Practice of Change Management for the improvement of Complementary Basic Education: The Case of Malawi

A Thesis submitted to the University of Bolton in partial fulfillment of the requirements for the award of a Doctor of Philosophy in Change Management

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Declaration of Original Authorship

I confirm that this thesis is my own original and authentic work, and the use of all material from other sources has been properly and fully acknowledged. This work has not been presented elsewhere for assessment.

Kondwani Precious Mwangala

August 2015
I dedicate this work to my respected father, Regnard Browne Mwangala, whose pursuit for knowledge challenged me to aspire for more learning, to my mother, Missie Mwangala who worked hard to see me get the things I needed in life, and to my beloved wife, Ida Hope who has been a source of absolute support and continues to challenge me in many ways, and my two children, Leticia Mtendere and Leroy Joshua so that they can also pursue knowledge.
Abstract
Managing change in education is a complex process. The Malawi education sector has many current trends including Complementary Basic Education (CBE). The practice of Change Management (CM), however, is subtle in education literature and as such limited on how it can be used for the improvement of CBE.

This study explores how CM can be practiced in order to improve the CBE programme in Malawi. The inherent characteristics that call for a CBE specific CM framework are its positioning within the education system, stakeholder role complexities, implementation model and size of the programme. The study approaches CBE as a single case holistic. Through a cross-sectional approach, it concentrates on the 2006-2011 period. Key informants, community members and learners were interviewed individually and through focus groups. Content analysis is used to analyse the data. While there is a growing body of literature on CM in education, there is limited applicability to the CBE programme. This study proposes the 3 Step CM Model as a clearly defined framework for practicing CM in CBE and a clear road map for managing change to all stakeholders in CBE.

Results from a comparative analysis of CM theories from literature are fused with empirical data to construct a clearly defined change management framework for CBE. Three themes of Planning Change, Implementing Change and Institutionalising Change are discovered as key categories of CM in CBE. Thereafter, a 3 step-CM framework, as intimated above, is constructed based on these themes and overlaps of CM theories as revealed from literature. Factors that influence CM in CBE are categorized under the three steps to provide an elegant CM framework with managerial terms. Factors like Strategy, Evaluation and Communication are exposed as those on which other CM steps hinge on.

All data in the study was collected within the CBE programme and so, the findings may not be generalised for other non formal education systems operating elsewhere.
Acknowledgements

Accomplishing this PhD has been a massive journey, which has changed my perspectives of the world and life. My foremost thanks go to Dr. Julian Coleman, my Director of Studies, a very special person who provided immense support, encouragement and guidance throughout this study. I would also like to thank Dr. Reddy Kondal Kandadi, my second supervisor and Dr. Ida Mbendera, local supervisor for their help and advice. I would like to thank Mr. Ken Longden who opened the doors of my research career and German Technical Cooperation (GIZ) for the financial support provided towards this research.

Many thanks to all players in the CBE for giving me support in conducting this research. The knowledge gained through my research in the programme has become the core of this PhD, and enlightened my thinking and perception about Change Management.

I would like to thank colleagues from Cohort 1 of the University of Bolton, Malawi PhD programme for immensely contributing to this research, and to Prof. Peter Bush and Dr. Matthew Shafaghi for examining me through a rigorous and intellectually stimulating Viva.

Thanks to colleagues who went before me on this journey; Dr. Levison Chiwaula for critiquing my initial research proposal, Dr. Mariam Kadzamira for the tough and intriguing questions, Dr. Ngcimezile Mweso for the colloquium discussions, Dr. Paul Kamlongera and Dr. Damazio Mfune for critiquing and editing my final write up.

I would like to express gratitude to my family for providing me this opportunity to study. I am grateful for my parents support, which has enabled me to come this far. Finally, I express my gratitude to my wonderful wife, Ida Hope, for her absolute support, patience and encouragement. To my daughter Leticia Mtendere for always asking when I will finish studying. To my son, Leroy Joshua, who brought joy the moment he entered the world. I am indebted to you all for your support, understanding and for being there for me.

“Everyone can rise above their circumstances and achieve success if they are dedicated to and passionate about what they do”. Nelson Mandela.
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<table>
<thead>
<tr>
<th>Acronym</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>ADC</td>
<td>Area Development Committee</td>
</tr>
<tr>
<td>ALE</td>
<td>Adult Learning and Education</td>
</tr>
<tr>
<td>BELMAS</td>
<td>British Educational Leadership, Management &amp; Administration Society</td>
</tr>
<tr>
<td>C1-C4</td>
<td>A list of Criteria adopted for data analysis in this dissertation</td>
</tr>
<tr>
<td>CBE</td>
<td>Complementary Basic Education</td>
</tr>
<tr>
<td>CDEC</td>
<td>Cambridge Distance Education Consultancy</td>
</tr>
<tr>
<td>CM</td>
<td>Change Management</td>
</tr>
<tr>
<td>CREATE</td>
<td>Consortium for Research on Education Access Transitions and Equity</td>
</tr>
<tr>
<td>CSO</td>
<td>Civil Society Organisation</td>
</tr>
<tr>
<td>DPP</td>
<td>Democratic Progressive Party</td>
</tr>
<tr>
<td>ECDPM</td>
<td>European Centre for Development Policy Management</td>
</tr>
<tr>
<td>EFA</td>
<td>Education for All</td>
</tr>
<tr>
<td>EQUIP</td>
<td>Education Quality Improvement Programme</td>
</tr>
<tr>
<td>F1-F15</td>
<td>A list of factors influencing CM in CBE</td>
</tr>
<tr>
<td>FFG</td>
<td>Facilitator Focus Group</td>
</tr>
<tr>
<td>FGD</td>
<td>Focus Group Discussion</td>
</tr>
<tr>
<td>FPE</td>
<td>Formal Primary Education</td>
</tr>
<tr>
<td>FPEP</td>
<td>Free Primary Education Policy</td>
</tr>
<tr>
<td>G</td>
<td>Goal of this dissertation</td>
</tr>
<tr>
<td>GoM</td>
<td>Government of Malawi</td>
</tr>
<tr>
<td>HBR</td>
<td>Harvard Business Review</td>
</tr>
<tr>
<td>JEPC</td>
<td>Jharkhand Education Project Council</td>
</tr>
<tr>
<td>LCMC</td>
<td>Learning Centre Management Committee</td>
</tr>
<tr>
<td>LCMCFG</td>
<td>Learning Centre Management Committee Focus Group</td>
</tr>
<tr>
<td>LFG</td>
<td>Learner Focus Group</td>
</tr>
<tr>
<td>MDG</td>
<td>Millennium Development Goal</td>
</tr>
<tr>
<td>MET</td>
<td>Ministry of Education and Training</td>
</tr>
<tr>
<td>MIS</td>
<td>Management Information System</td>
</tr>
<tr>
<td>MoESS</td>
<td>Ministry of Education Science and Sports</td>
</tr>
<tr>
<td>MoEST</td>
<td>Ministry of Education Science and Technology</td>
</tr>
<tr>
<td>NFE</td>
<td>Non Formal Education</td>
</tr>
<tr>
<td>OTL</td>
<td>Opportunity to Learn</td>
</tr>
<tr>
<td>P</td>
<td>Research Problem of this dissertation</td>
</tr>
<tr>
<td>PEN</td>
<td>Poverty Eradication Network</td>
</tr>
<tr>
<td>Q1</td>
<td>First Question of this dissertation</td>
</tr>
<tr>
<td>Q2</td>
<td>Second Question of this dissertation</td>
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<tr>
<td>Q3</td>
<td>Third Question of this dissertation</td>
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<tr>
<td>Q4</td>
<td>Forth Question of this dissertation</td>
</tr>
<tr>
<td>R1-R7</td>
<td>List of Characteristics indicating the relevance of Case Study Methodology</td>
</tr>
<tr>
<td>SDNP</td>
<td>Sustainable Development Network Programme</td>
</tr>
<tr>
<td>UDF</td>
<td>United Democratic Front</td>
</tr>
<tr>
<td>UN</td>
<td>United Nations</td>
</tr>
<tr>
<td>UNDP</td>
<td>United Nations Development Programme</td>
</tr>
<tr>
<td>UNESCO</td>
<td>United Nations Educational, Scientific and Cultural Organisation</td>
</tr>
<tr>
<td>Acronym</td>
<td>Full Form</td>
</tr>
<tr>
<td>---------</td>
<td>-----------</td>
</tr>
<tr>
<td>UNICEF</td>
<td>United Nations Children’s Fund</td>
</tr>
<tr>
<td>UNPY</td>
<td>United Nations Programme on Youth</td>
</tr>
<tr>
<td>VDC</td>
<td>Village Development Committee</td>
</tr>
<tr>
<td>VTI</td>
<td>Vocational Training Institution</td>
</tr>
<tr>
<td>WBOED</td>
<td>World Bank Operations Evaluation Department</td>
</tr>
<tr>
<td>WRM</td>
<td>World Relief Malawi</td>
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1.0 INTRODUCTION

1.1 Title
Practice of Change Management for the improvement of Complementary Basic Education\(^1\): The case of Malawi.
The central argument of this study is that CM has to go hand in hand with the implementation of CBE because traditionally, CM has not been considered in the implementation of such a programme.

1.2 Research Context and Background
Illiteracy figures differ with regions and nations but, globally, they continue to grow at a very alarming rate. In 1950, for example, there were an estimated 700 million illiterate people in the world; in 1970 there were 742 million, and, by 1985, over 890 million people had no opportunity of having any basic literacy skill (Hall & Stock, 1985). UNESCO (2001) confirms that at the beginning of the 21\(^{\text{st}}\) Century, there were 1 billion illiterate adults.

The Millennium Development Goals (MDG) report of 2012 has set achieving universal primary education as its second priority. The target is to ensure that by 2015, Children everywhere are able to complete a full course of primary schooling (UNESCO, 2008). Although this seems like a difficult feat to achieve, the report says that in almost all the regions of the world, the net enrolment ratio in 2006 exceeded 90 percent and as such, many countries were close to achieving universal primary enrolment.

The report further says that in Sub Saharan Africa, around 38 million children of school age are still out of school. This demonstrates that although there have been some successes towards achieving universal primary education at the global level, reaching

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\(^1\) Complementary Education approaches are defined as models that work in support of the formal system, offering students an alternative route to achieving the same educational outcomes as students in the Government schools. The programs are designed to feed students into the Government system at various entry points and are large enough to exhibit many of the same characteristics as mainstream schools. However, by using similar (though often reduced) curriculum as the Government schools, providing instruction in the students’ native language, and ensuring that the teacher and learning materials are present in the classroom, the models more effectively keep children in school and help them learn. (Moore, DeStefano & Gillies, 2008)
Sub Sahara African children, most of whom are socially marginalized, poorer and with little access to basic education, still remains a challenge.

Since there has been a large number of Sub Sahara African Children remaining out of school, different efforts have been made to make sure that these poor and marginalized children get enrolled and remain in school. Nevertheless, many of them have dropped out because of numerous challenges in this part of the world. Some of the challenges are poverty and HIV and AIDS. In Malawi, the absence of an age appropriate literacy policy has led to late enrollment and learner repetitions. This has, in turn, discouraged learners and caused them to give up on school. The dropping out has made it difficult for most of them to complete their education. Others, though, have persevered and returned to school. This returning to school has had its own implications like increased numbers of over-age children in primary school and late completion of education. Hillman AL and Jenkner E (2004) have argued, however, that the fact that these children are provided with an education far outweighs these implications of increased numbers of over-age children and late completion because education is what they need most.

1.2.1 Complementary Basic Education (CBE) Programme

In the spirit of providing education to its masses, and in tandem with what other Sub Sahara African countries were doing towards achieving the MDG of universal primary education, the Government of Malawi (GoM) through the MoEST, introduced the CBE programme in September 2006. Moore, DeStefano & Gillies (2008) state that the CBE Programme is one of the ‘Basic Education Approaches’ aimed at encouraging the attainment of basic education among children of school going age.

When learners enroll at a CBE centre, they are required to go through a 3 year curriculum. The expectation is that all those learners will finish the 3 year curriculum and go back to the formal school to start in standard 6. So far, 3 sets of the 3 year curriculum have been completed, yet the CBE programme in Malawi has not yet been fully reviewed (MoEST, 2013). The curriculum was implemented in phases of 1, 2 and 3 respectively. Phase 1 run from September 2006 to September 2009, phase 2 run
from September 2007 to September 2010, and phase 3 from September 2008 to September 2011. At the time of the study, phase 4, which started in September 2012, was still in progress.

MoEST (2011) states that CBE is an accelerated learning programme which helps children who have missed out on schooling to catch up with their peers. CBE is for children who are not in school. They might have never gone to school or they might have dropped out before attaining the skills of basic literacy and numeracy. CBE targets children between the ages of 9 and 13. Those who are younger than 9 would be encouraged to attend formal school while those who are between the ages of 14 and 17 could attend CBE classes if there are sufficient places (MoEST, 2011). Those who are above 17 years do not qualify. MoEST (2008) emphasises that in Malawi every person who is above 18 years qualifies for the adult literacy programme that helps to reduce illiteracy among adults.

Apart from just improving literacy, the CBE programmes’ main goal is to generate in the children and youth the interest to go back to school (MoEST, 2011). The hope is that when these targeted children and youth begin to attend CBE classes, their interest in school would be rejuvenated and would thus return to the formal school to proceed with their education. Through this approach, the programme helps increase literacy levels among young people.

1.3 Motivation for this research
The provision of education through complementary initiatives like CBE has increasingly gained momentum (Hoppers, 2006). This is a change in the education sector. While there has been an interest to provide education using this new approach, stakeholders involved in these initiatives do not fully participate for lack of a clear guide on how they can take up their roles in such initiatives (Bush, 2008). Current research in education concentrates more on illiteracy, free primary education and general education management (UNESCO, 2000; MET, 2010). However, managing change that comes with efforts introduced to deal with illiteracy and challenges of free primary education in
Malawi and other places is lacking (Articlesbase, 2011; Harris, 2007; Credaro, 2006; Bennet, Crawfold and Riches, 1992). This research is therefore motivated by the change that is CBE, the current challenges within the CBE programme and the significance of CM in CBE.

### 1.3.1 Change in Complementary Basic Education

Mitchell (2002) has defined CM as a strategic activity aimed at getting the best outcomes from the change process. It is about managing changes that are part of a strategy (Backroad Connections, 2004). In this regard, as part of the strategy for the running of the CBE programme, there are some variations with the formal primary education introduced in the programme upon its establishment in September 2006. The table below outlines the changes:

#### Table 1: Comparison between Formal Primary Education (FPE) and CBE

<table>
<thead>
<tr>
<th>No.</th>
<th>Aspect</th>
<th>FPE</th>
<th>CBE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Mode of implementation</td>
<td>MoEST implementing directly</td>
<td>MoEST through local NGO’s called Service Providers</td>
</tr>
<tr>
<td>2</td>
<td>Name of learning place</td>
<td>School</td>
<td>Learning centre</td>
</tr>
<tr>
<td>3</td>
<td>Title for instructor or tutor</td>
<td>Teacher</td>
<td>Facilitator</td>
</tr>
<tr>
<td>4</td>
<td>Education zone overseer</td>
<td>Primary education advisor</td>
<td>Supervisor</td>
</tr>
<tr>
<td>5</td>
<td>Names of learning areas</td>
<td>Subjects</td>
<td>Content areas</td>
</tr>
<tr>
<td>6</td>
<td>Number of Subjects</td>
<td>Varies</td>
<td>Strictly 7</td>
</tr>
<tr>
<td>7</td>
<td>Dress code</td>
<td>Uniform needed</td>
<td>No need for uniform</td>
</tr>
<tr>
<td>8</td>
<td>Costs</td>
<td>School fund needed</td>
<td>Strictly free</td>
</tr>
<tr>
<td>9</td>
<td>Management of learning centres</td>
<td>Parent and teacher association</td>
<td>Learning centre management committee</td>
</tr>
<tr>
<td>10</td>
<td>Time for starting classes</td>
<td>Usually morning</td>
<td>Usually afternoon</td>
</tr>
<tr>
<td>11</td>
<td>Learning arrangement</td>
<td>Classes divided in grades or standards</td>
<td>No division as learners learn together for all three years</td>
</tr>
<tr>
<td>12</td>
<td>Mode of assessment</td>
<td>Predominantly summative</td>
<td>Predominantly continuous</td>
</tr>
</tbody>
</table>

(Source: Author)

Given these variations, it is not proper for the CBE programme to run like the formal education. CBE requires a clearly defined approach that allows all stakeholders to come to terms with this different way of providing education. CM concepts and theories that might have worked in the formal education cannot just be transferred to the CBE programme and be expected to work because the two programmes have a lot of
differences (Swan, 2007; GoM, 2008). This is why a CBE specific CM framework is desirable.

Lighthall, (1973) states that educational change is a process of coming to grips with the multiple realities of people who are the main participants in implementing change. It is not right to underestimate the power of the existing culture (Rudduck, 1986). For this reason, this study looks at the CBE with all the variations outlined to ascertain how best the programme can be managed.

1.3.2 Current Challenges in CBE

The absence of a clearly defined CM approach in CBE has resulted into two main challenges, which are dropout cases and lack of evaluation.

**Dropouts:** CBE approaches are primarily concerned with increasing uptake of Primary education by providing an opportunity for the learners to go back to the formal school (Moore, DeStefano & Gillies, 2007). Without an appropriate CM strategy, this primary concern cannot be achieved because, the targeted children and youth will not patronize CBE as they will not have confidence in the programme (SDNP, 2007; E-Lead, 2012). Already, a study conducted by WRM (2009), revealed that 73% of the learners who were enrolled in the CBE program in 2006, dropped out before completing the required 3 years while only 18% went back to the formal school as the figure below shows:
Research shows that there is a direct link between learner retention and the practice of properly defined CM approaches in education (Childress, Elmore & Grossman, 2006; Malawi News, 9-15 July, 2011, p. 7). Recent studies (E-Lead, 2012) argue that the ability to understand and implement CM is a skill that is absolutely mandatory for any educator because it provides an opportunity for responding positively to changes that take place in education. They confirm that CM helps students to remain in school especially because it inspires their confidence, that of teachers and parents (SDNP, 2007; E-Lead, 2012). This is so because they are provided with a clear road map of what and how changes are being introduced. If CM adapted from the general field of management is able to achieve this, a CBE specific CM strategy can definitely do more for the CBE programme. This is because it will take into consideration the differences between CBE and formal education. It will also be participatory as it will incorporate community members, parents and even the learners because they are key players in CBE approaches (Australian Government, n.d.). The involvement of these categories of people will assure sustainability. E-Lead (2012) emphasises that the ability to implement and sustain change is what, in the end, principals can and must do for their students.
Lack of Evaluation: Another result of the lack of properly defined CM approaches is that programmes or projects do not get evaluated (Sirkin, Keenan and Jackson, 2005). The lack of CM in CBE is seen in the fact that the programme itself has not been reviewed since its inception. Without evaluations, programmes like CBE cannot improve (Silver, 2004; Louw, 2012). This study hopes that a clearly defined CM approach will motivate change managers to deliberately set aside resources for evaluating the programme. It has been observed that change in education is resisted by the people it affects because managing it requires considerable lengths of time (Kotter, 2007). E-lead (2012) states that some educators avoid change in education because managing it takes planning, evaluation, passion, critical thinking, and, perhaps most importantly, time. If CM in the formal school is avoided, it leaves CBE with nowhere to learn from.

1.3.3 The significance of Change Management in CBE
The introduction of CBE approaches is a commendable initiative that can help in solving the challenge of non-school attendance. However, the lack of a properly defined CM strategy for CBE creates a gap in this effort because projects which address non-school attendance find themselves with no proper foundation for managing change (O'Donoghue and Dimmock, 1997). Although the National Education Sector Plan for 2008-2017 mentions CBE as one of the strategic initiatives (MoEST, 2008), there is no standalone CBE policy guide, which may provide CM guidance in the context of the programme in Malawi. Additionally, most of the educational management literature consulted (Mitchell, 1998; Berggren & Soderlund, 2011) only reflect a broad consensus on what constitutes best practice in the field of CM, mostly adapted from the general field of management. There is need for a properly defined, CBE specific, CM model or strategy because the programme has a lot of differences from the formal education system. It is also usually different from the general business world where most of the CM theories and approaches are implemented.

Furthermore, teachers, students, parents, taxpayers, administrators and politicians
have divergent priorities and usually disagree about how to improve education (Christensen, Marx, and Stevenson, 2006). Childress, Elmore and Grossman (2006) emphasise that school systems are vastly more complex than businesses, yet the knowledge about how to manage them is sparse. If knowledge about how to manage formal school systems which have managed to adapt some CM principles from the general field of management is sparse, then CBE, being a newer approach, is found deficient. A clearly defined Change Management approach for CBE will help improve the programme by reducing dropout rates and providing an opportunity for the programme to be evaluated.

1.4 Problem Statement

Based on the outline of context, background and motivation for this research above, the author doubts whether the introduction of CBE appreciated that its running would be different from how the formal school runs. Did the CBE facilitators really appreciate that the teaching environment in CBE will be different from the teaching environment in the formal school? How about the learners? Were they aware that their learning environment in CBE will be different from what they had been used to in the formal school? How about the community members and parents as important stakeholders of the CBE programme? Did they know that the demands of CBE on them would be different from those of the formal school? From all this, the author asks: Would the knowledge and willingness of using CM principles to manage these variations make any difference in the running of the CBE programme?

This dissertation studies ways in which Change Management was practiced in the context of the CBE programme and then proposes a clear CM strategy for CBE in Malawi. The research problem has two major components: 1) Finding core factors that depict the practice of Change Management in the CBE programme, and 2) based on the factors, developing a framework for practicing Change Management in the CBE programme. Precisely, the dissertation aims to answer the following research problem (P): How can Change Management be practiced in order to improve Complementary Basic Education Programme in Malawi?
The central observation the study makes is that, in Malawi, CM has not traditionally been considered to run side by side with the implementation of non formal education programmes like CBE. The proposition, therefore, is that the implementation of CBE as a non formal education initiative requires a clear Change Management guide for effectiveness. To that end, in this study, the researcher develops a CM framework which would be useful in the implementation of the CBE programme in Malawi.

Given the variation that exists between the formal school and CBE, the study analyses and evaluates already available concepts in this field, in order to enhance the framework for practicing CM to improve the CBE programme in Malawi. Although the framework is developed based on the CBE programme in Malawi, it has potential to benefit other cognate programmes whose aim is to address non school attendance.

1.4.1 Research Goal and Objectives
The Goal (G) of this investigation is to address the research problem (P) by developing a clearly defined framework for practicing Change Management to improve Complementary Basic Education Programme.

Within this context, the following objectives will be fulfilled:

1. To provide a thorough critical review of current literature of CM in education and identify gaps in its applicability to the CBE programme in Malawi.
2. Conducting empirical studies of the CBE programme to establish if there was any attempt to adopt CM concepts and techniques in order to accomplish the programme goals.
3. To evaluate and discuss the usage of CM approaches from the general field of management in CBE.
4. To develop a Change Management Framework for the CBE programme in Malawi based on the findings of an empirical study and knowledge gained from current CM literature.
The study looks at the CBE programme as it run in all three phases from September 2006 to September 2011 in Ntchisi and Chikhwawa districts.

1.5 Research Methodology
The Interpretivist research paradigm is adopted for this study because it allows for a rigorous examination of the CBE programme in Malawi which, in turn, helps to achieve the objectives and solve the defined problem. Data is collected using case study methodology. Yin (1994) confirms that case study methodology, a qualitative research approach, is often preferred in answering "How" and "Why" questions. Moreover, there is widespread acknowledgement that qualitative research is a legitimate and valuable approach in management research. The qualitative methodologies are often applied in various management subject areas (Ardichvilli et al., 2003; Croasdell, 2002; Avison et al., 1999; Myers, 1997; Markus, 1997; Benbasat et al., 1987).

Content Analysis is employed to analyse the empirical data from the case. Various coding techniques are used extensively to analyse the empirical data and to develop a framework for practicing CM for the improvement of CBE (Hsieh & Shannon, 2005; Dey, 1993). A detailed description and rationale for the adopted research paradigm and methodologies are provided in Chapter 3.

1.6 Research Focus and Boundaries
The following subsections provide a brief overview of the research focus, related subject areas, applicability of the proposed framework and contributions.

1.6.1 Positioning of the Thesis
This dissertation focuses on developing a framework for practicing CM to improve Complementary Basic Education in Malawi. The proposed framework is intended to serve as a guide for practicing CM within the context of the CBE programme in Malawi. As much as it provides steps for practicing CM to improve CBE in Malawi, the
framework can also provide specific strategies and best practices to guide the practice of CM in other CBE approaches.

1.6.2 Related subject areas
Related subject areas like Organisational Theory, Organisational Learning and Organisational Culture have been investigated in the perspective of Change Management. In some other research contexts, these issues may be treated as individual research subjects rather than being part of the CM subject arena.

1.6.3 Applicability of the framework
The framework for practicing CM developed through this research project addresses the subject of Change Management in the perspective of the CBE programme in Malawi. The CBE programme is a flexible way intended for providing a second chance of attaining basic education to a specific category of youth and children, thereby addressing non-school attendance. Hence certain aspects and components of the proposed framework might not be relevant for some complementary education approaches whose aim is not to rejuvenate the interest for schooling in the learners. However, the framework might be applicable to some complementary education approaches that seek to help reduce illiteracy because they operate outside the frame of formal schooling.

1.6.4 Theoretical and Practical contribution
The researcher’s assumption is that having the knowledge that things can change and deciding beforehand how that change can be managed is a powerful tool that can bring success. It is therefore imperative to look at the practice of Change Management for the improvement of Complementary Basic Education with the case of Malawi because one of the major challenges related to change in Malawi and elsewhere is that usually people are satisfied with the status quo and they don’t want to modify because change is considered a scary thing (Kotter, 2007; Lakey, 2011).
This study helps to fill the gap on the unavailability of CM literature for CBE in Malawi as a subsystem of the Formal Primary Education (FPE). This will be a good springboard for other researchers to conduct studies in relation to the subject of CM in education. It also makes propositions on how models and principles from the field of CM that have been applied to the broader field of management and education can be applied to CBE approaches. This will be possible through this study because of the development of a framework for practicing CM to improve the CBE programme in Malawi. The study will inform education practitioners at all levels that change happens and that this realization in itself creates an environment where the change gets accepted and adapted quickly without impinging on the educational success of both learners and educators. Johnson (1998) stresses that people should be ready to survive when change happens because whatever parts of us we choose to use, we all share something in common and that is a need to find our way in the maze and succeed in changing times. The government of Malawi has the intention of taking CBE to the whole of Malawi. Through this study, therefore, the Ministry of Education Science and Technology (MoEST) and other relevant stakeholders are informed on the importance of CM in CBE.

As indicated earlier, the study is based on the CBE programme as it operated in Malawi from September 2006 to September 2011. As such, in doing this study, community members, parents and learners who enrolled in the CBE programme during the stated period form part of the sample. This is done in order to find out if and how all these categories of people were involved in the implementation of the different changes in the CBE programme. The study also investigates the relevant issues pertaining to CBE management especially in the area of the knowledge of what variations were to come with CBE and how prepared they were to accept them. This is done by assessing the perceptions of teachers, learners, community members and parents on the operation of the CBE programme and what their analysis is of how different changes were handled at different levels. The study also seeks to find out if the Learning Centre Management Committee (LCMC) members as managers and monitors of the programme were given any CM skills by the CBE management.
CBE is a continuous programme. The hope therefore is that this study will inform GoM through MoEST and other stakeholders like the donor community, on what the teachers, learners and community members needed to know about CBE beforehand. The study informs the different stakeholders about the importance of communicating change.

This study is critical because the Ministry of Education (2004) declares that apart from CBE, little has been done to adequately address the basic education needs of out of school children and youth. The CBE programme therefore seems to be one of the important ways out of Malawi’s high illiteracy rate. In this regard, CBE needs to be done well. Regardless of whether the findings of this study will be implemented, they still provide relevant information on how the programme can be improved. Since GoM plans to take the programme to more districts in Malawi, an opportunity to rectify the shortfalls that are realized through this study will be given before the programme rolls out.

The Malawi education sector, which has the mandate to provide education to the masses, has every reason to take the CBE programme as one of the critical elements of Malawi’s effort in attaining Education for All (EFA) as CBE will contribute so much towards achieving that goal (UNESCO, 2008). It is a fact that every government programme is just an idea until it gets implemented on the ground. As such, Service Providers in the CBE programme will also learn from the study. Service Providers are different organisations such as World Relief Malawi (WRM) who have been entrusted by GoM through MoEST to implement the CBE programme in selected Districts of Malawi. These will be informed by the study on how best the programme can be implemented, and help fill the gaps in communicating the changes that have to be implemented.

1.7 Thesis Structure
This thesis consists of five chapters, References and Appendices. The following subsections provide an outline and a brief overview of what the contents of different chapters are:
1.7.1 Chapter 2: Literature Review
This chapter provides a critical review of current literature in the field of Change Management with a focus on its application in education. The review encompasses books, refereed journal articles, conference papers, published case studies and other CM literature. The chapter defines CM and examines various views on the subject. It also reveals current trends in education and how they interface with CM by outlining rationale, recent developments, challenges, and research directions in the perspective of CM in education. The chapter also critically analyses CM theories and frameworks in order to form hypothetical foundations and validate research questions related to CBE. The critical analysis also forms a basis for the development of a conceptual framework for practicing CM to improve the CBE programme in Malawi.

1.7.2 Chapter 3: Research Methodology
This chapter provides an in-depth discussion of the ontological, epistemological and methodological foundations of this research study. It provides arguments and justifications for the selection of the research paradigm, methodologies for data collection and analysis. The chapter also gives criteria for sample selection and provides a description of the CBE programme as a unit of analysis. An overview of the participants in this research study is also presented in this chapter.

1.7.3 Chapter 4: Research Findings and Analysis
In this chapter, the findings of the empirical study are analysed, discussed and evaluated against the current CM literature. Here, the relationships between the findings from literature review and empirical study will be established. Based on the established relationships, a comprehensive set of factors and framework for practicing CM to improve CBE will be developed. This will be an enhancement of the conceptual framework proposed in the literature review section.
1.7.4 Chapter 5: Conclusions and Recommendations
This chapter provides a summary of findings and critically discusses their implications. The chapter also discusses the knowledge contribution made by this CM study. It also provides limitations of the findings. This chapter also outlines some proposals for further research to evaluate and enhance the findings of this empirical study.

1.7.5 References
List of all references consulted in the course of this research study is provided here.

1.7.6 Appendices
Appendix I – Research Instruments
A. Key informant interview guide
Copy of the key informant interview guide is provided here.

B. Focus Group discussion guide
Copy of the Focus Group Discussion guide is provided here.

Appendix II – Conference Paper
Copy of a peer reviewed conference paper from this study is provided here.

Summary
This chapter provided a precise background to the Change Management arena by giving the context and background of this dissertation. The chapter outlined the research problem and set the goal and objectives of this study. It also describes the set boundaries for this research study, followed by theoretical and practical contributions to the body of knowledge. The chapter concludes with a brief summary of what the contents of the various chapters are.
2.0 LITERATURE REVIEW

Introduction
Based on a critical review of current literature on CM, this chapter defines CM and examines various views on the subject. It also reveals current trends in education and how they interface with CM by outlining rationale, recent developments, challenges, and research directions in the perspective of CM in education. The chapter critically analyses CM theories and frameworks in order to form hypothetical foundations and validate research questions related to CBE. The critical analysis also forms a basis for the development of a conceptual framework for practicing CM to improve the CBE programme in Malawi. The chapter concludes by developing research questions based on the broad research problem.

2.1 Defining Change Management
This section outlines the types of change programmes used by organizations and the different approaches to change. It also reviews some definitions of CM from current literature.

2.1.1 Types of Change
Before getting into the details of Change Management, it is useful to provide an overview of the types of change programmes generally used by organisations. Harvard Business Review (HBR) Essential Series (2003) state that change is introduced in organisations, typically when they want to respond to challenges of new technologies, new competitors, new markets and demands for greater performance with various programmes. Researchers (HBR Essential Series, 2003; Luecke, 2003; Ventris, 2004) agree that, generally, these change programmes fall into one of the following types: Structural Change, Cost cutting, Process Change and Cultural Change. These types are defined by HBR Essential Series (2003, p. 8-9) as follows:
• **Structural Change:** These programmes treat the organisation as a set of functional parts—the “machine” model. During structural change, top management, aided by consultants, attempts to reconfigure these parts to achieve greater overall performance. Mergers, acquisitions, consolidations, and divestiture of operating units are all examples of attempts at structural change.

• **Cost Cutting:** Programmes such as these focus on the elimination of nonessential activities or on other methods for squeezing costs out of operations. Activities and operations that get little scrutiny during profitable years draw the attention of cost cutters when times are tough.

• **Process Change:** These programmes focus on altering how things get done. Examples include reengineering a loan approval process, the company’s approach to handling customer warranty claims, or even how decisions are made. Process change typically aims to make processes faster, more effective, more reliable, and/or less costly.

• **Cultural Change:** These programmes focus on the “human” side of the organisation, such as a company’s general approach to doing business or the relationship between its management and employees. A shift from command-and-control management to participative management is an example of cultural change, as is any effort to reorient a company from an inwardly focused “product push” mentality to an outward-looking customer focus.

The above explanations provide some important insights on the types of change. However, they seem to suggest that no two, three or four types of change can be implemented together. For instance, can cultural change and process change be implemented together? How about cost cutting, process change and cultural change or any other combination for that matter? A better alternative is to consider what Beer and Nohria (2000) have coined “Theory E” and “Theory O” respectively, as two basic goals that drive change initiatives. While Theory E is about near-term economic improvement and Theory O is about improvement in organisational capabilities, these can be implemented together in order to reap big payoffs in profitability and productivity (Beer & Nohria, 2000; Luecke, 2003). In other words, if structural change is what’s needed to
improve organisational capabilities (Theory O) let it be used, just as it can be used if what’s needed is economic improvement (Theory E). This is important to consider because the changes in CBE fall into all the four types for both economic and organisational capabilities improvement. This calls for a Change Management model that is all encompassing.

2.1.2 Planned Change vs. Emergent Change

Change that happens in organisations comes in different ways. Burnes, (1992) talks of Planned Change and Emergent Change. Planned Change is when managers plan to bring change by introducing new ways of conducting their operations. Emergent Change is when everyone in the organisation is caught unawares by the change that comes as a result of other forces that no one has control of.

However, there are times when Planned Change and Emergent Change overlap. Such instances require organisations to deal with both. Also, there are situations where Emergent Change brings about the need for planning. A case in point is the CBE as a programme (Planned Change), which is a response to increased dropout rates (Emergent Change). Managing these changes require approaches that consider both factors because every change that comes to an organisation has to be managed.

Even after planned change, emergent change cannot be avoided because organisations can never be the predictable, well oiled machines envisaged by the classical approach (Pascale & Sternin, 2005). Burnes (1992) emphasises that organisations are usually very unpredictable and, as such, managers have to always be prepared because they are not in control of their own fate. They are often affected in varying ways by the environment in which they operate. This is true with the education sector and more so, with the CBE Programme. For this reason, a well defined change management approach that can facilitate planned change and help respond to emergent change as and when either arises is desirable. UNESCO (2000) calls for organisational structures that remain abreast of educational development so as to prepare well and adequately for change. Planning for such unpredictable circumstances is effective as an ongoing endeavour that reflects the changing and
unfolding environments with which organisations interact (Mintzberg, 1994; McGrath, 1995).

In many circumstances however, such Change Management initiatives represent a new way of thinking because rules are still evolving and with uncertain rules, the traditional model for devising and executing a game plan is very difficult to enact (Orliskowski & Hofman, 1997). This study therefore will propose an approach that CBE can use in practicing CM for both planned and emergent changes.

### 2.1.3 What is Change Management?

Traditionally, management is defined as the process of planning, organising, leading and controlling the use of resources to accomplish performance goals (Schermerhorn, 2005). The first three characteristics of management, i.e. planning, organising, and leading hold true to the subject of Change Management. However, the fourth characteristic, i.e. controlling is debatable. As much as one can plan, organise and lead change, it is debatable if one can control change because sometimes change is unexpected and unplanned (Johnson, 1998; Pryor et al., 2008). However, the term Change Management has been widely used in the field to denote several theories, concepts and practices and may not necessarily denote the controlling aspect. Below are selected definitions of Change Management:

- A strategic activity aimed at getting the best outcomes from the change process (Mitchell, 2002).

- It is about managing changes that are part of a strategy (Norton, 2002; Backroad Connections, 2004).

- Change management is about people and processes that work for people (Hammer, 1993; Dawson, 2008).

In principle, managing change has to be done consciously through set standards and guidelines as part of a strategy. Therefore, this research project adopts Mitchell’s
definition of CM, as a strategic activity aimed at getting the best outcomes from the change process, because as a strategic activity, it involves people and processes in the managing of change. Moreover, the improvement of CBE is the best outcome that this study is targeting.

2.2 Change Management in Education
This section provides a brief description on the status of Change Management in education literature. It also outlines the importance of Change Management in education, factors affecting educational change and moves on to discuss current trends in education. The section concludes by citing CM problems and challenges in CBE.

2.2.1 CM in Education Literature
Change Management in Education is not an area where a lot of scholars have researched. An investigation of research literature in the area has revealed that CM is a subtle field of study in the Educational Management Literature (Hellawell, 1985; Fullhan, 1988-1992; The Open University, 1993; McLennan, 1995; Hallinger and Heck, 1996; Whitaker, 1996; Posch, 1996; Binkley, 1997; Bolam, 1997). Most of the publications consulted reflect a broad consensus on what constitutes best practice in the field of Change Management, much of which is adapted from the general field of management (Mitchell, 1998).

The table below shows some of the keywords used in the search and what was found from different databases:
Table 2: Change Management in Education Literature search

<table>
<thead>
<tr>
<th>Key word/s</th>
<th>Database</th>
<th>Result</th>
</tr>
</thead>
<tbody>
<tr>
<td>Change, Change Management, Change Management in Education, Change Management in non formal education</td>
<td>Google scholar</td>
<td>Publications on Principles of Change Management in Higher education</td>
</tr>
<tr>
<td>Change, Change Management, Change Management in Education, Change management in non formal education</td>
<td>Emerald</td>
<td>Publications on change in education service and management of schools as a response to these changes</td>
</tr>
<tr>
<td>Change, Change Management, Change Management in Education, Change management in non formal education</td>
<td>Harvard Business Review</td>
<td>Application of different Change Management principles to specific education settings but not on CBE</td>
</tr>
<tr>
<td>Change, Change Management, Change Management in Education, Change management in non formal education</td>
<td>University of Bolton eJournals Portal</td>
<td>Publications on general Change Management principles and their possible relevance to the education sector minus CBE</td>
</tr>
</tbody>
</table>

(Source: Author)

Mitchell (1998) remarks that most of the valuable material on Change Management in Education was gathered by Mike Wallace (1991; 1992). Wallace, who conducted a qualitative research in nine British schools where change is managed effectively established common leadership patterns in these schools. Garvin and Roberto (2005) support this viewpoint when they emphasise that leaders can make change happen only if they have a coherent strategy for persuasion. As much as persuasion can facilitate Change Management, the need for clearly set guidelines for other team members to follow in managing change cannot be overemphasised (Palmisano, 2004).

2.2.2 Need for Change Management in Education

Although Change Management in Education is a discreet field of study, change in education is happening due to various reasons like political trends and the increasing demand for the service nowadays. Other changes that keep happening in the school setting are, among others, restructuring, staff management, pupil grouping teaching methods and techniques (Paisey, 1984). There also seems to be expectations from school leaders because teachers are aware that head teachers as leaders need to provide some kind of coherent view of the school and how it should develop (Day et al., 2000). This then calls for the head teachers to shift from their traditional autonomous, paternalistic positions to one of increasing accountability to groups both inside and outside their schools (Peters, 1976; Barrow, 1976; Bernbaum, 1976; Colegate, 1976).
and Coulson, 1976). Hassan (2006) suggests that the introduction of restructuring strategies succeed when the top line is fully involved. It is important for Educators and Institution Managers to anticipate, prepare for and initiate change in their education systems. Pryor et al., (2008) stress that in today’s world of constant, complex change, organisational leaders who react rapidly and responsibly are successful, those who anticipate and invent the future are even more successful because they are the leaders in their organisations and industries.

Whitaker (1993) says that changes in educational practice tend to come from practitioners themselves rather than through regulation. As such, the anticipation for change will better prepare them to decide how to integrate the external changes into their education systems and use them to better provide the education service. Yet, it follows that this desire may not materialize unless there is a clear ‘strategy’ for government and all the key stakeholders in the education sector to use. Although they do not give a specific example, CREATE (2010) advocates a strategy which appreciates the context, dynamics, characteristics and lessons in the education model being implemented. Further, Lighthall (1973) states that educational change is a process of coming to grips with the multiple realities of people who are the main participants in implementing change.

2.2.3 Why Change Management in Education is resisted

Recklies (2001) states that education practitioners acknowledge that change often translates into more work for them at different levels. This is also compounded by the fact that to manage change, one needs to have the appropriate skills and competencies needed for the job (Buchanan & Boddy, 1992). The author’s opinion is that this could have been one of the reasons why there has not been a deliberate move to have a clearly defined CM strategy for the CBE programme. Education practitioners in the CBE programme probably thought that would increase their workload. However, the lack of a clearly defined CM strategy is in fact what increases workloads. Cadden (2007) argues that if all key stakeholders in CBE are provided with a clearly defined CM strategy, their workloads will become better manageable.
Change can be resisted (Ford & Ford, 2009). However, having a clearly defined Change Management strategy in the running of CBE can help stakeholders involved in this programme not to resist change. Plant (1987) says that there is systematic and behavioural resistance to change. Systematic resistance to change tends to occur when there is lack of knowledge, information, skill and management capacity while behavioral resistance is emotionally centered and derives from the reactions, perceptions and assumptions of individuals and groups in the organisation. People who resist change make different propositions (Plant, 1987; Lutzenberger, 2006; Ford & Ford, 2009). Plant (1987, p. 63) lists the following propositions that people make against change:

- We tried that once before and it did not work
- We don’t have time
- Let’s get back to reality
- We don’t have the resources
- You can’t teach an old dog new tricks
- Not that again!
- We have managed so far without it
- Let's form a working party
- It won’t work until things settle down
- We’ve always done it this way and no one has complained

Whitaker (1993) indicates that all these phrases have a familiar ring to them and can be used as part of our own resistance strategy during some events in our own lives. There are many reasons for organisational resistance to change (Garvin & Roberto, 2005; Sirkin, Keenan & Jackson, 2005). However, Plant (1987) lists the following as reasons for organisational resistance to change:

- Fear of the unknown
- Lack of information
- Misinformation
- Historical factors
- Threat to core skills and competence
- Threat to status
- Threat to power base
- No perceived benefits
- Low trust organisational culture
- Poor relationships
- Fear of failure
- Fear of looking stupid
- Reluctance to experiment
- Custom bound
- Reluctance to let go
- Strong peer group norms.

With a clearly defined CM strategy for CBE, resistance will be tamed because all stakeholders will appreciate the what, the how and the when of change (Ostroff, 2006). A clearly defined CM strategy will address both systematic and behavioral resistance to change (Maltz, 2008).

Tosey (1993) argues that the greater the effort invested in change, the less may be achieved. However, change can achieve much if clearly defined CM strategies are in place (Garvin & Roberto, 2005; Papulova & Papulova, 2006). There are different ways in which Change Management can be practiced. It is imperative therefore, for change managers to know the models they can use from already available models (Campbell, 2008). Whatever particular form change takes and whatever objectives it seeks to achieve, organisations cannot expect to achieve success unless those responsible for managing it understand the different approaches on offer and match them to their circumstances and preferences. Burnes (1992) sums it up well when he declares that understanding the theory and practice of Change Management is not only an optional extra but an essential requisite for survival.

