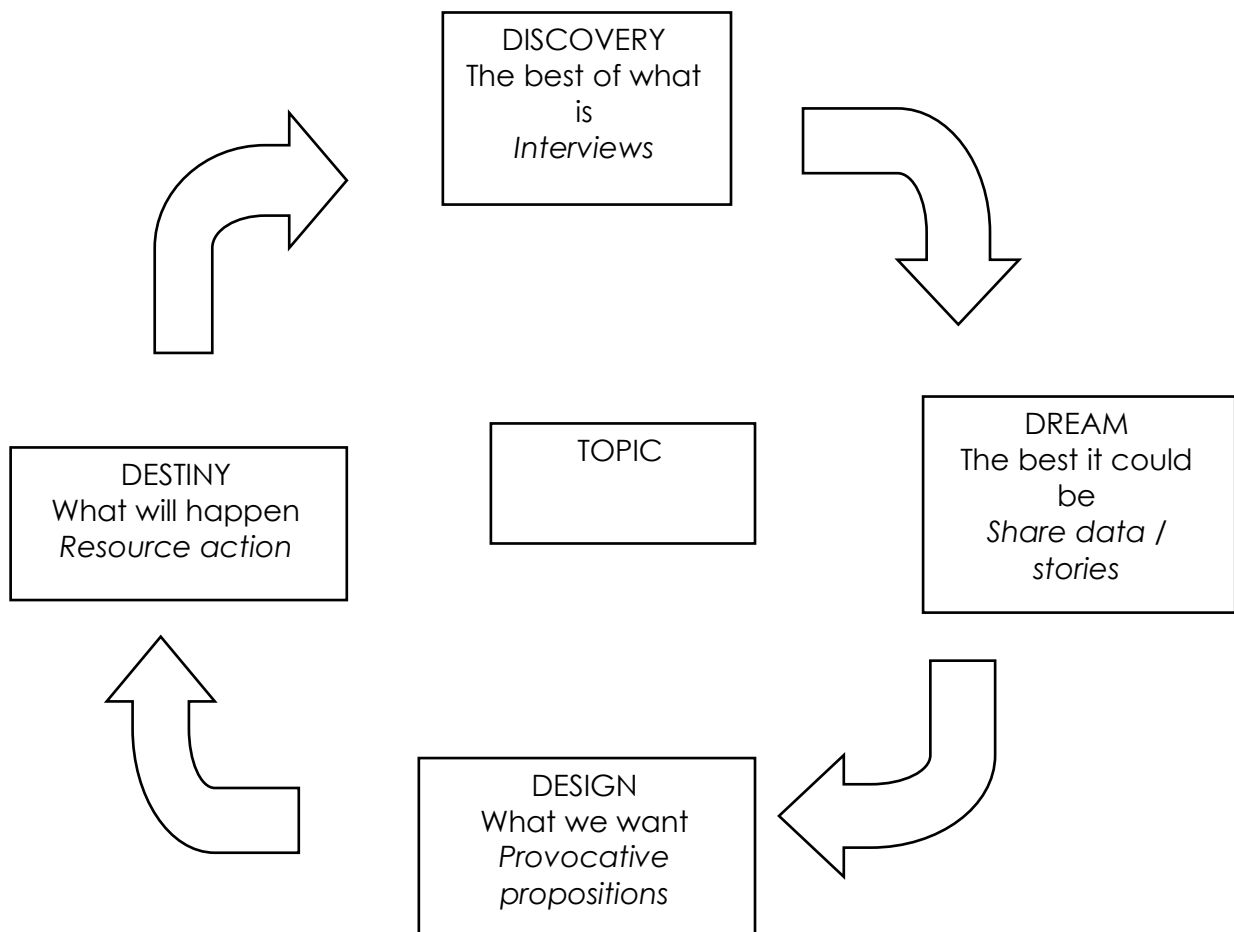


Data Gathering and Analysis Toolkit

Appreciative Inquiry

When to use Appreciative Inquiry (AI)

- Appreciative Inquiry works well when you want to involve others in the process of defining change or creating a vision and are then prepared to resource this group in taking action to translate the vision into reality
- It doesn't work well if you as the leader have a clear direction in your own mind, and if you would like to stay in control of the outcomes
- It can provide new energy for change and a very different way of challenging the status quo particularly in highly critical environments. It can also struggle in these environments and be hard to maintain for long enough for it to have an impact on what people do
- It can offer a new way of creating change when other, more traditional ways have not created the type or amount of change wanted
- Appreciative Inquiry is not about achieving consensus but is an opportunity to hear different views and experiences.



