raised....I think you've delivered on it"

"Absolutely fabulous guys, I've got to say"

Team manager: "I'd like a couple of action points – they're in there but not explicit enough"

CS1 – flipchart and pen

CS1: "Number 1....." – total/partial/no control. Must/should/could – put yesterday's post-it against this action plan.

"I'll write it up as it is, but it's up to you to time-scale it"

CS1 scribed action points for all of post-its from yesterday

"Is that a good place to stop?"

Round robin on how the day (and whole thing) had been

"You've invested two days here and worked really, really hard. It would be a shame not to use that" (response to comment about importance of prioritising time to follow through and complete actions 'properly')

Team manager outlined that started process themselves but 'get stuck' – couldn't have done this ourselves

CS1: "I've just provided technique – they're your ideas, process, work"

CS1 asked me to comment in round robin

CS1's final comments – got permission to give comments – team sharing personal issues re work, honesty and sharing, worked very hard, celebrate achievements – "for me it's a real success as well"

The reports will be 'your capture, your write-up, your words. I might add some critical friend reflections which I'll add"

CS1 offered 6 month catch up; offered 3<sup>rd</sup> (first) day

Gave process-mapping handouts – 'you've learned a skill – here's a crib-sheet'.

#### iv POST INTERVIEW TRANSCRIPT

R: So what I've done is I've gone through my observation notes which I sent to you. I've got some questions about what I saw that are about trying to get behind the behaviour, to get ideas on what you were trying to do there.

CS1: Some of it is around as well the dynamics being so different within teams, there's so much you can plan and rehearse and scope out, a lot of it is obviously responding to the environment and so there's a proportion which I suppose is a framework that you work around but it is about being responsive as well. I tend to do a rough agenda with a degree of outcomes and try to be explicit around where we're going but, as you say, a proportion can be planned and expected but a huge amount probably can't.

R: When you were going to [town] then, what was it you think you needed to achieve, what was your brief, what would have been a successful outcome for you from those two days?

CS1: I think the things that I would see as successful but also things I guess that would be successes for the team. I mean for me successes would be around, I suppose, the engagement part more, around developing a relationship with those guys to make the most of that protected time because they're busy clinicians and, you know, am I offering something to them that actually adds value to what they do, to actually justify their time away from the clinical, but also provide an environment for them where they are able to be honest, where they are able to actually work through processes without feeling hurried or rushed. But also being able to offer them something that they see as being a product, if the word's appropriate. So something that they actually take away from those sessions that they see is applicable, is transferable, is a product they can run with and use. So for them, I suppose it's around the product and the protected time. For me it's more around, I think, the engagement and providing that kind of environment. And, I suppose, at the end of the day, to get the feedback that actually people have found it's been useful.

R: That's useful because I saw, I thought that was what I was seeing, the two threads. There was sort of product and focus and there were relationship, engagement focus.

CS1: Very much so

R: Oh good

CS1: I think we talked earlier on about at times for me it's around that engagement, investing the time in trying to. And it's a balance between giving people time and

being able to step away and not to interfere. Sometimes when you give people tasks you need to step back and give ownership and you need to retreat but at the same time you need to keep reinforcing, reassuring, keeping that relationship, you know all of those kind of things that we did. And also coming away with the feeling that you haven't left things in the air but you've actually left something OK for the next day, so it is around that relationship, and actually that supportive, nurturing catalyst coach instead of being, you know, stand at the front with a powerpoint delivering, it's that balance I was trying to get to.

R: Yeah, OK. So, did you structure the day to focus on different stages? You talk about engagement, you talk about task, you talk about maintaining relationship.

CS1: The first day was around, I think around developing the project wheel, wasn't it

R: Yeah

CS1: I think the first thing that I did, so that was around everybody.. well it was around me coming with a blank agenda and engaging people to say 'OK what's important for you?' So, immediately it wasn't me parachuting in, it was about engaging them and actually getting them all involved straight away. I think one of the key parts then was around gaining consensus as a group so one was around engaging individually. The other was around developing a team consensus, a team feedback to me as well, and following that as well was around allowing people to be able to critique each of the sections individually as well. So, again, that exercise is a great engager; it allows people straight away to have a voice, it allows equity. But also it allows a feeling of consensus and team as well as valuing diversity. I think there's that degree of balance. So I was very keen on using that exercise really early to get that. And then following, the rest of the day flowed from that where, once we'd identified the areas, we identified the target areas and the tensions as well as the opportunities. It was then to the focused work within the groups to build on that so it was around, if you remember, current reality, desired future, what helps, what hinders, and then we looked at opportunities for development on some of the areas as well, so it was around that, sort of, that structure, that flow. And I feel it was all around engagement but I think it was around times to actually be heavily engaged and times to be a coach through the process

R: Yeah, because there was something for me about your position so sometimes you were 'in there', sometimes you were a bit like an observer or participant position, sometimes your observer seemed to be 'I'm in the room observing sometimes I'm out of the room but checking in'. Are you able to comment on how you chose when to take those different positions?

CS1: Part of it I think within the structure of the day is where you actually lead some of the discussion dialogue. I think initially setting the scene with the group is to make sure and to reassure yourself that people are actually included, that you're able to field and give people a framework, a scope of what you want, so it's a clarity. I think then you're able to set tasks following that, where you've felt confident that people have understood the tasks, they're included in the day. I think you're able then to retreat back so you're not invasive. So I feel it's around being able to provide that, that, direction, that support to enable that to happen and then to be able to say 'OK, we've given you a framework, we've given you a start, but we've also given you tasks because what we want to do is for you to be adults, to be responsible and to recognise these as your areas and your issues'. So for me it was a time then to step back a little bit and very much throughout the second day when we were doing the work around the process-mapping and the journey, again it was really important that it wasn't my perception of the journey and that's why I kept retreating, it was around me setting the parameters and around coming in and checking out, it was around them having protected time, I felt, to develop their map. And that was why I consciously retreated and wasn't overseeing because, one, I didn't want to influence, and second, I didn't want to constrain the discussion because I also recognise that sometimes you are viewed as an outsider going in, sometimes there are internal tensions that a team might want to work through on their own, there might be areas that they want to discuss that are really pertinent and confidential within a team. So, again, it was around that balance of checking out but also giving them responsibility to develop the task as well

R: Because I noticed that when they sought clarification from you, you clarified, if you like, the rules of the task – 'you use a post-it for this' or 'x for this' or 'there seems to be a bundle there' – you didn't get into the content of it at all.

CS1: And the other thing for me is that sometimes there's a perception that somebody comes in and it's one way to do things. And the other thing there's sometimes a tendency as well when somebody's facilitating to expect them to give the answers as well, so, for me, I wanted to be really clear around 'this is a suite of tools, this is an approach you might want to use that's helpful' but by actually giving them the ownership of the team to develop their map it's around what makes sense to them, their language, and also the ownership because I really strongly feel that it is around them developing the product that is, that makes sense to them, they own and they can utilise, and again I think if you develop something within a team using their own language and stuff that made sense to them, that that, I think that will have more chance itself that they will adopt and use it and they did

R: So a key process, if you like, of change, is that ownership and some of the techniques are about

CS1: It's essential

R: their language and their take on it

CS1: what makes sense to them. And each process map is different with each group that we do. I very much gave them paper, some symbols and an approach and then, if you remember, I stepped back. All I did then was, at times of tension and difficulties, I reinforced the process, I was a critical friend to the process then and, very much, they developed something and I feel that they did develop a map that made sense to them.

R: Yeah, OK. The other thing I noticed toward the beginning was the connections – you seemed to be trying to make connections with everybody in the room. Can you tell me a bit about how you think that helps?

CS1: I think it's really important because I think within a group you have different levels of confidence. I think there's a natural hierarchy within teams as well at times and ways in which communication moves up and down within tiers of hierarchy within teams. What I wanted to do was I wanted to make it really explicit that it was everybody's day. I just wanted to actively involve and engage people, that they did have a voice throughout the day. Part of it for me as well within that initial part around trying to engage everybody and I think we used exercises like, I think we developed a mode of transport, we had some fun

R: The train, yeah

CS1: We had some fun with that. I think as well there's an issue about, one is around hierarchy and established roles, that sometimes people focus hard to have a voice, so to use metaphors like the vehicle can help people, but also for me it enables me to scope out very, very early who are the loudest voices, who are the guys that might need some encouragement, who are the people that might be struggling. Also, if there's any natural cliques, any sabotage, any stuff, so part of it, for me is around doing that early checking out and scoping

R: Some kind of assessment of what you've got in the room

CS1: Very much so, yeah, to see really how much I can step back and be the catalyst, how much I need to actively be the coach, how much I need to sometimes quieten as some people may be and push other people, but also there's also the balance around not wanting to upset dynamics as well. So, I know that I think one of the questions I did actually look at was around the times to interject, the times to deal with, not sabotage, I think the time to deal with difficulties and stuff. A couple of times I was aware of some tension, sometimes there's a need to be aware of that, naturally and for them to find their own way. I think again it's about finding that balance – when you interject, when you don't, because I think within a team there are very delicate balances and dynamics and I think the last thing you want to do is upset those until they get, until they tend to leave. So sometimes I think it's

around provide an environment where those dynamics can be challenged with kindness but also not to upset the applecart too much. I think it's that balance that, as an external facilitator it's quite hard to find its way

R: .because it was interesting that when they were doing that process-mapping, two people came late didn't they. Between the team leader and J there seemed to be great agreement all the time, but then the social worker who wasn't there was a bit more confrontative or challenging and it was interesting when that got a bit more heated. It was interesting that there wasn't a, not a challenge particularly, there was a fair amount of what could be described as collusion before the other people came in.

CS1: I think part of it as well was that we knew that there was going to be some disruption because people had got an earlier commitment even though we'd reinforced that it was protected time

#### INTERRUPTION

R: We were talking about the dynamics, there was the guy who tended to agree with [team manager] a lot and there was the other

CS1: Yeah – I think part of the difficulty we had on that morning was that we were aware that there was going to be some disruption and also we were aware I suppose of these two strong dynamics – one was a social worker and one was a nurse – which is a typical dynamic and tension anyway and it's always difficult I think when you come into a room where the team's been working on something and you may immediately feel you've not been a part of it, you may feel that you don't agree with it. It obviously gives one side of a perception, maybe a health perception, you may feel the social work perception is missing. So I think part of it was allowing it to settle a little bit. So I think part of the dynamics was around positioning. It's almost as though there was a defined group and you come into it and the dynamics change and I think it's allowing that to settle a little bit and I think it did settle and I think where there was an initial challenge a little bit I think it did settle and I think the group did then come back together again and I think they did collaborate, and I think they did value the differences where I think initially, it was a bit like a norming/forming/storming thing, it was almost like 'you know we're trying to find our position again – something's happened and maybe we've not felt a part of it, let's get back into it'

R: So did you decide to kind of let it settle as a result of the kind of assessment you did on the first day or is that kind of like a default position – at first I'll tend to let the team find their own way and then

CS1: Very much so. I feel they're adults, they're responsible, they work together every day anyway and, I guess, they've got their own dynamics for conflict

resolution and problem-solving. It's not for me to go and deal with that. Part of it is around allowing that to settle, I suppose part of it is experience recognising that when we have disruption it takes a bit of time to settle, I think there was a recognition of some of the personalities and styles and just, again, allowing those people to take responsibility. You know part of it is you do step back, allow it to settle, if it doesn't then to gently try to coach it. There was no need for that – I think it settled

R: Yes, it was quite different when we went in again

CS1: Yeah, they settled

R: Yeah, it was interesting for me to see. I think I tended to be a more 'you have to try to do something' model so it was a good lesson for me actually

CS1: But at the end of the day, these guys work with each other every day and they have far more tensions and difficulties than

R: Yeah, because I think the second day, in the opening of the second day, you used lots of words about their wisdom, that 'they know what they're doing' which would fit with this 'adult responsibility' – 'you've got your way to sort it, so sort it'

CS1: Of course, of course

R: So, I also noticed part of the style, and I didn't know if it was your natural style or purposeful in a way, lots of permission-giving, giving people permission, lots of questions like 'is it alright to take a break now?' Any comment on that? Was that how you are generally or part of

CS1: Yeah, pretty much so. Again, I think it's around this negotiation, that I am supporting people through the day, we're working together as a group and it is around, OK, checking out 'are timings OK', checking out, you know, is this a direction, is this where you want to go, I very much see that, OK, it's their day, I'm providing a framework, a structure of things that I might find helpful and useful and timely, but it might not be, you know, if they're in the middle of something it might not be the best time to take a break. So I think part of it is around this checking out stuff and making sure that, and it is ongoing refinement, isn't it, throughout the day – you've got an agenda you work through but, actually, it is around checking 'is this the right time for that' or 'do we need to' and I think part of my style is around 'OK we've come up with a loose framework to work through, but things happen, dynamics change, circumstances happen. So I naturally, I think my natural style is to make sure that people are OK, the environment's still OK, conducive, are there natural breaks OK, do we need to change that, so I am and when I do work with groups I am always checking out those kinds of things. Even when I step back from a group, I will from time to time check in. I'll respond, I feel, when I need to respond,

and that checking out is a natural thing I tend to do anyway with groups. I think assumption is a dangerous thing to do. I think rigidity is as well. So I think to stick to an agenda and say, you know, '15 minutes for having a break, 20 minutes for having lunch, 35 minutes we're finishing' I think is not a great thing to do with a group.

R: I noticed in the second day when they were feeding back on the process map, you did deviate from the written agenda, but there was no tension in the room about that – some people might have been getting a bit twitchy about, but, no, it was fine.

CS1: I normally do with groups, I do actually say that the agenda is a framework for us to work through the days and I'm sure I sort of say that actually things might deviate but we'll go and work with what comes out on the day. So I think yeah. But the issue about permission-giving and working in groups and checking out is my style naturally I think.

R: OK. I noticed also one of the things seemed to be your use of the word 'you' and your use of the word 'we'. Again, any comment on that and then I can tell you some of my impressions of it

CS1: OK

R: So is that random or is there some kind of a purpose to when you use or talk about 'you' as the group versus 'we' as the group?

CS1: I think it is around 'we're going through the journey together', you know, it's around the protected time, 'we've got the time together but there's times where you need' so for me it was around reinforcing the different roles, I felt, so 'we can discuss the structure of doing something, we can discuss maybe tools that might help you but there are times where you need to actually do it' so that's how I tried to frame some of that, that it was a journey but actually, in a subtle way, we've got a degree of responsibility. And also I think it links into the issue about ownership so it's very much around 'I'm not going to set you this task because I feel it's around.. We're on the journey together and it's better for you to find your way in this' so for me it was around some of that subtle responsibility-giving but also to reinforce 'it's our day together'. There was a little bit around boundaries, I feel. That would be my take on that.

R: That's what I picked up. I got the 'you' – is that about ownership and responsibility. There were some places also where I wondered whether you used 'we' when it was a tricky time, sort of more of a way to support when stuck or sometimes it was about 'we're on the journey but you do' there seemed to be, also some of the times when they were, particularly, I think, there was a moment when they felt, really, not quite sorry for themselves but 'everyone's out to get us' or

something, and there was a bit more of a 'we' then and I thought that sounds a bit supportive really, not 'I can see how you feel..' There was more

CS1: And it is around recognising it's their time, it's their service, their issues, but you are there to be a coach and a support as well as somebody who provides things that might help and it is around that emotional support as well. I think that's essential. Because people do feel anxious about development days; they feel tense sometimes about talking about feelings and stuff so, you know, at times I think it is around that support, reassurance, that humanity, I think, is really, really important.

R: Going on, then, there were a couple of moments when they did seem to feel quite helpless and victims of the world and have no control over anything. Could you tell me a little bit about how you approached that kind of thing, how you approached – you might not remember the minutiae of it but what's your kind of response to that position?

CS1: I think there are always going to be tensions and I think it always comes out when we do the Project Wheel because there's always one around resources or how we fit into a larger system and stuff and I think it is important to actually realise that there are things around that are out of our control and I think that's why it's really important that when we do the Project Wheel and we talk about the current reality/desired future/helps and hinders that we do recognise and are really, really honest about there are things that are out of our control, there are resourcing issues that sometimes really are quite difficult. For me, it's around allowing people to discuss and talk about those and be realistic but actually to say 'there are a lot of third sector organisations that don't have any of these kind of things but can work very creatively'. So I think there is an option to talk about those and be real – you need to – but I think it is to try to get back on track again and to be realistic and optimistic. I do feel it's around this journey throughout the day. I think part of it is around thinking creatively and, at times, they are going to default to 'but it's about money' or 'it's about resources' or 'there's lots of things we can't do' and I think that even though those things have got to be said, I think it's around trying to come back on track again. So I think we were trying to be realistic and balance it around the 'what helps' 'what hinders' so there's lots of things that. You remember we talked about 'bright ideas', things that could actually help things along, work in progress, things you can anchor onto. You know, partnerships was a big thing as well. We said that, in light of all these difficulties, there are things we could actually do. You know, 'are there other agendas we could jump on the back of?', 'can we do some of the bright ideas?', 'are there things that don't take capacity or money?' So you can actually start to talk about other opportunities and allow people to think a bit more creatively. I think it is important to have the dialogues around the difficulties and the constraints because it is around being real and it's no good producing a document that actually has no relationship to the warts and all stuff that's on the ground. So, I think again, it's that balance isn't it. Not to linger too long

on it, but also to look at what actually are opportunities in light of the difficulties. I hope we touched on some of those things. I remember us talking about partnerships, other agendas that constitute bright ideas, you know, different ways of thinking.

R: And also the stuff you then sent out, which I'll talk about in a bit, but there was certainly that one table about things to do, and how much responsibility do you have, and is it a must/should/could whatever it is, that is very, in a sense, honed down – here's the thing, bang, bang

CS1: Exactly, and that exercise where we talk about the must/should/and could and total/partial/no control does identify what are the priorities but also it's not all just about us. We talk about having no resources, we've limited capacity but actually a lot is working in partnership, it's opportunity actually not to be an isolated amoeba, sorry, isolated monolith, but actually to be more of a, to spread that a little bit more, to work with other people, so again it's a great example where you can work with the tension and the difficulties to actually think of opening the blinkers a little bit, some creative thinking and sometimes groups need that bit to move from the no capacity stuff and that's a great example to use.

R: OK. What do you think an external facilitator brings? What do you think made the difference, you being outside of the team?

CS1: I think one of the things is actually it highlights the protected time. I think if you've got somebody that's externally coming in, that's got a commitment, I think it's around you balancing other commitments as well. I think that's really important. You know, having worked within teams, I think when you're trying to do development days, there's always something that comes in the way or you get distracted if it's in the office or whatever. I think to actually formalise it, focus it, raise the priority, somebody travelling to you and you've got somebody actually giving their time, I think it balances with equitable responsibility.

R: So it's a bit like a symbol of significance

CS1: I really think so. I think it allows, and I don't mean this in a patronising way, also I think the message it gives to team members is actually we're investing in you, actually asking, paying somebody to come in. I know that they didn't pay us but it's about commissioning us to do a piece of work, and I think that sometimes is around messages that you give. Sometimes it's balanced as well by a location, so some teams may, some team managers may add to a decent location for staff as well. We didn't have a great location but it was away from work. So I think those messages. I also think an external facilitator does bring the critical friend approach where you are able to challenge established practice, you are able also to bring examples of other things from other areas and are able to just not look at one vision, one model. You know you've got that ability to bring things in too. I also

think as well, I think you can provide a different kind of environment sometimes for people. I think you can provide an environment that is different from the day-to-day running and, I think again, just different dynamics of somebody else coming in can actually open things up a little bit and open some of the thinking, so I think there's lots of different bits that add to the message.

R: OK

CS1: Is that OK?

R: Yeah, that's fine. It's me not making assumptions. I had similar ideas. In a minute I'd like to look at the wheel stuff in some detail because you did feedback in different ways at different times and I wanted to, again it might be random, my hunch is that it isn't, but I want you to talk me through some of the logic – that's really interesting; he didn't do it like that last time, what's that about? That had me really curious. The other thing I noticed, and maybe this fits in with what sounds like a very humanistic style to me from my psychology hat, is your use of non-verbals and, again, I noticed two things; one, you use it a lot with the engagement and stuff which you kind of, I would anticipate having met you before and things like that, but also I was interested in when there was kind of negativity in the room, you seemed to use your non-verbals in a more animated way. Would that be a fair description?

CS1: Yeah, I think so. I mean part of it is around probably my personality anyway is being quite expressive, but also use of humour, very much around where I might position myself closer or further away to people, actually bringing people in, use of different gestures and yeah, part of it is around my style to actually again to set the scene, I think to engage people and I think it is around trying to engage with all of those people in lots of different ways you know to get the most out of them around, again, I'm an outsider coming in, I'm a stranger so I've got to do a lot of work to make them feel comfortable with me as well, so it is around investing that time I think.

R: At the beginning of the second day when we did the Dream Team exercise and you used the word 'energising' a fair bit. Is that something you're aware of, a two day slog, that there was something

CS1: Yeah, very much so. I mean, if you remember, I may have used a comment that I don't do icebreakers but we use exercises to energise, to actually get thinking, that is relevant to what we're doing but are high energy, very involved, but fun kind of things as well. And I think, as well, we're talking about clinicians and guys that aren't used to sitting in, not a classroom environment, but sitting and working for any length of time and it's really exhausting, and I think we did a lot of stuff on the first day as well and I think you do need a bit of time to actually launch the second day instead of going straight into something else so, for me, it was

actually purposeful to, one, to re-engage, to have a bit of humour to get some energy, to get people involved and into it again before we go into the next. I'm also aware as well that sometimes to actually get people off running into the process mapping stuff can be a bit heavy as a starter so I think something light, fun and energising can get people prepared in the right sort of place to be able to do some focused work, so that was purposeful to put that in there really as a bit of a launch.

R: OK. So one of my theories, then, about what some of the change was about, was that there's a cocktail really of the relationship stuff, and the structures that you give them to work within. Would that make sense?

CS1: Yeah, and I think also, for me, as well as the environment and the tools and techniques, the issue about the product and the advantages really early. So within the first day where we talked about the Wheel, I think I shared some different examples but also, I think, shared examples around how things could move from where it is now to where it could be. We talked about opportunities for development and I think it's around trying to highlight some of those as well as advantages. So part of it's like early wins, bright ideas, how things could change, how things could be different. That's a thread that's throughout the first day by doing the Wheel as well. I think as well, I think one of the great things from their first day was the use of narrative, is allowing people to describe their current reality, their desired future so people have got a really clear direction of where they're at, where they want to go, and, again, I think it reinforces the metaphor of this journey. That everybody's on it, going in a direction, we recognise what's right there, we've got an idea of where we want to go and around how we get there, so I think it is around developing that journey perspective for people as well I think that is around moving people on.

R: Tell me a bit about use of metaphor, again so I'm not making assumptions. Is that something you use a lot in the work, how do you think that helps?

CS1: I think it helps engage people. I think it can be humorous, you know the example of the form of transport, and that, with varying groups can, one, engage people in the debate, so you get the creative artistic people, start a bit of fun, but I think it's a gentle way to allow people to actually express themselves. So that's where I use it quite a lot so the analogies around the journey, going on things together, moving towards a direction, that sort of stuff. So I tend to use different analogies, different metaphors, at different stages, but it is more around engagement, involvement, looking at the direction, breaking things down into stuff that makes sense.

R: OK. Can I just have a look at two elements. This was the notes on the Wheel exercise and what I had with this is that I was interested in the different ways you got the feedback. So, here we go 'there's different feedback/discussion methods for different 4 and 3 scores – sometimes you got an account of the higher score

when that was the minority position, but sometimes you went for group discussion. If the minority was higher you seemed to get that account; when the group was higher and the minority was lower you went for the whole group one.' So I didn't know whether it was about punctuating the higher score or whether there was something about supporting people with lone voices or a bit of both

CS1: OK. What I tend to do with the voting is, obviously straight away when you're asking people to vote 5,4,3,2,1, you immediately get an idea of what the range is. I mean, if the range is really small and high, so it's 3s and 4s, then you don't invest a great deal of time in that, it's about refining that area. If it's a broad range of views, obviously it's around trying to allow people to air those differences and to try to gain a consensus. If the spread's wider you obviously need to invest a bit more time on that. Where there's, maybe, lots of clusters I wouldn't maybe invest a lot more time in that. It's different each time, I suppose is the answer. I haven't got a set way to feedback. Again, I'll go by the scores and the dynamics in the room. I suppose I'll make a call then on how much investment to do in each area and, I suppose, to recognise if there are tensions then. If there are really broad issues and tensions, then I'll obviously try to invest more time in that to actually work it through because that, doing the Wheel and the scores is around allowing people to air their differences but to come away from that section with a consensus. It's almost like an agreement 'this is the current reality' before we do any more work because I think if you don't do that I think you lose people along the way because people will disengage or disagree

R: they've got an exit opportunity

CS1: So I may use different styles to try to do that but the overall outcome is to try to gain a consensus for each of the segments, that people agree roughly where it is. You're always going to have some difference, as long as it's not too far then there's not a risk of losing people. So it's a great exercise to be able to get real clarity on what we mean by that segment but also a great opportunity to see different people's experiences of what that segment means. So have people done a lot of work, a little bit of work, does it mean a lot, does it mean very little. So it may be that people don't really disagree with the score but actually have very different experiences of what it means to them. So it's about clarifying the perception of that as well and sometimes it means different things to different people. It's a great exercise, I think, in a non-threatening way to enable people to have a voice because the great thing as well when we do that exercise is to say there aren't any right or wrong answers, it is individuals' own opinion

R: Because you said that when someone looked a bit uncomfortable with their score being usually better than others – I think you've identified all the way through that the default position is to be a bit more critical of ourselves – that you would reassure them about 'it's their opinion', it's OK

CS1: Of course, of course, there are no right or wrongs. And I think again that I may have gone back to sort of saying and sort of reinforcing the fact that we started off with blank pieces of paper, we identified what's important for us and, again, this is about us, you know, really being clear around what it means to us at the time before we move on, we try to deal with that.

R: Do you like to try to produce 5s out of that exercise?

CS1: That's not really the idea for me. It's around... I think, the experience I've had with groups is actually they are, they find it more easy to be self-critical than to be self-praising. So I find that most of the teams and the groups actually use the exercise to be self-critical. So, I do, actually, very, very humorously, but for a reason, really make a big thing of the 4s and the 5s and I do actually reinforce it. Actually, it is about celebrating and what we do as well but I tend to find that people are hard, quite hard on themselves a lot of the time. So it's trying to reinforce this balance.

R: This might seem a ridiculous question to ask, what difference do you think it makes if people feel proud about the work they've done?

CS1: I think it's essential because it is around the reasons you come to work. I feel that, especially within health and social care, that people have got incredibly strong value bases – it's the reason they come to work. Not around the monetary rewards. And I think very rarely do we have the chance to have the positive strokes, never mind actually give them to ourselves, an opportunity like that to be honest about saying 'actually, we do that really, really well', I think within health and social care is really rare. But I think we need, really need those strokes – I think it's essential. I think it's important. I think it allows us to continue to sustain what we do because it's hard work. But also I think it allows us to actually think 'OK that's going well - I can, one, either expand it and do other things and continue to develop, or actually to think of other ways of being creative'. I think we don't do it enough in health and social care.

R: If I've got this right, these are the two of the things you sent back to the team

CS1: these are from day 2. There's also the day 1 products which were the Wheel, the current reality desired future

R: What I was interested in, what occurred to me with this were the themes around 'relationship' and around 'product'. Do the things you send represent 'products'? There's not a lot of the relationship, 'you've done well' in the day 2 things you sent out. Is that the same for the day 1 things you sent out too?

CS1: It very much depends on the group and the team. There are teams which I've been asked to go into and do a particular piece of work where there are identified

tensions. Within those groups I'll do a report and, within that, I will give facilitator's comments and feedback where I feel that there needs to be some definite positive strokes, there needs to be suggestions, there needs to be a degree of, and I'll show you in a moment, a degree of reinforcement for something. Within this group there was a really clear scope around the two pieces of work. I think the feeling was that on the day we did a lot of reassurance reinforcement of that stuff. I didn't feel there was a need to do anything else as a follow-up to reinforce that. I think the reinforcement itself within this group was the products they produced

R: Yeah. This column I think is particularly important – how much control they have

CS1: And I think this document here, the process map one, is a really comprehensive document which, within that, they produced their pathway or journey for their service which wasn't an easy task to do. And they've also put what are the real issues, what are the bright ideas, what are the opportunities for better information intervention, what are the opportunities for transition. That in itself is a great product for that day for the team to be really, really proud of. But also, within that, the next steps and actions are really clear around what do we need to do, what are the opportunities, how much of a priority, how much control. We've identified what it is, we've identified how important and if it's must do and total control we should be getting on with it.

R: There's no reason not to is there

CS1: So, again, as documents themselves, products are produced to be proud of, I think is enough at times but within other teams, you know, sometimes when you've got a particular remit to go in, you need to produce products but also you need to produce real feedback that can help. I feel at times, as well, that it's really important to give an outsider's feedback – some just need to be subtle comments, things that people can actually appreciate.

[CS1 SHOWING ME PRODUCTS FROM DIFFERENT OD EVENTS]

On this day, this was a development day I did with a [specialist mental health] service so, again, it's about positive strokes for them, so really positive atmosphere throughout the day – it says 'as walked through the door, very welcoming team..supportive throughout the day..feeling of genuine respect for each other...shared team ethos clearly evident and strong value base...inclusive ownership for the team..' So it was really important to give that kind of feedback in that way now. So at times I'll do that when I feel it's needed but also to anchor into things that they feel are really important for them as well, reinforce that. So you can see at times that does happen.

R: So the product depends on the remit really.

CS1; Absolutely but also, as a facilitator, if I've felt, all the products from the [town] day, that there were things I needed to say, then I would.

R: OK. Is there anything else that you think that I need to take on board, anything else that comes to mind about how you worked on the [town] days?

CS1: I think two things for me. I think one is that I always meet with the groups beforehand, if I can, the teams beforehand. I met the team just to talk about the days, share some of the or dispel some of the worries they might have. So I try to meet with them first, one to meet me and to try to do some very early engagement, and two, to let them know what they are letting themselves in for. The second bit, I really try to plan the agenda with the team manager as well and you'll notice that this one was different to what I normally do. So I normally do a first day where they do a lot of work about styles, but the manager didn't want to do that because he was getting extra people later so wanted to do that later, so we'll flexibly move things around in negotiation with the manager. He felt process map was important so we did that. But also following the day as well, it's around catching up with him which we've done by telephone, so it's very much around that follow-up as well and we did talk about meeting up again in 6 months time to see how things have gone and that follow-up is important as well. So for people investing the time, 'OK, we do need to do things because this guy's going to be coming soon so we'll get on' and it's an incentive

R: So what checking in with [team manager] has there been since?

CS1: I've had a couple of phone-calls with [team manager] and things are going well, they found the process-mapping really helpful, they've used it to help negotiate with some stakeholders and partners around the pathway, they felt just the protected time has helped refine their information processes as well. The great thing is as well when they've got new members of staff coming into the team, they've got a really good process which they can use as a framework to, one, help with induction, but other, to really help, again, for people to feel they can add to something. So that, if they've got, maybe, a new social worker, they can say, 'OK where would you see we could add some refinements'. I think a great vehicle for different bits and pieces

R: Did you decide to phone [team manager] or did he contact you?

CS1: I always within a few days after or a week, I check out did it do what you wanted it to do, how have things been, have people taken things on board, plans and then I normally follow up in a few weeks time just to see how things have carried on and then I normally back off then

R: So is the 6 month thing still going to happen in [town]?

M: I'll probably follow up with [team manager] within the next couple of months to see how things have gone.. and then part of that follow-up as well would have been are there any extra days that the team need from that day

A: So there's a 6 month follow-up but a few days afterwards there's contact about did it do the job, a few weeks after that

CS1: I think what the prompt was was that I did the write-up for them. It was just to check it was legible, so I normally make contact after that saying, one, have you got it, does it make sense, is it an accurate capture, around sharing it to say is it accurate, are people OK with it, and then just checking out next steps

R: And that, I suppose, contributes to the sustainability

CS1: Absolutely yeah

R: Someone's checking that things haven't fallen off the list, especially the total control ones.

CS1: Yeah

R: OK. I don't have any further questions.

## APPENDIX 2: CASE STUDY 2 RESEARCH DATA

### i. PRE-INTERVIEW TRANSCRIPT

R: So if we start with 'what do you think OD is for?' and what are the interventions about?

CS2: Developing an organisation means, to me, if I see the organisation as the client, it's whether the organisation, the client, is better able to do what's required of it. And those will be, its requirements will be determined by external factors such as its market, its contracts and, also, what it needs to do internally in order to meet those. So organisational development is change in the organisation to bring that about. And that's very much it in a nutshell – it could range from all sorts of things from financial improvements to staff morale to better use of intelligence to setting up a new service all together. Interventions, I was thinking about this as I was driving over, I don't have a theoretical set of interventions as a clinician would, but I've probably got some mental models.

Interruption

R: You were talking about interventions...

CS2: I don't actually settle too well, the word 'interventions' doesn't really fit in my vocabulary too well. I'm not quite sure.. I think the concept that 'interventions' alludes to is when you do something into or unto another, and what I do doesn't feel like that, it feels what I do is with people and what I try and get them to do. So it doesn't feel that I'm intervening, as more some form of collaboration that is people-oriented, because it's people you work with, but based on a rational approach, some evidence, with the intentions of getting whatever the client or organisation needs, I stress 'need' as opposed to 'want', I'm going to have to come back to that Q.

R: OK we probably will. But there's something about 'needs' versus 'wants'. I think and something about collaboration

CS2: Yeah

R: OK. What particular aspects are most important to you, do you think, when you go out and you get given a project to work?

CS2: To work directly with the client or clients – working with an intermediary is inefficient and it does put the quality of the project and the outcomes at risk, in my experience. To be able to move the work I do flexibly enough to go with wherever the problem whatever the problems being solved requires. So the outcome will probably not change once it's clarified, I stress once it's clarified, but the means to achieve it there would be flexibility. So, for example, if that's in one Trust in helping them develop a Crisis Resolution Home Treatment Team actually required that we improved, the analysis showed that we needed to improve, the capacity in the Assertive Outreach Team, the 6 Community Mental Health Teams in order for the team, who they had as their object, to become a Crisis Resolution Home Treatment Team. That might sound a bit long-winded but it is actually an example of, working within a system, how to achieve the outcome, required the flexibility of working with quite different teams in order to achieve what the client wanted. So that flexibility is really important and that's why the direct contact with the client is crucial so that you can have that intelligent discussion, find out what's going on in the organisation, to keep a steer on the project and keep some accountability so that people know why you might be needing to work on some other issue to achieve the same aim for them. Also risks. I always make a point that if I identify any risk or potential risk, hazard that is, to either service users or their organisation or their staff, I always let the client know without hesitation.

R: OK. like what's your responsibility and what's the client's responsibility.

CS2: Ah right. My responsibility is to think and then act in a way that helps them achieve what's needed. Also, my responsibilities include explaining what I do so the communications are clear, and being accountable for both the consequences of what I do, but also the resources that I use. Not only might there be a direct cost when I'm working privately, but actually the time of the client that it takes up when they've got somebody else working with them. Responsibility of the client is to be as open as they can about all the information that's needed and to provide the executive authority that's needed within their organisation to implement whatever changes. They've got to have somebody in charge who says 'this is what needs to be done if we're going to achieve this'. I find, perhaps to come back to the earlier question around interventions, I find the notion of power bases useful. I see four power bases essentially: One is people, where you can be a charismatic person or a bully, and neither of those last very long. Once one of those characters leaves the room, people are usually left high and dry and don't know what to do next. The other one is money – you can have a lot of money and still spend it wrongly. Another one is executive authority where you can be in charge of a heck of a lot of people, but still get things wrong. But the most powerful base is intelligence which includes information and understanding. That is the trump card. So, whenever I'm doing any developmental work, the only power base I ever have is the intelligence one, and I'm comfortable with that, but it means that I need the client to use the other three power bases at least. They can still use intelligence, of course, but they need to make sure the resources are right, that they keep the personal

relationships going and they exercise the executive authority to put into practice what we've agreed.

R: That's an interesting way to look at it. OK. Now, what kind of ideas and techniques do you like to use?