With a clearly defined strategy, Change Management in the CBE programme will not just be treated as an event to be managed during a specified period, but rather as a
continuous process that will go hand in hand with the running of the programme (Pettigrew, 1985).

### 2.2.4 Factors affecting educational change

Change Management in education has to be done appropriately. For this to be possible, it is important for the education practitioners to know the factors that affect change in education. Education managers are in essence one of the groups expected to manage change. Various researchers have cited improvement, rigidity, polarization, inheritance and separation as the important factors that affect educational change (Whitaker, 1993; Mpondi, 2004; Lyon et al., 2009; Hargreaves et al., 2012). Whitaker, (1993, p. 6), whose classification is the basis that the other researchers have used outlined the following about these factors:

1. Improvement – There is a continuous desire for continuous progress and improvement in the way the education service is provided. Some factors that necessitate continuous improvement are:
   a) Competition – a concern with rivalry – of winning, or at least not losing – can cloud attention to the more fundamental purposes of education.
   b) Recrimination – not succeeding in ones learning has become a cause for blame.
   c) Reform – much change in education has had a reform element around it.

2. Rigidity – One of the difficulties facing those charged with the management of schools is the rigid context of education envisaged by the reformers. Educational change is approached in strictly rational terms as a choice between opposing alternatives, only one of which is right.

3. Polarization – the growing debate on whether education is a research or political issue causes different changes to be proposed.
4. The inheritance factor – the tendency by some quarters to cling to structures from the past prompts others to want to propose different changes.

5. Separation/integration – the realization that education does not only happen in the classroom but also motivates and inspires others to want to propose changes that will facilitate the learning process. The idea is to encourage educationists to look beyond the somewhat restricted notions of pedagogy – specifically the art and science of teaching children because it is possible for it to produce androgogy, – which is the art and science of helping adults to learn.

These factors, which Whitaker outlined, had a bearing on why the CBE programme was introduced.

Improving the way the educational service is provided was definitely one of the reasons why CBE was introduced. It can also be assumed that this improvement was necessitated by the desire to compete, because one of the motivations was to meet the Education for All (EFA) goals. It was also necessitated by the realization that the numbers of dropouts from formal primary school kept increasing (Chimombo 2005). The need to reform was there, especially when one considers the fact that the CBE programme is meant to be continuous.

Rigidity of the formal school was also one of the reasons why CBE was introduced (JEPC, n.d; CDEC & UNICEF, 2009). The feeling was that a lot of children and youth drop out of the formal school because it is not that flexible to accommodate some of the demands which the learners have in their day-to-day lives. This, then, meant that there would be no room to cling to structures from the past.

The timing of the introduction of the CBE programme in Malawi says a lot about polarization. The researcher’s proposition is that it was not only a research issue but also a political issue. Before the introduction of the programme, there was a lot of research done to decide how best the problem of illiteracy can be dealt with in the face of so many dropouts (World Bank, 2007). However, the programme started at a time
when the Democratic Progressive Party (DPP) had just started ruling the country. Ironically, United Democratic Front (UDF) which was in power before DPP was blamed for allowing a lot of primary school learners to drop out. As a result, some people have argued that the CBE programme was one of the ways used by the DPP to gain political mileage over UDF.

CBE does uphold the fact that learning does not only happen in the classroom. One of the content areas in the CBE programme, Livelihoods, depends much on the expertise of local artisans who do their crafts in the villages. Unlike the social learning theories (Lave & Wenger, 1991), and theories of experiential learning (Kolb, 1984) which view learning as a social activity self-directed by the learner, CBE is about collaborative learning which promotes a sharing of information in relationships (even outside the classroom). Jackson & MacIsaac (1994) affirm that these relationships promote new growth for each learner. Instead of challenging learners to construct their own meaning and application about new knowledge, educators are encouraged to use group projects, team building exercises and other collaborative assignments to enhance learners’ knowledge and skills (Candy, 1991; Ball 2011).

2.2.5 Current Trends in Education

Researchers have cited so many current trends in education (Willis & Mehlinger, 1996; Cotton, 2001; Stevenson, 2002; Molebash, n.d). However, trends that are related to Malawi and therefore relevant to CBE and this study are Illiteracy, Free Primary Education, Dropouts and Non Formal Education (UNESCO, 1984; Jones, 1997; Abadzi, 2003; UNICEF, 2010; Chabbott, 2010).

A. The problem of Illiteracy

Jones (1997) states that many trends in the education sector are related to illiteracy. Either they are a cause (like the problem of dropouts), or they are an effect (like programmes that are introduced as a way of tackling the problem of illiteracy). Illiteracy is a problem in the world, but more so in Africa. Hauya (1998) claims that Africa alone registers over 50% of the total number of illiterates in the world. There have also been
assumptions that illiteracy shall remain highest in Africa because of the high population growth and civil unrest (UNPY, 2011).

However, to fault high population and civil unrest as a cause of illiteracy is not entirely correct. The researcher argues that the challenge has to do more with lack of proper planning to meet the demand for education in those circumstances. CM in education becomes critical especially in cases like these, where people who need education are not in the usual school setting, or are more than the system can absorb at a given time (UNDP, 2010). The change in this regard is the civil unrest or high population, which would have a bearing on education provision. As a result, a way of managing the education provision in the face of civil unrest or high population has to be found. UNDP (2009) emphasises that planning is required for these masses to be provided with education. If more schools and more avenues for accessing education are created, more people will become literate. There have been situations where education is provided in refugee camps or places where people have sought asylum, just to deal with the challenge of illiteracy (Pascual, 2003). Regardless of high population and civil unrest, the main thing should be to create an Opportunity to Learn (OTL). Porter (1993) says that the term OTL is often associated with the creation of equitable conditions that promote learning for all students within the school or classroom. However, the term can also refer to the absence of barriers that prevent learning even outside the classroom (Mereku, 2005).

Although Malawi has not experienced civil unrest, the subject of OTL has taken centre stage because of dropouts. These dropouts have come about mainly due to problems of planning in the face of population growth (Finn, 1989; McCaul et al., 1992; Blue & Cook, 2004).

**B. Free Primary Education**

Free Primary Education Policy (FPEP) is one of the current trends in education (Bruns, Mingat & Rakotomalala, 2003). In Malawi, FPEP, which allows learners to attain basic education free of charge, was introduced in 1994 (Riddel, 2003). Chimombo (2005)
argues that this policy resulted in the rising of primary school students’ enrolment from 1.9 million in 2003 to 2.9 million by 2005.

CM in education also becomes critical when FPEP is used as a means of achieving literacy. Todnem (2005) suggests that before a decision for free schooling is made, it is critical to look at how that radical change will be managed. The researcher proposes that concerns like number of classrooms and trained teachers need to be addressed in order to meet all demands for FPEP.

Although FPEP significantly improved the enrolment rate in the Malawian primary schools, it brought many other challenges including major infrastructure problems and a decline in quality (GoM, 2004). Chang (2006) actually emphasises that there already was a problem of infrastructure even before the introduction of FPEP. As a consequence, a lot of learners’ interest to remain in school decreased and many others dropped out (Hunt, 2008). Therefore, Government of Malawi’s commitment to providing the children and youth with a general education gets challenged. Thompson (1981) emphasises that education equips learners with tools needed to ‘investigate and enquire,’ to ‘think, conclude and understand.’ Subsequently, when learners drop out, a country is left with people without such skills rendering them illiterate. The irony is that without proper CM in education, FPEP, which is meant to help improve education standards by increasing the number of children attaining basic education, ends up doing the opposite by contributing to illiteracy.

C. The Challenge of Dropouts

Dropouts are another current trend in education. In 2005 UNESCO reported that only 57% of all the children that could have completed a full – course of primary education, actually accomplished this feat. Obviously, high dropout rates are the main cause of this trend. The Education for all Global Monitoring report (2007) shows that in the 2001/2002 academic year, only 38.8% of students who enrolled reached standard 5. At the moment, Malawi is still far from achieving schooling for all. Colclough & Lewin (1993) define schooling for all as a situation where all eligible school age children attend school of minimally acceptable quality.
Drop out causes are numerous (UNESCO, 1984; Kavetuna, 2009; Chabbott, 2010). GoM (2004) has stated that some common causes for dropping out of school in Malawi have been school fees (especially before the introduction of FPEP), distances covered to access a school and lack of parental encouragement especially when the parents themselves are illiterate. In recent times, HIV and AIDS have brought another dimension to school attendance. Malcolm (2008, p. 2) confirms that when talking about dropouts, it should be appreciated that there are various causes:

The reasons for dropping out are complex and numerous but authors mainly attribute this to one or a combination of issues like poverty, HIV/AIDS, gender and factors affecting school quality. The Ministry of Education however blames high dropout rates on poor school quality noting that ‘the poor quality of education has tended to contribute to the very high rate of dropouts and repeaters, particularly at primary level.’ This has resulted in extremely low levels of internal efficiency of the primary system.

As a result of these factors, education in Malawi has not benefited everyone who would have benefited from it. Some quarters have argued that education in Malawi has only supported the reproduction of social elites and neglected a more populist model, which would have increased the population of those attaining a formal basic education (VanDijk, 2009; Kalebe-Nyamongo, 2012). This is so because the education system has benefited just a minority.

If children and youth continue to drop out of primary schools for whatever reason, there will not be the appropriate calibre of people to go into secondary schools. The Australian Government (2009) has pointed out that learning at a higher level like secondary school allows learners to meaningfully take part in the development of the country. The illiterate can also take part in the development of a country. However, the primary school curriculum, which is the one used in non-formal education, is weaker in its capacity to training specific production and technical skills (TVET 2007). Although this is the case, MoEST (2008) has argued that some basic priorities of any basic education are not only to provide necessary inputs into secondary education system, but also to provide the educational substructure on which the overall social and economic development of a country must be based. Unfortunately, dropout rates are particularly high especially during the early years of basic education and well before one achieves literacy of any significance. Research (Cabezudo et al., 2008) has proven that
one’s level of education determines ones understanding of the different global concepts, including development.

Against this background, there have been different efforts, both locally and internationally, aimed at providing universal access to basic education. These efforts have led to a noteworthy increase of programmes that are geared toward providing education as a way of dealing with the problem of dropouts (Burton, n.d; UNICEF, 2010). Adult literacy programmes, mobile schools and CBE are examples of such efforts. The main objective of these programmes that come under the umbrella of Non-Formal Education (NFE) is to offer a second chance to those who, for some reason, could not benefit from the regular school system at the ordained moment. This is particularly beneficial for the poor and marginalized because most of these programmes are considered high-poverty schools as they operate in poor areas (Carhill, Suarez-Orozco & Paez, 2008).

Although there have been these efforts, Rogers (2004) has noted that the attention given to NFE during the 1990s was reluctant and far from wholehearted. It was being looked at as the ‘poor and badly dressed guest’ at the education table whose presence was hardly desired and who no one knew quite how to approach (Rogers, 2004). He goes on to say that the post-jomtien\(^2\) era has focused almost exclusively on formal education and government and agencies have shown little interest in NFE with notable exceptions of agencies being concerned about social conditions of marginalized children and young persons, such as United Nations Children’s fund (UNICEF) and Save the Children (SCF). It appears however that in the present post-dakar\(^3\) decade, the tide is turning once again. There are signs that NFE at different levels and for different beneficiary groups is gaining new momentum. The CBE is one such example.

The positive thing with NFE initiatives like CBE is that they have become a widely accepted trend. They have become an important component in achieving EFA goals (Osman, 2005). Rogers (2004) affirms that since NFE education points to educational

\(^2\) In 1990 there was a World Declaration on Education for all Conference in Jomtien, which was largely looking at the promotion of Formal Education

\(^3\) In 1999 there was a World Education Forum conference in Dakar, which was looking at promoting education that changes people’s attitudes.
opportunities outside of the formal education silo, i.e. education as defined by
governments and donors, the education sectors maintenance of the need for innovative
and flexible modes of education would be lost if non-formal education is abandoned.
This fact is the basis for the author’s consideration that CBE is an innovative and
flexible mode of dealing with the challenge of dropouts, especially when one considers
the variations that the CBE has from the formal schooling system.

NFE programmes like CBE are necessary in responding to the challenge of dropouts
(MoESS, 2008). What is remarkable about CBE is that it follows innovative and flexible
modes of education, which are appropriate and acceptable in different communities.
Yet without a deliberate CM approach to these innovative and flexible modes of
education, we will find ourselves going back to the same situation, where such
programmes do not register significant success. Woods (2010) states that potential
benefits are more likely to be realized when a new project or initiative is combined with
a process of Change Management. Pascale and Sternin (2005) affirm that Change
Management has been essential in addressing elevated dropout rates in Argentina’s
rural elementary schools.

Complementary Basic Education has become a convenient way of increasing literacy
levels and providing basic education at community level (Rose, 2007). It is also
registering change in terms of people’s attitudes, values and beliefs especially as they
reflect on their culture and way of life because it is taking education out of the classroom
to the people’s villages and homes (MoEST, 2011). In doing so, the government,
through CBE, has encouraged the community to take responsibility of educating its own
people and thus complementing its efforts in dealing with the problem of drop outs and
reducing illiteracy.

D. Non-Formal Education in Africa particularly Malawi

Non-formal education is another current trend in Education and does not have to be
overlooked. Different African countries have responded to the challenge of illiteracy and
dropouts by either providing access to those that do not have access to education, or by
giving a chance to those that dropped out (MoEST, 2011). Hoppers (2004) contends
that at present, ministries of education are becoming more and more interested in directly initiating and administering non-formal systems in order to speed up EFA for the unschooled (such as CBE in Tanzania), or to reach specific categories of hard-to-reach children (such as mobile schools in Kenya for the nomadic communities), and pastoralist communities (such as the shepherd schools in Botswana and Ghana). There are instances where a programme is considered para-formal because it has elements of the formal system. However, both para-formal and non-formal are complementary systems because they exist to complement the already existing formal education efforts (Moore, DeStefano & Gillies, 2007). It is important to note that in many of these African countries, it has become increasingly possible for such programmes to become joint ventures between the state and civil society (Rose, 2007).

Different commentators have revealed that these joint ventures are covered by formal agreements where the state recognizes the special contributions provided by NGO’s in initiating and running programmes adapted to the needs of special groups and provides grants and professional support in return for adherence to quality criteria (PEN, n.d.; Miller-Grandvaux, Welmond & Wolf, 2002; Rao & Smyth, 2007). This arrangement requires skill and a properly defined CM strategy. The author asserts that it is important for these joint ventures to be managed because they are a slight departure from the traditional way of providing the education service. Tosey (1993) contends that in organisations faced with change, restructuring or re-organisation is a popular activity. In many cases, however, there is a lack of understanding on what the problems and desired outcomes are (McCarthy & Eastman, 2010; University of Adelaide, n.d.). As such that action seems to be a response to a need of feeling in control or the desire to return to familiar ground. If, therefore, the state wants to control the CBE programme because they feel they are well versed with providing the education service, they may regain a stable pattern of being in control by returning to familiar ground and avoiding significant change, which in itself is part of the problem. For the civil society organisation, it cannot afford to abandon everything that the government brings to the partnership. There is need to learn from the best practices and see how each partner can bring to the table strengths, which can provide best and desired way of providing
the education service for the benefit of the masses (Desmond, Grieshop & Subramaniam, 2002).

To a greater extent, both state and civil organisations agree that the motivation for introducing non formal education has been to increase access and provide alternative channels to basic education for out-of-school children so that nations can provide education for all sectors of their societies (Rose, 2007). The fact that non-formal education efforts have been looked at as remedial has resulted in many vulnerable children benefiting from it (UNICEF, 2009). Although there is free primary education policy in a lot of countries that have adopted non formal education, some demands of the formal system of education can still not be met by the very poor people and as such, they have opted for non formal education set ups. This has made the non formal education to become a good way of targeting even the vulnerable population so that they also can become literate.

It is noteworthy that some governments have thought that non-formal education is a cheaper way of providing basic education to its masses. However, UNESCO (2006, p. 42) disagrees and keeps encouraging governments to be willing to invest highly and seek to provide relevant quality learning so that good results can be achieved even through non-formal education:

In order to bring about effective change, the use of non formal methods should not be undertaken in the expectation that it will provide cheap education. As it will be operating in areas of weak infrastructure and low population densities, there will inevitably be high investment and ongoing costs. It was stressed that it is essential to work on the principle that non-formal education should be expected to provide relevant, quality learning outcomes in its own right, and not merely function as a gateway to the formal sector.

The researcher theorizes that in the process of investing for the sake of quality, there is a possibility that non-formal education methods can help governments in mobilizing added resources especially from the local communities in which they are operating from. Because of the high community participation in the non-formal programmes, some activities, which in the formal school could have been done by paid staff, are done on a voluntary basis by community members (Rao & Smyth, 2007). This is does not only help governments to free other resources, but also helps them to extend education provision to places that would not be possible with government resources alone.
This is particularly true with the CBE programme in Malawi because community members help in the running of the CBE programme in various ways. Through the work of local and international NGOs, communities are provided necessary guidance to establish a school, set up a Learning Centre Management Committee (LCMC) which helps in the running and management of some aspects of the CBE programme. MoEST (2011) states that they participate in an exercise to identify likely students and potential teachers. The community also offers a place where the school can meet, or contribute to the construction of a new building.

Together, communities and NGOs establish specific criteria for developing the local programme (Destefano, Moore & Balwanz 2006). It needs noting that all of the complementary education programmes rely on the premise that every community has individuals capable of teaching primary school and that if provided with initial training, and regular support, they effectively deliver instruction (Moore, DeStefano, & Gillies, 2008). WRM (2011) reported that a lot of communities in Malawi have helped to construct shelters for their children to learn in. These community initiatives have helped government and the other CBE service providers to free up the money that could have been used for classroom construction to be used for other things which would benefit the same learners.

Since this study is a CM case study of CBE in Malawi, the following section specifically talks about the CBE programme in Malawi.

### 2.3 CBE in Malawi

In Malawi, the subject of CBE became popular during the era of multiparty democracy, that is, after 1993. Malcolm (2008) stresses that before then, the single party rule had resisted international education aid and the enrolment in government primary schools was less than 50% of those that needed basic education. The initiatives that were being taken to encourage children to go to school were the presidential appeals for parents to send their children to school and the community sensitizations that concentrated on outlining the importance of sending children to school (UNESCO, 2005).
The introduction of CBE was largely due to the fact that not all children and youth, who were to be provided with basic education, were actually having the opportunity to learn, as many of them dropped out. GoM (2000) states that the mission of Basic Education Department is to develop and provide quality basic education for every child in an effective partnership with relevant stakeholders. CBE therefore is not a systemic change, which suggests change of a system; rather it is change within a system in conjunction with different stakeholders (Menchaca, Bischoff, & Dara-Abrams, 2003). Initially, when learners dropped out of the former school, there was no initiative to encourage them to go back school. Through CBE however, drop outs and children who never went to school are enrolled into the CBE programme. At the end of 3 years, these CBE learners can be ploughed back into the formal school.

Menchaca, Bischoff & Dara-Abrams (2003) suggest that both inner (personal-psychological) learning and outer (social-psychological) learning are required for the systemic change process to occur. However, for a programme like CBE where drop-outs and those children who have never been to school can be re-admitted into a higher grade at the formal school is fundamentally out of sync with the conditions of today’s world (Anderson, 1993). CBE is a slight shift from the traditional education system because it emphasises interconnectedness, active learning, shared decision making and higher levels of achievement for all students (Anderson, 1993). The shared responsibility helps other stakeholders like NGOs to help in providing training and support to the school management committees, helping to set up systems for enrolling students, reaching decisions about when school should meet and even monitoring student and teacher attendance (Save the Children Fund, 2008). This shared responsibility is particularly important because CBE is dealing with students who can be considered ‘rejects’ of the formal system and, as such, need attention and assistance in different aspects.

Banathy (1991) states that it is possible to design educational systems that encourage and support learning as well as the full development of human potential. The researcher concurs with this viewpoint because the interconnectedness, active learning, shared decision making and higher levels of achievement for all students in CBE do
support learning and full development of human potential. This is so because community involvement, learner centred and participatory approaches help to rejuvenate the interest of learners to go back to the formal school (McEwen, Flowers & Trede, 2003). MoEST (2004) states that the main reason of establishing CBE was because little had been done to adequately address the basic education needs of out-of-school youth. As a response MoEST in 2004 recognised the need to tackle the situation of out-of-school children and youth. This was done by incorporating CBE into the 2005 Education Sector Plan (MoEST, 2009). Because this is a new initiative, it could not be introduced nationally at once. There was need for a staggered introduction to determine what works best (MoEST, 2011). The period of 2006 to 2011, which this study covers is considered a pilot phase for the CBE programme. That is why drawing Change Management lessons from this period, based on the two districts of Ntchisi and Chikhwawa respectively, is critical because it will also be an evaluation of the change initiative for the sake of informing CBE’s future programming.

Moleni (2005) states that out-of-school children remain a major problem for Malawi given the current trends in pupil attendance and participation. Malcom (2008) agrees that pupil participation in Malawi is characterized by high repetition and dropout rates which have ensured that only a small proportion of children who enter the system complete the full cycle of primary education. This substantiates the fact that the majority of primary school going children leave the formal school without having attained permanent literacy and numeracy skills to help them make meaningful contributions in their societies (Harvard Graduate School of Education, 2011). It is estimated that in Malawi, over a quarter of a million children drop out of school either permanently or temporarily without having achieved the basic competencies (Moleni, 2005). This then, means that despite the high attendance rates since the introduction of FPEP in Malawi, the patterns of participation and attendance have remained the same. This makes Malawi’s attainment of EFA and MDG goals by 2015 unlikely. MoEST (2009) suggests then that it is imperative for Malawi as a country to put in place intervening policies and strategies that can help to either reduce the high wastage rates or find alternative means of providing basic education to out-of-school children in Malawi. The CBE programme as a sub system of the formal education has become one of the alternatives
for providing basic education to youth and children in a non-formal way. However, the National Education Sector Plan (NESP) which talks about the importance of establishing the CBE programme in Malawi does not mention the need for an accompanying Change Management plan (MoEST 2008).

It is undeniable that the subject of continuous dropouts remains an issue that needs to be looked at critically, if lasting solutions are to be found (Chabbott 2010). The researcher suggests that apart from CBE, whatever intervening policy and strategy is put in place, needs to go hand in hand with well articulated Change Management principles and strategies. Mitchell (2002) advocates for a clearly laid out preparation and implementation of a strategy for change. This implementation plan should incorporate all key stakeholders including community members, who have a crucial role in the running of the CBE programme. Morrison (2002) and Burke (2010) emphasise that shared governance distributes organisational power and responsibilities because no one individual can demonstrate leadership in all contexts. Organisational behaviour and the organisational sciences acknowledge the need to implement democratic and collective models of management in order to develop individual capacities throughout the organisation (Flood, 1999; Hammond, 2003 & Bowditch et al., 2008). Shared governance will strengthen the programme because this kind of planning will help all key stakeholders to make sure that the CBE programme in Malawi gains stability as soon as possible (Orlikowiski & Hofman, 1997). This stability is necessary if strides in dealing with illiteracy by targeting dropouts are to be made.

2.3.1 Change Management Problems and Challenges in CBE

Change Management is a complex issue in the CBE programme because of several inherent characteristics. These include factors such as the positioning of the programme within the education system, key stakeholder role complexities, geographical location, flexibility in implementation and size of the programme (Mullins, 1993; Mumford, 1996; Castrol-Leal, 1996; Hoppers, 2006).

Perhaps, the positioning of the CBE programme within the education system is the foremost characteristic that has significant impact on the CM practice in CBE. The CBE
programme in Malawi illustrates an approach that extends basic literacy skills to young people who dropped out of school so that they can re-enter the formal education system (World Bank, 2012). Davies, Popescu & Gunter (2011) emphasise the need to link the local education site (CBE) with the wider education sector. There is a close relationship that exists between CBE and the formal primary school (MoEST, 2011). Kaplan and Norton (2006) propose a flexible and less disruptive approach of creating a Change Management system to serve as the interface between strategy and structure. However, when the wider education sector resists CM, because it translates into more work for education practitioners, the CBE programme is left vulnerable (Recklies, 2001). Mullins (1993) supports systems theory, which upholds the idea that any part of the organisation’s activities affects all other parts. If there were well defined CM practices in the formal education, they would have easily affected CBE. Conversely, a properly defined CM strategy for CBE will, in turn, affect and benefit the formal education.

**Stakeholder role complexities** can also influence CM efforts in CBE. Policy makers, Basic Education Department, donor community, service providers, parents, community members, facilitators, and learners make up key stakeholders for the CBE programme. O’Donoghue & Dimmock (1997) state that it is easier to win support in the education community for initiated change more especially if the change is perceived to be in the interest of learners. Woods (2010) points out that schools are principally concerned with the outcomes of teaching and learning, for which we rely upon our staff and our learners. However, for a programme like CBE, every one of the stakeholders must agree to the fact that the initiated change is indeed to the interest of learners. This causes the outcome of teaching and learning to be based upon all concerned stakeholders and not only staff and learners. This then calls for an all inclusive CM strategy, which puts into consideration all the structural forms involved in the process (Mintzberg, 1979). Berggren & Soderlund (2011) advocate that these stakeholders should know what new things the learners have learnt and how valuable these things will be.

**The locations** in which the CBE programme actually operates have an impact on CM practices. Hakuta, Butler & Witt (2000) emphasise that CBE centres are high poverty
schools because they operate in rural communities. They target children and youth in the poorest sections of society because that is where children are least likely to be in school (Castrol-Leal, 1996). This means that most of the stakeholders like parents and community members are not exposed to CM concepts and techniques just because of being in the rural setting (Paterson & Herrera, 2010). Therefore, a well defined and simplified CM strategy for all stakeholders to understand and appreciate is desirable. Apart from improving CBE, it will also help increase literacy rates to levels that will promote sustained levels of economic growth (Fagerlind and Saha, 1983).

**Flexibility** in the way the CBE programme runs presents another important CM challenge. Orliskowski & Hofman (1997) state that the education system is bounded and its functionality is sufficiently fixed to allow for detailed specification. As much as this is true with the formal education system, the same cannot be said about CBE. The CBE programme is flexible, which makes the environment not to be rigid. Therefore, a CM strategy for an education system, which is not as rigid as the formal education system, is needed. The flexibility of the CBE programme makes it to be like a learning organisation operating in a more turbulent environment (Greenwood & Hinings, 1996).

In addition to all these, the size of the programme can also impact the CM practice in the CBE programme (Andrews, Cameron & Harris, 2008). Unlike the formal education system, which is big and spreads across the whole country, the CBE programme is operating in selected districts within Malawi. This also calls for specific theories and frameworks for CM in CBE.

### 2.4 Change Management Theories and Frameworks

This section outlines the significance of managing change in Education, especially CBE. It also outlines CM theories and frameworks that can be adapted in the CBE programme.

While there is a widespread recognition and agreement about the significance and need to manage change, the avenues of Change Management are disparate. Pryor et al. (2008) state that change is constant and organisational leaders who anticipate change
and react rapidly and responsibly are successful. The CBE programme needs a specific framework that can address the CM challenges discussed before. There are multiple CM theories available. Change is attributed to a wide array of factors. The most widely stated causes come from macro-environmental factors such as major economic and political changes, technological advances, rapid expansion in the global market place and altering demographic and social structures (George and Jones, 2002).

There is significant research that focuses on the process of implementing organisational change, with issues such as how change occurs, who initiates the implementation of change and reactions to the fairness of the change implementation (Beer, Eisenstat & Spector, 1990; Kanter, 1989; Quinn, 1980; Hambrick, 1989; Robbins & Duncan, 1988; Tichy & Ulrich, 1984; Cobb, et al., 1995; Schweiger & DeNisi, 1991). Again, some research focuses on the successful Change Management process (Caldwell, Herold & Fedor, 2004). Nohrai & Roberson (2003) suggest that non-tangible factors such as strategy and culture are the major determinants of long term positive results as opposed to specific methods of implementing changes.

Given the nature of the subject area, there are different proposals on the implementation of CM. Some examples of possible CM models and theories are:

- The Action Research Model (Collier, 1945; French, 1969; Schein, 1980).
- Lewin’s Three Step Model, (Lewin, 1945; Lewin, 1951)
- The Lippit, Watson and Wesley five phase model of planned change (Lippit, Watson & Wesley, 1958).
- Scheins Extension of Lewins Change Model (Schein, 1980).
- Kotters Strategic Eight step model (Kotter, 1996).
- Shields Five step Model (Shields, 1999).
- Jicks Ten Step Model (Jick, 2001; Jick, 2003)
- Mento, Jones and Dirmofer’s Twelve-Step Model (Mento, Jones & Dirmdofer’s, 2002).
- Charles Sturt University’s Organisational Change and Renewal Framework (Bryant, 2008).
The table below is a record of how the above CM models fair as far as this study is concerned:
### Table 3: Record of how CM models fair in this study

<table>
<thead>
<tr>
<th>CM Theory</th>
<th>Preferred</th>
<th>Not preferred</th>
<th>Rationale</th>
</tr>
</thead>
<tbody>
<tr>
<td>Action Research Model</td>
<td></td>
<td>Not preferred</td>
<td>Combination of changing not only attitudes and behavior, but also testing the change method being utilized. May be useful if it is done through the process of drills or exercises.</td>
</tr>
<tr>
<td>Lippit, Watson and Wesley five phase model</td>
<td></td>
<td>Not preferred</td>
<td>Five steps or seven steps extended from Lewins Model (Kritsonis, 2005). Researchers do not agree on the exact number of steps in this model. Focuses more on the role and responsibility of the change agent than on the evolution of the change itself.</td>
</tr>
<tr>
<td>Scheins Extension of Lewins Change Model</td>
<td></td>
<td>Not preferred</td>
<td>Argues that people must feel psychologically safe for change to be productive but induces guilt or anxiety to achieve desired change.</td>
</tr>
<tr>
<td>Shields Five step Model</td>
<td></td>
<td>Not preferred</td>
<td>Builds on the idea that change fails due to insufficient attention to the human and cultural aspects of business. Lacks the addressing of communication as an important component in the whole change process.</td>
</tr>
<tr>
<td>Jicks Ten Step Model</td>
<td></td>
<td>Not preferred</td>
<td>Geared more toward a tactical level of change. It is, however too complex for all stakeholders in a programme like CBE to follow all the steps.</td>
</tr>
<tr>
<td>Mento, Jones and Dirmofer's Twelve-Step Model</td>
<td></td>
<td>Not preferred</td>
<td>Recommends twelve steps to lead the transformational change. It is, however too complex for stakeholders in a programme like CBE to follow all the steps.</td>
</tr>
<tr>
<td>Charles Sturt University’s Organisational Change and Renewal Framework</td>
<td></td>
<td>Not preferred</td>
<td>Developed for a university and modifies Kotters processes and Synots ingredients but produces a complex model that is not easy to follow and not meant for use in the CBE programme.</td>
</tr>
<tr>
<td>Lewin’s Three Step Model</td>
<td>Preferred</td>
<td></td>
<td>Relevant in terms of what to do. Although the model is one for planned change, it is still applicable when unplanned change occurs and so relevant to CBE.</td>
</tr>
<tr>
<td>Prosci ADKAR Model</td>
<td>Preferred</td>
<td></td>
<td>Diagnoses people’s resistance to change and provides an opportunity for creating a change management plan that is workable. Applicable to CBE because it is able to identify why changes are not working and help take the necessary steps to make the change successful.</td>
</tr>
<tr>
<td>Kotters Strategic Eight step model</td>
<td>Preferred</td>
<td></td>
<td>Model can be used at the strategic level of an organisation. The different phases in the model provide an opportunity for change to be evaluated and that is critical for the CBE programme.</td>
</tr>
</tbody>
</table>

(Source: Author)
2.5 Discussion of limitations in the current CM theories

An in-depth review of the current CM literature has identified some limitations in the current CM theories. These theoretical inadequacies and challenges offer huge capacity for further research in the area. It is undeniable that the theories listed and discussed above have provided splendid contributions to the field of Change Management. However, in the context of CBE, they have several limitations. Most glaringly, the major limitation of these theories is lack of an all-inclusive view of Change Management in CBE. Pryor et al. (2008) support this view when they note that the problems and challenges facing organisational leaders, organisational development experts and researchers do not relate to the relevance and worthiness of CM models, but rather to the speed and complexity of change today. The theories do not include steps for monitoring and measuring change as it is being implemented (Pryor et al., 2008). Mento, Jones & Dirmdofer, (2002) advocate the importance of monitoring change so that success can easily be measured. Monitoring of the CBE programme would be critical in knowing whether the objectives are being fulfilled.

Other model specific weaknesses include the lack of addressing the importance of communication although it is important in gaining support and buy in (Shields, 1999). Jicks model (2003) is geared more towards tactical change. However, CBE needs a clearly defined model that can ably respond to both planned and unplanned change.

Although Charles Sturt University’s Organisational Change and Renewal Framework was developed for a university, it was not meant for use in the CBE programme (Bryant, 2008). This model modifies Kotters processes and Synots ingredients but produces a complex model that is not easy to follow. As such, several unanswered questions remain regarding shared responsibility, timing of reviews and sequencing of stages in the CM implementation process. The author therefore proposes an elegant CM model for CBE which will be easy to follow.

The following sections describe some important theories on the subject which are relevant and can be considered for the CBE programme. The CM models and theories addressed are Kurt Lewin’s Three Step Model (Lewin, 1945; Lewin, 1951), Prosci

### 2.5.1 Kurt Lewin’s Three-Step Model

This model, developed by psychologist Kurt Lewin (1945), should be considered because it still forms the underlying basis for many Change Management theories and models today. The Kurt Lewin’s 3 stage change model is also called the freeze change model.

Warrilow (2009 C) says that Kurt Lewin’s 3 stage change model suggests that change involves a move from one static state, via a state of activity to another status quo. All this happens via a three stage process of managing change: unfreezing, changing and re-freezing.

The figure below shows the process of the freeze change model:

**Figure 2:** Lewin’s freeze change model process
Pryor et al. (2008) stress that, in Lewin’s model, there is a stipulation for three distinct steps in CM if it is to be effective. The steps are unfreezing the present, moving from the present and re-freezing.

The freeze change model assumes that change is threatening to the status quo and causes discomfort. This is the 'frozen' state and significant effort may be required to 'unfreeze' them in order to get them to change (Warrilow, 2009 C). This usually requires some form of intervention to get them moving. Strategies like restructuring or the creation of some form of real crisis, or the perception of a real crisis can help the members to be willing to move from the frozen state (Buchanan & Boddy, 1992). Warrilow (2009 D) suggests that presenting the 'cold hard logic' of 'irrefutable facts' is another common strategy that makes change inevitable. This can be any form of intervention designed to destabilize people and render them susceptible to change.

A key part of the freeze model is the idea that change, even at the psychological level, is a journey rather than a simple step. Lewin (1951) stresses that for change to be permanent, you must dismantle the present (and the capability to move back to the present), move from the present to the future and put in place the people and processes to ensure permanency. It is clear that managing the transition requires time and sensitive skillful leadership, which has to be exercised within people focused Change Management processes (Hammer, 1993). Segal & Smith (2010) point out that the freeze change model recognizes that people derive a strong sense of identity from their environment and like the safety, comfort and feeling of control within their environment.

Pryor et al. (2008) declare that if this model is not followed, changes will be short lived.

The Lewin model is still relevant in terms of what to do. However, the speed at which the 3 stages must be done has increased dramatically. Although Lewin’s model is one for Planned Change, it is still applicable when unplanned change occurs, particularly if we know in advance that there is some probability that the change will occur (Pryor et al., 2008). Because of being an education system, CBE is a relatively bounded environment whose functionality may allow for some detailed specification (Orliskowski & Hofman, 1997). Straks (2005) and Sahlberg (2006) confirm that the education sector
has many systems that have been held on to for a long time. The value in Lewin’s model is that it recognizes that people are stuck or attached to how things are. As such, concepts from this model can be applicable to the CBE programme.

### 2.5.2 The Prosci ADKAR model

The Prosci ADKAR model was developed based on analysis of research data from over 900 organisations over a 10 year period. Warrilow (2009 E) states that the model reflects necessary building blocks for individual change.

In the ADKAR model, Prosci (2001) proposes that for successful change to occur at the individual level, people need to move through each of these stages:

1. **Awareness** of the need for change
2. **Desire** to make the change happen
3. **Knowledge** about how to change
4. **Ability** to implement new skills and behaviours
5. **Reinforcement** to retain the change once it has been made

Warrilow (2009 E) assesses the model as founded on two basic ideas that:

1. It is people who change, not organisations
2. Successful change occurs when individual change matches the stages of organisational change.

Prosci’s own research (2001) reveals that problems with the people dimension of change is the most commonly cited reason for project failures. In his study with 248 companies, effective CM with employees was listed as one of the top three overall success factors for the project. Helping managers be effective sponsors of change was considered the most critical success factor overall.

Hiatt (1998) describes Prosci ADKAR’s model as follows:

- It is a goal-oriented CM model that allows Change Management teams to focus their activities on specific business results.
- The model was initially used as a tool for determining if CM activities like communications and training were having the desired results during organisational change.
- By identifying the required outcomes or goals of Change Management, ADKAR becomes a useful framework for CM teams in planning and executing their work.
- The goals or outcomes defined by ADKAR are sequential and cumulative. An individual must obtain each element in sequence in order for a change to be implemented and sustained.

This model is relevant for the study because it helps diagnose people’s resistance to change, provides an opportunity for creating a CM plan for the people involved and identifies gaps in the CM processes. Prosci (2001) emphasises that the ADKAR model has the ability to identify why changes are not working and help you take the necessary steps to make the change successful. The steps in the ADKAR model are about people and their response to these different aspects of the process. The education sector is about people, and this makes the ADKAR change model to be appropriate for CBE. Hammer (1993) declares that emphasising on people in CM is important because the human side is much harder than both the technology and process sides. Adopting CM concepts and principles from this model can help in improving the CBE programme.

### 2.5.3 Kotter’s Strategic Eight-Step Model

The figure below shows the guiding principles in Kotters’ eight step strategy for CM:
Pryor et al. (2008) state that this model should be used at the strategic level of an organisation to change its vision and subsequently transform the organisation. Kotters eight step approach to change is as follows:

1. Establish a sense of urgency:

Kotter (1996) suggests that for change to be successful, 75% of a company’s management needs to support the change. For this to happen, a key early task is to develop a sense of urgency around the need for change. People typically prefer the status quo. Change means uncertainty about what the future looks like and uncertainty makes people uncomfortable (Pryor et al., 2008). People avoid change because they tend to mistrust things about which they are uncertain. To encourage people to assist with the change, you must create a sense of urgency (Kotter, 1996; 1998).
2. Form a guiding coalition

Kotter (1996) says that building the momentum for change requires a strong leadership and visible support from key people within your organisation. The coalition will involve a wide representation of the formal and informal power base within the organisation. By working as a team, the coalition helps to create more momentum and build the sense of urgency in relation to the need for change (Kotter, 1998).

Warrilow (2009 A) touts the model as one that recognizes the importance of the emotional dimension and the energy that is generated by a 'mastermind' group all working together because managing change is not enough. He says that change has to be led. To counteract resistance, one option is to form a powerful coalition of managers to work with the most resistant people (Pryor et. al., 2008).

3. Develop a vision and strategy

Pryor et al. (2008) reason that while it is not impossible to get things done without a definite plan of action, it is much simpler if there is a clear plan of action. Kotter and Cohen (2002) contend that a drive for change without a clear focus will rapidly fizzle out unless you develop a clear vision of the future that is accompanied by a clear description about how things will be different in the future. The vision needs to be defined in such a way that it is capable of expressing, in a short vision speech that conveys the heart of the change. Since the status quo is more comfortable for most people, they are likely to revert to business as usual and not flow with changes without a plan in place. Kotter (1998) emphasises that creating a vision and the strategies for achieving the vision will help expedite the change. It is important to work with the coalition to develop strategies that will deliver the vision (Kotter, 1995).

4. Communicating the vision

If people do not know that change is coming, or has occurred, they are more likely to resist it. Kotter and Cohen (2002) maintain that as a change leader you need to use every means at your disposal to constantly communicate the new vision and key strategies that support that vision because communication is everything. This
communication goes beyond the ‘special announcement’ meetings and involves frequent and informal face-to-face contact with your people. Warrilow (2009 B) advocates openness and honesty to address the emotional dimension of your people’s fears and concerns.

5. Enabling action and removal of obstacles

This step empowers others to act on the vision by removing barriers to change and encouraging risk taking and creative problem solving change (Kotter, 1996). Pryor et al. (2008) reason that if you want people to do something new, you will probably get more cooperation from them if you first tell them how, and then give them tools necessary for doing things in a new way. Kotter (1996) says that this is the stage where your change initiative moves beyond the planning and the talking, and into practical action. He further states that this happens when you put supportive structures in place and empower and encourage your people to take risks in pursuit of the vision. This also includes the removal of obstacles like structures and individuals who are getting in the way of Change (Kotter and Cohen, 2002).

6. Generating short term wins

People need to be rewarded when they break away from old behaviours and do something that is new and desirable (Pryor et al., 2008). This is positive reinforcement. Kotter and Cohen (2002) advise that an early taste of victory in the change process gives people a clear sight of what the realised vision will be like because success breeds success. This is important as a counter to critics and negative influencers who may otherwise impede the progress of your initiative. Short term wins move the organisation towards the new vision (Kotter, 1996).

7. Hold the gains and build on change

Pryor et al. (2008) advise that although resistance is diminishing at this stage, you still need to observe actions. Kotter and Cohen (2002) argue that many change initiatives fail because victory is declared too early. An early win is not enough. He says that when you get an early win, this should be the time to increase the activity, and change
all systems and structures and processes that do not fit with the change initiative and bring new blood into the coalition. Warrilow (2009 A) adds that this is about continuous improvement and each success (and failure) is an opportunity for analyzing what worked (or didn’t) and what can be improved.

8. Anchor the Changes in the Culture

Kotter (1996) advises that to make changes more permanent, you should reinforce them by demonstrating the relationship between new behaviours and organisational success change. For any change to be sustained, it needs to become embedded in the new way things are done at an organisation (Kotter and Cohen, 2002). That is the culture. Day et al. (2000) say that transformational leaders not only manage structure, but they purposefully impact upon the culture in order to change it.

This model is relevant for the study because it is strategic. Pryor et al. (2008) declare that this model should be used at the strategic level of an organisation to change its vision and transform the organisation. Studies using this model have shown that the change process goes through a set of phases and mistakes at any phase can impact the success of the change (Pryor et al., 2008). However the phases provide an opportunity for the change to be evaluated in those phases and that is critical for the CBE programme.

2.6 Need for a CM framework for CBE

This section outlines the importance of a new CM framework for CBE. It also provides the strengths of a new CM framework for CBE.

In relating to the speed at which some changes must occur, Pryor et al. (2008) recommend CM approaches that drill people on how to follow through discernible steps of a CM process. In order to make changes permanent, people best personally make the changed way of doing things a comfortable part of their respective self-concepts (Schein, 1980).
It is important for CM models to incorporate the development of a vision or desired business result and movement from the status quo to a future state in a united fashion (Pryor et al., 2008; Prokesch, 2009). The concept of changing processes to empower people in the organisation to change should not be overlooked. Farrel et al. (2005) emphasise that this process includes evaluating current systems, processes and capabilities to facilitate change. Apart from establishing a reason and need for change, all CM models must incorporate the idea of reinforcing and creating small improvements to encourage additional change.