Step One – Defining the Topic

This is an important step in the process. Defining the topic well makes a difference to how much energy people put into the Inquiry and to the questions asked, stories told and the nature of the provocative propositions.

The topic needs to be:

- Important enough for people to want to put energy into creating change
- Broad enough for people to participate through having stories to tell and focused enough for the topic to be meaningful
- Expressed as a positive
- Clear and focused – not just a heading. For example, reviewing team meetings is not sufficiently focused or positive. In AI terms the topic is more effectively expressed as the team meeting is **the** meeting to attend.

Other examples of AI topics:

- We retain our best people (rather than we stop people leaving)
- Customers have an excellent arrival experience at the airport (rather than we handle baggage delays well).

Step Two – Discovery – The Best of What Is

At this stage 'discovery' questions are created and those participating in the Inquiry ask and answer them. Underlying this is the idea that involving people in hearing the stories creates some of the energy needed to carry the change through.

The questions need to be open and designed to encourage people to tell stories about what happens now or has happened in the past, about their positive experiences.

It is important the questions don't hide other agendas. The key is to have a few questions that the group wants to explore, and that will encourage as many stories about the "best of what is" as possible.

Things to avoid as the interviewer:

- Probing your own agenda
- Asking "so when didn't it work?" "why isn't it like that all the time?"
- Problem solving and seeking solutions.

Example questions:

- Describe a time when you feel the team performed really well
 - What were the circumstances?
 - When did that happen?
 - Who was involved?
 - What was your contribution?
 - Another occasion?
- Describe a time when you were proud to be a member of the team or group. Why?
- What do you most value about being a member of this team? Why?
- Can you give me some examples of times when you have really applied learning from a workshop back at work? What happened?

Step Three – Dream – The Best It Could Be

This stage involves sharing the data or stories and looking for the key themes within them that will form the basis of the design stage and the provocative propositions. Here you're seeking and sharing what is at the heart of the story, its essence. It is not about consensus as that can dissipate energy by diluting what was different and individual in each story.

So, with the topic we *collaborate effectively with our merger partners for the benefit of both parties and the new organisation* the key themes from the stories about 'the best of what is' included:

- We are open about successes, challenges and what isn't working
- We attend formal and informal meetings regularly so build relationships over time
- It's great when we do it rather than talk about it i.e. when work on real projects together, like jointly bidding for contract work
- When meetings are off-site and have a social element – we have fun as well as work hard
- We talk about hopes and concerns about the future
- We ask questions about how things are and test out our assumptions.

Step Four – Design – What We Want

Here the group creates **provocative propositions** – your future direction and vision. Your direction will come from a number of provocative propositions.

- Provocative propositions need to be connected clearly to what already happens – to the data and themes that emerged from steps two and three
- In addition, they need to challenge and provoke – to stretch beyond the current state
- Write them as though they are already happening e.g.
 - We devote time to learning more so we keep our expertise current
 - We continue to collaborate on real projects to generate income for our organisations, and successfully influence others in our institutions to work together
 - Information to help us make good decisions is available at the touch of a button
 - We collect information from our customers in an uninterrupted sequence and they talk to only one person.

Step Five – Destiny – What Will Happen

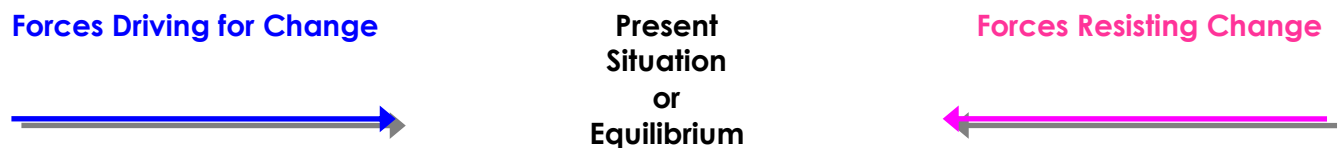
The focus from a leadership perspective is to resource and support action. The aim here is that the people who have participated in the Inquiry identify areas where they would like to take action to put the provocative propositions into practice. The leader's role is to help them have access to the resources they need, and to support them through feedback and positive review. It is important that in reviewing the change an appreciative perspective is maintained.

Force Field Analysis

Force Field Analysis is a very simple tool which can help you to think through a situation when you are faced with resistance, to consider all the implications and to plan how to achieve the objectives you have defined.