CS2: Mind maps, mind-mapping people understand. I quite like doing it in reverse as well. So if you were effectively to draw a mind-map backwards, if you were to put down concepts and ideas, unconnected, onto a large piece of paper and to see how they group naturally, and I find that very useful when I'm listening to a client and they're explaining things that at first seem disparate and sometimes might even still seem disparate and unconnected to them, but actually you can start to make the connections, some of which in some cases the client wouldn't have made until presented to them. So you might call that reverse mind-mapping. The 'test to destruction' and the 'no unacceptable risks', that's always useful. You can never make anything 100% infallible, obviously, but it makes sense to, if you're proposing a service model idea, a project plan or whatever, to test it to destruction in order to find out where the risks are, or the pressure points within a project or model, in terms of if something fails what effect will it have on the rest of the organisational development that's being proposed or the organisation itself, and how likely is that failure, and once you keep testing, the risk becomes acceptable and the probability of the consequences of it are low enough to be either tolerated or managed. So that's often looking at putting risk management plans, effectively, into practice. These might be called management plans but when you do it from the point of risk assessment, your actions are risk management actions. Getting the permission of the client, to be directive when needed – usually if you ask people, if you ask the question, 'can I ask you a question?' they rarely say no, and if you ask people's permission to go on, they don't usually say no straight off. So that's useful because it means there's a kind of a permitted way of using a directive approach and I take the view that people do like to know what's expected of them - it's actually less stressful. And when organisations are going through change there's enough stress anyway. If you've got the clarity and confidence to tell them what needs to be done, it's usually helpful for people, but it's just helpful to get permission to do that in the first hand. Something that's made quite an impression on me in terms of team-working and communications was working part-time in the Fire Service for four years where there were situations where you're able to do drill or carry out a piece of work with a person you'd never ever met before and because you both knew what you were doing and you both worked in a common way and were directive with each other when you needed to, the job was usually really well done. And that's quite the opposite of most of the mental health services.

R: And yet, when you think about it, I suppose, the logic doesn't hold up. In the Fire Service you're doing stuff under pressure and yet in the mental health service you'd think the pressure isn't quite so bad so if you had these rules, I suppose, or shared ways of being that were ingrained, it would tick along quite nicely.

CS2: Obviously there are still accidents. Last couple of years in [REDACTED] e, but compared to the number of situations, they are really, really rare. Whatever the statistics would be, they're a really small number. It's just the consequences of them are dire and that's why the risk, when you understand risk in terms of consequence and likelihood, then it's the high consequence that drives to make the likelihood lower and lower. And that does work. And having the direct approach where you haven't got time to be indirect in your communications so, in that situation there's an implicit permission to use direct communication, and bringing that back to the OD situation, that's why I think it's useful to get the permission or the ground rules with the client or whoever you're working with to get that as an acceptable norm and then you can be directive, or certainly direct in communications with each other, and two parts of that are really important. Emphasising the 'this is what we will do to help you to achieve it' because otherwise there's a risk that you can give people an unachievable task or induce a load of stress which is counterproductive. So it's always useful to do the thinking beforehand, before you have that discussion with people, to get some clarity on what's needed, but also how to achieve it, so you can pretty quickly back up your statement, 'this is what we need to do and this is how I think we need to do it'. But keep it conversational because they'll certainly know things you don't so keep it open. And principles, there are underlying principles. Last week I was at a meeting where there was a new member joined the group and we were explaining a fairly new way of commissioning, or understanding some commissioning issues, and the new person, I think just through experience at work, wasn't convinced that what we were trying to do would succeed. And I said 'that doesn't matter. It is important, but if we know what's right, it's important that we do what we know is right, because then if it fails we know at least we've tried.' But my experience in those situations, is that things never fail to zero because once you've proposed the right thing to do, if people don't accept that proposal or if people go ahead with it and it doesn't work, it doesn't fall back to zero. People always remember or will always know that somebody said this is what we should be doing. So it always has an effect, although it might not be the ultimate effect that you want. So, also, your conscience is clearer if you know that you're doing the right thing and why you think it's right.

R: Where do you get the right thing from?

CS2: Bit of a basic equation. You can either put into the bank account of humanity, for want of a better way of putting it, or you can withdraw or you can do both. And, as a whole, as a society, our withdrawals can't exceed our payments into it. So the right thing to do is to make sure that balance, that there's always enough of a float of humanity to provide for people who, at any point in their life, can't, who at any point in their life need to make a withdrawal, i.e. need some help from other people. You should never do something that's knowingly harmful to somebody or against their wishes, unless you've got a very solid reason that it's in that person's interests. So this makes sense to clinicians directly through things like the Mental

Health Act and Codes of Conduct but working with an organisation it's actually no different because you're still working with people who work with people. There are other principles that it's, I think it's right to be cost-effective because it's public money that we use. Somebody has to go out and earn the money that's used to pay for public services. So we shouldn't be knowingly wasteful of it. Those are the kind of most general principles. Other people will have other beliefs, but just by experience, those kind of principles make sense to everyone I've worked with so far.

R: OK. So there was some of the stuff that you've used and adapted; the mind-map stuff, the 'push it to destruction' stuff, you've got some underlying principles. How did you come across those? Was it just something you picked up over the years or ..

CS2: My training, my Masters is in sculpture and fine art, which is a spatial way of thinking. So seeing things visually and spatially is fairly natural to me. And, within that way of thinking is to see relationships between different entities. And I definitely have a visual-cum-spatial mode of thinking in my own head – it sometimes feel like English is a second language – but that's where mind-mapping for example, where it looks at the relationships between different components or in 'testing things to destruction' is actually going through a process or a set of processes to actually find the key stages, and any key stages in a process have a relationship with the rest of the process, so again that's a spatial kind of thing, so it tends to come from that spatial approach which probably found its purist form in sculpture rather than organisational development. But what I've also found has been helpful is data-base design and some computer programming. I started to do that in order to be able to produce some replicable applications so that all the thinking I've used, I can actually give it some tangible or communicable form. But there's also, in programming there's a logic that applies which helps keep the rational thinking disciplined and in database design there is a set of multidimensional relationships you can make between things, so it's a bit like mind-mapping in that the tables in a database are the entities and how you connect them can actually be given some logical rigour and it does bear out when those kind of data structures (and it's not all just numbers) are used to replicate an analytical process. I don't think I'm, ..I'm highly analytical but I don't think I'm totally analytical. I will throw random things in just to see what effect they have, just to allow new things to happen but those disciplines are helpful to keep the rational, analytic and logic skills sharpened I think.

R: OK. When you take on a project, do you have any particular stages you go through, like 'first I'm going to focus on this, and then I move on to this and ..'?

CS2: First I ask questions that, potentially the client can see as discouraging. I usually ask three questions: what observable change do you want to see in 3/6/12 months time?, Why do you need me to do it – why can't you do this yourself? And

what are the external expectations, pressures or requirements on what it is that needs to be changed? So the first phase in terms of discussions with the client is usually around those three questions and I'll do that within an agreement of no obligation, so if the client finds those three questions helpful and says 'thank you I realise I don't need any help, I can do this myself', then actually it saves us both a lot of hassle. It also tests out how committed the client is to the project because you get high-cost clients who don't actually want to be involved in change in their own organisation and usually therefore it doesn't work, so a lot of effort goes into that project but very little outcome, I find. That's the first phase. The second phase is the 'doing' which is the longest phase. And the third phase, which isn't always sequential, is monitoring and understanding what you've done. It's not clearly a third phase because often it's very interwoven into the second one where you might, in very small, very frequent feedback cycles, check out what you're doing constantly. And what you're doing is looking overall is that achieving the outcome. Evaluations, when I've done those, have usually been getting feedback on how I've performed in the project, but also the period after, maybe 3 months, 6 months, to actually see what effect that has had and whether or not it's actually sustained. I've found that large, I don't know if it's due to the size actually, but very often NHS organisations seem to have a 6 to 12 month implementation time – it's quite long. And they have quite a lengthy lead-in time to a project – the amount of time between them expressing a desire or need to make a change and actually agreeing to an action plan has, in my experience, been up to 18 months. I actually think the huge lead-in time is, I've no theoretical, no view other than based on experience, where it's been one person trying to lead a grand scale of change or it's been too democratic an approach in order to get the authority to change within an organisation or lack of commitment.

R: How do you think your interventions or techniques actually produce change?

CS2: They change the way people think and to get them to apply that thinking to what they do. There's no point in thinking with no action, action without thinking. You want the two together. I use a 'call to action' statement. For example; 'what are you going to do now, that is a demonstration of what we've just talked about?'. I help people think. I give them or help them find ways of thinking. For some people it's very analytical, most use analogies or stories. Most are NOT abstract thinkers. No-one is purely abstract so I find analogies they can use as vocabulary and also apply them to the situation.

R: Are there any techniques for ..

CS2: I find them through listening, what do people talk about. People come up with their own analogies. In a meeting about service standards – standards and outcomes – I used an analogy of a jumbo jet. You 'want a good outcome'. Boeing has assembled jumbo jets for a long time. They need to assemble the parts in a good way or there won't be a good outcome. It's a falsehood that systems and

outcomes are not related. There's no point, we've been working for 10 years since the NSF came out, there's no point putting all the work around service models aside completely. To have no structure to achieve outcomes is wrong. People can feel comfortable with something structure-less in the very short term because they are easy situations (no structure, nothing to challenge, nothing to do something with) but there's still a requirement to provide a service or outcome. It becomes more stressful to provide outcomes with no structures. Use 'systems' and outcomes interchangeably.

It's not easy to put into words – it's NOT because it's intuitive because that seems too unconscious, but it actually seems very eclectic and variable. To use a computer programming analogy, it is not sequential programming or a process, it's more like an object-oriented programme. You have certain things to do certain tasks and those can be used in any sequence required to do the task. – 'object-oriented programming'. A computer programmer would call that an eclectic approach – make sure the techniques and tools work and then use whichever ones are appropriate for the task at hand.

R: So, what for you is successful? What is a success?

N: Success from my point of view is when I've achieved what I want to achieve and, from the client's view, when they've achieved what they wanted to achieve. Collaboration is important because it works well when both are the same.

R: And what is your position on sustainability and how to achieve it?

CS2: Nothing sustains forever. Things are dependent on things around them to give them identity, context, purpose and support or resources. The requirements of the organisation, in detail at least, change quite frequently. Also, the average length of a job, in my experience, is two years and we're looking at people-based systems. The changes in people bring about changes in the organisation and its developments therefore no change is ever the final one or will ever be completely sustaining or enduring. No development or change should ever be treated as if it's the last one – that's an error. People say 'we've done this before... why couldn't we fix to last time?...'

R: How did you come into the role of OD practitioner?

CS2: 20 years ago I left art college and set up as a self-employed sculptor. I had to diversify to make a living so I set up a training agency to help teachers teach art. I also set up a network of 45 visual artists ([region] Visual Arts Network) before the internet. It grew through word of mouth and networks. The purpose was to bring together a group of people with a common interest but to create a kind of economy or market. I went on to run an Arts Festival for a couple of years. I enjoyed having a job where I could take my own initiatives and there was no limit on how much initiative I could use. There was a meritocracy in it that was rewarding. The

harder I worked, the more I invest, the more returns I'd get re satisfaction, money. I returned to the NHS in 1983. I probably interviewed confidently. I decided to manage my career. I did a management training course. It was useful as an initial set of toolkits but I learned on the job by working at a new level of accountability and challenge. New things like commissioning new services (that is, services that didn't exist before in [town]). I then went into teaching at the University of [town]. I was frustrated by academia. Performance indicated by publications and papers regardless of their subject or who reads them – it was an artificial performance indicator. But I had good scope to use my initiative and did a lot of work on behalf of the university around service analysis and service developments. I moved on to manage a learning, education and development centre ([region] Partnerships – a precursor to [regional NHS development agency]). That was an important personal point. My career has been high-risk. It tends to be at most 3 year fixed term contracts and secondments and at the worst point in the NHS. Necessity required 'self-help is the best help' so I set up a business in 2003 and I run that alongside my NHS employment. The challenge and exposure of situations is more educational than any training I've attended. The NHS is not a meritocracy. You're not paid more or given more opportunities based on your ability- or it is very rare that you are. I have no career plan that lasts more than 2 years. I only know what I don't want to do. That's enough for me – it works. Now I'm on secondment to the [regional NHS organisation]

R: That is the end of my questions. Do you have any other points you'd like to make?

CS2: Everyone's first reaction to a situation is emotional. If emotions continue then the work is not going to be enduring because the situation changes. If you move on to something more rational you can get something more sustainable. If it's built on an emotional response, it won't sustain. 'Touchy-feely' doesn't get beyond the emotional stage. Where I'm not comfortable as an individual is in some of the people skills in terms of the 'touchy-feely' skills. I'm also not interested in it. I don't feel any motivation to develop those skills. The systems part of the process is more enduring. They work together to build personal trust. So if you set up systems to have assurance in the system, you have systems-based trust. The people part is it's people who do it, but if you only work with the people and no systems, you get chaos. If you only work with the systems and no people, nothing will be implemented.

## ii. EVENT AGENDA

- Introduction of CS2 and co-presenters to participants and vice versa
- Overview of 18 week wait issues experienced by acute physical health services (co-presenter)
- Analysis of the key requirements of the 18-week wait for mental health services (PowerPoint presentation given by CS2; ‘Delivering the 18 week patient pathway in mental health services’)
- Participants’ discussion of issues and solutions in operationalising the 18 week wait requirement and
- What participants felt they needed to achieve this.

### iii.ETHNOGRAPHIC OBSERVATIONS

18 week wait [NHS regional organisation] commissioned event at [organisation's] premises in [town]. In 'Board Room', large room laid out with 8 square tables of 6 chairs.

Podium for laptop/powerpoint, screen on wall.

CS2 getting his powerpoint ready at podium.

Greeting people as they arrive, but not by name. Liaising with fellow facilitator, [commissioner 1], re attendees list

CS2 directs people to 'fill up from the front'

People get own drinks from Klix machine in corridor just outside the room.

CS2 is on laptop whilst attendees chat amongst themselves. Some have arrived together and so know one another, others have come alone.

Discussion between three facilitators (including [Commissioner 2] who is also commissioner of CS2's work) regarding the mailing list for event.

Powerpoint 'Delivering the 18 week Patient Pathway in Mental Health services'. Other facilitators have not seen it before.

First slide is the agenda for day.

Invitations were sent to service commissioners and providers of mental health and learning disabilities services in [NHS region].

CS2 concerned that it might be mainly a service commissioner audience but it's service providers who will have to make the concrete changes. Service commissioners might want to use performance indicators but many of the systems are specific to provider organisations.

CS2 is unclear about how [NHS regional organisation] can (is willing to) help – what support can they offer to whom – dilemma for CS2 as this is unclear and the commissioners of the event are from this organisation.

CS2 and [commissioner 2] want to give as much as possible but this has not been clarified by headquarters.

CS2 liaises or checks out with other two facilitators/event commissioners [commissioners 1 and 2] the aims, content and process of the event: 'operationalising 18 weeks', 'getting buy-in', 'how to engage stakeholders who are not here', 'use mental health service commissioners' meetings'

CS2: 'Do we not need dialogue between service commissioners and providers?'

'Might need to re-run event'

'Might need further bigger workshop'

'We're there..'

CS2: '..... need to get colleagues together and working on it' (doesn't specify we/you)

[Commissioner 2]: Limited resources – “important to get message of ‘you need to take it forward’ – seems struggle between CS2 and [commissioner 2] about next steps and relationship between [NHS regional organisation] and local Trusts and commissioners - issue of how to get change, place of responsibility.

[Commissioner 2]: Don’t want to tell them ‘[CS2] will come round to your organisations... Support them through the workshops’

18 attendees

CS2: Welcome to [name of venue] – housekeeping, toilets (heckly jokes from [Commissioners 1 and 2] from the side)

CS2 stands in front of podium

‘My names [CS2]...’

Round of introductions – names and job titles and organisations

Jokes about length of job titles

(many information managers and analysts present)

Final introductions are of [NHS regional organisation] co-facilitators: one identified as 18 weeks focus and other previous experience in Learning Disabilities.

‘Aim to finish at 12 with coffee break in the middle’ – vague, no specific timings on agenda

‘[I] want to keep it discursive...’

‘action plans’

‘refresh on 18 week rules’

‘presentation notes where looked at mental health services...referral through to treatment and some of the issues 18 week raises in relation to mental health services’

‘...discussion points’

‘at this meeting get action points agreed’

‘chance for some thinking this morning’

CS2 introduces [Commissioner 1] to present on 18 weeks – no slides as she assumed that everyone will have heard her presentation before (this didn’t seem to be the case) – agreed to send slides to CS2 for distribution.

‘Your services..’ [Commissioner 1] – references to targets, operating frameworks, expectations

CS2 stands at side of room

[Commissioner 1] asked for indication of how many service commissioners in the audience

Discussion on legal aspects of 18 weeks between all – questions and comments from participants and answered by facilitators – participants address questions to [Commissioner 1] in one-to-one mode

CS2 nods when supporting [Commissioner 1]’s points

[Commissioner 1]: ‘It’s all gone quiet – over to you CS2’

'at 18 weeks create legislation risk' – 18 weeks = 'breach of policy' or legislation risk – not a target – want to get fastest treatment (differentiates targets, risks, ethics)

Asks colleagues to close blinds so can see PowerPoint – will send out PowerPoint and links

CS2 stands to one side whilst presenting, sideways to group and sideways to screen.

'Stuff I've read to see....comes from ...website' – informal; (I'm not expert, here's link for you to see for yourself style)

Collaborative, participatory presenting style

[Commissioner 1] throws in comment from side of room: 'guidelines, not definitive rules'

CS2 highlights cultural differences – 'written from acute, not mental health or learning disabilities'

'What I'll try to do ..... show how rules fit with real world of mental health or learning disability'

'I'll show you which fits with policy and which I think.....so you don't come unstuck – CS2 working FOR the audience, positioning self as not expert per se but as pragmatist/translator

Format: CS2 gives formal statement from policy, highlights real world implications – translates into real world terms.

CS2 takes questions as he goes along – 'yes, ask questions, let's keep this discursive'

Questions on seeking clarification – other facilitators/event commissioners also respond to questions, especially [commissioner 1].

CS2 stands at side, listens to facilitators/event commissioners' responses – nods and agrees.

Reflection – 'this already shows..'

'I want to avoid telling you something that will risk you putting yourselves in breach...'

Seeks feedback from audience for key examples eg 'self-referral; anyone got any examples?'

Translates NHS language (eg 18 weeks) into real terms (means 88 working days) [commissioner 1]: 'that's a lot of days'

CS2: 'yeah, a lot of days'

CS2: 'I started to draw a process map but it would have been huge'

CS2: 'different places do stages in different order' – highlight with examples; 'one service will...., another service ....'

'Not universal way of doing this'...'same stage but sequencing differs', 'need to be able to capture...'

Structure of presentation points:

NHS statement, translate into real world terms, give example, raise real world issue/dilemma that will need addressing.

'and this is where things start to get risky for the organisation...'

'The 'clock stop' that I would recommend from my interpretation of the rules...'

Says hello to latecomer as they come in

Moves around to illustrate patient moving from assessment interview to treatment interview

Repeats; 'I am interpreting it this way so I'm not encouraging you to do anything that puts your organisation at risk' 'Is that OK?'

'Good question.....'

'This isn't the recommendation; this is my interpretation'

'Have to be clear on what's recommendation and what's 'best opinion' here...'

[Commissioner 1]: Can I come in here...need to consider these issues pathway by pathway..'

This intervention cuts down detailed discussions and highlights recommended decision-making process.

CS2 writes points on flipchart at front whilst [commissioner 1] keeps talking with questioner – writes issues that aren't clear ('clarify clock-stop for information/signposting events')

[Commissioner 2] joins in supporting [Commissioner 1]'s advice – 'moving towards a consensus'

CS2 cuts back in: 'some of the things for you to think through..'

'As [service] commissioners, you need to decide...'

CS2 pulls out example of 'not a clock-stop' from participants previous question – moves question on – summarises issues from examples: 'what you need to do is...' 'What we've raised here is questions...'

'I think what's important here is....'

Highlights where participants need to make specific decisions

CS2: 'lot of this is about how you....'

Other questions taken

When introduce clear rules... .reporting should be on a monthly basis'

'Analysts will need to capture all of the events..'

'You need to capture ... as minimum. Additional events to capture are...'

'Coming back to your point[participant]..'

(takes question/point, broadens it to key principles and specific actions, gives back to participant)

Addresses answer to questioner, moves to group, back to individual

Whilst other facilitators /event commissioners discussing with participant, CS2 stands back, looks at next part of presentation

'That's one of the next steps; that's what we're working out here'

Participant raises underlying political issue, CS2 supports/reinforces non-verbally, nodding etc

'I agree with that up to a point, but I don't want you to build in risk'

'Not what clinician feels, but what clinician decides'

'Whilst it is not in the guidance, intelligently you can.....'

CS2 contextualises the initiative – 'should be in care plan', 'just one section of quality data' etc – puts this initiative in context of other organisational systems eg Care Programme Approach.

'The bit I'm conscious of ...having designed services for years, (credibility of position)... is not to design risk into your systems. I know this sounds mechanistic but need default position that doesn't encourage breach of 18 weeks. So flexibility is fine, but not a default position that induces risk'

'Let's test your scenario...'

'Use this system to highlight bottlenecks...How can people use this to move these things on?'

'That's why I think the 'intelligent' approach is... what kind of data do we need... how we link this to other systems'

'You will come up with local issues, but to get there you'll need to understand what needs to be managed..'

'I'll read this slide in case you can't see it from the back'

Gave individual patient story to highlight real effect of points

'Take a pause – what I'd like to do ... want to use this as an opportunity to think about working across service commissioner/provider. Do we want to get information from mixed groups? Take a break for 10 minutes. I'll then show slide of provider suggestions and then come back... '

CS2 had 1:1 conversations with participants in the break at their invitation

'I'll give you thinking time re next steps ... we know there's some actions to be taken..'

(seems to seek permission but doesn't leave time to receive it or not – carries on regardless)

(Emphasises risk throughout presentation – language of ‘risk’, ‘breach’, ‘mechanisms’, ‘systems’ – designing out variances/feelings – very cognitive mechanism metaphor).

Whilst facilitator/event commissioner picks up question, CS2 prepares next steps – eg counts number of participants for next exercise

‘This sounds like stating the obvious...’ – acknowledging expertise in room where point already been made earlier in session.

Phrases – ‘asking for ‘evidence-based management’ – asking for ‘management information’ – CS2 re-badges or themes or categorises statements within particular metaphor of risk/decision-making/rationality

Points on front flipchart (issues park?):

‘can [regional NHS organisation] inform all service providers of actual and probable statutory requirements’, ‘interrogation of rules’, ‘examine exceptions to 18 weeks’

CS2 allows discussion to ensue between participants – reinforces key points ‘yeah, that’s right to do’ – reinforces factual and logical information rather than process of speaking up

‘Are people familiar with process-mapping?’ – group says yes but CS2 still gives 10 second overview.

Develops it to show how to use process-mapping with data processes – how to make process-mapping useful

‘What I’d like to do is have 30 minutes discussion’ – 4 groups- asked service commissioners to identify themselves so he could distribute them around groups (1 per group minimum)

‘Bound to use local experience...want you to think about what needs to happen next..’ – identifies participants who’ve shared examples to illustrate kind of information they could share (links back to individuals and to previous material)

‘Need a list of general needs for the [regional NHS organisation]’

‘Organise yourselves because you’re all grown-ups (laugh)’

‘I’ll give you flipchart, pens’

Participant: ‘have we got enough information specialists..?’

CS2: ‘OK, I’ll be more prescriptive now’ – divides information specialists and service commissioners to ensure distribution – rest can divide themselves

Level of prescription changes in response to issues raised by group (for example, information specialists issue raised)

Left rest of group to divide themselves – CS2 left room

Other facilitators/event commissioners stayed and chatted amongst themselves – no engagement with participants

CS2 returned with pens – distributed pens around groups. Clarified task as he circulated

CS2 continued rotating around small groups – clarifying tasks – getting ‘heads up’ on what they might be feeding back. Pulling out themes from local conversations.

CS2 leaves groups and captures some points on flipchart/issues park whilst groups left to own devices/discussions – titled ‘1. Need clarity around: then bullet points. 2. Critical friend role supporting intelligent implementation plans of provider AND [service] commissioner’

CS2 checks with co-facilitators/event commissioners about what [regional NHS organisation] can offer – [Commissioner 1] highlights [regional NHS organisation] can have facilitation but not ‘give’

CS2 seeking rules from [regional NHS organisation] – [Commissioner 1] highlights [regional NHS organisation] has no legitimacy to ‘tell’ people

CS2 asking for 2 points from each group and next steps.

Picks tables to feed back.

CS2 asks [Commissioner 2] to do overview/summary at end of event

As groups feed back CS2 asks ‘is that an action you think you can take yourselves?’ (highlight agency and responsibility?)

Big supportive non-verbals when mentioning ideas that fit with direction of travel  
One table raised ‘need for appreciation of how big this is for an organisation’ (CS2’s non-verbals: eye-contact, nodding, listening intently)

‘So, if that needs to be acknowledged, who do you think needs to acknowledge it?’  
(‘Board, commissioners, [regional NHS organisation]?’)

CS2: ‘Why do you say [regional NHS organisation]?’

Participant: ‘They are put between service commissioners and Department of Health’

Sharing lessons, clinical engagement (‘softer’ support issues brought up as needs by participants – not necessarily represented in the day)

Regional NHS organisation people (Commissioner 1 and 2) very wary of this ‘hearts and minds’ support but CS2 pushing them to commit to it

CS2: ‘When I say OK, it’s OK I’ve heard it, not OK I’m giving..’

[Commissioner 1]: ‘when we say [regional NHS organisation] do we mean [regional NHS organisation] or across [geographical region]?’

Participant: ‘I mean across [geographical region]’

[Commissioner 1]: ‘that’s about service commissioners not [regional NHS organisation]’

Participant: we need leadership from the [regional NHS organisation]  
CS2: 'I understand but we, [event commissioner 2] and I, need to have discussions about this feedback on what needs to happen'

'Participant: we need a letter to Chief Executives'

CS2: 'that would only reflect national policy'

Different participant: Chief Executives have had one already'

CS2 moves on to next table – closes preceding discussion

CS2: 'is that on your notes because that's quite important ...'

Participants want workshops to look at 'hot spots' (Child and Adolescent Mental Health Services, clinical psychology) with teams made up of service commissioner, informatics, provider..

Quick wins – 'can you give us some rules in (names different systems)'

CS2: 'Ok thank you for time and notes - I'll get them written up, make minor modifications to presentations and send them out. I'll liaise with [event commissioners 1 and 2] re the action points about the [regional NHS organisation] because you're saying you need consistency'

Didn't call [event commissioner 2] to feedback/summarise

[Commissioner 1]: highlighted that she had asked participants 'what you're going to do', but, instead, CS2 asked for 2 items from each group and they asked for external support from [regional NHS organisation]

#### iv. POST-INTERVIEW TRANSCRIPT

R: So the event we're reflecting on is the 18 week wait event in [town name]

CS2: Yes

R: So when you were approaching that event, what did you see your brief as being?

CS2: As I recall, it was to present to an audience of people a summary of the 18 week guidance, to explain to them where the clock.., what constitutes a clock start event and, as far as I could work out, a clock stop event, and the policy background so I could show to what extent it was required or optional.

R: OK. And who commissioned the event?

CS2: The [NHS regional organisation] and the project had been led up to then by a colleague focusing on 18 weeks across the whole health spectrum, general health as well

R: Was that [Commissioner 1]?

CS2: Yes

R: There seemed to be three of you there – [commissioner 1], [commissioner 2] and yourself..

CS2: That's right

R: What preparation had you done as a group of facilitators around the event?

CS2: None

R: OK and was it part of an ongoing..

CS2: Sorry, I sent them a copy of what I was presenting

R: OK, so none other than sharing the presentation. So was it meant to be the start of a process... for mental health?

CS2: Yes, it was meant to be the start of a process of me being a reference point within the [NHS regional organisation] for people to contact but there was no

expectation of it being the start of a process of development or engagement or consultation with providers.

R: OK, and what were your thoughts about that?

CS2: My colleagues from the [NHS regional organisation] weren't sure what work they, as an organisation, were providing up to that point and they were ambivalent going between advisory to going to token support.

R: OK, what were the outcomes you wanted to achieve then in the event?

CS2: To advise people the extent to which they were responsible for the implementation and requirements of the 18 weeks, to give them clear definitions of what they would be measured on and the legal or policy requirements to do that so that we weren't leaving them in potential risk of breach of policy or even of legislation

R: Alright, so lots of information about the requirements and implications. Were there any other outcomes for you?

CS2: Not intentionally. I mean it would have been good for, I'd have been pleased if any of the audience had come up with their own action plans or solutions or spin-off pieces of work. Personally I hoped that the [NHS regional organisation] colleagues would start to form a view of what their role actually is, which still wasn't achieved.

R: What were the outcomes the commissioners of the event wanted achieved?

CS2: To be told what to do and how to do it

R: By whom?

CS2: Probably by us and one of the provider directors said that what they'd hoped for was some leadership, very very small, focused leadership....

R: Right so the audience, that's what the audience wanted?

CS2: Yes, the audience was made up of service providers and service commissioners...

R: OK and what about your colleagues, [commissioners 1 and 2], what do you think they wanted, the people who set up the event. What do you think they wanted to achieve?

CS2: I don't know. It appears they don't tend to think, they don't always have well-formulated outcomes set. They might be distant, strategic, very broad ones, but in terms of tangible, measurable changes then they CAN think in that way but it doesn't seem to be the second nature.

R: So how did you think about marrying those – they weren't sure what they wanted, you were pretty sure what the audience wanted, you were sort of clear on your brief in terms of the information

CS2: I did it by presenting the policy context. I drilled down into the NHS 2009 Act, the letter from David Nicolson Chief Executive of the NHS at the time, the NHS Constitution and the 18 week literature and, if that's a policy requirement of the NHS it applies as much to us within the [NHS regional organisation] to comply with it as it does to the service commissioners who commission it and for the service providers to provide it. So, by presenting that, I wanted to be able to show to everybody, all three of those, [NHS regional organisation], service commissioning and service provider, that this isn't, to show which parts of it are non-negotiable. It's my usual starting-point of non-negotiables so I don't waste time, talk about those and then look at what we have to do. Lets do that for the [NHS regional organisation]

R: So did the event form part of an ongoing project?

CS2: We looked at doing a repeat, and in response to the audience request, to do a repeat event but it was not seen as a high priority within the [NHS regional organisation], pressures on time, we had other things to do , so myself and a colleague who has been doing the same process for CAMHS, we took a decision to go ahead with it plus, at the time that we made that decision, we started to hear that the Government might not be requiring the 18 week to continue. So that changed, the NHS Constitution...and that changed the policy context and therefore the non-negotiables.

R: Which was your point in our pre-interview about there's not thinking a lot about sustainability because the NHS changes left, right and centre all the time

CS2: Yes.... Keep this the same. Some Trusts have; this is where the service commissioners have made it a contract requirement almost regardless of the formal NHS requirements

R: Yes, this is what we're going to do with our population and we don't really care what the Department of Health wants

CS2: That's right so I've recently advised on that with one of the Trusts.

R: OK. So, focusing on your event, how did you decide to structure it?

CS2: I tend to think 'outcomes' for any event and that applies to this one. I tend to start with thinking about what it is I want people to be able to do or think or know when they leave the room that they couldn't have done when they came in because if they haven't achieved a difference then what was the point of the event I think. So I have that as an outcome and then I give myself a few options about how to do that. So I'll kind of broadly carve the event into three parts; one is the defining of the task or the non-negotiables, another one is looking at or some regard to how to achieve that and the third part is the interactive part where the audience, you work with the audience so they've got time and space to assimilate it and internalise it rather than just verbatim or as documents which they can get their own concepts, their thoughts, built in and I'll kind of move between the audience's style of thinking and that general time-scale as goes the audience requirements really. I think it's better for me to fit with the range of learning styles and situations in the audience to achieve something than it is for me to expect the audience to fit in with a purely theoretical world that they otherwise would not see.

R: OK so you've explained the 'why' of how you decided to structure it, sort of 'here's the information' really and 'let's give you some space to think about, to think aloud really about how it might apply to you and ...

CS2: Here's what you need to do and here's some of the ways you could go about doing it.

R: So did you have to make any changes as the event proceeded?

CS2: We had to test it, yes. [Commissioner 1] managed to advise where there was a factual point in terms of 'clock pause' so that was a change within the facts, the presentation of the facts and, because I give myself the flexibility to work with an audience then the rest I don't actually see as changes but just as responsiveness.

R: OK. What position do you think you adopted in the event, like friend, expert, advisor, those kind of things?

CS2: Not friend, expert advisor more in analytical ability rather than knowledge. I don't have an enormous knowledge base around the 18 weeks but I have sufficient analytical ability to advise. Probably directorial in terms of explaining what needs to be done and, I remember one or two challenges from the audience where I think I was politely prepared to say 'no, I think you're wrong....' To correct the audience. And do it in a polite way, but I think the emphasis on having some expertise rather than friendliness and also to make sure that I don't over-extend that expertise so that I'm not pretending to be expert at something I'm not.

R: OK

CS2: Making sure I'm listening to them because people can tell when you're not listening and, however expert you are, if you're not listening to them they'll switch off anyway.

R: OK. Why do you think you needed an external facilitator as well as [Commissioners 1 and 2] there?

CS2: They needed a facilitator, they didn't need [Commissioners 1 and 2] there. I don't know why they were there. I wasn't expecting [Commissioner 2] to be there. I asked him why he needed to be there and didn't get a clear answer and part of it might be that when you have to attend a meeting that you're not in the spotlight, you can take a kind of a passive, slightly more restful position for a while, particularly as the 18 weeks was being handed from [Commissioner 1] to me so it was useful for her to be there as transition. As for [Commissioner 2], I'm not sure. In retrospect it might have been that he and I were still new at working with each other and he might have been wanting to still check me out and make some kind of judgement about could he trust me.

R: OK. Right, the next one is about credibility, about particular issues or concepts within helping facilitate change and one is often about the facilitator's credibility as perceived by the audience, I suppose. How important do you think it is in events like the one you facilitated?

CS2: Oh yeah, if you hadn't got the credibility you struggle to hold the audience's attention or belief in you.

R: So how do you think you address that?

CS2: By stating I understood the problem in terms of what was the policy context and the definitions and some approaches to that, and understood the situation within which, certainly, mental health services were working, by showing I'd actually spoken to service commissioners and service providers in relation to this, done the actual legwork rather than just reading documents and I'd taken the steps, reading the references right back to the NHS Act 2009 to make sure any statements I made about the policy context I could fully reference. And then the other credibility was by demonstrating I was actively spending time with the audience so they knew that I wasn't there to not listen to them. So credibility is a kind of interactive process I suppose.

R: So some of that credibility was about going back to your position about having some analytical ability and credibility about 'I'm saying this stuff and I'm showing that this isn't just about what I made up on the back of an envelope'

CS2: Oh yeah

R: as opposed to I've been a service commissioner'. Other ways of getting credibility would be 'I've been in your shoes' or

CS2: Yeah. 'This is what I've read. I've read the same material that's available to you, I've applied some thinking to it and this is what appears to be the case'

R: OK. How important is engaging in the group and with the individuals?

CS2: I'm prepared to see a group as a collection of individuals because some people will work as individuals and groups cohere differently , to different extents. So whilst there might be say 30 people, there could have been any number of subgroups but there were definitely 30 individuals, so the default for this is 'work with individuals then you know you can work with the group'. One of the things you do have to listen for, and this might sound a bit woolly the way it gets put, is you do have to listen for what's not said because there will be, when you are listening to individuals if, out of, say, an audience of 30 there's one, or five or six who are very verbose, there'll be a number of people who might have some real intelligence, something to contribute but people won't just put themselves forward, so you have to look at the non-verbals really and also give an invitation to those people to be able to contribute.

R: OK, so how are you trying to produce the outcomes that you wanted. Your outcomes are about the information

CS2: Yeah, that was my outcome, to give information. I did that by giving the information, forwarding the presentations on and by publishing a website so they can go back to that.

R: OK. It's difficult to know how you were trying to produce the commissioners outcomes because you weren't really sure the commissioners

CS2: you mean the commissioner of the event?

R: Yeah

CS2: They weren't clear what their outcomes were and what I'll do in the absence of being instructed or advised as to what outcomes the commissioner wants, I'll go work out what I think needs to be achieved so I tend not to sit still waiting. I'll ask and if I don't get an answer then I'll get on with it in the way I think is right.

R: OK. One of the discourses you seem to draw on a lot was that of risk and safety. Tell me a bit about how you think using those kind of metaphors helps produce the change.

CS2: Well they're not metaphors, they're real things. An organisation will have to think, there are obviously risks to people, patients and staff and so on, but there's also risks to litigation and, given that this is based in an act of law, the NHS Act 2009, I think I actually said on the day that what I didn't want to do was to give advice that could be misinterpreted or lack of advice, either case, which leads potentially to a Trust doing something illegal or facing a litigation risk and, if, my view is that, if I did that there'd be a culpability in terms of me misadvising or failing to advise people to act in a non-legal way. So that was that really. So the risk is really around the corporate-cum-litigation risk rather than patient safety risk in this instance.