These characteristics are not found in just one CM model. However the models discussed earlier seem to complement each other. The author therefore adapts all the three models for this study. This is done by constructing a conceptual framework based on these models as the following section outlines.

2.7 Conceptual framework for practicing CM in CBE
This section begins with a comparative analysis of the three CM theories outlined earlier. From the comparative analysis, a proposed CM framework for CBE is developed. The section concludes with a diagrammatic presentation of the proposed framework.

2.7.1 A comparative analysis of CM theories
A critical analysis of the freeze change, Prosci ADKAR and Kotter's eight step strategy models reveals some overlaps. The conceptual framework for CM in CBE has been developed by the researcher and applied on the basis of the overlaps. The steps from these three CM models have been modified, synthesized and categorized into three managerial characteristics of Planning Change, Implementing Change and Institutionalising Change. It should be noted that this conceptual framework serves as a guide for the research study and is not intended as a rigid hypothesis.
Table 2 is the author’s application and synthesis of how the different processes from the three CM models under scrutiny fall within three preferred managerial characteristics in the author’s proposed conceptual framework:
Table 4: Application and Synthesis of Freeze Change, Prosci ADKAR & Kotters Models

<table>
<thead>
<tr>
<th>Proposed Phases</th>
<th>Planning Change</th>
<th>Implementing Change</th>
<th>Institutionalising Change</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Steps</strong></td>
<td><strong>STEP: 1</strong></td>
<td><strong>STEP: 2</strong></td>
<td><strong>STEP: 3</strong></td>
</tr>
<tr>
<td><strong>Existing Authors</strong></td>
<td><strong>Kurt L</strong></td>
<td><strong>ADKAR</strong></td>
<td><strong>Kotter</strong></td>
</tr>
<tr>
<td>Unfreeze (create the right environment)</td>
<td>Awareness of the need to change</td>
<td>Create Urgency</td>
<td>Change (support change to desired state)</td>
</tr>
<tr>
<td>Desire to make the change happen</td>
<td>Form a guiding coalition</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Knowledge about how to change</td>
<td>Develop a vision and strategy</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Communicating the vision</td>
<td></td>
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</table>

(Source: Author)
1. PLANNING CHANGE
Planning Change is one of the key aspects of the researcher’s proposed conceptual framework for CM in CBE because planning allows one to think about and organise activities required to achieve the programmes desired goals. The following are the processes that fall under Planning Change:

- The foundation for the change is laid. The stronger the foundation, the more sustainable the change.
- Awareness for change is created. Lewin (1945) suggests that significant effort may be required to get them to change. Warrilow (2009) suggests that the presentation of “irrefutable facts” that make change inevitable helps to get the change underway.
- Making people desire to change as a matter of urgency (Prosci, 2001; Kotter, 1997). Creating a vision for the future and communicating it clearly can be a catalyst to facilitate this (Kotter, 1996).
- Identifying a coalition that will guide the change and inform players how the change will happen (Prosci, 2001; Kotter, 1996).

Laying the foundation for change could be the first step in getting people ready for change. This is at the core of planning for change because it involves creating awareness and creating the urgency for change. Sull (2009) encourages the importance of assembling management teams that leverage the strengths of both outsiders and insiders.

These activities can be done together because people might respond to either based on what appeals to them most. However, the change manager should exercise patience with the people. Segal & Smith (2010) confirm that the people to be impacted by the change need to be given time to work through the change process because they like the comfort of the situation they are in. Warrilow (2009) suggests that Planning Change requires patience because it is not a simple step. The transition from Planning Change to Implementing Change requires time and sensitive skillful leadership exercised within people CM processes (Hammer 1993). This guarantees people’s involvement for the success of the change process.
2. IMPLEMENTING CHANGE
Implementing Change is one of the key aspects of the researcher’s proposed conceptual framework for CM in CBE because the obvious step after planning is execution of those plans. The following are the processes that fall under Implementing Change:

- Supporting change to desired state. Here, change managers should encourage and allow the concerned people to implement new skills and behaviours (Lewin, 1945; Prosci, 2001).
- Putting in place supportive structures like recognizing and awarding innovative ideas. This encourages risk taking in pursuit of the vision cast while Planning Change (Kotter, 1996).
- Encouraging, recognizing and rewarding courage to change so that people feel encouraged to keep on implementing change. Kotter (1996) advises that an early taste of victory in the change process gives people a clear sight of what the realised vision will be like.

These activities can happen concurrently or one after another depending on the levels where the people involved in the change process are at. At this stage, it is important for the people involved in the change process to know how to execute their work. The goal of the change manager is to help the people implement change that can be sustained.

3. INSTITUTIONALISING CHANGE
Institutionalising Change is one of the key aspects of the researcher’s proposed conceptual framework for CM in CBE because for sustainability reasons, there is need to reinforce CM by strengthening systems that support it in the programme. The following are the processes that fall under Institutionalising Change:

- Anchoring the change so that it gets reinforced and established in the culture or system (Prosci, 2001; Kotter, 1996). This means fixing or securing the changes so that they can be part of the tradition in an organisation. Lewin (1945) calls this
‘refreezing.’ Sharing success stories about the change process helps to fortify change.

- Strengthening the system and structures that support change. Kotter (1996) encourages that this should be the time to increase the activity and change all systems, structures and processes that do not fit with the change initiative. This basically means supporting positive change practices within the organisation. If need be, new blood can also be brought into the coalition.

To institutionalise change, progress that is being made through the change has to be shared for people involved to see and get encouraged.

It is important to remember that this is a continuous sequence. Therefore, new change can be built upon the institutionalised change and go through the same stages of Planning Change and Implementing Change.

Below is the pictorial representation of the proposed framework:
Figure 4: **Framework for practicing CM in CBE**

**Characteristics:**

a). Elegant yet comprehensive: The framework will explore and describe a collection of important organisational issues affecting CM in CBE.

b). Basic cycle representing a continuous sequence of stages or steps.

c). Uses managerial terms.

d). Emphasises stages or steps in a continuous circular flow.
2.8 Research Questions

A critical review has revealed that current CM literature does not offer an appropriate framework for managing change in CBE. Although a conceptual framework for practicing CM in CBE has been proposed, empirical studies still need to be conducted so that it gets modified, improved and strengthened. Therefore our main research problem (How can Change Management be practiced in order to improve Complementary Basic Education programme in Malawi?) remains unanswered. To address these deficiencies in CM theories and concepts, we need to use empirical data in order to enhance the proposed framework with CBE specific issues.

Based on the Literature Review, four broad based research questions are derived to address the identified research challenges and empirical inadequacies. These questions attempt to explore and describe the fundamental factors of Change Management in CBE and aid in the strengthening of the proposed framework for practicing CM. The following are the four research questions formulated for this research project:

Q1. How was CBE introduced to MoEST officials, community members and learners?
Q2. How were the fundamental variations between CBE and the formal school considered before the implementation of the programme?
Q3. Was any CM approach introduced to help manage the variations between CBE and the formal school?
Q4. How could CM concepts and techniques best be used to achieve the CBE programme objectives?

Summary
This chapter has provided a critical discussion of the definition of CM. It has also revealed current trends in education and noted some limitations in the context of CM practice in the CBE programme. An in-depth discussion of CM theories, models and frameworks has exposed the need for a framework for practicing CM in CBE based on rigorous empirical studies. Finally, four definitive research questions are formulated to address the research problem and goal charted for this study.
3.0 RESEARCH METHODOLOGY

Introduction

This chapter is a description of how the study has been conducted. It comprehensively discusses the research methodology that was chosen for this study. The adoption of the research methodology for this study is based on an in-depth discussion of various research paradigms and their underlying ontologies, epistemologies and methodologies. By analysing different research paradigms, research methodologies and research methods, the researcher validates why the case study methodology was found to be appropriate for this study. Kandadi (2006) points out that an effective paradigm and consequent methodological choice essentially differentiate the everyday haphazard observations from systematic search. He goes further to say that being explicitly aware of the research paradigms and available methodological choices is of paramount importance because they help the researcher to be specific, objective, well focused, and systematic to the extent that one could replicate the research for advancing knowledge in the given field. The author also outlines how the research has been conducted by making use of the identified research methods. This offers more insight into the research process.

3.1 Change Management Research: Problem, Goal and Questions

There is no evidence in literature to indicate that there is a general agreement on the research paradigms and methodologies in the Change Management community. Several authors suggest that the choice of the research methodology depends on the problem to be solved and the research questions to be answered (Denzin & Lincoln, 2000; Silverman, 2005; Yin, 2002). Other researchers (Miles & Huberman, 1984) affirm that knowing what you want to find out inevitably leads to the question of how you will get the information. For this reason, it is imperative that we review and look again at the research problem, the research goal and research questions because they are the foundation and basis of the preferred methodology.
In the Introductory chapter, the following was stated as the research problem (P): **How can Change Management be practiced in order to improve the Complementary Basic Education programme in Malawi?** A review of literature has revealed that CM in education is a subtle field of study in the Educational Management Literature. It has also been noted that CM concepts and theories from other fields have not really been applied in the field of education. Due to lack of a clearly defined CM strategy in Complementary Basic Education Programme, the following goal (G) was defined for this study: **To develop a clearly defined framework for practicing Change Management to improve Complementary Basic Education Programme.**

Precisely, the development of a clearly defined framework for practicing CM in CBE solves the research problem of this study. In order to develop such a framework, this study addressed the deficiencies of Change Management practice in the basic education sector.

Based on the literature review, a conceptual framework for practicing CM in CBE was developed. However, for the conceptual framework to be enhanced, the following four broad based research questions were constructed to address the identified research challenges and empirical inadequacies:

Q1. How was CBE introduced to MoEST officials, community members and learners?
Q2. How were the fundamental variations between CBE and the formal school considered before the implementation of the programme?
Q3. Was any CM approach introduced to help manage the variations between CBE and the formal school?
Q4. How could CM concepts and techniques best be used to achieve the CBE programme objectives?

Having defined the research questions, the next step was to select an appropriate paradigm. Kandadi (2006) advises that the paradigm selection process requires a thorough understanding and evaluation of the available choices against the research questions.
3.2 Research Paradigm

Fisher (1988, p. 27), in talking about the “Assertibility Question”, asks: “What argument or evidence would justify me in asserting this conclusion to be true?” This is a fundamental question in research because answering it requires the researcher’s inherent beliefs and assumptions, which shape his or her view of the world and form paradigms (Vedanthachari, 2007). It is important to be explicit about the philosophical assumptions underlying one’s research because every researcher brings to his or her research a set of interlocking philosophical assumptions and stances (Greene & Carcelli, 1997; Orlikowski & Baroudi, 1991). These assumptions are also called paradigms.

Kandadi (2006, p. 50) quotes Kuhn (1962) who adopted the term “paradigm” to refer to ‘the set of practices that define a scientific discipline during a particular period of time.’ He says that a paradigm constitutes four fundamental elements: 1) what is to be observed or scrutinized; 2) the kind of questions that are supposed to be asked and probed for answers in relation to this subject; 3) how these questions are to be asked and; 4) how the results of scientific investigations should be interpreted. This description is useful in understanding how scientific research in a given subject area is conducted and how knowledge claims gain credibility (Khazanchi & Munkvold, 2003; Kuhn, 1962; Clark & Clegg, 2000).

The understanding of paradigm has evolved since Kuhn’s usage of it. Guba (1990) defines a paradigm as a set of beliefs that guides action. Wittgenstein (1968) comments that a paradigm is a ‘worldview.’ It is however widely accepted and agreed in the scientific research community that a paradigm at philosophical level is based on three foundations, namely: Ontology, Epistemology and Methodology (Denzin and Lincoln, 2000; Hunt, 1994; Philips, 1987). These authors have described these three characteristics of a paradigm as follows:

**Ontology:** It is the most essential branch of metaphysics which is concerned
with the beliefs about physical and social reality, existence or being (Vedanthachari, 2007). The basic question that ontology asks is “What actually exists”? It seeks to provide a perfect and thorough classification of entities in all spheres of being.

**Epistemology:** It is the area of philosophical study which focuses on the study of the nature of knowledge. Epistemology attempts to differentiate true knowledge from false knowledge by asking questions about what is true and false. It provides a set of criteria to validate what constitutes valid information.

**Methodology:** It is the systematic procedure for collecting empirical information. Methodology guides the research design and data collection. A range of methodologies exist and diverse methodologies can be used for a given ontological or epistemological perspective.

Based on the above philosophical foundations, several classifications have been made regarding research paradigms. While there is an agreement on what constitutes a paradigm, there does not seem to be consensus as to its classification. Different researchers have proposed classifications ranging from two, three, to four. In other instances, researchers who propose two classifications do not agree on what those two should be. For example, while Hussey and Hussey (1997) classify them as Positivistic and Phenomenological, Fitzgerald and Howcroft (1998) classify them as Positivistic and Interpretivist. While Saunders, Lewis and Thornhill (2003) group them as Positivism, Realism and Interpretivism, Orlikowski and Baroudi (1991) suggest that they be grouped as Positivist, Interpretive and Critical Theory. While Burrell and Morgan (1979) categorize them as Radical Humanist, Radical Structuralist, Interpretive and Functionalist, Guba and Lincoln (1994) categorize them as Positivism, Post-Positivism, Critical Theory and Constructivism. However, Vedanthachari (2007) states that other researchers consider Pragmatism as another classification. Essentially, in emerging literature (Datta, 1997; Tashakkori & Teddlie, 1998) pragmatism is considered as a viable option for conducting mixed research methods. According to this study, paradigms are categorized into four categories of Positivistic, Pragmatic, Critical Theory
and Interpretivist approaches. The following sections describe these four research paradigms and evaluate their applicability to the research problem of this study.

3.2.1 Positivist Paradigm
Kandadi (2006) states that the Positivist Paradigm is based on the naïve realistic ontology and objectivist or dualist epistemology. Naïve realism is a view that the world is exactly as it appears. Neuman (1994) has defined positivist paradigm as an organised method for combining deductive logic with precise empirical observations of individual behaviour in order to discover and confirm a set of probabilistic causal laws that can be used to predict general patterns of human activity. Positivism states that only phenomena, which we can know through our senses (sight, smell, hearing, touch, taste), can really produce knowledge (Greener, 2008). This paradigm acknowledges that a reality exists independently of observers and seeks the facts or causes of social phenomena, with little regard to the subjective state of the individual (Saunders, Lewis & Thornhill 2007; Hussey and Hussey, 1997). Generally, the positivists use experimental and quantitative methods to gain knowledge (Denzin & Lincoln, 2000). Orlikowski & Baroudi (1991) recommend that the positivist paradigm is a suitable approach if there are testable hypotheses, quantified variables and the ability to draw inferences about a population from a sample of that population.

However, the application of the positivist paradigm in this study was found to be limited because Change Management deals with human behavior. The researcher, in this case does not view CBE as a separate reality that can be measured and analyzed using data and statistics to see how change was brought about; rather, he investigates the perceptions and seeks a deeper understanding of the motivation of the staff and participants in the CBE programme. Burrell and Morgan (1979) ascertain that the research inquiry in business and management area is generally subjective and is in contrast to the objective nature of the positivist inquiry. Therefore, three more approaches of Pragmatism, Critical Theory and Interpretivism were considered.
3.2.2 Pragmatism

HubPages (2012) states that pragmatism is a philosophical movement that begun during the latter decades of the 19th century by the American philosopher Charles Sanders Peirce, who argued that the validity of an idea lies in its practical consequences. Pragmatism of today has completely transformed from the original theory. Currently pragmatism is described as a deconstructive paradigm that debunks concepts such as “truth” and “reality” and focuses instead on “what works” as the truth regarding the research questions under investigation (Vedanthachari, 2007).

Essentially, pragmatists hold the view that consequences of an idea determine its meaning and that the truth of the idea can be measured by whether the consequences work satisfactorily in ordering a person's life. In pragmatism, personal satisfaction measures the truth of an idea. The theory is sometimes expressed as ‘what works is true’ (HubPages, 2012). In that regard, Tashakkori and Teddlie (1998) in talking about the pragmatic approach, suggest that as a researcher, you have to study what is of interest and of value to you. They further suggest that you have to study it in the different ways that you deem appropriate, utilize the results in ways that can bring about positive consequences within your value system.

However, the application of the pragmatic approach to this CM study was found to be limited because the CBE programme is run by people who are there to manage the change and allow it to be accepted by other people. What the educators would do by adopting available Change Management principles into the programme is not for their satisfaction alone. It is also for the satisfaction of the other stakeholders like community members, parents and learners.

This study sought to exhaustively explore the Change Management phenomenon in the CBE programme. Phenomenology generally accords with the critical theory and interpretivist paradigms (Denzin & Lincoln, 2000; Rollinger, 1999). Therefore, these two paradigms had to be considered.
3.2.3 Critical Theory

Vedanthachari (2007) reports that critical theory was developed over 70 years ago by a group of social writers in Germany at the University of Frankfurt. It is based on the fact that reality is shaped by social, political, cultural, economic, ethnic and gender values (Guba & Lincoln, 1994). The ontological and epistemological positions of the critical theory are opposite and extreme to those of positivism because they suggest that objective observation is impossible (Kandadi, 2006). Generally, critical theorists use dialogic or dialectic methodologies to gain knowledge (Denzin & Lincoln, 2000; Orlikowski & Baroudi, 1991). McLaren (2000) emphasises that Critical Theory tends to have an orientation towards investigating issues in the society and also intends to change the wrongs which emerge from the research as perceived by the researcher.

However, the usage of critical theory in a Change Management study whose goal is to construct a CM framework might be limited because this theory aims to remedy logical contradictions in existing theories (Kandadi, 2006). This Change Management study is not about making or proposing any radical changes, but rather explaining the way in which the CBE programme affairs are regulated and, as Saunders, Lewis and Thornhill (2007) say, offer suggestions on how they may be improved within the framework of the way things are done at present. Critical Theory challenges the questionable assumptions about organisations and often takes a dialectic approach (Kandadi, 2006). Therefore, the other phenomenological approach of Interpretivism was also considered.

3.2.4 Interpretivism

Interpretivism is a phenomenological approach. The interpretivist paradigm is based on relativist ontology and subjectivist epistemology (Kandadi, 2006). This is an argument that promotes the idea that subjective thought and ideas are valid in research. This idea is based on the work of Weber (1947) who described sociology as a social science which attempts the interpretive understanding of social action in order to arrive at a casual explanation of its course and effects. Kandadi (2006) emphasises that relativists suggest that reality is not something that exists outside the observer but rather is determined or constructed by the experiences, social background and other factors of
the observer. Based on this assumption, the interpretivist paradigm is sometimes referred to as “constructivism” (Denzin & Lincoln, 2000).

Kandadi (2006) informs that there are similarities between Critical Theory and Interpretive research paradigms because they both include the epistemological notion that objective observation is not possible. This makes it difficult to differentiate these two paradigms. However, some research methodology literature has suggested that Critical Theory is more theory oriented than interpretivism (Klein, 1999). Khazanchi and Munkvold (2003) state that whereas Critical Theory is of transformative nature, implying a focus on changing social and economic circumstances, Interpretivist research can be regarded more 'neutral' and descriptive in this sense.

The Interpretivist paradigm has offered many avenues for answering the research questions for this study. This study is about the exhaustive exploration of the usage of Change Management and the applicability of its principles in the CBE programme. In these circumstances, Rollinger (1999) suggests the phenomenological paradigms, like Interpretivism as effective alternatives. In this study, the CBE programme has been looked at through the eyes of other people, thus allowing social members’ definition of a situation and multiple perspectives of reality rather than the ‘one reality’ of positivism (Greener, 2008; Schwandt, 1994).

Klien and Myers (1999) suggest that interpretive research does not predefine dependent or independent values but focuses on the full complexity of human sense making as the situation emerges. By understanding the motivations of the staff involved in CBE, and why they did things the way they did, the researcher perceived if Change Management concepts and techniques were used and whether they can be helpful in the future running of the programme. In this regard, Mittman (2001) notes that qualitative research with its emphasis on understanding complex, interrelated and/or changing phenomena is particularly relevant to the challenges of conducting management research. This research is about Change Management which involves a high degree of management aspects. As such, the use of qualitative methods for data collection and analysis is very relevant in the context of this research study.
Literature has revealed that the Interpretivist paradigm is a theory that helps in the building of a second order theory (Schutz, 1973). This helps in the fulfillment of the objective of this study, which is to develop a clearly defined framework for practicing CM to improve Complementary Basic Education Programme. Therefore, the interpretive paradigm was adopted to answer the derived research questions and to develop the proposed framework. The next section will explicate the determination of the appropriate research methodology.

### 3.3 Determination of a research method

Taylor and Bogdan (1998) state that the term research method refers to the way in which we approach problems and seek answers. This is a tactic chosen based on the researchers’ objective. In research, the objective could either be discovering new truth based on the investigator’s hypothesis or to explore and unpick peoples multiple perspectives in natural field settings (Watts, 1985; Gray, 2004). Scientists agree that there are three approaches to methodology, namely: quantitative, qualitative and mixed (Bryman, 2008; Cronholm & Hjalmarsson, 2011).

#### 3.3.1 Mixed Method Research

Vedanthachari (2007) argues that mixed methods are the contemporary approach to solving real world problems in academic research. The mixed method design is the incorporation of various qualitative or quantitative strategies within a single project which may have either a qualitative or quantitative theoretical drive (Morse, 2003). Researchers, (Denzin, 1978; Jick, 1979; Greener, 2008) have publicised the advantages of solving a research problem using mixed research. Purposes necessitating mixed methods may be corroboration, expansion or initiation (Rossman & Wilson, 1985; Greene, Caracelli and Graham, 1989). Vedanthachari (2007) further says that by examining the research problem using various methodologies, a comprehensive understanding of the phenomenon being studied can be developed and the weakness associated with the methodologies can be strengthened. Mixed research studies can withstand opposition because of the usage of more than one methodology.
for gathering data, thereby allowing the research problem to be examined from multiple perspectives (Robey, 1996; Mark, Feller & Button, 1997).

Creswell (1995, p.177) has defined four mixed method designs as follows:

**Sequential Studies:** The researcher first conducts a qualitative phase of study and follows it with a quantitative one or vice versa.

**Parallel/ Simultaneous Studies:** The researcher conducts qualitative and quantitative studies at the same time.

**Equivalent status designs:** In this study both qualitative and quantitative studies are given equal importance.

**Dominant – Less Dominant Studies:** The researcher conducts the study ‘within a single dominant paradigm with a small component of the overall study drawn from an alternative design.

The mixed method approach was found to be inappropriate for this study. Being an interpretive study, its epistemological and ontological stances do not favour a mixed method approach (Onwuegbuzie & Leech, 2005). Bryman (2007) further says that the ontological divide is more problematic in interpretive approaches.

### 3.3.2 Quantitative Research

Vedanthachari (2007) highlights that the main aim of quantitative research is to determine the relationship between one thing (an independent variable), and another (a dependent or outcome variable) in a population. Quantitative research designs are usually objective (subjects usually measured once), or experimental (subjects measured before and after treatment) (Hopkins, 2000). The researcher uses mathematical and statistical methods to evaluate the results. These research results, which are given in numerical values, can be generalised (Onwuegbuzie & Leech, 2005; Vedanthachari, 2007).

Bazeley (2002) argues that interpretation is possible even when one uses numbers. However, a quantitative research was also found to be inappropriate for this study.
because the perceptions and opinions of people in the CBE programme needed to be assessed in order to fulfill the objectives of this study.

### 3.3.3 Qualitative Research

Maanen (1983) describes qualitative research as an array of interpretive techniques which seek to describe, decode, translate and otherwise come to terms with the meaning, not the frequency, of certain more or less naturally occurring phenomena in the social world. Data collected through this method are textual in nature and their findings are difficult to generalize (Hammersley, 1992; Kuzel, 1992; Onwuegbuzie, 2003). White (2002) confirms that qualitative data is based on meanings expressed in words, and its analysis is conducted through the use of descriptions and the identification of concepts.

Given the research objectives of this study, a qualitative research was found to be appropriate. As such the qualitative approach was adopted for this study. Interpretive studies require an in-depth understanding. Being a study that is happening in an education programme, all participants such as education managers, learners and parents were involved (Patton, 2002). Denzin and Lincoln (1994) affirm that qualitative research focuses on interpretation of phenomena based on peoples experience and meanings they bring to a setting. The goal and objectives of this study required a rigorous examination of the CBE programme in Malawi, which is possible when more subjects are involved (Pope & Mays, 1995; Denzin, 1989).

In the final analysis, methodology must be judged by how well it informs research purposes, more than how well it matches a set of conventions (Howe & Eisenhardt, 1990). Howe and Eisenhardt (1990) further state that the following 3 questions are important in determining an appropriate research method:

- Do the methods chosen provide data which can answer the question?
- Are the background assumptions coherent?
- Are the methods applied well enough that the results are credible?

In case of this study, the answer to all these questions is YES and that makes the qualitative research approach appropriate for this study.
3.4 Methodology

Having settled for the qualitative research path, an appropriate methodology for data collection needed to be selected. There are many suggested methodologies for an interpretive enquiry. These suggestions include Action Research (Rapoport, 1970; Clark, 1972), Ethnography (Lewis, 1985), Life History (Hatch & Wisniewski, 1995), Testimonial (Beverley, 2000), Clinical Model (McWhinney, 1989; Miller & Crabtree, 1999), Grounded Theory (Glaser & Strauss, 1967; Strauss & Corbin, 1998) and Case Study (Stake, 2000; Yin, 2002).

From the suggestions above, the following are the methodologies that can accommodate the preferred method for this particular study: Action Research (Lewin, 1946), Ethnography (Gray, 2004), Grounded Theory (Strauss & Corbin, 1998), and Case Studies (Yin, 2003). These four methodologies were considered for this CM study because they could all be used to answer the research problem and meet the research objectives. However, when the researcher looked at the questions specific for this research, there was need to pick a methodology that has the ability required to answer them well (LeCompte & Preissle, 1993). The following sections therefore are an evaluation of these four methodologies. The methodologies have been evaluated against the goal and research questions in order to select an appropriate methodology.

3.4.1 Action Research

The term ‘Action Research’ was coined by Kurt Lewin who saw the process of enquiry as forming a cycle of planning, acting, observing and reflecting (Lewin, 1947). Coghlan and Bramnick (2001) state that Action Research is an approach, which focuses on simultaneous action and research in a participative manner. Vedanthachari (2007) emphasises that in an Action Research project, the researcher enters a situation, identifies the problem areas, suggest solutions for overcoming the problems and monitoring the results. The goal for this study is to develop a framework for practicing Change Management to improve CBE. Because Action Research is a valuable alternative to achieving such a goal, a close examination of the underlying assumptions and processes of Action Research was needed to assess its suitability for this study.
Kaplan (1998) points out that action research engages the researcher in an explicit programme to develop new solutions that alter existing practice and then test the feasibility and properties of the innovation. Blum (1955) calls this a two staged process of first diagnosing and second providing therapy. Basically, the researcher will not only compile findings or construct theories from the data collected, but will go a step further to test those theories to see how they are working. From this process, new knowledge is generated. To be accomplished, a research of that magnitude will require a much more considerable time than that of a PhD study. This current study needed to be completed within a given time span. The expectation that the supporters of this study have, makes it difficult to convince them to wait for a long time before the results could be presented.

The literature review revealed that there are other programmes that deal with non-school attendance just like what the CBE programme in Malawi does. This means that there is a possibility for some findings of this study to be applied to other programmes that deal with non-school attendance. However, Action Research does not have good grounds for that application (Kandadi, 2006). This view is also supported by Scholl (2004) who notes that Action Research is situational i.e. repetition of the process would not deliver identical results. Therefore, time span requirements and the lack of application mechanisms to other similar programmes render action research incompatible with this study.

3.4.2 Ethnography

Ethnography originated from anthropology and is the process and product of describing and interpreting cultural behaviour (Schwandt, 1997). Researchers (Creswell, 1998; Goffman, 1989) describe Ethnography as a research methodology in which the researcher studies an intact cultural group in its natural setting over a prolonged period of time by primarily collecting observational data. McPherson and Byerly (2009) comment that some may approach an ethnography as a way to acknowledge historical connections with different cultural groups, regardless of current recognition as
“traditionally associated.” To conduct an Ethnographic study, the researcher is required to live with the subjects so that the observational data can be collected.

Kandadi (2006) suggests that the Ethnography research strategy involves exhaustive study. Because of the exhaustive study involved, this strategy could be an alternative in this research, hence the need for assessing its suitability for this study. To gain in-depth understanding, an Ethnographer needs to spend a significant amount of time studying one organisation or one culture (Bryman, 2004; Lewis, 1985; Myers, 1999). Studying Change Management practices through this route would then involve a close observation of the social and political culture in which the CBE programme operated in. Studying and observing political culture might be sensitive to the outside world. The other factor is that the CBE programme is implemented in different geographical locations and gaining an in-depth understanding in these diverse geographical locations is needed. Given the time limitations attached to this study, this is impractical.

Furthermore, Vedanthachari, (2007) recommends that to adopt an Ethnography research strategy, the researcher should either work in an organisation as an employee or overtly observe the activities of the organisation. This recommendation caused Ethnography to be inappropriate because the researcher does not associate with the CBE programme in that way. Therefore, social and political sensitivity, time span requirements and researcher presence in the organisation being researched render Ethnography incompatible with this study. Another advantage of not using Ethnography is that bias is avoided. It is difficult to avoid bias while using the Ethnographic route because there are possibilities for the researcher to get influenced due the length of time spent within an organisation. Gray (2004) contends that researchers should view data from an analytical perspective and avoid bias as much as possible.

3.4.3 Grounded Theory
Grounded Theory has become known as an approach that promotes the idea that theory should be developed from data. This methodology was first articulated and elaborated by Glaser and Strauss (1965; 1967 & 1968). The centrepiece of a Grounded Theory approach is the development or generation of a theory closely related to the
context of the phenomenon being studied (Creswell, 1998). Vedanthachari (2007) states that in Grounded Theory, data is first collected through an inductive approach and then a deductive approach is used which eliminates unwanted data, thus leading to the generation of concepts and theories. Silverman (2006) summarizes the overall features of grounded theory into three stages:

1. An initial attempt to develop categories which illuminate the data.
2. An attempt to ‘saturate’ these categories with many appropriate cases in order to demonstrate their importance.
3. Developing these categories into more general analytic frameworks with relevance outside the setting

Here a category represents a unit of information composed of events, happenings and instances.

Kandadi (2006) states that the application of Grounded Theory is recommended in situations where the researcher has few predetermined ideas and that this research strategy is of greatest value when the researcher has little knowledge of the subject field of qualitative enquiry. Because of the deductive approach involved, this strategy could be an alternative in this research, hence the need to assess its suitability for this study. This particular study does not start out with an inductive approach, like Grounded Theory, but rather, with a deductive approach, because the implicit theories stated in the literature review present the basis of explanation, and where necessary, the theories are modified in light of the findings (Collis & Hussey, 2003; Robson, 2002). Grounded Theory has been criticized for its failure to acknowledge implicit theories, which guide the work at an early stage (Bryman, 1988; Silverman, 2005). Goldthorpe, (2000) agrees with this fact and states that Grounded Theory has “extreme inductivism.” Mjoset (2005) states that this allows successive modifications of the hypotheses formulated at the start of the process of empirical research.

Another limitation of Grounded Theory to this study is that it is difficult to collect data and saturate all categories of Change Management, because it is such a broad area of study. Creswell (1998) supports this argument when he states that the Grounded
Theory researcher faces the difficulty of determining when categories are saturated or when the theory is sufficiently detailed. Furthermore, Grounded Theory advocates the ignoring of previous knowledge so that the analytic and substantive theory can emerge (Creswell 1998). This also makes the Grounded Theory approach to be limited because this researcher has already isolated Change Management theories that can be applied to the education system in the literature review. In addition to that, the researcher has got substantial knowledge of the CBE programme as it has been implemented in Malawi since 2006. Therefore, the use of the inductive approach, the saturation of categories in data collection and the ignoring of previous knowledge of the subject field render grounded theory incompatible with this study. However, although Grounded Theory is incompatible with this study, the coding for process step of Grounded Theory has been used in the development the CM framework for CBE. Coding for process has enabled the researcher to present Change Management in CBE as a process. Data analysis approaches of Grounded Theory have been acknowledged to provide some valuable input (Hussey & Hussey, 1997; Gray, 2004).

3.4.4 Case Study

Scientists have looked at Case Study differently. Others consider the case as an object of study (Stake, 1995), while others consider it as an absolute research methodology (Merriam, 1998; Stoecker, 1991; Yin, 1994). Here, the author treats Case Study as a research methodology in order to explore the possibility of adopting it for use in this study.

Yin (1993) defines Case Study as an empirical inquiry which investigates a contemporary phenomenon within its real-life context, especially when the boundaries between phenomenon and context are not clearly evident. There is uncertainty between Change Management practice and organisational factors (Conger & Kanungo, 1988). This uncertainty demonstrates the appropriateness of the Case Study approach to the current study.
A number of studies (Hamel, 1993; Perry & Kraemer, 1986; Yin, 2002) indicate that the Case Study methodology has increasingly been used as a research tool in social sciences and is often advocated as a suitable method in organisational and management studies. The study at hand has been done in the context of the organisations that implemented the CBE programme. This causes the study to be an organisational study. Being a Change Management study makes it a management study. These reasons qualify Case Study as the appropriate approach for this current study. Moreover, Case Study is a flexible method in terms of the underlying philosophical assumptions and can prove invaluable in adding to understanding, extending experience and increasing conviction about a subject (Yin, 2002; Stake, 2000). Yin (2003) has further says that the Case Study is often the preferred methodology when “how” or “why” questions are being asked or when the researcher has little control over events. All these characteristics indicate that Case Study serves as a valuable alternative for this study, therefore, the methodology needed to be explored deeper to evaluate its suitability to this research context.

The following paragraphs outline characteristics that indicate the relevance of the Case Study methodology to this study and context:

R1. Yin (1993) states that the Case Study methodology research aims not only to explore certain phenomena, but to understand them within a particular context. The study is on Change Management, within the context of the CBE programme as it operated in Malawi from 2006 – 2011.

R2. Saunders, Lewis and Thornhill (2007) state that a Case Study strategy can be a very worthwhile way of exploring theory. This research starts out with a deductive approach as it evaluates three Change Management theories; the change freeze model, the Prosci ADKAR model and the Kotters eight step strategy. These theories present the basis of explanation and, where necessary, the theories have been modified in light of the findings (Collis & Hussey, 2003, Robson, 2002).
R3. The Case Study approach relies on multiple sources of evidence (Creswell, 1998; Yin, 2002). Sources of evidence to answer the research questions to this study have come from interviews, questionnaires, reports and documents.

R4. The fact that the Case Study methodology is preferred when, “how” or “why” questions are being asked (Yin, 2003), makes it ideal to respond to the research problem: How can Change Management be practiced in order to improve the Complementary Basic Education programme in Malawi?

R5. The Case Study strategy is used when the researcher has little control over the events being studied (Yin, 2004). MoEST and organisations implementing CBE were convinced to participate in this study because the researcher did not need to gain control over them.

R6. Various researchers (Morris & Wood, 1991; Alavi & Carlson, 1992; Benbasat et al., 1987; Eisenhardt, 1989) agree that the Case Study approach is often used in conditions where several elements and multiple dimensions of a subject need to be studied exhaustively. In this study, several interrelationships have been studied in order to develop the framework for practicing CM. The Case Study methodology therefore helps to achieving the overall aim of conducting an in-depth review of the CBE programme in Malawi, with the intention of addressing a perceived lack of knowledge of adopting CM concepts and techniques.

R7. Schramm (1971) points out that the case study approach illuminates a decision or set of decisions; why they were taken, how they were implemented and what were the results. In order to answer the research questions, this research needed to explore and describe Change Management techniques and concepts that have been used in the CBE programme.

Characteristics R1-R7 above indicate the appropriateness of the Case Study methodology to this study. However, the methodology also has got some limitations. The following paragraphs outline some of the limitations and what the remedies in this study have been:

1. The Case Study methodology has limitations in generalizing findings (Glesne & Peshkin, 1992; Kennedy, 1976). To improve the validity and generalization,
multiple sources of evidence have been collected to demonstrate the convergence of data from all sources (Vendanthachari, 69). The study results have been analysed using Content Analysis and Grounded Theory techniques.

2. The other limitation is in relation to bias. Yin (2004) argues that bias occurs more frequently in Case Study research. However, some studies, (Hoaglin, 1982; Yin, 1994) have shown that these issues are common in any other research method and can be addressed by adopting stringent protocols for the research design and analysis.

3. Another limitation, though minor, is that the massive amount of data generated as well as the time taken to analyse the information can lead to selectivity (Galliers, 1991). In the case of this study, the reason for collecting massive amounts of data has been to reach a degree of triangulation and so the stringent protocols assure that no piece of data was is out. Saunders, Lewis & Thornhill (2007) encourage that it is important to ensure that data are telling you what you think they are telling you.

This thorough evaluation of the Case Study methodology reveals its suitability to this research study and why it has been adopted for conducting this research study.

**Types of Case Study Methodology:** Yin (1994) proposes four main types of case study designs, which can be selected on the basis of particular sets of conditions. The types are:

- **Single Case Study holistic** - In this type of study, only a single case is examined in a holistic manner. Vendanthachari (2007) states that this type of study is more suitable when the case under consideration is rare or an extreme case.

- **Single Case Study embedded** - Within a single case study, multiple units of analysis can be used.

- **Multiple Case Study holistic** - In this scenario each case study would be considered as one unit of analysis.
- **Multiple Case Study embedded** – In this scenario, there would be more than one unit of analysis for each case.

Considering these four types within the Case Study strategy, the Single Case Study holistic was adopted because the study looks at CBE as a single programme that was implemented in Malawi from 2006 to 2011. This is done with the intention of getting a snapshot of the variables within this time frame in the programme (Shukla, 2008). The CBE programme is a rare and extreme case in Malawi because at the time of the study, there is nothing like it in Malawi (Vendanthachari, 2007).

### 3.5 Research Design

Yin (2003) states that a research design is the logic linking the data to be collected and the conclusions to be drawn, to the initial questions of study. A research design provides a framework for the collection and analysis of data (Bryman, 2004). Philliber et al. (1980) support this description by calling research design a blueprint of research detailing at least four problems: What questions to study? What data is relevant? What data to collect? How to analyse the results? Yin (2004) simplifies research design by calling it an action plan for getting from here to there – ‘here’ is an initial set of questions and ‘there’ is defined as conclusions.

Having provided a rationale for choosing the Case Study methodology as outlined in the previous section, the next task was to develop an appropriate research design, fitting the Case Study methodology. The appropriate research design addresses the research problem and arrives at the conclusions. Yin (2003) proposes that the case study methodology has five core components:

1. A study’s Questions
2. A study’s propositions if any
3. A study’s units of analysis
4. The logic linking the data to the propositions (data collection) and
5. The criteria for interpreting the findings (data analysis)

The paragraphs below examine the above components in relation to this study:
3.5.1 Study Questions
This component demands for the development of the study questions and this was addressed in Chapter 1. There, the research problem and 4 questions have been derived as follows:

Research Problem (P): How can Change Management be practiced in order to improve Complementary Basic Education programme in Malawi?

Research Questions:
Q1. How was CBE introduced to MoEST officials, community members and learners?
Q2. How were the fundamental variations between CBE and the formal school considered before the implementation of the programme?
Q3. Was any CM approach introduced to help manage the variations between CBE and the formal school?
Q4. How could CM concepts and techniques best be used to achieve the CBE programme objectives?

3.5.2 Study Propositions
Kandadi (2006) points out that this component calls for the development of hypothetical propositions for the proposed study. However, Denzin and Lincoln (2000) argue that the development of a priori theory or hypothesis is a characteristic of the positivist research design. A priori theory development is not what this study is about. Although a priori theory development is not what this current study is about, it still has an underlying principle. Yin (2003) promotes the fact that instead of propositions, the design of an explorative study should state a purpose as well as criteria by which it will be judged successful. In this case, therefore, the research problem, goal, objectives and questions that were already recognised for this study have directed the inquiry (Kandadi, 2006). Additionally, the proposed conceptual framework for practicing CM in CBE developed in the literature review section has guided this study.
3.5.3 Study’s Units of Analysis

Our unit of analysis under the single case study holistic approach is the CBE programme itself as it operated from 2006 to 2011. Kandadi (2006) highlights that case or sample selection is an important aspect of the research design that directly determines the quality and relevance of the empirical data to be collected and ultimately shapes conclusions. Yin (1994) notes that the selection of appropriate units of analysis results from the accurate specification of the primary research questions. The research questions for this study require that the CBE programme gets studied and examined at a holistic level because it is one programme.

3.5.3.1 Sampling

The multi stage sampling method has been used to first purposively select the unit of analysis and then the employing of various methods to select the actual subjects within the unit. The CBE programme is the unit of analysis selected purposively. Several authors (Stake, 2000; Miles & Huberman, 1994; Yin, 2003) suggest purposive sampling for case study research in order to build variety and intensity. Researchers doing purposive sampling are supposed to choose units of research based on the characteristics that are relevant and important to the evaluation (Smith, 1983; Patton, 1990; Yin, 2002). Based on the problem, goal and questions for this research study, the following criteria were defined for the CBE programme:

1. It is the only CBE programme that Malawi has known.
2. The staff employed at supervisor level in the programme between 2006 and 2011 are key respondents in this study.
3. The programme operated in more than 1 geographical location (district) within the stated period. This is important because the experiences of different people in different locations helps to strengthen the framework for practicing CM.

The criteria above formed the basis for sticking to the CBE programme as a single case holistic.
The various sampling methods used to identify subjects in the different categories so that the multi-stage sampling method is completed have been explained in the data sources section (page 98) ahead.

3.5.3.2 Timeframe

The study is cross-sectional because it looked at 2006 to 2011 as a specific block of time in the CBE programme. The study took this point in time approach and the CBE programme has been looked at from the perspectives of more than one person (Greener, 2008). This has not been done with the intention of monitoring changes over time, for that is what longitudinal studies are about, but has been done with the intention of getting a snapshot of the variables within this time frame in the programme (Shukla, 2008). Saunders, Lewis and Thornhill (2007) agree that many case studies are based on interviews conducted from a short period of time.

3.5.4 Data collection

Employing rigorous data collection procedures like the collection of data from multiple sources is one characteristic of a good qualitative study (Creswell, 1998; Silverman, 2005; Yin, 2003). Stake (2000) notes that the qualitative researcher employs various procedures to reduce the likelihood of misinterpretation. Kandadi (2006) states that these procedures are generally called 'data triangulation.' Denzin (1970) defines triangulation as a combination of methodologies in the study of the same phenomenon. In this study, a combination of data sources have been used to collect the empirical material.