The Concept

Although there are often considerable pressures for change, these are matched equally by strong pressures resisting change, resulting in stalemate, viz.:



Example: Barriers to development could be:

- Fear of new situation
- Dislike of vulnerability
- Expectations of others - colleagues, managers, family
- Lack of belief in own capacity
- Insufficient skills - lack of ideas.

Each of these barriers could be described as forces resisting change. By:

- Increasing the strength of the helpful factors (the forces driving for change) and
- Diminishing the strength of those factors hindering/resisting change.

You can start to move towards the 'ideal situation':



The Process

- **Analyse the Current Situation**
This is a detailed picture of the current state in relation to the problem. Do spend some time on this - it is the step normally rushed over since we tend to think 'we know where we are' without analysing it. Remember to think about the other people involved.
- **Analyse the Ideal Situation**
A detailed picture/vision that describes the situation as you would like it to be. Put in the details that will tell you whether you have succeeded. Be specific - describe how it will look or feel.

- **List All the Factors Which Will Help You Achieve Your Desired Situation**
These are the driving forces pushing in favour of your ideal new situation. Some of them will be represented by other people, habits or beliefs which are held. Some will be pressure within the situation itself. These forces will not necessarily be of equal strength.
- **List All the Factors Which May Prevent You Achieving Your Desired Situation**
These may be other people, habits, beliefs or pressure within the situation
- **Develop Your Strategies**
Now you have to work out ways of increasing the strength of the helpful, driving forces and reducing the strength of the inhibiting, resisting factors.

It is often more energy efficient to spend effort in reducing the resisting forces rather than putting greater effort into pushing the driving forces.

Try starting with the easiest factors and work up to the harder ones. In this way you may produce change with less effort.

The Framework

Define the Problem

1. Describe your current situation
2. Describe your ideal situation.

Analyse the Problem

3. List the restraining forces
4. List the driving forces
5. Rank the restraining/driving forces in order of importance.

Develop Solutions

6. Brainstorm possible action steps for key restraining forces
7. Brainstorm possible action steps for key driving forces
8. Select most promising action steps.

Develop A Plan

9. List the action steps and, for each step, list the resources required/available
10. Draft overall action plan
11. Review the plan with a colleague
12. Complete the plan.

Organisation Alignment – McKinsey 7 S

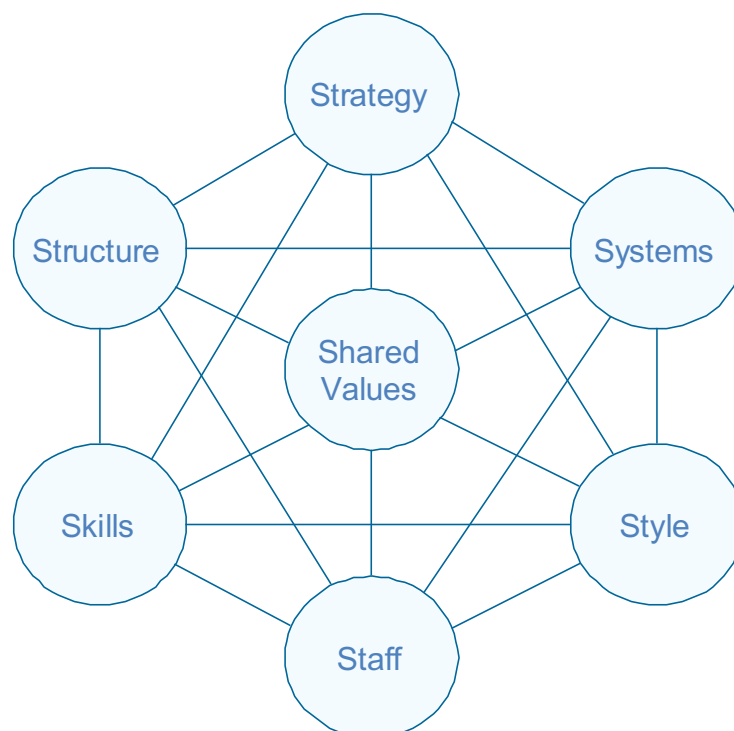
What the Model Does

The model was reputedly initiated by Robert Waterman when he was at McKinsey and Co and featured largely in "In Search of Excellence", Harpers and Rowe (1982). This is a useful tool for analysing organisations (internally).

When to Use It

Use the model to identify strengths, and weaknesses of an organization, particularly with respect to how different elements integrate and support each other – or more commonly don't!

