

**EXPLORING THE EFFECT OF STRATEGIC CHANGE ON THE  
RESEARCH INCENTIVE REWARD SYSTEM**

By  
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## **DECLARATION**

“I Asseervadhun Patricia Jacob declare that:

- This research has not been previously submitted in full or partial fulfilment of the requirement for an equivalent or higher qualification at any other recognised educational institution.
- All sources used or referred to have been documented and recognised.

*-Patricia J.*

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**ASSEERVADHUM PATRICIA JACOB**

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## **ABSTRACT**

Effective change requires that we understand the way the current situation works and that we are clear about how we want the new one to be different.

The University of Natal has maintained a position in the middle rank of comparative national research output statistics, with an upward trend evident in the mid 1990s and a downward trend that began in 1998 and continued to 2000. It was already accepted in 1999 that the downward trend had to be reversed in order for the University to remain competitive and continue to attract competent researchers and academics, and ways of doing this were explored by the University's Research Office. It became evident that any strategic changes envisaged by the University had to encompass a revised incentive system if the productivity of the researchers was to be positively affected. The first changes, which consisted of a complete revision of the original incentive system, were implemented in 1999. The University continued to monitor output and looked at additional ways of encouraging research.

The research focused on strategic change and a theoretical model was recommended highlighting elements or levers for successful change and how they are dependent on each other. Reward strategies, the change agenda and incentives were examined.

The case study was undertaken in order to understand the strategic changes initiated at the University and the study outlined the various incentives awarded to researchers to increase productivity. Information, essentially of a descriptive nature, was gathered from members of the University's Faculty Research Committee by means of a questionnaire. This research

affirmed that researchers are motivated by incentive awards, that they believe that the new incentive for productivity award will increase productivity and that it is seen as beneficial to the researcher. They confirmed that they preferred the new arrangement as it was seen as more rewarding than the old incentive system.

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## **CHAPTER ONE: INTRODUCTION**

### **1.1 Introduction**

As competitive pressures mount, organisations are compelled to consider strategies that will help them to become more innovative, productive and efficient and it is essential that they maximise all resources to optimise the effectiveness of their operations. Considering the need to remain competitive, innovative compensation strategies such as incentive programs are often developed in an attempt to align individual motivation and goals with the objectives of the organisation.

The University of Natal and Durban Westville merged on 1 January 2004 to form an institution known as the University of KwaZulu-Natal. This dissertation examines the effects of occurrences that took place between 1998 and 2003. Thus the references to the 'University' throughout the text refer to the former University of Natal, except in those instances where the future of the combined Universities is being discussed. The University has, over almost a century, grown into one of the African subcontinent's top research and teaching institutes. It is home to many of the region's leading academics as well a significant number of internationally acclaimed scientists, as rated by the South African National Research Foundation. The full spectrum of research is encouraged and supported; from curiosity-driven research, to application-based and participatory action research with community partners. The University provides a vibrant environment for basic, applied and medical research, and actively encourages practical research that will improve people's lives (Internet: 13).

Every year each South African university submits information regarding research it has generated to the Department of Education (DoE) in Pretoria. DoE recognises the fundamental and very significant role played by research at universities and ensures that research activities are placed on a sound basis by rewarding the universities with subsidies based on that research which meets the criteria it has set down. The DoE has set down criteria that clearly define the type of research that will be rewarded with subsidies. Commonly known as SAPSE, (an acronym for the 'South African Professional Subsidy Equivalent') they are the yardstick against which all research submitted by a university is evaluated. Academic publications must have appeared in journals that have been accredited by the DoE for SAPSE purposes. Other outputs such as books, chapters in books, patents and refereed conference proceedings are also eligible for SAPSE, providing they have met the laid down criteria.