R: So was that, basically, you could see that as a reality rather than 'if I sell it in these terms, this will get their attention a bit more' because you could have sold it for instance 'it's a much better experience for patients if it's timely and you get better clinical outcomes if its timely'.

CS2: Yes. But also, which wasn't picked up by my [NHS regional organisation] colleagues, was the extent to which I was trying to protect the [NHS regional organisation] from any litigation risk and this has happened subsequently and they do seem to be a bit slow to cotton on to potential litigation risks or corporate risks and what needs to be done to address those from the point of view of the [NHS regional organisation] itself. If I create a scenario, if I had wrongly advised an organisation and there'd been a breach of 18 weeks and the patient whose 18 week wait had been breached sued a Primary Care Trust and, if in their defence, they said this was the advice from [CS2] and the [NHS regional organisation], then they in turn could sue the [NHS regional organisation]. So the [NHS regional organisation] needs to actually understand the risks within an event such as that, what I would call corporate risk, that it is not encouraging or allowing litigation risks or any other kind of risks to become apparent or enacted in the services involved. A bit of a cumbersome way of explaining that but it's had no resonance, I felt it had no resonance with [commissioners 1 and 2] at the time. It's only in discussion quite recently they've started to become acknowledged.

R: I wondered whether some of that awareness had come from you having worked in psychiatric inpatient settings where, often, risk is paramount in how we're thinking about everything from what bedding we put on the beds through to how we organise the reviews

CS2: Well my approach to risk, again being analytic, is that risk is an ill-defined term that's used in two ways ambivalently. You can identify the risks in this room – a wire that you could trip over or something that you could fall over – but you could also identify the risk of something happening to you. In either of those cases I'm using the word 'risk' differently; one identifies a hazard and the other identifies a probability – what's the risk of a certain thing happening etc. Actually the more precise way to analyse this is that risk assessment and risk management, whether

in clinical practice or at corporate level, is the assessment of hazards and the probability of those hazards. So risk management is actually what actions you put in place to reduce the severity of hazards and/or the likelihood of them. And that's the approach I always take.

R: So, these are the potential hazards in this legislation if you're not listening to it. These are the things you can do to firewall yourself. And these are the different ways you can be sued, eg the start and stop clock-ticking

CS2: Exactly. And if somebody were sued for the hazard of an 18 week breach due to those terms not being identified and their defence was that they'd been ill-advised then that would be a reasonable defence but what they would have to do, in turn, would be sue the people who'd advised them in which case that would have been us, the [NHS regional organisation]. So I'm actually managing the risks of a charge against the [NHS regional organisation] itself as well.

R: Yeah, and I suppose in some respects that's then upped the credibility of the event in a way, that you're saying very clearly, because I guess you have to be able to suss out if the advice being given to you is worthwhile, even in a room of different interpretations of things

CS2: And I have reason to believe the [NHS regional organisation] has a need to manage its corporate risks.

R: OK. Another theme or issue seemed to be about ownership. Not so much from the audience as such, but from the [NHS regional organisation]. There was a bit of a moveable feast around who was going to take ownership. What was your position on this as an outcome, about whether you were trying to produce ownership in a particular way, whether you even think ownership is that important?

CS2: Can you define ownership?

R: I think there was some discussion about, 'well they have to take responsibility, they have to own this stuff, they have to go back to the ranch and do stuff with it themselves – they can't leave it all to the [NHS regional organisation]' and .also, I suppose, more generally, if you want people to make change they have to take responsibility for that or even see that it's relevant for their setting.

CS2: Right. The ownership at 'doing the right thing for their patients' is morally right but unfortunately it doesn't motivate all the changes that we need in the NHS or the behaviours we need in the NHS. Where it doesn't, it's useful to have more than just a moral platform but actually to have a contractual or a policy or a legal platform that says 'actually you are paid to do this' and that's the bit where it wasn't clear the extent to which the [NHS regional organisation] was presenting a non-moral platform. What colleagues appeared to do was to present a moral platform which

is right to do but on its own is not sufficient particularly as some Primary Care Trusts and service providers were raising the issue that, and actually said that, some of the service providers had actually said 'we don't have to do this', even though it might be right for the patients but we don't have to do this and therefore we won't. That negates the strength of the moral foundation and therefore you call upon a contractual or policy platform or obligation. That's the bit that wasn't very forthcoming from the [NHS regional organisation].

R: I guess if it was just that the moral was enough, you wouldn't need events, you wouldn't need a set of legislation about 18 week wait would you, because the moral would be we need to get this to people as quickly as possible

CS2: Yeah and I think ownership, perhaps a more precise way of doing this is there's a moral, where you have a moral foundation, ethically this is the right thing to do, but there's another foundation which is the 'this is what we are required to do' and the two in this case, in the 18 weeks, are not in conflict but if the statutory or the policy platform isn't strong then people can only resort to the moral one. And what I was looking for was to strengthen the policy one, not just the moral one which was the recourse to the NHS Act 2000

R: and then using the legislation and the idea of risk and legislation

CS2: A colleague of mine appeals to the moral course and that wasn't very successful, and she said herself she doesn't have a clinical background so I think the way the audience would have read that, would have seen her in that case, would have been as a patient or a potential patient rather than as a practitioner and, also, the examples she used didn't help her credibility so it was the wrong way for her to use that foundation to try to bring around ownership. Lack of experience that probably was.

R: You also seemed to use an intervention of translation. The NHS legislation, you seemed to translate it into a real world example, the real world context, then you gave an example and then put it as a real world issue

CS2: Yeah and that's because, day-to-day, people will work in the real world. The policy world is a set of rules which apply to the real world but are none-the-less abstract, the actions and the things people actually have to do, it's useful then to be able to translate some examples of those real actions that meet requirements of the rules, so it's a bit like game theory I suppose.

R: At one point you mentioned the need for dialogue between the mental health service commissioners and the mental health service providers so tell me a bit about what it is you thought they needed that for and how that should move the whole thing on.

CS2: The responsible people for leading 18 weeks are the service commissioners and, whilst they are responsible, it is the behaviour of the service providers that it is dependent upon, so they need to be able to collaborate on that. So dialogue is the first step towards that.

R: OK. The other issue in terms of facilitating people being able to engage, make the changes required for 18 week wait seem to be a kind of dynamic between having large events like the one in [venue] versus on-site support, with you going around and potentially helping people on-site. Which approach do you think, I've put it as an either-or – it might not be, which strategy did you favour most and why?

CS2: The effects that have, the approach that has the deepest longest lasting effects tends to be the local, more focused one but the cost of that it is a narrower, deeper, ie a smaller number of people who achieve the greater change, whereas bigger events might lead to a slower change across a bigger number of people. In terms of measuring those, because it's not the case that breadth x depth = the same area in each of those, it's not that mathematical cold way of looking at it, because actually if you don't achieve sufficient change, then any effort that you put into it is worthless. So, I've pragmatically taken the view 'it's best to work with a smaller number of people and achieve deep change across a small number of people than it is to work with a large number of people and achieve no change'. But I do fully understand the pragmatics of the amount of time it takes to do that and I think in this instance I didn't have the time to be able to do it.

R: OK. Moving on a bit then to the fact that there were different people contributing, you, [Commissioners 1 and 2], what did you think the effects were of that on the event?

CS2: It probably looked uncoordinated. I wasn't too proud of that

R: How did you try and counter any of those negative effects that you thought might have been the result of that risk of being seen as uncoordinated?

CS2: I don't bother to try and hide them. The audience are smart enough to see who's not co-ordinated and who's not prepared. Let them see. We're all grown-ups. If you present or work with an audience of 30 people, you shouldn't be thinking that you can hide or transfer any errors that you commit.

R: There's a transparency about it.

CS2: Yeah, leave it transparent I say.

R: During the group exercise you said you'd moved briefly around the groups and then you left the room. Was there a logic to that?

CS2: I needed some breathing space, because when you're facilitating like that the mental agility that you need, even when you're not talking, you've got to be listening and the translation that you talked about earlier it was constant, so the mental agility and, therefore, effort that's needed, so it's useful to just have a break. When you're a member of the audience, whether you're an [NHS regional organisation] colleague or service commissioners or service providers, you can take some downtime in the audience which you can't when you're facilitating, so there's that personal part. So it's not just a rest, it's a chance to regroup, work out the way the event's progressing towards the outcomes I want to achieve and what I need to do about it, but also the message to the audience is 'I've given you the task, I've gone round, you all appear to understand it and you're all grown-ups, I'll be back in 5 or 10 minutes, you get on with it and you tell me what you've done' and it's clear then that, to them, that whilst they're on their own, nobody else is going to carry that task for them, so that's another reason.

R: which I suppose then goes back to the ownership issue

CS2: Yeah

R: which is that, 'it's your work, do with it what you will', 'you're not doing this because you've been told to'.

CS2: That's right

R: My final question, then, was about whether the event was conducted typically for you and, if not, how was it different from your usual way of doing stuff?

CS2: No. I would have, my commissioners would have been there as a member of the audience rather than as a commissioner. If any colleagues were going to present, they would have prepared and we would have shared our presentations so that we knew, not just the presentations, but we knew, we had this kind of shared knowledge base and approach, styles and so on which we didn't have and the administration of the audience wasn't clear, there'd been some mishaps on the audience list and that wasn't managed very well.

R: Yeah, it seemed that there various external or containing factors like the 'backroom functions' had gone a bit awry., which, presumably, were outside of your sphere of influence.

CS2: I think three people had been involved in emailing out to the audience and those three people hadn't talked to each other.

R: Yeah, so the co-ordination wasn't what you'd have liked. It also sounds like you got some response from different people in the audience who then contacted you for further help, so in terms of that credibility...

CS2: Yeah and another Trust as well asked for some follow-up support where I met with the service commissioner and the service providers and their IT person so we had, at that local meeting, exactly the people that needed to be there and formulated the solution in about an hour. The service commissioner said that basically it was going to be a contractual requirement and it was addressed fully. Every base was covered.

R: So, in some respects you were able to follow through, that you got their attention in the event and then you went out and helped them develop their own flowcharts and contracts.

CS2: Yes, so I know in two Trusts it's probably working as it should do and in some of the others it might be – I don't know. And the government's now not pushing it anyway so there we go.

R: OK was there anything else you wanted to add?

CS2: I think the 18 weeks has been an example of working with people who have not prepared

R: And in the ever-changing policy context, by the time you've got them prepared, you don't need the project any more

CS2: Exactly and I just think it was an example of people's preparations not keeping up with the rate of change.

## APPENDIX 3: CASE STUDY 3 RESEARCH DATA

### i. PRE-INTERVIEW TRANSCRIPT

R: If we start with what you think the purpose of OD is – we could do the purpose of OD as represented in the strategy and also the purpose of the interventions within it. Is that alright?

CS3: In a sentence for me OD is about moving the organisation to where it wants to be through its people. I guess ultimately it's about the system and the people, you know, so how is the system working in relation to how the people are doing what they're doing and so hence on there [strategy doc] one of the things is about that systems thinking and so then you think about what do people need to be able to deliver in the future and to realise what's going on in the system and how they impact on it.

R: OK, so it's the relationship, it's the people within the system

CS3: Yeah so you've got things like culture, there might be stuff around high level processes, organisational structure and some legacy stuff I guess.

R: OK. And do you have any opinions on when you're saying 'moving the organisation to where it wants to be', do you have any position on what would be a good or not so good place for an organisation to want to get to?

CS3: Yeah – I think I'm very clear that we're there to deliver what the organisation wants and then to try and influence the direction that might be a better direction than we think it is. I think it's a very fine balance because we're there to deliver what the organisation wants and you'll have heard me say loads of times probably, it's a really big thing for me, a big principle that we demonstrate how things could be different and in that way influence. Where we do have some impact, in the HR Directorate, part of the business plan, have a more direct influence there I guess.

R: So there's indirect influence which sounds like showing people how it could be different, there's an indirect potential modelling, stretching their imagination, and there's the more direct, using the official structures.

CS3: Yeah

R: OK and how does that work? So at the moment your OD work is within the organisation. What do you think the differences are if you're bought in?

CS3: I've done both. I've been an internal and an external consultant and I think it's internally it takes longer to build the relationships, I think because the expectation is you're a consultant, people know you're costing them money so you come in, everything's accelerated, they want to work with you, but when you're an internal consultant it can be much more subtle, you know you'll have your direct sponsors but then everybody else there's a lot of relationship building before any contracting can start, whereas really from an external point of view you're contracting from the beginning. And then there's the legacy, you know if you're there, you're there as the legacy is playing out, you're seeing the impact in a much more real way and it's impacting on you. Whereas as external, you come in, mess about a bit, go out, hopefully keep a relationship but it's at a distance. And I think the politics are much more heightened when you're working internally. You can more easily lose any credibility you've got when you're working internally because people don't have to work with you because they're not, well yes they are paying you but not for a specific piece of work, so they can lose interest and, you know, so what.

R: OK, that's interesting. I guess there's something about being an external person that punctuates the importance doesn't it – I'm here, the clock's ticking, the money's costing, you better wake up'.

CS3: Yeah, absolutely

A: You're an exclamation mark arriving in the organisation

CS3: Yeah

LAUGHTER

R: OK do you want to talk me through some of the purposes, of how this 'strategy on a page' works, and then we can relate that also to the event. Is that OK?

CS3: Yeah that's fine. I guess when I thought about the 'buckets' of work, I tried to format them into some kind of small, high-level, easily understood model, which is this 'building, achieving, supporting'. And this is, I mean it's obvious really to me that building for the future you've got to get the workforce-planning right, not the way we do it now - I won't bang on about that or I could do for ages - and the talent management, succession planning stuff is all about the future. This kind of underpins everything we're doing, that's why I see it as supporting the organisation itself; what do people need now in their jobs, and also, how do we keep finding out in a better way what they need and what we think, so that's staff engagement. And then this for me is the tangible – here for me, to take any of those out would really be a deal-breaker from an OD point of view, so if you tell me I'm not going to have an influence on how we manage change in the organisation, then forget the rest, if ultimately you're not going to allow me to help people to work across the

system, then forget that, so these to me are the key top three, for me it's a stool, the achievement stool, if you take one of them away the stool falls over; if you've got leadership but no management, you'll never get the job done, etc, you can work that through.

R: OK, so that's your foundation, your main workstreams, if you like, as you said, with regard to your tangibles and your future plan, and then these are producing or impacting upon the OD strategy objectives relating, presumably, to the organisation's objectives.

CS3: ....which have changed, so [OD team member 1] and I were talking the other day, we need to refresh the whole strategy and this, based on the changes to the organisational objectives. Apparently they weren't very strategic, the goals. I'm not thinking big huge changes in our objectives

R: and I presume there won't be huge changes in the organisation's ones in a way because, ultimately, you've got the idea of Trust performance around it being an [specialist health] service - I'm assuming they're not suddenly going to go into delivering groceries, it's not going to be a massive difference is it?

CS3: No, there is a link though with logistics which I don't think we've capitalised on but I think it's interesting you should have used delivering groceries. I'm thinking, you know, that response stuff is getting smaller which is interesting – does my strategy still support, the focus has changed, we've got the career pathways, we're seriously looking at how do we become more commercial in terms of delivering [to] the community rather than just [dealing with] people and a lot of that is about the cultural stuff. I've been out with people, probably out of the 6 or 8 places we went to only about 2 of them needed back-up but we called for it on each time and I said 'you're a really experienced [staff member], you're a mentor, so what stopped you saying we don't need the [backup]?' and it's that blame culture, it's the risk-averse thing, it's 'well I'm watching my back and what would happen if' you know, so that's really interesting because we're wasting a lot of resources having that kind of culture so

R: OK. So how does the event in October relate to

CS3: The event came about because the Chief Executive asked us to put on an OD Conference, and, to me, that was a 'aha', a big win, because some of the stuff he's very engaged with, some of the stuff he tells everyone he's engaged with, there's kind of a continuum of different levels of engagement with him but, I think, for him saying to me 'showcase what you're doing' shows that, because he is so risk-averse, that he thinks we're doing a good job, it's great to show everybody, so that tells me a lot, and, also, clearly, to the organisation he's saying we're going to put the resources into having this time for OD, so there's lots of stuff in there about,

it's not about showcasing what we do, it's about confirming the organisation still thinks it's the right thing to do

R: Confirming their commitment

CS3: and then I thought 'OK, so here's a great opportunity because we know how we do conferences normally, so let's put this principle to test. Say 'you could do a conference like this – it doesn't have to be like that"

R: That indirect influencing again by modelling

CS3: Absolutely

R: OK. So how do you think, if we get into the micro components. How do you think the event will actually impact on people's perceptions?

CS3: First of all, we're a very hierarchical organisation and [Chief Executive Officer] is going to open this conference, Chairman and [Director of HR] are going to close it, so that tells the world, the [specialist health] service that, again, this is a really important thing to do. The test for me, the one worry I had was that no-one was going to book on to it, all we were going to get is visitors, colleagues, partners from around the place and, actually most of the people who have booked on are managers in the organisation. So, again, what's that telling me? That's telling me that there's something there of interest to them. We know that leadership has had a very high profile, leadership development stuff I'm doing, and I think a lot of the people who are coming are coming because of that, but also I think some of the mini-events that we're putting on are hitting the right buttons, so the speed-coaching, I think that if I'd, when I came 2 years ago, if I'd sent an email out to all our senior managers saying 'come and spend 2 days thinking about having different kinds of conversations with your team', I'd have been laughed out of the organisation. 3 months into the first tranche of the leadership programme, when I was sending out emails saying 'I've got 12 places for this 2 day Coaching Performance', it sold out, it sells out overnight each time I do that as more and more people are learning about it. So I think that pulls some people in because they're making the connection with OD is about leadership, about having conversations, emotional intelligence, so...I've forgotten the question now!

R: We were talking about how it actually makes the change. So what I'm getting is that you've got this idea about, it's hard to pin down isn't it, there's this thing called 'leadership' and there's something about one of the interventions or one of the workshops being about teaching people ideas or awareness or skills about 'doing leadership' differently

CS3: For me it's about them realising how they are now and the impact they're having and thinking about what impact do they want to have and how there'd be a

different way of doing it. So a lot of time and effort was spent at the start of the leadership programme giving those people those insights, so through on-line stuff, through the development centre, through lots of different ways, so they really drill down into 'here's how I am, how do I need to be in order to deliver what I need to deliver and to influence in the way I need to in this organisation' so they were also getting insights into the culture by being part of the development centres, seeing it laid out. There were lightbulb moments from the first round. Things like we call, we use 'division' as a word that means people are together but actually the word means to, you know all that kind of stuff was going on. And then that creates a reason for them to want to develop, a will, and because they can see that any time when they get together, it's kind of the minimum amount of time they need, I always make sure they leave thinking 'oh I want more of this' rather than 'I want to leave early' and what we focus on is their individual journeys and needs and the organisation, so I do very little 'here are 5 leadership models, da-de-da'. So I take a load of books in and ask them what they think, point them to where they can find out more. So I never say 'here's the right thing' other than in the change module I said to them 'if you don't mention the curve, you'll look pretty dumb' but there's all this other stuff. So they're getting it that they have to think about how they are and what they're doing and why they're doing it. So I don't see it as teaching, I really see it as facilitating that awareness in them. But then the Diploma drives them into doing it differently so, for me, that's the important thing. Sheep dip and then make sure people do things differently, drive them to action. Because then you're starting to build a critical mass. In the early days I spent a lot of time talking about Stephen Covey's circles of influence and I'd say to them 'you're all on the outside, you're worried about stuff you can't do anything about. Focus on you and your teams and how you're going to be different. Prove that the way you want to do things is going to work'. And they're really starting to get that.

R: So there's something about helping them think differently and, what about when they go back to the office and they're looking at how to enact those ideas. What are the kinds of things that might be available to them then or do they rely on their own motivation?

CS3: No, they have coaches, mentors as and when appropriate, they have action learning sets, they have me, so they have support and it's a question of 'try it – what's the safest way you can try it?' that kind of stuff, so there's plenty of support but there isn't any spoonfeeding and there isn't any sheepdipping. I was talking to somebody a couple of days ago who'd taken one of his band 6s off the development centre that's happening tomorrow, you know there's a selection process for them, he'd taken him off for really good reasons and so I said 'what happens with him next? How are you going to hold him to account for this thing and when is the last time you gave him this kind of feedback?' He said 'at the PDR' and I said 'so when's the next time?' I could hear him thinking 'the next PDR' in the silence so I said 'how about you just meet on a monthly basis and talk through the

shortcomings'. He said 'what a fantastic idea!' How many other people in the organisation don't know that.

I've got this great 10 minute video of Gerry Robinson talking about one-to-ones and how you can make them work and I thought next network I'll show that. Sometimes it's just 'you know what – just give this a go' because it's tried and tested.

R: Ok, so what is success for you? You can think about that for the event and think about it for these parts of your strategy.

CS3: The event – success for me is when we see clinical conference being delivered in a different way. Not necessarily how we've done ours but something that shows me they've stopped and thought about 'do we have to keep doing it like this?' First signs are good because they want to know how to set the website up so that's a big win because all we did was use that and send it out. Another criterion for me is that people leave thinking 'I wish that had been a full day event'

R: Wanting more

CS3: Yeah, because what I didn't want was people wandering off in the afternoon. And then some of the big hairy goals are then around how many enquiries do we get as a result of the day, how many people then come to us and say 'oh tell me more about this leadership programme' or 'can I get involved in the work experience stuff that you're trying to do?' so how much engagement, real engagement is there in terms of people saying 'what can I do to help this along?' and I guess when it comes back to the leadership stuff at the networks and when I get the [staff] together it's how they view similar things that they've seen so I know when they see [guest speaker], love him or hate him, he's going to drive them into having some kind of big reaction, unless he's having a really big off day which he better not because I've given him such a big billing. He won't. Or for people to come back to me and say 'you know I went to this 20 minute thing on having productive conversations. It was really great'. So they spend longer thinking about that or emotional intelligence or whatever and that when we say, when we send our survey out, that people say 'yes please do another one next year and include some of that stuff'

R: Ok so there's something about people wanting more and recognising the work and some of these key interventions. They are having tasters in a sense of some of the key interventions that comprise your strategy

CS3: Yeah

R: How will you assess whether, for instance, the talent management or the leadership strategies are doing what you want them to do? What's success in those terms?

CS3: From the conference or

R: From the wider strategy

CS3: Right. Do you mean in the context of the conference or just

R: Both, because generally

CS3: Oh right, okay. In the strategy itself we've got some key measurables and it's really complex. So we've got some KPIs, it's roughly a balanced scorecard approach. We are collecting the data. But what we haven't done really is made too much sense out of it. I think that's for two reasons; one because some of the stuff that's supposed to be happening wasn't – one of my team's since left – and another reason I think is that it feels a bit too soon to start looking at some of those KPIs. And we've got a sense in the team as to how it's going. In Leadership, some of the level 1, 2 and 3 stuff we're seeing now, we're collecting the data. What I don't know is really what impact it's having on the organisation, not in a big way, except there are some things that pop out 'oh that's that level 5 stuff' that's happening like [Chief Executive] saying 'I want you to develop a careers event and a process that's around growing the future [health service] ops directors and chief execs' and he's very clear about the criterion for people to get onto it, once they're on it what they would get and top of the list was the Engaging Leaders programme. If you're not on it you have to do it.

And since that careers event, I can't tell you how many people have rung me up saying 'how do we get onto the Engaging Leaders event?' And his point to me was that 'I've had a lot of positive feedback about how this is going'. I've no doubt that if he didn't think it was going well, or if people on the programme didn't feel it was making a difference he'd have heard about it and it wouldn't have been part of it.

CS3: and we're collecting the stories, you know and so hence a big part of the conference work is that report, you know, it hasn't got a name, 'OD 2011-2012' and that really is about collecting the stories, then it's great for us, it says to everybody 'this is the difference it makes to individuals' lives' and actually a lot of those individuals are managers so, therefore, it's impacting on more than that and then those people are managing clinicians so it's going to impact on the patient. But also we've got this really complex evaluation matrix for the Leadership Programme with all these different elements and the levels. I've always been clear we're not going to be collecting internal investment data because how can you for leadership. I don't think you can so I'm not going to try. But the organisation's very clear about its expectations around the programme so that's what we're measuring it against. 'Trust Board expects to see, hear, feel..' all that stuff so that's what we're measured against.

R: OK. How about sustainability? How important is that and how do you address it?

CS3: It's key for me. Not because I want to leave a personal legacy but because (a) we're dealing with public money and you see so much of it being wasted – I sit on all the locality stakeholder boards and they buy so much one-off stuff that doesn't go anywhere, so I was determined that we don't do that, and the way in which we do that is, yes we've worked with some consultants because I managed to get a lot of money when I first arrived, I made a bid to the SHA and they said 'yes there you are'. The way we built and continue to build the programmes is building sustainability,

a lot of it from within the team, but actually the best bit for me, a lot of it is with people who are going through it, so tranche 1 Engaging Leaders, some of them are trained up to be Development Centre observer feedback facilitators, some of them are trained up to be 360 feedback facilitators, some of them are trained up to be Train the Trainers for the 2 day coaching programme and are doing their own coaching qualification. The Management Development bit, we've got somebody working on it for us because we haven't got the capacity, but we were very clear we were contracting and they are building a product we keep and keep using and changing ourselves. So that's the principle applied to all the programmes we build – its 'yes we need this and why' and 'how we're going to keep it going without any money' for example.

R: And presumably there's a different relationship to sustainability if you are an internal OD worker versus an external OD person.

CS3: Yes there is a difference. You see some external consultants who clearly don't have a value around that, around leaving a legacy. We only work with ones that do have a value around that. I know when I was doing it myself that was always part of the contracting – 'so what's the added value?', 'how do we make sure?', 'how will you know?', 'who's going to do that?', so when you're working externally there's a balance between getting more business, to generate income, but also to make sure people see that you're trying to build that. But it's key when you're inside.

R: There's more of an accountability?

CS3: Yeah

R: The next question is 'a description of your approach'. Maybe you could talk a little bit about how you came to develop the kind of outlook you would have to have designed this kind of strategy. You've said you've got some of your 'deal-breakers', for example, as well as your approach that's represented by the way you've designed the event. Assume I know nothing about OD.

CS3: My approach, I guess, is one of asking questions, and not coming in as 'I'm the OD expert. I've got the answers, you need to do this, this and this.' It's all about being curious, asking questions, challenging where you need to, but most of the time modelling, showing how things could be rather than telling. It's about influencing the organisation to want OD. Because [Chief Executive] might say the leadership programme, people aren't going to see that as organisational development. So it's really about how we do that. So asking questions and making sure my team behave in the same way and that's where the guy that's left the team didn't get that behavioural bit. There were lots of products – 'you asked me to do that', 'you asked me to do that' – there were lots of really tough conversations about how he was doing it. Totally out of line with how we are and for me, I always assume that me and my team's reputation could at any minute be on the skids. So anything that could start to chip away at that needs to be dealt with straight away. I always try, we've got a really enthusiastic team, very creative, they're just really enjoying what's going on and my job is to keep that sense check at a higher level. You know, 'is what we're trying to do, does that fit in with the vision, our principles, our agreed team objectives, behaviours, all of that stuff, so we don't stray off. Because as soon as the organisation sees us doing something that either it doesn't want us to or that it doesn't want to be seen doing that in that way, very quickly you lose any kind of integrity that you've got. At the end of the day there's always the risk, it happened in my last place, that 'ok we'll call it OD but we really just want L and D. We just want that delivered. If you throw in some leadership stuff, then that's OK, but we don't want a performance management system or any of that stuff'. The team were a random selection of people left over from all the different legacy Trusts before the join-up and when I came they had these random titles like 'OD manager' and 'OD officer' and they were all working in isolation and didn't have a clue what they were doing and then I landed and of course it was terrifying for most of them, for all of them actually. [Team member 1] is the only one that I've actually recruited. Now when I look at most of them they were all nightmares in their own right. [Team member 2] for example, she's extremely bright, can think at a high level, really creative, she's like the whole package. Twelve months ago if you said to me 'you can only have one person in your team and it's going to be [team member 2]' I'd have probably slit my throat because she was taking up 80% of my time; hugely demanding, totally disorganised, doing everything and anything except what she should be, all my flagged up emails were [team member 2]'s. Now I would absolutely take her with me because, she's said she's had her insights and changed the way she's working because of the Engaging Leaders programme. So she's been challenged on some areas and she's just got it because she's that kind of person, she can see where it will get her, she's transformed the way she's working. Some of that is knowing what buttons to press. She has this real big value around developing people, people coming to her and saying 'I don't know what to do about this, de de de' and she'll be solving their problems and I'd say to her 'how are you developing that person by solving the problem for them? If you said to them 'so what are you going to do with that and how can I support you?', she's like 'oh my God!' and off she went and from that moment to now that's what she does.

But they're all random so I've got this team, who weren't kind of the OD team but were random individuals and we've got this OD person coming in so let her have all these people and see what comes of it.

R: It's the misfits, the leftovers and see what happens!

CS3: That's what it was like. It was interesting, when I arrived I had my 90 day plan, you know first 90 days in the organisation, all that discovery stuff, I thought I've probably got a month or two's grace to do lots of... First meeting in August [Director of HR] wanted an OD strategy by December. So that was my, both our tests, our first test because I said to her 'I can get you one now – I can go and google OD strategy, change the names on it and you can have it. There you go, I can do that right away – is that what you want?' And she looked at me and I said 'if that's what you want that's fine, but that's not what I'll actually be delivering because I don't know what I need to do, I've just got here and so you can have a strategy and then it might be a bit embarrassing when you have to completely change it because that's not what we need or I think if we could take 6 to 9 months so let's find some kind of compromise where I can produce a strategy that I can kind of hold up and say 'I'm OK about the world seeing this' and it's probably got a lot of the stuff we need to do in it.

R: So do you want it fast or do you want it real

CS3: never spoken to her in that challenging way before because she was parachuted in from [South of UK], everyone else in her team had been around for ages and totally resented the fact that she was here in that job. It was like 'yeah you're right'. So that was kind of the start of it really.

R: OK. These next questions are about how you came into OD in the first place. So some of the sources of your ideas and techniques might be particular models or people that you like or it might be something that's nothing to do with OD that's brought you into or drawn you to particular ideas and techniques and some of this is also about what your career story has been.

CS3: It took me a long time to know what I wanted to do, what I was really comfortable with and I think I spent a lot of time doing things that other people thought I should do. So I went to teachers' training college. At one point I thought 'I don't even like kids much, I don't want any, what am I doing thinking I can spend the rest of my life..'. There were all sorts of random things, really, but quite early on I had a team of people and suddenly realised that what really interested me was, I know it sounds so boring but it's absolutely true, how do you get them to do what they need to do and for them to have a good experience. I think that's really where I started from. I started to get more interested in things like appraisals and I got pulled into generalist HR stuff, CIPD thing, and then had a big disaster in my personal life, stopped working and thought 'when I'm ready I'm going to get this

little job that's got no responsibility, I don't have to think, go in every day, do what I need to and then come away'. So I did that, I went to work in a hotel that was 10 minutes away from where I was living and in a month or two I was working for the General Manager and he came in and said 'there's all this stuff, why don't you do some of that for us?' So I got pulled into it. He then got sacked – it wasn't because he did anything wrong it's just how hotels work...they sack their General managers and then they go off somewhere else and that other group poaches all their top executives. But anyway the chain had been sold three times and I'd started to do more work in different units, having more of a, not a national role, but doing more stuff than in one place. Then it was bought by a group called [name of chain]. 25 units we sold down to and they had this vision of each unit having its own business plan, being its own, thinking about what was the market. They brought this General Manager in and he was kind of my catalyst I guess, all the stuff I'd been thinking of doing earlier, it just brought it to focus. 'JFDI' he used to say, 'just fucking do it'. It wasn't in an insulting way like it's used in sales and he just kept challenging me and challenging me and challenging me, saying why don't you do this, why don't you do that and then because I was having success managing the team I was responsible for and other teams were failing he said, he just kept making my portfolio bigger, leisure manager and reception and a whole raft and I was loving it. We had to go through Investors in People and that was really, for me, the focus of, the start of learning the difference between L and D and HR and organisational development because we really had to look at the whole organisation and it wasn't an option that we didn't get it. We had to get all the managers on board, we had to do all of that, the whole thing. We project-managed it, we got Investors in People and so went on from there really. And then he got sacked and then a huge chain bought us and one day all these boxes arrived full of Standard Operating Procedures, you do this, you do that and I thought 'hmm they don't need OD any more' and that's when I shipped out to the NHS six years ago

R: Did you do any.. I'm aware of different OD courses or the OD module that's part of the Leadership course or some masters programmes.....

CS3: I missed out a chunk actually which is interesting because I didn't go from hotels to the NHS. I spent 6 years working in a management consultancy so I took the Investors in People and the other stuff into there and I was there for 6 years – I get bored, I seem to go in two year cycles – each time they promoted me and four years in the MD said I want you to take over running the consultancy bit and so it meant I was a strong supporter for the organisation's OD, for the consultants what they were doing and a senior consultant myself and there were two things I wanted. I wanted to do a masters and I wanted to go to Australia for two months, so I said to her 'here's what's really important to me'. I thought if she really doesn't want me to stay she'll say you can't go to Australia, you can't do your masters or whatever but she said yes to everything and paid for it – not the Australia trip but most of the masters so that was great. That was in HRD Organisational Change and Development and that was based on action research so I had to move the

organisation in the 18 months and that's where I learned an awful lot more than Investors in People so then after that 6 years in the NHS.

R: It sounds like in the way you describe your work there would be a lot of what I call narrative ideas, an appreciative focus, what we would call solution-focused, using words like 'curiosity' and 'stories'. In fact the week I am coming to your event that's the middle day of a narrative therapy course I'm on in Birmingham. So that really struck me about the whole thing, the narrative, the storytelling, curiosity rather than judgement, that openness. So I didn't know if they were filtering through in terms of your approach

CS3: Absolutely for a long time I've had this belief that it's about changing the stories, because that's the culture isn't it, really. I know there's lots, Johnson and Showell's model and all that which I use, the cultural web, and the Herman's iceberg, the ones that really resonate with me in terms of getting deep into the organisation to find out what's going on but it really is about the stories that you hear, that you change, that people tell, that happen, but how often do we put them out there for people to experience. I reduced a whole ward staff to tears one day because they'd had this horrendous complaint about this particular stroke ward and I thought there's no point the Chief Exec or somebody wading in, they need to understand the impact we've had so we turned this complaint into something I just went and read to them one day. You know 'I just want to read you this story. Tell me what you think'. The reaction was 'oh that's dreadful, it certainly wouldn't happen here in this Trust'. 'So how do you feel now that I'm telling you it did happen in this Trust', 'oh tell us where it was because it wouldn't have been here', 'so now tell me how you're feeling because I'm now telling you it was on this ward and so the people who made this couple feel like that are in this room now'. And that was the start of their development. And so we picked them all up and we got a plan but they absolutely got it that they'd forgotten about these people – it was about the targets, it was about doing stuff around them – and that brought them right back to 'we made these two people feel like that and one of them died here'. You don't come and work in the NHS for the money so there must be somewhere some long forgotten thing to why you did it. Not long forgotten for everybody because a lot of people are clearly focused all the time on the experience of the patient but in an acute Trust wandering around the wards, the receptionist, because I had this label I felt like I could give anybody feedback that deserved it without me asking if they wanted it, that's the first thing I told myself, so I'd go up and say 'just let me tell you what I've seen and the impact that you might have had, ...so is that what you wanted to do, to make that person feel like that?' 'My God, obviously not' and if nobody holds a mirror up to these people to see what's happening and when you do it's really powerful

R: Is there anything else you want to say?

CS3: I don't think so.

## ii. EVENT AGENDA

- Opening address by the Trust Chief Executive,
- A keynote speech from an external speaker, an NHS Chief Executive Officer known for his work on leadership,
- Taster workshops (neurolinguistic programming, emotional intelligence, productive conversations),
- Speed coaching sessions (signed up for prior to the event)
- Closing addresses by the Trust's Chairman and Trust's Director of Human Resources and OD.
- Leadership masterclass (optional)
- Action Learning Set (optional and limited access)

### iii. ETHNOGRAPHIC OBSERVATIONS

In Fire Service Academy, [town name]

Layout:

10 round tables of 8 chairs

Stalls around side of large room (gym) from OD department, exhibiting aspects of their work.

In each corner of room presenting areas for workshops: NLP, Emotional Intelligence, Productive Conversations

Stage with podium and two chairs facing each other flanked by drop-down banners about [organisation] Mission statement and values.

Two front tables reserved.

On each table, paper and pens from Fire Service and copies of OD Annual Report (not called that though).

Also 'Talk to Us' postcards for immediate feedback on the event.

Bulk of room set up previous night. 4 of team arrived at 7 to finish (CS3 didn't turn up as overslept!)