What It Looks Like



How to Use It

Assess each of the factors as below:

- Staff: The quality and quantity of people employed.
- Strategy: How the organisation answers the question 'Where and how shall we compete?'
- Structure: How the organisation breaks down its activities into distinct elements and how these elements are co-ordinated.
- Skills: The competences the organisation needs in its people in order to perform difficult tasks to a high standard?
- Systems: All the technologies used by the firm for co-ordination, control, communication and command.
- Style: The philosophy, values and beliefs adopted by managers in their use of power.
- Shared values: The superordinate goals - e.g. respect for the individual; customer service; excellence in everything.

This model has similarities and overlap with the value chain model but includes more around culture (style!) and values. Both could be used together, or alone.

Key Outcomes from Using It

The model highlights the interrelated aspects of a business and ensures that all aspects are examined when evaluating the strengths, weaknesses, internal and external alignment of a business.

Example Use

In the example below, sample HRM issues are given for each of the factors, but a similar analysis could be done for financial issues, technological or other functional areas, or the business as a whole.

Sample HRM Issues

Staff

The quality and quantity of people employed.

- How many people do we need?
- Of what kinds?
- Do we have them?
- Can we get them?
- Can we develop them?
- Can we keep them?
- Can we motivate them?
- Can we carry out our strategy with our present people?

Strategy

How the organisation answers the question 'Where and how shall we compete?'

- How do we need to change our HRM systems and policies in the light of our strategy?

Structure

How the organisation breaks down its activities into distinct elements and how these elements are co-ordinated.

- What implications arise from our structure for our HRM?

Skills

The competences the organisation needs in its people in order to perform difficult tasks to a high standard?

- Where does HRM sit in our structure?
- Specialist centralised department?
- Devolved to line-managers?
- Do we have enough people with the skills demanded by our strategy, systems, etc?
- Can we buy-in these skills?
- Can we develop these skills in our existing people

Systems

All the technologies used by the firm for co-ordination, control, communication and command.

- What skills do these systems/technologies require?
- Are these skills available in the organisation?

Style

The philosophy, values and beliefs adopted by managers in their use of power.

- Can they be acquired or developed?
- Do our HRM systems and policies work to promote the desired style?

Shared Values

The superordinate goals - e.g. respect for the individual; customer service; excellence in everything.

- Are our HRM systems and policies consistent with the desired style?
- Do our HRM systems and policies communicate and promote our espoused values?
- Do our HRM systems and policies communicate and express our shared values?

Burke-Litwin Model

The Burke-Litwin Model (A Causal Model of Organisational Performance and Change, Journal of Management, Vol. 18 No.3 1992) is a useful model for those leading organisations, and those designing and implementing change. The model distinguishes between transformational factors (long term levers), transactional factors (operational or medium-term levers) and individual / personal factors (short-term levers). There are 10 factors described below.

Burke-Litwin suggests that personal and transactional factors affect the organisational climate – how individuals perceive their team and working relationships. Transformational factors (strategy, leadership and culture) have greater weight in terms of driving long-term change but need to be supported by effective interventions in the other factors.

Context

External Environment

Anything external that influences the performance of the organisation. This includes the marketplace, global financial conditions, public finances, government policy etc. Further examples of external factors:

- Financial settlement
- Demographic changes
- Stakeholder / partner environment
- External reports and inspections
- Political changes
- Technological changes
- Socio-economic changes.

Transformational Factors (Strategic / Long-Term)

Mission & Strategy

What employees believe is the central purpose of the organisation, and how the organisation intends to achieve that purpose over an extended time.

Leadership

Senior Executive / Senior Leader behaviour that encourages others to take action. This includes how senior leaders' behaviours, and their practices and values, are perceived. How change is implemented and accepted in the organisation is an example of this. Do you believe that senior colleagues are committed to change, or that this is another initiative which will disappear in 6 months?

Culture

"The way we do things around here" - the overt and covert rules, values and principles that guide organisational behaviour. They have been strongly influenced by history, custom and practice. Culture change doesn't happen overnight. It evolves over time and as a result of many other changes.

Transactional Factors (Operational / Medium-Term)

Structure

The arrangement of functions and people into specific areas and levels of responsibility, decision making, authority and relationships. Structure assures effective implementation of the organisation mission and strategy. Very often changes in strategy lead to structural change.

Management Practices

What managers do in the normal course of events to use available resources to achieve the organisation's strategy.

- Specific behaviours
- The way in which they make and implement decisions
- What they do / don't focus on
- How they treat and relate to people.