The University of Natal has maintained a position in the middle rank of comparative national research output statistics, with an upward trend evident in the mid 1990s and a downward trend that began in 1998 and continued to 2000. It was already accepted in 1999 that the downward trend had to be reversed in order for the University to remain competitive and continue to attract competent researchers and academics, and ways of doing this were explored by the University's Research Office. It became evident that any strategic changes envisaged by the University had to encompass a revised incentive system if the productivity of the researchers was to be positively affected. The first changes, which consisted of a complete revision of the original incentive system, were implemented in 1999. The University continued to monitor output and looked at additional ways of encouraging research. In 2002 Senate approved additional strategic changes that included a further

revision of the incentive reward system. The revised system was implemented in 2003 but was retrospective to 2002 in that it was applied to research published in 2002.

This paper attempts to evaluate the effect of the change in the University's strategy, using research instruments and methods to determine the impact that the changes have had on the performance of researchers and the extent to which the changes have managed to contribute to improved productivity. Although most models for change have been derived from a business perspective and may require some translation, Kotter (1996) argues that they also have validity within a higher education context and appropriate models will be discussed in Chapter 2.

## **1.2 Background of the Research**

The Research Office at the University is headed by the Deputy Vice Chancellor of Research and Development (DVC). The Office is responsible for the management and nurturing of research. The downward trend in research output which became evident in 1998 caused concern to the University Research Committee (URC). There was much debate around the need to create a new system of incentives to encourage researchers to become more productive and the first changes were implemented in 1999. This was forerunner to further changes in 2002, at which time the DVC proposed what became known as the 'Productivity Awards', which reduced the funds that were available on request from the University Research Fund but made increased funds available for other specified categories. Those who stood to benefit were researchers whose work generated SAPSE credits and for the categories as follows: publications in internally evaluated journal articles, journal editorial, creative contribution and supervisor of graduated masters and doctoral students. The

intention was for the increased monetary rewards to drive the production of research, while at the same time reducing administration and enhancing efficiency. Senate passed this strategic initiative and the Productivity Awards were implemented.

“Change is disturbing when it is done to us, exhilarating when it is done by us” (Kanter, 1999). Change is not something that can be achieved just by mapping it out in a formal project plan in a manager’s office – change does not happen as a result of a plan; it is more complex than that. According to Balogun and Hailey (1999) the change agent is the person responsible for making the change happen in any organisation. People are not seen as objects that change just because a plan or office memo says they should. They have minds of their own and can decide to react in any way that they choose. Managing change and achieving change in individuals is therefore a challenging undertaking for any manager.

In addition, because change involves people and people react in different and sometimes unpredictable ways, change is more than the development of a plan. A failure to appreciate this can lead to two fatal flaws within many change plans that are otherwise very impressive in their detail and scheduling: the assumption that employee reactions to the plans can be controlled; and a lack of provision within the plan for managing the process of change. The change agent may recognise that a reward system must be changed within an organisation along with changes to the production system and job redesign. Yet to avoid confusion with too many simultaneous change initiatives, the agent has to decide which initiative should be carried out first and which one can wait for later. Change agents need to be able to ‘see the big picture’ yet also have the maturity to appreciate the need for deep analysis of the big picture. It is easy for managers to be impatient with what they see as easily identifiable

malfunctions. They often fail to understand that organisations are complex systems, and that it is therefore difficult to make changes in one area without having repercussions in others. A change agent needs to be supported by additional change agents. Increasingly, less faith is being placed in one charismatic and heroic figure (Pettigrew and Whip, 1991), since it is now recognised that change is complex and requires consideration and management of many different tasks. One individual could not hope to manage a major change effort entirely on her or his own. This is not to say that the role of leadership has been trivialised in any way. Major change efforts in particular are likely to require a champion who shows tremendous commitment to, and enthusiasm for, the vision she or he wants to see implemented in the organisation.

A reward programme is an area that is often overlooked by many organisations and where organisations do have employee incentive programs the rewards are sometimes not very closely linked with the organisation's strategic initiatives. As people will generally achieve what they are rewarded for, this results in lost opportunities for the organisation. Reward covers the whole compensation and benefits area and is a common lever, used to help obtain changes in staff behaviour and performance. According to Balogun and Hailey (1999) reward is concerned with both rewarding people for past performance and motivating them for future performance. It also acts as a means of retaining staff. However reward is a very broad category and people can be rewarded in many different ways. To understand how to use a reward system effectively within an organisation a change agent needs to understand the different motivations of staff groups.