Workshop facilitators started arriving from 7.25

Outside main room (gym) is refreshment area located in Fire Service dining room/caf . Here is plasma screen playing work experience stories on DVD flanked by 'Careers with the [organisation]' banners (photos and quotes). DVD is stories of people on drop-down banner.

Stalls for 'external partners' around edge of seating/coffee area.

On stage OD department slideshow running – quotes and photos from 'not the Annual Report' document – stories. Personal testimonials about people in different roles achieving qualifications. Also slides about completed appraisals

Speed-coaching sessions behind screens to left-hand side of stage and on stage

On stage OD department slideshow running – quotes and photos from 'not the Annual Report' doc – stories. More personal testimonials about people in different roles achieving qualifications.

On each OD department stall have same documents: '..aim to deliver OD document, OD strategy, quality service, model of teamwork'

Corporate OD department identification through documents, through common colours (green), logo and strategy.

Laptop on each stand has [organisation's] E-nav website

Discussion amongst team re having sweets on stalls and tables or not.

Leadership Action Learning Set in breakout room.

CS3 meeting and greeting external stallholders and presenters whilst OD team staff putting finishing touches to their stalls.

The conference presentations are going to be videoed – video crew setting up.

Stalls outside room in refreshment area are from partners from different universities and other course providers.

Also from OD partners eg [OD consultancy company]. Some representatives from OD partners also facilitating workshops

CS3 stopped what she was doing to greet Chief Executive Officer and get his refreshments.

**CS3 opened conference** – not stood on stage but stood at front of room on floor in front of stage.

Covered domestic arrangements.

Thanked her team for their creativity and planning

‘Great pleasure’ to introduce the speaker for the opening address:

Chief Executive, [name: Mr first name, last name]…

### **Chief Executive also presented at floor level**

Very formal structure to event and titles of speakers’ sessions eg ‘opening address’, ‘keynote speech’ etc

Thanks to [CS3 – first name] and her team – ‘fantastic’, ‘outstanding’

‘Our first OD conference’

[What is aim of this presentation?]

Welcome, warm feeling, mention all stallholders etc so connecting and creating community feel.

‘Over 5 years, huge fantastic journey..’

‘One of best-performing organisations...frontline...’

Also about everyone else – ‘facing in one direction....same strategic objectives, same vision and values...’

Announced [NHS organisation] of the Year again [number of times won it] and 4 other awards. Shortlisted for HSJ [award]

‘reflects the hard work and dedication all of you put in...’

‘Today’s about looking forward’

Highlights need to change through world changing

‘Today is about helping us to help you recognise what’s changing so we can do what we do even better.’

‘In next 5 years...cutting edge, leading edge’

‘You are critical and at the heart of ...’

‘use today in really exciting way....learn how to carry forward...’

‘Create a sustainable society that we’re all proud of’

Link to riots – we don’t think that’s acceptable – we never want to see that again.’

‘So, as senior leaders, make sure we influence our society to make sure that never happens again.’

'Sustainable society that embraces cultural differences and different ideas.'  
'Themes for today.'  
'In summary, congratulations to [CS3 – first name], [HR Director – first name] and the team'  
'I'm very excited...'

Chief Exec not sat on reserved table but stands at back of room.

### **[CS3] introduces keynote speaker**

'[first name]' Chief Exec – from another NHS organisation  
'What he said I could see him living...'  
[Guest speaker] in casual clothes, stands on floor in front of stage.  
Stories – warm-up and pulls people in. Then more serious tone for presentation  
'Organisations as Psychic Prisons'.  
'It's all about the people isn't it?'  
'It's what you do as people that makes the difference'  
'Structures and systems get in the way'  
'psychic prisons' – how we break out.  
Then light-hearted again – hands together and thumbs on top exercise.  
'just kind of learn which thumb on top...'  
'unwritten rules in organisations..'  
Example: what's first thing you do in a lift – how did you learn that?  
London lifts in underground – turn round and no-one else does – 'I didn't know the rules'  
'Get trained in a way of thinking and doing that often works and sometimes doesn't'  
'I want to share with you today the importance and power of language' – improve and change  
'Power of language...'  
Example of own child giving drawing – personal connection with example of kindness.  
'What's most important question? What shall we call it?'  
Importance of naming – evocative thing  
'To give people back the language...'

Driving the car – rearview mirror vs windscreen – 'big journey still ahead of us'  
'put your hand up if you think the organisation has got it absolutely right'  
'put your hand up if you think the organisation still has a lot to do'  
[involvement]

'Athenian code of citizenship'  
'In Athens, if you became a public officer, you swore an oath to the City of Athens...I pledge to lead this city not less than or equal to, not the same as, not worse than, but better and more beautiful than...  
If people in the NHS made that pledge, everyone of our actions would be different.'  
'Find one thing this week that made you inspired'

'Find one thing this week that made you feel glad you work in this organisation'  
'We work with people at their greatest point of need in their lives. If you can't find one thing that inspires you in that, you're in the wrong job' (Example of what he says to his staff)

'Proud..proud...proud...'

'Makes a difference'

'Inspired'

'just loving what you do oozes out'

'Team... proud to be a part... inspired..'

'Team you know would bleed for you and you would bleed for them'

'If you want to change that team to be the best team, start...be inspired'

Gandhi: be the change you want to see

Awards: magic moments – story of porter giving CPR to patient – 'proudest day of my life' porter said

'I better do some proper stuff now' (speaker referring to moving on to more formal presentation)

Powerpoint slides

- When things go wrong, individuals pay the price – we always find someone to blame

50% of Chief Execs get sacked in first year

'Sadly sometimes it's our patients ...last year we harmed 11,194 patients'

Being in hospital kills more people than cancer

- Why do organisations do this? Entrapment – result of policies and processes that go on

- What is an organisation? – aren't we the organisation?

- machines; -organisms (years 3-4 best years – have to continuously re-invent self or will start to interfere); – brains; - cultures (refers to Chief Exec as 'the boss' – interesting because very hierarchical organisation), all those things that force people to behave the way they behave, 3 levels: artefacts, policies and procedures, unwritten assumptions people make about what they can and can't do.

'Emails are about passing the monkey on' – prevent face-to-face interaction;  
- political systems; -psychic prisons; -flux and transformation; -instruments of domination

(All Morgan's metaphors)

Focuses on psychic prisons

Plato's cave

'Reality is not what it really seems'

Munsch; 'The Scream' – response to feeling captured/stuck in reality

Beatles; Help

Psychic prisons: 'imprisonment within a particular way of thinking and perceiving the world'

4. Describes 'entrapment' at individual level – jest re psychometrics
5. Describes 'entrapment' at organisational level  
‘One of real skills of leadership is to really listen- - stories  
Meetings: content, process, behaviours
6. Describes 'entrapment' at 'health' level – 'unlock' some of the way of thinking
7. Constructing the prison – 'to talk, to show, to share, to learn'
8. 'Prison' behaviour
9. Breaking out - Skips lots of stuff on how to change psychic prision. Moves to video clips; American footballer, catboys (instead of cowboys) herding cats
- 10.5 signs of psychic prison – dichotomous thinking – eg of consultant surgeons and managers. Managers job traditionally to stop change happening. Now asking them to make change happen – confused.  
Problem of and for middle managers.
11. OD is not.....  
Not about science improvement stuff  
Is about 'relational practice' – 'how I work with you as....' Repeat x3  
'Power of language to get people to want to change'
12. Problem: 3 filters; meta, macro, micro  
Time; present, future, past  
Holistic; heart, head, hands  
Effective OD: 'accepting that people see the world using their favoured frames and filters'  
Richness in diversity  
Inclusion – whose voice is being heard, whose voice is being lost...REALLY listened
13. Change ladder – assets, blueprint, capability, desire, ethos (ABCDE)
14. Why we settle for mediocrity: conversations – thinking – feeling – behaving  
To change, start by changing the way you talk  
Discussion vs dialogue – discussion separates, dialogue brings together.  
Hearing vs listening

15.1 (IDENTITY) can't (BELIEF) do (CAPABILITY) that (BEHAVIOUR) here (ENVIRONMENT) – 5 neurological levels – NLP

OD: 'bring about change, not stewardship'  
'have to improve faster' – 'more alive as organisation than as competitors'  
'anyone can be a babysitter'  
'getting people to commit themselves and to grow as human beings'

[CS3]: Thanks [guest speaker] – flags up masterclass, introduces break  
HR Director highlights power of story

## **BREAK**

CS3 has informal chats with participants eg in queue re inspirational speaker etc – 'floats' about, 'stroking' 'are you enjoying it?'

## **CS3: Housekeeping for workshops – 'please'**

### **CS3: facilitates NLP workshop**

'welcome to this short run-around....'  
'why did you come?'  
'collect ideas' (handouts)  
'Let me tell you about why I became an NLP practitioner' [stories]  
'noticing things'  
'As a coach...'  
'I found it transformational personally'  
'How do you think these kinds of skills might help you?'

2 of other workshops from external speakers from OD consultancies

CS3: 'Influencing, coaching, building rapport'

CS3: Coaching – 'through questioning, support, challenge, bring out potential to achieve desired goals'

[in-jokes: light-bulb moment – as connection/strokes]

CS3: Exercise: metaphors from NLP – exploring meaning  
Big eyes and smiles as engagement strategies

(CS3's positioned as leader/expert by facilitating workshop as other facilitators from private sector OD companies)

Woman from [OD consultancy] has uniform on – scarf matching pattern on handouts and dress in corporate colours

## **CS3: Introduce last speakers – 'enjoyable and developmental morning'**

'delighted to introduce [name of Trust] Trust's Chairman....

**Director of Workforce and Development [first name]:** from floor:  
'The first...conference...I do see this as part of a series of conferences...'  
'Bringing together key pieces of OD work...'  
'My fantastic OD team have been bringing together'  
'taster of different ways of looking at organisational development'  
'living the values as a leader is really what you're all here to do'  
'your words, actions, compassion,...'  
'important these continue when you are back in the workplace' (seeding sustainability)  
'....and inspire others'  
Reiterated code/pledge of citizenship  
Flags up feedback cards on tables  
'want to make sure that the next event is even more exciting than this one'

**Chairman: [title, first name, last name]**

'shows the commitment and support the [Trust name] places in leadership'  
Story of this building (Fire Service Academy) – he was [role] in Fire Service when building was commissioned  
EXAMPLE of someone in organisation at junior level can feel can go to organisation and suggest changes  
Messages to take away: 'every soldier has got the right to ask any officer, 'by what right do you lead me?' – if they have to point to their rank, they haven't got the right – superficial and diminished you as leader  
What is motivation to be a leader? – to make organisation better when you leave it than when you found it  
Story of leader who lost respect

CS3 sat at different table to OD team – team sat together at front left; CS3 sat with speakers front right

Leaders earn respect from people they lead – do this through respecting others and showing their worth – do as you would be done by

Story – 'they do it for you'

[open and close with symbolically important people]

**CS3: Closing** – thank you, lunch, masterclass

CS3: went to speak to external speakers

Went to speak to team members

PM

**Leadership masterclass:**

CS3: Draw for champagne from one of the stands

[Guest speaker]: 'Leadership – I did it my way'

'Authentic' – integrity/authenticity

[external facilitators have joined audience for masterclass]

'People won't remember what you say, may remember what you do, will always remember how you made them feel'

Reference to previous stories in event [this has happened throughout and therefore reinforced key strands/themes]

'you need to feel their (staff's) pain as a leader'

Positions of leadership:

'Leading from the side'

- stories of stories – stories that elicit emotion – 'boss saved my life'

'Leading from behind'

Eskimo and dogsled – pulling people together to get to where they need to be – step back and let team take the credit.

Humour – self-deprecation as source of humour

Born/made

5 things leaders need to be explicit about:

1. models – multiple realities – difference between realities and the truth  
Good leaders have models; great leaders are explicit about their models  
Unconscious incompetence-----unconscious competence model – illustrated through stories eg learning to drive  
Analogy of pushing child into deep end of swimming pool and how we'd teach someone to lead – egs of perceptions from pavement art, Escher etc  
Diagrams of leadership models

2. Metaphor – 'stories make model come to life'

'They are the things that will give life to your leadership'

'Find the story of their leadership'

'magic moments, seminal moments, pivotal points that shaped you' [stories that pull emotion down – very moving, poignant]

Then move on to something more neutral re organisation

'stories give life'

'metaphors all around us'

Plays clip and asks people what they remember/what stands out –clip was like visual word association – making up stories to match images

'how powerful stories are'

'leaders tell great stories'

'impact of stories' – changes as we tell and listen to other stories  
'the power of story is the power to transform, to change lives, organisations and even the world'  
Martin Luther King: 'I have a dream' – power of metaphor/story

### 3. Paradigms

'how we believe the world works'  
Proust quote: 'the real act of discovery consists not in finding new lands, but in seeing with new eyes'  
[Speaker]'s daughter – 'Dad can you turn the dark on?'  
Difference not right/wrong  
Leaders tune in to others' paradigms  
'Push the boundaries', 'explore the paradigms that are behind them'

### 4. Personal constructs

Anticipation and prediction (doesn't mention Kelly)  
Personal Construct Theory: organisational corollary – relationships  
    Choice corollary – individuals have choice – leader makes choices explicit  
    Sociality corollary – interact with others through understanding their constructs  
Core and periphery constructs  
Build walls to protect selves – leaders have to knock through walls of constructs

### 5. Archetypes

Eg fool, magician, hero  
Screen of photos  
Leader's role – spot the team's archetypes, get beneath them

Role of leader – sense-making

Interpret, live out, make sense of, help staff see – job of leader  
Difference between success/failure = great leadership  
Distributed leadership – believe and live out values from front, side, rear  
High reliability organisations: strategise, anticipate, organise, rehearse, perform, notice, sense-make, adjustment, celebrate success, believe.  
High reliability leaders: listen to grass roots, understand levers, play jazz, develop shared story, use language of creation not blame, constantly revise rules base, raising awareness not enough – need to change behaviour, go broad and deep, embrace systems view, set own agenda, talk about justice, equity and compassion, heart and backbone.

Good leaders have answers; great leaders ask Qs – Eureka moment  
Gift – gift of being heard  
Listening is about me, being heard is about you.

Ends with story: 'why listening matters'

Very very emotive story about A and E – death of worker. Gift of being heard

Finished on that note – 'the gift of being heard'

CS3: Thanks to [guest speaker's first name] for masterclass –  
[very abrupt ending especially as such an emotional ending – left participants with  
deep feelings]

Follow-up comments given to [guest speaker] – 'talking from the heart',  
'inspirational'

CS3: Thank you, brilliant

#### iv. POST-INTERVIEW TRANSCRIPT

R: With regard to the event, what I've done us try to go through different phases of it, different aspects I suppose. And I'm trying to look at this in relation to the ideas you had before, the discussions in the team and also some of the theory I've been thinking about around how change happens. So that's what's implicit in some of the questions.

So, what was the overall aim of the event? – I've unpicked some of the things that came out of some of the different interviews and conversations

CS3: The first aim was to satisfy the Chief Exec because he asked us to hold the conference because I hadn't really thought of having one at that stage until he said 'do one', and then when we started to think about it, some of it was about showcasing what we'd done in a different way, so using stories, and some of it, a lot of it as you probably picked up at the team meeting, was about us modelling to the organisation 'if you're going to put a conference on, here's a different way of doing it to how you normally do it as an organisation.'

R: What did you think the Chief Exec wanted when he said 'put on a conference'?

CS3: Because we're a successful, high-performing team, I would say that wouldn't I, in his eyes certainly, so that's good enough for me,

R: The OD Team?

CS3: The OD Team, yeah, he's always looking externally as you'd expect the Chief Exec to do, so he wanted to show off that, because we're the team with the goodies, we hand out sweets, and so it was good to talk about what the organisation is giving to our employees, so I think that's why. And also, I think, to butter us up to help him with his PhD

R: Laughter – what's his PhD on, OD?

CS3: Well he's changed it to a Masters now because he was given a PhD by [University name] so he doesn't need one any more

R: But that doesn't count

CS3: I know but it's tickbox you know – it ticks the boxes

R: So he said he wanted one. Your understanding of that was he saw you as a good team and he wanted to show that off a bit and also to say 'aren't we doing wonderful things for our staff through this team'

CS3: Yeah

R: and then part of that gave you an opportunity to use stories, to show how stories can be used particularly as a different way of doing things

CS3: Yeah and having the workshops and the coaching and only having half a day. I didn't feel I needed to go to anyone and say 'I want to do it like this, can I?' Once we'd agreed we could do it I then just thought 'we need to show people what we can do'

R: So you got the permission

CS3: Yeah and just flew with it

R: And this idea about preaching to the converted or winning new recruits, I guess that was part of, I wondered about the people who were coming because I think there was some discussion in one of the team meetings that some of the people who were coming, I think there was a quote, 'they already know what we're about now' and I didn't know if there were other people who were coming who might have been told to come by Chief Exec or managers who really didn't know much about you guys

CS3: That really wasn't on my, kind of within my sight until after the conference. For me, part of it was about our partners and people from the SHA and Execs, part of it was to give people who were on our programmes some stuff but I didn't realise that other Heads would send people to it. So I saw some faces and thought 'how on earth did you get to come here – I've never engaged with you before' and I spoke to those people afterwards, they were told to come and didn't want to and loved it. So that was like added value – they really weren't on the radar. They will be this year but I just didn't think of that.

R: Unintended positive side-effect. So we've covered your aim vs the commissioner's ie the Chief Exec's aim.

So then there were a number of different openings. There were your opening comments – what were you trying to achieve with those? They seemed from the outside to be very 'house-keepy'

CS3: Yeah, the biggest thing I wanted was for everyone to understand how hard the team had worked to put the day together. If I didn't say anything I wanted to say thanks to the team – it's been fantastic the way everyone's worked together. I said that and thought the rest of it just hand over to the speakers. I wanted my team to hear me say that in that room and I wanted everyone else to hear it.

R: And when you say you wanted your team to hear you say it, what did you want them to take from that?

CS3: Because there's no-one outside the team, I mean you know more than others, but there's no-one outside the team knows how much stress, hard work, all the rest of it, it took, and there's only me and the rest of the team so no-one else could say it. Kim could say thank you but there was no-one who could stand up and say 'I understand how much you put into this and I'm really grateful for that'. That was it really.

R: And did you brief the Chief Exec on his opening comments and what did you want it to do?

CS3: Yeah he totally ignored me

R: So what was the plan vs what was the reality?

CS3: I wanted him to say 'here's what OD gets the organisation', here's what he's seen over the past 12 months.' So I had three bullet-points on a slide and 'here's what he'd like to see in the next 12 months in terms of organisational development'. He totally ignored it and I can't even remember what he said because when he started I thought 'it's his usual...', I mean he's always good when he stands and the way he speaks. He didn't say what I wanted him to. That's his prerogative isn't it but I was disappointed. And I guess part of that is I was trying to nail him down to actually say what he thought because I've never heard him say it. I thought 'here's an opportunity to get him to say it' but of course he didn't.

R: A bit like your team hearing you say what you thought about them, it would have been good for you guys to have heard what he thought about it in front of other people.

CS3: Yeah and what he wanted in the future. But he's not the kind of guy you challenge on something like that. You just thank him for turning up you know and I think he stayed for [guest speaker]'s bit as well which he usually just pitches up, does his thing and then pisses off, so that was good.

R: So in some respects he lost a bit of an opportunity there, didn't he, to underline OD but c'est la vie.

CS3: Yeah. I don't think he would feel like that. He'd feel he just said what he needed to on the day. But it wasn't his usual 'oh times are hard' and all that so we didn't get the real depressing speech.

R: There was lots of stuff about awards. What does he symbolise? We had conversations over one of the coffee breaks or something about how hierarchical

these [focus of] organisations are so there's something about him that might be different to, say, my Chief Exec coming, where [first name]'s just [first name].

CS3: He's selective as to where he pitches up and says something. I mean he couldn't not turn up because he asked us to do it but then most of the people in the room didn't know that he'd asked us to do it, and so him turning up, standing up, saying something and then staying for longer than the amount of time it took him to speak did send a big signal to the officers in the room; they would have got that. So it brought us kudos, if you like.

R: And what about 'well if the Chief Exec says this is what we should be doing then we should be doing it' kind of feel to it?

CS3: Yeah but he always says that so anything we produce he's always at the front saying 'I want you to do it', he always sends those messages.

R: What's the relationship between what the Chief Exec wants and the criteria for success of OD and the event?

CS3: He's very transactional and very into showcasing the organisation, you know, so when we had the day of industrial action across the NHS we sent [resources] to London and somewhere else so we're supporting London on the day of the, you know., because we're so great and so well-organised we could do that and we could and everything ran smoothly here. He loves that outward show of 'we're fantastic' which is good but he's very transactional. It's like what would be a tick; what can I put out there so people know how great we are.

R: The other end of it were the closings, we had the Director of HR and the Chair of the Trust and then you did the final, final closing

CS3: I can't remember saying anything at the end.

R: I think you said 'thank you' and 'there's a workshop on..'

CS3: I've got no recollection. I can remember I really wanted to be the first person to stand up and welcome everyone and say ' my team are fantastic'. What happened at the end I have no idea. The Chairman had a brief. I briefed him verbally three or four times and gave him some notes and he just rambled on like he always does. I didn't give [first name of Director of HR] a brief; she asked for one – I said 'you're my boss, you know what my team does. You stand up and say what you want to.' I can't remember what she said so it can't have been bad but I can't have been blown away by it, but the Chairman, everyone knows he rambles on about anything random.

R: He gave quite a different concept of leadership. The leadership stuff up to that point had been very much about being WITH your people and he was the more military charging from the front, which was quite interesting

CS3:I can't remember what he said. I just remember thinking 'oh that's not what I asked you to say' but at least he didn't bring out his Everest story of leadership which is 'if you are a leader you have to take tough decisions' and this Everest expedition where they decided to leave some poor bugger dying on the mountain was a great leadership decision. At least we didn't get that.

R: We got that one, which I thought was a quite valid point, that if you have to point to your rank to justify your position then that really isn't a good leader.

CS3: Yeah, a good thing to say.

R: So he was briefed – what did you want him to do?

CS3: I can't remember. I did want him to say stuff about leadership because we wanted to leave people with the thought that that was really the focus of the conference, it was about leadership; [guest speaker] and his keynote speech and his action learning set, the whole day was about that. I knew when I was briefing the two of them that they would say what they wanted anyway and, as soon as I saw that my slide hadn't gone up for [Chief Exec] to do his bit I knew he was just going to say what he wanted. But that's OK - he turned up.

R: So his was more about his physical presence really, that said it all.

CS3: Yeah absolutely.

R: And so, within the Trust, does the Chairman have quite a, is there a symbolic significance to those two – to [Director of HR] and to him?

CS3: Not [Director of HR]. [Director of HR], I thought I can't not ask her to say anything because she's my boss I suppose so I didn't think she had a particular part to play. I just thought I ought to get you to say something at the end. There was no strategy to that. But [Chief Exec] and [Chairman] do tend to top and tail so if it's an award event or something like that [Chief Exec] goes first, Chairman wraps it up, it's just how they do things.

A: Ok so it's a sort of ritual ending. And then your's, you can't remember much

CS3: I can't even remember doing it

R: Or 'thank God we got through!'

CS3: It was probably 'go and have your lunch and then go to the action learning set' – something like that.

R read out some of quotes from closing speeches

CS3: I don't remember any of that!

R: If the event was defining OD for the organisation, whose definition of OD were you using?

CS3: I really like that question. I think that's really interesting. The Chief Exec doesn't have a definition of OD that I've heard. I'm assuming that because everything we've done has been signed off really easily that either he's looking at my model and thinking 'that's fine' or the two marry up. Usually he looks at what other people are doing and decides whether he likes it or not. So, I don't know that he's got one. The intention was very much for us to define OD for the organisation at the first conference, hence the stories, across the whole spectrum of stuff that we do and I would hope that's the definition people went away with. I think they went away with some leadership stuff from [guest speaker], I don't think, or certainly from where I was sitting, you might disagree, my perception is I don't think they would've looked at [guest speaker] and thought that's the OD definition. I doubt people have thought about it in that way, but I think they would've seen the team, seen the stories, seen the stuff on offer and made those connections so that people that were there would understand what me and my team were there to do and therefore that's what OD is for the organisation.

R: So all the dots were there

CS3: Exactly

R: And it's just making sure that they joined them.

CS3: Yeah. Because I thought about that. I thought did they go away with [guest speaker]'s definition? I think they would have gone away with his definition of leadership, which is what I really wanted.

R: And I suppose if a fair few of the attendees had already done leadership work with you then they'd know that there was more, that that wasn't just OD, that OD wasn't just leadership.

CS3: Yeah absolutely. What was interesting that some of them that were there, the week before we'd been talking about Johnson Schell's the cultural web and the paradigm and what it meant. When [guest speaker] really defined it in a really neat way, I looked at them, they were all going 'oh yeah I get it'.

R: Of the three strands of the OD strategy, that's your 'strategy on a page', building, achieving and supporting, which ones do you think you were showcasing most of?

CS3: When I looked at that I found that really tough. I would hope that probably the 'supporting' bit is probably what came out the strongest. I think people who turned up and didn't know what we were doing around sort of this, people would have known about the leadership, but not necessarily about the rest of it.

R: yeah, because this is more behind the scenes in a way, performance management.

CS3: That's the next conference, systems thinking. So I would have thought it was around that

R: ...engagement

CS3: not, people wouldn't have had that on their radar. So I think mostly the 'supporting'. But I think, in seeing us all there, as you put it so well, joining up the dots, then those people there know what we do regardless of whether they could articulate it in this way.

R: OK. Now was that a decision to not look at the 'building' or to focus on 'supporting' or did that just emerge?

CS3: No the idea was to get people to understand what we've done so far and see what we do and also to experience that modelling bit. So it certainly wasn't to help people to understand our strategy. But if anyone picked that up or looked at it [strategy on a page] then hopefully they would have recognised bits, 'yes we are doing that'

R: So the systems thinking is this year's focus?

CS3: Yeah. We're light years away from it but we're doing some research. I mean we aimed high – we tried to get Terry Leahy, we tried to get the group HR Director from Aviva who's big in systems thinking, we tried to get the Chief Exec of Virgin Money, because she comes from [West Midlands] so I thought 'there's something I can play with' but I was really disappointed with how long it took her to say 'no'. So then I went to Coaching Conference last week and there were two guys there who've just written a great book called 'Challenging Coaching' and I thought 'they're talking about the way I like to coach people', high challenge, really engaging speakers and part of their model is about the whole system and I thought 'there's a thing' because we need to get it out there gently because we wouldn't necessarily label it, the conference, as about systems thinking, it's more about that personal impact on the system, and they're going to be fab at that. I'm getting really excited already. I said to them, 'how much are you going to charge us?' and they

said 'what did you pay your speaker at last year's', 'nothing', 'we'll come for nothing - we'll talk about what you can do and what you can bring so we get a profile'. Fantastic.

R: I then tried to identify all the different elements of the event – this might be relatively quick – so if we just look at the aim and whether it achieved it really. So, the opening speeches, what was it you wanted those to do?

CS3: Well I've talked about mine haven't I. The Chief Exec, we've talked about that one, haven't we. I think we've done the opening speeches.

R: The keynote – that was [guest speaker], wasn't it

CS3: Yeah. My aim was to get people excited about leadership from someone who does it in the NHS, so they can't say 'oh yeah, it's alright for them to say that – they work for Price Waterhouse Cooper or whatever' and absolutely job done – people are still talking about him, funny enough. Unfortunately his head of OD who moved into Ops for a bit to decide where she was going has stayed in OD because he was going to ring me up to say 'you coming then'. Never mind eh. So keynote, absolutely. Workshops were to give people a taster so they'd take something away personally. The feedback was really good for those – have you had that from [OD team member]?

R: Yes, the survey monkey. And when you say 'to take something away personally', that seems to be a mechanism, about this personal connection. What do you want that to do? What's the idea behind that?

CS3: Because here we've got the culture that we have, it's driven from the top, until he leaves, that's going to be the prevailing culture, so building the OD stuff, particularly the leadership, it was always about getting people to understand what can they control, so all their own stuff, and their sphere of influence where they can start to seep some of this stuff out, and, sure enough, that's how that's working. So it's always about individuals or going in and doing some work with teams because we're never, unless he leaves, going to address the organisational culture in a transformational way. So it's always about changing hearts and minds in small numbers. When I was talking about the two guys that are coming to do our keynote speech next year I said 'you won't see any lightbulbs come on. But what I really want is a string of fairy lights' and that's really how I see it. You don't have kind of the big, I mean there were some people who personally had big lightbulb moments but they won't be organisational ones

R: That sphere of influence thing

CS3: Yeah and the systems thinking is about trying to connect those fairy lights together a bit more. That's my current metaphor for it anyway.

R: And what about the coaching? Speed-coaching, it was, wasn't it

CS3: Yeah, I called it speed-coaching because I didn't know what else to call it really. I knew it was going to be quick but they weren't moving around. Not many people in that room will have experienced a coaching session and I'm not driving a coaching culture for the organisation. We're, again, looking at seeping it in, you know, we've got various things and that was just part of it, so I was really hoping that some people had never had a coaching session, that they'd have a really good experience and then want to know more. I've had positive comments but I haven't had anyone come and say specifically 'I want to know more about coaching' or 'I want to do one of the two day programmes'. So the only thing that, and I can't directly correlate it to the OD conference, is every time I put an email out saying we're running another two-day 'coaching for performance' thing it's always over-subscribed, but I can't say. And, again, it was part of that 'what can people take away with them'. You're going to remember that aren't you – twenty minutes with a coach – if that was effective you're going to remember it, hopefully.

R: And you'll know what that word means.

CS3: Yeah

R: OK, and the stalls in the hall. The ones in the hall were the OD team's stalls weren't they?

CS3: Yeah, it was part of the showcasing. I don't feel that was helpful really, because we couldn't man them, we didn't really have the time to man them. The ones that were manned weren't really visited and so, for this year, we've bought some display boards that join up in the middle like a star shape and will just put some stuff up there for people to look at so we won't have our own bits, because that didn't really add anything. The bits that did were the book of stories we had up on the thing except it was going when [Chairman] was doing his final, I was going 'someone turn it off!' – it was really distracting – and things like the work experience DVD. Those were the things that people stopped and looked at. So we won't bother with the stalls. I guess we felt we needed to put them out there because it was the first one and we're asked to pitch up with that stuff at various events internally, so it was like an automatic response.

R: Well. Also, you've said earlier that there was something about joining the dots, they were some of the dots weren't they.

CS3: Yeah, but we won't do it next time

R: You won't need to if it's not about 'this is who we are', next time, if there's a more specific function to it that isn't just about 'hello, this is the work we've done, by the way it's called OD'. You might have moved on from that one.

CS3: Yeah

R: And it's got to be more exciting – that's what [Director of HR] said – you've got to have stalls that move or something! Lots of fairy lights, disco lights!

CS3: Yeah – the stalls outside. I kind of got mixed reviews on that. The stalls outside for me were 'well if our partners are pitching up and giving us coaching and workshop sessions, we have to give them an area where they can market themselves'. So that's what it was for. And there were mixed reviews. Some people thought that they were busy at certain times of the day, other people thought they looked empty all the time so I really don't know but we wouldn't change that, if you're coming to give us something we have to give you that exhibition space, if no-one comes to you, sorry you had the opportunity.

R: And it was a good location because it was where people were getting the drinks. In some respects you'd think the traffic would be funnelled there rather than in the big hall. So the DVD was the stories wasn't it.

CS3: No the DVD was the work experience

R: Oh that's right. There was the DVD and a plasma

CS3: The DVD was in the plasma

R: That thing going on over the stage is what I was calling the DVD. What did you call it.

CS3: That was the.. we did find a name for it in the end. I can't remember what it is now

R: OK the document with no name

CS3: The aim of displaying it was people do sit and like to look at things every so often and so if people didn't pick up the paper copy they could look at it and hopefully some story or a photograph of someone they knew would catch their eye and they'd get the idea that it's not facts and figures, it's people saying what a difference this thing they've done has made to them.

R: Personalising again

CS3: Yeah and if it hadn't have been switched on through [Chairman]'s presentation that would have been perfect. We got lots of really good comments but we did get some about how distracting it was. I was thinking I was distracted (laughter). I just thought 'please don't turn around [Chairman]' which is maybe why I can't remember most of what he said. I was just aware this thing was going on but I didn't want to just stand up and turn it off which I should have done I suppose.

R: The work experience was what I meant by the plasma, the one outside.

CS3: And that was the modelling bit. Us saying 'here's a way of showcasing what the Trust does in terms of the kind of jobs people do. This is a nice way of doing it'

R: So the document with no name – I know you weren't calling it an annual report

CS3: Exactly. We wanted to show, again, what had been going on through real stories. That modelling was the biggest thing – let's show the organisation what an alternative annual report could look like and story-telling's a great way of capturing data. People loved it. We've had so much good feedback about it and, what we've done as a result, is every team meeting we collect more stories. We put them out in the weekly briefing and so at the next conference we'll have a whole pile to choose from. We've got [x] University doing a case-study with one of the teams – there's some great stuff came out about the Leadership Programme from the [specialist internal] team – it's about incidents. They're the sexy part of the service, they've got the toys, they're like superman running out. They've had some real results that they've attributed directly to the Leadership Development they've had from high up, one of their senior guys. I said I'd love to collect some of that to put in this thing and I thought no, so [x] University have gone in and are doing a whole case-study around it. So, again, it's about showing people. What's the point of number crunching when you can...

R: So they've got the idea, they liked the document and you've been able to make it even better with the same principles for this year. Has there been anything about whether people have been thinking or then started to collect their own stories to do their own document?

CS3: One or two small green shoots but not a huge amount. I'm trying to think where and when people have said that. Certainly in meetings you hear more about it but I wouldn't say it's a huge success in terms of turning things around, but for me that's one of those 'drip effect' things, so every week, not every week, once a month in the weekly briefing there's an OD story of the month, so at some point someone's going to think 'it's alright for them showing off – we'll show off a bit'

R: OK. Masterclass. That was [guest speaker]'s other bit.

CS3: Yes that's right – he did a masterclass and he did an action learning set and he just offered to do it. I was like 'thanks [guest speaker], you'll be able to get away by whatever' and he said 'no I'll stay the whole day – what else could I do? I could deliver a masterclass and I could do an action learning set' and so it just underpinned the leadership theme.

R: And the overall structure of the event. Was there anything you were aiming for in the way you laid it out, one thing that struck me was the front table. It was only after I was there for a while that I realised that the great and the good were at that front table

CS3: I felt we needed to reserve some places at the front for people who were speaking [POINT IS THAT OD TEAM WEREN'T ON THAT TABLE!]. [Chief Exec] chose to sit at the back with his coterie. I liked the venue because we could, I wasn't that bothered about where the exhibits were but I really wanted the workshops to be in the room. The coaching in the room was a mistake – we're going to do that differently next time – and we won't have as many workshops but I still believe that's the right thing to do. Visible, people could wander, so if one was boring then they could wander to another one or any of that stuff, so we'd have, we're just going to have two and have them for half an hour instead of twenty minutes based on the feedback that we've had, we'll have the coaching somewhere in different rooms if we decide to do that.

R: I suppose you've got two different kinds of conversations. Workshops where you might be a bit cautious about committing but if you can stand on the edge you can have your attention caught, but coaching's quite a private conversation so you'd see two people having a chat really but beyond that it's not something you'd join.

CS3: No, the only one that was a problem was the one that was in between the two workshops. The one on the stage, there were a couple on the stage, they were OK so it was just that bit. So I might still keep one or two tables somewhere but..

R: Then I tried to pick out what I thought were the key mechanisms or themes so maybe you could talk a little bit about each of these and if there are any other ones that I didn't spot. So we talked about the stories – I know there's a big 'thing' in OD at the moment about stories. Do you want to tell me about your story about stories or what stories do as opposed to numbers – you were talking about the number-crunching, for example, in annual reports vs the stories

CS3: Oh there's a whole raft of things for me. It makes it real because you're putting a face to a name – someone says 'I've done this and here's what happened to me as a result' – and the you might think, 'oh, if Fred can do it, maybe I'd get something like that from it'. It engages a person's emotions, so it's more right brain than left brain, I guess. You see a row of numbers and you think 'that's great we've

done a quantity of stuff', so there's the focus on quality because I think quality and feelings and behaviours and things shine through, don't they, they come out of stories. I think it's that, the biggest thing is 'wow that person's done that' – isn't that why we read biographies and autobiographies and stuff, it's like 'wow, maybe I..' it's that courageous goal rather than a smart goal you might then set yourself.

R: So there's something about it triggers an emotional response

CS3: Yeah and maybe helps your belief that you could achieve something similar

R: They're like me

CS3: Yeah

R: And then personalising would be related to that? Or maybe personalising is how the stories work?