Systems

The standardised policies and mechanisms that facilitate work. This includes control systems (e.g. planning, budget allocation and management, human resource allocation), reward systems, business processes and information systems.

Individual / Personal Factors (Short-Term)

Climate

The collective current impressions, expectations and feeling of the members of local work units. These in turn affect member's relations with managers, each other and other units. Our immediate working environment is often what shapes our view of the organisation as a whole and influences the extent to which we feel satisfied with our jobs. Therefore, changes to the immediate working environment can invoke strong responses.

Task Requirements and Individual Skills / Abilities

The behaviour required to get the work done effectively. This includes specific skills and experience required for people to accomplish assigned work, and work for which they feel responsible. The category is concerned with matching the job and the person.

Individual Needs and Values

The specific psychological factors that provide desire and worth for individual actions and thoughts. What do staff value in their work?

Motivation

The motivation staff have to move towards a goal (achieving the organisation or departmental strategy). Which of the factors described appear to impact most on motivation?

Outcomes

Individual and Organisational Performance

The outcomes or results with measures of effort and achievement, e.g. productivity, customer or staff satisfaction, profit, service quality etc.

SWOT (incorporating PESTEL)

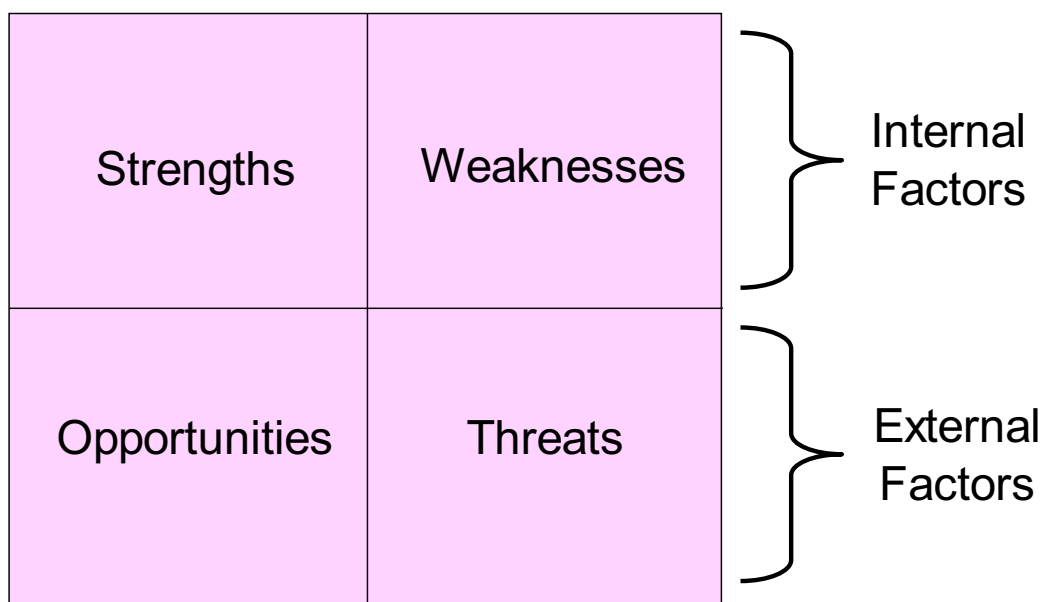
Strengths, Weaknesses, Opportunities, Threats

A simple management tool for looking at the internal strengths and weaknesses and the external opportunities and threats facing an organisation, useful for analysing the situation an organisation is in.

This draws together external and internal audits.

SWOT Analysis Questions

- S** Can we build on our strengths?
How do we stay strong?
- W** Do we need to overcome our weaknesses?
Can we defend our current position?
- O** How can we take advantage of the opportunities?
What resources would we need?
- T** How likely are the Threats?
What will be the impact?
What can we do about them?



Strengths and Weaknesses

Check list:

- Financial position
- Product portfolio
- Geographical spread
- Level of Service
- Quality
- Cost Base/Pricing
- Management strength
- Innovation / R&D
- Skill levels
- Assets.

Opportunities and Threats

Check list (PESTEL):

- **Political Changes**
- **Economic Changes**
 - Local, National and International.
- **Social Changes**
 - Population trends
 - Life style
 - Work patterns
 - Product usage.
- **Technology Changes**
 - New materials
 - New processes
 - Distribution trends
 - Bio-technology
 - Computing
 - Retailing etc.
- **Environmental/Ethical Issues**
 - Opinion leaders
 - Political correctness
 - Environmental pressures
 - Employee attitudes.
- **Legal Changes**
 - New laws
 - Attitude to compliance - leader or follower.