“Managers of today are under increasing pressure to improve the competitive position of their organization, either to steal a march on their competitors or to simply keep up with the ever accelerating pace of competition” (Peppard and Preece 1995:157). Supporting performance is seen as the responsibility of managers, who must incorporate four elements, namely directing, energizing, reviewing and rewarding into their management of performance (Heisler et al 1988). Hartle (1995) also proposes four elements: planning, managing, reviewing and rewarding in support of performance.

### **1.3. Motivation for the Research**

In the 5 years leading up to 1997, The University of Natal experienced a steady increase in research productivity (University Research Policy Document: Part 1 – Strategic Direction of Research at the University of Natal 2002 – 2004) however since 1998 research productivity has declined steadily. This led to the strategic changes discussed previously, and it is the effect of these changes which will be investigated. Chapter 3 will investigate the organisational structure and discuss the changes made at the University and an outline will be given of the old and the new incentive reward system.

### **1.4 Value of the Project**

According to Kotter and Cohen (2002) people are more likely to change when they are shown a truth that influences their feelings as opposed to when they are given analysis intended to shift their thinking. To get people to behave differently, leaders have to be prepared to aggressively reward those who get on board and provide negative consequences for those who do not. People are either motivated by positive incentives for good performance or by the repercussions that they perceive for poor performance. If rewards

and negative consequences are not put in place, it is unlikely that enough people will change to get the organisation to the level that it wants to attain.

Apart from all the other benefits that accrue to a university with a reputation for excellence in research, SAPSE research output also generates income. If the University is only able to maintain, as opposed to increasing, its current level of research output, it is likely to suffer financially. Therefore positive turnaround was needed to enhance outputs, given the recent decline. This study aims to determine whether the strategic changes that were implemented will achieve the intended goals of encouraging the production of more SAPSE accredited publications by creating real and tangible rewards.

### **1.5 Problem Statement**

The research question that this study will attempt to answer is whether the strategic changes implemented with the intention of increasing productivity will in fact encourage researchers to produce more SAPSE accredited articles.

### **1.6 Objectives of the Study**

The objective of this research is to evaluate the change initiative that was implemented to increase productivity of researchers at the University. Specifically the new incentive for productivity awards scheme will be evaluated to determine the impact it is having on SAPSE accredited research output.

The following dimensions of the effect of change will be studied and explored:

- Change management and strategic leadership
- Exploring strategic change

- Change agents
- Bold strategies for bold visions
- Reward strategy and the change agenda and incentives

A qualitative case study method using the triangulation approach will be used in an attempt to answer the research question. Details of the case study will be discussed in Chapter 3.

### **1.7 Research Methodology**

The research takes the form of a case study, thus the different types of case studies, plus the advantages and disadvantages of using this method are described. As data from various sources is being sought, triangulation is discussed, followed by an explanation of the sampling technique being used and a brief discussion on sample selection bias. The sources of evidence for the case study are explained and measurement instruments are discussed.

Johnson (1994) defines a case study method as an enquiry that uses multiple sources of evidence. It investigates a contemporary phenomenon within its real life context when the boundaries between phenomenon and context are not clearly evident. Ghauri et al (1995) argues that the case study method is an extremely weak design, as it does not allow for any comparison. White (2000) argues that there are advantages and disadvantages of using the case study method as follows:

#### **Advantages of a Case Study Approach**

- It can be carried out by a single researcher.
- It is relatively cheap and not dependent on expensive technology.

- A case study will always generate empirical data and information: you will not be solely dependent on already published work. The data may not be present in vast amounts, but will always be interesting and specific to the example under scrutiny.
- It takes place in a natural setting within an actual organisation.