CS3: If you were to ask me about a key theme that wouldn't have necessarily been one for me. I'm not saying it's not or it wasn't, but it wasn't part of the plan, if you like, to personalise. I'm not sure what, do you want to explain a bit more about

R: I guess it's a bit like the 'well he's like me therefore' it makes it very personal so I would find it as an individual harder to resist that or push that away, so some of the personalising could be about emotion, some of it could be identification at a personal level rather than at a role level. Some of your stories in the work experience were very, different kinds of people, you pick 'people like me', the different ethnicities, the different genders, the different roles at work, so it makes those webs of connection stronger if that's what then produces the 'maybe I could do this too'

CS3: I'm not sure I spotted that as a theme. I guess, if anything around the personalising bit, was my concern that people take something away for themselves, hence the workshops and the coaching and a kind of inspiring speaker and whatever

R: Connection. That might be emotional connection through the stories, you've mentioned that a bit, it might also be connections at a people level, connecting to experiences

CS3: Yeah and people making connections around what they've experienced on the day and themselves and doing something with it

R: The dot-joining

CS3: Yeah, my biggest hope is that people get a bit of a lightbulb and then they walk out and they do something with it

R: Yes, and that's the trick isn't it. How you then convert that 'hearts and minds wow' to 'what do I do differently now?'

CS3: Yeah, absolutely. And also with the team, the whole team being there. People know [team member] very well for one thing, they know [another team member] very well and [another team member] very well and a lot of people now have come into contact with us, realise that we're all on the same team but a lot of people don't and to see us all there together, they'll think 'oh, that's where [team member] belongs, that's where..'. You know, that kind of stuff

R: OK, another thing that seemed to come through a bit was pride. That was particularly, there were some bits in [guest speaker]'s stuff about pride – I can't remember if it was the masterclass or the keynote, but also there were things about.. Tell me about pride

CS3: Yeah I think we did take a lot of care and attention in how the day was going to go and, I'm not a details person but, oh boy, did I get into the details of everything to do with. I'm absolutely not – I mean if I'm building something then that's different. But [team member] said to me yesterday she put a meeting in our diaries and she said 'I need you to get into the detail today'. They know to say that to me because I'm just really not, but for that I did and that is about, you know you only really get one chance to make a good impression. We only get one chance to put something on the table for the organisation, so every time we're doing that for the first time I do, I don't worry about it, but I'm aware that we've got this thing that we get it right first time because you never get a second chance, not a real one and so there's that pride in the attention to detail, in the care we took to make sure that the people booking on had a good experience, that whole thing was around that. Not just to make a good impression because we genuinely wanted people to feel comfortable and welcome and all that stuff but we, the way it was approached really showed that we all had a huge sense of pride in showcasing the stuff and wanting to give people that experience

R: How about whether there was anything about people then making that connection with them being proud of being part of the organisation, proud of the work they do. Is there something like that a kind of mechanism that you'd want to encourage people to strive really. You've talked about courageous goals

CS3: Yeah, the Engaging Leaders programme is really about that. I think courage and pride kind of go hand in hand you know. For me courage is about you try something no matter how scared you are, bravery isn't about not being scared is it, and people forget that I think, and so when I say to these guys, 'do you realise what you've just done? How fantastic is that and how brave was that', they kind of

go 'oh my god, yeah'. So there's definitely that link between courage and pride. And some of what people will have seen and heard they'll have heard about before, they might have tried it, they might think it's a good thing so there's also that underpinning what people might already believe. I don't know if that answers the question.

R: One of the places I particularly noticed it was in the Chief Exec's opening comments; how many awards we've won, you're part of a suchsuch organisation, we're up for the HSJ award again... and now look at what fab things we do too.

CS3: Yeah, there is a sort of sour side to that though listening to him. He's right, there's a lot to be proud of but the places where he talks about that is not where Joe Bloggs [in work location] would hear about it and so it's always to the same audience and that was no different because the Conference was only open to senior managers or if you're on the Leadership Programme if you're not a senior manager. I'd love him to go round the [workplaces] and talk to people about that.

R: OK. One of the other ones was about inspiration

CS3: Definitely, a big goal certainly of mine and I know of the whole team was just to inspire people just to try something, to see there's a different way, to listen to the stories, to the speeches and to talk to each other and to feel like when they were walking out I really wanted people to think 'hang on I'm going to try something' and I think the evaluations captured some of that but I got a couple of strange comments I have to say (laughter) if you look back on the survey. I can't remember but there was one that stood out and I thought 'God there was a right nutter in the room, he doesn't even know..'. Definitely. We actually use it as one of our logos for the work experience, kind of about inspiring, we use the word there as well.

R: Values was another one. I think [guest speaker] talked about connecting to values. There were a few comments that were about what was the value that these connect with for people and I guess that then would produce emotion

CS3: I think the biggest context around values from us was the way in which we did the conference so, hopefully, underpinning our organisational values. It's something we talk about quite a lot as a team. It's one of the first pieces of work we did when I arrived was 'how are we going to publish to the world how we support the organisation's values?' and so we've got a document that has some bulletpoints on it – they're part of the strategy – and we've built a competency framework and a self-assessment against the values and stuff so one of our tests, we've got various tests, like 'what can we show people rather than tell them?' and those kinds of things and the big one is that we're supporting the organisational values, and so we didn't say anything explicitly but, hopefully the experience that people had, you know they would have had that sense of some of those values.

R: OK. The last one that I picked up on, there might be some others that you were weaving in, was emotion, lots of emotion.

CS3: Yeah, tons of it. I knew that [guest speaker] was going to reduce people to tears because I knew, obviously we had a number of conversations before he came. I didn't say 'make everyone cry' – I could have done – but I knew that what he talks about is always at an emotional level, at some point he gets to the emotional level so I knew that was going to be there. The coaching I knew was going to generate emotion. I knew that the opening and closing speeches weren't probably but it was definitely because how else do you, what is the driver for changing what you're doing? Mostly you want to change how you feel about something and so... Everyone's going to remember the story of the porter aren't they

R: So the emotion is that sense of either discomfort or compassion, is what then makes people want either less of a particular feeling or more of a particular feeling and that changes their..

CS3: It's something that, as long as I've been in OD I've always used, just thinking that my last place, an acute Trust had horrendous issues with the way people, patients were being treated, relatives being treated by people who had no idea they were having this impact and the typical thing, the Execs said 'oh put on a customer care programme' so I said 'yeah OK' because, again of someone doesn't say 'do it like this' I'll say 'yeah I'll do it my way thank you' so I'll never forget the first sessions around with the stroke team where I collected their complaints, I read them out in the first person, these letters, and there was one, it was just, the people, there was a charge nurse in tears and some of the women were crying and I said, you know, 'how does that story make you feel?' Oh, out it all comes – 'we wouldn't do that here' so then I say 'how would you feel now I'm telling you that it happened in this Trust?' 'Ah!' and then the punchline, 'how would you feel that now that you know that at least one of you in this room made these people feel like that?'. It's job done, you know. "Is that what you intended?" and then into that 'so what are you going to do differently?' We didn't need to talk about anything else. Give someone a story that either confirms how they should be or holds the mirror up to say 'do you realise you're like this?' Unless they really want to have that impact, it's job done. I never had to go back to that particular team

R: Did you do the 'how do you want to do it differently?' or did they carry that forward themselves?

CS3: No, because they had to own it, so it grew into this whole big thing so with that team they then had, I brought the toolkit here actually but we haven't used it yet, then they had a whole structured thing of how to draw up their action plan as to what they'd do, how they'd monitor it and then I set up a steering group and they had to feed in stuff every three months and it kind of grew and grew but then they

had this toolkit to use so if they were having particular problems around telephone or whatever it was, they could just, all the materials were in this toolkit they used together and then I'd just pitch up if I needed to. But I always did those opening sessions that tapped into their emotions and got them to start building their action plans. Sorry that's got nothing to do with this but emotions a big thing

R: It's how emotion works

CS3: Yeah, it changes behaviour

R: Within the conference I noticed it was quite interesting within [guest speaker]'s keynote that he starts with these stories as like a warm-up and then there's a 'now I better do the proper stuff' and on goes the PowerPoint and I thought 'ooh, so that's not the proper stuff?!"

CS3: After about an hour, yeah

R: Which is the proper stuff really? Psychic prisons, is that really the proper stuff, or is that stuff about the porter the proper stuff – it was quite interesting. One maybe not designed but an unintended side-effect is that it de-emotionalises it. As soon as you've got a PowerPoint up it's all back up here (head), nice academic kind of frame

CS3: That's right, unless it's a picture or something. Everyone here knows I hate PowerPoint. It's got its uses but they're minimal. You remember how people make you feel don't you, you don't necessarily remember any of the other stuff and what drives you to change things is how you feel about it usually, isn't it. So

R: What do you think worked really well?

CS3: In terms of a missing theme, I think the biggest biggest biggest theme was modelling and I don't know if that came out or not. For me that was, that was the biggest point of it for me. We're doing it this way so you can see a different way of doing it

R: And, again, show rather than tell

CS3: Yeah, absolutely.

R: What do you think worked really well?

CS3: [guest speaker] worked really well. I knew, I had absolutely no doubt that he was going to push all the buttons that I wanted him to, that people were going to think he was great, like they did, and what he said, and most of the conversations have been about that and I knew they would be

R: And how did that work – was that to do with the stories, personalising, the emotion, all of those would kinds of fall together or was it something else that you wanted from him?

CS3: Really, I wanted people to kind of feel, almost a kick up the backside, a wake-up call. We always make excuses in the NHS, ‘it’s because we’re public sector’, ‘it’s because we’re this’, ‘it’s because we’re that’ and they’ve had this transactional, command-control bully at the top of the organisation for the last four years and I’m not convinced it was that much different before he came along and I wanted them to see a Chief Exec at that end of the spectrum, completely the opposite end of the spectrum. And we know that causes just as many problems for the people who work for them, in some ways it’s easy to work for [Chief Exec] actually, it’s less challenging

R: He’s a lot clearer probably, very black and white

CS3: Yeah. This could be scary for a lot of people rather than exciting. But, nevertheless, totally at the opposite end of the spectrum. So I knew that when he pitched up he was going to look very different, I knew he was going to be dressed informally. He looked at me as if I was mad because I met him the night before, we had dinner, and I said, ‘when I introduce you don’t think it’s odd, you have to call him Mr [surname of Chief Exec]’ and all that kind of stuff. And so, totally informal. I guess what they didn’t get was how much he holds people to account. Even though he’s so informal, whereas this guy’s very formal, but, actually, you can get away with all kinds of stuff as long as you’re pressing the right buttons for him, but it was that model of leadership, you know. I can remember [OD team member] saying, when she first met him that morning, he came, she was fussing around him, almost trying to be like a PA, ‘let me set up your..’ He was ‘it’s fine, I can do it myself’. That stayed with her, that hugely impressed her and so other people will have seen, they’ll have worked that out for themselves, here’s two ends of the spectrum, and he’s a successful Chief Exec in the NHS so, this, [Chief Exec] doesn’t mean success necessarily in the NHS, even though he’s leading a successful organisation there are other ways.

A: Yeah, our Chief Exec is a lot more like [guest speaker]. You call her [first name], you give her a ring, you pop in, you have a talk about ‘life, the universe and everything’ before you get anywhere near what you were talking about. Having said that, if I get an email saying [Chief Exec’s first name] wants to talk to you I drop everything. So I was really surprised at how people were bustling around the Chief Exec of your service. I’d never seen it before. It was strange for me to see that. But then mental health trusts are a culture apart again

CS3: Yeah, if I was working for [guest speaker] and he turned up at that conference, if I was in mid-conversation I could have waved at him and then gone

over. As soon as [Chief Exec] walked in I knew, it was my conference I had to go over, see he was alright, do all that kind of stuff. I was in no doubt that was what was going to be expected.

A: So there was something about [guest speaker] representing a different way of being a Chief Exec

CS3: Completely opposite

A: so they weren't conflating success equals command-control

CS3: Exactly, exactly. And then the messages weren't, I guess they were secondary. I knew whatever he said would be great and people would get a lot from it, but I really wanted them to see that difference. They did. The first story, he talked about a couple buggering themselves . I thought 'shit, I forgot to tell him that [Chief Exec]'s gay' (laughter) because he never would have told that story

A: He was stood at the back we couldn't see his reaction.

So you wanted people to see that. What were the indicators that that went well? Was it just because you could see him there you knew that people would be able to make that connection or did you have, have you had people commenting on that

CS3: Oh people are still talking to me about [guest speaker]. They remember his name, they can remember the bits that they remember. On the day there was a silence, each time he spoke there was a silence, then there was applause and to me that's always, there wasn't a kind of 'oh he's stopped talking' kind of a polite thing. There was a 'god' and then the fact that so many people stayed for the masterclass. Well that's based on the experience they had in the morning isn't it. We're so busy as an organisation that if you can get out of something and have a free lunch that's what you do, so the fact that so many stayed was definitely an indicator and then he had, I don't know how many he had for the action learning set, I can't remember. There were 14 or 16 or something

R: I know the room was at capacity

CS3: Yeah so that tells me, and then the comments from the survey. It was just the buzz, you know, at lunchtime, at the end, people were stopping me and it's sustained – people have remembered things he said. [Director of HR] quotes the Eskimo thing to me all the time so I'm glad she's remembered that. I'm just wondering when she's going to take it on board (laughter) and do some leading from the side or the back – after FT

R: Are there any things you think didn't work so well?

CS3: The other bit about how did it work is the team effort. For me, absolutely job done. No slackers apart from [OD team member] and I managed to get her off the team (laughter)

R: I did wonder if she was going..... One of the things I noticed about team meetings is 1, people were always there at least 20 minutes before the meeting started and, when there was a break, they came back bang on time without anyone telling them

CS3: Without anyone telling them NOW because when I got here, you know you talk through about what's really important, I said 'if you're on time for a meeting, you're late. If you're 5 minutes early you're on time. Otherwise if you arrive on time don't start making a drink or anything.' I only had to say that once which is great...and then I turn up late for the conference! (laughter) And it's such a big value of mine, it really is. So the teamwork was just phenomenal. They lived, breathed and ate the conference, they really did. It was great.

R: So a good indicator for you was that? It sounds like you were saying you had to build that, you got, what did you call it, the 'odds and sods'

CS3: Random people

R: Random people, and you had to construct something. What do you think didn't work so well then?

CS3: Having our exhibits because they weren't visited but we probably needed them there but they didn't do anything. They didn't detract from anything but they didn't add anything to it. I think we had one workshop too many and they were too short so for next year, two workshops and we're going to extend them to half an hour so they'll be a bit meatier. As I said, having all the coaching in the room wasn't a great idea

R: So a thing about the workshops, the way you've assessed them, not the workshops, the stands, the way you've assessed them is that there wasn't enough traffic around them, they weren't engaged with particularly.

CS3: We couldn't man them

R: So you couldn't draw people in?

CS3: Yeah, rather than have those kinds of stands, we have just a display which says 'don't expect a person to turn up here'. It's just, you know, that would be better.

R: And the workshop sounds like it was based on feedback or perception that they were too rushed and too superficial, maybe, if you're

CS3: Some people, I mean the feedback in general was great. Some people felt they were too short. I think the main issue was, again, over on the west wing, they were right opposite each other. So mine was on its own and I didn't know about anything else that was going on in the room, I was having a great time thank you, got my own little audience, you know, lovely, but on that side of the room they were a bit in battle with each other. And, of course, it was also two opposing consultancies so that didn't help. So, I'm thinking if it was that room we'd have just two diagonally so they were nowhere near each other but still in the same room. And maybe a bit longer.

R: Any unexpected gains or unexpected losses for you?

CS3: We talked about an unexpected gain before and I can't remember what it was now, right at the beginning, so when you transcribe this, you'll know what it is! It was around one of the questions you asked me, an early one. I can't remember now. Unexpected gains – oh yeah, I know what it was, the unexpected gains, people being told to turn up that we didn't realise

R: Oh yeah, people who weren't on your radar as added value.

CS3: Yeah, so that. Noticing them there and talking to them afterwards, them admitting they'd been made to go, not wanting to go and then thinking 'I'm coming next year' it was so great.

R: That was good

CS3: We have the clinical team who run two conferences a year have come to us and said 'can you help us a bit with our next one?' and we're also, the next ones are in the same week and we're going to try and go for the same venue so there's been a bit of, you know, so I think they want to use Event Elephant, and I think they liked the interactive bit, I don't know how far they'll go because it's very PowerPoint after PowerPoint but at least they've said that's really good and we want to do some of that. I didn't expect that, that was one of our goals but I didn't expect it to happen so that was really good. Losses, loss of face turning up f\*\*\*\*\*g late, that stupid hotel

R: And with your value of punctuality (laughter)

CS3: I know and that's why they thought it was so funny because they know what I'm like, I'm never late for anything apart from that and our meeting in Sainsbury's (laughter)...It doesn't feel like we had any losses. There was nothing that afterwards I thought 'oh that wasn't great was it' there was nothing like that.

R: Then I went through the pre-interview and the aims that you picked out then, and so whether these are achieved. 'Confirming the organisation still thinks it's the right thing to do'

CS3: There are cost savings being made all over the place and my team has increased by one member this week. We've been given the go-ahead to have another conference in September, so at least one of us is going to be here still (laughter). We're still putting money into the organisational coffers, we're only costing it in terms of the payroll costs which they're getting back. 1.5 million we put in last year, we brought in and a lot of that went back into the operational side.

R: How did you bring it in?

CS3: Through various funding streams. So we don't get a budget, we go out and find money basically.

R: Oh I wondered if you went off and did bits of work for other organisations

CS3: No, but funny enough, [Director of HR] was talking about our CIP programme for 13/14 and she's got to save a million and afterwards I thought 'why not make a million instead of save it.' You know, if I'm getting bored and I want a stepping stone to do NHS consultancy, thinking of my own interests too, wouldn't it be a great thing for us to sell to other NHS Trusts. So I sent her an email but she hasn't replied to it. I'm meeting with her tomorrow so I'll raise it with her.

R: And your Leadership Programme must be saving them a fortune on not sending

CS3: And I have spoken to [local University] about us selling the programme externally. I'm tweaking it for the next two cohorts, the ones that start this academic year, and I think once that happens we'll be ready. It's the transferability. If you look at Leadership Programmes there's a huge gap of about 18-20% between if you have a coach and if you don't

R: Yeah so you got some indicators 'confirming the organisation still thinks it's the right thing to do' and you're right then about bringing money in. 'See the conference delivered in a different way'.

CS3: I think we've talked about that haven't we

R: Yeah we have. 'Awareness – stopped and thought about do we have to keep doing it like this'. It sounds like that's then translated into action when you talked about those clinical team conferences. 'Wanting more'. You were very concerned that people didn't start drifting off which was why it was a half day would they want more

CS3: Yeah and a lot of people stayed and some people have said to us 'why not you have a full day?' I think we're going to still go with Plan A and have half a day with an extra offering after lunch rather than say it's a full day's conference.

R: But then I suppose you're able to pitch it at different levels of motivation and commitment aren't you. So the action learning sets, people are already going to be on the bus

CS3: Exactly

R: Increased inquiries

CS3: We're doing a lot more consultancy-type work in the organisation. So, for example, we're asked, we've got a number of senior managers who can't seem to take decisions very well and so things keep going round and round and round in committees and nothing happens and, again, I wasn't told how to do it, just '[Director of Operations], wants you to do something'. So we built a problem-solving toolkit, interactive, six-stages, problem-solving, tools in each stage and so we've just built that, we've finished it. [Director of Operation]'s like 'this is fantastic'. Two workshops; one to play with the tools and one to do the mindset bit about how do you actually take the decision, do this, what goes on in here and he's given us a programme for how to roll it out. We've always had one-on-one inquiries, but we're getting more and more, so succession-planning framework I've built, I've done it. So meaty, chunky things. And again, as soon as somebody says 'we've got this problem' we solve it by providing a toolkit or something that people can access themselves and then we show them how to use it rather than we go in, run workshops, you know.

R: And there is going to be a niche in the market for that stuff isn't there. The NHS triple I, isn't it being disestablished as one of the quangos that's going, is it next year, they're going to need their toolkits from somewhere, because they can't get them from Warwick any more!

CS3: I've got about four or five. The next one I'm building is 'managing change' because we're crap at doing that so I'd love to launch that at the conference

R: So, that's good. The last one was 'more time thinking about the elements they enjoyed'. It was about the people who came and spent more time thinking about the elements they enjoyed. I presume that was a precursor towards them then getting to the point where they're able to act on their thinking.

CS3: Yeah. We haven't really followed up a lot of that because we did those, had cards and stuff for people to put down stuff and the ones that aren't anonymous, we need to follow up, but then I guess we might ask people at the next conference,

'here's some of what you thought you might do' and collect some data on the day about 'if you were here last year, what have you done differently as a result'

R: You could do with a Business Studies undergraduate on placement for a year, couldn't you.

CS3: Absolutely, we had a graduate intern for six weeks who wrote our values competency framework for us. She was fab.

R: What's the story you might tell of the event and to what effect? I guess the effect being what effect would you want your story to have when you're talking about that event?

CS3: I do tell the story a lot. Just this morning actually, with the network I had. I had one of the senior tranches this morning for one of their networks and the story is usually around you can make a difference. When I get people together, they don't moan but there is a lot about 'yes that's a great thing to do. How can I do that? That's never going to go down well' and actually, when we then examine it, I had someone in there today who's got seven [locations] to manage, 'so you've got the wherewithal to do all kinds of stuff, [first name], so actually what's stopping you, something that you're telling yourself, not your level of responsibility. So wouldn't it be great if you had a coach, mate' and I've agreed to find him an external coach so he can look at, well he's obviously, he hasn't seen that he has actually got some authority to do some stuff. Others in the room haven't. I've lost the plot with what that has to do with the conference, but we use it to say 'the culture is like this and we saw some of that in the conference and you're experiencing it. But what that showed was that individuals kind of make a difference', and so like this morning some of the people in the room weren't that senior, although they were band 7s. If you stay at a band 7 forever then all you're going to do is change how you feel about some stuff and what you do and that's great. When you move up the ranks, you'll be doing things differently and it's a long game, this culture thing.' And so I tend to bring that out during those cultural conversations. Or, I have said to people a lot, 'as an OD team we don't come out and tell you what to do. We hopefully show you a different way of doing it and if you like it you're going to try it' and we give the conference as an example and people sort of go 'yeah I get that' and if they were there they get it. Again, this morning, they're on module three which a lot of it is around teamwork and we were looking at the Tuckman model and I was trying to explain to them that you can't aspire to have your team performing all the time because they'll all get very ill and die and so I gave an example this morning of the conference; a huge amount of teamwork and we were, for three months we were at that performing and afterwards I knew I had to bring the team back down so we're just ticking over, getting the job done and all that kind of stuff. And, again, they got that. So, I guess there's the stories about what people might have got out of it and, also, it shows how the organisation is, how it might be, how you might do

something and why would you tell someone to do it, whereas if they see someone and like it and copy it

R: And it's an illustration. Here's something that we did as a result of the teamwork.

CS3: Exactly. So, yeah, I use it all the time.

R: That's good. Then this last question about the event. One of the things I've been thinking about is the relationship between the different cultures. So there's the OD culture, isn't there, if you look at it it's very humanistic, it's very egalitarian, making connections with people, valuing etc, but there's also quite a hierarchical culture in this organisation

CS3: Quite?! (laughter)

R: Yeah. So what's that relationship like, being a little bit, you didn't say this, but under the wire, getting it to happen at a personal management level rather than a big bang at the top – the transactional or transformational really –

CS3: Yeah, we've talked about why we get asked to do stuff by the Chief Exec and it's great that we're not told how to do it. That's where the two cultures support each other and because the organisation is command-and-control and very transactional and very action-oriented, so we keep running in whatever direction the bell's ringing from, that means we've got our stuff signed off really quickly, whereas my experience in a different kind of organisation is that it takes forever, sometimes people find it too scary, but it's like 'yeah we said we want this, just do it. That looks fine. Do it' and that's that transactional command-and-control culture helping us to move things forward really quickly. So there is a point at which they support each other. There is a point at which they obviously do that and that was always the risk with the leadership programme because people see there's a different way of being a leader and they're not experiencing that and that really, we've had some of those discussions today, and that's when you get the 'Stephen Covey's circles of influence' conversation. I think turning it into 'so what can you do?' and 'as you move up the ranks what are you going to do?' and I said to them quite openly today 'the culture's not going to change until [Chief Exec] moves on somewhere else and we get a different kind of Chief Exec. He drives the culture, he's leading a successful organisation. Why would he want to do anything differently? The fact that it's not working further down the ranks in different ways is something you need to manage and influence where you can, because that's how it is.'

R: I suppose there might be different definitions of 'working' because in terms of figures and productivity, presumably that's the indicator of a successful organisation, then that's what [Chief Exec] looks at whereas their work might be more about staff satisfaction, burnout,

CS3: We're measured against staff engagement as well, you see, because the CQC look at that don't they, so you can't just look at the quantitative. Like 'listening into action', the only reason we're doing that is to try to get the Staff Survey up and, guess what, our results were worse than last year, in spite of everything we've done. Is that because people's expectations have been raised, is it because there's still enough of the command-and-control stuff? You go to a [workplace] and people have no idea what's going on in the organisation so why would they think it's a great place to work? If you're a manager and you know everything that's going on and you've got control of your own diary, then, OK. I've forgotten the question now.

R: We were looking at the relationship between the culture of the [organisation] service and the culture of the OD, the ethos of OD.

CS3: So organisationally I think they support each other to a certain extent. There's going to be a point where we can't do anymore and we're not that far from it. I don't think the systems thinking bit is going to have any great impact on shaking the organisation up at anything other than maybe person or team level but we've got to give it a go. But we're certainly never going to aspire to be a full-blown learning organisation.

R: So one of the implications for OD in the organisation is you're going to be limited in how far you can go.

CS3: Yeah, exactly. We'll be doing more of the same kind of thing, maybe in different ways rather than developing it further.

R: So what are the implications do you think, then, for the organisation's perceptions of success of OD? If you can't do the whole kit-and-caboodle, it's maintaining that balance isn't it? Equally, if part of the consequence of some of the OD is increased dissonance for some staff, that will have implications, because they can either push further or reject, I suppose, because it's 'go back to how it's making people feel'. Have you got any thoughts on how that potential culture clash or antagonism, potentially, might then have a different set of feedback for the OD?

CS3: I don't think it will be an issue us not doing a broader OD offering because I don't think the organisation wants it. I don't think it wholeheartedly believe in that model of doing real workforce planning, for example, systems thinking, it's not on the radar. They don't know they want it and, if we keep delivering what we are doing, in the right kind of way, that will be fine. I don't think there's going to be a big enough outcry from the ranks, if you like, because the programmes aren't structured in that way. The band 6s, bright-eyed, bushy-tailed lot, they know they need to wait to move up the ranks and to start to, so I'm very clear when we get together that it's about their sphere of influence and doing things differently and also managing the political aspect of the organisation so we're already doing that

within the leadership programme. So when the stuff crawls out of the can of worms, we just look at the worms and talk about them and it's all about 'how can you feel differently about it? What can you do?' because the organisation's not going to change any time soon.

R: So one of the things you said in the pre-interview was something about 'people tell you what they want and you try to extend it for them' so can you imagine getting to a point where you might be able to or make the decision to influence the broader organisation on why systems thinking would be a good idea or proper workforce planning would be added value to them?

CS3: No. Not unless the new NHS system starts to demand it. I have seen some evidence that they might be doing workforce planning differently nationally, as an NHS. So, if the DH say 'you're going to do it in this way' then that's how we'll do it. And that's where we'll go 'we know how to do that, let us help'.

R: So it's a pincer movement. It comes from below and hope it comes down from above.

CS3: The systems thinking, how we're approaching it is we're doing our own research first between now and the conference, looking at what does the organisation say is the system and how it's supposed to work?, so the published structures etc, how are people experiencing the system at work? And so what's the difference? And, then, when we're talking to those people, to also say to them 'so tell us about the kinds of rituals and routines', so we take them round bits of the cultural web, we've identified the three rituals, routines, stories that we're really interested in that will give us more about what the system is like and then we look at what's safe to present but might provoke some thought. 'So you're saying it works like this. Some people have said it actually works like that. So what's that mean? What do we do about it?' If I'm the butterfly that causes the tornado somewhere else, what does all that mean? So we're already saying how can we present it in a safe but challenging way. I could get [Director of Operations] and [Director of HR] in the room and give them fifty examples each of where they're working in opposition to how the system could be but that's not going to do anything. So that's our thinking at the moment and then we've got these two guys who are coaches but who have developed this new model that includes systems thinking so they're just going to come and talk about personal impact on the system. Safe isn't it.

R: So it's that 'we'll make a little itch' that you can scratch

CS3: Yeah, exactly

R: But we're not going to bring you out in a total rash

CS3: No. So what do you want? Here you are, you've asked for this, we've delivered probably in a way you didn't expect but you've got what you want and we'll measure its effectiveness. In the background we'll show you some other stuff, in what's got to be in a safe way because the organisation isn't up for challenges, it really isn't.

R: OK. Then the last bullet on that, it may be an obvious question, is what was the OD culture represented in the event's presentations, workshops, artefacts? You've mentioned a lot of that but how would you describe it? What does OD culture, ethos mean to you? Because that's what's in all those stories and stuff.

CS3: It's helping people to want something different I guess. So the modelling, the behaviour, the values, we question we don't tell using coaching conversations, facilitating, all that kind of stuff is what we're about.

## APPENDIX 4: IDEATIONAL DATA ANALYSIS – CS1

### i. PRE-INTERVIEW DATA ANALYSIS

IDEATIONAL INTERVENTION	MICRO-INTERVENTION
<b>Relationship:</b>	
Communicate core conditions (trust, UPR, respect, openness)	Honest (p1, p2 p4 p5 p10), open (p4), empathy (p5), transparent (p13), nobody told off, nobody embarrassed, nobody put on spot (p13)
Develop positive atmosphere	Right environment (p1 p5 p13), protected time (p2 p3 p7 p9)
Support participants	Support (p2, p7 p12 p13); reassurance (p3), 'we' (p4), together (p4), kindness (p5 p13), , invest time (p7), help (p9), encouraging (p10), amiable (p13), sensitive (p13), holding (p13)
Collaborate with participants	Have dialogue (p1) with group of people (p3 p5 p8 p9 p13), co-plan (p3), participation (p4), developing action plan/agenda together (p4 p13), feeling part of it (p4), engaged on journey (p4, p5 p9), being able to work as a group (p5 p6), practitioner as resource for team (p7), partner (p8), develop tools with people (p9), negotiate with manager (p9 p12), together (p9), whole team identifying issues (p12), priorities defined by everybody (p13),
Place responsibility for change with client	People identify what's important (p9), people identify where they need to get to (p9), priorities defined and owned (p13), position of facilitator (p2), blank paper (p2)
Develop participants' sense of ownership	Ownership (p2), co-plan (p3); what team manager wants (p13); ownership of process (p5), team identifies (p5); team develops themes (p2); priorities defined and owned (p13), position of facilitator/supporter (p2), blank paper (p2), work stays in area (p2)

	Narrative explanations that make sense to participants (p1), using their words (p1)
Reduce participants' dependency on practitioner	Empowered (p5 p13)
Address human reactions	Feeling comfortable (p1, p5); reassurance (p3), kindness (p5); valuing (p6); 'holding' (p13), safe (p12)
Elicit hope	
Elicit commitment	Plan developed by participants (p2); days developed with individuals (p2); co-plan (p3); negotiate with manager (p9), run by manager (p9), people identify what's important (p9), desired future (p9), manager's view as guide (p12)
Build relationship	Engagement (p1, p4, p13); feeling part of it (p4); bring group together (p6), Meet with team (p9), build relationship (p11), meet before day (p3)
<b>Commitment to change:</b>	
Elicit motivation	Desired future (p2 p9), praise (p3), encourage (p2 p3 p11 p13), motivating (p3), going to give it a go (p4); hook into process (p5), light-hearted (p5), start of process (p6),
Challenge participants re need for change and practitioner	Recognise issues to be developed (p2)
Develop expectation for improvement in participants	Expectation to continue (p6), identify champions (p9)
Develop belief that participants can make change	What they have done (p2), what's gone well in past 6-12 months (p3), recognising developments that happening (p3), able to promote services (p8), at equal levels (p8), identify what's going well as well as difficulties (p10) celebration around 5s – you can get there (p10)
Manage resistance to change	Realistic about external constraints (p10), dispelling myths (p13)
Challenge participants' resistance	Challenge (p5 p12)
<b>Sense-making:</b>	

Raising awareness	Awareness (p2), recognising issues (p2), recognise what's gone well (p2), what helps and hinders (p4), awareness of position in team (p5 p6), self-awareness (p5), aware of blocks (p9), things start to come out (p13)
Introducing new knowledge	Skills and attributes mapping (p6), Human Dimensions for Change (p6), wheel (p8),
Making new sense	Get clarity (p1 p9), define current reality (p1 p4), narrative explanations (p2); shared understanding (p5), rate where think they are (p5 p9-10), identify what's important (p5), identify themes (p8), identify commonalities (p8)
<b>Behaviour change:</b>	
Giving feedback on behaviour	Review afterwards (p2), celebration (p10)
Setting new goals	Milestones (p2), where want to get to (p2, p9), next steps (p2), action plan (p4 p5 p6), way forward (p5), 'must dos' (p6),
Teach new skills	Process mapping (p7), communication styles teaching (p8)
Elicit desired behaviours	Kick-start new behaviours (p7)
Positively reinforce new desired behaviours	Recognise when gone well (p2, p3, p10), celebrate (p2, p3), reinforce it (p12)
Negatively reinforce undesired behaviours	

## ii. OBSERVATION DATA ANALYSIS

IDEATIONAL INTERVENTION	MICRO-INTERVENTION
<b>Relationship:</b>	
Communicate core conditions (trust, UPR, respect, openness)	Interest (p1-2);; smiles when contentious/difficult stuff in discussion (p4); value difference in opinion (p6) respect opinions (p6); gives leader time (p6); hands to embrace group (p7); mirrors mood with non-verbals (p8); reflecting back (p9, p10); Group reflects on own qualities (p13); value all information (p15); offers suggestions as 'outsider' (p17); allows task to over-run (p18); practitioner states how impressed he is (p18).
Develop positive atmosphere	Praise (p1, p7); non-verbal behaviours (p1, p2 p4, p7, p10, p6/d2); WITH you (p1); time to reflect (p2); names 'protected time' (p2); environment so all can talk/reflect (p2); gives leader job (p2); humour (p2, p3, p13, p17); smiles at less vocal members (p3); outlines aims of exercise (p4); big non-verbals (p13), re-arranges room (p15)
Support participants	Encouragement (p1 p3); non-verbal behaviours (p4, p8, p9, p11, p13, p14, p15); verbal prompt (p5); 'we' (p5, p12, p13, p14, p15); value all contributions (p6, p15); reassurance (p6); engage with emotions (p8, p9, p15); questions to lead/clarify (p10, p15, p16); position in/out of room (p10, p15, p16); naming (p12, p14); help (p13, p15).
Collaborate with participants	dialogue (p2, p3); engage (p2); invites group participation (p2, p11), Non-verbal behaviours (p4 p7 p13, p14); anything missing.. (p11); apply traits (p13); reflect on qualities (p13); questions for clarity (p16)
Place responsibility for change with client	invites team to decide who feeds back (p3); you will be (p4); sits at side and observes (p4); passes back questions

	(p4); asks group to identify issues (p4; p9); instructions as suggestions (p5); group completes tasks eg post-its (p5); practitioner leaves room (p10); use process map to improve service (p14); start of process (p16);
Develop participants' sense of ownership	Responsibility for decisions (p2); leaves group to get on with task (p2 p4); use of their metaphor (p3, p4, p11); team feedback outcomes (p3); 'you' (p3, p4, p6, p7, p12, p13, p14, p17, p18); asks permission to comment (p3); group design and deliver day (p4); blank paper (p4); seek explicit agreement for tasks (p4); sits at side and observes (p4); instructions as 'requests'/suggestions (p5, p7); post-its (p5); 'their' opinion (p6); 'the team'/you guys (p7, p8, p9); gets whole-group discussion (p8); listens to team talk about difficulty (p8); leave room (p10, p17); uses group's feedback to create suggestions (p10, p12, p17, p18); summarised consensus (p12); tentative action plan (p12, p13); no response to intra-group dissent (p16); gives group choice re practitioner involvement (p17); Socratic questioning (p17); 'outsider' (p17 p18); reflecting back (p18).
Reduce participants' dependency on practitioner	Decision-making in team (p,2 p4, p8, p9, p15); leaves group to work independently (p2, p4, p8, p10, p17); use group's work (p3, p4, p8, p10 p12, p17, p18); 'you' (p3, p8, p12, p13, p14, p15, p17, p18); permission seeking, suggestions and requests by practitioner (p3, p4, p5, p7, p12, p15); their control over event (p4, p5, p15, p17, p18); names their expertise (p4, p12, p14); left doubt/confusion with group (p11, p15)
Address human reactions	Momentum through structure (p2, p3, p10-11, p16); feel comfortable (p2);