The Disney Creativity Strategy

The strategy defines three distinct perspectives:

The 'Dreamer':

focus on vision, self-referenced, and big picture- *"the story man must see clearly in his own mind how every piece of business in a story will be put."*

The 'Realist':

about feeling, action, associated, moving - *"he should feel every expression, every reaction."*

The 'Critic'

- distant and neutral observer- *"he should get far enough away from his story to take a second look at it"*

	Dreamer	Realist	Critic
	What	How	Why
Prefers	Vision	Movement	Logic
Goal orientation	Moves towards goal	Moves towards goal	Moves away from goal
Focus on	Long-term	Short-term	Both
Time orientation	Future	Present	Past and future
Examines problem through	Similarity	Similarity	Difference
Body posture	Head and eyes up. Posture symmetrical and relaxed	Head and eyes straight ahead. Posture symmetrical and slightly forward	Eyes down. Head down and tilted. Posture angular

Creating physical locations for our inner world can help us learn new thinking strategies. Disney went as far as having separate rooms for each state - as explained by Robert Dilts .

'He had one room that was a dreamer room which had pictures and inspirational drawings and sayings all over the walls. Everything was chaotic and colourful in this room, and criticisms were not allowed only dreams! For their Realist space, the animators had their own drawing tables, stocked with all kinds of modern equipment, tools and instruments that they would need to manifest the dreams. For the Critic, Disney had a little room that was underneath the stairs where they would look at the prototype pencil sketches and evaluate them. The room always seemed cramped and hot, so they called it the 'sweatbox'.

Dreamer Questions	Realist Questions	Critic Questions
When you explore your boldest hopes and aspirations, what is it that you ultimately want?	How specifically will this be implemented?	What is missing?
Why do you want to do it?	Who will do it?	What are we not thinking about?
What is the purpose?	When will it be done?	Does this plan match the criteria and purpose for which it was intended?
What will be the payoffs?	What will be done by when?	What might make somebody object to it?
Where do you want the idea to take you in the future?	Why is each step necessary?	Who are the stakeholders and what are their needs and objections?
What are the 3 most important hopes you have for your current situation?	What are the practical costs/consequences?	What is good about keeping things unchanged?
What's another way?	What are the current facts?	When and where would you <u>not</u> want to do this?
	What are we currently doing?	
	How will we know that the goal is achieved?	

An activity for a team to think creatively together

1. One person, the explorer, describes in 5 minutes or less the problem. Group members assume dreamer physiology and strategy
2. Group asks dreamer questions to clarify and enrich their understanding of the problem
3. Each person including the explorer, draws a simple story-board, a visual map of the problem in less than 5 minutes
4. Group compares visual maps, explains and discusses criteria and assumptions behind them. 5 Minutes
5. Group then moves to asks realist questions in order to clarify specific steps and actions
6. The explorer now pulls together a summary and talks it through with the group
7. The group then moves to ask critic questions adopting a distant body posture, and poses criticisms as questions as far as possible
8. Cycle through the phases until you have a workable plan.

Adapted from '*Strategies of Genius*' by R. Dilts

Role Negotiation

Role negotiation is a way of diagnosing the state of relationships. It can be useful in looking at how groups or individuals are working together. It aims to build positive relationships, and the process can lead to further analysis or action, including identifying learning or training needs.

It is a useful tool where departments/groups/individuals are having relationship problems or want to clarify their roles and relationships.

The process is simple. The two groups or individuals need time to think through the relationship in terms of:

- Things you do that are helpful - please continue doing them/do more of them;
- Things you do that are not helpful - please stop doing them/do less of them;
- Things you do not do that I/we would find helpful - please start doing them.

The next step is for the groups or individuals to share this information. They then need to explore the feedback in more depth, check understanding and move to agreement about new behaviours or ways of working. The process needs to be facilitated.

Notes

- The process works better if participants prepare/reflect beforehand.
- You need real commitment to do it and to act on the outcomes.
- Establish ground rules, e.g. don't justify or explain.
- Participants need to understand how to give feedback.
- One or two things under each category.
- With group of e.g. 8, you can work in pairs and move around.
- People or groups may need to take feedback away and think about it, but it is important that there is an action plan on how to move forward.
- Petty issues are often a symptom of a bigger issue. Approach through asking the question, "what impact is this (petty problem) having?"