### **Disadvantages of the Case Study Approach**

- With single atypical case study it is often difficult to separate out what is unique to the organisation involved and what is common to similar organisations.
- The whole issue of generalization needs to be handled with caution. The degree to which one can relate to the general position is often limited.
- Case studies can generate large quantities of information, since each different method used produces its own findings. The analysis and interpretation needs to be handled carefully and in a very logical, systematic way. Again, when done effectively, this strengthens the academic argument being presented.

### **There are four types of case studies (White: 2000)**

- **Typical.** Here the organisation studied is typical as possible, for example, a large supermarket or a general manufacturing company.
- **Atypical studies.** Here the example is unusual and out of the ordinary. It is a “once off”.
- **Precursor studies.** With large research projects case studies are sometimes used at the start and act as precursors to identify issues involved before the research is planned in detail.

- **Multiple case studies.** If time is available it is good idea to study two or more similar examples as this will facilitate comparisons and, as a result, help build and confirm accepted theory.

This study takes the form of a typical case study because the University is viewed as a typical higher education institution.

### **Triangulation Method**

Triangulation refers to soliciting data from different sources as a means of corroborating evidence and illuminating a theme or theory. The different sources may include additional participants, other methodologies or previously conducted studies (Rudestam and Newton: 2001).

### **Sampling**

As the study takes the form of a case study, the only sample required was for the administration of a questionnaire. For this purpose chairpersons / representatives of the Faculty Research Committee were selected by means of non-probability sampling and in particular the purposive sampling method. The reason for this choice is that the researcher believes these are the people that will best be able to represent the views of their faculties because of their involvement with the researchers and the change initiatives introduced. Purposive sampling is often called judgemental sampling because the researcher picks the sample based on those subjects whom they think will deliver information that best satisfies the research objectives (White, 2000:65). Due to the limited sample size this study does not plan to show correlation, but rather to make comparisons and provide descriptive information to address the research question. Ideally the probability sampling technique

such as stratified or cluster sampling would have been preferred, but this was unfortunately impractical due to both cost and time constraints.

### **Sample Selection Bias.**

Bias is defined as allowing a particular influence to have more importance than it really warrants (Harper: 1991). The issue of bias will be taken into account in this study.

### **Qualitative Method**

The case study was undertaken in order to understand the strategic changes initiated at the University and the study outlines the various incentives awarded to researchers to increase productivity. Information was gathered from members of the University researchers who were involved in the change process thereby highlighting the range of benefits and limitations introduced by the change strategy.

### **Sources of Evidence**

#### **i) Documentation**

Information for the case study was obtained from University Research Committee Minutes, presentations, discussions and the University web site. Information from past records included information on the history of strategic change initiatives implemented within the Research Office to increase research output. Information regarding SAPSE was received from Higher Education Act, 1997 (Act 101 of 1997).

## **ii) Interviews**

Semi structured interviews were conducted with ex members of the University Research Committee. The questions tried to ascertain respondents' opinions on the change strategy revolving around the constructs defined earlier. The interviews followed a focused interview style, where the respondents were interviewed for a short period of time and were asked a semi-structured set of questions. Interviews were open-ended and conducted in a conversational manner.

## **The Measuring Instrument**

The questionnaire in appendix 1 consists of a demographic section which is made up of categorical variables measured on an ordinal scale. The body of the questionnaire consists of a combination of quantitative dichotomous closed-ended question and qualitative open-ended questions. All questions are worded using the correct methodologies as outlined below. The benefit of this approach is that it ensures good balance in question design.

- Questions are not leading.
- Questions are not vague
- Questions are clear and simple and understandable to the respondent

Prior to administering the questionnaire, two members of the Faculty Research Committee looked through the questions to validate the understanding of the questions

## **Validity and Reliability**

Validity refers the ability of a measure to capture what it is intended to capture and reliability of a measure relates to the stability of the measure Ghauri et al, 1995)

Construct validity is the extent to which the measure is able to measure the construct. There is validity in terms of each of the constructs defined for this study.