	'their' opinion (p6); reflect emotion (p6); , ritualised feedback (p6-8); outlines next task (p10); push on with pace (p11); asked how was as a process (p11); structured feedback (p11); upbeat non-verbals (p11); pops in every 20 minutes (p17)
Elicit hope	
Elicit commitment	Draws attention to limited resources of time (p2); days as precious gift (p2); highlight commitment to work (p2)
Build relationship	Connection through career (p1); connection with group through non-verbal and para-verbal behaviours (p1, p3, p6, p13, p14, p17); 'we' (p12, p14); round robin feedback (p11); 'us' (p12, p13); welcomed latecomers (p16); reflecting back/summarising (p18)
<b>Commitment to change:</b>	
Elicit motivation	Stress their commitment to work (p2); protected time (p2); precious gift (p2); name outcomes (p3); bright ideas (p11 p12); value opinions – difference (p6); reflect on own qualities and what they value (p13); non-verbal behaviours – hand movements (p13); humour (p13); own values (p14).
Challenge participants re need for change and practitioner	
Develop expectation for improvement in participants	Describes outcomes will achieve by end of day (p4, p10); use skills as well as have them (p7), use outcomes to improve service (p9, p14; p16); outline task/aim (p12-13; p13); start of process (p13 p16); team will use outcomes (p14)
Develop belief that participants can make change	Naming attributes - sharing (p1); extracts issues (p3); name experts (p4 p14); summarise work (p5; p12; p16); explore positive comments (p7); wisdom of team (p7); positive connotation (p8 p16); 'you' (p8; p12; p18); use group's work/observations (p8; p10; p11; p12; p13; p17); focus

	on what have control over (p9); positive connotation to work before event (p9 p16); group not individual opinions (p9 p15; p17); reflects on qualities as team (p13); environment (p13; p15); team expertise (p14); 'you' (p14); give them decision-making (p15, p17).
Manage resistance to change	Humour (p2); metaphor (p2-3); will have fun (p3); reinterpretation of objections (p8-9); reframe surprising (p9); pace (p11); upbeat NVs (p11); seek feedback on process (p11)
Challenge participants' resistance	'So you can see a 5' (p8)
<b>Sense-making:</b>	
Raising awareness	Use of metaphors (p2, p3, p4, p17); build group consensus (p6); make explicit group's learning (p9); describes process mapping elements as patient (p15).
Introducing new knowledge	CS1 gives them way to decide how to select issues (p9); lay out task framework for focused discussions on issues (p10); CS1 creating and giving suggestions out of group's feedback (p10); will use process map to improve service (p14); didactic presentation on powerpoint re process mapping (p14); simplified outline of process mapping (p14); clarification re technical aspects of process mapping (p16).
Making new sense	Expand group's points (p7); clarified meaning of category using their issues (p8); noticed their reflections and changes made as result of sad story (p8); naming (p10, p13); structuring feedback by eliciting bright ideas (p10); CS1 creating and giving suggestions out of group feedback (p11); group reflects on own qualities as team (p13); highlights bundled/contradictory elements (p16); reflecting back/summarising what told during process of walk thru (p18).
<b>Behaviour change:</b>	

Giving feedback on behaviour	Looks interested (p1); non-verbal encouragement (p3); reassurance about THEIR opinion (p6); positive connotation to feedback (p8; p11); use previous positive feedback to promote discussion and score (p8); structuring feedback by eliciting 'bright ideas' (p10); practitioner creating and giving suggestions out of group's feedback (p11); use team's own ideas/previous contributions to suggest changes (p17; p18); fabulous (p18); worked hard (p18)
Setting new goals	Outlines aims of exercise (p3); repeats description of task (p4); seek explicit agreement from group for tasks set (p4); summarises purpose of exercise (p7); lays out task framework for 'focused discussions' on issues (p9); describes outcomes they will achieve by end of day (bright ideas) (p10); outlined task/aim of day (p10, p12); outlines clear plan for day and outcome (p12-13).
Teach new skills	Step by step instructions for exercise (p6); describes steps in task in detail (p9); practitioner leads group thru task step by step (p10); outlines clear stages for process mapping tasks (p12); simplified outline of process mapping (p14); specific instructions re exercise (p14); clarification re technical aspects of process mapping (p15).
Elicit desired behaviours	Prompts (p3; p5; p13; p15); practitioner explains task and stands to one side as group completes (p5); ask group to describe pathway (p17)
Positively reinforce new desired behaviours	Identifying/reinforcing 'sharing' (p1); praises and thanks for sharing positive comments (p1; p7); NV (p3; p4; p7; p9); asks better score to explain rationale (p7); expand on positive comment (p7); clapping and laughter for full score (p7); big NVs and verbal

	feedback for positive comments (p7); celebration of score of 5 (p8); NV support for positive feedback (p8); points to areas team recognised as positive (p9); summarised work done by group (p12; p16); practitioner states how impressed he is (p18)
Negatively reinforce undesired behaviours	Closes down discussion of causes of identified issues (p6); shut down dissent between team members (p16)

### iii. POST-INTERVIEW DATA ANALYSIS

IDEATIONAL INTERVENTION	MICRO-INTERVENTION
<b>Relationship:</b>	
Communicate core conditions (trust, UPR, respect, openness)	Able to be honest (p1); equity (p2); value diversity (p2); delicate balance (p4); humanity (p8); investing in you (p9); decent location (p9); gentle (p11); non-threatening (p12)
Develop positive atmosphere	Environment (p1, p4); protected time (p3, p9); had fun (p4, p10); allow it to settle (p5); checking out (p6); provide things that might help (p8); different environment (p9); humour (p10, p11, p13); feel comfortable (p10); energise (p10); environment (p11)
Support participants	Reassuring (p2, p8); nurturing (p2); be a coach (p2, p6, p8); support (p3, p8); closer/further from people (p10);
Collaborate with participants	Blank agenda (p2); involved straight away (p2); gain consensus (p2); people included (p3); collaborate (p5); work together as group (p6); on journey together (p7, p11); our day together (p7); we (p12); plan agenda with manager (p15); negotiation with manager (p15)
Place responsibility for change with client	Step away and not interfere (p1); retreat (p2, p3); level of engagement (p2); be responsible (p3, p5, p6, p7); give responsibility to develop own tasks (p3, p7, p9); different roles (p7);
Develop participants' sense of ownership	Your areas, issues (p3); work on own tensions (p3); team develop map (p3, p4); ownership (p7); their service, time, issues (p8); started with blank paper (p12)
Reduce participants' dependency on practitioner	Set parameters, come and check (p3); CS1 not influencing (p3); permission-giving (p7);
Address human reactions	Left it OK (p2); critical friend to process (p4); talking about feelings (p8); allow to talk (p8); dialogue (p8); allow them to air their differences

	(p12); no right or wrong (p12); dispel worries (p15)
Elicit hope	Optimistic (p8)
Elicit commitment	Commitment (p9);
Build relationship	Dynamics in team (p1); engagement (p1, p2, p10, p11); develop relationship (p1); relationship (p2); engage individually (p2); have a voice (p2); everybody's day (p4); actively involve people (p4); re-engage (p10); get people involved (p10); meet groups (p15)
<b>Commitment to change:</b>	
Elicit motivation	Use own language and sense (p3); be realistic (p8); come back on track (p8); things to anchor onto (p8); look for opportunities in difficulties (p8); focused work (p11);
Challenge participants re need for change and practitioner	Must do and total control (p14); let them know what letting themselves in for (p15); practitioner is coming (p15)
Develop expectation for improvement in participants	
Develop belief that participants can make change	4s and 5s (p13); positive strokes (p13); reassurance reinforcement (p14); products to be proud of (p14)
Manage resistance to change	Recognise things out of their control (p8); Default to negative thinking (p8); define current reality (p12)
Challenge participants' resistance	Challenge perspective (p8); say things that need to be said (p14)
<b>Sense-making:</b>	
Raising awareness	Metaphors (p4, p11); aware of team dynamics (p4); highlight advantages (p11); how things could change (p11); narrative (p11); analogies (p11); see different experiences (p12);
Introducing new knowledge	Delivering with powerpoint (p2); framework (p3); examples from other areas (p9, p11)
Making new sense	Identified areas, tensions, opportunities (p2); makes sense to them (p3, p4); Project Wheel (p8); think creatively (p8); bright ideas (p8);

	partnership (p9); open blinkers (p9); open up thinking (p10); thinking relevant to what doing (p10); breaking things down (p11); idea of range (p12); get clarity (p12, p13)
<b>Behaviour change:</b>	
Giving feedback on behaviour	Feedback (p1, p2); outsider's feedback (p14); follow-up (p15)
Setting new goals	Agenda (p1); Explicit about where going (p1, p11); product (p1, p11); development in areas (p2); set tasks (p3); must/should/could priority-setting (p9); opportunities for development (p11); set goals based on scores (p12); outcome (p12); set goals based on what doing well (p13); clear next steps (p14)
Teach new skills	Tools and techniques (p11)
Elicit desired behaviours	Focused work (p2); tools and techniques (p11);
Positively reinforce new desired behaviours	Celebrating (p13); degree of reinforcement (p13, p14); products as reinforcement (p14); feedback that can help (p14)
Negatively reinforce undesired behaviours	

## APPENDIX 5: IDEATIONAL DATA ANALYSIS – CASE STUDY 2

### i. PRE-INTERVIEW DATA ANALYSIS

IDEATIONAL INTERVENTION	MICRO-INTERVENTION
<b>Relationship:</b>	
Communicate core conditions (trust, UPR, respect, openness)	Build trust (p8)
Develop positive atmosphere	Rational, not emotional (p8)
Support participants	
Collaborate with participants	Collaboration that's people-oriented (p1), power bases (p2), clarity and confidence to tell the what needs to be done (p3), directive (p3), ground rules established with client (p4), client knows things practitioner doesn't (p4), collaboration (p7), work together (p8)
Place responsibility for change with client	Somebody in charge (p2), responsibility of client (p2), power bases (p2), permission of client (p3)
Develop participants' sense of ownership	
Reduce participants' dependency on practitioner	
Address human reactions	Knowing what's expected of them reduces stress (p3) Unaddressed emotions prevent work enduring (p8)
Elicit hope	
Elicit commitment	Commitment (p6)
Build relationship	I do with people (p1), work directly with client (p1), let the client know (p2), explaining what I do (p2), accountable (p2), client to provide authority (p2), be directive when needed (p3)
<b>Commitment to change:</b>	
Elicit motivation	Try and get them to do it (p1), tests commitment (p6)
Challenge participants re need for change and practitioner	What needs to be changed? (p5), why do you need me? (p5)

Develop expectation for improvement in participants	'This is what we'll do to help you achieve it' (p4)
Develop belief that participants can make change	'why do you need me - why can't you do this yourself?' (p5)
Manage resistance to change	Not explicit
Challenge participants' resistance	What's expected of them (p2), do the right thing (p4),
<b>Sense-making:</b>	
Raising awareness	Make connections (p3), underlying principles (p4), sense through links with clinicians' Codes (p4), people develop analogies (p6)
Introducing new knowledge	'Test to destruction' (p3), practitioner develops analogies (p6)
Making new sense	Clarification of outcomes (p1), intelligent discussion (p2), intelligence (p2), thinking beforehand (4), understand risk in terms of consequence and likelihood (p4), bank account of humanity (p4), visual and spatial relationships (p5), relationships between different entities (p5), analytical process (p5), logic to keep rational thinking disciplined (p5), rational, analytic and logic skills (p5), change the way people think (p6), aonly analogies (p6), help people think (p6)
<b>Behaviour change:</b>	
Giving feedback on behaviour	Action always has effect (p4), should (p4), feedback cycles (p6), check out constantly (p6), looking to see if achieved outcome (p6), receive feedback at 3 month, 6 month intervals (p6), dependent on things around them (p7)
Setting new goals	Outcome (p1, p2), better able to do what required (p1); achieved what want to achieve (p2, p7)
Elicit desired behaviours	Change organisation to bring change about (p1), rational approach (p1, p8), put risk management plans into practice (p3), drill (p3), tangible form to thinking – database and applications (p5), apply thinking to

	what they do (p6), what are you going to do to demonstrate.. (p6), changes in people bring about changes in organisation (p7)
Positively reinforce new behaviours	Harder I work, ...more returns I get (p7)
Negatively reinforce undesired behaviours	

## ii. OBSERVATIONAL DATA ANALYSIS:

IDEATIONAL INTERVENTION	MICRO-INTERVENTION
<b>Relationship:</b>	
Communicate core conditions (trust, UPR, respect, openness)	
Develop positive atmosphere	Humour (2)
Support participants	NVs reinforcing what they say they need from [NHS regional organisation] (p7); 'I understand..' position of participants which conflicts with that of [NHS regional organisation] (p7)
Collaborate with participants	Get colleagues together (p1); discursive approach (p2, p3); practitioner as resource (p3); feedback from participants (p3); seeks examples from participants (p3); names respective contributions (p4); questions taken throughout presentation (p4); 'we' (p4); positively reinforces content of contributions (p6, p7); discussion between participants (p6); divides groups following suggestion by participants (p6); 'organise yourselves' (p6); agrees to type up and distribute participants' notes (p8)
Place responsibility for change with client	YOU need to (p1, p3); how YOU (p4); YOU NEED to do (p4); should (p5); YOU to think about... (p6); leaves group (p6); YOU can take (p7)
Develop participants' sense of ownership	No universal way (p3); highlights decisions they need to make (p4); local issues (p5); discussion between participants (p6); uses participants' examples (p6); asks participants for 'quick wins' (p7)
Reduce participants' dependency on practitioner	Is that action YOU can take YOURSELVES? (p7); practitioner left room (p6)
Address human reactions	Informal stance (p2); humour (p2); describes presentation strategy (p3); translates into real world terms (p3);

	states explicit outcomes (p3); reassurance re risk (p3); risk management (p3, p4); clarity (p4); 'is that OK?' (p4); acknowledges what they already know – sounds like stating the obvious (p5)
Elicit hope	
Elicit commitment	Patient story (p5)
Build relationship	Greeting (p1); introductions (p2); personalised introduction (p2); expert advisor role (p4); thanks participants for time and notes (p8)
<b>Commitment to change:</b>	
Elicit motivation	'Need' (p1 p4); underlying ethical principles (p2)
Challenge participants re need for change and practitioner	You will come up with local issues... there you'll need (p5)
Develop expectation for improvement in participants	Explicit outcomes (p2, p5)
Develop belief that participants can make change	'Intelligently' draw on data (p5); positively reinforces content of contributions (p5, p6); acknowledge expertise (p5); 'right' (p6)
Manage resistance to change	outline outcomes (p2, p3); outlines rules that need to be followed (p3); need (p4); feel vs decide – eliminate emotion (p5); names objection – 'sounds mechanistic but...' (p5);
Challenge participants' resistance	
<b>Sense-making:</b>	
Raising awareness	Underlying ethical principle (p2); grades quality of information (p3, p4); names principle (p4); need, should (p4); break badged as opportunity to think (p5); 'right' (p6);
Introducing new knowledge	Describes 18 week strategy (p2, p3); requirements of model (p3); Qs taken throughout presentation (p3 p4); teaching way of making sense (system) (p5); introduces new phrase/concept of evidence-based management (p6); defines process-mapping (p6)

Making new sense	Shaping commissioners' views of outcomes (p1); discourse of risk and breach (p2, p3, p4, p5, p6); translates policy into real-world terms (p3); no universal way (p3); highlights decisions they need to make (p4); highlight underlying principles in Q, gives it back to Qer so they know now what they need to address (p4); addresses to group – generalises sense-making (p4); names process – we're working out.. (p4); positions flexibility as designing in risk (p5); feel vs decide (p5); underlying principles in decision-making (p5); puts in context of other NHS systems (p5); uses participants examples to show what to share (p6); pulls out themes (risk) (p6); positively reinforces content of contributions (p6, p7); pulls out rationale for need for acknowledgement (p7);
<b>Behaviour change:</b>	
Giving feedback on behaviour	Positions flexibility as designing in risk (p5)
Setting new goals	Clarifies outcomes (p1); outline outcomes (p2); states explicit outcomes (p3); checking outcomes and freedom to act with event commissioners (p7)
Teach new skills	Highlights decisions they need to make (p4); developing their skills in rational approach to decision-making (p5); test your scenario (p5); use system (p5)
Elicit desired behaviours	Prompt how to use it (p5);
Positively reinforce new desired behaviours	Uses participants' examples to show what to share (p6); positively reinforces content of contributions (p6); NVs reinforcing what they say they need from [regional NHS organisation] (p7); thanks participants for time and notes (p8)

Negatively reinforce undesired behaviours	Does not reinforce process of contributing (p3, p4, p5, p6, p7); physical positioning (7)
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iii. POST-INTERVIEW:

IDEATIONAL INTERVENTION	MICRO-INTERVENTIONS
<b>Relationship:</b>	
Communicate core conditions (trust, UPR, respect, openness)	Listening (p4), spend time so know he's listening (p5), 'I've been in your shoes" (p5), openness (p10), transparent (p10)
Develop positive atmosphere	
Support participants	Support (p2, p11), non-verbals to help people contribute (p6)
Collaborate with participants	Work with audience (p4), flexibility to work with audience (p4), challenges from audience (p4), collaborate (p9), dialogue (p9),
Place responsibility for change with client	Take a break and leaves them to complete task alone (p11), 'it's your work, do with it what you will' (p11)
Develop participants' sense of ownership	
Reduce participants' dependency on practitioner	
Address human reactions	
Elicit hope	
Elicit commitment	
Build relationship	Engagement (p1), fit with learning styles (p4), new at working with each other (p5), hold audience's attention (p5), work with individuals so work with group (p6)
<b>Commitment to change :</b>	
Elicit motivation	Sources of motivation – moral, contractual, legal (p8, p9)
Challenge participants re need for change and practitioner	Develop audience's belief in practitioner (p5)
Develop expectation for improvement in participants	
Develop belief that participants can make change	
Manage resistance to change	Listen so they don't switch off (p4)
Challenge participants' resistance	Required to do it (p9); 'You're not doing this because you've been told to' (p11)

<b>Sense-making:</b>	
Raising awareness	Help event commissioners realise risks (p7)
Introducing new knowledge	Summary of 18 week wait (p1, p2), advise on factual information (p4), explain what needs to be done (p4), give information (p6)
Making new sense	What CS2 regards as clock-stop (p1), advisory (p2), form view of what role is (p2), formulate (p2), non-negotiables (p3), advised (p3), define non-negotiables (p4), how to achieve goals (p4), internalise new information (p4), changes are responsiveness (p4), analytical ability (p4), applied thinking to what read (p5), CS2's way of reading the room (p6), work out what needs to be achieved (p6), sense-making re organisational risk (p6), scenario (p7), approach to risk (p7, p8), how makes sense of motivation (p9); translation (p9)
<b>Behaviour change:</b>	
Giving feedback on behaviour	
Setting new goals	Develop own action plans (p2), outcomes (p2, p3, p6), tangible, measurable changes (p3), presenting policy context (p3),
Teach new skills	Told what to do and how to do it (p2, p4)
Elicit desired behaviours	What people want to be able to do after the event drives design of event (p3); dialogue (p9); local, small scale events produce deeper change (p10), slower change with bigger events (p10)
Positively reinforce new desired behaviours	
Negatively reinforce undesired behaviours	

## APPENDIX 6: IDEATIONAL DATA ANALYSIS – CASE STUDY 3

### i. PRE-INTERVIEW DATA ANALYSIS

IDEATIONAL INTERVENTION	MICRO-INTERVENTION
<b>Relationship:</b>	
Communicate core conditions (trust, UPR, respect, openness)	Not evident
Develop positive atmosphere	Time needed (p5)
Support participants	Support organisation (p2); support (p5); mentors (p5)
Collaborate with participants	Staff engagement (p2 p6); ask and tell (p5); build critical mass (p5); coaches (p5); staff becoming facilitators and trainers (p8)
Place responsibility for change with client	Action learning sets (p5); studying for own qualification (p8); questions (p8)
Develop participants' sense of ownership	Not evident
Reduce participants' dependency on practitioner	OD consultant not being expert (p8);
Address human reactions	Safety (p5); how made people feel (p12); how people feel (p12)
Elicit hope	Not evident
Elicit commitment	Get managers on board (p11)
Build relationship	Relationship building (p1, p2); keep relationship (p2); credibility (p2); internal/external roles (p8); build team (p9)
<b>Commitment to change:</b>	
Elicit motivation	Cost of external practitioner (p1); want to work with you (p2); what do people need (p2); important thing to do (p4); hierarchy (p4); hit the right buttons (p4); something of interest to them (p4); what impact they want to have (p4); I wish..' (p6); influence organisation to want OD (p8); lose motivation if team not congruent (p8); why work in NHS (p12)

Challenge participants re need for change and practitioner	Hierarchical roles (p4); drive to have a reaction (p6); challenge (p8 p9 p10 p11); knowing what buttons to press (p9); is that what you wanted (negative outcome) (p12)
Develop expectation for improvement in participants	Expectation (p2); talent management, succession planning for future (p2); career pathways (p3); put resources into OD (p3)
Develop belief that participants can make change	'experienced' (p3); give it a go (p6).
Manage resistance to change	People don't have to work with internal practitioner (p2); risk-averse (p3); make Internal practitioner's commitment (p2); sure they want more (p5)
Challenge participants' resistance	Confirm to members right thing to do (p3); prove it's going to work (p5); have to do it (p7)
<b>Sense-making:</b>	
Raising awareness	What people need to realise.. (p1 p4 p5); influence (p1); showcase (p3); insights (p4 p9); lightbulb moments (p5); self-awareness (p5); questioning (p5 p8, p9, p12); stop and think (p6); modelling (p8); experiencing stories (p12)
Introducing new knowledge	Demonstrate how things could be different (p1); format model (p2); leadership programme (p4); introduce theory in teaching (p5); sheep dip (p5)
Making new sense	Systems thinking (p1); achievement stool (p2); connection – OD and leadership, conversations, emotional intelligence (p4); view things (p6); think about new concepts (p6); sense in the team (p7); people see what trying to build (p8); being curious (p8); changing stories (p12); telling stories (p12)
<b>Behaviour change:</b>	
Giving feedback on behaviour	How system is working (p1); how people are doing what they're doing (p1); how people impact on organisation (p1); impact (p1);

	feedback on event (p6); Chief Executive evaluation (p7); key measurables (p7); data collection (p7); feedback from higher level in organisation (p9); give feedback (p12); hold up mirror (p12)
Setting new goals	What do people need to be able to deliver (p1); influence the direction (p1); what organisation wants (p1); organisational objectives (p3); how people need to change (p4); goals (p6); organisation's expectations (p7); vision (p9); 90 day plan (p10)
Teach new skills	
Elicit desired behaviours	Move organisation through its people (p1); demonstrate how things could be different (p1 p4); get workforce planning right (p2); find better way (p2); influence how manage change (p2); help people work across the system (p2); drive to do differently (p5); suggestion (p5); see conference delivered in different way (p6); teach new skills (p8); see difference (p7 p9); cascade through management (p7); build programmes (p8)
Positively reinforce desired behaviour	Chief Executive received positive feedback (p7)
Negatively reinforce undesired behaviours	Chief Executive would exclude programme (p7)

ii. OBSERVATIONAL DATA ANALYSIS:

IDEATIONAL INTERVENTION	MICRO-INTERVENTION
<b>Relationship:</b>	
Communicate core conditions (trust, UPR, respect, openness)	'Talk to Us' cards (p1); 'meet and greet' (p2); 'helping us to help you' (p2); 'share with you' (p3); individuals make organisation (p3, p4); 'really listened to' (p5); NVs (p6); 'I' (p6); emotion (p8);
Develop positive atmosphere	connecting (p2); NVs (p6); naming emotion (p6); emotive stories (p8, p10)
Support participants	'helping us to help you' (p2)
Collaborate with participants	'we' (p2, p4); 'as senior leaders' – naming of shared group membership (p2); 'us' (p3), share with you (p3)
Place responsibility for change with client	'you' (p2, p3, p4, p6);
Develop participants' sense of ownership	'our' (p2); 'we' (p4); 'my team' (p7)
Reduce participants' dependency on practitioner	'you' (p3, p6)
Address human reactions	Stories to elicit emotion (p3, p8, p10)
Elicit hope	Stories of benefits of OD team's work (p1);
Elicit commitment	inspire (p4); proud (p4); team engagement/commitment (p4); emotive imagery (p4); commitment of Trust (p6); naming values – authenticity, integrity, compassion (p7, p8)
Build relationship	'Talk to Us' cards (p1); stories (p1, p3, p4, p8, p10); 'helping us to help you' (p2); use of job titles (p2, p6); use of Mr/Ms (p2, p6); use of first names (p2, p6, p10); use of surnames (p2); mention stallholders (p2); 'share with you' (p3); aren't we the organisation (p4); 'really listened to' (p5); 'how I work with you' (p5); 'you'.. 'I' (p6); NVs (p6); 'my team' (p7); military metaphor (p7); emotion (p8); ordinary life examples – daughter (p9); surprise with emotional story (p10)

<b>Commitment to change:</b>	
Elicit motivation	
Challenge participants re need for change and practitioner	World is changing (p2); need to influence society (p2); question whether think organisation is good enough (p3); Athenian code (p3); injunction (p5-6); what you're here to do (p7); 'important' (p7)
Develop expectation for improvement in participants	Awards to date (p2), use today.. (p2), help us help you... (p2); series of conferences (p7); more exciting (p7)
Develop belief that participants can make change	Stories of benefits of OD team's work (p1); awards to date (p2); what people do makes the difference (p3); injunction (p6)
Manage resistance to change	Stay ahead (p2, p6);
Challenge participants' resistance	Not explicit – don't challenge hierarchy
<b>Sense-making:</b>	
Raising awareness	Event modelling difference in organisation of event; modelling different style of role – (Chief Exec); stories of benefits of OD's team's work (p1); inspire p3); story (p4, p9); metaphors (p4, p5,p8); multi-modal re senses (p5, p8).
Introducing new knowledge	'Power of language' (p3); theoretical information (p4, p5, p6, p8-9); power of language (p5); powerpoint as symbol of formality/proper info (p4, p8); names power of stories (p5, p8-10);
Making new sense	Stories (p1 p3 p8 p9 p10); naming emotion (p2 p3); unpack metaphors (p4); constructs 'layers' – individual, organisation (p5); 'how I work with you..' (p5); military metaphor (p7), naming what event accomplished (p7); translates jargon (p9).
<b>Behaviour change:</b>	
Giving feedback on behaviour	
Setting new goals	
Teach new skills	
Elicit desired behaviours	

Positively reinforce new desired behaviours	
Negatively reinforce undesired behaviours	

### iii. POST-INTERVIEW DATA ANALYSIS

IDEATIONAL INTERVENTION	MICRO-INTERVENTIONS
<b>Relationship:</b>	
Communicate core conditions (trust, UPR, respect, openness)	
Develop positive atmosphere	Get people excited (p8), location of workshops and coaching (p12), visible (p12), people can wander (p12), care and attention to how day would go (p14), pride in attention to detail (p14), give good experience (p14), want people to feel comfortable and welcome (p14), emotion (p16)
Support participants	Let us help (p27)
Collaborate with participants	
Place responsibility for change with client	
Develop participants' sense of ownership	My team (p3), you're my boss, say what you want (p4), they had to own it (p16)
Reduce participants' dependency on practitioner	
Address human reactions	Emotion (p16)
Elicit hope	
Elicit commitment	
Build relationship	Butter us up to help him (p1), partners (p2), engaged (p2), photographs (p13), whole team (p14), staff engagement (p25)
<b>Commitment to change:</b>	
Elicit motivation	I want you to do it (p4), we'll show off too (p11), 'maybe I could..' (p13), 'I'm going to try that' (p15), inspiring (p15), how people make you feel (p17), push the buttons (p7), own interests (p22), egs alone won't work (p27), help them want something different (p28)
Challenge participants re need for change and practitioner	'Is this what you intended?' (p16), What are you going to do differently? (p16, p25, p27), emotions to drive building of action plan (p17), kick up the backside (p18), wake-up call (p18)

Develop belief that participants can make change	People know how great we are (p4), of x can do it maybe I'll get something from it (p12), belief can achieve something similar (p13), courage (p14), show in safe way (p28)
Manage resistance to change	They say what they want anyway (p5), never going to change unless he leaves (p8)
Challenge participants' resistance	Opportunity to get him to say it (p3), challenge (p3), not from private sector (p8), emotion as source of challenge (p16)
<b>Sense-making:</b>	
Raising awareness	Modelling (p1, p7, p11, p17, p18, p19, p28), supporting bit (p7), seeing us all there (p7), know what we do but can't articulate it (p7), wouldn't label it (p7), changing hearts and minds (p8), join the dots (p7), fairy lights, not lightbulbs (p8, p14), connect fairy lights (p8), seep it in (p9), not facts and figures, stories of difference made (p10), stories (p11, p15, p24), drip effect (p11), sense of values (p15), see there's a different way (p15, p17, p18),
Introducing new knowledge	Showcasing in different way (p1, p9, p11), workshops (p2, p8), coaching (p2), show what we can do (p2, p11, p17), keynote speech (p5), action learning set (p5), leadership stuff (p6), his definition of leadership (p6), display boards (p9), put stuff up (p9), masterclass (p12), action learning sets (p12), conference as eg of effective teamwork (p24), cultural web (p27)
Making new sense	Leave people thinking its leadership (p5), define organisation through stories (p6, p25), made connections between event, team and OD (p6), I get it (p6), get people to understand (p7, p8), over-subscribed workshops as indicator (p9), underpinning what believe (p15), they saw the difference

	(p19), I get that (p24), what's that mean (p27)
<b>Behaviour change:</b>	
Giving feedback on behaviour	Talk about what organisation is giving to employees (p1), told to come and loved it (p2), thanks to team (p2, p3), wanted him to say here's what OD got organisation (p3), send signal re behaviour (p4), my team are fantastic (p4), feedback (p8, p11, p21), good experience (p9), positive comments (p9, p10), mixed reviews (p10), people loved it (p11), Chief Exec's feedback to staff (p15), evaluations (p15), story of care delivered by team (p16), conversations about event (p17), survey (p19), team's time-keeping (p20), why not have a full day? (p23), ask at next conference what changes people made (p24)
Setting new goals	Satisfy Chief Executive (p1), what want to see in next 12 months (p3), what he wanted in future (p3), big goal of mine (p15), do what organisation wants, don't do what organisation doesn't want (p26)
Teach new skills	Programmes (p22, p23), consultancy (p23), coaching (p24)
Elicit desired behaviours	Driving (p9), collect more stories (p11), action plan (p16), clinical team asking about how to change their conference (p21), told to do it (p25)
Positively reinforce new desired behaviours	Goodies, hand out sweets (p1), give people some stuff (p2), thank him for turning up (p3), stayed for [guest speaker] (p3), everything signed off (p6), if effective remember it (p9), if come, give you space (p10), results attributed to programme (p11), people take something away for themselves (p13), free lunch (p19), team increased staffing (p22), get stuff signed off quickly (p25)

Negatively reinforced undesired behaviours	
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## APPENDIX 7: NDIT DATA ANALYSIS – CASE STUDY 1

### i. PRE-INTERVIEW DATA ANALYSIS HIERARCHY:

MECHANISM	MICRO-INTERVENTIONS
Effective sense-making – strengthening of form:	
Increase social cohesion through rules and roles	Identify roles (p6), attributes bring to team (p6)
Regulatory structures	Audit work (p12)
Upward accountability	What manager wanted (p6), expectation (p7), run it by the manager (p9), meet with manager (p13)
Methodical problem-solving	
Analytic inference	
Expertise	Service improvement lead (p11), consultant (p11), offered expertise (p12)
Forecasting	
Selection/acceptance of information – strengthening of form:	
How to maintain order and legitimacy	Who does what (p6)
Hypothesis-generation	
Knowledge-testing	
Leadership through position, protect leadership	
Rejection of information – protection of form:	
Recognition of anomaly as disruption of equilibrium	
Response to anomaly in ‘monster-adjustment’; adjusting classificatory systems and regulatory frameworks	
Paradigm protection	
Closing ranks	
Develop more rules	
Persuasion and justification – protection of form:	

Authoritative figure, paternalism (ethos)	Come in and kick start (p7), I (p9)
Paternalism, teacher-pupil (atmosphere)	
Team games, rules, machines, coats of arms (logos)	
Emphasise themes of rules, rationality, product (not process), social cohesion, regulation structures, upward accountability, role over personhood, best for organisation, forecasting, expertise, methodical problem-solving	Guidance papers (p2), must do's (p6)
Openness to transformational change:	
Surprise: less knowledgeable and careful competitors do better than form's members – unanticipated results (openness to isolate sense-making); potential revolt (openness to enclave sense-making); subversion of rules (individualist sense-making).	
Openness to transactional change:	
Analytic inference, methodical problem-solving, hypothesis-generation, knowledge-testing (style of problem-solving)	Use evidence (p2), develop guides (p8)
Expertise, forecasting, product (focus)	Decide on flexible use of frameworks (expertise) (p9)
Expert structured, less focus on relating, functional focus (facilitation)	

## ENCLAVE

MECHANISM	MICRO-INTERVENTION
Effective sense-making – strengthening of form	
Highlight mutual belonging of group	
Highlight boundaries of group with wider organisation	Where they are in the team (p5)
Emphasise support, caring, shared values	Honest (p1, p4), encouraging (p3),
Selection/acceptance of information – strengthening of form	
Equalising outcomes	Work with third sector (p5, p8), empowers (p5), more equitable (p8), have a voice (p8), disempowered families (p11), empowered (p13)
Search out evidence of inequality and strategies for addressing it	How did you do it? (p10), new project (p11)
Leadership as inequality – accept charismatic leadership when under threat	
Rejection of information – protection of form	
Recognition of anomaly as situation that violates classification system	External factors (p3), no negotiation with group (p4)
Recognition of anomaly as threat to viability as group	
Response to anomaly – taboo, monster-barring, expulsion	
Protect 'us and them' boundaries	Asked by third party (p4)
Collectivist survival strategies	
Persuasion and justification – protection of form	
Member of a persecuted group (ethos)	Onerous forced march (p3), resources (p10), team doesn't feel underhand or driven by external force (p13), no hidden agendas (p13)
Anger stemming from abuse of those in control, psychological safety (pathos)	Comfortable (psychological safety) (p1), mental health system (p11)
Non-competitive group activities, informal group-based interaction,	

paradox of individual incompetence and failure of top-down leadership (logos)	
Highlight non-competitive, non-captained activity, mutual attachment, mutual reliance, shared values, effectiveness in group's own terms, process not product, emphasise boundaries/ limits/range of group, us vs them, person not role, attachment, consciousness-raising, strengthen group commitment, consensus-building, ownership of process (themes)	Engagement (attachment) (p1, p4), group of people (non-competitive activity) (p1, p3), makes sense to them (ownership) (p1), owned by them (ownership) (p2), journey of travel (process not product) (p2, p3, p5, p8), praise (effectiveness in group's own terms) (p3), things have developed (process) (p4), process as well as product (process) (p4), feeling part of it (attachment) (p4), development of own career in terms of personal experiences (person not role) (p11), don't want product at anybody's cost (p13)
Openness to transformational change:	
Surprise if do well in harsh, cruel outside world so world not as harsh and cruel as assumed - encountering problems that require rules and order for their resolution (openness to hierarchy sense-making); the perceived failure of working to principles leading to a coping position (openness to isolate sense-making), the perception of individuals making gains in the face of the oppression of the system (openness to individualist sense-making)	
Openness to transactional change:	
Emphasise mutual belonging, boundaries, support, shared values, co-production (style of problem-solving)	Developed by individuals (co-production) (p2), desired future (shared values) (p2, p4), praise themselves (shared values) (p3), co-plan (co-production) (p3, p5, p9), this process works (co-production) (p4), allowing people to have current reality....(shared values) (p4), plan together (co-production) (p4), shared understanding (shared values) (p5),

	valuing differences (shared values) (p6), making best use of people (mutual belonging) (p6), struggling so offered mentorship, relationship-building (mutual belonging, support) (p8), work with clinical teams (co-production) (p8), wheel (co-production) (p8), develop tools with group (co-production) (p8), build relationship (co-production) (p12), whole team identify issues (co-production) (p13), things come out as feel comfortable (support) (p14),
Consciousness-raising, strengthening of commitment to the group's endeavour (focus)	Consciousness-raising (consciousness-raising) (p2), celebration (strengthen commitment) (p2, p10), recognise when gone well (strengthen commitment) (p2, p3), protected time (strengthen commitment) (p2, p3, p9), recognise what's gone well (consciousness-raising) (p2), work remains within area (strengthen commitment) (p2), set rules together (commitment) (p3), we need to do something (commitment) (p3), participation (commitment) (p4), engaged (commitment) (p4, p5), develop shared understanding (consciousness-raising) (p5), develop own themes (consciousness-raising) (p5), work as group (commitment) (p5), self-awareness (consciousness-raising) (p5), what I bring to team (consciousness-raising) (p6), what we are trying to develop (commitment) (p6), where they are (consciousness-raising (p9), manager's views just a guide (commitment) (p13) , owned by everyone (commitment) (p13)
Consensus-building, group ownership of process, attention to psychological safety, support, circle so group members can see each other (facilitation style)	Support (support) (p2, p8, p12, p13, p14), facilitative (attention to psychological safety) (p2), using their words (ownership of process) (p2), blank paper (ownership of process) (p2, p3, p5, p14), review to encourage