3.5.4.1 Data Collection Methods

Yin (2003) suggests that there are broadly six main sources of case study data. He further says that each of the sources has strengths and weaknesses. The table below is a summary of these methods:
Table 5: Sources of case study data - Strengths and Weaknesses

<table>
<thead>
<tr>
<th>Source of Data</th>
<th>Strengths</th>
<th>Weaknesses</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Documentation</td>
<td>Stable – can be reviewed repeatedly</td>
<td>Retrievability – Can be low</td>
</tr>
<tr>
<td></td>
<td>Unobtrusive – not created as a result of the case study</td>
<td>Biased selectivity, if collection is incomplete</td>
</tr>
<tr>
<td></td>
<td>Exact – Contains exact names, references, and details of an event</td>
<td>Reporting bias – reflects (unknown) bias of author</td>
</tr>
<tr>
<td></td>
<td>Broad coverage – long span of time, many events and many settings</td>
<td>Access – May be deliberately blocked</td>
</tr>
<tr>
<td>2 Archival Records</td>
<td>Precise and Quantitative</td>
<td>Accessibility due to privacy Reasons</td>
</tr>
<tr>
<td></td>
<td>(Same as above for Documentation)</td>
<td>(Same as above for Documentation)</td>
</tr>
<tr>
<td>3 Interviews</td>
<td>Targeted – focuses directly on case study topic</td>
<td>Bias due to poorly constructed questions</td>
</tr>
<tr>
<td></td>
<td>Insightful – Provides perceived causal inferences</td>
<td>Response bias - Inaccuracies due to poor recall</td>
</tr>
<tr>
<td></td>
<td>Reflexivity – Interviewee gives what the interviewer wants to hear</td>
<td></td>
</tr>
<tr>
<td>4 Direct Observation</td>
<td>Reality – Covers events in real time</td>
<td>Time consuming – Selectivity, unless broad coverage</td>
</tr>
<tr>
<td></td>
<td>Contextual – Covers context in event</td>
<td>Reflexivity- event may proceed differently because it is being observed</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Cost – hours needed by human observers</td>
</tr>
<tr>
<td>5 Participant</td>
<td>(Same as above for direct observation)</td>
<td>(Same as above for direct observations)</td>
</tr>
<tr>
<td>Observation</td>
<td>Insightful into interpersonal behaviour and motives</td>
<td>Bias due to investigator’s manipulation of events</td>
</tr>
<tr>
<td>6 Physical Artefacts</td>
<td>Insightful into cultural features</td>
<td>Selectivity</td>
</tr>
<tr>
<td></td>
<td>Insightful into technical Operations</td>
<td>Availability</td>
</tr>
</tbody>
</table>

Source: Yin (2003, p. 86)

Interviews are the main method of data collection for this study. These have been based on structured, semi structured and group interview instruments respectively developed through a literature review. The interview method has been preferred in this study so that the objective of exploring various factors requiring Change Management in CBE can be achieved. Silverman (1985) remarks that interview data displays realities which are neither biased nor accurate, but simply ‘real’. The interview method has been used to seek and describe meanings of central themes in the real world of the subjects.
(Kvale, 1996). The questionnaires for both semi structured interviews and group interviews were designed to allow respondents describe the content within boundaries of this study’s research questions.

To obtain an in-depth view of the Change Management practice in CBE, various internal documents of the CBE programme have been studied exhaustively. Yin (2003) states that document review facilitates the collection of data that contains exact names, references, and details of an event.

3.5.4.2 Data Sources

The table below summarises the data sources for this study. A discussion of the same follows immediately after.

Table 6: Data Sources

<table>
<thead>
<tr>
<th>DATA SOURCE</th>
<th>Individuals</th>
<th>Documents</th>
</tr>
</thead>
<tbody>
<tr>
<td>INTERVIEW FORMAT</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Individual (Key informants)</td>
<td>Group Interviews (FGD)</td>
<td>Reports and Sector plans</td>
</tr>
<tr>
<td>CADRE OF RESPONDENT</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Managers/ Policy level</td>
<td>Supervisors</td>
<td>LCMC Members</td>
</tr>
<tr>
<td>DESCRIPTION</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Technical Supervisor</td>
<td>2 senior supervisors</td>
<td>Traditional leaders</td>
</tr>
<tr>
<td>CBE Coordinator</td>
<td>6 ordinary supervisors</td>
<td>Parents</td>
</tr>
<tr>
<td>Service Provider Rep.</td>
<td></td>
<td>Ordinary community members</td>
</tr>
<tr>
<td>MIE Rep.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>TOOL</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Unstructured guide</td>
<td>Structured guide</td>
<td>FGD guide</td>
</tr>
<tr>
<td>NUMBERS</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>8</td>
<td>90</td>
</tr>
<tr>
<td>TOTAL SUBJECTS</td>
<td></td>
<td></td>
</tr>
<tr>
<td>222</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

(Source: Author)
A discussion on the data sources and the data collection process:

A. Individuals

Data collection from individuals took 6 months to complete because appointments had to be booked and respondents met in their various locations.

There were two categories of individual interviews, namely key informant interviews and Focus Group Discussions.

i. KEY INFORMANT INTERVIEWS:

The key informant category had a total of 12 respondents divided into two groups. The first group of 4 respondents are at management/policy level and were interviewed using a semi-structured guide. The second group of 8 respondents are at supervisor level and were interviewed using a structured guide. All these 12 respondents were sampled purposively because they are the ones who held the positions during the stated period in the programme.

Management/Policy Level respondents: The interviewees in the semi-structured category were Ministry of Education Officials. These were interviewed using a list of questions, which could be varied, modified or extended during the interview (Berker, 1991; Bogdan & Biklen, 2006). This was done with the intent of exploring various factors that would require Change Management because this category of respondents is at policy maker level. This category was interviewed using semi-structured questionnaires because their roles provided the researcher a chance to come up with questions that would be asked to other respondents in the study. The Ministry of Education officials were:

1. CBE Technical Advisor: He is responsible for developing the strategy of CBE. This interviewee links MoEST, Service Providers and the Donor community in the implementation of the CBE programme. He also advocates for the incorporation of CBE strategies in the National Education Sector Plan (NESP). His role in this study is key because it reveals how CM principles have been considered at strategy level. He was
the first to be interviewed. The interview, which took place at the Ministry of Education Offices lasted for about an hour.

2. **CBE Coordinator:** He is responsible for coordinating the CBE programme at MoEST level. This interviewee is responsible for championing, reinforcing and monitoring the implementation of CBE by service providers. He was interviewed at the MoEST headquarters and the interview lasted for about 45 minutes. His role is important in the study because it helps reveal how change has been championed at different levels of the programmes implementation.

3. **Representative of Service providers in MoEST:** This interviewee links MoEST and service providers in the implementation of the CBE programme. She relays issues happening at implementation level to MoEST. She was also interviewed at the MoEST headquarters, where she is based and the interview lasted for about 1 hour and 10 minutes. This role is important in the study because it helps to analyse how communication and feedback giving have been used to manage change in CBE.

4. **Representative from the Malawi Institute of Education:** This interviewee is part of the team that develops the curriculum for the CBE programme. This interview took place at the Malawi Institute of Education Offices and lasted for about 30 minutes. Her role is critical in this study because it enlightens whether the CBE curriculum development process has considered any CM principles.

**Supervisor level respondents:** The second group of 8 respondents were interviewed using a structured guide. These 8 are CBE supervisors who were interviewed in the districts where CBE was piloted. The 8 supervisors are the ones who were supervising the programme in the districts. These were interviewed using a structured questionnaire developed from an enhanced structured questionnaire and literature review so that they respond to exactly the same questions. These interviews alone took about a month because this category of respondents had to be interviewed in their respective geographical locations (CBE Zones). Since these individuals are at the
same level in the management of the programme, their responses have provided grounds for comparison even between the two geographical locations.

ii. **FOCUS GROUP DISCUSSIONS:**

The focus group discussions category had a total of 14 Group interviews (Focus Group Discussions) which were conducted with the following cadres as separate groups:

1. LCMC members (Chiefs and Parents)
2. Facilitators and
3. Learners.

The reason for conducting FGDs with separate groups was to ensure representativeness (Powell, 1999). Although they are community based, the facilitators had their separate FGDs because they are employees in the programme and have different experiences from the LCMC members who are volunteers. Learners had their separate FGDs because, being young, they culturally could not be free to speak if combined with elders.

**LCMC members:** The LCMC is a 10 member committee comprising parents, traditional leaders and other community members. Every CBE learning centre has 1 LCMC. The CBE phase under study was organized into 6 zones, with every zone having 15 learning centres. This means that there were 15 LCMCs at the researcher’s disposal. To ensure representation, the researcher designed a zonal level LCMC as a 15 member focus group. Every centre in a zone contributed 1 LCMC member to this zonal level LCMC Focus Group (LCMCFG). Through purposive sampling, the 15 spots at this zonal level LCMC were distributed evenly among parents, traditional leaders and community members from the 15 centres in a particular zone. This translated to 6 LCMC Focus Group discussions with the members.

**Facilitators:** In this study, 2 focus groups for Facilitators were interviewed. In the CBE programme, 1 learning centre has 1 facilitator. With 6 CBE zones, there were 90 facilitators at the researcher’s disposal. However, all facilitators in CBE are at the same level, they get the same trainings, and work under the same conditions. Therefore, the
6 zones were divided into two groups, A and B. Both groups had 3 zones each. Through snowballing 15 facilitators were identified from group A and group B respectively to form Facilitator Focus Groups (FFG). This translated into 2 facilitator Focus Group discussions.

**Learners:** The Focus Groups for learners comprised 1 learner from each centre. Every one of the 6 zones had 1 Learner Focus Group (LFG). Through purposive sampling, 1 learner from every learning centre in given zone was identified to form part of that zone’s Focus Group. This translated into 6, 15 member Learner Focus Groups with representation from every learning centre in the programme.

The time span for each of the interviews ranged from two to four hours according to the schedules of the respondents. All interviews were conducted in the respondents’ natural setting. Although the intention was to have all interviews recorded with the prior permission of the respondents, other respondents refused to be recorded. During and after every interview, however, notes were made to describe important observations that are relevant to the research questions (Creswell, 1998).

The data collection process was continually improved. Kandadi (2006) emphasises the importance of frequently coding empirical materials collected during each interview to improve the data collection process and its products. Crawfold et al. (2004) point out that data collection and analysis should be an interwoven process.

**B. Documents**

Documents, however, were consulted throughout the course of the study.

Kandadi (2006) states that internal documents may include strategy documents, white papers, best practices, presentations, and previous research papers. For this study, reports and Education Sector plans were added to the list. This has helped to understand and analyse the CM foundations in the CBE programme. Specifically, programme reports from Service Providers, MoEST reports on CBE (Needs Synthesis and Evaluation planning), MoEST National Education Sector Plans (2009-2013 and...
2008-2017 respectively), Presentations and CBE implementation guidelines (2011) have been consulted.

### 3.5.4.3 Quality of data collected in case studies

Yin (2003) declares that there are no standard data collection procedures for case studies. He however highlights three aspects that must be followed for the improvement of data in case studies. The aspects are:

- Desired skills of a researcher
- Case study protocol, and
- Pilot study

The following sections expand a little on these protocols.

#### i) Desired skills of a researcher

Yin (2003) outlines required skills of a researcher interested in conducting case studies as follows:

- Ask good questions
- Be a good listener and not trapped by your own ideologies or preconceptions
- Have a firm grasp of the issues being studied
- Be flexible and adaptive so that new situations encountered can be looked at as opportunities and not threats
- Should be sensitive and responsive to contradictory evidence

In the present context, the author has conducted this case study research efficiently because of his experience in conducting case study research from previous assignments. The author also went through refresher data collection and research method courses during the course of this study.

Reflexivity and inaccuracies due to poor recall have been avoided by the following:
- After explaining the research questions to the interviewees, they were given adequate time to prepare and get ready for the subsequent conversation.
- The questions were asked in such a way that the interviewee does not get influenced by the researcher.

ii) Case study protocol

Continuous analysis was done to ensure that quality data is collected. Silverman (2005) encourages the transcribing of the interviews even if the researcher has only one interview. He notes that analysis should not only happen after the data has been safely gathered because data has to be studied as it emerges (Charmaz, 2000). Therefore, the author introduced these systematic reviews in the design to enhance the data collection process of this study:

1. The data was coded and reviewed after each interview
2. Researcher transcribed recordings
3. The semi structured questionnaire were enhanced after each interview
4. After completing the semi structured interviews, all the data was reviewed as a whole and an enhanced structured questionnaire to be used for interviewing the supervisors was developed from this process.

iii) Pilot Study

Vendanthachari (2007) states that pilot studies are the studies that are conducted at the beginning of the investigation. He further says that generally pilot studies are conducted with a broad range of objectives and at the end of the study further refinement could be made in the data collection process. Usually pilot studies are conducted in an organisation where the researcher has developed a good relationship or in an organisation which can provide a reasonable level of access (Powell & Herman, 2000).

Since the CBE programme is the only one in Malawi, there was no opportunity to conduct a pilot study. However, the questionnaires were pre-tested on other CBE staff.
that have an in-depth understanding of the programme. After the pre-testing, the guides were enhanced before being used on the sample as described in the earlier sections.

3.5.5 Data analysis: Content Analysis (first 3 steps) and Grounded Theory (step 4)

Kandadi (2006) points out that data analysis in the case study methodology comprises the ‘fourth and fifth’ components of the research design i.e. linking data to propositions and criteria for interpreting findings. Although social science researchers argue that there are no clear and accepted set of conventions to analyse qualitative data, they suggest non quantifying methods for analysing qualitative data in interpretive studies (Hussey & Hussey, 1997; Yin, 2004). Some quantifying methods commonly used are the General Analytical Procedure, Cognitive Mapping, Data Displays, Quasi-judicial Method, Content Analysis and Grounded Theory (Kelly, 1955; Bromley, 1986; Strauss & Corbin, 1990; Miles & Huberman, 1994). From this list, Content Analysis and Grounded Theory have been touted as the two main approaches for analysing qualitative data (Crawford et al., 2004). This study, however, adopted Content Analysis method to analyse the data. Hsieh & Shannon (2005) have defined content analysis as a ‘subjective interpretation of content of text data through the systematic classification process of coding and identifying themes or patterns.’ Content analysis is applicable for both Positivist and Interpretivist paradigms (Flick, 1998; Locke, 2001). The process of data analysis using Content Analysis approach comprises three analytical coding techniques: Open Coding, Axial Coding, and Selective Coding (Strauss, 1987; Neuman, 2006). However, to achieve the goal of developing a clearly defined framework for practicing CM in CBE, Coding for process, which in Grounded Theory is the fourth analytical step, has been used to complement the Content Analysis method (Myers 1997). Combining data analysis strategies has been promoted as a distinctive research methodology (Onwuegbuzie, Johnson & Colllins, 2009; Aghaeepour et al., 2013). Researchers (Hsieh & Shannon, 2005) confirm that these two methods share similar analytical approaches but Grounded Theory goes beyond Content Analysis to develop theory or a nuanced understanding of
the lived out experience. In this case, the proposed CM framework for CBE, serves this purpose. In other words, Coding for process enables the researcher to present Change Management in CBE as a process. Content Analysis was adopted as the predominant method because there was need to extend the conceptual framework from the relevant findings in literature review (Zhang & Wildemuth, n.d.). Grounded Theory could not be preferred as a predominant approach because of its failure to acknowledge inherent theories (Silverman, 2005).

The process of data analysis using this approach, therefore, comprised four analytical coding techniques: Open Coding, Axial Coding, Selective Coding (from content analysis) and Coding for Process (from Grounded Theory). Researchers (Strauss & Corbin, 1998; Kandadi, 2006; Neuman, 2006) explain these techniques as follows:

- **Open Coding:** Data is categorized into various units
- **Axial Coding:** Identifying relationships between categories
- **Selective Coding:** Integrating categories into a theory
- **Coding for Process:** defining a series of evolving sequences of action and interaction that occur over time and space, changing or sometimes remaining the same in response to the situation or context.

Kandadi (2006) adds that these four coding techniques are ‘analytic steps’ and it does not necessarily follow that the researcher moves from open through axial to selective coding in a strict, conservative manner. Hussey & Hussey (1997) confirms that these separate levels of coding are often carried out simultaneously.

### 3.5.5.1 Open Coding

This is a first coding of qualitative data to condense them into preliminary analytic categories or codes (Neuman, 2006). Strauss and Corbin (1998) define open coding as the ‘naming and categorizing of phenomena through close examination of the data. This step breaks data into discreet parts closely compared for similarities and differences. Events, happenings, objects, and actions/interactions which are found to
be conceptually similar in nature or related in meaning are grouped under more abstract concepts termed categories (Vendanthachari, 2007).

The two main steps involved in open coding are conceptualising and generating categories. Vendanthachari (2007) suggests that for one to obtain a detailed understanding of the data, concepts should be grouped together or abstracted to a higher level, which would lead to the generation of categories. He further states that by grouping them as categories, problems, issues, concerns and matters which are important can easily be depicted. When a category or instance is found, it is compared with the previous category so that if it does not match with the previous instance or original definition, a new category can be developed or the original definition modified (Vendanthachari, 2007).

When categories are identified, properties and dimensions of the categories can then be developed. Strauss and Corbin (1998) define properties as ‘the general or specific characteristics or attributes of a category, dimensions represent the location of a property along a continuum or range’. In this study, the categories have been named according to the Change Management issue they represent. The name of the category may result from imagery; meaning it evokes when examined comparatively or in context; or from the words of the respondents themselves (Kandadi, 2006). The conceptual framework for CM in CBE developed after the literature review has three steps of Planning Change, Implementing Change and Institutionalising Change. The categories discovered at the open coding step were classified under these three core categories. Where new dimensions have been found, other categories have been developed. The open coding therefore assists in primarily answering Q1 and Q2 respectively. Q1 How was CBE introduced to MoEST officials, community members and learners? Q2 How were the fundamental variations between CBE and the formal school considered before the implementation of the programme?

Once the categories were known, sub-categories were identified for each category. Kandadi (2006) states that sub-categories are the theoretical elements that pertain to a category, giving it further clarification and specification. He further points out that the
sub-categories specify a category further by denoting information such as when, where, why and how a phenomenon is likely to occur.

### 3.5.5.2 Axial Coding

The purpose of axial coding is to begin the process of reassembling data that were fractured during open coding. This is done to discover key analytic categories (Vendanthachari, 2007; Neuman, 2006). In this stage, categories are related to subcategories to obtain more precise and complete descriptions regarding the phenomena under study. Strauss and Corbin (1998) indicate that, procedurally, axial coding is the act of relating categories to subcategories along the lines of their properties and dimensions. Kandadi (2006) stresses that this involves identifying and describing the variety of casual conditions, actions/interactions, and consequences associated with a category or phenomenon.

The axial coding step assists in identifying and describing the casual conditions and consequences for each of the identified CM factor or category. Thus the axial coding step addresses the third and fourth research questions of this study. Q 3 (Was any CM approach introduced to help manage the variations between CBE and the formal school?) focuses on describing actions/interactions and consequences for the Change Management factor under study. Q 4 (How could CM concepts and techniques best be used to achieve the CBE programme objectives?) focuses on identifying and describing the best practices and ideal scenarios for each of the identified CM factors. Axial coding therefore facilitates in identifying patterns of CM practices for each of the category or CM factor.

### 3.5.5.3 Selective Coding

Strauss and Corbin (1998) define selective coding as the ‘process of integrating and refining categories.’ This is the process of examining previous codes to identify and select data that will support the conceptual coding categories that were developed (Neuman, 2006). In this stage, the categories identified in axial coding are integrated to form a larger theoretical scheme (Vendanthachari, 2007). Gray (2004) identifies the core steps involved in selective coding as follows:
- Finding a story line formulated around core categories
- Relating sub-categories to the core categories
- Validating these relationships against the data
- Filling in categories that need further refinement.

Kandadi (2006) states that two conditions guide the development of core categories. First, a core category must be central, so that many major categories can be related to it. Second, a core category must appear frequently in the data. Essentially at this stage in the study, data is reduced into concepts and relational statements that can be used to explain what is happening regarding CM in CBE.

The conceptual framework for CM in CBE developed after the literature review revealed three steps of Planning Change, Implementing Change and Institutionalising Change. These three steps were the initial core categories. However the extra core categories discovered at the selective coding step from empirical data have complemented these three, so that they serve as fundamental elements for developing the framework for practicing CM in CBE. Therefore, the selective coding process provides crucial elements for achieving the goal of this research, which is to develop a clearly defined framework for practicing Change Management to improve Complementary Basic Education Programme.

### 3.5.5.4 Coding for Process

Strauss and Corbin (1998) describe a process as a series of evolving sequences of action/interaction that occur over time and space, changing or sometimes remaining the same in response to the situation or context. The action/interaction may be strategic, response to a problematic situation, routine, or carried out without much thought. It may be orderly, interrupted, sequential, coordinated, or a complete chaos (Kandadi, 2006). Process demonstrates the ability of individuals, groups and organisations to respond to and shape the situations in which they find themselves (Kandadi, 2006; Mills, 2010).

Kandadi (2006) encourages that analysing data for process provides a sense of life or movement to the theory and assists in the discovery and integration of the variations. In
this study, analysing data for process was conducted simultaneously with the other coding techniques (Strauss & Corbin, 1998). Further, Kandadi (2006) recommends that during this coding, the processes should be ‘specifically named, conceptually developed, and systematically connected with the theoretical framework that will be developed by using the other stages of coding. The coding for process enables the researcher to present Change Management as a process.

3.5.6 Data Analysis Protocols

3.5.6.1 Accuracy and Triangulation

Kandadi (2006) recommends that data collected through interviews and other sources like documents should be examined to remove incomplete and ambiguous information. This researcher stringently follows the case study protocol as outlined earlier so that data accuracy does not get compromised. Additionally, as recommended by Oliver and Kandadi (2005), the following qualifying criteria was adopted at the data analysis stage to determine themes influencing CM in the CBE programme:

C1. Each theme should have been mentioned and supported by multiple respondents from two or more categories of respondents.

C2. Each theme should have played a significant role in shaping CM in the CBE programme.

C3. Respondents should have provided instances of how the particular theme has influenced CM in the CBE programme.

C4. Each theme should be clearly identified by the researcher during the discreet analysis of the gathered data.

C5. The interview data supporting each theme should be eligible for triangulation with the verifiable data from internal documents of the CBE programme.
3.5.6.2 Reliability, Validity and Generalisability

Social Science researchers suggest that using the triangulation technique at data analysis phase improves validity and reliability of the research findings (Miles & Huberman, 1984; Smith, 1983). Therefore, data triangulation has been used in this study to improve accuracy, reliability and validity. Hussey & Hussey (1997) declare that the usage of different approaches, methods and techniques in the same study can overcome potential bias.

Wheeler & Carter (2009) indicate that reliability is enhanced when research instruments are administered by one person to all the respondents. Although the research instruments in this study were not necessarily administered by one person, there was a high structure to the interview schedule in order to lessen the threat to reliability (Saunders, Lewis & Thornhill, 2007).

Validity was assured by administering all the questionnaires face to face so as to provide a chance for discussing and clarifying the meaning of a question (Greener, 2008). Joppe (2000) emphasises that hitting the bull’s eye in administering research instruments is a measure of validity. For this study, there was a process of cross-checking the clarity and effectiveness of the chosen methodology with the director of studies and supervisors, so that the administering of the research instruments should promote validity of the research.

Lipset, Trow & Coleman (1956) have said that it is possible to generalize in case study research. However, the findings of this research are based on data collected from the CBE programme as it has operated in Malawi within the given period. The intention has been to explain what is going on in the programme regarding the adoption of Change Management concepts and techniques to meet the programme objectives. Although similar programmes can learn how to adopt and use Change Management concepts, the findings cannot be generalised to all programmes that deal with non school attendance.
3.5.7 **Study Limitations**

Every study has limitations that are influenced by a diverse number of factors (Powell & Renner, 2003). Below are the limitations that were considered for this study:

A limitation related to the subject matter is that Change Management is a slightly new area of study, especially in Malawi’s education system. As a result, there were situations where respondents failed to articulate when some Change Management aspects were being practiced. To address this limitation, the researcher explained the questions to the interviewees in the most simplified way possible.

A limitation related to the interview process was that some interviewees did not want to be tape recorded. For those cases, the only evidence that the in-depth interviews and focus group discussions actually happened are a record of the expert’s responses and a collection of the focus group discussion reports as shown in appendices. This limitation was addressed by conducting a thorough review of interview records and a series of post-interview communications with respondents to ensure data accuracy.

Another limitation is the perceived interest that other stakeholders have in the programme. Community members in the areas where the programme is operating have so much interest in the programme and this interest might have influenced their responses. This is so, because the CBE programme operates in very rural areas that do not have a lot of education and development initiatives. As such, CBE was and is one of the few things that the community leaders can show for and that in itself is reason enough for them not to be as critical of the programme. This limitation was addressed by the fact that key informants and documents were other data sources.

3.5.8 **Research Ethics: Considerations and Protocols**

Several authors suggest the need for considering ethical issues while conducting research (Bryman, 2004; Christians, 2000; Hussey & Hussey, 1997). Kandadi (2006, p. 86) summarizes the ethical considerations as follows:

1. Protection of the interests of the subject firms or case organisations
2. Safeguarding the privacy, confidentiality, and anonymity of the participants
3. Obtaining the informed consent of the participants
4. Maintaining dignity and
5. Ensuring the accuracy of data while publishing the research findings.

The above issues have been applicable to this research study because it also involved collecting data through interviews. Stake (2000) advocates that qualitative researchers are guests in the private spaces of the world and so their manners should be good and their code of ethics strict. The relevant research ethics therefore have been valued and upheld throughout the course of this study. The following are the ethical protocols that were designed to guide this study:

1) Although a detailed description of the case has been provided, the subjects are separated from the critical arguments and conclusions.
2) Some government departments and specific positions of respondents have been mentioned because of the impact that would have on whether the findings and recommendation from this study are adopted. However no response was linked to the specific respondent who gave it. The sources of the specific responses have been kept anonymous.
3) The participants were informed that the data collected during the study will be used to provide recommendations to the key stakeholders who help in the running and managing of the CBE programme in Malawi.
4) Informed consent was sought from the respondents before involving them in the study.
5) Freedom to withdraw their consent at any time of the interview was given to interviewees.
6) The empirical material will remain safeguarded during and after this study.

In addition to these protocols, this study also used the 8 core principles of the Market Research Society as provided in the appendices.
3.6 Research Timeline

This research is part of the many activities carried out to strengthen the CBE programme in Malawi. The CBE project started in 2006. Although it is meant to be a continuous programme, there was a break in 2011, which allowed for re-strategizing. This research therefore concentrates on the 2006-2011 implementation period. The actual research, however, was undertaken from April 2011 to April 2014 and feeds into the re-strategising. This researcher will finish his PhD while delivering the output of helping to improve the CBE programme through the use of a clearly defined CM strategy. The timeline for this research is depicted below:

Table 7: Research Timeline

<table>
<thead>
<tr>
<th>Time</th>
<th>Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>April 2011 – April 2012</td>
<td>• Literature review about change management issues in Education specifically non-formal education programmes.</td>
</tr>
<tr>
<td></td>
<td>• Determination of research goal, aim and objectives</td>
</tr>
<tr>
<td></td>
<td>• August 2011 – Research Proposal (R1) was completed</td>
</tr>
<tr>
<td></td>
<td>• December 2011 – 1st Report to GIZ presented</td>
</tr>
<tr>
<td>May 2012 – March 2013</td>
<td>• Based on the information gathered from the literature and published reports, a research problem was revealed.</td>
</tr>
<tr>
<td></td>
<td>• Research design was determined and Research instruments were developed</td>
</tr>
<tr>
<td></td>
<td>• Data Collection and analysis</td>
</tr>
<tr>
<td></td>
<td>• December 2012 – 2nd Report to GIZ presented</td>
</tr>
<tr>
<td></td>
<td>• December 2012 – R2 to completed</td>
</tr>
<tr>
<td>April 2013 – April 2014</td>
<td>• Conference Paper(s)</td>
</tr>
<tr>
<td></td>
<td>• Publishing</td>
</tr>
<tr>
<td></td>
<td>• Write up</td>
</tr>
<tr>
<td></td>
<td>• December 2013 – 3rd and last report to GIZ presented</td>
</tr>
</tbody>
</table>

(Source: Author)

Summary

This chapter has provided an assessment of the different research philosophies. Based on these assessments, the interpretivist paradigm has been adopted as a philosophical foundation for this study. An analysis of various research methodologies has resulted in the selection of case study as a suitable methodology for this study. It also outlines
Content Analysis as a viable approach for analysing case study methodology data and how it helps answer the research questions derived for this study as follows:

The open coding assists in primarily answering Q1 and Q2 respectively. Q1 How was CBE introduced to MoEST officials, community members and learners? Q2 How were the fundamental variations between CBE and the formal school considered before the implementation of the programme? Responses to these questions provide information on what was emphasized during the introduction of the programme and how it related to the differences between CBE and the formal school under given factors.

The axial coding step addresses the third and fourth research questions of this study. Q 3 (Was any CM approach introduced to help manage the variations between CBE and the formal school?) focuses on describing actions/interactions and consequences for the Change Management factor under study. Q 4 (How could CM concepts and techniques best be used to achieve the CBE programme objectives?) focuses on identifying and describing the best practices and ideal scenarios for each of the identified CM factors. Axial coding therefore facilitates in identifying patterns of CM practices for each of the category or CM factor.

The selective coding process provides crucial elements for achieving the goal of this research, which is to develop a clearly defined framework for practicing Change Management to improve Complementary Basic Education Programme. Finally, the coding for process from Grounded Theory enables the researcher to present Change Management as a process.

The chapter concludes by depicting a timeline for this research
4.0 RESEARCH FINDINGS AND ANALYSIS

Introduction
This chapter presents the empirical findings of the study and the proposed CM framework. The chapter is divided into two major sections. The first section presents the analytical findings from the case study conducted during this research. The section is primarily based on content analysis of data. The study findings are discussed and simultaneously compared with current CM literature and is therefore linked to chapter 2. The analysis and discussion are combined to ensure transparency and integrity between findings, interpretations and conclusions (Kandadi, 2006). The second section of the chapter presents a 3 step Change Management framework for CBE. The framework is constructed by combining the analytical findings with expertise gained from CM literature. Application of data from the comparative analysis of CM theories conducted in the literature review section is used in the framework development.

4.1 Findings, Analysis and Discussion
Coding was guided by findings from the literature review. The 12 CM factors identified from the open and axial coding steps, respectively, were grouped under the core categories of Planning Change, Implementing Change and Institutionalising Change identified from the literature review. However, the selective coding process identified 3 more core categories of strategy, evaluation and communication. These three are added to list of core categories identified from literature review to make a complete list of 6 core categories, namely Planning Change, Implementing Change, Institutionalising Change, strategy, evaluation and communication.

In totality, the 12 factors directly answer the first and second questions (Q1 and Q2), respectively, as drafted for this research study. For each of these CM factors, various approaches, concepts and techniques are described in detail. The approaches represent CM attempts that were put in place in the CBE programme. Concepts and techniques represent foundational elements and initiatives or tactics that were followed by different stakeholders to manage change in the CBE programme. The approaches
supporting various factors answer the third question (Q3) of this research study. Whereas concepts and techniques aligned with each of the factors answer the fourth question (Q4) of this research study.

**Table 8:** The three core categories with constituent CM Factors

<table>
<thead>
<tr>
<th>Core Categories</th>
<th>Constituent CM Factors</th>
</tr>
</thead>
<tbody>
<tr>
<td>(Core categories from literature review and CM factors from selective coding)</td>
<td>(from open and axial coding)</td>
</tr>
<tr>
<td>Planning Change</td>
<td>Sensitization (F1)</td>
</tr>
<tr>
<td></td>
<td>Identification of gatekeepers (F2)</td>
</tr>
<tr>
<td></td>
<td>Promoting a recognizable Identity (F3)</td>
</tr>
<tr>
<td></td>
<td>Skills Development (F4)</td>
</tr>
<tr>
<td>Implementing Change</td>
<td>Showcasing CBE (F5)</td>
</tr>
<tr>
<td></td>
<td>Joint planning of activities (F6)</td>
</tr>
<tr>
<td></td>
<td>Conducting synergy meetings (F7)</td>
</tr>
<tr>
<td></td>
<td>Division of Labour (F8)</td>
</tr>
<tr>
<td>Institutionalising Change</td>
<td>Establishing accountability structures (F9)</td>
</tr>
<tr>
<td></td>
<td>Linkages (F10)</td>
</tr>
<tr>
<td></td>
<td>Guide book (F11)</td>
</tr>
<tr>
<td></td>
<td>Translation (F12)</td>
</tr>
<tr>
<td>Strategy (F13)</td>
<td></td>
</tr>
<tr>
<td>Evaluation (F14)</td>
<td></td>
</tr>
<tr>
<td>Communication (F15)</td>
<td></td>
</tr>
</tbody>
</table>

(Source: Author)

The 12 CM factors identified during the open coding and axial coding phases are grouped under the core categories based on their similarities. While the first three core categories (Planning Change, Implementing Change and Institutionalising Change) were identified from the literature review, the second three core categories (Strategy, Evaluation and Communication) were created using the selective coding techniques of content analysis. Together, the 6 core categories represent precise and distinct dimensions shaping change management in the CBE programme. Table 8 above presents these 6 categories with their constituent CM factors identified during the empirical study. The core categories aid in raising the level of abstraction of the study findings, which in turn help in seamless understanding of the findings and development of the proposed framework for practicing CM in CBE (Kandadi, 2006).
Figure 5: A thematic representation of the core CM categories and their interrelationships
Out of the 6 core categories, ‘Planning Change’ is related to designing the programme and mapping of the course that will be followed in the introduction, implementation and establishment of the programme. ‘Implementing Change’ core category is associated with the actual running of the programme including the handling of various components that are different from the formal school. The ‘Institutionalising Change’ core category deals with strengthening initiatives that will help the change to stick. The ‘strategy’ core category represents the primary approach at the heart of the programme. It exhibits the tactics that will help the programme achieve its goals and objectives. The ‘evaluation’ core category is related to the ongoing assessments and reviews to go hand in hand with the implementation of the programme. It deals with a continuous appraisal on the effectiveness of different changes introduced in the programme. The ‘communication’ core category relates to consistently sharing information on how things should be done and why they should be done in such a particular way.

Figure 5 above illustrates these 6 CM dimensions and their interrelationships. The strategy is positioned at the centre because of its centrality as every action needs to be done in relation to the underlying strategy. It becomes the hub of the remaining core categories. Evaluation has been posted after every major stage of Planning Change, Implementing Change and Institutionalising Change respectively because it is supposed to be a continuous process. Reviews are meant to be conducted side by side with the implementation process. Communication is about sharing information about the different steps in relation to the strategy. This is why it has been located between the strategy and the change steps because it acts like the spokes that connect the hub (strategy) and the outer action (change steps).

4.1.1 Planning change
This study reveals that planning is the driving force of a change initiative. This core category refers to charting the course that a change initiative will follow. Much of the CM literature talks about the need for creating awareness, envisioning and mobilising change agents (Lewin, 1945; Warrilow, 2009; Prosci, 2001 & Kotter, 1996). However, during the empirical studies, many respondents cited conceptualising and designing the
programme as a good foundation where the change will be based. This is so, because players to be involved will be recruited in an already defined programme with a recognisable identity. They suggested that core teams should be set up and equipped to propagate this identity. As much as literature reveals the equipping of change agents (Kotter 1996), empirical studies recommend that in the case of CBE, they have to be people who are already decision makers in the communities. These are people who already have respect and they are considered gatekeepers. The study reveals that lack of proper planning could be detrimental in any change initiative. The Planning Change category is encompassed with four Factors. In chapter 2 it was revealed that positioning of the CBE programme within the education system, key stakeholder role complexities, geographic location, flexibility in implementation and size of the programme are some inherent characteristics of the CBE programme. The four Factors under this core category provide an opportunity for these inherent characteristics to be considered when planning change. Three of these factors (F1, F2 and F4) have to do with individuals, while one factor (F3) has to do with the programme itself.

Table 9 below, shows the constituent factors of this core category with its substantiating codes in form the of interviewee responses. A unique number (e.g. 102kim) is assigned to each of the codes displayed. Since data was collected from different categories of respondents, this code number assists the author to identify code origins and context.

The following sections provide detailed descriptions of the four CM factors in the Planning Change core category:
Table 9: Planning Change core category: Constituent Factors and substantiating codes

<table>
<thead>
<tr>
<th>Constituent Factors:</th>
<th>Substantiating codes:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sensitization (F1), Identification of gatekeepers (F2), Promoting a recognisable Identity (F3), Skills Development (F4)</td>
<td>My office put the CBE programme plans into practice. It conceptualized the programme i.e. how the programme would look like in terms of implementation guidelines (100kim).</td>
</tr>
</tbody>
</table>

Planning and organizing... (100kis).

I was introduced to an already designed programme and so I just went with the flow (100kim).

My office planned the programme and then introduced it to stakeholders like service providers and Ministry of Education through stakeholder meetings before implementation started (101kim).

As supervisors, we were not involved in the planning for the programme, but we were recruited in an already designed programme for us to implement (100kis).

There were meetings conducted with traditional leaders and village development committees to let them know of these differences (102fgdc).

T/As, GVHs were managers of the programme at community level (102kim).

Because chiefs are the leaders in our areas and it was important for them to know about the programme ahead of time and before everyone else (102fgdl).

The main reason for the establishment of the programme was mentioned to all stakeholders and collaborating partners but not all stakeholders seemed to have understood it (103kim).

...were made so that truth of what the programme offers is made clear to the stakeholders (103kis).

Assuring that facilitators are trained (104fgdf).

Provision of trainings at least once a term and conducting facilitator meetings every Friday (104kis).

Note: A unique number like 100kim, 102fgdl, 104kis is assigned to each of the codes displayed. These code numbers assist the author to identify code origins and contexts i.e. category of respondent from which response came from.

1. Sensitization (F1)

Sensitization in this case refers to deliberate efforts by the Ministry of Education and managers of CBE to create awareness about the programme. This awareness has to target all stakeholders. Awareness is identified as one of the main factors influencing CM in the CBE programme. Sensitization came up as a common factor from all categories of respondents. There was a general agreement from the respondents that...
creating awareness about the programme helps its being adapted and accepted by various stakeholders at different levels. The timing, target audience and continuity of the sensitization are some key aspects of this Factor. This Factor helps to address CBE CM related challenges identified from literature review (positioning of the programme, key stakeholder role complexities, geographic location, flexibility and size of the programme) because it provides an opportunity for all stakeholders to be sensitized about these aspects early in the programme. Table 9.1, below, presents the substantiating concepts and codes for this factor. The sections after table 9.1 outline the characteristics of this factor, and specific promising practices observed during this study. The section concludes with a brief analytical discussion of the factor based on findings from, and comparison with, current CM literature.
Table 9.1: Sensitization (F1): Substantiating concepts and codes

<table>
<thead>
<tr>
<th>Concepts:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Timing</strong> – at the beginning, by way of introduction</td>
<td></td>
</tr>
<tr>
<td><strong>Target audience</strong> – briefings to staff, meeting stakeholders to align expectations, clarity on the programme, sorting out misconceptions among all players,</td>
<td></td>
</tr>
<tr>
<td><strong>Frequency</strong> - continuous creation of awareness, re-sensitization, achieve comprehension, spreading the word</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Codes:</th>
</tr>
</thead>
<tbody>
<tr>
<td>It would have been better if intensive community sensitizations were conducted (100 kis) (101 kis).</td>
</tr>
<tr>
<td>To manage CBE at district, sensitization (101kim) and identification of learning centres. Sensitization of communities as the first thing (101kis).</td>
</tr>
<tr>
<td>It also brought on board NGO’s, who were to be the service providers and the NGO’s joined in stakeholder sensitization especially at community level (101kim).</td>
</tr>
<tr>
<td>Begin with sensitization to brief stakeholders on the programme (101kim), Stakeholders were sensitized on these differences. However, some stakeholders wanted to stick to what they knew (101kim). Clarity and sensitization at the very beginning (101kis) would have helped because there would not have been any false hopes.</td>
</tr>
<tr>
<td>We encouraged our stakeholders to sensitize their partners (other stakeholders)... Initially, MoEST did all the sensitization, but after a while, service providers were involved to continue the process (100kim).</td>
</tr>
<tr>
<td>There is need for sensitization and re-sensitization with other government departments as well (101kim) ... Because sensitizations (101kim) were done at the local level, a lot of issues were sorted at that level as well.</td>
</tr>
<tr>
<td>There was orientation at the initial (101kim) stage but may be not all people comprehended the would be differences. It was a follow up to a meeting with traditional leaders where chiefs advocated for the improvement of education standards (101fgdc).</td>
</tr>
<tr>
<td>We were meeting traditional leaders, so that they can help us by inviting parents to meetings where we would encourage parents not to allow their children miss schoolx2 (101fgdc).</td>
</tr>
<tr>
<td>Sensitizing locals on the importance of CBE (101fgdc), Spread word on the programme to children in the community (101fgdf) Through sensitization meetings (101kim).</td>
</tr>
<tr>
<td>about the CBE programme... It was better to make this clear at the beginning so that people know from the start that the programme is different from the formal school (101fgdf).</td>
</tr>
<tr>
<td>they came to our villages to spread the word on the programme (101fgdl) Throughout the 3 years, facilitators were helping us to mobilize learners and sensitize other children in the community on the benefits of the CBE (101fgdc).</td>
</tr>
</tbody>
</table>
Characteristics

1. Conducting sensitizations as a first thing helps to clear misconceptions and wrong expectations, which are common phenomena when dealing with communities. Nortier (1995) affirms that if not dealt with as a matter of priority, wrong expectations usually mar what otherwise would have been a good initiative.

2. Achieving comprehension and program clarity among all players in a change initiative can be a complex task. When introducing a change initiative it is important to bring all players in the know.

3. Continuous awareness meetings, re-sensitisations and briefings, important steps in introducing a change initiative create an opportunity for stakeholders to learn about change and for the change to stick.

Specific promising practices

1. Providing the truth at the very beginning of a programme clears away any mist and false expectations that would have existed. As a way of agreeing with the CBE implementation guidelines (MoEST 2011), empirical studies reveal that there were many meetings in CBE prior to starting the programme. The meetings were conducted with traditional leaders, community members, government officials and members of various organisations.

2. In CBE, awareness meetings targeted everyone involved. Empirical data shows that, sometimes, officials were using stakeholders who have understood the programme to enlighten others who might still be in the dark about it. This facilitated the bringing of clarity because the stakeholders spoke in a language that was easily understood by everyone at their levels.

3. Field studies have shown that sensitizations and awareness meetings continued to happen throughout the life of the project. The conducting of awareness at all levels, and with different stakeholders continuously, helps them to appreciate what their specific role and how it fits in the bigger picture as far as helping the initiative to move forward is concerned.
Discussion

Sensitisation is observed as an important aspect at all levels in the CBE programme. A majority of the respondents in all interviewed categories pointed it out as a critical factor in the CBE programme:

We encouraged our stakeholders to sensitize their partners (other stakeholders). Initially, MoEST did all the sensitization, but after a while, service providers were involved to continue the process.

In all categories of respondents, sensitisation was seen to take different forms as it happened at different levels. For example, there were cases when facilitators sensitised learners when they (learners) were already in the CBE classroom. In other cases, community members were sensitised by facilitators while in their communities. They were also sensitised by learners when the community members came to take part in activities such as the open day. In some cases opportunities to sensitise were not utilized.

The fact that sensitisation in CBE happened at the beginning of the programme is supported by literature. Adedayo (2010) supports the significance of this factor when he states that through sensitisation, all issues should be addressed as a first step in the execution of a change process. This implies that in order for people to clearly understand changes, they must have plenty of information about the particular changes (Articlebase, 2011). Dessler (2001) adds that change is mostly rejected by people who have not been informed.

The revelation to have all people who are part of a change process sensitised is also in line with evidence from literature. Fullan (2007) supports this notion by stating that in order to make sure that a change will be successful, all people are supposed to get information. Although the study did not indicate which category of people to get what kind of information, literature (Fullan, 2007) suggests that the providers of information need to be selective on the people who are supposed to get what kind of information and when.
Sensitisation is therefore seen as an important change management factor even from current literature. It may also be argued that Sensitization is critical in light of the inherent characteristics of CBE as revealed in Chapter 2. Although the timing and target audience for sensisations are supported, literature consulted (Adehayo, 2010; Dessler, 2001; Kotter, 1995) does not seem to say much on the frequency of sensitisation.