The best form of testing reliability is whether the same test can be performed by a different person with similar results. The researcher is of the view that the measures are reliable

### **1.8 Limitations of the Study**

This study is limited to the University of KwaZulu-Natal. The fact that the former University of Natal and the former University of Durban Westville have merged to form one Institution known as the University of KwaZulu-Natal, University of Durban Westville is not mentioned in this study. Essentially this fact is ignored due to time constraints of this study. A further limitation to this study is that the 2003 statistics were not available for comparison.

### **1.9 Structure of the Study**

#### **Chapter 2**

This section is a review of literature covering the theory on change and it how it fits in with reward strategy. A broad overview of change in action is discussed. Levers and mechanisms to aid the transition process and help effect required changes will be discussed. A recommended theoretical model highlighting elements or levers for successful change and how they are dependent on each other will be suggested at the end of this chapter.

#### **Chapter 3**

This chapter introduces University of KwaZulu-Natal and the subject of the study will be on the changes implemented by the Research Office. An overview will be given of the



strategic approach taken to reward researchers in an attempt to increase productivity. The sub-topics in this chapter will follow the theoretical model recommended at the end of chapter 2.

#### **Chapter 4**

This chapter aims to deal with the reporting and discussion of results. The first section will evaluate and discuss the information pertaining to the case study in Chapter 3 against the theory and recommended theoretical model which illustrates that reward and recognition are part of and dependent on other elements of the change agenda. The second section will aim to present a summary of the results obtained from the survey questionnaires.

#### **Chapter 5**

In this chapter, conclusions will be drawn from the result presented in Chapter 4. This section will present the findings of the research. Recommendations and conclusions made on the basis of what was discussed under the literature review and the results presented in Chapter four will be presented.

#### **1.10 Summary**

This chapter introduced the merged institution, namely University of KwaZulu-Natal. A background of the research, motivation for the research, Problem statement, objectives for the study, and the research methodology was discussed.

Chapter 2 follows with the literature review and a broad overview of Change in Action will be discussed. At the end of the chapter a theoretical model will be recommended to

highlight the key elements or levers for successful change and how they are dependent on each other.

## **CHAPTER TWO: CHANGE IN ACTION**

### **2.1 Introduction**

This literature review is based on the motivation for the research and the research question contained in the previous chapter. It evaluates literature on change and how this literature fits in with reward strategies. Given that texts in this field that relate specifically to universities were not obtainable, extensive mention is made of business contexts, however this should be viewed in the light of Kotter's assertion that one can successfully extrapolate knowledge gained in a purely business environment to a situation of higher education.

The factors highlighted are:

- Change management and strategic leadership
- Exploring strategic change
- Change agents
- Bold strategies for bold visions
- Reward strategy and the change agenda and incentives

The practical applications of the theory will be looked at and the context of this research will be mapped in relation to the literature or theory on the topic.

### **2.2 Change Management and Strategic Leadership**

In the 21<sup>st</sup> century leadership is not something that is left solely to senior management. Aspects of the leadership of change may extend to any part and any level of the organisation. Change management is fast becoming one of the most talked about topics in management circles. Discussions about organisational change often focus on how important

it is for organisations or individual managers to possess a capability in this area. However, few people actually talk about how such a capability might be developed.

The natural state for organisations, like all living organisms, is that of change. Wheatley (1999) makes this point when she links the world of quantum theory to management.

As the pace of activities increase, managers and leaders must maintain the perspective articulated in their vision and mission statements as they help move their organisation from one state of order to a future state of order. This must be done with full cognition that many events are occurring both within and outside their organisation that influence the very existence of their organisation. To say that the manager or leader will control the process is unrealistic. What is needed are the full resources of the people within the organisation to help stay abreast of the many events and consequences that will help the organisation evolve. In Senge's (1990) view what is needed is a learning organisation, meaning an organisation that sensitises its people and processes to ongoing events as well as the possibilities that may come from these events.