	(support) (p2), encourage (support) (p2, p3, p10, p13), engage group from start (group process) (p4, p5), open and honest (psychological safety) (p4, p5), tour guide (facilitate) (p4), work with people (support) (p5), empathy (psychological safety) (p5), challenge with kindness (psychological safety) (p5, p13), fun (psychological safety ) (p5), work as group (group form) (p6), tool and technique to bring group together (group form) (p6), humour (psychological safety) (p6), mode of transport (consensus-building) (p6), big wall and how to get over it (support) (p7), tools for process (process) (p9, p10), they (consensus-building) (p9), they (ownership of process) (p10), don't constrain (ownership of process) (p10), address isolation (support) (p12), own identity as amiable (psychological safety) (p13), holding group thru process (psychological safety) (p13), transparent (psychological safety) (p13), importance of first engagement (psychological safety) (p14), where they are emotionally (psychological safety) (p14)
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## ISOLATE

MECHANISM	MICRO-INTERVENTIONS
Effective sense-making – strengthening of form: Strive to survive	
Day-to-day survival of unpredictability of experience	
Selection of information – strengthening of form: No mechanism – no interest in information No relationship with leadership – passive, style	
Rejection of information – protection of form: Acceptance of anything the world inflicts	
Persuasion and justification – protection of form: Sceptic (ethos) Resigned atmosphere (pathos)	Don't want to be there (p3)
Games of chance, details of confusion and chaos, red tape and paradox, unintended side-effects from planned interventions (logos)	Planets aligning (chance) (p3)
Strive to survive, immediate coping, day-to-day survival, unpredictability, randomness of system (theme)	
Openness to transformational change: Surprise: things seen to potentially be worse and have a pattern to them – recognise potential for worsening circumstances without authority (openness to hierarchy sense-making); perceive pattern to discrimination (openness to enclave sense-making); recognise success from individual effort (openness to individualist sense-making)	

Openness to transactional change:	
Immediate coping (style of problem-solving)	
Day-to-day survival in the face of unpredictability (focus)	
No facilitation	

## ii. OBSERVATIONAL DATA ANALYSIS

### HIERARCHY

MECHANISM	MICRO-INTERVENTIONS
Effective sense-making – strengthening of form:	
Increase social cohesion through rules and roles	
Regulatory structures	
Upward accountability	Asks manager re phones (p2)
Methodical problem-solving	
Analytic inference	
Expertise	
Forecasting	
Selection/acceptance of information – strengthening of form:	
How to maintain order and legitimacy	
Hypothesis-generation	
Knowledge-testing	
Leadership through position, protect leadership	
Rejection of information – protection of form:	
Recognition of anomaly as disruption of equilibrium	
Response to anomaly in 'monster-adjustment'; adjusting classificatory systems and regulatory frameworks	Fail to get consensus, vote (p8)
Paradigm protection	
Closing ranks	
Develop more rules	
Persuasion and justification – protection of form:	
Authoritative figure, paternalism (ethos)	Allocates task to manager (p2)
Paternalism, teacher-pupil (atmosphere)	
Team games, rules, machines, coats of arms (logos)	

Emphasise themes of rules, rationality, product (not process), social cohesion, regulation structures, upward accountability, role over personhood, best for organisation, forecasting, expertise, methodical problem-solving	
Openness to transformational change:	
Surprise: less knowledgeable and careful competitors do better than form's members – unanticipated results (openness to isolate sense-making); potential revolt (openness to enclave sense-making); subversion of rules (individualist sense-making).	
Openness to transactional change:	
Analytic inference, methodical problem-solving, hypothesis-generation, knowledge-testing (style of problem-solving)	Dig down later (methodical problem-solving) (p6), how to do process map presentation (methodical problem-solving) (p14)
Expertise, forecasting, product (focus)	National and regional roles (expertise) (p1), develop action plan (product) (p10), want to get bright ideas (product) (p10), prioritising (product) (p10, p18), set task (product) (p12), develop action plan (product) (p12), process map (product) (p12)
Expert structured, less focus on relating, functional focus (facilitation)	Time-keeping prompts (expert structured) (p4), explains task (expert structured) (p5), instructions (expert structured) (p5, p6, p9, p10), calls out numbers and put up hands (expert structured) (p6), reiterates instructions and structure of day (expert structured) (p7), different feedback methods (expert structured) (p7, p8, p10, p11), makes suggestions (functional) (p10, p16, p17), pushing pace (functional) (p11), flipchart sheets, projector (functional) (p12), handouts (functional) (p12, p19), steps in production of process map (functional) (p12-13, p16, p17)

	instructions for Dream Team exercise (expert structured) (p13), presentation re LEAN (functional) (p14), re-arrange room for process mapping (functional) (p15), set out equipment (functional ) (p15), shaped (functional) (p15), shut down dissent (functional) (p16)
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## ENCLAVE

MECHANISM	MICRO-INTERVENTIONS
Effective sense-making – strengthening of form	
Highlight mutual belonging of group	
Highlight boundaries of group with wider organisation	
Emphasise support, caring, shared values	
Selection/acceptance of information – strengthening of form	
Equalising outcomes	Asks for account of minority position (p7, p8), don't have to justify (p8)
Search out evidence of inequality and strategies for addressing it	Make changes as result of bad experience (p8, p9)
Leadership as inequality – accept charismatic leadership when under threat	
Rejection of information – protection of form	
Recognition of anomaly as situation that violates classification system	System (p8)
Recognition of anomaly as threat to viability as group	
Response to anomaly – taboo, monster-barring, expulsion	Exclude things have no control over (p9)
Protect 'us and them' boundaries	
Collectivist survival strategies	Develop new strategies (p8), Not surprising (p9)
Persuasion and justification – protection of form	
Member of a persecuted group (ethos)	Busy chasing targets (p2)
Anger stemming from abuse of those in control, psychological safety (pathos)	
Non-competitive group activities, informal group-based interaction, paradox of individual incompetence and failure of top-down leadership (logos)	

Highlight non-competitive, non-captained activity, mutual attachment, mutual reliance, shared values, effectiveness in group's own terms, process not product, emphasise boundaries/ limits/range of group, us vs them, person not role, attachment, consciousness-raising, strengthen group commitment, consensus-building, ownership of process (themes)	CS1 describes personal experience (person not role) (p1), long journey (p1)
Openness to transformational change:	
Surprise if do well in harsh, cruel outside world so world not as harsh and cruel as assumed - encountering problems that require rules and order for their resolution (openness to hierarchy sense-making); the perceived failure of working to principles leading to a coping position (openness to isolate sense-making), the perception of individuals making gains in the face of the oppression of the system (openness to individualist sense-making)	
Openness to transactional change:	
Emphasise mutual belonging, boundaries, support, shared values, co-production (style of problem-solving)	Drew out connections (mutual belonging) (p2), made connection (mutual belonging) (p2), dialogue (co-production) (p2, p3, p6, p12), team member puts picture on wall (co-production) (p3), share experience (mutual belonging) (p3), you going to design and develop day (co-production) (p4), whatever makes sense to you (co-production) (p4), guiding not doing (support) (p5), generated together (co-production) (p5), we (co-production) (p5), we (mutual belonging) (p5), honest (shared values) (p5), wheel (co-production) (p5, p6), value differences (shared values) (p6), what they aspire

	<p>to (shared values) (p7), group develops discussion (co-production) (p8), team's feelings about issue (shared values) (p9), important but not outside team (boundaries) (p9), stress importance of protected time and affirmation (shared values) (p11), everyone's included (mutual belonging) (p11), listed what focused on together (co-production) (p12), identify values of team (shared values) (p13), reflect on values (shared values) (p14), experts in working with your people (co-production) (p14), you are developing something (co-production) (p14), we can..(co-production) (p14), as if patient (shared values) (p15), interjects helpful prompts (co-production) (p15, p16, p17), as an outsider (boundaries) (p18), your ideas, work (co-production) (p18), sharing (mutual belonging) (p19)</p>
Consciousness-raising, strengthening of commitment to the group's endeavour (focus)	<p>Work WITH you (strengthening commitment) (p1), share experience (strengthen commitment) (p1), bitten by the drug (strengthening commitment) (p2), great ethos (strengthen commitment) (p2), where people want to be (strengthening commitment) (p2), protected time (strengthen commitment) (p2, p4, p14), time out to think (strengthen commitment) (p2), time to reflect (strengthen commitment) (p2), transport metaphor exercise (consciousness-raising) (p2), draw attention to detail of picture (consciousness-raising) (p3), pulls out points (consciousness-raising) (p3), reflection time (consciousness-raising) (p3), gives clues in prompts (consciousness-raising) (p5), you are saying (consciousness-raising) (p5), expands words of participant</p>

	(consciousness-raising (p7), wisdom of team (consciousness-raising) (p7), recognise what went well (commitment) (p9), unpacked 'help' (consciousness-raising) (p10), feedback on process (strengthening commitment) (p11, p12, p13, p16), pull out themes from exercise (consciousness-raising) (p13), your map (commitment) (p14), make a difference (commitment) (p14), unpack bundles (consciousness-raising) (p16), celebrate (commitment) (p16), stuff produced similar to own work on previous days (commitment) (p16), feedback on process (strengthen commitment) (p16, p17, p18), observations on learning (consciousness-raising) (p16), highlights elements drawn from process (consciousness-raising) (p17), summarises work so far (strengthen commitment) (p17), links ideas (consciousness-raising) (p18), praise (strengthen commitment) (p18), you've delivered on it (strengthen commitment) (p18)
Consensus-building, group ownership of process, attention to psychological safety, support, circle so group members can see each other (facilitation style)	Praise (psychological safety) (p1), eye contact (psychological safety) (p1, p2, p3), non-verbal (support) (p1, p2, p3, p4, p8, p17), days about you (ownership) (p2), time for extra stuff they want to do (ownership) (p2), protected (psychological safety) (p2), comfortable (psychological safety) (p2), environment (psychological safety) (p2), fun (psychological safety) (p2, p3, p13, p15), apologetic manner (ownership of process) (p2, p6), observes from side (ownership of process) (p2, p4, p5, p13, p15), blank paper (ownership of process) (p3, p4), invitation (ownership of process) (p3), laughter (psychological safety) (p3, p4), comments to group (consensus-

	<p>building) (p3), encourage (support) (p3, p8), connection (psychological safety) (p3), humorously (psychological safety) (p3 p6), permission-seeking (ownership of process) (p3, p4, p18, p19), honest (psychological safety) (p3), how to gain consensus (consensus-building) (p4), you (consensus-building) (p4), you are experts (ownership of process) (p4, p10), your perspective (ownership) (p4), prompt (support) (p5), just suggestions (ownership of process) (p5), respect opinions (psychological safety) (p6), ask group for explanation of scores (consensus-building) (p6), team response (consensus-building) (p6), reflection of feeling and content (psychological safety) (p6), reassures (support) (p6), clapping (support) (p7), reciprocal non-verbals (support) (p7), group discussion (consensus-building) (p7, p8), empathy (psychological safety) (p8, p10), dialogue re differences (consensus-building) (p9), feelings (psychological safety) (p9), identify which areas to work on (ownership of process) (p9), left room (ownership of process) (p10, p16), use of questions (consensus-building) (p11), pushed on when group seemed flatter (support) (p11), might be difficult (support) (p14), we (support) (p14), up to you where to start (ownership of process) (p15), leaves group to resolve confusion (ownership of process) (p15), start of process (ownership of process) (p16), group decides whether facilitator should stay or go (ownership of process) (p17), check if OK (support) (p17), allows review to over-run (ownership of process) (p18)</p>
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### iii. POST-INTERVIEW

#### HIERARCHY

MECHANISM	MICRO-INTERVENTIONS
Effective sense-making – strengthening of form:	
Increase social cohesion through rules and roles	Established roles (p4),
Regulatory structures	
Upward accountability	Give responsibility (p3), natural hierarchy in teams (p4), plan with team manager (p15), catch-up with tam manager (p15)
Methodical problem-solving	
Analytic inference	
Expertise	
Forecasting	
Selection/acceptance of information – strengthening of form:	
How to maintain order and legitimacy	
Hypothesis-generation	
Knowledge-testing	
Leadership through position, protect leadership	
Rejection of information – protection of form:	
Recognition of anomaly as disruption of equilibrium	
Response to anomaly in ‘monster-adjustment’; adjusting classificatory systems and regulatory frameworks	
Paradigm protection	
Closing ranks	
Develop more rules	
Persuasion and justification – protection of form:	
Authoritative figure, paternalism (ethos)	Somebody comes in (p3), external facilitator (p9)
Paternalism, teacher-pupil (atmosphere)	

Team games, rules, machines, coats of arms (logos)	
Emphasise themes of rules, rationality, product (not process), social cohesion, regulation structures, upward accountability, role over personhood, best for organisation, forecasting, expertise, methodical problem-solving	One way to do things (rules) (p3), nurse, social worker (roles) (p5), next steps and actions (rationality) (p14)
Openness to transformational change:	
Surprise: less knowledgeable and careful competitors do better than form's members – unanticipated results (openness to isolate sense-making); potential revolt (openness to enclave sense-making); subversion of rules (individualist sense-making).	
Openness to transactional change:	
Analytic inference, methodical problem-solving, hypothesis-generation, knowledge-testing (style of problem-solving)	Plan, rehearse, scope (methodical problem-solving) (p1), framework (methodical) (p1, p3, p6, p7),
Expertise, forecasting, product (focus)	Outcomes (product) (p1), offer something they see as product (product) (p1), expect facilitator to give answers (expertise) (p3), product (product) (p3, p11, p14), developed map (product) (p4), recognise takes time to settle (expertise) (p6), recognise when need to respond (expertise) (p6), produce document (product) (p8), identify priorities (product) (p9), decide how to get feedback (expertise) (p12)
Expert structured, less focus on relating, functional focus (facilitation)	Stand at front with powerpoint (functional) (p2), lead dialogue (functional) (p2), set tasks (expert structured) (p3), provide direction (functional) (p3), set parameters (expert structured) (p3), give paper, symbols, approach (expert structured) (p4), check timings (functional) (p6), not best time to take break (functional)

	(p6), prepared (functional) (p11), purposeful (functional) (p11), clear direction (functional) (p11)
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## INDIVIDUALIST

MECHANISM	MICRO-INTERVENTIONS
Effective sense-making – strengthening of form:	
Innovating	
Competing	
Insight	
Drawing on opportunism	
Creativity	
Selection/acceptance of information – strengthening of form:	
Maximising results with minimal information-seeking effort	
Satisficing	
Leadership as commodity – use for as short a time as necessary	
Rejection of information – protection of form	
Recognition of anomaly as failure of competition	
Response to anomaly – embracing anomaly	
Anomaly as opening up new ways to progress	Opportunity in light of difficulties (p8)
Exploit anomaly for own advantage	
Networking	
Individualist manipulation	
Shift less important information to peripheral parts of network	
Persuasion and justification – protection of form	
Lonely figure battling the collective (ethos)	
Self-help (atmosphere)	
Individual games of skill, strategic competitive encounters, contracts (logos)	
Innovation, competition, opportunism, creativity, new insights, satisficing,	

reward and incentive structures, individual responsibility (themes)	
Openness to transformational change:	
Surprise: market and skill do not yield anticipated results - absence of reward for skilled behaviour (openness to isolate sense-making); need protection from insecurity (openness to enclave sense-making); need regulation in face of exploitation (openness to hierarchy sense-making)	
Openness to transactional change:	
Insight, satisficing, reward and incentive structures, individual responsibility (style of problem-solving)	Allow people to critique individually (individual responsibility) (p2), examples from other areas (insight) (p9, p11), don't invest lot of time (satisficing) (p12), monetary rewards (reward) (p13)
Opportunism, creativity (focus)	Responsive (creativity) (p1), opportunities (opportunism) (p8), think creatively (creativity) (p8), bright ideas (creativity) (p8, p11)
Credibility established through past success in terms of individual skill, loose dynamic exchange between participants, facilitate development of new insights, focus on self (what's in it for me?) (facilitation)	Catalyst (new insights) (p4), open blinkers a bit (new insights) (p9, p10)

## ENCLAVE

MECHANISM	MICRO-INTERVENTIONS
Effective sense-making – strengthening of form	
Highlight mutual belonging of group	
Highlight boundaries of group with wider organisation	Natural cliques (p4)
Emphasise support, caring, shared values	
Selection/acceptance of information – strengthening of form	
Equalising outcomes	Allows equity (p2), everybody's day (p4), have a voice (p4, p12)
Search out evidence of inequality and strategies for addressing it	Metaphor exercise to scope out loudest voices, who needs encouragement (p4), how much to quieten, how much to push (p4)
Leadership as inequality – accept charismatic leadership when under threat	
Rejection of information – protection of form	
Recognition of anomaly as situation that violates classification system	
Recognition of anomaly as threat to viability as group	People disengage (p12), lose people (p12)
Response to anomaly – taboo, monster-barring, expulsion	
Protect 'us and them' boundaries	
Collectivist survival strategies	Third sector work (p8), things we can do (p8)
Persuasion and justification – protection of form	
Member of a persecuted group (ethos)	
Anger stemming from abuse of those in control, psychological safety (pathos)	
Non-competitive group activities, informal group-based interaction, paradox of individual incompetence	

and failure of top-down leadership (logos)	
Highlight non-competitive, non-captained activity, mutual attachment, mutual reliance, shared values, effectiveness in group's own terms, process not product, emphasise boundaries/ limits/range of group, us vs them, person not role, attachment, consciousness-raising, strengthen group commitment, consensus-building, ownership of process (themes)	Engagement (attachment) (p1), engaging (attachment) (p2), engager (attachment) (p2), not involved (attachment) (p5), engage (attachment) (p10)
Openness to transformational change:	
Surprise if do well in harsh, cruel outside world so world not as harsh and cruel as assumed - encountering problems that require rules and order for their resolution (openness to hierarchy sense-making); the perceived failure of working to principles leading to a coping position (openness to isolate sense-making), the perception of individuals making gains in the face of the oppression of the system (openness to individualist sense-making)	
Openness to transactional change:	
Emphasise mutual belonging, boundaries, support, shared values, co-production (style of problem-solving)	Develop relationship (mutual belonging) (p1), people found it useful (shared values) (p1), keep relationship (mutual belonging) (p2), team feedback to me (mutual belonging) (p2), value diversity (shared values) (p2, p5), focused work within groups (co-production) (p2), set scene with group (co-production) (p2), people included (mutual belonging) (p3), develop their map (co-production) (p3), what makes sense to them (co-production) (p3), collaborate (co-production) (p5), we (co-production) (p7), everybody on

	journey (mutual belonging) (p11), us (co-production) (p13), strong values (shared values) (p13), positive strokes (support) (p13)
Consciousness-raising, strengthening of commitment to the group's endeavour (focus)	Protected time (commitment) (p1, p3, p9), offer something that adds value (commitment) (p1), getting all involved straight away (strengthen commitment) (p2), identified areas, tensions, opportunities, current reality, desired future, what helps, what hinders (consciousness-raising) (p2), not my perception (strengthening commitment) (p3), own language (strengthening commitment) (p3), stuff that made sense to them (strengthening commitment) (p3), involve people (strengthen commitment) (p4), permission-giving (strengthen commitment) (p7), you (strengthen commitment) (p7) subtle responsibility-giving (strengthen commitment) (p7), their (strengthen commitment) (p8), investing in you (strengthen commitment) (p9), narrative (strengthen commitment) (p11), analogies (consciousness-raising) (p11), get clarity (consciousness-raising) (p12), see different people's experiences (consciousness-raising) (p12), proud (strengthen commitment) (p14)
Consensus-building, group ownership of process, attention to psychological safety, support, circle so group members can see each other (facilitation style)	Environment (psychological safety) (p1), honest (psychological safety) (p1), not feeling hurried or rushed (psychological safety) (p1), invest time (psychological safety) (p1, p10), step away and not interfere (ownership of process) (p1), step back and give ownership (ownership of process) (p2, p3, p4), reinforcing, reassuring (support) (p2, p8), supportive (support) (p2), nurturing (support) (p2), coach (support) (p2, p4, p6, p8), blank agenda (ownership of process)

	(p2), gain consensus (consensus-building) (p2, p12), consensus (consensus-building) (p2), internal tensions team needs to manage (ownership of process) (p3), checking out (support) (p3), at times of tension..reinforce process (support) (p4, p13), critical friend (support) (p4, p9), fun (psychological safety) (p4, p10), time to interject or leave them to find their way (ownership of process) (p4), environment (psychological safety) (p4), challenge with kindness (psychological safety) (p4), allow it to settle (ownership of process) (p5), own dynamics for conflict resolution (ownership of process ) (p5, p6), support (support) (p6), make sure people OK (psychological safety) (p6), conducive environment (psychological safety) (p6), work with what comes out on day (ownership of process) (p7), provide things that might help (support) (p8), emotional support (psychological safety) (p8), optimistic (psychological safety) (p8), humour (psychological safety) (p10, p11, p13), position self (ownership of process) (p10), comfortable (psychological safety) (p10), energising (psychological safety) (p10), gentle (support) (p11), blank paper (ownership of process) (p12)
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## ISOLATE

MECHANISM	MICRO-INTERVENTIONS
Effective sense-making – strengthening of form: Strive to survive	
Day-to-day survival of unpredictability of experience	
Selection of information – strengthening of form: No mechanism – no interest in information	
No relationship with leadership – passive, style	
Rejection of information – protection of form: Acceptance of anything the world inflicts	
Persuasion and justification – protection of form: Sceptic (ethos)	
Resigned atmosphere (pathos)	
Games of chance, details of confusion and chaos, red tape and paradox, unintended side-effects from planned interventions (logos)	
Strive to survive, immediate coping, day-to-day survival, unpredictability, randomness of system (theme)	
Openness to transformational change:	
Surprise: things seen to potentially be worse and have a pattern to them – recognise potential for worsening circumstances without authority (openness to hierarchy sense-making); perceive pattern to discrimination (openness to enclave sense-making); recognise success from individual effort (openness to individualist sense-making)	

Openness to transactional change:	
Immediate coping (style of problem-solving)	Can't plan (p1), no capacity (p9)
Day-to-day survival in the face of unpredictability (focus)	Things out of our control (p8)
No facilitation	

## APPENDIX 8: NDIT DATA ANALYSIS – CASE STUDY 2

### i. PRE-INTERVIEW

#### HIERARCHY

MECHANISM	MICRO-INTERVENTIONS
Effective sense-making – strengthening of form:	
Increase social cohesion through rules and roles	Knowing what's expected less stressful (p3)
Regulatory structures	Codes (p4), standards (p6), assurance in system (p8)
Upward accountability	Accountability (p2), let client know (p2), somebody said this is what we should be doing (p4), as society (p4), monitoring (p6)
Methodical problem-solving	
Analytic inference	
Expertise	
Forecasting	What needs to do to meet requirements (p1)
Selection/acceptance of information – strengthening of form:	
How to maintain order and legitimacy	Do what know is right (p4)
Hypothesis-generation	
Knowledge-testing	
Leadership through position, protect leadership	
Rejection of information – protection of form:	
Recognition of anomaly as disruption of equilibrium	
Response to anomaly in ‘monster-adjustment’; adjusting classificatory systems and regulatory frameworks	
Paradigm protection	
Closing ranks	
Develop more rules	Structures for outcomes (p6)
Persuasion and justification – protection of form:	

Authoritative figure, paternalism (ethos)	Executive authority (p2)
Paternalism, teacher-pupil (atmosphere)	
Team games, rules, machines, coats of arms (logos)	
Emphasise themes of rules, rationality, product (not process), social cohesion, regulation structures, upward accountability, role over personhood, best for organisation, forecasting, expertise, methodical problem-solving	Rational thinking (p5)
Openness to transformational change:	
Surprise: less knowledgeable and careful competitors do better than form's members – unanticipated results (openness to isolate sense-making); potential revolt (openness to enclave sense-making); subversion of rules (individualist sense-making).	
Openness to transactional change:	
Analytic inference, methodical problem-solving, hypothesis-generation, knowledge-testing (style of problem-solving)	Mental models (methodical problem-solving) (p1), find out what's going on in organisation (hypothesis-generation) (p2), power bases (analytical inference (p2), reverse mind-mapping (analytical inference (p3), test to destruction (knowledge-testing) (p3), thinking beforehand to get clarity on what's needed (analytic inference) (p4), principles (methodical problem-solving) (p4), certain things to do certain tasks (methodical problem-solving) (p7), relationships between entities (analytic inference) (p5), test to destruction (knowledge-testing) (p5), find key stages (methodical problem-solving) (p5), logic (analytic inference) (p5), database (methodical problem-solving) (p5), analogies (analytic inference) (p6)

Expertise, forecasting, product (focus)	What it needs to do to meet contracts (forecasting) (p1), changes to bring that about (forecasting) (p1), outcomes (product) (p1,p2), think and act in way that helps achieve what's needed (expertise) (p2, p4) , management plans (forecasting) (p3), this is what we need to do (expertise) (p4), what change do you want to see..(product)(p5), external expectations (forecasting) (p5), monitoring and looking at achieving outcome (product) (p6), what effect for how long (product) (p6), help them think (product) (p6), when they've achieved what want to achieve (product) (p7)
Expert structured, less focus on relating, functional focus (facilitation)	What I try to get them to do (functional) (p1, p6), rational approach (functional) (p1), need not want (functional) (p1), work directly – intermediary inefficient (functional) (p1, p2), go where problem requires (functional) (p1, p2), responsibilities of facilitator and client (expert structured) (p2), keep a steer (functional) (p2), clear communication (functional) (p2), permission to be directive (functional) (p3), directive approach (functional) (p3, p4), tell them (functional) (p3), conversational (functional) (p4), rational, analytic, logic skills (functional) (p5), why do you need me (functional) (p5), too democratic leads to long lead-in (functional) (p6), use authority to change (functional) (p6), 'call to action' (functional) (p6), listen to their analogies (functional) (p6), collaboration for mutual goals (functional) (p7), rational not emotional (functional) (p8), people part is it's people who do it (functional, not relating) (p8)

## INDIVIDUALIST

MECHANISM	MICRO-INTERVENTIONS
Effective sense-making – strengthening of form:	
Innovating	
Competing	
Insight	
Drawing on opportunism	
Creativity	
Selection/acceptance of information – strengthening of form:	
Maximising results with minimal information-seeking effort	
Satisficing	
Leadership as commodity – use for as short a time as necessary	
Rejection of information – protection of form	
Recognition of anomaly as failure of competition	
Response to anomaly – embracing anomaly	
Anomaly as opening up new ways to progress	
Exploit anomaly for own advantage	
Networking	
Individualist manipulation	
Shift less important information to peripheral parts of network	
Persuasion and justification – protection of form	
Lonely figure battling the collective (ethos)	
Self-help (atmosphere)	
Individual games of skill, strategic competitive encounters, contracts (logos)	
Innovation, competition, opportunism, creativity, new insights, satisficing,	Description of journey into OD (individual responsibility, opportunism, reward) (p7-8), use initiative (personal)

reward and incentive structures, individual responsibility (themes)	responsibility) (p7), high risk (competition, opportunism) (p7), self-help is best help (personal responsibility) (p7)
Openness to transformational change:	
Surprise: market and skill do not yield anticipated results - absence of reward for skilled behaviour (openness to isolate sense-making); need protection from insecurity (openness to enclave sense-making); need regulation in face of exploitation (openness to hierarchy sense-making)	
Openness to transactional change:	
Insight, satisficing, reward and incentives, individual responsibility (style of problem-solving)	Saves hassle (satisficing) (p6), tests commitment of client (satisficing) (p6)
Opportunism, creativity (focus)	Evaluation of how CS2 performed (credibility) (p6), when I've achieved what I want to achieve (focus on self) (p7)

## ISOLATE

MECHANISM	MICRO-INTERVENTIONS
Effective sense-making – strengthening of form: Strive to survive	
Day-to-day survival of unpredictability of experience	
Selection of information – strengthening of form: No mechanism – no interest in information	
No relationship with leadership – passive, style	
Rejection of information – protection of form: Acceptance of anything the world inflicts	
Persuasion and justification – protection of form: Sceptic (ethos)	
Resigned atmosphere (pathos)	Nothing sustains (p7)
Games of chance, details of confusion and chaos, red tape and paradox, unintended side-effects from planned interventions (logos)	Always changing (p7)
Strive to survive, immediate coping, day-to-day survival, unpredictability, randomness of system (theme)	
Openness to transformational change:	
Surprise: things seen to potentially be worse and have a pattern to them – recognise potential for worsening circumstances without authority (openness to hierarchy sense-making); perceive pattern to discrimination (openness to enclave sense-making); recognise success from individual effort (openness to individualist sense-making)	

Openness to transactional change:	
Immediate coping (style of problem-solving)	
Day-to-day survival in the face of unpredictability (focus)	
No facilitation	

ii. OBSERVATIONAL DATA ANALYSIS  
HIERARCHY

MECHANISM	MICRO-INTERVENTIONS
Effective sense-making – strengthening of form:	
Increase social cohesion through rules and roles	Commissioners and providers (p1), Commissioners (p2)
Regulatory structures	Targets, operating frameworks (p2)
Upward accountability	Checks with event commissioners (p7), hierarchy of regional organisation and local commissioners (p7)
Methodical problem-solving	
Analytic inference	
Expertise	
Forecasting	
Selection/acceptance of information – strengthening of form:	
How to maintain order and legitimacy	
Hypothesis-generation	
Knowledge-testing	
Leadership through position, protect leadership	
Rejection of information – protection of form:	
Recognition of anomaly as disruption of equilibrium	
Response to anomaly in ‘monster-adjustment’; adjusting classificatory systems and regulatory frameworks	
Paradigm protection	
Closing ranks	
Develop more rules	
Persuasion and justification – protection of form:	
Authoritative figure, paternalism (ethos)	
Paternalism, teacher-pupil (atmosphere)	

Team games, rules, machines, coats of arms (logos)	
Emphasise themes of rules, rationality, product (not process), social cohesion, regulation structures, upward accountability, role over personhood, best for organisation, forecasting, expertise, methodical problem-solving	
Openness to transformational change:	
Surprise: less knowledgeable and careful competitors do better than form's members – unanticipated results (openness to isolate sense-making); potential revolt (openness to enclave sense-making); subversion of rules (individualist sense-making).	
Openness to transactional change:	
Analytic inference, methodical problem-solving, hypothesis-generation, knowledge-testing (style of problem-solving)	Powerpoint outlining guidelines (methodical problem-solving) (p2), legislation risk (analytic inference) (p2), differentiates targets, risks, ethics (analytic inference) (p2), how rules fit with real world (analytic inference) (p3), don't put selves in breach (analytic inference) (p3), translation into NHS language (methodical problem-solving) (p3), structure of presentation – NHS statement, translate, example, real world issue (methodical problem-solving) (p3), recommendation vs best opinion (knowledge-testing) (p4), broadens point to key principles (analytic inference) (p4), not feels, decides (knowledge-testing) (p5), put in other systems (knowledge-testing) (p5), not to design risk in (knowledge-testing) (p5), default position (methodical problem-solving (p5), test scenario (knowledge-testing) (p5), highlight bottlenecks (methodical problem-solving) (p5), need to

	understand what needs to be managed (analytic inference) (p5), risk metaphor (analytic inference) (p5, p6), evidence-based management (knowledge-testing) (p6), pull out themes (analytic inference) (p6), who needs to acknowledge (methodical problem-solving) (p7),
Expertise, forecasting, product (focus)	Action plans (product) (p2), refresh on rules (product) (p2), send out powerpoint presentation (product) (p2), what I'll do (expertise) (p3), need to be able to capture (forecasting) (p3), this is where gets risky (expertise) (p3), I recommend (expertise) (p3), I interpret (expertise) (p4), organisation will be at risk (forecasting) (p4), my interpretation (expertise) (p4), we've raised questions (expertise) (p4), should be (expertise) (p4), you need to capture (product) (p4), I agree (expertise) (p4), intelligently (expertise) (p5), what data do we need (forecasting) (p5), link to other systems (product) (p5), actions to be taken (forecasting) (p5), that's right to do (expertise) (p6), process-mapping info even when group doesn't need it (expertise) (p6), what happens next (forecasting) (p6), need list of needs (product) (p6), that's important (expertise) (p7), write up and send out notes (product) (p8)
Expert structured, less focus on relating, functional focus (facilitation)	Fill up from front (functional) (p1), Introductions re titles and organisations (functional) (p2), Q and A re legal aspects of 18 weeks (expert structured) (p2), stands to side whilst presenting (less focus on relating) (p3), working for participants (functional) (p3), takes Qs as go along (functional) (p3, p4), feedback (functional) (p3), cuts down detailed discussion (functional ) (p4), writes points on flipchart (expert structured)

	(p4, p6), questioner, group individual (less focus on relating) (p4), support (functional) (p4, p7), stands back (less focus on relating) (p4), take pause (functional) (p5), opportunity to think (functional) (p5), I'll give you (expert structured) (p5), discussion between participants (functional) (p6), allocate to groups based on role (functional) (p6), prescriptive (functional) (p6), left room to get pens (functional) (p6), rotates around groups clarifying tasks (functional) (p6), picks groups to feed back (expert structured) (p7), OK heard (less focus on relating) (p7), moves to next table (functional) (p7)
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## INDIVIDUALIST

MECHANISM	MICRO-INTERVENTIONS
Effective sense-making – strengthening of form:	
Innovating	
Competing	
Insight	
Drawing on opportunism	
Creativity	
Selection/acceptance of information – strengthening of form:	
Maximising results with minimal information-seeking effort	
Satisficing	
Leadership as commodity – use for as short a time as necessary	
Rejection of information – protection of form	
Recognition of anomaly as failure of competition	
Response to anomaly – embracing anomaly	
Anomaly as opening up new ways to progress	
Exploit anomaly for own advantage	
Networking	
Individualist manipulation	
Shift less important information to peripheral parts of network	
Persuasion and justification – protection of form	
Lonely figure battling the collective (ethos)	
Self-help (atmosphere)	
Individual games of skill, strategic competitive encounters, contracts (logos)	
Innovation, competition, opportunism, creativity, new insights, satisficing,	

reward and incentive structures, individual responsibility (themes)	
Openness to transformational change:	
Surprise: market and skill do not yield anticipated results - absence of reward for skilled behaviour (openness to isolate sense-making); need protection from insecurity (openness to enclave sense-making); need regulation in face of exploitation (openness to hierarchy sense-making)	
Openness to transactional change:	
Insight, satisficing, reward and incentives, individual responsibility (style of problem-solving)	Link for you to see yourself (responsibility) (p3), don't put selves in breach (responsibility) (p3), things for you to think through (responsibility) (p4), you need to decide (responsibility) (p4), you (responsibility) (p4), you think (individual responsibility (p6), organise yourselves (individual responsibility) (p6), can you do that yourselves? (individual responsibility) (p7)
Opportunism, creativity (focus)	
Credibility established through past success in terms of individual skill, loose dynamic exchange between participants, facilitate development of new insights, focus on self (what's in it for me?) (facilitation)	Having designed services...(credibility) (p5),