2. Identification of gatekeepers (F2)

The identification of gatekeepers is mentioned by all respondents as a key factor influencing CM in the CBE programme. Gatekeepers are individuals who command influence in their different cycles. These range from traditional leaders, village development committee (VDC) members, Area Development Committee (ADC) members and local level managers of development programmes. Empirical data suggests that the gatekeepers should be equipped so that they become part of the team that goes to introduce the programme to people in their areas. The respondents felt that in doing so, all local people will accept the programme and work to see that the programme succeeds because the gatekeepers have influence at various community levels. From Chapter 2, key stakeholder role complexities was isolated as a CM challenge in CBE. Identification of gatekeepers, from empirical evidence, helps clarify how key stakeholder role complexities from CBE can be utilized for CM. Table 9.2, below, presents the substantiating concepts and codes for this factor. The sections after table 9.2 outline the characteristics of this factor, and specific promising practices observed during this study. The section concludes with a brief analytical discussion of the factor based on findings from, and comparison with, current CM literature.
Table 9.2: Identification of gatekeepers (F2): Substantiating concepts and codes

<table>
<thead>
<tr>
<th>Concepts:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Traditional leaders – chiefs, group village heads, Traditional authorities (T/A) Community leaders, Development Committees - Area Development Committee members, Village Development Committee, Local level Managers - Local Government leaders, Community level decision makers, carriers and custodians of development projects.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Codes:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Collaborations, Communities, District Education Manager, Service Providers, District Commisioner, Traditional Authorities, (T/A’s), Group Village Heads, (GVHs), Area Development Committees (ADC) and Village Development Committees (VDCs) were all important gatekeepers who helped the programme to run smoothly and be accepted at various levels (102kim).</td>
<td></td>
</tr>
<tr>
<td>T/As, GVHs and Community Members – Managers of the programme at community level (102kim).</td>
<td></td>
</tr>
<tr>
<td>There were meetings conducted with traditional leaders and village development committees to let them know of their different roles (102kim).</td>
<td></td>
</tr>
<tr>
<td>The office was planning and doing things together with Traditional leaders and local development committees who then helped to mobilize fellow community members (102kim).</td>
<td></td>
</tr>
<tr>
<td>The programme was introduced through the T/As and other traditional leaders, ......who then were entrusted with passing it on to the local people (102fgdl).</td>
<td></td>
</tr>
<tr>
<td>It was a follow up to a meeting with traditional leaders where chiefs advocated for the improvement of education standards (102fgdc). Through chiefs... local leaders and other respectable people in society like VDC, ADC, Primary Education Advisors (PEAs),... These, including T/As, GVHs and local chiefs then introduced the programme to locals (102fgdc).</td>
<td></td>
</tr>
<tr>
<td>The chiefs knew the numbers of people in the villages ... even those who had been to school and those who haven’t (102fgdl). ...VDC and ADC helped in recruitment (102kim).</td>
<td></td>
</tr>
<tr>
<td>Because chiefs are the leaders in our areas and it was important for them to know about the programme ahead of time and before everyone else so that they can then share the information to their subjects (102fgdl).</td>
<td></td>
</tr>
<tr>
<td>chiefs also informed their subjects ... Development projects pass through VDC, ADC and chiefs so that they can be accepted and handled well (102fgdf)... Local level development managers helped decide where the centre should be (102fgdf).</td>
<td></td>
</tr>
<tr>
<td>Chiefs and LCMC leaders (chairman) were leading us and we cooperated with them ... LCMC chairman... The result was that learners began to come to the learning centres in good time... Learners knew how to read and write (102fgdc).</td>
<td></td>
</tr>
<tr>
<td>When a phase is finishing, we should have a farewell function with chiefs and traditional leaders as a way of thanking them for the role they played (102fgdc).</td>
<td></td>
</tr>
</tbody>
</table>
Characteristics

1. Traditional leaders are an important component of change initiatives that involve community members because they are gatekeepers. In the CBE programme, they provided encouragement and guidance to community members on roles and responsibilities they can take in change initiatives.

2. Involvement of Development Committees (VDC and ADC) at local level is critical as it promotes ownership and hence facilitates sustainability of programmes such as the CBE change initiative.

3. Local level development managers assure that quality and professionalism is maintained in the implementation of initiatives like the CBE programme because at the end of the day, there have to be positive results.

Specific promising practices

1. The CBE programme involved chiefs in various activities like encouraging parents to send their children to CBE centres. Empirical evidence has revealed that in some places where learning structures were not enough, traditional leaders provided land for CBE learning shelters to be constructed.

2. To balance community ownership and professionalism, Local Development Committees’ participation in recruiting facilitators, who are community based, proved to be a good tactic in managing CBE.

3. To maintain professionalism, the local development managers guided community members on where the CBE centre should be located so that it is accessible. MoEST (2004) affirms that community members have a role to play in determining where the CBE centres should be located. Empirical data has found that this helped to have CBE centres centrally located, a situation which would not be if chiefs were left to decide the location on their own.
Discussion

Identification of gatekeepers was observed to be a critical CM factor in the CBE programme. The gatekeepers took on fitting roles depending on the level at which they operate:

There were meetings conducted with traditional leaders and village development committees to let them know of their different roles.

The set up of the Malawian society is that it has gatekeepers at different levels. The study reveals the significance of involving gatekeepers in those levels for change initiatives like CBE to gain acceptance. When gatekeepers are equipped, they become a coalition that helps to move things forward:

Because chiefs are the leaders in our areas and it was important for them to know about the programme ahead of time and before everyone else so that they can then share the information to their subjects.

Prosci (1998) and Kotter (1996) affirm the need to identify a coalition that will guide the change and inform players on how the change will happen.

The significance of having gatekeepers to propagate change is supported by Easterby-Smith et al., (2003) who suggest that leaders and managers of change may allow these people to express their views on the proposed change indicating potential problems and giving suggestions on any need for modifications. Kamdonyo (2013) calls these the ‘right people’ to move change ahead. The importance of having gatekeepers at every level equipped to champion change is also affirmed by Bush and Middlewood (2005) who argue that resistance to change may be reduced by giving the leaders of various groups the main roles in decision making about the change because this will help in identifying their views and making sure that they propose something which their jurisdiction cannot resist. To a greater extent the usage of gatekeepers helps to drastically reduce resistance to change (Lewis, 2011).

Current literature, therefore, does not only align with the best practices identified and listed above for this factor, it also points out potential benefits for using gatekeepers. Literature however does not seem to suggest what the role of chiefs in the change initiative would be. This is probably because a lot of change management research
(Gordon, 2006; Smith, 2006) is done in the business world, where traditional leaders do not feature.

3. Promoting a recognisable Identity (F3)

Recognisable identity is another factor that is providing an important need and context for change management in the CBE programme. Respondents in all categories stated the importance of identifying CBE as CBE even though it is a sub-system of the formal education. The idea is that if the CBE programme is accepted as a different programme at the onset, those who subscribe to it will not want it to change into something else. This, therefore, calls for the CBE programme’s different identity to be touted clearly and proudly from the onset. From empirical data, the following have been isolated as being key elements of this factor: a different way of doing things, structure and clear roles. The researcher proposes that geographical location and flexibility of implementation, as some of the inherent characteristics of CBE revealed from literature, are potential identities that can be promoted under ‘different way of doing things’ to enhance CM in the programme. Table 9.3, below, presents the substantiating concepts and codes for this factor. The sections after table 9.3 outline the characteristics of this factor, and specific promising practices observed during this study. The section concludes with a brief analytical discussion of the factor based on findings from, and comparison with, current CM literature.
Table 9.3: Promoting a recognisable Identity (F3): Substantiating concepts and codes

<table>
<thead>
<tr>
<th>Concepts:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Different way of doing things - Learning and assessment styles, flexibility, target group, fees, uniform Structure – form, Time frames, Structures/place of learning, Roles - Level of community involvement,</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Codes:</th>
</tr>
</thead>
<tbody>
<tr>
<td>It would have been better if intensive community sensitizations ... were made so that truth of what the programme offers is made clear to the stakeholders (103kis) instead of just saying things to attract them to the programme.</td>
</tr>
<tr>
<td>The fact that the programme would be different and have its own identity was mentioned to all stakeholders and collaborating partners but not all stakeholders seemed to have understood it (103kim). CBE is/was more flexible than formal school (103kim)... it was designed to be a flexible programme so that they can attend to some of their roles at home 103kim). CBE is for dropouts while primary is for all learners (103kis).</td>
</tr>
<tr>
<td>Time of learning was different (afternoon vs morning), Timeframe of learning was different (3hours vs 6 or 8 hours), teacher training (trained on the job, vs trained before resuming work), place of operating (any community structure vs well built classrooms) (103kis).</td>
</tr>
<tr>
<td>The plan like on time of schooling was to meet for 3 hours every day so that the learners do not get bored ... since many of them needed to be interested in the programme and because they were going to school in the afternoon (103kim).</td>
</tr>
<tr>
<td>Yes, the stakeholders were conversant with the differences. For example, they knew that the programme was targeting dropouts, they knew that facilitators would come from the communities, and that community members were responsible for keeping the materials (103kim)... all responsible people had responsibilities at their level (103kim).</td>
</tr>
<tr>
<td>To help those who had dropped out of formal school learn reading and writing (103fgdl). The programme was different from the formal school because this one started so that dropouts, those who do not have money for school and those who fell pregnant can go back to school (103fgdc).</td>
</tr>
<tr>
<td>To target those who were working in the morning so that they can learn in the afternoon (103fgdf) CBE classes were taking place in the afternoon while formal school was taking place in the morning (103fgdl).</td>
</tr>
<tr>
<td>The difference came in that there was not a need to wear uniform at CBE while in formal school there is need to wear uniform (103fgdl).</td>
</tr>
<tr>
<td>Community members were involved (103fgdc) CBE classes were conducted in the afternoon ... One class in CBE unlike primary school ... CBE was helping to create an opportunity for learners to help with household chores (103fgdc). CBE programme completed in 3 years while formal school completed in 8 years (103fgdf).</td>
</tr>
</tbody>
</table>
Characteristics

1. A different way of doing things is a lacking ingredient in a lot of change initiatives (Laidlaw, 2012). Doing things differently, especially for a different initiative like CBE, is therefore an immense need for change management in the programme.

2. An appropriate structure, which is different from the usual, is needed to support CM in CBE because it is a different initiative and arrangement.

3. Demarcated roles for different groups and stakeholders, a frequent occurrence in the CBE programme, are an important change management practice.

Specific promising practices

1. Many activities in the CBE programme like recruitment of learners, recruitment of staff, management of centres, assessment of learners, and time of classes, are done differently as compared to the formal school and other education programmes. Empirical evidence shows a lot of things which are different from the formal school. For example, learners are not required to wear uniform in CBE; classes usually happen in the afternoon; and there is no corporal punishment in CBE (MoEST 2011).

2. The CBE structure, though not clearly defined has roles for other stakeholders and community members as part of the executing team in order to deliver on the expected outcomes for the programme. Field studies show that CBE as a programme has a form and definite timeframes for different activities.

3. This study has revealed that different stakeholders and staff members in the CBE programme knew what is expected of them in their various roles.

Discussion

Recognisable identity came out as an essential CM factor in the CBE programme. Respondents from the different categories of subjects clearly identified the differences between CBE and the formal school:
Yes, the stakeholders were conversant with the differences. For example, they knew that the programme was targeting dropouts, they knew that facilitators would come from the communities, and that community members were responsible for keeping the materials.

Additionally, times of leaning, LCMC members, community activities, learners and many other elements of the CBE programme were identified by all categories of respondents without any challenges. An identity emanates from a vision, and Kotter (1996) emphasises the creating of a clear vision for the future as vital in change management. The result of a clearly shared vision is a clear articulation of it by the stakeholders involved.

Harris (2007) affirms the importance of recognisable identity by stating that change may come to alter what is already there because, generally, it is the aspect of making something look new or transforming something from the old form to a new one. The notion of doing things in a different way is therefore supported by current literature. However, for people to clearly understand changes, they must have plenty of information about the particular changes (Articlebases, 2011). On structure and expected roles, Jacobsen et al. (2005) argue that effective change in educational organisations afford tampering and reforming the vertical chains of commands and greater degrees of self management as well as lateral collaborations that are characterized by bureaucratic school management. In the case of CBE, this was evidenced by the presence of different organised groups at various levels which helped to run the programme.

Current literature, therefore, supports the importance of having a recognisable identity for change initiatives. Articlebases (2011), however, encourage the need for examining change in that recognisable identity order to gain clear understanding of change processes and its associated impacts.

4. Skills Development (F4)

The study reveals the crucial role of skills development in practicing change management. Respondents in the study cited skills development as a factor, which helped them to internalise change. In other cases, respondents bemoaned the lack
thereof as obstruction to change efforts. It was further revealed that varying skill development needs were cited by different categories of respondents based also on their varying roles in the programme. Refresher courses, identification of capacity gaps and capacity building are the elements identified for this factor. This factor helps to address CBE change management challenges related to geographical location identified from literature review. This is so, because developing the skills of players in the programme will help them function well, regardless of where they are operating from. Table 9.4, below, presents the substantiating concepts and codes for this factor. The sections after table 9.4 outline the characteristics of this factor, and specific promising practices observed during this study. The section concludes with a brief analytical discussion of the factor based on findings from, and comparison with, current CM literature.
Table 9. 4: Skills Development (F4): Substantiating concepts and codes

<table>
<thead>
<tr>
<th>Concepts:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Refreshers – trainings</td>
</tr>
<tr>
<td>Capacity gap identification – engage with facilitators and supervisors</td>
</tr>
<tr>
<td>Capacity building - trainings, In-service, between term trainings,</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Codes:</th>
</tr>
</thead>
<tbody>
<tr>
<td>We were then given trainings for us to understand the programme (104kis) Assuring that facilitators are trained (104kis).</td>
</tr>
<tr>
<td>Training for all stakeholders (104kis) in all aspects of the programme would help them to speak one language on all matters.</td>
</tr>
<tr>
<td>Show and tell; involving them in trainings so that they can learn how things are done ... Provision of trainings at least once a term and conducting facilitator meetings every Friday to build their skills (104kis).</td>
</tr>
<tr>
<td>Supporting staff from MoEST and service providers with further education ... the lacking component was training in IT issues which was a relevant capacity building need (104kim)Capacity and on the job training was provided to equip us (104kis).</td>
</tr>
<tr>
<td>We were given skills on how to teach in ways that help learners enjoy school (104fgdf)... CBE gave me skills that were needed for the running of the programme, some of those skills such as team work, I am using until today, were able to know our weaknesses (104fgdf)</td>
</tr>
<tr>
<td>When we had difficulties, supervisors were helping us and giving us skills on how to handle various aspects of teaching (104fgdf)CBE was sharpening the skills of learners, parents, LCMCs, chiefs and other community leaders in a quicker way than formal school (104fgdc)</td>
</tr>
<tr>
<td>LCMC members were trained in their roles (104fgdc)We were given skills on how to work in groups (104fgdc) Learnt how to skillfully approach learners who had dropped out of CBE and formal school respectively (104fgdc).</td>
</tr>
<tr>
<td>Motivational skills so that learners can keep being motivated ... we also learnt learner centred teaching approaches (104fgdf)</td>
</tr>
<tr>
<td>Skills on to work in groups (104fgd1) and Skills to encourage fellow children to return to school (104fgd1)We were visited by the senior supervisor and trained by teacher trainers so that we can be well skilled in our work (104fgdf) LCMC trainings should continue so that our capacity continues to be built (104fgdc)</td>
</tr>
</tbody>
</table>

Characteristics

1. Because people hear and forget, reminding them of their roles through refreshers assures continuous improvement. Refresher sessions can also be opportunities to sharpen skills (Khanna, 2013).
2. Capacity gaps in stakeholders can be filled when an opportunity for them to interact among themselves has been created. Skills from senior members usually cascade down to those under them when interactions between them happen.

3. Building the capacity of different players in a change initiative can help improve their performance. Change can stick when players in a change initiative have capacity to take on tasks that are expected of them (Bain, 2011).

**Specific promising practices**

1. The inquiry has discovered that all these capacity building initiatives are done on a termly basis i.e. at least 3 times every year in order to keep refreshing the change agents. This is a good practice because issues that have not been understood can always be clarified at the next opportunity.

2. Empirical evidence has revealed that some capacity building initiatives and trainings were conducted by staff from within the programme after identifying gaps from fellow staff. For example, supervisors facilitated In-service trainings for facilitators and took the same opportunity to impress upon the facilitators skills that enabled them to discharge some of their responsibilities.

3. The CBE programme has a lot of capacity building initiatives (MoEST, 2011 & 2013). Community members have LCMC trainings, learners have special classes to learn survival skills from local artisans, facilitators have In-service and between term trainings respectively, supervisors have supervision trainings.

**Discussion**

This study shows that skills development is a major factor for CM in the CBE programme:

We were visited by the senior supervisor and trained by teacher trainers so that we can be well skilled in our work.

The many stakeholders and their varying roles demand that their capacity is developed so that they perform adequately in their roles. Apart from being equipped to perform,
the study revealed that skills development initiatives also provide a sense of contentment to the stakeholders.

Current literature (Articlebase, 2011) suggests that the best way of managing change in educational organization settings is to train parties involved on the uses of that change. This is important because change has to be managed by well skilled personnel. Skills development can be what Kamdonyo (2013) calls a ‘new needed measure’. Dessler (2001) supports this notion by stating that it is important to help staff involved in a change process acquire more skills that are crucial in implementing the change especially in difficult times. However, because change in itself is difficult, the skills development should not be limited to just difficult situations. Spiro (2010) recommends that change is brought about by an individual to society or society to individuals and therefore well skilled managers are required to implement the change. Many respondents however pointed out that their expectation is to have skills transferred through individuals in various levels.

Current literature, therefore, supports the importance of skills development if change has to be successful. Refreshers, capacity gap identification and capacity building, all form an important component of skills development (Khanna, 2013; Bain, 2011). Dressler (2001) suggests that skills development would likely help to diminish resistance to change.

4.1.2 Implementing Change

This study reveals that Implementing Change is another critical stage in any change initiative. This core category refers to the actual and deliberate execution of initiatives that depict a different way of doing things. CM literature talks about supporting change to desired state by putting supportive structures to help hold up the change (Kotter, 1996). This is where the new skills and behavior learnt under Planning Change can be implemented (Lewin, 1945; Prosci, 2001). Kotter (1996) encourages the provision of rewards to members who show bravery by changing things. He reckons that an early taste of victory encourages change implementers to keep moving because they would have visualized the future.
The literature review identified positioning of the programme, geographic location and size of the programme as some of the challenges for CM in CBE. This core category has capacity to address these challenges because under it, CM will be implemented within the context (positioning) the programme is operating in, locality (geographic location) and in consideration of its magnitude (size). Furthermore, empirical studies reveal the importance of showcasing CBE (F5), joint planning of activities (F6), conducting synergy meeting (F7) and division of labour (F8) as critical factors in the Implementing Change core category. Many respondents pointed out that showcasing CBE in various forums does not only help people involved to understand it better, it also facilitates the acceptability of the programme among all the stakeholders involved. All respondent categories also affirmed that players easily promoted various initiatives within the programme when those CBE activities were planned together by all stakeholders. Empirical studies have further revealed that continuous interactions among multiple sectors in the education system would help produce a greater effect of the CBE programme than if it is isolated. The outcome of planning activities together and interactions among various sectors in the education system would then be a meaningful division of responsibilities that are to be done in order to promote the programme. The study reveals that the Implementing Change core category allows for these innovations (F5, F6, F7, and F8) to be practiced. Table 10, below, shows the constituent factors of this core category with their substantiating codes in the form of interviewee responses. As was the case in the Planning Change core category, a unique number (e.g. 102kim) is assigned to each of the codes, which assist the author to identify code origins and context.

The following sections provide detailed descriptions of the four CM factors in the Implementing Change core category:
**Table 10**: Implementing Change core category: Constituent Factors and substantiating codes

<table>
<thead>
<tr>
<th>Constituent Factors:</th>
<th>Substantiating codes:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Showcasing CBE (F5), Joint planning of</td>
<td>We used to have open days when communities knew and appreciated what CBE was all about</td>
</tr>
<tr>
<td>activities (F6), Conducting synergy</td>
<td>(200fgdf, 205fgdf).</td>
</tr>
<tr>
<td>meetings (F7), Division of labour (F8)</td>
<td>Encouraging other community members to patronize activities organized by CBE so that</td>
</tr>
<tr>
<td></td>
<td>the programme becomes more visible at community level (205fgdc).</td>
</tr>
<tr>
<td></td>
<td>Meetings were conducted to clear misunderstandings, share best practices and plan on</td>
</tr>
<tr>
<td></td>
<td>way forward with communities and staff (200kis).</td>
</tr>
<tr>
<td></td>
<td>From my perspective, many of them knew at the beginning because we told them...</td>
</tr>
<tr>
<td></td>
<td>However, they understood and appreciated the differences in the course of</td>
</tr>
<tr>
<td></td>
<td>implementation as we progressed because we had synergy meetings and planned</td>
</tr>
<tr>
<td></td>
<td>activities together (200kim, 206kim, 207kim).</td>
</tr>
<tr>
<td></td>
<td>Area Development Committee (ADC) meetings and open day meetings created an opportunity</td>
</tr>
<tr>
<td></td>
<td>for people to learn of the programme because that is where it was showcased (205kis).</td>
</tr>
<tr>
<td></td>
<td>This was done by conducting meetings at offices, and more meetings followed at</td>
</tr>
<tr>
<td></td>
<td>least twice a year as the programme progressed so that the stakeholders keep</td>
</tr>
<tr>
<td></td>
<td>getting reminded of how the programme should run (207kim).</td>
</tr>
<tr>
<td></td>
<td>Joint planning, implementation, monitoring and evaluation of activities together with</td>
</tr>
<tr>
<td></td>
<td>PEA’s (206kis, 208kis).</td>
</tr>
<tr>
<td></td>
<td>Coordinating LCMC committee members in making sure that tasks are divided</td>
</tr>
<tr>
<td></td>
<td>accordingly and that all stakeholders are working properly and that they are</td>
</tr>
<tr>
<td></td>
<td>doing everything assigned to them ... and needed at the centres including facilitator</td>
</tr>
<tr>
<td></td>
<td>support (200kis).</td>
</tr>
<tr>
<td></td>
<td>It also sees that stakeholders get involved appropriately (208kim).</td>
</tr>
<tr>
<td></td>
<td>The technical advisors office also set roles for the different stakeholders and</td>
</tr>
<tr>
<td></td>
<td>discussed with the respective stakeholders those roles (200kim, 208kim).</td>
</tr>
</tbody>
</table>

**Note**: A unique number like 100kim, 102fgdl, 104kis is assigned to each of the codes displayed. These code numbers assist the author to identify code origins and contexts i.e. category of respondent from which response came from.
1. Showcasing CBE (F5)

This study illustrates the important role of showcasing the CBE programme. This refers to exhibiting the programme with the intention of getting people appreciate the success being brought about by it. This factor should not only be limited to activities that are done in the local setting. For example, some respondents have mentioned the need to have CBE showcased at national level events. It has been felt that this display can bring more advantages to the programme. Open day functions, visits by decision makers, participation at national events and celebrating learner’s successes were some key aspects of this factor. This factor helps to address CBE CM challenges related to positioning of the programme within the education system, geographic location and size of the programme, as identified from literature review. This is so, because these inherent characteristics limit the exposure of the CBE programme. By Showcasing CBE, however, it becomes known and thus receives necessary support from concerned stakeholders. Table 10.1, below, presents the substantiating concepts and codes for this factor. The sections after table 10.1 outline the characteristics of this factor, and specific promising practices observed during this study. The section concludes with an analytical discussion of the factor based on findings from, and comparison with, current CM literature.
Table 10. 1: Showcasing CBE (F5): Substantiating concepts and codes

<table>
<thead>
<tr>
<th>Concepts:</th>
<th>Codes:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Open day functions - Platform, laud, speak well of, showcase</td>
<td>Through ADC and open day functions, many people, who might not have had a chance to know about CBE learnt more of the programme (205kis).</td>
</tr>
<tr>
<td>Visits by decision makers - publicizing the programme, spot checks</td>
<td>Not necessarily... We only mentioned the programme in meetings but not deliberately... Information and success stories were only shared through studies and reports (205kim) ... High profile people were invited to see how CBE has helped learners .... I think there is need to have a CBE open day at national level because in that way, the programme will also be showcased at national level ... we also needed to have press releases and radio announcements (205kim).</td>
</tr>
<tr>
<td>National events – acknowledging contributions of stakeholders, amplify contributions of the programme to the education sector</td>
<td>Nothing specific on putting CBE of the platform ... My office was not deliberate. However, there is need to share best practices and showcasing the programme at national level (205kim).</td>
</tr>
<tr>
<td>Celebrating learners successes - sharing success stories, reporting on learner success and publish in newspapers, gifts</td>
<td>...I think, however, that the sporting activities did not only create an opportunity for learners to receive gifts but also to make the programme known (205kis).</td>
</tr>
<tr>
<td></td>
<td>We conducted open days to showcase what learners accomplished (205kim)... Though not deliberate, we also congratulated the learners who did a good job.... I think we showcased CBE instead of showcasing the learner (205kim).</td>
</tr>
<tr>
<td></td>
<td>Some hindrances to making the programme well known were our failure to accomplish the expected curriculum especially in livelihood, failure to acknowledge learners’ good work especially in celebrating successes (205kis) ... and lack of acknowledging the community members and their efforts for a job well done (205kis).</td>
</tr>
<tr>
<td></td>
<td>To showcase CBE to community members and other children in the communities so that they should know that it is their programme and an attractive one (205fgdc)... To help put CBE on the platform (205fgdc).</td>
</tr>
<tr>
<td></td>
<td>Encouraging other community members to patronize activities organized by CBE so that the programme becomes more visible at community level (205fgdf) ... We also organized functions to appreciate learners so that in the process others can see the importance of the programme (205fgdf).</td>
</tr>
<tr>
<td></td>
<td>Sporting activities should be maintained because it helped other children in the village to know about the programme... sometimes they knew when we went around the villages to take part in various development initiatives (205fgdl).</td>
</tr>
</tbody>
</table>
Characteristics

1. Creating a platform for CBE can help enhance the image of the programme. As people see more and more about the programme activities, they tend to accept it as part of the status quo and might even be willing to contribute towards its success. Reh (n.d.) states that when people understand what a change initiative is about, they do not resist it.

2. Allowing visitors to admire a change initiative is a way of spreading the news. Gordon (2006) states that story telling is one of the ways by which change can be made real.

3. Attending national events is another way of publicising change. Publicity is a tool that can be used to laud the programme. As people keep hearing the successes that a change initiative like CBE is registering, they would want to be part of the success story.

4. Sharing impact stories of a change initiative has been publicised as a favourable undertaking in implementing change. Kotter (1996) states that this is like an early taste of victory that gives people a clear sight of what the realised vision will be like.

Specific Promising Practices

1. The CBE programme had a platform to showcase itself at local level. Empirical studies and documents (WRM, 2009) disclosed community activities like open days, and Area Development Committee meetings, which happened once every term at that level. However, activities of similar nature at national level were lacking.

2. Empirical studies have revealed instances when visitors from Malawi and outside visited the CBE programmes after hearing about it. Documented data showed that many of them took it as an opportunity to learn different promising practices.

3. There was no evidence of CBEs involvement at national events. Many respondents desired to participate in various national events but there was no opportunity.
4. Empirical evidence shows that sharing of impact stories was the missing link in the CBE programme. Many respondents registered their frustration with how a lot of good things happening in the programme were not shared to the ‘outside world.’

Discussion

The study promotes the notion that showcasing CBE is an important factor that operates as a basis for making people get acquainted with the programme:

Through ADC and open day functions, many people, who might not have had a chance to know about CBE learnt more of the programme.

There were a lot of good stories and promising practices that were not shared in the course of the programme. When people see the good things that the programme is accomplishing, they feel encouraged to want to subscribe to it. An important dimension that comes with showcasing is that players rejoice with the good publicity and keep supporting the programme. Current literature (Al Tal, 2013) supports this notion by stating that showcasing change initiatives inspires people to explore ways of making the change become sustainable.

As pointed out earlier, a continuous and targeted skills development initiative is necessary for CM. Spiro (2010) recommends that managers who are skilled in marketing or publicising a change initiative are the ones required to implement change. Empirical studies showed that CBE can be showcased in many ways like open day functions, visits by decision makers, participation in national events and celebrating successes. Literature (Prosci, 2001; Kotter, 1996) supports this notion by calling it awareness creation and vision casting. Many respondents registered their appreciation with activities that facilitated the showcasing of the programme like open day and ADC meetings because it made them feel that being involved in CBE is worthwhile. Current literature sustains the argument that showcasing CBE is one of the ways of strengthening a change initiative because support is amassed from interested parties (Al Tal 2013).
2. Joint Planning of activities (F6)

Joint planning of activities was revealed as another important factor for managing change in CBE. This factor exposes the interdependency of development of plans, scheduling of activities and monitoring as elements encompassed by joint planning. Although joint monitoring was bemoaned, a majority of respondents spoke of planning meetings that happened at community, Service Provider and MoEST levels as an initiative that helped strengthen the programme. This factor helps to address CBE CM challenges related to key stakeholder role complexities identified from literature review. This is so because when stakeholders plan together, roles get clarified. Table 10.2, below, presents the substantiating concepts and codes for this factor. The sections after table 10.2 outline the characteristics of this factor, and specific promising practices observed during this study. The section concludes with an analytical discussion of the factor based on findings from, and comparison with, current CM literature.
Table 10. 2: Joint planning of activities (F6): Substantiating concepts and codes

<table>
<thead>
<tr>
<th>Concepts:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Plans - Development and preparing together, planning in a team,</td>
</tr>
<tr>
<td>scheduling together - making joint plans, joint monitoring - directing operations</td>
</tr>
<tr>
<td>Codes:</td>
</tr>
<tr>
<td>Meetings were conducted to clear misunderstandings, share best practices and plan on way forward</td>
</tr>
<tr>
<td>with communities and staff (206kis).</td>
</tr>
<tr>
<td>From my perspective, many of them knew at the beginning because we told them. However, they</td>
</tr>
<tr>
<td>understood and appreciated the differences in the course of implementation as we progressed</td>
</tr>
<tr>
<td>because we had synergy meetings and planned activities together (200kim, 206kim).</td>
</tr>
<tr>
<td>... sometimes we monitored activities as an office without informing the SPs (206kim).</td>
</tr>
<tr>
<td>When their expectation on vocational skills was not met having seen that the learners did basic</td>
</tr>
<tr>
<td>livelihood skills... If they had taken the planning stages of the programme seriously, there would</td>
</tr>
<tr>
<td>not have been this surprise because they were meant to be part of the planning process (206kis).</td>
</tr>
<tr>
<td>The office was planning and doing things together with Traditional leaders who then helped to</td>
</tr>
<tr>
<td>mobilize fellow community members (206kim).</td>
</tr>
<tr>
<td>We were teaching community members and learners on interaction and joint planning especially on</td>
</tr>
<tr>
<td>activities that involve community participation and mobilization (206kis) ... Because of joint</td>
</tr>
<tr>
<td>planning, positive results were realised because the stakeholders appreciated the teaching styles,</td>
</tr>
<tr>
<td>new policies, new style of assessing learners, etc. (206kis).</td>
</tr>
<tr>
<td>Chiefs, GVHs, PEAs, and Local people used to meet on CBE for planning and for sharing notes (synergy)...</td>
</tr>
<tr>
<td>They also monitored other activities together (206fgdc) We planned our lessons in groups and</td>
</tr>
<tr>
<td>discussed them in preparation for week long teaching sessions (206fgdf).</td>
</tr>
<tr>
<td>There was always good understanding among all the people who were involved in the running of the</td>
</tr>
<tr>
<td>programme because of doing things together (206fgdl).</td>
</tr>
<tr>
<td>In planning together with community members (206fgdf)... We linked with traditional leaders and</td>
</tr>
<tr>
<td>community members to make sure that learners were patronizing CBE under every circumstance</td>
</tr>
<tr>
<td>(206fgdf).</td>
</tr>
<tr>
<td>We were taught how to co-exist and plan our work together (206fgdc) ... and together we would</td>
</tr>
<tr>
<td>make plans that we needed to follow on a termly basis (206fgdc).</td>
</tr>
<tr>
<td>Sometimes we planned with senior supervisors and CBE coordinator and monitored activities together.</td>
</tr>
<tr>
<td>However, monitoring with MoEST was always difficult because they had their own programmes</td>
</tr>
<tr>
<td>(206fgdf).</td>
</tr>
<tr>
<td>We learnt hard work. We learn how to plan together and promote teamwork (206fgdc).</td>
</tr>
</tbody>
</table>
Characteristics

1. Development of plans in a team environment is an important success factor for Change Management because it provides room for players to contribute thoughts and opinions for an initiative to move forward. Blumenthal (1991) calls it a way of complementing each other on strategic deficiencies.

2. Scheduling of activities together encourages participation from all players. This is a new behavior because it is a departure from dictatorship, which would usually come with absolute schedules (Prosci, 2001).

3. Development of plans and scheduling of activities together will become meaningless if players are not willing to conduct joint monitoring of how a change initiative is progressing. Joint monitoring, a missing ingredient in the CBE programme, will result into continuous joint action plans, which encourages continuous participation from players in a change initiative.

Specific Promising Practices

1. There was a lot of joint development of plans in the CBE programme (MoEST, 2013). Empirical studies revealed that stakeholders in the programme, especially at the MoEST and Service Provider level, would meet to develop termly and annual plans. The encouraging evidence from empirical studies was that this joint development of plans also took place at community level where facilitators, supervisors and traditional leaders would develop plans as a team.

2. Empirical data have demonstrated that scheduling of activities was done in consultation among key stakeholders in the programme. Activities like Area Development Committee meetings and Open Day events were scheduled on days that allowed all stakeholders involved to take part. This was particularly important because a programme that involves community members should not be isolated from the community members’ daily lives by operating as if the community members do not have a life apart from the programme.

3. Joint monitoring was the missing feature in the CBE programme. For example, empirical evidence has shown that Service Providers’ calendar of monitoring was
not blended with that of MoEST. As a result, Service Providers sometimes felt like they were being spied on. Inadequate joint monitoring resulted into disjointed follow up of activities that needed to be improved.

Discussion

This study advances the notion that joint planning of activities in a change initiative encourages continuous participation from players in the initiative. When players in a change initiative plan together they all become more involved in the initiatives within the programme. CBE registered some noticeable promising practices towards joint planning of activities:

We were teaching community members and learners on interaction and joint planning especially on activities that involve community participation and mobilization. Because of joint planning, positive results were realised because the stakeholders appreciated the teaching styles, new policies, new style of assessing learners, etc.

Current literature heartens joint planning especially for education initiatives that depend on community participation. Chrusciel (2008) points out that if communities that are served by schools are allowed to take broader planning opportunities in these schools, they become more involved in school governance. Basically, when community members are allowed greater opportunities even learning improves. Fullan (2007) supports this impression by stating that community members are the ones who are much aware of the situations of learners, hence they help direct facilitators on which learner requires support. A lot of the joint planning in CBE was for achieving both short term and long term goals. Blumenthal (1991) nonetheless, argues that joint planning is not particularly well suited to short term goals. He reckons that many joint ventures hold the potential to serve as positive vehicles for strategic change if they are viewed as means to achieve longer term objectives. From CBE, however, a majority of respondents, especially those from the communities, commented that brushing shoulders with facilitators and supervisors during planning meetings made them feel that they were contributing to something very important.

Joint planning is one of the ways to make sure that all major activities that have to be done in an initiative are included. KAW Consulting (2010) states that activities like
culture change and impact analysis will be included in the overall plan if the participation of people is not overlooked. At the end of the day, a project will not fail because a major area was overlooked during planning. It is evident from current literature therefore that joint planning is a critical CM factor in CBE.

3. Conducting synergy meetings (F7)

The study uncovers Synergy as a critical CM factor in CBE. Because CBE is a government programme, many respondents felt that it is isolated from other government programmes. At district level, however, there was some synergy happening because of initiatives live District Executive Committee meetings that allow different development players in the district to share notes and collaborate on various initiatives. The presence of various education and development initiatives in the areas where CBE operated during the period of this study is a good case for synergy. This is so because interaction, cooperation and collaboration, which are the elements within this factor, will produce a greater result than individual efforts. For example, if an organisation that promotes clean water initiatives targets a CBE learning centre, learners at that particular centre will not be absent due to lack of water. If CBE links up with organisations that promote a reading culture, or teach young people about HIV and AIDS, more learners could be exposed to issues that affect them. Such synergies would help improve the programme. This factor, just like F6, above helps to address CBE change management challenges related to key stakeholder role complexities identified from literature review. This is so because synergy meetings are a platform for collaboration. Table 10.3, below, presents the substantiating concepts and codes for this factor. The sections after table 10.3 outline the characteristics of this factor, and specific promising practices observed during this study. The section concludes with an analytical discussion of the factor based on findings from, and comparison with, current CM literature.
Table 10.3: Conducting synergy meetings (F7): Substantiating concepts and codes

<table>
<thead>
<tr>
<th>Concepts:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Interaction, Cooperation and Collaboration: Sharing notes, touching base, agreeing on implementation, strategic, engagement, networking</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Codes:</th>
</tr>
</thead>
<tbody>
<tr>
<td>This was done by conducting meetings at offices, and more meetings followed at least twice a year as the programme progressed so that the stakeholders keep getting reminded of how the programme should run (207kim).</td>
</tr>
<tr>
<td>Time to time meetings with ADCs as opportunities to share notes ... others call them synergy meetings (207 kis) and some community members could come in the office to get understanding of the programme. Meetings were conducted on a monthly basis (207kim) ... With service providers it was mostly once a month or as need arose... With the DEM it was twice a term (207kim).</td>
</tr>
<tr>
<td>From my perspective, many of them knew at the beginning because we told them. However, they understood and appreciated the differences in the course of implementation as we progressed because we had synergy meetings and planned activities together (200kim, 207kim).</td>
</tr>
<tr>
<td>There was not intentional forum. However, we were engaging them when we had tasks to achieve. We did not have intentional meetings,... We only had synergy meetings when there was an activity (207kis)... one every two months, and other meetings were incorporated within the supervision meetings (207kis).</td>
</tr>
<tr>
<td>at the end, some stakeholders, especially those who were not part of the synergy meetings, were surprised to see that the programme wound up at 3 years (207kis). However, at some point, it was difficult to call stakeholders to synergy meetings because of lack of funding (207kim).</td>
</tr>
<tr>
<td>Involvement of government in critical trainings with community members as co-facilitators so that they (govt) can learn more about the programme on the Job (207kis) ... these meetings increased cooperation and collaboration (207kis). We had planned to be meeting at least twice a year but we ended up meeting as need arose (207kim).</td>
</tr>
<tr>
<td>Chiefs, GVHs, PEA, and Local people used to meet on CBE for planning and for sharing notes (synergy) (207fdgc)There was understanding because of always meeting to do things with one mind (207fgdl)</td>
</tr>
<tr>
<td>We met with facilitators, CBE supervisors, and other stakeholders to encourage one another on our roles in the programme (207fgdc) ... We discussed various issues in our meetings and when there was a challenge, we brainstormed on the possible solutions (207fgdc) GIZ, World Relief and GoM, MoEST used to meet to strategize on how the programme should run (207fgdf)</td>
</tr>
</tbody>
</table>

Characteristics

1. Interaction is a networking level that results from a synergy where other organisations and development practitioners would basically be aware of the
presence of the programme (Ryan et al., 2012). In the case of this study, this level was achieved through sensitisation in the Planning Change core category.

2. From this study, another characteristic of synergy is cooperation. Bertalani, Csedo and Tamus (2013) state that continuous cooperation of change agents in an initiative helps to achieve higher performance. This is where the CBE programme would work with other departments, agencies, development practitioners or organisations to support a common goal. In this case, improving CBE by assuring that more and more learners return to school.

3. Collaboration is another characteristic of synergy. In collaboration, members would feel that they belong to one system. This level of synergy could lead to the establishment of oversight steering committees (Borden & Perkins, 1999).

Specific promising practices

1. Empirical studies show that CBE programme was not deliberate in interacting with other departments, agencies, development practitioners or organisations. However the District Executive Committee meetings provided an opportunity for other development practitioners to be aware of the programme.

2. Empirical data has revealed that cooperation in CBE was largely among partners within the system. There was inadequate cooperation with other development practitioners who were not connected to the CBE family. In many instances, traditional leaders were the link and facilitators of cooperation between CBE and other development practitioners because both needed to operate in the traditional leaders areas of jurisdiction.

3. WRM (2009) demonstrates that CBE collaborated with other organisations, especially the donor community. Empirical data revealed that there were frequent meetings between the CBE staff and members of the donor community especially the German Technical Corporation. This particular study is actually a result of such collaboration.
Discussion

This study has established the role of synergy in practicing CM in CBE. The study has affirmed that synergies at community, district and donor partner levels would help improve the CBE programme:

This was done by conducting meetings at offices, and more meetings followed at least twice a year as the programme progressed so that the stakeholders keep getting reminded of how the programme should run.

Although the phase of CBE understudy did not meaningfully expulse this factor, the need for synergy in CM is well established in current literature.

Conner (2011) suggests that through synergies in change initiatives, much is accomplished and higher quantity and quality output is achieved with fewer resources. Other researchers (Jung, 2011; Badrtalei and Bates, 2007) confirm that change initiatives use fewer resources to achieve a meaningful presence because of synergy. Many respondents in this study suggested that strengthened synergies could bring about greater improvement in CBE because stakeholders would contribute in providing solutions to various challenges. Zeepedia (n.d.) concurs with this thought when he declares that the focus of synergies is quick problem solving through team thinking and team actions. The aim of synergies is to achieve project goals and objectives of a change initiative. Conner (2011) declares that agents who achieve high level of synergy stand a much greater chance of realising their goals during major organisational change.

Through the critical review of current literature, this study establishes that synergies promote efficient and effective team work in change management. Although empirical evidence shows low levels of synergy within the system, literature (Ryan et al., 2012, Bertalani, Csedo and Tamus, 2013) maintain that this factor encourages high performance and sustainability. Baker et al. (2011) encourage that change efforts should focus on leadership at all synergy levels.
4. Division of Labour (F8)

Division of Labour is one of the significant factors influencing CM in the CBE programme. Because of not having a systematic way of discharging it, this factor tends to be complex (Wadeson, 2013). However, empirical evidence has illustrated it as a discernible factor. In many cases, staff in the CBE programme did not struggle because terms of reference for various players were already set. Throughout the CBE programme, coordination, commitment to share roles and stakeholder capability (expertise), were the guiding elements under this factor. This factor, like the two above it (F6 and F7) also helps to address CBE CM challenges related to key stakeholder role complexities identified from literature review. This is so because division of labour helps to identify goal owners who can be held accountable for various tasks. Table 10.4, below, presents the substantiating concepts and codes for this factor. The sections after table 10.4 outline the characteristics of this factor, and specific promising practices observed during this study. The section concludes with an analytical discussion of the factor based on findings from, and comparison with, current CM literature.
Table 10. 4: Division of Labour (F8): Substantiating concepts and codes

<table>
<thead>
<tr>
<th>Concepts:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Coordination – management and harmonization of labour</td>
</tr>
<tr>
<td>Commitment to sharing – roles and responsibilities, other stakeholders tasks</td>
</tr>
<tr>
<td>Expertise – stakeholder skills, capability in designated tasks, proficiency</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Codes:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Coordination of activities with districts and service providers (208kim)</td>
</tr>
<tr>
<td>Teacher Training Colleges (TTC) were responsible for material development, Centre for Education Research And Training (CERT) was responsible for conducting research and giving feedback on how the programme was running, MINISTRY of YOUTH was responsible for finding out a proper transition for learners who cannot go back to the formal school (208kim).</td>
</tr>
<tr>
<td>Yes, there was division of labour based on expertise … because MoEST were working closely with service providers who were on the ground and communities were championing the activities of the programme at field level (208kis). After getting more information on what the programme is all about, roles and responsibilities were handled well by the various stakeholders … The stakeholders were then given various roles to handle based on their strengths (208kim).</td>
</tr>
<tr>
<td>Advisor from the District Commissioner … 208fgdf … Service providers also took part in informing us about the programme … Even the headmaster because he was the one handling the responsibility of collecting facilitator application letters… this was a way of sharing (208fgdf).</td>
</tr>
<tr>
<td>The LCMC was also responsible for digging pit latrines at the CBE centre …, Visiting the centres …, Following up on facilitator attendance … 208fgdc … and encouraging children to come to school and encouraging parents to only ask their children to do domestic chores in the morning… everyone contributed by doing what they were able to do or skilled in (208fgdc).</td>
</tr>
<tr>
<td>Our responsibility was to look for all possible candidates in the villages and encourage them to join CBE … Our responsibility was to come to the centres in good time for the sake of monitoring how things were being done … we were also visiting children (208fgdc).</td>
</tr>
<tr>
<td>As facilitators taught … and shared responsibilities with all stakeholders who were involved in the running of the programme (208fgdf), community members were helping in the monitoring of the programme while traditional leaders were encouraging parents to send learners to the centre (208fgdf).</td>
</tr>
<tr>
<td>We assisted each other in different activities … We worked together by not being absent so that the programme should continue to move smoothly …. Discussing and finding solutions to some of the challenges we were facing as learners (208fgdl). Because responsibilities were shared accordingly, CBE successes were visible (208fgdf).</td>
</tr>
</tbody>
</table>
**Characteristics**

1. Division of Labour within a change initiative will be difficult to enact without coordination. Literature (Tonningen, 2000) affirms that poor coordination affects the implementation of activities in an initiative.