Pettigrew and Whip (1991) studied strategic change at four companies: Jaguar cars, Longman Publishing, Hill Samuel Merchant Bank and Prudential Life Assurance. They made a general examination of the industries in which these companies were operating. Their conclusions were that there were five interrelated factors in the successful management of strategic change.

- **Environmental Assessment** – every part of the organisation should be constantly assessing the competition, so that strategy can emerge constantly from this process.

- **Leadership Change** – the type of leadership required depends on the particular circumstances of the organisation, which provides a constraint on leaders. They may be most effective when they move the organisation forward at a comfortable, if challenging, pace, because bold actions can be counter-productive.
- **Linking Strategy** – this may be prescriptive in the sense of a strategic manager providing a specific strategy for the organisation, or it may partly be emergent in the sense of allowing for the evolution of strategy over time.
- **Strategic Human Resource Management** – human resource constitutes the knowledge, skills and attitudes of the organisation, and some individuals are better than others at managing people.
- **Coherence in the Management of Change** – the goals of the organisation must not conflict with each other, the process of change must respond well to the environment, a competitive advantage must be achieved and the strategy must not provide unsolvable problems.

Overall the organisation needs to be able to develop a balanced approach to change that is both focused and efficient. Leaders must be able to transform their organisations regularly to deliver long-term competitive advantage, in an environment where organisational change is becoming more frequent, complex and risky. Organisations must learn new ways to implement change initiatives and sustain them long enough to realise the benefits. Miller (2002) says that the most successful change leaders he has ever seen in action are the ones who take change on as a personal crusade or mission. They relentlessly pursue the objective, pick a few critical things and act like a terrier with them all the time, everywhere. They do not let go, and refuse to be sidetracked. Good leaders also realise that executive

behaviour needs to model what the future state vision is trying to achieve. The old adage – “Walk the talk” is forever true. The ‘trick’ is to adapt the culture of the organisation to the new way of working by modelling what is required in the way the change is implemented.

The gulf between theory and practice of leadership is wide partly because there are many examples of leaders and because research has indicated that leadership is not a rare ability. Leaders are made rather than born. There is no one leadership type, leaders exist throughout organisations and leadership can be learned (Hannagen, 2002). At the same time, leaders must have certain characteristics and certain attributes in order to play a strategic role. They must have an idea of the direction in which they want the organisation to move, aspirations about what it can attain, and they must be able to communicate these ideas and turn them into reality. Strategic leaders must have an accurate view of reality and they need some form of power in order to bring about change. Drucker wrote in 1992 that leadership has little to do with ‘leadership qualities’ and even less to do with charisma. ‘Leadership is not itself good or desirable. Leadership is a means. Leadership to what end is the crucial question. History knows no more charismatic leaders than this century’s Triad of Stalin, Hitler and Mao – the misleaders who inflicted as much evil and suffering on humanity as have ever been recorded.’ The features which distinguish what Drucker (1992) refers to as the ‘misleaders,’ from the leaders, is their goals. He argues that charisma can be the undoing of leaders because it makes them inflexible, convinced of their own infallibility and unable to change with the needs of the organisation. He felt that charisma did not on its own guarantee effectiveness as a leader, giving the example of John F. Kennedy as perhaps the most charismatic person ever to occupy the White House, but who achieved very little (Hannagen, 2002).

The strategic perspective suggests that the progression of a company is a dynamic development from where it is now, by a process of testing the boundaries, through experiment and trial and error, by being entrepreneurial and taking every opportunity that arises. The company does not know exactly what will happen as it moves forward from the familiar area of work it knows into new areas. This does not mean that it has no idea where it is going, but it does mean that the direction is set from where it is now and that it does not know exactly where it will end up. The direction is provided by leaders with a strategic view. They decide which direction is most likely to make the best use of the organisation's skills and abilities, to match the organisation's value and most likely to produce the best rewards. According to Stacey (in Hannagan, 2002) how the leader views experimentation, accepts failure, rewards success, takes an interest in the conduct of experiments, has some vision of how experiments relate to each other and the existing business, and uses the meetings of the top team, will all have a major bearing on the extent and the consequences of the experimentation in the organisation. The leader sets many of the challenges, creates a sense of urgency to do something about them and expresses the determination to succeed.