## ENCLAVE

MECHANISM	MICRO-INTERVENTIONS
Effective sense-making – strengthening of form	
Highlight mutual belonging of group	
Highlight boundaries of group with wider organisation	
Emphasise support, caring, shared values	
Selection/acceptance of information – strengthening of form	
Equalising outcomes	
Search out evidence of inequality and strategies for addressing it	
Leadership as inequality – accept charismatic leadership when under threat	
Rejection of information – protection of form	
Recognition of anomaly as situation that violates classification system	
Recognition of anomaly as threat to viability as group	
Response to anomaly – taboo, monster-barring, expulsion	
Protect 'us and them' boundaries	
Collectivist survival strategies	
Persuasion and justification – protection of form	
Member of a persecuted group (ethos)	
Anger stemming from abuse of those in control, psychological safety (pathos)	
Non-competitive group activities, informal group-based interaction, paradox of individual incompetence and failure of top-down leadership (logos)	
Highlight non-competitive, non-captained activity, mutual attachment,	

mutual reliance, shared values, effectiveness in group's own terms, process not product, emphasise boundaries/ limits/range of group, us vs them, person not role, attachment, consciousness-raising, strengthen group commitment, consensus-building, ownership of process (themes)	
Openness to transformational change: Surprise if do well in harsh, cruel outside world so world not as harsh and cruel as assumed - encountering problems that require rules and order for their resolution (openness to hierarchy sense-making); the perceived failure of working to principles leading to a coping position (openness to isolate sense-making), the perception of individuals making gains in the face of the oppression of the system (openness to individualist sense-making)	
Openness to transactional change: Emphasise mutual belonging, boundaries, support, shared values, co-production (style of problem-solving)	Sharing lessons (co-production) (p7), hearts and minds support (support) (p7)
Consciousness-raising, strengthening of commitment to the group's endeavour (focus)	
Consensus-building, group ownership of process, attention to psychological safety, support, circle so group members can see each other (facilitation style)	

### iii. POST-INTERVIEW

#### HIERARCHY

MECHANISM	MICRO-INTERVENTIONS
Effective sense-making – strengthening of form:	
Increase social cohesion through rules and roles	
Regulatory structures	Policy background (p1, p6), legal requirements (p2), contract requirement (p3)
Upward accountability	Wanted to check him out (p5)
Methodical problem-solving	
Analytic inference	
Expertise	Should have highest level of knowledge in senior organisation (p11)
Forecasting	
Selection/acceptance of information – strengthening of form:	
How to maintain order and legitimacy	
Hypothesis-generation	
Knowledge-testing	
Leadership through position, protect leadership	Focused leadership (p2)
Rejection of information – protection of form:	
Recognition of anomaly as disruption of equilibrium	
Response to anomaly in ‘monster-adjustment’; adjusting classificatory systems and regulatory frameworks	Describe rules of working together to prepare event that should have happened (p11)
Paradigm protection	
Closing ranks	
Develop more rules	Develop contractual platform (p9)
Persuasion and justification – protection of form:	
Authoritative figure, paternalism (ethos)	

Paternalism, teacher-pupil (atmosphere)	
Team games, rules, machines, coats of arms (logos)	
Emphasise themes of rules, rationality, product (not process), social cohesion, regulation structures, upward accountability, role over personhood, best for organisation, forecasting, expertise, methodical problem-solving	Told what to do (rules) (p2), no well-formulated outcomes (product) (p2), if not achieved something different, no point to event (rational) (p3), protect regional organisation (best for organisation) (p7), risk assessment and management (rules) (p7), contractual platform (rules) (p8), don't have to if no rules (rules) (p8)
Openness to transformational change:	
Surprise: less knowledgeable and careful competitors do better than form's members – unanticipated results (openness to isolate sense-making); potential revolt (openness to enclave sense-making); subversion of rules (individualist sense-making).	
Openness to transactional change:	
Analytic inference, methodical problem-solving, hypothesis-generation, knowledge-testing (style of problem-solving)	Develop understanding of role (analytic inference) (p2), drill down into acts and policies (analytic inference) (p3), show non-negotiables (methodical problem-solving) (p3, p4), test it (knowledge-testing) (p4), analytic ability (analytic inference) (p4), thinking it through (analytic inference) (p5), approach to risk (methodical problem-solving) (p7), translate examples to meet requirements of rules (methodical problem-solving) (p9)
Expertise, forecasting, product (focus)	Explain as far as I could work out (expertise) (p1), reference point (expertise) (p1), advisory (expertise) (p2), clear definitions (product) (p2), legal/policy requirements (forecasting) (p2), outcomes (product) (p3, p6), expert advisor (expertise) (p4), correct the audience (expertise) (p4), I

	(expertise) (p5), give information (product) (p6), give correct advice (expertise) (p6), lack of experience (expertise) (p9)
Expert structured, less focus on relating, functional focus (facilitation)	Present (expert structured) (p1, p3), token support (functional) (p2), don't waste time (functional) (p3), carve into three parts (expert structured) (p4), interactive part (functional) (p4), time and space to assimilate information (functional) (p4), fit with range of learning styles (functional) (p4), responsiveness (functional) (p4), directorial (functional) (p4), expertise rather than friendliness (functional) (p4), facilitator (functional) (p5), credibility through interaction (functional) (p5) , group as collection of individuals (functional) (p6), listen for what's not said (functional) (p6), dialogue (functional) (p9), collaborate (functional) (p9), breaks when needed (functional) (p10)

## INDIVIDUALIST

Effective sense-making – strengthening of form:	
Innovating	
Competing	
Insight	
Drawing on opportunism	Decided to go ahead (p3)
Creativity	
Selection/acceptance of information – strengthening of form:	
Maximising results with minimal information-seeking effort	
Satisficing	
Leadership as commodity – use for as short a time as necessary	
Rejection of information – protection of form	
Recognition of anomaly as failure of competition	
Response to anomaly – embracing anomaly	
Anomaly as opening up new ways to progress	
Exploit anomaly for own advantage	Gave follow-up support independently (p11)
Networking	
Individualist manipulation	
Shift less important information to peripheral parts of network	
Persuasion and justification – protection of form	
Lonely figure battling the collective (ethos)	
Self-help (atmosphere)	
Individual games of skill, strategic competitive encounters, contracts (logos)	
Innovation, competition, opportunism, creativity, new insights, satisficing,	Personal culpability (individual responsibility) (p7)

reward and incentive structures, individual responsibility (themes)	
Openness to transformational change:	
Surprise: market and skill do not yield anticipated results - absence of reward for skilled behaviour (openness to isolate sense-making); need protection from insecurity (openness to enclave sense-making); need regulation in face of exploitation (openness to hierarchy sense-making)	
Openness to transactional change:	
Insight, satisficing, reward and incentives, individual responsibility (style of problem-solving)	Own action plans (individual responsibility) (p2), if commissioners not clear, will work out himself (individual responsibility) (p6), cost of deeper and smaller or narrower and larger events (satisficing) (p10), given task and left the room (individual responsibility) (p11)
Opportunism, creativity (focus)	Credibility established through past success in terms of individual skill, loose dynamic exchange between participants, facilitate development of new insights, focus on self (what's in it for me?) (facilitation)
	Credibility (credibility) (p5) audience's belief in you (credibility) (p5), I (credibility) (p5, p6), group as collection of individuals (loose exchange) (p6), don't hide mistakes of co-presneters (focus on self) (p10), mental agility (credibility thru skill) (p10)

## ENCLAVE

MECHANISM	MICRO-INTERVENTIONS
Effective sense-making – strengthening of form	
Highlight mutual belonging of group	
Highlight boundaries of group with wider organisation	
Emphasise support, caring, shared values	
Selection/acceptance of information – strengthening of form	
Equalising outcomes	
Search out evidence of inequality and strategies for addressing it	
Leadership as inequality – accept charismatic leadership when under threat	
Rejection of information – protection of form	
Recognition of anomaly as situation that violates classification system	
Recognition of anomaly as threat to viability as group	
Response to anomaly – taboo, monster-barring, expulsion	
Protect 'us and them' boundaries	Patient vs practitioners (p9)
Collectivist survival strategies	
Persuasion and justification – protection of form	
Member of a persecuted group (ethos)	
Anger stemming from abuse of those in control, psychological safety (pathos)	
Non-competitive group activities, informal group-based interaction, paradox of individual incompetence and failure of top-down leadership (logos)	
Highlight non-competitive, non-captained activity, mutual attachment,	Engagement (attachment) (p1),

mutual reliance, shared values, effectiveness in group's own terms, process not product, emphasise boundaries/ limits/range of group, us vs them, person not role, attachment, consciousness-raising, strengthen group commitment, consensus-building, ownership of process (themes)	
Openness to transformational change:	
Surprise if do well in harsh, cruel outside world so world not as harsh and cruel as assumed - encountering problems that require rules and order for their resolution (openness to hierarchy sense-making); the perceived failure of working to principles leading to a coping position (openness to isolate sense-making), the perception of individuals making gains in the face of the oppression of the system (openness to individualist sense-making)	Need rules because moral platform not enough (openness to hierarchy) (p9)
Openness to transactional change:	
Emphasise mutual belonging, boundaries, support, shared values, co-production (style of problem-solving)	Moral platform (shared values) (p8, p9)
Consciousness-raising, strengthening of commitment to the group's endeavour (focus)	
Consensus-building, group ownership of process, attention to psychological safety, support, circle so group members can see each other (facilitation style)	

## ISOLATE

MECHANISM	MICRO-INTERVENTIONS
Effective sense-making – strengthening of form: Strive to survive	
Day-to-day survival of unpredictability of experience	
Selection of information – strengthening of form: No mechanism – no interest in information	
No relationship with leadership – passive, style	Didn't know why other facilitators were there (p5)
Rejection of information – protection of form:	
Acceptance of anything the world inflicts	
Persuasion and justification – protection of form: Sceptic (ethos)	
Resigned atmosphere (pathos)	
Games of chance, details of confusion and chaos, red tape and paradox, unintended side-effects from planned interventions (logos)	
Strive to survive, immediate coping, day-to-day survival, unpredictability, randomness of system (theme)	
Openness to transformational change:	
Surprise: things seen to potentially be worse and have a pattern to them – recognise potential for worsening circumstances without authority (openness to hierarchy sense-making); perceive pattern to discrimination (openness to enclave sense-making); recognise success from individual effort (openness to individualist sense-making)	

Openness to transactional change:	
Immediate coping (style of problem-solving)	
Day-to-day survival in the face of unpredictability (focus)	
No facilitation	

## APPENDIX 9: NDIT DATA ANALYSIS – CASE STUDY 3

### i. PRE-INTERVIEW

#### HIERARCHY

MECHANISM	MICRO-INTERVENTIONS
Effective sense-making – strengthening of form:	
Increase social cohesion through rules and roles	Hierarchical organisation (p4)
Regulatory structures	Structure (p1), HR Directorate (p1), business plan (p1), strategy (p3), rules in contracting (p8), SOPs (p11)
Upward accountability	Chief Executive thinks doing good job (p3), confirming organisation thinks its right (p3), Chairman, Director of HR (p4), hold to account (p5), Chief Executive wants event (p7), did what others wanted her to do (p10)
Methodical problem-solving	
Analytic inference	
Expertise	
Forecasting	
Selection/acceptance of information – strengthening of form:	
How to maintain order and legitimacy	How people doing what they're doing (p1), sense check at higher level (p9)
Hypothesis-generation	
Knowledge-testing	
Leadership through position, protect leadership	
Rejection of information – protection of form:	
Recognition of anomaly as disruption of equilibrium	Not paying so don't have to work with you (p2), stuff supposed to happen wasn't happening (p7),
Response to anomaly in 'monster-adjustment'; adjusting classificatory systems and regulatory frameworks	Not collecting internal investment data (p7), don't want OD want L and D (p9)
Paradigm protection	

Closing ranks	Team member left (p7, p9), protect reputation of team (p9)
Develop more rules	
Persuasion and justification – protection of form:	
Authoritative figure, paternalism (ethos)	Chief Executive (p3, p7), guest speaker (p6)
Paternalism, teacher-pupil (atmosphere)	
Team games, rules, machines, coats of arms (logos)	Legacy (p2, p8)
Emphasise themes of rules, rationality, product (not process), social cohesion, regulation structures, upward accountability, role over personhood, best for organisation, forecasting, expertise, methodical problem-solving	Costing money so accelerated (best for organisation) (p2), what can I do to help (best for organisation) (p6), bring staff together (role) (p6), have to do it (rules) (p7), sustainability (best for organisation) (p8)
Openness to transformational change:	
Surprise: less knowledgeable and careful competitors do better than form's members – unanticipated results (openness to isolate sense-making); potential revolt (openness to enclave sense-making); subversion of rules (individualist sense-making).	
Openness to transactional change:	
Analytic inference, methodical problem-solving, hypothesis-generation, knowledge-testing (style of problem-solving)	Easily understood model (analytic inference) (p2), achievement stool (analytic inference) (p2), realise how they are now and impact they want to have (analytic inference) (p4), drill down (methodical problem-solving) (p4), use theories to think about how they are and needs of organisation (analytic inference) (p5), prove what you're doing is going to work (knowledge-testing) (p5), collecting data (knowledge-testing) (p7), evaluation matrix (knowledge-testing) (p7), asking questions (methodical

	problem-solving) (p8), modelling (analytic inference) (p8), using insights to benefit organisation (analytic inference) (p9)
Expertise, forecasting, product (focus)	Moving organisation to where it needs to be (focus) (p1), what people need to be able to deliver (focus) (p1), deliver what organisation wants (focus) (p1), influence direction that might be better (focus) (p1, p8), building for future (forecasting) (p2), how to find out in better way what people need (forecasting) (p2), tangible (product) (p2), make connections re OD and organisation (focus) (p4), give people insights (product) (p4), Gerry Robinson DVD (expertise) (p5), conference delivered in different way (product) (p6), big hairy goals (product) (p6), key measurables (product) (p7), measure against organisation's expectations (product) (p7), develop expertise (expertise) (p8)
Expert structured, less focus on relating, functional focus (facilitation)	Build relationships (functional) (p1), direct sponsors (functional) (p2), keep relationship at distance (functional) (p2), engagement (functional) (p2), facilitate awareness (functional) (p5), drive to action (functional) (p5), coaches, mentors, action learning sets (expert structured) (p5), drive to reaction (functional) (p6), challenging where need to (functional) (p8), stories (functional) (p12), give feedback (p12)

## INDIVIDUALIST

MECHANISM	MICRO-INTERVENTIONS
Effective sense-making – strengthening of form:	
Innovating	
Competing	
Insight	
Drawing on opportunism	
Creativity	
Selection/acceptance of information – strengthening of form:	
Maximising results with minimal information-seeking effort	
Satisficing	
Leadership as commodity – use for as short a time as necessary	
Rejection of information – protection of form	
Recognition of anomaly as failure of competition	Targets (p12)
Response to anomaly – embracing anomaly	
Anomaly as opening up new ways to progress	
Exploit anomaly for own advantage	
Networking	
Individualist manipulation	
Shift less important information to peripheral parts of network	
Persuasion and justification – protection of form	
Lonely figure battling the collective (ethos)	Challenge to HR Director (p10)
Self-help (atmosphere)	Generate income (p8)
Individual games of skill, strategic competitive encounters, contracts (logos)	
Innovation, competition, opportunism, creativity, new insights, satisficing,	What I wanted (p11), money (p12)

reward and incentive structures, individual responsibility (themes)	
Openness to transformational change:	
Surprise: market and skill do not yield anticipated results - absence of reward for skilled behaviour (openness to isolate sense-making); need protection from insecurity (openness to enclave sense-making); need regulation in face of exploitation (openness to hierarchy sense-making)	
Openness to transactional change:	
Insight, satisficing, reward and incentives, individual responsibility (style of problem-solving)	Insights (p4, p9), lightbulb moments (insights) (p5), fantastic idea (insight) (p5),
Opportunism, creativity, reward (focus)	Opportunity (p4), individual journeys and needs (reward) (p5), want full day event (reward) (p6), can I get involved (reward) (p6), session really great (reward) (p6), difference to individuals lives (reward) (p7)
Credibility established through past success in terms of individual skill, loose dynamic exchange between participants, facilitate development of new insights, focus on self (what's in it for me?) (facilitation)	Principle for me (focus on self) (p1), how do I need to be (focus on self) (p4), minimum time (focus on self) (p5), develop a will (focus on self) (p5), I want more of this (focus on self) (p5), knowing what buttons to press (development of insights) (p9), stories and personal impact (developing insight) (p12)

## ENCLAVE

MECHANISM	MICRO-INTERVENTIONS
Effective sense-making – strengthening of form	
Highlight mutual belonging of group	
Highlight boundaries of group with wider organisation	
Emphasise support, caring, shared values	
Selection/acceptance of information – strengthening of form	
Equalising outcomes	
Search out evidence of inequality and strategies for addressing it	
Leadership as inequality – accept charismatic leadership when under threat	
Rejection of information – protection of form	
Recognition of anomaly as situation that violates classification system	
Recognition of anomaly as threat to viability as group	
Response to anomaly – taboo, monster-barring, expulsion	
Protect 'us and them' boundaries	
Collectivist survival strategies	
Persuasion and justification – protection of form	
Member of a persecuted group (ethos)	
Anger stemming from abuse of those in control, psychological safety (pathos)	
Non-competitive group activities, informal group-based interaction, paradox of individual incompetence and failure of top-down leadership (logos)	
Highlight non-competitive, non-captained activity, mutual attachment,	Sense in team of how going (effectiveness) (p7)

mutual reliance, shared values, effectiveness in group's own terms, process not product, emphasise boundaries/ limits/range of group, us vs them, person not role, attachment, consciousness-raising, strengthen group commitment, consensus-building, ownership of process (themes)	
Openness to transformational change: Surprise if do well in harsh, cruel outside world so world not as harsh and cruel as assumed - encountering problems that require rules and order for their resolution (openness to hierarchy sense-making); the perceived failure of working to principles leading to a coping position (openness to isolate sense-making), the perception of individuals making gains in the face of the oppression of the system (openness to individualist sense-making)	
Openness to transactional change: Emphasise mutual belonging, boundaries, support, shared values, co-production (style of problem-solving)	
Consciousness-raising, strengthening of commitment to the group's endeavour (focus)	
Consensus-building, group ownership of process, attention to psychological safety, support, circle so group members can see each other (facilitation style)	Support (p5), safest way to try (psychological safety) (p5)

## ISOLATE

MECHANISM	MICRO-INTERVENTIONS
Effective sense-making – strengthening of form: Strive to survive	
Day-to-day survival of unpredictability of experience	
Selection of information – strengthening of form: No mechanism – no interest in information	
No relationship with leadership – passive, style	
Rejection of information – protection of form: Acceptance of anything the world inflicts	
Persuasion and justification – protection of form: Sceptic (ethos)	
Resigned atmosphere (pathos)	
Games of chance, details of confusion and chaos, red tape and paradox, unintended side-effects from planned interventions (logos)	
Strive to survive, immediate coping, day-to-day survival, unpredictability, randomness of system (theme)	Blame culture (p3)
Openness to transformational change:	
Surprise: things seen to potentially be worse and have a pattern to them – recognise potential for worsening circumstances without authority (openness to hierarchy sense-making); perceive pattern to discrimination (openness to enclave sense-making); recognise success from individual effort (openness to individualist sense-making)	

Openness to transactional change:	
Immediate coping (style of problem-solving)	
Day-to-day survival in the face of unpredictability (focus)	
No facilitation	

## ii. OBSERVATIONAL DATA ANALYSIS

### HIERARCHY

MECHANISM	MICRO-INTERVENTIONS
Effective sense-making – strengthening of form:	
Increase social cohesion through rules and roles	
Regulatory structures	
Upward accountability	Greets Chief Executive (p2)
Methodical problem-solving	
Analytic inference	
Expertise	
Forecasting	
Selection/acceptance of information – strengthening of form:	
How to maintain order and legitimacy	
Hypothesis-generation	
Knowledge-testing	
Leadership through position, protect leadership	
Rejection of information – protection of form:	
Recognition of anomaly as disruption of equilibrium	Description of systems as disempowering, entrapping, not hearing etc (p4-5)
Response to anomaly in 'monster-adjustment'; adjusting classificatory systems and regulatory frameworks	Reframing guest lecture as taster of different perspectives (p7)
Paradigm protection	
Closing ranks	
Develop more rules	
Persuasion and justification – protection of form:	
Authoritative figure, paternalism (ethos)	Chief Executive presenting (p2), Chairman (p6)
Paternalism, teacher-pupil (atmosphere)	Junior can go to senior (p7)
Team games, rules, machines, coats of arms (logos)	Feel their pain as leader (p8)

Emphasise themes of rules, rationality, product (not process), social cohesion, regulation structures, upward accountability, role over personhood, best for organisation, forecasting, expertise, methodical problem-solving	Our first conference (social cohesion) (p2), hard work you put in (best for organisation) (p2), you are critical (best for organisation), sustainable society (social cohesion) (p2), link to riots (social cohesion) (p2), Athenian code of citizenship (best for organisation) (p3, p7), aren't we the organisation (social cohesion) (p4), Chief Executives get sacked (roles) (p4), my team (upward accountability) (p7), living values as leader (roles) (p7), by what right do you lead me (social cohesion) (p7), leave organisation better (best for organisation) (p7), they do it for you (upward accountability) (p7), leaders (role) (p9), high reliability organisations and leaders (best for organisation) (p9)
Openness to transformational change:	
Surprise: less knowledgeable and careful competitors do better than form's members – unanticipated results (openness to isolate sense-making); potential revolt (openness to enclave sense-making); subversion of rules (individualist sense-making).	
Openness to transactional change:	
Analytic inference, methodical problem-solving, hypothesis-generation, knowledge-testing (style of problem-solving)	Metaphors (analytic inference) (p3, p5, p7, p8, p9, p10)
Expertise, forecasting, product (focus)	Completed appraisal data (product) (p1), awards (product) (p2), looking forward (forecasting) (p2), need to change because world changing (forecasting) (p2), helping you recognise changes (forecasting) (p2), I could see (expertise) (p3), I want to share.. (expertise) (p3), change team to be best team (forecasting) (p4), theories in presentation (expertise)

	(p4-5, p8, p9), discussion vs dialogue (expertise) (p5), theories in workshop (p6), improve faster (forecasting) (p6), more alive than competitors (forecasting ) (p6), getting people to commit...(product) (p6), I see this (forecasting) (p7), continue back in workplace (forecasting) (p7), where they need to be (product) (p8)
Expert structured, less focus on relating, functional focus (facilitation)	Conference layout (functional) (p1), speed-coaching (expert structured) (p1), meeting and greeting (functional) (p2), formal structure (functional) (p2), Chief Executive presentation (functional) (p2), mention stallholders (functional) (p2), proper stuff (expert structured) (p4), powerpoint (expert structured) (p4, p8), workshop (expert structured) (p6), engagement (functional) (p6), masterclass (p8)

## INDIVIDUALIST

MECHANISM	MICRO-INTERVENTIONS
Effective sense-making – strengthening of form:	
Innovating	
Competing	
Insight	
Drawing on opportunism	
Creativity	
Selection/acceptance of information – strengthening of form:	
Maximising results with minimal information-seeking effort	
Satisficing	
Leadership as commodity – use for as short a time as necessary	
Rejection of information – protection of form	
Recognition of anomaly as failure of competition	
Response to anomaly – embracing anomaly	
Anomaly as opening up new ways to progress	
Exploit anomaly for own advantage	
Networking	
Individualist manipulation	
Shift less important information to peripheral parts of network	
Persuasion and justification – protection of form	
Lonely figure battling the collective (ethos)	
Self-help (atmosphere)	
Individual games of skill, strategic competitive encounters, contracts (logos)	
Innovation, competition, opportunism, creativity, new insights, satisficing,	

reward and incentive structures, individual responsibility (themes)	
Openness to transformational change:	
Surprise: market and skill do not yield anticipated results - absence of reward for skilled behaviour (openness to isolate sense-making); need protection from insecurity (openness to enclave sense-making); need regulation in face of exploitation (openness to hierarchy sense-making)	
Openness to transactional change:	
Insight, satisficing, reward and incentives, individual responsibility (style of problem-solving)	Be the change you want to see (p4), change the way you talk (individual responsibility) (p5), metaphor (insight) (p3, p5, p7, p8, p9, p10)
Opportunism, creativity, reward (focus)	Made you feel glad (reward) (p4), magic moments awards (reward) (p4), get people to want to change (rewards) (p5), why did you come (reward) (p6), how will skills help you (reward) (p6), bring out potential to achieve desired goals (reward) (p6)
Credibility established through past success in terms of individual skill, loose dynamic exchange between participants, facilitate development of new insights, focus on self (what's in it for me?) (facilitation)	Personal testimonials (focus on self) (p1), I found it... (focus on self) (p6), enjoyable and developmental morning (focus on self) (p6), I did it my way (credibility) (p8), presentations (new insights) (p4-5, p6, p8, p9, p10), emotive story (new insights) (p10)

## ENCLAVE

MECHANISM	MICRO-INTERVENTIONS
Effective sense-making – strengthening of form	
Highlight mutual belonging of group	
Highlight boundaries of group with wider organisation	
Emphasise support, caring, shared values	
Selection/acceptance of information – strengthening of form	
Equalising outcomes	
Search out evidence of inequality and strategies for addressing it	Structures (p3),
Leadership as inequality – accept charismatic leadership when under threat	
Rejection of information – protection of form	
Recognition of anomaly as situation that violates classification system	Policies and processes entrap (p4), people forced to behave (p4), emails prevent face-to-face communication (p4), entrapment (p5), whose voice being heard, whose voice lost (p5)
Recognition of anomaly as threat to viability as group	
Response to anomaly – taboo, monster-barring, expulsion	
Protect 'us and them' boundaries	
Collectivist survival strategies	Give people back the language (p3), relational practice (p5)
Persuasion and justification – protection of form	
Member of a persecuted group (ethos)	NHS managers (p5)
Anger stemming from abuse of those in control, psychological safety (pathos)	
Non-competitive group activities, informal group-based interaction, paradox of individual incompetence	

and failure of top-down leadership (logos)	
Highlight non-competitive, non-captained activity, mutual attachment, mutual reliance, shared values, effectiveness in group's own terms, process not product, emphasise boundaries/ limits/range of group, us vs them, person not role, attachment, consciousness-raising, strengthen group commitment, consensus-building, ownership of process (themes)	Journey (process not product) (p3), the organisation (us vs them) (p3),
Openness to transformational change:	
Surprise if do well in harsh, cruel outside world so world not as harsh and cruel as assumed - encountering problems that require rules and order for their resolution (openness to hierarchy sense-making); the perceived failure of working to principles leading to a coping position (openness to isolate sense-making), the perception of individuals making gains in the face of the oppression of the system (openness to individualist sense-making)	
Openness to transactional change:	
Emphasise mutual belonging, boundaries, support, shared values, co-production (style of problem-solving)	OD department identification thru docs, logo, strategy (mutual belonging) (p1), us (mutual belonging) (p2), about the people isn't it (shared values) (p3), proud (shared values) (p4), team.. proud to be a part (mutual belonging) (p4), bleed for you and you for them (shared values) (p4), grow as human beings (shared values) (p6)
Consciousness-raising, strengthening of commitment to the group's endeavour (focus)	Just learn (consciousness-raising) (p3), personal not work metaphors (p3, p4, p5),
Consensus-building, group ownership of process, attention to psychological safety, support, circle so group	Light-hearted (psychological safety) (p3), remember how they make you feel (psychological safety) (p8),

members can see each other (facilitation style)	
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iii POST-INTERVIEW:

HIERARCHY

MECHANISM	MICRO-INTERVENTIONS
Effective sense-making – strengthening of form:	
Increase social cohesion through rules and roles	Wait to move up through ranks (p27)
Regulatory structures	If new NHS system wants it (p27)
Upward accountability	Chief Exec asked for conference (p1), Heads send staff (p2), I want you to do it (p4), driven from the top (p8), Execs said put on customer care programme (p16)
Methodical problem-solving	Competency framework (p15), self-assessment (p15), toolkit (p23)
Analytic inference	
Expertise	
Forecasting	
Selection/acceptance of information – strengthening of form:	
How to maintain order and legitimacy	
Hypothesis-generation	
Knowledge-testing	University doing case study (p11)
Leadership through position, protect leadership	Chief Executive ignored her (p3)
Rejection of information – protection of form:	
Recognition of anomaly as disruption of equilibrium	Different way of doing leadership to that experienced in organisation (p25)
Response to anomaly in ‘monster-adjustment’; adjusting classificatory systems and regulatory frameworks	Present data in safe but challenging way (p27, p28)
Paradigm protection	
Closing ranks	
Develop more rules	Toolkit, action plan and steering group (p16)
Persuasion and justification – protection of form:	

Authoritative figure, paternalism (ethos)	Wanted to thank team (p2), my team (p3), Chief Executive (p19), senior officer (p24)
Paternalism, teacher-pupil (atmosphere)	
Team games, rules, machines, coats of arms (logos)	
Emphasise themes of rules, rationality, product (not process), social cohesion, regulation structures, upward accountability, role over personhood, best for organisation, forecasting, expertise, methodical problem-solving	Partners from other organisations (social cohesion) (p2), proud to be part of organisation (best for organisation) (p14), organisation's values (social cohesion) (p15), rules re turning up on time (rules) (p20), money into organisation (best for organisation) (p22)
Openness to transformational change:	
Surprise: less knowledgeable and careful competitors do better than form's members – unanticipated results (openness to isolate sense-making); potential revolt (openness to enclave sense-making); subversion of rules (individualist sense-making).	Wouldn't give boss a brief (individualist) (p4), go away with different (enclave) definition of OD (enclave) (p6), string of fairylights (enclave) (p8), seep it in (enclave) (p9), showing with stories, not number-crunching (individualist) (p11), show different Chief Exec (enclave) (p17, p19), not working further down the ranks (enclave) (p25)
Openness to transactional change:	
Analytic inference, methodical problem-solving, hypothesis-generation, knowledge-testing (style of problem-solving)	Modelling (analytic inference) (p1, p7, p11, p17), signal to officers (analytic inference) (p4), 'supporting' came out strongest (analytic inference) (p7), stories show how organisation is an how it might be (analytic inference) (p25)
Expertise, forecasting, product (focus)	Here's what OD gives organisation (product) (p3), Chief Exec stayed (product) (p3, p4), about leadership (product) (p5), define OD for organisation (product) (p6), book of stories (product) (p9), work experience dvd (product) (p9), push buttons I asked him to (product) (p17), advice on conference (product) (p21),

	get staff survey results up (product) (p26), got what wanted (product) (p28)
Expert structured, less focus on relating, functional focus (facilitation)	Chief Exec at the front (p4), reserve table (functional) (p12), workshops in the room (functional) (p12), see whole team (functional) (p14), details of setting and event (functional) (p14), emotion as driver to change (functional) (p16, p17), workshops to use tools (p23)

## INDIVIDUALIST

MECHANISM	MICRO-INTERVENTIONS
Effective sense-making – strengthening of form:	
Innovating	
Competing	Looking externally (p1), wants to show off (p1, p4, p11), show what we can do (p2), successful organisation (p25)
Insight	
Drawing on opportunism	Income generation (p22)
Creativity	
Selection/acceptance of information – strengthening of form:	
Maximising results with minimal information-seeking effort	
Satisficing	Collect more stories (p11)
Leadership as commodity – use for as short a time as necessary	
Rejection of information – protection of form	
Recognition of anomaly as failure of competition	
Response to anomaly – embracing anomaly	No losses (p21)
Anomaly as opening up new ways to progress	Stalls didn't work (p9, p20), coaching in the room (p12), fewer workshops (p12, p20, p21)
Exploit anomaly for own advantage	
Networking	
Individualist manipulation	
Shift less important information to peripheral parts of network	
Persuasion and justification – protection of form	
Lonely figure battling the collective (ethos)	I'll do it my way (p16)
Self-help (atmosphere)	
Individual games of skill, strategic competitive encounters, contracts (logos)	

Innovation, competition, opportunism, creativity, new insights, satisficing, reward and incentive structures, individual responsibility (themes)	What organisation does for individual (reward and incentive) (p1), tickbox (satisficing) (p2), didn't need to ask anyone (individual responsibility) (p2), next year's speakers (opportunism) (p7),
Openness to transformational change:	
Surprise: market and skill do not yield anticipated results - absence of reward for skilled behaviour (openness to isolate sense-making); need protection from insecurity (openness to enclave sense-making); need regulation in face of exploitation (openness to hierarchy sense-making)	
Openness to transactional change:	
Insight, satisficing, reward and incentives, individual responsibility (style of problem-solving)	Give people stuff (reward) (p2), transactional (satisficing) (p4), joining the dots (insight) (p7), taster of something for them (reward) (p8), what they can control (individual responsibility) (p8), projected stories show difference it made for them (reward, insight) (p10), show alternative way (insight) (p11, p17, p24), if Fred can do it, so can I (insight) (p12, p13), quality out of stories (insight) (p13), make connections (insight) (p13), do something after lightbulb (individual responsibility) (p14), inspire to try something (individual responsibility) (p15), coming next year (incentive) (p21), develop toolkits people can use themselves (individual responsibility) (p23), didn't follow up after event because had immediate feedback (satisficing) (p23), story of you can make a difference (individual responsibility) (p24), individuals can make a difference (individual responsibility) (p24), what can you do? (individual responsibility) (p25),

	impact at team level (p26), sphere of influence (individual responsibility) (p27)
Opportunism, creativity (focus)	Showcasing (creativity) (p1, p4, p11), opportunity to get him to say it (opportunism) (p3), speed-coaching (creativity) (p9)
Credibility established through past success in terms of individual skill, loose dynamic exchange between participants, facilitate development of new insights, focus on self (what's in it for me?) (facilitation)	Have good experience of coaching (focus on self) (p9), what can people take away (focus on self) (p9, p13), external stalls for partners (focus on self) (p10), can wander if bored (focus on self) (p12), silence and the applause (development of new insights) (p19), free lunch (focus on self) (p19), wanting more (focus on self) (p22, p23), help people to want something different (development of new insights) (p28)

## ENCLAVE

MECHANISM	MICRO-INTERVENTIONS
Effective sense-making – strengthening of form	
Highlight mutual belonging of group	
Highlight boundaries of group with wider organisation	
Emphasise support, caring, shared values	
Selection/acceptance of information – strengthening of form	
Equalising outcomes	
Search out evidence of inequality and strategies for addressing it	
Leadership as inequality – accept charismatic leadership when under threat	Command and control bully (p18)
Rejection of information – protection of form	
Recognition of anomaly as situation that violates classification system	
Recognition of anomaly as threat to viability as group	
Response to anomaly – taboo, monster-barring, expulsion	'it's alright for them...' (p8), a right nutter (p15), got her off the team (p20)
Protect 'us and them' boundaries	
Collectivist survival strategies	
Persuasion and justification – protection of form	
Member of a persecuted group (ethos)	
Anger stemming from abuse of those in control, psychological safety (pathos)	
Non-competitive group activities, informal group-based interaction, paradox of individual incompetence and failure of top-down leadership (logos)	
Highlight non-competitive, non-captained activity, mutual attachment,	Engagement (attachment) (p1),

mutual reliance, shared values, effectiveness in group's own terms, process not product, emphasise boundaries/ limits/range of group, us vs them, person not role, attachment, consciousness-raising, strengthen group commitment, consensus-building, ownership of process (themes)	
Openness to transformational change: Surprise if do well in harsh, cruel outside world so world not as harsh and cruel as assumed - encountering problems that require rules and order for their resolution (openness to hierarchy sense-making); the perceived failure of working to principles leading to a coping position (openness to isolate sense-making), the perception of individuals making gains in the face of the oppression of the system (openness to individualist sense-making)	
Openness to transactional change: Emphasise mutual belonging, boundaries, support, shared values, co-production (style of problem-solving)	Coaches (support) (p19)
Consciousness-raising, strengthening of commitment to the group's endeavour (focus)	They got it (consciousness-raising) (p6), changing hearts and minds (strengthen commitment) (p8)
Consensus-building, group ownership of process, attention to psychological safety, support, circle so group members can see each other (facilitation style)	Emotion (psychological safety) (p16)

## ISOLATE

MECHANISM	MICRO-INTERVENTIONS
Effective sense-making – strengthening of form: Strive to survive	
Day-to-day survival of unpredictability of experience	
Selection of information – strengthening of form: No mechanism – no interest in information	
No relationship with leadership – passive, style	Told to come (p2), don't challenge him (p3), not what I asked you to say (p5), had to ask her (p5)
Rejection of information – protection of form:	
Acceptance of anything the world inflicts	It's his prerogative (p3)
Persuasion and justification – protection of form:	
Sceptic (ethos)	
Resigned atmosphere (pathos)	Going to be prevailing culture (p8), always take stalls (p9), won't change till he leaves (p25), will be point where can't do any more (p26), systems thinking won't impact (p26), never going to aspire to be learning organisation (p26), organisation doesn't want OD (p26), organisation won't change soon (p27)
Games of chance, details of confusion and chaos, red tape and paradox, unintended side-effects from planned interventions (logos)	
Strive to survive, immediate coping, day-to-day survival, unpredictability, randomness of system (theme)	
Openness to transformational change:	

Surprise: things seen to potentially be worse and have a pattern to them – recognise potential for worsening circumstances without authority (openness to hierarchy sense-making); perceive pattern to discrimination (openness to enclave sense-making); recognise success from individual effort (openness to individualist sense-making)	
Openness to transactional change:	
Immediate coping (style of problem-solving)	It's his usual (p3), Chairman rambled on (p4), that's OK he turned up (p5)
Day-to-day survival in the face of unpredictability (focus)	
No facilitation	