2. Division of Labour as a CM factor is enhanced by the players’ commitment to share roles. Players in a change initiative will work hard to see the change succeed if they feel that they are helping contribute to its success (Jurow 2012).

3. The inability to consider stakeholders’ expertise in sharing roles and responsibilities can be a drawback as far as division of labour is concerned. Therefore, the determination of stakeholders’ capabilities is of significant importance when dividing labour in a change effort.

**Specific promising practices**

1. Empirical data has shown that there was a coordinated approach to make sure that tasks were divided meaningfully among the stakeholders. This was facilitated by the fact that the CBE programme design had roles and responsibilities already marked for various stakeholders (MoEST, 2011). As a result the stakeholders were able to cover and provide support to one another as and when need arose.

2. Empirical evidence has revealed that the stakeholders were committed to working together. The CBE programme required participation of the educated (Education Managers) and that of the uneducated (community and traditional leaders). This however, did not derail the commitment of both categories in taking up their responsibilities. Empirical data shows a close and supportive link for both categories.

3. During the field studies, it was noted that responsibilities like digging pit latrines and thatching of learning spaces were left to local artisans, who are skilled in them. On the other hand, supervision and lesson plan review, which require specialised technical skills, were left to those who had them.
Discussion

The study affirms the importance of division of labour in the management of change in the CBE programme. The study has also observed the benefits that come with division of labour in such initiatives:

Teacher Training Colleges (TTC) were responsible for material development, Centre for Education Research And Training (CERT) was responsible for conducting research and giving feedback on how the programme was running, MINISTRY of YOUTH was responsible for finding out a proper transition for learners who cannot go back to the formal school.

This finding is supported by current literature because several authors have reported on its importance. Chrusciel (2008) states that when labour is divided among stakeholders including community members, they become more involved in school governance. Basically, when community members are allowed greater opportunities and involvement in governance, students’ retention is assured because community members are the ones who are aware of the situations of students. Fullan (2007) affirms that community members are able to direct facilitators on which students require support.

It has been recognised that division of labour has positive effects on job satisfaction. As it was noted with synergy, division of labour also facilitates reduced programme implementation costs. Wadeson (2013) declares that division of labour can have advantages of job enrichment and lower coordination costs. In the case of CBE, the work that community volunteers did helped to reduce financial costs that would otherwise be incurred if volunteers were not there.

Division of labour eliminates excessive domination, where some players consider themselves as gurus of the change process. Hill (2012) probably sums it well when she states that a fundamental principle in division of labour is that all participants in a change process are learners. A recommendation from current literature that is important for CBE to consider is the need for management of internal relations, which, according to McKersie and Gershenfeld (2009), should go hand in hand with division of labour for continued interdependence in programme implementation.
As evident from current literature, division of labour in change initiatives like CBE has important positive effects. Apart from efficient CM, many respondents in this study, especially those at community level, were pleased with the roles they were entrusted with because labour was divided.

4.1.3 Institutionalising Change

The study illustrates that Institutionalising Change is a significant component because it facilitates the establishment of a change effort. For change to be valuable, it must be instituted within the tradition. Much of the CM literature talks about anchoring, fixing and securing changes so that they become part of the tradition in an organisation (Prosci, 2001; Kotter, 1996). Lewin (1945) calls this the freezing state.

Nevertheless, empirical studies reveal that there is need for continuous supervision even in Institutionalising Change so that factors that are encompassed by this step continue to hold. This core category helps to address CBE Change Management challenges related to positioning of the programme within the education system, geographic location and flexibility in implementation. These being some of the inherent characteristics of CBE identified from literature review. This is so because change will need to be secured where the programme is operating (both context and location) and in a way that is relevant to how the programme runs (flexibility). From empirical data, it was established that the Institutionalising Change category encompasses four constituent factors. Everyone of the constituent factors has a critical role in securing the change in CBE. These factors are Establishing Accountability Structures (F9), Linkages (F10), Guidebook (F11) and Translation (F12). Table 11, below, shows the constituent factors of this core category with its substantiating codes in the form of interviewee responses. A unique number (e.g. 102kim) is assigned to each of the codes displayed. Since data was collected from different categories of respondents, this code number assists the author to identify code origins and context.

The following sections provide detailed descriptions of the four CM factors in the Institutionalising Change core category:
**Table 11:** Institutionalising Change core category: Constituent Factors and substantiating codes

<table>
<thead>
<tr>
<th>Constituent Factors:</th>
<th>Substantiating codes:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Establishing Accountability Structures (F9), Linkages (F10), Guidebook (F11), Translation (F12)</td>
<td>... and collection of concerns (300kim, 309kim).</td>
</tr>
</tbody>
</table>

Reminding chiefs to encourage parents on sending their children to school ... Signing off facilitators attendance (309fgdc).

Supervision, overseeing the running of the centres, operations of the LCMC members, and reporting ... to service provider on how centres are operating (309kis).

If the association with donors and MoEST was to be removed, activities would continue ... but with some challenges because MoEST would still need that link as it has proven to be useful (300kim, 310kim).

In my opinion, MoEST in partnership with donors (GIZ) because they initiated the programme due to their interest in basic education (310kim).

... PEA also took part (310fgdc).

Reports were lacking from some of the stakeholders but work in monitoring was done. There was a pamphlet on supervision, which was shared but was not used by the stakeholders (300kim, 311kim). Curriculum outline was not shared because it was too big (311kim).

Record keeping was an important aspect in the running of the programme because it gave an opportunity for emulating promising practices and providing information on how the programme was to and should run (311fgdf).

However, the literature that I talked about in question number 10 was not translated (312kim) for this caliber to appreciate it.

Not sure who developed the manuals but we basically revised them and sometimes communicate them in Chichewa so that they can make sense to our specific audiences (300kis, 312kis).

**Note:** A unique number like 100kim, 102fgdl, 104kis is assigned to each of the codes displayed. These code numbers assist the author to identify code origins and contexts i.e. category of respondent from which response came from.
1. Establishing Accountability Structures (F9)

Establishing of accountability structures is considered a rare occurrence in many change initiatives (Britt & Mountjoy, 2012). It, however, was revealed as one of the considerable factors for Institutionalising Change in CBE. Accountability for change agents is important for consistency in driving change (Blanchard & Edmonds, 2010). Empirical evidence discovered commendable attempts of establishing accountability structures throughout the programme. Systemic accountability was evident from empirical data. The guiding elements of this factor in the CBE programme were strong reporting structures, established monitoring and supervision structures including a desire for strengthened Management Information Systems (MIS). This factor helps to address CBE change management challenges related to positioning of CBE within the education system as an inherent characteristic for CBE identified from literature review. This is so because the factor calls for the establishment of these accountability structures within the CBE programmes set up and context. Table 11.1, below, presents the substantiating concepts and codes for this factor. The sections after table 11.1 outline the characteristics of this factor, and specific promising practices observed during this study. The section concludes with an analytical discussion of the factor based on findings from, and comparison with, current CM literature.
Table 11. 1: Establishing Accountability Structures (F9): Substantiating concepts and codes

<table>
<thead>
<tr>
<th>Concepts:</th>
<th>Codes:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reporting – contracts, accountability</td>
<td>My office was largely involved with collection of concerns so that the concerned offices and officers can respond to them (309kim). Data was kept centrally but was not easily accessible (309kim). Visiting centres ... supervising, coordinating CBE activities and reporting so that responsible officers can take appropriate action (309kis).</td>
</tr>
<tr>
<td>Supervision, Monitoring – spot checks, hold to account</td>
<td>Supervision, overseeing the running of the centres, operations of the LCMC members, and reporting ... to service provider on how centres are operating (309kis). However, those who received reports knew them just as those in LCMCs (309kis). We applied for the Supervisor Job when it was advertised. Everyone who wanted to apply for the post had an opportunity to do so (309kis) DEMs were responsible for giving guidance on where the programme needed to go, they were also responsible for Education Management Information Systems (309kim).</td>
</tr>
<tr>
<td>Management Information System - Quality assurance, Transparency,</td>
<td>Service providers were providing leadership by being on the ground and reporting back to MoEST ... and donors visited to monitor centres in all districts in order to make sure that things were going on as planned (309kis). So parents are key because they were holding the learners accountable (309kim); LCMC members were signing off facilitators attendance so that facilitators do not absent themselves unnecessarily (309fgdc).</td>
</tr>
</tbody>
</table>

‘We worked well with our leaders and would ask our facilitators to tell us how things were going (309fgdc). On top of that, we would sign off when a facilitator was at the learning centre’ (309fgdc) and inform the chairman when facilitator was absent (309fgdc). We did not know if absenteeism information was recorded and kept centrally. Senior supervisor was leading us and taking care of things at district level while zonal supervisor was taking care of things at zonal level in conjunction with chiefs ... this assured that everyone took their responsibility seriously (309fgdf).

Weekly and termly trainings also acted as quality control check points (309fgdf). By following the instructions that our facilitators were giving us because facilitators gave instructions and made sure that all learners followed them (309fgdl).

Committee members were visiting us in our homes throughout the CBE programme (309fgdl) ... As facilitators and chiefs encouraged us to continue attending school, parents were supervising our work after school (309fgdl) the whole time we were in CBE ...and CBE supervisors were frequently checking up on us (309fgdc)Facilitators signed contracts that stipulated what was expected of them (309fgdf).

Some teachers were collecting learning materials on their own. However, accountability was shown when facilitators collected learning materials in the company of LCMC members (309fgdc) The CBE supervisor should still be around to continue providing controls (309fgdc).
Characteristics

1. Clear reporting structures in a change initiative are necessary because they help to identify who is responsible for putting on record success factors, challenges, and best practices that new staff can always refer to when need arises.

2. Clear reporting structures have a bearing on supervision structures, which determine that monitoring is adequately done. In turn, clear supervision structures assure that those who are responsible and accountable for championing various aspects of a change initiative are identified.

3. Although not evident in CBE, an advanced stage of putting on record various developments taking place in a change initiative is reliable Management Information System. Other researchers (Allameh, Zamani & Davoodi, 2011) have called this “knowledge management.”

Specific promising practices

1. Empirical data has revealed that there was a systematic way of reporting in CBE. LCMC members documented information, which was handed over to facilitators. The facilitators would then consolidate and handover to supervisors, who had a responsibility of reporting to senior supervisors. The senior supervisor sent their reports to the central office.

2. Empirical studies highlight that supervision strictly followed the reporting structure. This was so because the supervision was largely concerned with following up issues from reports. Through the same follow ups, responsibilities were shared accordingly. It was the responsibility of the staff supervising a particular staff member to make sure that shared assignments were given the due attention by the assigned officer.

3. During the field studies, it was noted that knowledge management was not strong at community level. However, there were notable attempts at central office to manage knowledge so that reference points can be readily available (MoEST, 2009).
Discussion

The study verifies the value of establishing accountability structures in a change initiative. Empirical evidence has also uncovered some advantages of establishing accountability structures:

Some teachers were collecting learning materials on their own. However, accountability was shown when facilitators collected learning materials in the company of LCMC members.

Various authors (Britt & Mountjoy, 2012) affirm that accountability is critical if change in organisations is to be sustained. The presence of accountability structures in CBE helps results to be tracked and reported in a meaningful way. Britt and Mountjoy (2012) affirm that accountability structures facilitate quick decision making because there is a high level of communication and information flow.

Reporting and supervision as elements of accountability structures (F8) are supported by literature. Kotter (2008) reveals that accountability structures help to overcome complacency because they are continuous reminders for change agents to be vigilant in their roles to effectively manage change. Complacency in the CBE programme was checked because accountability was ensured from various angles. Accountability structures in a change initiative act like a systematic performance management tool. Johnson (2012) verifies that accountability structures are an opportunity to systemise our Change Management process, while keeping it vital.

Indeed, the study has established from empirical studies that creating accountability structures is advantageous, current literature has also unveiled the importance of creating accountability structures in change initiatives. Britt and Mountjoy (2012) encourage every change initiative to establish accountability structures because they help managers and employees to understand the priorities of their jobs, determine how success is measured and their specific roles in being successful, and create mechanisms for transparency for communication and for immediate problem solving.
2. Linkages (F10)

The findings of this study show that Linkages is another important factor in influencing the practice of change management in the CBE programme. Empirical studies have revealed that establishing and maintaining linkages with various stakeholders provided a support system to the programme. Other respondents bemoaned the lack of strategic linkages to compliment CBE efforts. For example, respondents felt that the lack of a strategic linkage with vocational training institutions frustrated some CBE learners. This study recognised that linkages with fellow players in the development field, linkages with donors to financially support efforts and linkages with stakeholders to compliment efforts that CBE did were the guiding elements of this factor. This factor helps to address CBE Change Management challenges related to geographic location as identified from literature review. This is because establishing of linkages ensures that the CBE programme accesses all required support even though it operates in rural areas, away from MoEST headquarters. Table 11.2, below, presents the substantiating concepts and codes for this factor. The sections after table 11.2 outline the characteristics of this factor, and specific promising practices observed during this study. The section concludes with an analytical discussion of the factor based on findings from, and comparison with, current CM literature.
**Table 11.2: Linkages (F10): Substantiating concepts and codes**

<table>
<thead>
<tr>
<th>Concepts:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Fellow Players, Donors and Vocational training Institutions: Establishing and maintaining connections with other stakeholders, Support system, Linking with various players to complement, Partnerships, Association.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Codes:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>There were linkages with NGOs, Government arms (DC, DEM, District councils) (310kim) Partnership and linkages between Govt and NGO is a new phenomenon in Malawi and is a good development (310kim). Maintaining connection with government arms like District Assemblies (DEM, DC) helped in that they were like custodians and watchdogs of the programme (310kim).</td>
<td></td>
</tr>
</tbody>
</table>

In my opinion, MoEST in partnership with donors (GIZ) because they initiated the programme due to their interest in basic education (310kim). If the association with donors and MoEST was to be removed, activities would continue ... but with some challenges because MoEST would still need that link as it has proven to be useful (310kim) Linkages with service providers and other stakeholders should not be removed ... If they were removed, I doubt if the programme would run because the government staff (PEAs) only waited for money and technical advice from Service Providers and donors ... although they had their own funds provided for their activities (310kis).  

Yes, GIZ (donor) was promoting and funding sensitization programmes (310kim) ... Apart from that, MoEST connected with various donors who then provided materials for service providers to use in trainings (310kis) If there was a deliberate link to institutions that provide vocational training skills, maybe there would have been good complementarity and appeasement to the frustrated stakeholders (310kis). Yes especially on vocational skills vs livelihood skills ... If the CBE learners who did not want to return to the formal school were linked to vocational schools, they would have built on the skills received from CBE (310kis). A lot of older children hoped that they would learn vocational skills and when they saw that they were learning basic livelihood skills, they left, and others were absent because there was no link to any vocational institution (310kim). Unfulfilled promises and commitments to community members and learners, especially on livelihood lessons,...may be linking community members especially LCMC members to other initiatives that would help build their capacity or create their livelihood (310fgdc).  

lack of continuity for learners who cannot support themselves ... linkages with stakeholders who have other complementing activities for them to take the story further (310fgdl) ... therefore linking us with various stakeholders and trainers, as has been the case, should continue (310fgdl). The association with government departments encouraged community development assistants to also take part (310fgdc) ... These were the appropriate people to relay the message.  

Because every development initiative has to be linked to local leaders who are development promoters at the local level (310fgdc). PEA is MoEST representative in the area and it was sensible for this, being an education project to be Associated with the PEA’s office (310fgdc). We needed to establish linkages with community members and traditional leaders for the programme to run smoothly (310fgdf) ... Primary school teachers took part in letting us know because they were linked to the programme (310fgdf)When we told the CBE supervisor our challenges, he/she would link with various service providers in the area to make sure that the support is provided (310fgdc)... Good relationships existed among all stakeholders and this was deliberately encouraged (310fgdc).  


**Characteristics**

1. Linkages with fellow players like NGOs and Community Based development efforts are important because they helped expose CBE more. Specifically, a change initiative like CBE gets marketed through DEC and VDC meetings, which bring these players together.

2. Some change initiatives cannot be sustained if there is no money. Linkages with donors are an opportunity to financially bankroll a change initiative. Continuous flow of money helps initiatives not to be pended (Toal, 2013).

3. Linkages with other stakeholders that can complement change initiatives enable the change be meaningful and contribute to an initiative’s success. In the case of CBE, linkages to vocational training institutions so that learners who were older, and not motivated to go back to the formal school, can attend would be a good option.

**Specific promising practices**

1. Empirical data has revealed that CBE officials were present in meetings with fellow development practitioners. This gave them an opportunity to market CBE as they spoke about it. During the field studies, some learners indicated to have learnt about the existence of CBE from other sources in the community, not necessarily from CBE staff.

2. Studies (WRM, 2009; MoEST 2013) reveal the evident relationship between CBE and the donors. Some practices of CM in CBE could not be done without financial resources. For example, Open Days (showcasing CBE) and Reporting Meetings (accountability structures) were funded separately by donors. Respondents also reported that at times donours brought partners to the CBE programme with the hope of extending the funding base.

3. During the studies, it was reported that in one area, a stakeholder provided shoes to CBE learners as a way of complementing CBE efforts. These shoes made more learners patronise the learning centres. Lack of linkage to vocational training institutions, however, was pointed out by a majority of respondents as one of their biggest frustrations with the programme.
The reasoning was that some older learners were not keen to return to the formal school after the 3 year CBE cycle. The argument was that having learnt to read and write (in CBE) what remained was to learn a skill (in a vocational training centre) so that they can be fully independent.

Discussion

The findings of this study confirm a general view in CM literature that linkages with fellow players foster Change Management practices in change initiatives (Mellati-Parasti & Digman, 2007).

The element of establishing linkages for the sake of raising resources is well supported in literature. When the desire is to mobilize people and resources around a change however, Battilana and Casciaro (2012) advise that some degree of structural closure is necessary. Empirical evidence from this study, however, reveals that despite structural closure and structural holes, linkages provide help to build support and mobilise resources for change:

Yes, GIZ (donor) was promoting and funding sensitization programmes. Apart from that, MoEST connected with various donors who then provided materials for service providers to use in trainings.

ISSA (2009) affirm that the advantage of this working strategy is that welfare organisations, and other government institutions, combine forces and allocate resources towards an initiative. Further to this, ISSA (2009) coined the term 'inter-institutional management' to refer to these imaginative and sustained strategic alliances with various social actors because they bring greater impact and reduce workloads.

Although the study specifically mentions linkages to Vocational Training Institutions (VTIs) as critical, literature of CM in education does not specifically mention VTI. Instead, researchers (Khrishnan, 2009; Caldwell, 2003) generally support that linkages help one identify where help can come from. Prosci (2012) affirms this by stating that linking with different stakeholders is a way of building support for CM. Battilana and Casciaro (2012) advise that when linking up with other players to build support for CM, we should not be interested with a high degree of structural closure but for structural
holes because they increase the adoption of changes that are different from the status quo.

Current CM literature, therefore, affirms the importance of linkages in change management. Although a majority of respondents specifically mentioned linking CBE to vocational training institutions, current literature only alludes to general complementarity (Dhebar, 1995). The author, however, contends that linking the CBE programme to vocational training institutions might, in the long run, defeat the purpose of CBE because it would be some form of short-cut to meeting other people’s ambition which is vocational training. On the contrary, the purpose of CBE should still be enabling learners aspire for more and more education up to, at least, secondary school level. In so doing, the learners will find it easier in a vocational training if they chose to enroll after secondary school.

3. Guidebook (F11)

Having a guide book has been identified as another significant factor influencing the practice of CM in the CBE programme. This is vital more especially when we consider the fact that Change Management is a new field of study and this is true for many Malawian organisations (Posch, 1996; Whitaker, 1996; Bolam, 1997). Empirical evidence has brought to light the fact that guidance for programme implementation needs to be provided in different ways. While provision of implementation of guidelines is necessary at the grassroots, there is need for a CBE handbook at managerial level. At central government level, CBE implementation needs to be guided by government policy. This study, therefore, recognised isolated implementation guidelines, handbooks and policy documents as critical elements guiding this factor. This factor helps to address CBE Change Management challenges related to geographic location as an inherent characteristic of CBE identified from literature review. This is so, because, clear guidelines for enhancing CM can be used anywhere regardless of geographic location. Table 11.3, below, presents the substantiating concepts and codes for this factor. The sections after table 11.3 outline the characteristics of this factor, and specific promising practices observed during this study. The section concludes with an
analytical discussion of the factor based on findings from, and comparison with, current CM literature.

Table 11. 3: Guidebook (F11): Substantiating concepts and codes

<table>
<thead>
<tr>
<th>Concepts:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Implementation Guidelines - procedures, pamphlet, programme outlines,</td>
</tr>
<tr>
<td>Handbook - implementation guides,</td>
</tr>
<tr>
<td>Policy – policy guide, document, manual,</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Codes:</th>
</tr>
</thead>
<tbody>
<tr>
<td>My office conceptualised the programme and put the programme guidelines. (311kim) It also sees that stakeholders get involved appropriately ... providing the implementation guidelines (311kim) and assessment procedures. Every training has a manual but the manuals are not compiled into a handbook (311fgdc).</td>
</tr>
</tbody>
</table>

The literature is left with the stakeholders so that they can get familiarised with the programme ... The literature tackled issues like; why CBE?, Needs assessment, Research results, Who are the implementers, Curriculum, Monitoring, Who is CBE for?, and involvement of implementers... need for a govt policy (311kim).

There was a pamphlet on supervision, which was shared but was not used by the stakeholders (311kim). Curriculum outline was not shared because it was too big (311kim). Not one handbook. We have different books for different issues as guidelines (311kim).

No handbook or policy document. We just had manuals for our induction services and we used the same to teach other stakeholders (311kis). Training manuals are available but not a proper handbook (311kis).

Record keeping was an important aspect in the running of the programme because it gave an opportunity for emulating promising practices and providing information on how the programme was to and should run (311fgdf). Not sure of policy guidance on CBE (311kis). Compiling our materials helped us to have a reference (311fgdf).

Supervisors and other CBE staff were sharing information from documents that they had compiled ... in order to refer to something that was well arranged and organised (311fgdf). Increase frequency of LCMC meetings and trainings so that in the absence of a manual, staff can still have guidance (311fgdc). The teachers and supervisors always had guidelines to use for class and other meetings (311fgdf). ... guidebooks for facilitators to use (311fgdf).

Characteristics

1. Provision of implementation guidelines to frontline staff and community members involved in the programme helps to build their confidence.
2. The availability of a handbook is an indication that change agents in an initiative are serious with making sure that new comers know what to do. This process ensures progression of change management processes in an initiative.

3. The presence of policies, especially in Malawi, signifies governments’ commitment in making sure that initiatives move forward. A policy document is a way that government uses to provide policy direction for change implementers in different government initiatives.

Specific promising practices

1. Staff in CBE were able to provide and receive implementation guidelines following the supervision and reporting structures that existed in the programme. Empirical studies have discovered that facilitators and LCMC members were particularly appreciative of the continuous guidance on implementation.

2. The study has revealed that there was no CBE handbook available. Many respondents bemoaned the lack of a handbook because in the absence of someone to seek guidance from, there was no reference.

3. Empirical studies confirm the reference of CBE in some Ministry of Education policies like the National Education Sector Plan 2008-2017. Apart from that, there was no standalone CBE Policy guide at the time of the study.

Discussion

Findings from the study affirm assertions in current literature that a CM guidebook is a tool for project leaders to use in understanding and implementing Change Management activities (NextGen, 2011). A current literature search has led the author to guidebooks for CM in different fields. Although some of the guidebooks are specific, there is a general agreement that guidebooks provide guidance for effective and efficient management of change (Virginia Centre, 1993; CCPS, 2011).
Empirical evidence, however, acknowledges that in the absence of a proper guidebook as is the case in CBE, implementation guidelines that are provided as training can be compiled and used as guidance:

We just had manuals for our induction services and we used the same to teach other stakeholders. Every training has a manual but the manuals are not compiled into a handbook.

Virginia Centre of Excellence (1993) stress that guidebooks provide practical guidance on how to successfully initiate and sustain a process improvement in a programme.

Having a guidebook can be considered a form of knowledge management in the CBE programme. From literature consulted, the element of knowledge management within a change initiative does not seem to be emphasised. Researchers (Williams and Williams, 2007; Ngwenyama and Norbjerg, 2010) talk about knowledge management as a separate initiative, and only seem to emphasise the component of knowledge sharing (Mathew & Sultanate, 2011). The author, however, contends that knowledge management in the CBE programme is critical because it would promote the culture of learning and continuous improvement.

The element of having a government policy to support a change initiative as revealed from empirical studies in this factor does not seem to be supported by literature. Although empirical studies only revealed that CBE programme guidelines were put together at the Ministry of Education level, there was no policy guide on the same. As noted earlier, the NESP (MoEST 2008) mentions CBE but without clear guidelines. However, current literature emphasises the importance of updating the guidebook so that project teams can leverage the guidebook to plan and execute project activities (NextGen 2011). Current CM literature, therefore, affirms the importance of a guidebook in Change Management. Apart from only providing guidance in implementing, NextGen (2011) propose that a guidebook can also be used as a change management activity timeline because it outlines the sequence of change management activities.
Translation (F12)

Translation, an uncommon feature in many CM initiatives, has been identified as an essential factor for the practice of CM in CBE. The involvement of community level stakeholders who might not understand English calls for translation. Empirical data has revealed that many change agents at community level would appreciate guidance in their vernacular language. In the case of the CBE programme in Malawi, this vernacular language is Chichewa.

Translation is an uncommon feature because many CM initiatives are implemented in environments where the people involved have been to school and understand business languages. Change Management in CBE however involves many village people who have not been to school and only communicate in their vernacular language. From the field studies, the following were identified as elements guiding this factor: using a language of instruction that local people can understand, providing simplified explanations for all concepts and distribution of 'translated' handbooks in mass so that they are readily available and accessible by everyone involved in the change process at all levels. This factor helps to address CBE change management challenges related to geographic location and flexibility in implementation as inherent characteristics of the CBE programme identified from literature review. This is so because many people living in the areas where CBE operates cannot speak English and so a translation of various aspects into a language they can understand becomes helpful. Additionally, the flexibility of the programme provides room for using any language even in the practice of CM. Table 11.4, below, presents the substantiating concepts and codes for this factor. The sections after table 11.4 outline the characteristics of this factor, and specific promising practices observed during this study. The section concludes with an analytical discussion of the factor based on findings from, and comparison with, current CM literature.

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4 Chichewa is Malawi’s national language.
Table 11. 4:  Translation (F12):  Substantiating concepts and codes

<table>
<thead>
<tr>
<th>Concepts:</th>
</tr>
</thead>
<tbody>
<tr>
<td>In a language that can be understood – vernacular language, simple explanations - removing language barriers, Chichewa, interpretation, explanations, distribution – handy</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Codes:</th>
</tr>
</thead>
<tbody>
<tr>
<td>However, the literature that I talked about in question number 10 was not translated (312kim) for this caliber to appreciate it. Some guidance as in 10 exist, ... however with the level of education that most stakeholders in the programme have, especially community members, they fail to read because it is not in their vernacular language (312kim). Literature is shared upon request by other interested stakeholders although community members do not really benefit from it due to language barriers (312kis). I think as a matter of policy, the guidelines should be translated and shared (312kis). Not sure who developed the manuals but we basically revised them and sometimes communicate them in Chichewa so that they can make sense to our specific audiences (312kis). If we compiled into a portable handbook that would be in a language that every stakeholder would use, life would be made easy for community members and LCMC (312fdgf). LCMC found it difficult to understand a lot of the issues in CBE because of their low literacy levels ... I think that translation of guides or communicating them in a language that is understood by all players (312fgdc). Lack of proper information because there seemed to be a lot of misinformation due to the fact that the guides were in a foreign language (312fgdl). ...we assisted each other in different activities and in interpreting of concepts so that everyone should understand (312fgdl). There was always good understanding among all the people because our meetings were in Chichewa (312fgdc). providing guidebooks for facilitators to use ... some of these guidelines to be in Chichewa for the LCMC members (312fgdf).</td>
</tr>
</tbody>
</table>

Characteristics

1. Using a language of instruction that people can understand helps local community members to feel part of the process. As much as it might be argued that speaking with local community members through a translator can be an
option, the study found that using a translator causes the community members to think that the ideas being promoted are foreign.

2. Providing explanations for all concepts being shared provides an opportunity for participants of a change process to ask relevant questions. This is critical because as found out from literature, Change Management is a slightly new phenomenon in Malawi.

3. Distribution of Change Management materials to all relevant stakeholders in their own languages for their guidance is an endorsement of ownership. Field studies revealed that if players in a change process own the guidebooks, they will feel empowered to champion that which the handbook will require of them.

**Specific promising practices**

1. The language of instruction and conducting business in CBE was predominantly English\(^5\). Empirical studies have revealed that many players in the programme felt ‘pressured’ to use English because Chichewa would be seen to be inappropriate. All guidelines and materials, including those for training, were in English. There were cases, however, where meetings involving local community members were conducted in Chichewa although print outs distributed at those meetings would be in English.

2. The idea of conducting meetings with local community members in Chichewa was in essence a way of explaining and simplifying difficult concepts. Empirical data demonstrates that participants to such meetings were pleased with the usage on Chichewa. They would, however, be happier if training materials were also in a language they can easily understand.

3. The CBE programme did not distribute materials and guidelines widely. The materials were only found with those people who can be considered ‘officials’ employed in the programme. The local community members, though critical in driving change, did not have them. The study presupposes that the guidelines in

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\(^5\) English is Malawi’s official language
the CBE programme were not translated probably because it was not planned that they be distributed widely to everyone involved in the programme.

Discussion

This finding from empirical studies does not necessarily correlate with evidence from current literature. Current literature consulted (Kotter, 1995; Prosci, 2001; Zhenya, 2012) has not explicitly stated the need for translation in Change Management. However, it has intimated on the need to simplify Change Management concepts, so that they are understood by everyone involved (Kotter, 1995). At the end of the day, every player in a CM initiative will contribute meaningfully when they clearly understand the principles.

However, the element of sharing change guidelines is widely supported in literature because it hinges on communication (Pendlebury et al., 1998; Yates and Vallas, 2012). Based on the evidence from empirical studies, this study suggests that translation is one way of making sure that CM concepts and principles are understood by everyone involved in the change process:

Not sure who developed the manuals but we basically revised them and sometimes communicate them in Chichewa so that they can make sense to our specific audiences.

4.1.4 Strategy (F13)

The study has established that strategy is the motivating force of every change initiative. For change to be accepted and championed, the change agents involved need to be clear of what the strategy is. A review of literature and documents has revealed the centrality of a clear strategy as the hub for CM (Bryant, 2008). A majority of the respondents affirmed that the CBE strategy should be the central theme on which every activity in the clearly defined Change Management strategy is built.

Empirical studies have revealed that the strategic approaches, which appealed to stakeholders, were that CBE was there to complement the formal primary school; that after 3 years, learners were supposed to be ploughed back into the formal school
system; and that the CBE approach was not as rigid as that of the formal school. Empirical evidence further shows that apart from appreciating the flexible approach, a lot of stakeholders were willing to support the programme after accepting that it was there to complement the formal school. Others committed to supporting it upon learning that the learners who go through the programme will be encouraged to go back to the formal school. This factor helps to address CBE Change Management challenges related to flexibility of implementation, identified from literature review. This is so because making CBE a little more flexible than the formal school was a strategic move, which can be linked with other factors in implementing CM for CBE. Table 12, below, shows the elements that make up this factor and their substantiating codes in form of interviewee responses. A unique number (e.g. 400kim) is assigned to each of the codes displayed. Since data was collected from different categories of respondents, this code number assists the author to identify code origins and context. The sections after table 12 provide an in-depth presentation of the characteristics of this factor, and specific promising practices observed during this study. The section concludes with an analytical discussion of the factor based on findings from, and comparison with, current CM literature.
Table 12: Strategy core category: Substantiating concepts and codes

<table>
<thead>
<tr>
<th>Concepts:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Complementing, Reinstate (3 years and then back to the formal school, ploughed back), Flexible approach,</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Codes:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>The main issue was meeting EFA goals so that MoEST agenda can be achieved (400kim). At 3 years, learners were to go back to the formal school (400kis) ... although others did not go back, they were given some basic livelihood skills Local communities to understand literacy in general (400kim) ... To minimize school dropout rates</td>
<td></td>
</tr>
</tbody>
</table>

We were aware that CBE was not competing with formal school, so if learners were willing to go back to formal school before finishing 3 years, they were allowed because that was a short term goal (400kis).

In my opinion, the NGOs/Service Providers/Implementers were the ones leading the programme and activities by making sure that the programme activities were happening (400kim). They were at the centre and they made sure that the programme was moving on a daily basis (400kim).

Primary school teachers understood that CBE was complementing the formal school (400kim) The plan like on time of schooling was to meet for 3 hours every day so that the learners do not get bored (400kim) However, they did not seem to understand the approach of why CBE did not have proper classroom demarcations like standard 1, 2, etc (400kim).

Community members found it hard to accept the differences. They were used to the formal school and did not know that CBE is complementing the formal school (400kis). To uphold the differences/similarities, the attention of the community members was drawn to the similarities for them to appreciate the complementarily (400kis). A lot of stakeholders were more willing to support the programme after accepting and appreciating that the programme was there to complement the formal school (400kim) The realization of this approach i.e. that the programme was there to complement, attracted support (400kim).

To remove ignorance from those who dropped out of school and those who had never been to school. To encourage those who were still interested to go back to school having dropped out (400fgdl). To provide a learning opportunity to those who might have missed their chance (400fgdl). To provide an opportunity for employment for those who were not working as they were also serving their communities (400fgdf). As part of its strategy, it was a programme that was designed in a way allowing multiple players to take part (400fgdf).

We deliberated on how the programme should run because it was new and different from the formal school that we were used to (400fgdc). As part of the strategy, the programme was flexible so that learners should not drop out for the same reasons they dropped out of formal primary school (400fgdc). As part of the plan, CBE was meant to create hunger for learning in these learners (400fgdf). GIZ, World Relief and GoM, MoEST used to meet to strategize on how the programme should run (400fgdf) members can still master the CBE methodology (400fgdc).
**Characteristics**

1. Strategically, the CBE programme was designed to complement the formal primary school. The promotion of the idea that CBE did not come to replace the formal school, but to complement it, opened room for the stakeholders to provide support to the programme with a clear conscience. This realisation by community members also made them to realise that the task was manageable.

2. There was a deliberate effort to plough learners back into the formal system after they finished their three years of CBE. Empirical studies, however, reveal that some CBE learners went back to the formal school before finishing the 3 year CBE cycle. The fact that learners returned to the formal school at one point or another enhanced the belief that CBE was complementing and not competing with the formal school.

3. The flexible approach of delivering services in CBE was strategic. Field studies revealed that many stakeholders, especially learners, did not feel pressured by issues that formal school learners are pressured with. This caused them to love to go to the centres without necessarily being coerced. Community members also took advantage of the flexibility to benefit from the time the learners were not at the CBE centre.

**Specific promising practices**

1. As evidenced from the study, CBE did not build any parallel structures. The programme used existing structures like school blocks and storage facilities while benefitting on the services of teachers in the formal system as need arose (WRM, 2009). The support provided by Primary Education Advisors to build capacity of CBE facilitators was clear evidence that the programme was there to complement the formal school.

2. During the field studies, many learners who had gone to formal primary school through the CBE route were identified. This served as evidence that learners were indeed being ploughed back into the formal system. Field studies also
established that some learners who were in CBE had gone up to secondary school.

3. The flexibility of CBE programme was demonstrated through various aspects. Field studies revealed that, in some centres, learners and facilitators agreed to hold classes in the afternoon in order to allow those who needed to do household chores do so. In all instances, learners were not required to wear school uniform. Respondents from the learner category attested that there was no corporal punishment in CBE.

Discussion

Current literature emphasise that strategy is critical in Change Management (Jones, Aguirre, Calderone, 2004). Different authors (MDG, 2013; Wilson, 2005; By, 2005) have suggested different strategies for different change initiatives. For change initiatives that have stakeholders, ISSA (2009) recommends alliances at national, regional and community levels as a strategic action. Although alliances did not come out as strategic in this study, CBE had them at both community and government levels.

Faucheux (2011), states that building a strategy that fits a proposed change is necessary in ensuring successful change because one strategy is not going to fit every proposed change. In this study, respondents could not point at one aspect as strategy for the CBE programme. Different respondents pointed at a range of elements as strategic. The key ones were complementarity, approach and flexibility:

As part of the strategy, the programme was flexible so that learners should not drop out for the same reasons they dropped out of formal primary school.

A majority of the respondents however recommended that every action in the programme should be done in relation to the CBE strategy. Bryant (2008) affirms that strategy should be central in any change initiative.

Current literature stresses the importance of sharing the strategy to all players in a change initiative so that it is followed through (Schaller, 2005; Hornstein, 2009). Empirical evidence has proven that these three key elements of complementarity, approach and flexibility of the CBE programme were shared to change agents and other
stakeholders at every opportunity. Current CM literature, therefore, affirms the critical role that strategy plays in the practice of change management. Apart from being central in a change initiative, strategy also acts like a hub (Faucheux, 2011; Warrilow, 2009) that holds other processes in a change initiative together.

4.1.5 Evaluation (F14)
The study has confirmed that evaluation is an important component of a change management initiative. The two components that empirical studies identified were formal and informal reviews.

Literature (Skinner, 2006) recognises that reviewing of change initiatives rarely takes place. A majority of respondents in this study however hinted that some form of evaluation was taking place in the course of running the CBE programme. This evaluation took different forms depending on the people championing it and the level at which they were operating. While other forms of evaluation followed a set calendar e.g. facilitator Inset trainings, others were more impromptu but still provided an opportunity for players to speak into the programme. As such, this factor also helps address CBE Change Management challenges related to flexibility of implementation as identified from literature review because even in that flexibility, evaluation of the programme is possible. Table 13, below, is a record of the formal and informal aspects of evaluation being the elements that make up this factor. The table also has substantiating codes in the form of interviewee responses. A unique number (e.g. 500fgdc) is assigned to each of the codes displayed. Since data was collected from different categories of respondents, this code number assists the author to identify code origins and context. The sections after table 13 provide an in-depth presentation of the characteristics of this factor, and specific promising practices observed during this study. The section concludes with an analytical discussion of the factor based on findings from, and comparison with, current CM literature.
Table 13: **Evaluation core category: Substantiating concepts and codes**

<table>
<thead>
<tr>
<th>Concepts:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Formal – (Reviewing, evaluate, meeting to assess, appraise, for continuous improvement),</td>
</tr>
<tr>
<td>Informal – (reminders and rapid assessments on how the programme was running and how it was</td>
</tr>
<tr>
<td>meant to run)</td>
</tr>
<tr>
<td>Codes:</td>
</tr>
<tr>
<td>...between term trainings, improving and reviewing materials (500kim)</td>
</tr>
<tr>
<td>Meeting with PEAs to deliberate on any CBE problems and challenges so that solutions can be agreed</td>
</tr>
<tr>
<td>upon (500kis).</td>
</tr>
<tr>
<td>Partly, but sometimes it was difficult because there were no frequent preparatory and review</td>
</tr>
<tr>
<td>meetings (500kim).</td>
</tr>
<tr>
<td>providing feedback on how things were moving ... and continuous evaluation (500kim).</td>
</tr>
<tr>
<td>No scheduled meetings but only when issues arose... We were only firefighting... It was only</td>
</tr>
<tr>
<td>facilitators who met on a weekly basis to review how the past week had gone and plan for the</td>
</tr>
<tr>
<td>coming week (500kis).</td>
</tr>
<tr>
<td>Supporting staff from MoEST and service providers with further education ... there were also</td>
</tr>
<tr>
<td>continuous meetings in order to keep improving the programme (500kim).</td>
</tr>
<tr>
<td>about the CBE programme... the plan of implementation ... and the plan for evaluation was to be</td>
</tr>
<tr>
<td>put in place for all stakeholders to know it and take part (500fdgf).</td>
</tr>
<tr>
<td>We were meeting at least once a term to be reminded to talk about how things are running (500fgdc).</td>
</tr>
<tr>
<td>... frequent meetings in order to deliberate, monitor and evaluate how things were going (500fgdc)</td>
</tr>
<tr>
<td>We were always reminded on the importance of reviewing our work so that we can do better next time</td>
</tr>
<tr>
<td>(500fgdf) ... We evaluated our work every Friday (500fgdf) ... and planned together on a weekly</td>
</tr>
<tr>
<td>basis. Sometimes we planned with senior supervisors and CBE coordinator.</td>
</tr>
<tr>
<td>We were celebrating together with community members during ADC and open days ... these were</td>
</tr>
<tr>
<td>opportunities to assess and evaluate how the programme has run (500fgdl)</td>
</tr>
<tr>
<td>Importance of networking and having meetings with different key stakeholders like government, and</td>
</tr>
<tr>
<td>NGOs to review and talk about how to move forward with the CBE (500fgdf)</td>
</tr>
<tr>
<td>...Increase frequency of review meetings (500fgdc)</td>
</tr>
</tbody>
</table>
Characteristics

1. Formal review meetings are managed through set and established calendar. These are meetings, or activities, which have been scheduled as part of the practice of change management. Such meetings and activities can be between stakeholders who are taking part in managing the change processes, or with those who are affected by the change in one way or another.

2. Informal reviews are not necessarily scheduled but happen as and when an opportunity avails itself. A change agent at any level can do a rapid assessment of an initiative to determine what is working and what is not working (Skinner, 2006). These are not meant to replace the formal reviews. They are, however, a helpful complement because they can be conducted in people’s ordinary environments and reveal important CM themes.

Specific promising practices

1. Field studies have revealed that CBE had an established calendar that allowed stakeholders to take stock of the programme. MoEST and Service providers had quarterly meetings (MoEST, 2013). Service Providers had their own termly meetings. Facilitators had weekly in-service training sessions, which allowed them to conduct a weekly evaluation of their lessons. Supervisors, curriculum trainers and facilitators met during every holiday. All these formal meetings provided an opportunity for stock taking. Additionally, there were ADC and Open day meetings that involved all district stakeholders and took place every term.

2. During the field studies, it was established that MoEST, Service Providers and sometimes members from the donor community conducted impromptu rapid assessments in different geographical locations where the CBE programme run. It was also noted that from the formal meetings, staff members, especially those on supervisory roles, were encouraged to conduct spot checks to different CBE sites. These spot checks provided an opportunity of correcting issues that would not be found working well.
Discussion

This finding is supported by current literature which stresses the importance of evaluating CM practices. Anderson (2010) points out that deploying a strategic change initiative without the evaluation component is like sending a sports team out onto the field of play blindfolded. Empirical evidence in the case of CBE established that evaluations took the form of review meetings as an important component of the initiative:

We were meeting at least once a term to be reminded to talk about how things are running.

Although there is no evidence to indicate that the evaluation aspects were incorporated deliberately to help change stick, or help improve the programme, they were a good yardstick of knowing whether the change initiative was having its desired effect or not. Park (2007) validates that it is essential to take measures before commencement of a change initiative so that there is sufficient data to compare post-project results to.

As much as current literature encourages the pre-planning of evaluation in change initiatives, empirical evidence revealed the existence of informal evaluations in CBE. Skinner (2006) suggests that informal evaluations, though not recognised by management as important, should be happening at every level because evidence from them has proven to be significant.

Current literature (Anderson, 2010) stresses that evaluations provide information that enables greater performance and greater performance during deployment translates into bigger impact on the bottom line. In CBE, however, there was no evidence that notes from review meetings were used for the improvement of the programme. Evidence throughout this study showed that the implementation of CBE was standardised. This was probably because there were no recorded opportunities for players to share what they learnt from the various review meetings done. Skinner (2006) proposes that inclusion of approaches that facilitate recognition and sharing of perception and experience across group boundaries may be more acceptable and productive. One possible benefit of such sharing may be the making of mid course corrections to increase the value of the initiative.
Evaluations in CBE happened through formal and informal review meetings although there is no hard evidence from the study to indicate the benefits of those evaluations to the programme. Current CM literature, however, has affirmed the importance of evaluations in the practice of change management. For example, Harris (2005) advises that for evaluation planning to be most effective, many assumptions about the change process need to be examined.

4.1.6 Communication (F15)

In this study, communication has been revealed as another essential component of a CM initiative. Communication is a factor that is cross cutting and present in all the other factors and steps outlined earlier. This is so because change managers keep receiving and relaying information throughout all the change processes that are encompassed within the factors identified.

A majority of respondents in this study cited different ways in which communication was put into effect in the course of running the CBE programme. From the many forms of communication that empirical studies revealed, Reporting, Face to face meetings and Email/Phone conversations were isolated as the key elements of this factor. Communication helps to address CBE Change Management challenges related to positioning of the CBE programme within the education system and size of the CBE programme as inherent characteristic identified from literature review. This is so because the positioning of the programme within the education sector and its size does not limit how communication should be used in managing change in CBE. Table 14, below, is a record of the different elements that make up the communication factor. The table has substantiating codes in the form of interviewee responses. A unique number (e.g. 600fgd1) is assigned to each of the codes displayed. Since data was collected from different categories of respondents, this code number assists the author to identify code origins and context. The sections after table 14 provide an in-depth presentation of the characteristics of this factor, and specific promising practices observed during this study. The section concludes with an analytical discussion of the factor based on findings from, and comparison with, current CM literature.
Table 14: Communication core category: Substantiating concepts and codes

<table>
<thead>
<tr>
<th>Concepts:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Reporting, Face to Face, Emailing and Telephone - enlighten, articulation of principles, explanations, tell</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Codes:</th>
<th></th>
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</thead>
<tbody>
<tr>
<td>However, the approach of why CBE did not have ‘proper’ classroom demarcations like standard 1, 2, etc needed to be properly communicated (600kim). Having meetings with supervisors to enlighten them on what to do (600kim). Visiting centres Coordinating CBE activities and reporting accordingly (600kim). Supervision, overseeing the running of the centres, operations of the LCMC members, and reporting (600kis). We were not deliberate on communicating these short term targets to stakeholders but only mentioned them as unpremeditated results (600kim). Stakeholders did not know the short term targets partly because there was no clear and deliberate communication to them (600kis). Many only appreciated in the course of the programme and at the end of the phase. Supervisors knew the short term targets but never communicated them to community members (600kis) Sometimes communication of the short term targets was made at meetings but the community members did not understand them because the targets were not articulated as such (600kis). My office booked appointments, CBE office takes literature on CBE to the stakeholders and explains to them their roles (600kim). Communication was mainly through email and phone (600kim). Phone was good because we got instant results. Email was good because it provided more information (600kim)...By phone, email and direct contact. Direct contact was the most effective (600kim) ... face to face (more effective), phones, emails (difficult to communicate) (600kim) They are the ones who championed CBE because they were trusted that they will speak the truth about CBE (600fgdc)...These were the appropriate people to relay the message (600fgdc). Visiting CBE learners in their homes to tell them the importance of CBE (600fgdc) ... But our role was to communicate to learners everything about the programme (600fgdf) sensitization meetings proved to be good fora of communicating (600fgdf) The CBE supervisor was frequently meeting with us LCMC members and Learners to inform us of various things happening in the programme (600fgdf) Inadequate learning time and the fact that some people were not communicating in good time (600fgdl) We were communicated that building materials will be provided although they did not get to us... We built livestock houses (Rabbit Pens) yet we were not given any livestock (Rabbits) as was communicated (600fgdl)</td>
<td></td>
</tr>
</tbody>
</table>


Characteristics

1. Reporting is a conventional way of communicating in the business world (Kavita, 2011). When officers provide reports of their work to those responsible, everyone in the system is informed of what is going on. Reporting in a change management initiative helps every player in the initiative to be up to speed with how things are going.

2. Face to face meetings enhance communication (Arvey, 2012). Greenwood (n.d.) states that when people within an organisation meet, communication and efficiency will improve. Face to face communication in an initiative like CBE is important because it provides the various stakeholders an opportunity to clarify issues when they have been spoken there and then.

3. Email and phone conversations have of late become important communication vehicles (Dangl, 2008). Although communication via emails is limited in Malawi, phone communication has lately been enhanced. In the case of CBE, almost all supervisors and facilitators had mobile phones; thereby enhancing communication. Communication by phone in a change initiative like CBE ensures that issues are clarified even from a distance.

Specific promising practices

1. Field studies revealed that in addition to just being a measure of accountability, reporting was an important element in ensuring that communication was taking place. Empirical data shows that many short term goals and achievements were communicated through the reports, which various officers in CBE presented to those supervising them. These, however, were not shared with community members in ways they could understand.

2. A majority of respondents shared about instances when they communicated face to face with fellow players in the CBE programme. Gatherings like In-service training sessions, evaluation meetings and LCMC meetings were some of the instances where the face to face engagement on some issues happened. In some instances, some respondents from the learner category reported that facilitators visited them in their homes.
3. From empirical data, the usage of emails and mobile phones to relay information was evident. In many instances, respondents who had access to internet facilities reported to have used them in relaying information. However, many of the respondents at the local community level reported phoning was a quick way of relaying information. In rare circumstances, short message service (SMS) was used.

Discussion

Communication is an integral part of any change process. Zhenya (2012) states that every sound change management strategy includes supporting communication activities. Empirical evidence from this study has shown that reporting, face to face meetings, emails and phone were some modes of communication that were used. Field studies also revealed that these modes of communication were evident in every step and factor of the change process:

Communication was mainly through email and phone. Phone was good because we got instant results. Email was good because it provided more information. Direct contact was the most effective.

Current literature (Zhenya, 2012; Jones et al., 2004) stress that communication is versatile and can yield great benefits at all stages of a change process.

Kotter (1995) notes that a classic error made by leaders trying to implement change is under-communication of the change to the staff that will be implementing it. Mrinal (2012) adds that meaningful communication is about getting information out to particular audiences, listening to their feedback, and responding appropriately. Empirical evidence revealed that there were efforts in the CBE to enhance communication as many respondents reported of frequent meetings being conducted. This finding is therefore supported by current literature.

An extensive search of current literature (Connelly, 2013; Barret, 2002) also seems to suggest that in communication, there is a need to have a dedicated staff or team who can produce messages to help others understand the change. Empirical evidence, however, has revealed that players in the CBE programme were more comfortable with
messages coming from everyone. When every player in the programme communicated, it helped stakeholders trust that the issue being promoted had been endorsed and therefore beneficial for the programme.

Although some aspects in this factor were not discharged in the exact same way as supported by literature, there is a general perception that communication facilitates change by providing a comprehensive support system to all those involved in the process (Zhenya, 2012). Yates and Vallas (2012) affirm that organizations that are highly effective at both communication and Change Management are more than twice as likely to outperform those that are not effective at either.

4.2 Model for practicing CM in CBE (3 step CM Framework)

A framework for practicing Change Management in CBE is developed. The framework is based on the empirical findings of this study. This model is termed the 3 step CM Framework so that it reverberates with the 3 core categories of Change Management identified from literature review and which guided the study: Planning Change, Implementing Change and Institutionalising Change. Factors identified from empirical data and critically discussed in relation to current CM literature (F1-F15) are integrated in this framework. The coding for process technique of Grounded Theory is used extensively in building the framework (Strauss and Corbin, 1998). The framework seeks to address the research problem and achieve the goal of this study because coding for process enables the researcher to present Change Management as a process.

Figure 6, below, presents the 3 step CM Framework for CBE with encircling fluid steps. Steps I to III focus on Planning Change, Implementing Change and Institutionalising Change respectively. F13 to F15 are the remaining change management factors: Strategy, Evaluation and Communication. These provide critical themes that support the practice of CM in CBE.

The CBE programme can consider the 3 step CM Framework as a clear guide for practicing Change Management in the programme. The factors (F1-F15) are not in a
fixed sequence. They can be used depending on the specific need in the programme and they can be used to customise the CM Framework accordingly.

The CM Framework does not give detailed descriptions for the steps. It aims at providing an elegant and comprehensive view of CM in the context of CBE. However, F1-F15 are the precise reminders built into the framework so that they provide direction in the practice of CM in CBE. The following paragraphs provide a brief overview for each of these steps and provide direction to various factors for a more detailed level of understanding.
Figure 6: 3 Step CM Framework for CBE

Planning Change - Sensitization, Identification of gatekeepers, Promoting a recognisable identity, Skills development.

Implementing Change - Showcasing CBE, Joint planning of activities, Conducting Synergy meetings, Division of Labour.


Communication

Evaluation
4.2.1 Step I: Planning Change

This is the first step in the framework. This step aims at setting the groundwork as a way of preparing for managing change by conducting Sensitisations (F1), Identifying gate keepers (F2), promoting a recognisable identity for the programme (F3) and Skills development for the change agents (F4). Although some of the factors in this step would better be done before others, they are not strictly sequential. Therefore, the programme needs to prioritise based on the prevailing reality. For example, if what is needed at a given time is a skill in conducting sensitisation, then skills development can be prioritised ahead of sensitisation. Also, a factor like skills development, as much as it is supposed to be considered at the planning stage can also be applicable in the other steps depending on existing capacity gaps.

4.2.2 Step II: Implementing Change

Step II in the developed CM Framework is about putting the plans into action. The step is about Implementing Change and involves Showcasing CBE so that others know about the programme (F5), Joint planning of activities by key players (F6), Conducting synergy meetings (F7) and Division of Labour (F8). The key difference between Step I and Step II is that most of the factors in Step I, except Sensitisation (F1) are dealing directly with change agents while those in Step II are dealing with both change agents and other stakeholders in the programme. The expectation is that change agents are the ones to lead in facilitating Factors in Step II. Hammer (1993) declares that the transition from Planning Change to Implementing Change requires time and sensitive skillful leadership exercised within people CM processes.

4.2.3 Step III: Institutionalising Change

Step III in the CM Framework is about making the change stick. Institutionalising Change involves the establishment of accountability structures (F9), Establishing Linkages (F10), developing a Guide book (F11) and Translation (F12). All the Factors in this Step are concerned with facilitating that change becomes established as part of a
culture. Empirical evidence has shown that the cooperation of all key stakeholders in the programme is necessary for these factors to be attained.

4.2.4 F13: Strategy

Strategy (F13) is one of the Factors that could not be restricted in one specific step. This is because this Factor is at the centre of the three Steps. Davies (2000) states that the practical purpose of strategy is to provide a plan that employs multiple inputs, options, and outputs to achieve goals and objectives. Elements that were revealed as strategic were complementarity of CBE programme to the formal school, reinstating of learners back to the formal school and flexibility of the CBE programme.

4.2.5 F14: Evaluation

Evaluation (F14) is another Factor that could not be restricted into one specific step. This Factor appears after every step because it is supposed to be conducted continuously throughout the change process. Evaluation is for continuous improvement (Kaufman, Guerra & Platt, 2006). Formal evaluations and Informal evaluations were revealed from empirical studies as elements that make up this factor.

4.2.6 F15: Communication

Communication (F15) is yet another Factor that could not be restricted into one specific step because of its overarching characteristics. This Factor is an important ingredient at every step of the way in a change process. In fact, Ford and Ford (1995) claim that change does not occur except in that it is mediated by communication. In other words, communication is the context within which change occurs.

Summary

This chapter has presented empirical findings of this research study. An application of content analysis techniques has resulted in the identification and description of a comprehensive list of factors (F1-F15) influencing CM in CBE. For each of the identified
factors, characteristics, specific best practices and relationship to current literature were provided. Based on these factors, a model for practising CM in CBE called a 3 Step CM Framework for CBE has been developed. By developing the Framework, the goal of this research study, 'developing a clearly defined framework for practicing Change Management to improve Complementary Basic Education Programme,' has been accomplished.
5.0 CONCLUSIONS

Introduction
This chapter aims to provide concluding remarks of this study. These research conclusions are discussed under five headings:

1. Research Problem, Goal and Objectives: This first section provides a brief description on addressing the research problem and the achievement of research goal and objective.
2. Theoretical and Practical Contributions: This section provides an overview of the theoretical and practical contributions to CM subject area from this study.
3. Research Methodology and validity: This section discusses the validity of the research findings.
4. Limitations: This section looks at the limitations of the findings of this research study.
5. Further Research: The fifth and fifth section explores further research opportunities to extend this study and add value to the CM discipline.

5.1 Research Problem, Goal and Objectives
The research problem of this study was to investigate **How Change Management can be practiced in order to improve Complementary Basic Education Programme in Malawi?** To address this problem, a goal for the study was formulated as developing a clearly defined framework for practicing Change Management to improve Complementary Basic Education Programme.

Development of the 3 Step CM Framework or CBE, a model for practicing Change Management in CBE, has addressed the research problem and achieved the goal formulated for this study. The 3 Step CM Framework was developed based on 15 CM factors identified from the empirical data. Substantiating data was collected from the in-depth case study of the CBE programme as it operated in Malawi from 2006 to 2011. The following paragraphs provide an overview of how the objectives designed for this study have been accomplished:
Objective 1: To provide a thorough critical review of current literature of CM in education and identify gaps in its applicability to the CBE programme in Malawi.

An in-depth critical review of CM literature has been provided in the second chapter. This literature review has covered several trends that are influencing CM subject in the education arena. The trends that were isolated for this study are Illiteracy, Free Primary Education, Dropouts and Non-Formal Education. The unavailability of a CBE policy guide and subsequent lack of a clear CM guide in the same has been revealed as an apparent gap. The literature review has provided some useful insights to several aspects of CM. For example, CM has been defined by exploring the different types of change and analysing the differences between planned change and emergent change. The shortage of CM in education literature was also discussed. The critical review of CM literature has also discussed various CM models and theories, their limitations and practical problems to CBE. This has provided an opportunity to describe the research problem in detail and assisted in formulation of questions (1, 2, 3 and 4) for this study (Chapter 2).

Objective 2: Conducting empirical studies of the CBE programme to establish if there was any attempt to adopt CM concepts and techniques in order to accomplish the programme goals.

Based on the evaluative discussion in Chapter 3, the study adopted the Case Study Methodology and conducted empirical studies in the programme as a single case holistic. Data was collected from a total of 222 respondents comprising Managers, Supervisors, LCMC members, Facilitators and Learners. Based on the empirical studies, Factors influencing CM in CBE (F1-F15) were identified. From every one of the Factors, specific promising practices have been isolated. These promising practices signify attempts to adopt CM concepts and techniques in accomplishing the programme goals. However, the empirical studies were done with an open minded approach resulting in the Factors (F1-F15) bringing out elements that respondents desired were part of the promising practices (Chapters 3 and 4).
Objective 3: To evaluate and discuss the usage of CM approaches from the general field of management in CBE.

The critical review of CM literature has discussed various CM models and theories, their limitations and practical problems to CBE. Based on this critical review, a set of steps in managing change have been identified from a comparative analysis of selected CM theories (Table 4). These steps have been used as guiding elements in conducting empirical studies and helped establish the usage of CM approaches in CBE (Chapters 2 and 4).

Objective 4: To develop a Change Management Framework based on the findings of an empirical study and knowledge gained from current CM literature.

A 3 Step CM Framework for CBE has been developed based on 15 Factors that were developed from the empirical findings of this research study. These factors have been grouped under core categories of Planning Change, Implementing Change and Institutionalising Change identified from the critical review of literature. Three of the Factors (F13-F15) have not been categorised under the 3 core categories but are still critical themes that support the practice of CM in CBE. The Model, accordingly termed 3 Step CM Framework for CBE, serves as a clearly defined Framework for practicing CM in CBE (Chapter 4).

5.2 Theoretical and Practical Contributions

One of the primary reasons for this research study has been to address the deficient CM practice in the CBE programme. This was motivated by the change that is CBE, the current challenges within the CBE programme and the significance of CM in CBE. The goal of the study has been to address the research problem by developing a clearly defined framework for practicing Change Management to improve Complementary Basic Education Programme. As such, it can be challenging to differentiate between the theoretical and practical contributions from this dissertation.
The following sections, however, aim to provide the contribution of this research study to the CM subject arena in both practical and theoretical perspectives in a related manner.

5.2.1 A Comprehensive list of CM factors

A major contribution of this research is the identification and description of a list of factors (F1-F15) influencing CM in CBE. A total of 15 factors have been identified from analysing the data available in this study. A descriptive rationale of how these factors influenced CM in the CBE programme has been provided. For every factor identified, promising practices from the CBE have been outlined. Aspects of some of these Factors, however, have not been fully carried out, but were nevertheless, mentioned by respondents as significant to the implementation of change in CBE. The CM Factors with their associated characteristics can enhance theoretical understanding of Change Management. For example, there is inadequate evidence from literature on how translation can influence CM. This study has identified several characteristics for this Factor (F12) which can help to make CM effective. Based on the promising practices observed from this study, a set of proposals have been formulated for this Factor. These proposals include relaying CM concepts in the vernacular language of players involved so that those who are not conversant with a mode of communication being used can easily understand and apply the concepts. Similarly, the characteristics and proposals provided for other Factors can help in the theoretical understanding and practice of CM in CBE.

Some findings of this study have not been fully supported by certain contemporary views in CM literature, especially those related to Guidebook (F11), Translation (F12) and Evaluation (F14).

Under Guidebook (F11), the element of having a government policy to support a change initiative as revealed from empirical studies was not mentioned in the literature consulted (Virginia Centre, 1993; CCPS, 2011, NextGen 2011). The study, however, has revealed that the existence of a policy on CBE can help provide guidance and learning for change managers.
Another example is Translation (F12). As much as the need to simplify Change Management concepts so that they can be understood by everyone involved has been intimated, literature consulted (Kotter, 1995; Prosci, 2001; Zhenya, 2012) has not explicitly stated the need for translation in Change Management. This study has revealed that effective Change Management in the CBE programme is being hampered by the failure to translate CM principles and guidelines into the local language. Translation therefore is one of the important ways of making sure that CM concepts and principles are understood by everyone involved in change processes that happen in multi-lingual contexts.

The third and last example is Evaluation (F14), where literature (Anderson, 2010; Park, 2007) encourages the pre-planning of evaluation in change initiatives. However, CBE has proven that a combination of formal and informal evaluations at every level should be recognised as a good CM practice.

5.2.2 Integration of CM factors and Interrelationships
This study demonstrates that for CM to be practiced in CBE, various Factors (F1-F15) should be combined in interrelated ways. The first 12 factors identified in this study were grouped into 3 categories of Planning change, Implementing Change and Institutionalising Change. The last 3 (F13-F15) were plotted in ways that depict how cross cutting they are. The CBE strategy (F13) is positioned at the centre of the 3 Step CM Framework because every action should be done in relation to the CBE strategy. Evaluation (F14) has been posted after every stage because the recommendation from empirical evidence has been to have continuous reviews. Communication (F15) falls between the strategy and the change steps because it is like the spokes that connect the hub (CBE strategy) and the outer action (change steps). (Ref. figure 6).

Additionally, most of the current literature in CM consulted during the study (Bryant, 2008; Warillow, 2009; Skinner, 2006; Anderson, 2010; Kotter, 1995; Kavita, 2011) recognises strategy, evaluation and communication as key components of a CM initiative. This study considers these three as foundational in CM because of being the convergence point of the three steps in the 3 step CM model for CBE. Figure 7, below,
exemplifies the interrelationships between the steps constituted in the three CM steps. It depicts how Planning Change, Implementing Change and Institutionalising Change can overlap because the implementation of the various Factors within these steps may happen concurrently, while hinging on strategy, evaluation and communication, where the steps intersect.

**Figure 7:** Interrelationships between steps in the 3 Step CM Model for CBE

This study has emphasised that all these Factors should be managed with the consideration and involvement of all the different players in the CBE programme. The
characteristics and promising practices provided for each of the Factors offer some realistic strategies for the development of CM in CBE.

5.2.3 A 3 Step CM Framework for CBE

This dissertation has identified a prominent gap in CM literature i.e. the need for a clearly defined framework for practicing Change Management in CBE. The 3 Step CM Framework developed in this study aims to fill this gap. This framework takes into consideration the positioning of the programme within the education system, key stakeholder role complexities, geographical location, flexibility in implementation and size of the programme.

The Framework encompasses several factors (F1-F15) influencing CM in CBE. It adopts a methodical approach of Planning Change, Implementing Change and Institutionalising Change with other factors carefully integrated into these steps. Each of the steps has a grouping of Factors with promising practices and proven strategies for effective CM in CBE. The CBE programme can use the 3 Step CM Framework as a clear guide for practicing CM. Because CM is subtle in education literature, the 15 CM Factors and Framework developed in this empirical study can contribute towards the CM discipline by providing an understanding of the subject.

In Chapter 1, it was stated that CBE is a continuous programme. The hope therefore is that this study will inform GoM through MoEST and other stakeholders like the donor community, on what the teachers, learners and community members need to know about CBE. The study will inform the different stakeholders about the importance of communicating change fully.

This study is critical because the Ministry of Education (2004) declares that little has been done to adequately address the basic education needs of out of school children and youth. The CBE programme therefore can be one of the important ways out of Malawi’s high illiteracy rate and this study provides relevant information on how the programme can be improved. Since GoM plans to take the programme to more districts
in Malawi, an opportunity to rectify the shortfalls that are realised through this study will be given before the programme rolls out.

The Malawi education sector has every reason to take the CBE programme as one of the critical elements of Malawi’s effort in attaining Education for All (EFA) as CBE will contribute so much towards achieving that goal (UNESCO, 2008). As such, Service Providers in the CBE programme will also learn from the study. These will be informed by the study on how best the programme can be implemented, and help fill the gaps in communicating the changes that have to be implemented.

### 5.3 Research Methodology and Validity of findings

Several measures were adopted at different stages of the study to ensure validity of the findings. Adoption of the case study methodology has helped in gathering a rich set of qualitative data. As recommended by Hussey and Hussey (1997), the interview data was verified and evaluated by constant comparison with the data collected from other sources within the CBE. This triangulation has helped in achieving accuracy and consistency in the research findings. Easterby-Smith et al. (1991) and Miles & Huberman (1984) suggest that using triangulation techniques at the data collection and analysis phases helps to improve the validity and reliability of the empirical findings. Rigorous usage of analytical techniques of the content analysis approach has also enhanced the validity of the findings for this research study. Exhaustive display of interview codes for each of the CM factors provides evidence and justification for the derived conclusions.

The 3 Step CM Framework and the CM Factors developed in this study are based on the promising practices from within the CBE programme. Other elements, however, are based on features that respondents desired to see within the programme. These promising practices and desired features explored from the CBE programme can serve as the pragmatic guidelines for CM practitioners as well as CM theorists. To further improve the validity of the findings, the following qualifying criteria (C1-C5) was adopted during the data analysis stage to determine the factors influencing CM:
C1. Each theme should have been mentioned and supported by multiple respondents from two or more categories of respondents.

C2. Each theme should have played a significant role in shaping CM in the CBE programme.

C3. Respondents should have provided instances of how the particular theme has influenced CM in the CBE programme.

C4. Each theme should have been clearly identified by the researcher during the discreet analysis of the gathered data.

C5. The interview data supporting each theme should have been eligible for triangulation with the verifiable data from internal documents of the CBE programme.

The factors meeting the set criteria were presented with selected codes of data to support the arguments and conclusions.

5.4 Limitations

A major limitation of this study is possibly associated with the sample selection. The case for this study was the CBE programme in Malawi. Therefore, the findings of the study may not be generalised for other non-formal education systems operating elsewhere. The factors (F1-F15) identified during the study predominantly come from the CBE programme. For example, Translation (F12) may not apply for an initiative that operates in a place that is monolingual.

Another limitation is related to the data analysis phase of the study. The results of this empirical study were deliberately detached from the identities of the respondents. Although government departments and specific positions of respondents were mentioned because of the impact they have on the CBE programme, no response was linked to the specific respondent who gave it. The sources of the specific responses were kept anonymous throughout. This disassociation may not allow readers to derive specific assumptions from the study. However, such a strict code of ethics was needed to protect the identity of the respondents. Stake (2000) affirms this standpoint by
declaring that the value of the best research is not likely to outweigh injury to a person exposed. Revealing the identities of respondents may affect their image and that of the programme. For example, some respondents cited specific issues, which they feel have not gone well in the programme. Associating such responses with the specific respondent may put them at risk in one way or another. The extensive coding of the data however might have addressed this limitation to some extent.

The perceived interest that stakeholders at community level have in the programme was another limitation. Community members in the areas where the programme is operating have so much interest in the programme and this interest might have influenced some of their responses. This is so because the CBE programme operates in very rural areas that do not have a lot of education and development initiatives. As such, CBE happens to be one of the very few initiatives that the community leaders can show for and that in itself is reason enough for them not to be as critical of the programme. This limitation was addressed by the qualifying criteria that were adopted to improve the validity of the findings. Specifically, each theme was to be mentioned and supported by multiple respondents from two or more categories of respondents, respondents provided instances of how the particular theme influenced CM in the CBE programme and that interview data supporting the theme was eligible for triangulation with verifiable data and internal documents of the CBE programme.

5.5 Further Research
The opportunity for further research from this study exists in three possible dimensions. Firstly, the findings of this study can be tested and applied on the programme. Secondly, the findings can be expanded and enriched by conducting additional research on specific factors. Thirdly, the generalisability of the identified factors, resultant conclusions and the 3 Step CM Framework can be improved through a consecutive research survey in order to compare findings between CBE and another non formal education system. The following sections describe these further research scenarios in detail:
5.5.1 Application of the findings

Since the developed framework has not been implemented, it would be interesting to empirically verify its usefulness by testing it in the CBE setting. This proposed research project can add value to the 3 Step CM Framework by evaluating the real time validity and implications of its implementation.

The German Technical Cooperation (GIZ), who collaborated with the researcher by contributing finances for this study may be interested to support this validation.

5.5.2 Expansion and Enrichment of the findings

Another important opportunity for further research is to expand the findings of this study by conducting additional research on the specific factors identified. The obvious factor where an expanded study can be conducted is Strategy (F13). This proposed research can be a strategic assessment aimed at determining the singular strategy, which guided the implementation of CBE.

5.5.3 Consecutive Research (Comparative Study)

The 3 Step CM Framework and the associated Factors (F1-F15) described in this dissertation may be applied to other non formal education programmes. The assertiveness and generalisability of the CM framework and factors may be improved through a consecutive comparative study. The goal of this comparative study would be to determine if these current findings will compare uniformly with findings from another similar study.

Summary

The current chapter concluded this dissertation by providing an overview of how the research problem in the study was addressed. A description is provided of how the goal and objectives designed for this research study were achieved. The section also provides a discussion on the studies research methodology, contributions to the CM
arena, validity of the findings, limitations of the study and concludes with further research directions.
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APPENDICES

Appendix I - Research Instruments

A. Key informant interview guide

Draft Key informant interviews guide – members of the CBE management (Govt, Donor and Service providers)

Contact Information

Name: _________________________________________________________________

Designation: ____________________________________________________________

Organisation: __________________________________________________________

Questions:

<table>
<thead>
<tr>
<th>No.</th>
<th>Question</th>
<th>STAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Your office was involved in the running of the CBE programme. How was it involved?</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>How did you initially get involved in the running of the CBE programme?</td>
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<tr>
<td></td>
<td>Prompts: How was CBE introduced to you?</td>
<td>PC</td>
</tr>
<tr>
<td></td>
<td>Planned it together with the ministry of education?</td>
<td></td>
</tr>
<tr>
<td></td>
<td>It was just thrown at us</td>
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<td></td>
<td>Applied or were asked by the ministry of education</td>
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<tr>
<td>3</td>
<td>What were the main objectives, which your office was helping to meet in the running of the CBE programme?</td>
<td>PC IMC</td>
</tr>
<tr>
<td>4</td>
<td>What were some of the short term targets in the running of the CBE programme?</td>
<td>IC</td>
</tr>
<tr>
<td></td>
<td>a. Did all the stakeholders and partners know about them?</td>
<td></td>
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<tr>
<td></td>
<td>b. How were these short term targets communicated to the stakeholders and partners?</td>
<td></td>
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<tr>
<td>5</td>
<td>What collaborations did you have in the running of the CBE programme?</td>
<td>PC IMC</td>
</tr>
<tr>
<td>6</td>
<td>Who were the other players and what were their roles?</td>
<td>IMC</td>
</tr>
<tr>
<td>7</td>
<td>Did you feel that all stakeholders were working towards a common goal?</td>
<td>IMC</td>
</tr>
<tr>
<td></td>
<td>Prompts: MoEST, Donour Community, MIE, CERT, District Assemblies, Other Service Providers?</td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>In your opinion, who was/is leading the stakeholders in these activities?</td>
<td>PC IMC</td>
</tr>
<tr>
<td></td>
<td>How did they lead? And what did they do to show their leadership?</td>
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<tr>
<td></td>
<td>Prompts: they were able to mobilize support? Were they leading themselves?</td>
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<tr>
<td></td>
<td>Question</td>
<td>Prompt(s)</td>
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<td>---</td>
<td>-----------------------------------------------------------------------------------------------</td>
<td>---------------------------------------------------------------------------</td>
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<tr>
<td>9</td>
<td>If that leadership is removed, do you think the activities of CBE will continue?</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>How were other stakeholders sensitized on the programme? Did your organization/department take part in the sensitization? What role did you play?</td>
<td></td>
</tr>
<tr>
<td>11</td>
<td>What was your specific role in the running of the CBE programme?</td>
<td><strong>Prompts:</strong> Did you lead in any activity? Did you help strategize for its management? - planning, organizing, leading and controlling Any role in preparing your stakeholders for change?</td>
</tr>
<tr>
<td>12</td>
<td>Do you think all the stakeholders and collaborating partners knew the main reason why the CBE programme was introduced? Please explain?</td>
<td></td>
</tr>
<tr>
<td>13</td>
<td>What were some of the responsibilities of your collaborating partners? What were their roles in monitoring progress of the programme?</td>
<td><strong>Prompts:</strong> MoEST, Donour Community, MIE, CERT, District Assemblies, Other Service Providers?</td>
</tr>
<tr>
<td>14</td>
<td>How did your organization/department communicate information on how CBE should run to its partners?</td>
<td><strong>Prompts:</strong> call for or conduct meetings, how frequently They come to ask on their own</td>
</tr>
<tr>
<td>15</td>
<td>How often did you meet with fellow keys stakeholders to monitor progress and evaluate the CBE programme?</td>
<td><strong>Prompts:</strong> With Ministry of education and/or officials, with fellow service providers, with district assemblies, with members of the donor community?</td>
</tr>
<tr>
<td>16</td>
<td>Were there any differences between CBE and the formal programme?</td>
<td></td>
</tr>
<tr>
<td>17</td>
<td>How did you plan for these differences?</td>
<td><strong>Prompts:</strong> How did you plan to introduce the different programme and the specific differences?</td>
</tr>
<tr>
<td>18</td>
<td>Do you think that all the stakeholders and partners were aware of the similarities and differences between the CBE programme and the formal primary school? How did you assure that those similarities/differences are upheld?</td>
<td><strong>Prompts:</strong> staff meetings, stakeholder briefings (How often), sharing of best practices</td>
</tr>
<tr>
<td>19</td>
<td>At what point in the programme did you, other stakeholders and partners know that CBE will run differently from the formal primary school?</td>
<td><strong>Prompts:</strong> Generally before the implementation started Generally in the course of the implementation We just knew of the changes as they came.</td>
</tr>
<tr>
<td>20</td>
<td>What impact if any, did the realization that the CBE programme will run differently from the formal primary bring to the implementation and success of the program?</td>
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</tbody>
</table>
|   | **Prompts:** in relation to managers?  
In relation to learners?  
In relation to community members (LCMC and parents?) | IMC |
| 21 | Were there any misunderstandings on the similarities and/or differences between CBE and the formal primary school by any of the stakeholders and partners?  
a. What are the common misunderstandings? | IMC |
| 22 | What did you, (as an organization or department) do to cope with the different changes that happened in the education sector especially in relation to the CBE programme?  
Prompts: Change management, leadership, management, team work, communication, getting buy in, inspiration etc | IMC, IC |
| 23 | Do you think your organization/department had a role to play in making sure that the changes that were introduced in the CBE programme are maintained and sustained?  
a. If yes, what do you think was your role(s) and how did you enact it?  
Prompts: leadership, management, change management | IMC, IC |
| 24 | How do you equip the stakeholders and your other collaborating partners on how they could inform and equip other people on the implementation of the different changes?  
Prompts: periodic synergy meetings  
Open door policy  
Tailor-made/Specific trainings – (new policies, new modus operandi, new style of teaching, new style of assessing students etc) | IMC, IC |
| 25 | What do you think was the value, which these interventions brought to the implementation of the CBE programme? | IMC, IC |
| 26 | Do you have a handbook, or policy to guide CBE operations? | IC |
| 27 | How often did you monitor (remind and track) the participation of your stakeholders and collaborative partners on their roles in the CBE program?  
Prompts: any chance for refresher vision sharing? Who calls for them? | IMC, IC |
| 28 | How did the Ministry of Education or donour community help to build your capacity (as an organization or department) so that you can satisfactorily carry out your responsibility (ies) in the CBE programme?  
Prompts: any trainings provided? | IC |
| 29 | What do you think are the challenges which other stakeholders and partners faced in the running of the programme?  
Prompts: community members, Parents, LCMC, learners | IMC |
| 30 | Did your organization/department celebrate short term accomplishments as it took part in the running of the CBE programme? How?  
a. How are other stakeholders involved in the celebrations for the short term accomplishments? | IC |
In your opinion, what successes and failures has CBE registered so far? (2006-2011)

Prompts: Anything that partners have appreciated?
Anything not appreciated?

What lessons have you (organization/department) learnt from the successes or failures that the CBE programme registered from sensitization to the end?

Prompts: Anything you could do different?

Please rate the following sentences to depict how you think you have performed in improving the following activities in the CBE programme. (1- very successful, 5 not successful)

<table>
<thead>
<tr>
<th>Activity</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>PLANNING</strong></td>
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<tr>
<td>Knowledge of stakeholders and partners on the reasons for establishing CBE</td>
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<tr>
<td>Appreciation of the desired end by players in the CBE project</td>
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<tr>
<td>Understanding and appreciation of guiding policies for CBE implementation</td>
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<tr>
<td>Understanding and appreciation of the actual steps, procedures to be followed</td>
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<tr>
<td>Appreciation of the course of action to be followed</td>
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<tr>
<td><strong>IMPLEMENTING</strong></td>
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<tr>
<td>Understanding of the CBE’s implementation plan</td>
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<tr>
<td>Knowledge of peoples/organisations capabilities in the implementation</td>
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<tr>
<td>Participation of stakeholders in the implementation of CBE activities</td>
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<tr>
<td>Feeling of being part of the process throughout the implementation</td>
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<tr>
<td>Leadership (sense of direction) in CBE implementation -</td>
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<tr>
<td>Leadership (feeling of being motivated) in the implementation</td>
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<tr>
<td>Leadership (sensing of innovativeness) in the implementation</td>
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<tr>
<td>Leadership (feeling of being part of a bigger team the implementation)</td>
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<tr>
<td>Alignment (Stakeholders and partners focus on the goal of CBE)</td>
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<tr>
<td>Adjustment of plans or strategies in the course of implementation</td>
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<tr>
<td><strong>INSTITUTIONALISING</strong></td>
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<tr>
<td>Assessment of the key stakeholders</td>
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<tr>
<td>Community members continuous involvement in the programme</td>
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<tr>
<td>Knowledge of long and short term goals by stakeholders and partners</td>
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<tr>
<td>Feeling of being rewarded in the course of implementation</td>
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<td>Satisfaction with evaluation schedules</td>
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<td>Celebration of successes with stakeholders</td>
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<td>Incorporation of stakeholders recommendations</td>
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<tr>
<td>Ability for the activities to continue if leadership role was removed</td>
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</tbody>
</table>
B. Focus Group discussion guide

Focus Group Discussion guide with stakeholders and partners (LCMC, Parents, Facilitators, Learners)

2. How was the CBE programme introduced in your area? PC
3. Who was involved in the introduction of the programme? And why?
4. What do you think is the main reason why CBE was introduced?
5. How did you participate in the implementation of the CBE activities as individuals or as groups?
6. Who was leading you? What were the benefits? And how did you work together with them?
7. What are the differences between CBE and the formal school? PC
8. Why do you think the CBE programme had all these differences from the formal primary school? PC
9. Did you know about these differences before or after the program started? PC
10. What did you think was your role in making sure that the CBE programme is maintained? IMC, IC
11. What skills were you given to make sure that you help the CBE programme to be sustained? IMC, IC
12. How were you assisted to remember of your roles in the CBE programme? By who and how often? IC
13. Were there any short term targets that you were given to accomplish in the running of the CBE programme? IMC, IC
14. What were some of the short term targets?
15. What did you do after accomplishing the short term targets? IC
16. What challenges and successes did you face in the running of the program? IMC, IC
17. What lessons did you learn from the successes and challenges you faced? IC
   a. What would you change?
   b. What would you keep?
Framework for practicing change management in the Complementary Basic Education Programme in Malawi.

Conference Paper presented at the:

University of Bolton (UK) / Malawi Institute of Management - Strategic Research for Economic Growth and Social Change in Malawi
1st Annual Conference:
21st & 22nd June 2013

By:

Kondwani Precious Mwangala
ABSTRACT
Purpose: Managing change in education is a complex process. The education sector has many current trends including CBE. The practice of Change Management (CM) is however subtle in education literature and as such limited on how it can be used for the improvement of Complementary Basic Education (CBE). This study explored how CM can be practiced in order to improve the CBE programme in Malawi.

Design/Methodology
The inherent characteristics that call for a CBE specific CM framework are its positioning within the education system, stakeholder role complexities, implementation model and size of the programme. The study approached CBE as a single case holistic. Through a cross-sectional approach, it concentrated on the 2006-2011 period. Key informants, managers, community members and learners were interviewed individually and through focus groups. Content analysis was used to analyse the data.

Findings: Results from a comparative analysis of CM theories from literature were fused with the empirical data to construct a clearly defined change management framework for CBE. A 3 step-CM framework (Planning Change, Implementing Change and Institutionalising Change) is constructed based on overlaps of CM theories as revealed from literature, and the empirical data, which exposed the need for continuous communication when dealing with stakeholders from various sections of society in managing a programme like CBE.

Limitations
The main limitation is in relation to sample selection because all data was collected within the CBE programme. Also, CM being a new area of study in Malawi’s education sector; there were situations where respondents failed to articulate some CM aspects being practiced.

Practical Implications
While there is a growing body of literature on CM in education, there is limited applicability to the CBE programme. This study will add a clearly defined framework for practicing CM in CBE and a clear road map for managing change to all stakeholders in CBE.

Keywords: CBE, Change Management, 3 Step-CM framework.

Type of Paper: Research Paper

INTRODUCTION
Researchers have cited many current trends in education that necessitate CM (Willis & Mellinger 1996; Cotton 2001; Stevenson 2002; Molebash n.d). However, trends that are related to Malawi and therefore relevant to CBE and this paper are Illiteracy, Free Primary Education, Drop outs and Non Formal Education (UNESCO 1984; Jones 1997; Abadzi 2003; UNICEF 2010; Chabbott 2010). CBE is a non formal education programme, which requires a clearly defined CM approach. However, CM is complex in the CBE programme because of several inherent characteristics like the positioning of the programme within the education system, key stakeholder role complexities, geographical location, flexibility in implementation and size of the programme (Mullins 1993; Mumford 1996; Castrol-Leal 1996; Hoppers 2006).

**Change Management in Education Literature**


The table below shows keywords used in the search and results from different databases:
Table 1: Change Management in Education Literature search

<table>
<thead>
<tr>
<th>Key word/s</th>
<th>Database</th>
<th>Result</th>
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<tbody>
<tr>
<td>management in non formal education, CBE</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Change, Change Management, Change Management in Education, Change</td>
<td>Emerald</td>
<td>Publications on change in education service and management of schools</td>
</tr>
<tr>
<td>management in non formal education</td>
<td></td>
<td>as a response to these changes but non on CBE</td>
</tr>
<tr>
<td>Change, Change Management, Change Management in Education, Change</td>
<td>Harvard Business Review</td>
<td>Application of different Change Management principles to specific</td>
</tr>
<tr>
<td>management in non formal education</td>
<td></td>
<td>education settings but non on CBE</td>
</tr>
<tr>
<td>Change, Change Management, Change Management in Education, Change</td>
<td>University of Bolton eJournals Portal</td>
<td>Publications on general Change Management principles and their possible relevance to the education sector minus CBE</td>
</tr>
<tr>
<td>management in non formal education</td>
<td></td>
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</table>

Source: Author

The deficiency of CM literature in CBE was the justification for the author to generally look at CM in Education as a starting point. Mitchell (1998, p. 12) remarks that 'most of the valuable material on CM in Education was gathered by Mike Wallace, (1991, 1992).’ Wallace, who conducted a qualitative research in nine British schools where change is managed effectively managed to establish common leadership patterns in these schools. Garvin and Roberto (2005) support this when they emphasise that leaders can make change happen only if they have a coherent strategy for persuasion. As much as persuasion can facilitate CM, the need for clearly set guidelines for other team members to follow in managing change cannot be overemphasised (Palmisano, 2004).

CHANGE MANAGEMENT IN EDUCATION

The Need for CM in Education

Although CM in Education is a discreet field of study, change in education is happening due to various reasons like political trends and the demand for the service nowadays. Other changes that keep happening in the school setting are in relation to restructuring, staff management, pupil grouping teaching methods and techniques (Paisey 1984). There also seems to be expectations from school leaders because teachers are aware that head teachers as leaders need to provide some kind of coherent view of the school
and how it should develop (Day et al; 2000). This then calls for head teachers to shift from their traditional autonomous, paternalistic positions to one of increasing accountability to groups both inside and outside their schools (Peters 1976, Barrow 1976, Bernbaum 1976, Colegate 1976 and Coulson 1976). Hassan (2006) suggests that the introduction of restructuring strategies succeed when the top line is fully involved. It is important for Educators and Institution Managers to anticipate for, prepare for and initiate change in their education systems. Pryor et al; (2008, p. 16) stress that in today’s world of constant, complex change, organisational leaders who react rapidly and responsibly are successful, those who anticipate and invent the future are even more successful because they are the leaders in their organisations and industries.

Whitaker, (1993, p. 1) says, ‘changes in educational practice tend to come from practitioners themselves rather than through regulation.’ As such, the anticipation for change will better prepare them to decide how to integrate the external changes into their education systems and use them to better provide the education service. Yet it follows that this desire may not materialize unless there is a clear ‘strategy’ for government and all the key stakeholders in the education sector to use. Although they do not give a specific example, CREATE, (2010) advocates for a strategy, which appreciates the context, dynamics, characteristics and lessons in the education model being implemented.

**Change Management Problems and Challenges in CBE**

As stated earlier CM is complex in the CBE programme. Although it is an education model, factors such as positioning of the programme within the education system, key stakeholder role complexities, geographical location, flexibility in implementation and size of the programme bring a challenge as to how CM can be practiced (Mullins 1993; Mumford 1996; Castrol-Leal 1996; Hoppers 2006).

Perhaps, the positioning of the CBE programme within the education system is the foremost character that has significant impact on its CM practice. The CBE programme
in Malawi illustrates an approach that extends basic literacy skills to young people who dropped out of school so that they can re-enter the formal education system (World Bank, 2012). Davies, Popescu & Gunter (2011, p. 47) emphasise the need to link the local education site (CBE) with the wider education sector. There is a close relationship that exists between CBE and the formal primary school (MoEST 2011). Kaplan and Norton (2006) propose a flexible and less disruptive approach of creating a CM system to serve as the interface between strategy and structure. However, when the wider education sector resists CM because it translates into more work for education practitioners, the CBE programme is left vulnerable (Recklies 2001). Mullins (1993) supports systems theory, which upholds the idea that any part of the organisations’ activities, affects all other parts. If there were well defined CM practices in the formal education, they would have easily affected CBE. Conversely, a clearly defined CM strategy for CBE will in turn affect and benefit the formal education.

Stakeholder role complexities can also influence CM efforts in CBE. Policy makers, basic education department, donor community, service providers, parents, community members, facilitators, and learners make up key stakeholders for the CBE programme. O’Donoghue & Dimmock (1997) state that it is easier to win support in the education community for initiated change more especially if the change is perceived to be in the interest of learners. Woods (2010) points out that schools are principally concerned with the outcomes of teaching and learning, which are relied upon staff and learners. However, for a programme like CBE, every one of the stakeholders must agree to the fact that the initiated change is indeed to the interest of learners. This causes the outcome of teaching and learning to be based upon all concerned stakeholders and not only staff and learners. This then calls for an all inclusive CM strategy, which puts into consideration all the structural forms involved in the process (Mintzberg 1979). Berggren & Soderlund (2011) advocate that these stakeholders should know what new things the learners have learnt and how valuable these things will be.

The locations, in which the CBE programme actually operates, have an impact on CM practices. Hakuta, Butler & Witt, (2000) emphasise that CBE centres are high poverty schools because they operate in rural communities. They target children and youth in
the poorest sections of society because that is where children are least likely to be in school (Castrol-Leal 1996). This means that most of the stakeholders like parents and community members are not exposed to CM concepts and techniques because these are things that are rampant in the urban setting (Paterson & Herrera 2010). Therefore, a clearly defined and simplified CM strategy for all stakeholders to understand and appreciate is desirable. Apart from improving CBE, it will also help increase literacy rates to levels that will promote sustained levels of economic growth (Fagerlind and Saha 1983).

Flexibility in the way the CBE programme runs present another important CM challenge. Orliskowski & Hofman, (1997) state that the education system is bounded and its functionality is sufficiently fixed to allow for detailed specification. As much as this is true with the formal education system, the same cannot be said about CBE. The CBE programme is flexible, which makes the environment to be unstable. Therefore a CM strategy for an education system, which is not as stable as the formal education system, is needed. The flexibility of the CBE programme makes it to be like a learning organisation operating in a more turbulent environment (Greenwood & Hinings 1996).

In addition to all these, the size of the programme can also impact the CM practice in the CBE programme (Andrews, Cameron & Harris, 2008). Unlike the formal education system, which is big and spreads across the whole country, the CBE programme is operating in selected districts within Malawi. This also calls for specific theories and frameworks for CM in CBE.

**CHANGE MANAGEMENT THEORIES AND FRAMEWORKS**

This section outlines the significance of managing change in Education, especially CBE. It also outlines CM theories and frameworks that can be adapted in the CBE programme.

While there is a widespread recognition and agreement about the significance and need to manage change, the avenues of CM are disparate. Pryor et al., (2008) state that change is constant and organisational leaders who anticipate change and react rapidly...
and responsibly are successful. The CBE programme needs a specific framework that can address the CM challenges discussed before. There are multiple CM theories available and change is attributed to a wide array of factors. The most widely stated causes come from macro-environmental factors such as major economic and political changes, technological advances, rapid expansion in the global market place and altering demographic and social structures (George and Jones 2002).

There is significant research that focuses on the process of implementing organisational change, with issues such as how change occurs, who initiates the implementation of change and reactions to the fairness of the change implementation (Beer, Eisenstat & Spector 1990; Kanter 1989; Quinn 1980; Hambrick 1989; Robbins & Duncan 1988; Tichy & Ulrich 1984; Cobb, et al., 1995; Schweiger & DeNisi 1991).

Again, some research focuses on the successful CM process (Caldwell, Herold & Fedor, 2004). Nohrai & Roberson (2003), suggest that non-tangible factors such as strategy and culture are the major determinants of long term positive results as opposed to specific methods of implementing change.

Given the nature of the subject area, there are different proposals on the implementation of CM. Some examples of possible CM models and theories are:

- The Action Research Model (Collier 1945; French 1969; Schein 1980).
- Lewin’s Three Step Model, (Lewin 1945; Lewin 1951)
- The Lippit, Watson and Wesley five phase model of planned change (Lippit, Watson & Wesley 1958).
- Scheins Extension of Lewins Change Model (Schein 1980).
- Kottoner Strategic Eight step model (Kotter 1996).
- Shields Five step Model (Shields 1999).
- Jicks Ten Step Model (Jick 2001; Jick 2003)
- Mento, Jones and Dirmofer’s Twelve-Step Model (Mento, Jones & Dirmdofer’s 2002).
- Charles Sturt University’s Organisational Change and Renewal Framework (Bryant 2008).

The table below is a record of how the above CM models fair as far as this study is concerned.
<table>
<thead>
<tr>
<th>CM Theory</th>
<th>Preferred</th>
<th>Not preferred</th>
<th>Rationale</th>
</tr>
</thead>
<tbody>
<tr>
<td>Action Research Model</td>
<td>Not preferred</td>
<td></td>
<td>Combination of changing not only attitudes and behaviour, but also testing the change method being utilized. May be useful if it is done through the process of drills or exercises</td>
</tr>
<tr>
<td>Lippit, Watson and Wesley five phase model</td>
<td>Not preferred</td>
<td></td>
<td>Five steps or seven steps extended from Lewins Model (Kritsonis 2005). Researchers do not agree on the exact number of steps in this model. Focuses more on the role and responsibility of the change agent than on the evolution of the change itself</td>
</tr>
<tr>
<td>Schein's Extension of Lewins Change Model</td>
<td>Not preferred</td>
<td></td>
<td>Argues that people must feel psychologically safe for change to be productive but induces guilt or anxiety to achieve desired change.</td>
</tr>
<tr>
<td>Shields Five step Model</td>
<td>Not preferred</td>
<td></td>
<td>Builds on the idea that change fails due to insufficient attention to the human and cultural aspects of business. Lacks the addressing of communication as an important component in the whole change process.</td>
</tr>
<tr>
<td>Jicks Ten Step Model</td>
<td>Not preferred</td>
<td></td>
<td>Geared more toward a tactical level of change. It is however complex for all stakeholders in a programme like CBE to follow all the steps.</td>
</tr>
<tr>
<td>Mento, Jones and Dirmofer’s Twelve-Step Model</td>
<td>Not preferred</td>
<td></td>
<td>Recommends twelve steps to lead the transformational change. It is however complex for stakeholders in a programme like CBE to follow all the steps.</td>
</tr>
<tr>
<td>Charles Sturt University’s Organisational Change and Renewal Framework</td>
<td>Not preferred</td>
<td></td>
<td>Developed at for a university and modifies Kotters processes and Synots ingredients but produces a complex model that is not easy to follow and not meant for use in the CBE programme.</td>
</tr>
<tr>
<td>Lewin’s Three Step Model</td>
<td>Preferred</td>
<td></td>
<td>Relevant in terms of what to do. Although the model is one for planned change, it is still applicable when unplanned change occurs and so relevant to CBE.</td>
</tr>
<tr>
<td>Prosci ADKAR Model</td>
<td>Preferred</td>
<td></td>
<td>Diagnoses people’s resistance to change and provides an opportunity for creating a change management plan that is workable. Applicable to CBE because it is able to identify why changes are not working and help take the necessary steps to make the change successful.</td>
</tr>
<tr>
<td>Kotters Strategic Eight step model</td>
<td>Preferred</td>
<td></td>
<td>Model can be used at the strategic level of an organisation. The different phases in the model provide an opportunity for change to be evaluated and that is critical for the CBE programme.</td>
</tr>
</tbody>
</table>

Source: Author
A discussion on limitations in the current CM theories

An in-depth review of CM literature has identified some limitations in the current CM theories. These theoretical inadequacies and challenges offer huge capacity for further research in the area. It is undeniable that the theories listed and discussed above have provided wonderful contributions to the field of CM. However, in the context of CBE, they have several limitations. Possibly, the major limitation of these theories is lack of an all-inclusive view of Change Management in CBE. Pryor et. al., (2008) supports this view when he notes that the problems and challenges facing organisational leaders, organisational development experts and researchers do not relate to the relevance and worthiness of CM models, but rather to the speed and complexity of change today.

The theories do not include steps for monitoring and measuring change as it is being implemented (Pryor et. al., 2008). Mento, Jones & Dirmdofer’s (2002) advocate for the importance monitoring change so that success can easily be measured. Monitoring of the CBE programme would be critical in establishing whether its objectives are being fulfilled.

Other model specific weaknesses include the lack of addressing the importance of communication although it is important in gaining support and buy in (Shields 1999). Jicks model, (2003) is geared more towards tactical change. However, CBE needs a clearly defined model that can ably respond to both planned and unplanned change.

Although Charles Sturt University’s Organisational Change and Renewal Framework was developed at for a university, it was not meant for use in the CBE programme (Bryant 2008). This model modifies Kotters processes and Synots ingredients but produces a complex model that is not easy to follow.

As such, several unanswered questions remain regarding shared responsibility, timing of reviews and sequencing of stages in the CM implementation process. Although the above theories have not been preferred, three of them, Kurt Lewin’s Three Step Model, (Lewin, 1945; Lewin 1951), Prosci ADKAR Model, (Prosci 1998; Hiatt 1998), and Kotter’s Eight Step Strategy Model, (Kotter 1996) have been considered further because of their capacity to being used in an education setting. The following sections
evaluate these theories in light of the CBE programme. This is done in order to come up with an elegant CM model for CBE which will be clearly defined.

A. Kurt Lewin’s Three-Step Model

This model, developed by psychologist Kurt Lewin, (1945) should be considered because it still forms the underlying basis for many change management theories and models today. The Kurt Lewin’s 3 stage change model is also called the freeze change model. Warrilow, (2009 B) says that Kurt Lewins 3 stage change model suggests that change involves a move from one static state, via a state of activity to another status quo. All this happens via a three stage process of managing change: unfreezing, changing and re-freezing. The figure below shows the process of the freeze change model.

**Figure 1**: Lewin’s freeze change model process:

![Lewin's Change Process Diagram](image)

Pryor et. al., (2008) stresses that in Lewin’s model, there is a stipulation for three distinct steps in CM if it is to be effective. The steps are unfreezing the present, moving from the present and re-freezing.
The freeze change model assumes that change is threatening to the status quo and causes discomfort. This is the 'frozen' state and significant effort may be required to 'unfreeze' them in order to get them to change (Warrilow 2009 A). This usually requires some form of intervention to get them moving. Strategies like restructuring or the creation of some form of real crisis, or the perception of a real crisis can help the members to be willing to move from the frozen state (Buchanan & Boddy 1992). Warrilow (2009 D) suggests that presenting the 'cold hard logic' of 'irrefutable facts' is another common strategy that makes change inevitable. This can be any form of intervention designed to destabilize people and render them susceptible to change.

A key part of the freeze model is the idea that change, even at the psychological level, is a journey rather than a simple step. Lewin (1951) stresses that for change to be permanent, you must dismantle the present (and the capability to move back to the present), move from the present to the future and put in place the people and processes to ensure permanency. It is clear that managing the transition requires time and sensitive skilful leadership, which has to be exercised within people focused CM processes (Hammer 1993).

Segal & Smith (2010) point out that the freeze change model recognises that people derive a strong sense of identity from their environment and like the safety, comfort and feeling of control within their environment.

Pryor et. al., (2008) declares that if this model is not followed, changes will be short lived.

This model is still relevant in terms of what to do. However, the speed at which the 3 stages must be done has increased dramatically. Although Lewin’s model is one for planned change, it is still applicable when unplanned change occurs particularly if we know in advance that there is some probability that the change will occur (Pryor et. al., 2008). Because of being an education system, CBE is a relatively stable and bounded environment whose functionality is sufficiently fixed to allow for detailed specification (Orliskowski & Hofman 1997). Straks, (2005) and Sahlberg (2006) confirm that the education sector has many systems that have been held on to for a long time. The value in Lewins model is that it recognises that people are stuck or attached to how
things are. As such, concepts from this model can be applicable to the CBE programme.

B. The Prosci ADKAR model

The Prosci ADKAR model was developed based on analysis of research data from over 900 organisations over a 10 year period. Warrilow (2009 E) states that the model reflects necessary building blocks for individual change.

In the ADKAR model, Prosci, (2006) proposes that for successful change to occur at the individual level, people need to move through each of these stages:

1. Awareness of the need for change
2. Desire to make the change happen
3. Knowledge about how to change
4. Ability to implement new skills and behaviors
5. Reinforcement to retain the change once it has been made

Warrilow (2009 E) assesses the model as founded on two basic ideas that:

- It is people who change, not organisations
- Successful change occurs when individual change matches the stages of organisational change.

Prosci's own research (2006) reveals that problems with the people dimension of change is the most commonly cited reason for project failures. In his study with 248 companies, effective CM with employees was listed as one of the top three overall success factors for the project. Helping managers be effective sponsors of change was considered the most critical success factor overall.

Hiatt, (1998) describes Prosci ADKAR’s model as follows:

It is a goal-oriented CM model that allows change management teams to focus their activities on specific business results.
1. The model was initially used as a tool for determining if CM activities like communications and training were having the desired results during organisational change.

2. By identifying the required outcomes or goals of CM, ADKAR becomes a useful framework for change management teams in planning and executing their work.

3. The goals or outcomes defined by ADKAR are sequential and cumulative. An individual must obtain each element in sequence in order for a change to be implemented and sustained.

This model is relevant for the study because it helps diagnose people’s resistance to change, provides an opportunity for creating a CM plan for the people involved and identifies gaps in the change management processes. Prosci (2006) emphasises that the ADKAR model has the ability to identify why changes are not working and help you take the necessary steps to make the change successful. The steps in the ADKAR model are about people and their response to these different aspects of the process. The education sector is about people, and this makes the ADKAR change model to be appropriate for CBE. Hammer (1993) declares that emphasizing on people in CM is important because the human side is much harder than both the technology and process sides. Adopting CM concepts and principles from this model can help in improving the CBE programme.

C. Kotter’s Strategic Eight-Step Model

The figure below shows the guiding principles in Kotters’ eight step strategy for change management.
Pryor et. al., (2008) state that this model should be used at the strategic level of an organisation to change its vision and subsequently transform the organisation. Kotter’s eight step approach to change is as follows:

1. Establish a sense of urgency:

Kotter (1996) suggests that for change to be successful, 75% of a company’s management needs to support the change. For this to happen, a key early task is to develop a sense of urgency around the need for change. People typically prefer the status quo. Change means uncertainty about what the future looks like and uncertainty makes people uncomfortable (Pryor et. al., 2008). People avoid change because they tend to mistrust things about which they are uncertain. To encourage people to assist with the change, you must create a sense of urgency (Kotter 1996, 1998).
2. Form a guiding coalition

Kotter (1996) says that building the momentum for change requires a strong leadership and visible support from key people within your organisation. The coalition will involve a wide representation of the formal and informal power base within the organisation. By working as a team, the coalition helps to create more momentum and build the sense of urgency in relation to the need for change (Kotter 1998).

Warrilow (2009 A) touts the model as one that recognises the importance of the emotional dimension and the energy that is generated by a 'mastermind' group all working together because managing change is not enough. He says that change has to be led. To counteract resistance, one option is to form a powerful coalition of managers to work with the most resistant people (Pryor et. al., 2008).

3. Develop a vision and strategy

Pryor et. al., (2008) reasons that while it is not impossible to get things done without a definite plan of action; it is much simpler if there is a clear plan of action. Kotter (2002) contends that a drive for change without a clear focus will rapidly fizzle out unless you develop a clear vision of the future that is accompanied by a clear description about how things will be different in the future. The vision needs to be defined in such a way that it is capable of expressing, in a short vision speech that conveys the heart of the change. Since the status quo is more comfortable for most people, they are likely to revert to business as usual and not flow with changes without a plan in place. Kotter (1998) emphasises that creating a vision and the strategies for achieving the vision will help expedite the change. It is important to work with the coalition to develop strategies that will deliver the vision (Kotter 1995).

4. Communicating the vision

If people do not know that change is coming or has occurred, they are more likely to resist change. Kotter (2002) maintains that as a change leader you need to use every means at your disposal to constantly communicate the new vision and key strategies that support that vision because communication is everything. This communication goes beyond the 'special announcement' meetings and involves frequent and informal face-to-face contact with your people. Warrilow (2009 D) advocates openness and honesty to address the emotional dimension of your people’s fears and concerns.
5. Enabling action and removal of obstacles
This step empowers others to act on the vision by removing barriers to change and encouraging risk taking and creative problem solving change (Kotter 1996). Pryor et. al., (2008) reasons that if you want people to do something new, you will probably get more cooperation from them if you first tell them how, and then give them tools necessary for doing things in a new way. Kotter (1996) says that this is the stage where your change initiative moves beyond the planning and the talking, and into practical action. He further states that this happens when you put supportive structures in place and empower and encourage your people to take risks in pursuit of the vision. This also includes the removal of obstacles like structures and individuals who are getting in the way of Change (Kotter 2002).

6. Generating short term wins
People need to be rewarded when they break away from old behaviours and do something that is new and desirable (Pryor et. al., 2008). This is positive reinforcement. Kotter (2002) advises that an early taste of victory in the change process gives people a clear sight of what the realised vision will be like because success breeds success. This is important as a counter to critics and negative influencers who may otherwise impede the progress of your initiative. Short term wins move the organisation towards the new vision (Kotter 1996).

7. Hold the gains and build on change
Pryor et. al., (2008) advises that although resistance is diminishing at this stage, you still need to observe actions. Kotter (2002) argues that many change initiatives fail because victory is declared too early. An early win is not enough. He says that when you get an early win, this should be the time to increase the activity, and change all systems and structures and processes that do not fit with the change initiative and bring new blood into the coalition. Warrilow (2009 E) adds that this is about continuous improvement and each success (and failure) is an opportunity for analyzing what worked (or didn’t) and what can be improved.

8. Anchor the Changes in the Culture
Kotter (1996) advises that to make changes more permanent, you should reinforce them by demonstrating the relationship between new behaviours and organisational
success change. For any change to be sustained, it needs to become embedded in the
new way things are done at an organisation (Kotter 2002). That is the culture. Day et.
al; (2000) says that transformational leaders not only manage structure, but they
purposefully impact upon the culture in order to change it.
This model is relevant for the study because it is strategic. Pryor et. al., (2008) declares
that this model should be used at the strategic level of an organisation to change its
vision and transform the organisation. Studies using this model have shown that the
change process goes through a set of phases and mistakes at any phase can impact
the success of the change (Pryor et. al., 2008). However the phases provide an
opportunity for the change to be evaluated in those phases and that is critical for the
CBE programme.

NEED FOR A CM FRAMEWORK FOR CBE

This section outlines the importance of a clearly defined CM framework for CBE. It also
provides the strengths of the new CM framework for CBE.

In relating to the speed at which some changes must occur, Pryor et. al., (2008)
recommends CM approaches that drill people on how to follow through discernible
steps of a CM process. In order to make changes permanent, people best personally
make the changed way of doing things a comfortable part of their respective self-

It is important for CM models to incorporate the development of a vision or desired
business result and movement from the status quo to a future state in a united fashion
(Pryor et. al., 2008; Prokesch 2009). The concept of changing processes to empower
people in the organisation to change should not be overlooked. Farrel et. al., (2005)
emphasise that this process includes evaluating current systems, processes and
capabilities to facilitate change. Apart from establishing a reason and need for change,
all CM models must incorporate the idea of reinforcing and creating small improvements
to encourage additional change.
These characteristics are not found in just one CM model. However the models discussed earlier seem to complement each other. The author therefore adapts all the three models for this study. This is done by constructing a conceptual framework based on these models as the following section outlines.

**Conceptual framework for practicing CM in CBE**

This section begins with a comparative analysis of the three CM theories outlined earlier. From the comparative analysis, a proposed CM framework for CBE is developed. The section concludes with a diagrammatic presentation of the proposed framework.

**A comparative analysis of CM theories**

A critical analysis of the freeze change, Prosci ADKAR and Kotters eight step strategy models reveals some overlaps. The conceptual framework for CM in CBE has been developed by the researcher and applied on the basis of the overlaps. The steps from these three CM models have been modified, synthesized and categorized into three managerial characteristics of Planning Change, Implementing Change and Institutionalising Change. It should be noted that this conceptual framework serves as a guide for the research study and is not intended as a rigid hypothesis for this study.

Table 3 is the authors’ application and synthesis of how the different processes from the three CM models under scrutiny fall within three preferred managerial characteristics in the authors proposed conceptual framework.
<table>
<thead>
<tr>
<th>Proposed Phases</th>
<th>STEP: 1</th>
<th></th>
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<th>STEP: 2</th>
<th></th>
<th></th>
<th>STEP: 3</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>Planning Change</strong></td>
<td><strong>Implementing Change</strong></td>
<td><strong>Institutionalising Change</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Existing Authors</td>
<td>Kurt L</td>
<td>ADKAR</td>
<td>Kotter</td>
<td>Kurt L</td>
<td>ADKAR</td>
<td>Kotter</td>
<td>Kurt L</td>
<td>ADKAR</td>
</tr>
<tr>
<td>Unfreeze (create the right environment)</td>
<td>Awareness of the need to change</td>
<td>Create Urgency</td>
<td>Change (support change to desired state)</td>
<td>Ability to implement new skills and behaviours</td>
<td>Enabling action and removal of obstacles</td>
<td>Refreeze (reinforce to anchor the change)</td>
<td>Reinforcement to retain the change once it has been made.</td>
<td>Hold the gains and build on change</td>
</tr>
<tr>
<td>Desire to make the change happen</td>
<td>Form a guiding coalition</td>
<td></td>
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</tr>
<tr>
<td>Knowledge about how to change</td>
<td>Develop a vision and strategy</td>
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<tr>
<td>Communicating the vision</td>
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</tbody>
</table>

Source: Author
4. PLANNING CHANGE

The following are the processes that fall under Planning Change:

- The foundation for the change is laid. The stronger the foundation, the more sustainable the change.
- Awareness for change is created. Lewin, (1945) suggests that significant effort may be required to get them to change. Warrilow, (2009 D) says that the presentation of “irrefutable facts” that make change inevitable helps to get the change underway.
- Making people desire to change as a matter of urgency (Prosci 1998, Kotter 1997). Creating a vision for the future and communicating it clearly can be a catalyst to facilitate this (Kotter 1997).
- Identifying a coalition that will guide the change and inform players how the change will happen (Prosci 1998, Kotter 1997).

Laying the foundation for change could be the first step in getting people ready for change. This is at the core of planning for change because it involves creating awareness and creating the urgency for change. Sull (2009) encourages the importance of assembling management teams that leverage the strengths of both outsiders and insiders.

These activities can be done together because people might respond to either based on what appeals to them most. However, the change manager should exercise patience with the people. Segal & Smith, (2010) confirms that the people to be impacted by the change need to be given time to work through the change process because they like the comfort of the situation they are in. Warrilow (2009 D) suggests that Planning Change requires patience because it is not a simple step.

The transition from Planning Change to Implementing Change requires time and sensitive skilful leadership exercised within people CM processes (Hammer 1993). This guarantees peoples involvement for the success of the change process.

5. IMPLEMENTING CHANGE

The following are the processes that fall under Implementing Change:
• Supporting change to desired state. Here, change managers should encourage and allow the concerned people to implement new skills and behaviours (Lewin 1945, Prosci 1998).

• Putting in place supportive structures like recognising and awarding innovative ideas. This encourages risk taking in pursuit of the vision cast while planning change (Kotter 1997).

• Encouraging, recognizing and rewarding brevity to change so that people feel encouraged to keep on implementing change. Kotter, (1997) advises that an early taste of victory in the change process gives people a clear sight of what the realised vision will be like.

These activities can happen concurrently or one after another depending on the levels where the people involved in the change process are at. At this stage, it is important for the people involved in the change process to know how to execute their work. The goal of the change manager is to help the people implement change that can be sustained.

6. INSTITUTIONALISING CHANGE

The following are the processes that fall under Institutionalising Change:

• Anchoring the change so that it gets reinforced and established in the culture or system (Prosci 1998, Kotter 1997). This means fixing or securing the changes so that they can be part of the tradition in an organisation. Lewin (1945) calls this ‘refreezing.’ Sharing success stories about the change process helps to fortify change.

• Strengthening the system and structures that support change. Kotter, (1997) encourages that this should be the time to increase the activity and change all systems, structures and processes that do not fit with the change initiative. This basically means supporting positive change practices within the organisation. If need be, new blood can also be brought into the coalition.

To institutionalise change, progress that is being made through the change has to be shared for people involved to see and get encouraged.
It is important to remember that this is a continuous sequence. Therefore, new change can be built upon the institutionalised change and go through the same stages of Planning Change and Implementing Change.

Below is the pictorial representation of the proposed framework:

**Figure 3:** Framework for practicing CM in CBE:
Characteristics:

a). Elegant yet comprehensive: The framework will explore and describe a collection of important organisational issues affecting CM in CBE.
b). Basic cycle representing a continuous sequence of stages or steps.
c). Uses managerial terms.
d). Emphasises stages or steps in a continuous circular flow

Research Questions

Based on the Literature Review, four broad based research questions were derived to address the identified research challenges and empirical inadequacies. These questions attempt to explore and describe the fundamental factors of CM in CBE and aid in the strengthening of the proposed framework for practicing CM. The following are the four research questions formulated for this research project:

Q1. How was CBE introduced to MoEST officials, community members and learners?
Q2. How were the fundamental variations between CBE and the formal school considered before the implementation of the programme?
Q3. Was any CM approach introduced to help manage the variations between CBE and the formal school?
Q4. How could CM concepts and techniques best be used to achieve the CBE programme objectives?

Only the CBE programme in Malawi was considered to guide this study. The research study was designed to be both exploratory and descriptive. Contradicting the view that CM should be left to managers, the author included learners, who in this case are customers in the sampling frame in order to bring precision for a clearly defined CM strategy for CBE.
RESEARCH METHODOLOGY AND DESIGN

Case study Method

Scientists have looked at case study differently. Others consider the case as an object of study, (Stake, 1995), while others consider it as an absolute research methodology, (Merriam, 1998; Stoecker, 1991; Yin, 1994). Here, the author treats case study as a research methodology in order to explore the possibility of adopting it for use in this study.

Yin (1993), defines case study as an empirical inquiry which investigates a contemporary phenomenon within its real-life context, especially when the boundaries between phenomenon and context are not clearly evident. There is uncertainty between change management practice and organisational factors (Conger & Kanungo, 1988). This uncertainty demonstrates the appropriateness of the case study approach to the current study.

Studies, (Hamel, 1993; Perry & Kraemer, 1986; Yin, 2002) indicate that the case study methodology has increasingly been used as a research tool in social sciences and is often advocated as a suitable method in organisational and management studies. The study at hand has been done in the context of the organisations that implemented the CBE programme. This causes the study to be an organisational study. Being a change management study makes it a management study. These reasons qualify case study as the appropriate approach. Moreover, case study is a flexible method in terms of the underlying philosophical assumptions and can prove invaluable in adding to understanding, extending experience and increasing conviction about a subject (Yin, 2002; Stake, 2000). Yin, (2003) has further said that the case study is often the preferred methodology when “how” or “why” questions are being asked or when the researcher has little control over events. All these characteristics indicate that case study can serve as a valuable alternative for this study

Paradigm: The interpretivist paradigm offers many avenues for answering the research questions for this study. This study is about the exhaustive exploration of the usage of
CM and the applicability of its principles in the CBE programme. In these circumstances, Rollinger (1999) suggests the phenomenological paradigms, of which interpretivism is one of them, as effective alternatives. In this study, the CBE programme has been looked at through the eyes of other people, thus allowing social members’ definition of a situation and multiple perspectives of reality rather than the ‘one reality’ of positivism (Greener 2008; Schwandt 1994). Klein and Myers (1999, p. 72) suggest that interpretive research does not predefine dependent or independent values but focuses on the full complexity of human sense making as the situation emerges. By understanding the motivations of the staff involved in CBE, and why they did things the way they did, the researcher will perceived if CM concepts and techniques were used and whether they can be helpful in the future running of the programme.

Mittman (2001, p. 3) notes that qualitative research with its emphasis on understanding complex, interrelated and/or changing phenomena is particularly relevant to the challenges of conducting management research. This research is about Change Management which involves a high degree of management aspects. As such, the use of qualitative methods for data collection and analysis is very relevant in the context of this research study.

Literature has revealed that the interpretivist paradigm is a theory that helps in the building of a second order theory (Schutz 1973). This helps in the fulfillment of the objective of this study, which is to develop a clearly defined framework for practicing Change Management to improve the Complementary Basic Education Programme. Therefore, the interpretive paradigm has been adopted to answer the derived research questions and to develop the proposed framework.

**Methodology:** Given the research objectives of this study, a qualitative research is appropriate. As such the qualitative approach has been adopted for this study. Interpretive studies require an in-depth understanding. Being a study that is happening in an education programme, all participants like education managers, learners and parents were involved (Patton 1990). Denzin and Lincoln, (2000) affirm that qualitative research focuses on interpretation of phenomena based on peoples experience and
meanings they bring to a setting. The goal and objectives of this study required a rigorous examination of the CBE programme in Malawi, which is possible when more subjects are involved (Pope & Mays 1995; Denzin 1989).

**Sample Selection for Case Studies**

Our unit of analysis under the single case study holistic approach is the CBE programme itself as it operated from 2006 to 2011. Kandadi, (2006, p. 66) highlights that case or sample selection, is an important aspect of the research design that directly determines the quality and relevance of the empirical data to be collected and ultimately shape conclusions. Yin (1994) notes that the selection of appropriate units of analysis results from the accurate specification of the primary research questions. The research questions for this study required the study of the CBE programme examined at a holistic level because it is one programme

**Data Collection:** Interviews were the main method of data collection for this study. These were based on structured, semi structured interview and group interview instruments respectively developed through a literature review. The interview method was preferred in this study so that the objective of exploring various factors requiring CM in CBE can be achieved. Silverman (1985) remarks that interview data displays realities which are neither biased nor accurate, but simply 'real'. The interview method has been used to seek and describe meanings of central themes in the real world of the subjects (Kvale 1996). The questionnaires for both semi structured interviews and group interviews were designed to allow respondents describe the content within boundaries of this studies research questions.

To obtain an in-depth view of the change management practice in CBE, various internal documents of the CBE programme were studied exhaustively. Yin, (2003) states that document review facilitates the collection of data that contains exact names, references, and details of an event.

The table below summarises the data sources for this study. A discussion of the same follows immediately after.
Table 4: Data Sources

<table>
<thead>
<tr>
<th>DATA SOURCE</th>
<th>Individuals</th>
<th>Documents</th>
</tr>
</thead>
<tbody>
<tr>
<td>INTERVIEW FORMAT</td>
<td>Individual (Key informants)</td>
<td>Group Interviews (FGD)</td>
</tr>
<tr>
<td>CADRE OF RESPONDENT</td>
<td>Managers/ Policy level</td>
<td>Supervisors</td>
</tr>
<tr>
<td>DESCRIPTION</td>
<td>Technical Supervisor</td>
<td>2 senior supervisors</td>
</tr>
<tr>
<td></td>
<td>CBE Coordinator</td>
<td>6 ordinary supervisors</td>
</tr>
<tr>
<td></td>
<td>Service Provider Rep.</td>
<td>Ordinary community members</td>
</tr>
<tr>
<td></td>
<td>MIE Rep.</td>
<td></td>
</tr>
<tr>
<td>TOOL</td>
<td>Unstructured guide</td>
<td>Structured guide</td>
</tr>
<tr>
<td>NUMBERS</td>
<td>4</td>
<td>8</td>
</tr>
</tbody>
</table>

Data Analysis

Data collected through interviews and documents was examined to remove incomplete and ambiguous information. A thorough review of interview records and post-interview communications with respondents helped to achieve data accuracy. Oliver and Kandadi, (2005) emphasise the need for series of post review communications in data analysis. The content was analysed through a series of readings and specific codes were assigned to texts that presented important concepts from the interviewees. As suggested by Miles and Huberman (1994) the data was conceptualized through a mapping process where themes are firstly identified, then weighed and finally related. As recommended by Oliver and Kandadi (2005), the following qualifying criteria was adopted at the data analysis stage to determine the themes:

C1. Each theme should be mentioned and supported by multiple respondents from two or more categories of respondents.

C2. Each theme should have played a significant role in shaping CM in the CBE programme.
C3. Respondents should have provided instances of how the particular theme has influenced CM in the CBE programme.

C4. Each theme should be clearly identified by the researcher during the discreet analysis of the gathered data.

C5. The interview data supporting each theme should be eligible for triangulation with the verifiable data from internal documents of the CBE programme.

**Ethics**

The following were the ethical protocols designed to guide this study:

1) Although a detailed description of the case has been provided, the subjects were separated from the critical arguments and conclusions.

2) Some government departments and specific positions of respondents have been mentioned because of the impact that would have on whether the findings and recommendation from this study are adopted. However no response will be linked to the specific respondent who gave it. The sources of the specific responses will be kept anonymous.

3) The participants were informed that the data collected during the study will be used to provide recommendations to the key stakeholders who help in the running and managing of the CBE programme in Malawi.

4) Informed consent was sought from the respondents before involving them in the study.

5) Freedom to withdraw their consent at any time of the interview was also given to interviewees.

6) The empirical material will be safeguarded during and after this study.

In addition to these protocols, this study also used the 8 core principles of the Market Research Society as provided in the appendices.
FINDINGS DISCUSSION AND EVALUATION

Based on the literature review, three themes of Planning Change, Implementing Change and Institutionalising Change have been derived as stages of a clearly defined CM strategy for CBE. Based on the empirical analysis, processes that fall or can fall under these three stages are deliberated as discreet themes because of their importance and managerial characteristics. The following sections describe each of these stages and detail the processes that fall within those stages in a more detailed and illustrative way.

1. PLANNING CHANGE

Below are the findings that were derived from empirical studies under Planning Change:

F1. Sensitization: Many respondents believed that sensitization of all stakeholders on the programme is a key aspect of Planning Change. This is related to the creation of awareness as cited by Lewin (1945) and Warrilow (2009 D).

F2. Identify gate keepers: Respondents suggested the involvement of gate keepers (traditional leaders and parents) at the initial stage. Prosci (1998) and Kotter (1997) affirm the need to identify a coalition that will guide the change and inform players on how the change will happen. However, the empirical findings talk about involvement of gate keepers because of the power and respect they amass in the various communities. They suggest that these gate keepers should get equipped so that they become part of the team that goes to introduce the programme to people in their areas. In doing so, they programme will be easily accepted by all local people.

F3. Recognisable Identity: Many respondents cited the need for the programmes’ different identity to be touted clearly and proudly from the onset. If the CBE programme is accepted as a different programme at the onset, those who subscribe to it will not want it to change into something else. Kotter (1997) emphasises the need to create a vision for the future and communicating it clearly.

F4. Skills development: Many respondents believed that developing the skills of game changers at various levels of society and various levels of involvement within the
programme is a key aspect of Planning Change. This will assure a solid and tight programme at every level. In other words, the guiding coalition that Prosci (1998) and Kotter (1997) talk about does not involve people from one level but rather all levels of the programme.

2. IMPLEMENTING CHANGE:

Below are the findings that were derived from empirical studies under Implementing Change:

F5. Showcasing CBE: Many respondents believe that the programme has been the best kept secret. Empirical studies revealed that some people within the ministry of Education did not know about the programme. The respondents suggested that CBE awareness campaigns from government level will go a long way to make the programme accepted. This is encouraging, recognizing and rewarding brevity (Kotter 1997).

F6. Joint planning of activities: Many respondents felt that CBE was in a way an unwelcome guest because planning of activities was not done together with other government departments as is normally the case. As a result, the programme was lacking resources, when ironically, other government departments had enough to spare. Kotter (1997) talks about putting in place supportive structures and joint planning within the government in the case of CBE appears to be a solid supportive structure.

F7. Synergy meetings: Many respondents suggested synergy meetings for all stakeholders in the CBE programme. These should be meetings that are on schedule and planned for so that the concerned stakeholders look forward to them. The respondents felt that meeting frequently and at set dates would stimulate participation of stakeholders in all CBE activities.

F8. Division of labour: Another aspect that a majority of respondents agreed upon was the need to divide roles and responsibilities according to stakeholders’ expertise. Some examples cited were community members’ commitment to constructing shelters
for learners to use, training of facilitators by qualified teacher trainers and the
development of syllabi by Malawi Institute of Education. Lewin (1945) and Prosci
(1998) affirm that supporting change to desired state required managers to encourage
and allow concerned people to implement new skills and behaviours. This empirical
finding however establishes that supporting change to desired state is also possible by
allowing players to use their expertise in appropriate areas.

3. INSTITUTIONALISING CHANGE:

Below are the findings that were derived from empirical studies under Institutionalising
Change:

F9. Establishment of accountability structures: Many respondents agreed that lack
of clear accountability structures contributed to some CM practices not being adhered
to. To get changes reinforced and established, it is necessary that clear accountability
structures get established (Prosci 1998).

F10. Linkages: Many respondents believe that establishing linkages between CBE and
other government departments and programmes would facilitate the institutionalisation
of change. This is so because those linkages will act as sources of technical and
financial support. Isolating CBE would be detrimental. Conversely, linking CBE with
other government departments will be strengthening the systems and structures that
support change (Kotter 1997).

F11. Guide book: A view that was popularly held by the respondents was the need for
a guide book in the CBE. A guide book that is available to all stakeholders in the
programme is a sure way of Institutionalising Change because in the absence of
individuals, the stakeholders will have something to guide them on how to operate.

F12. Translation: Many of the respondents spoke about the need to translate the
important documents into the local language so that stakeholders especially at
community level feel that the programme is theirs. Traditional Leaders, LCMC
members and Parents found themselves in need of a translator in order to appreciate
some guidelines. The guide book in F11 is among the important documents to be translated.

**Crosscutting themes:** There were other themes which the literature and document review including interviews revealed as central. These themes were not necessarily falling under any particular stage. These themes are strategy, evaluation and communication. Below is a brief description of these themes:

**F13. Strategy:** A review of literature and documents has revealed the centrality of a clear strategy as the hub for CM (Bryant 2008). A majority of the respondents affirmed that the CBE strategy should be the central theme on which every activity in the clearly defined change management strategy is built.

**F14. Evaluation:** Literature emphasised the importance of evaluating every step and process in order to strengthen the CM strategy (Warrillow 2009 E, Pryor et. al 2008). A majority of respondents advocated for frequent review meetings for continuous improvement.

**F15. Communication:** Many respondents suggested that re-sensitisation and continuous communication would be key in ensuring that change is anchored. Kotter (2002) states that for change to be sustained, it needs to become embedded in the new way things are done at an organisation. However, if people are not continuously reminded of the change they have to sustain, it cannot be embedded. The need for continuous communication therefore cannot be over emphasised.

**CONCLUSION**

There is a widespread agreement in CM literature that the practice of CM in education can improve education systems. This study has explored analysed and presented some major themes affecting CM in CBE. Based on empirical research conducted in the CBE programme, 15 themes that influence the practice of CM in the CBE
programme were derived. 12 of these 15 themes fall under the 3 stages conceptualised from the literature review while 3 of them have been coined cross cutting themes.

Figure 4 below summarises the study findings while depicting the findings in a 3 step CM framework as a clearly defined CM strategy for CBE. The CBE strategy is positioned at the centre of the 3 step CM framework because every action should be done in relation to the CBE strategy. Evaluation has been posted after every stage because the recommendation has been to have continuous reviews. Communication falls between the strategy and the change steps because it is the spokes that connect the hub (CBE strategy) and the outer action (change steps).

The themes described in this paper are based on CM practices in the CBE programme. These can serve as pragmatic guidelines for CM practitioners and researchers. However, the major limitation of this study has perhaps been the sample selection. All themes have been derived from the CBE programme as a single case; therefore, findings might not be generalised to the general field of education. The disassociation of respondents from various findings may not permit the reader to construct certain assumptions. However such a strict code was needed in order preserve the identity of the participants who provided valuable contributions to this research project.
Figure 4: 3 step CM Framework for CBE

Planning Change - Sensitization
- Identify gate keepers
- Recognisable identity
- Skills development

Implementing Change -
- Showcase CBE
- Joint planning of activities
- Synergy meetings
- Division of Labour

Institutionalising Change -
- Establish accountability structures
- Establish linkages
- Guide Book
- Translation

Evaluation

Communication

CBE Strategy
The CM themes and correlated characteristics described in this paper may be applied to other non-formal education programmes. However, the generalisability of some explored themes and the derived conclusions may be improved through a consecutive study. The main area that requires further research is a determination of whether this 3 step CM framework for CBE can be applicable to the formal education sector in Malawi.

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APPENDICES

Appendix III – 8 Core Principles of the Market Research Society

1. Market researchers will conform to all relevant national and international laws.

2. Market researchers will behave ethically and will not do anything which might damage the reputation of market research.

3. Market researchers will take special care when carrying out research among children and other vulnerable groups of the population.

4. Respondents’ cooperation is voluntary and must be based on adequate, and not misleading, information about the general purpose and nature of the project when their agreement to participate is being obtained and all such statements must be honoured.

5. The rights of respondents as private individuals will be respected by market researchers and they will not be harmed or disadvantaged as the result of cooperating in a market research project.

6. Market researchers will never allow personal data they collect in a market research project to be used for any purpose other than market research.

7. Market researchers will ensure that projects and activities are designed, carried out, reported and documented accurately, transparently, objectively and to appropriate quality.

8. Market researchers will conform to the accepted principles of fair competition.