Strategic leadership is not about a plan in the sense of an architect's plan, which predetermines every action. It is about a clear, continuous and coherent process designed to explore and extend those boundaries of the existing business that are agreed to be the most fruitful by senior managers. If there is a plan, it is based on the abilities of the organisation and the forward thinking of the strategic managers. It is not about any trial and error, which will provide little or no sense of direction. It is trial and error in areas where the organisation has the capabilities to be successful, so that there is a sense of direction.

### 2.3 Exploring Strategic Change

The word 'strategy' came from the Greek *strategos*, meaning 'the art of the general' and it originally implied leadership in the military sense. There is no consensus on when it became used in the business sense, though Chandler suggests that it resulted from an awareness of the opportunities and needs – created by changing population, income and technology – to use existing or expanding resources more profitably (Chandler, 1962).

Quinn (2003) defines strategy as a plan that integrates an organisation's major goals, policies, and action sequences into a cohesive whole. A well-formulated strategy helps to marshal and allocate an organisation's resources into a unique and viable posture based on its relative internal competencies and shortcomings, anticipated changes in the environment, and contingent moves by intelligent opponents.

Strategy is part of the planning function of management, the word 'planning' coming from the Latin *planum* (straight, plain), implying that activities should be taken in a clear and open fashion. Business planning means establishing organisational goals and defining the methods by which they are to be attained. So planning is more than just saying what it is one wants to achieve. It is also about defining the methods by which goals and objectives are going to be achieved. That is where strategy comes in, strategy is a manager's game plan – how to achieve what one wants to achieve.

Strategic change is reshaping strategy, structure and culture of an organisation over time, by internal forces or by simple drift. This type of planned change is managed in a deliberate as opposed to an emergent or opportunistic way (Grundy, 1993). A dilemma for management



is to balance the opposing forces for stability and for change. Schutte (1987) defines change as any major, long-term change that has an impact on the business and its employees. Strategic change can be defined as a well-planned change process.

There are 4 prerequisites to strategic change:

- Change must be new to the organisation, it must be undergoing change with which it does not have a lot of experience, and for which the existing procedure, systems and people must be adapted.
- Change must have impact on the business itself.
- The change must have long-term impact. Strategic change must have a long planning horizon and substantial elapsed time between its conception and implementation.
- Have an impact on the people in the organisation and the way they do things.

The first type of planning occurs at the strategic level. A definition of strategic planning is “a general plan outlining decisions of resource allocation, priorities and actions necessary to achieve strategic goals.” Strategic plans have a strong external orientation and cover major functional areas of the organisation. A strategic plan is usually set by the top management echelon and has a time horizon consistent with the scanning abilities of the organisation and set at the risk level (comfort zone) that planners feel is appropriate for their organisation. The specifics of the plan should address questions of scope, resource requirements, competitive advantages, quality expectations, social responsibility issues and synergy.

In his book *The Rise and Fall of strategic Planning*, Mintzberg (1994), the former president of the strategic Management Society, chastised himself and others for their blind allegiance to the strategic planning process. His contentions rest with the search for the definitive,

quantifiable solutions to the future. He shows how planning can stifle commitment, narrow an organisation's vision, make change impossible, and cater to the policies of an organisation. His position is based on the premise that "... analysis is not synthesis [and therefore], strategic planning process is not strategy formulation" (p321). He further explains that no amount of elaboration will ever enable a formal process to take the place of managers who are fully engaged in their operation, or for that matter replace the critical and creative thinking that is necessary to create novel and innovative strategies.

### **2.3.1 Why Do Organisations Embark on Change**

Demand for deep, sustainable change in organisations is being driven from all directions. Radical disruptions, competition, regulation, technology and customer expectations are creating an almost constant need for change (Miller, 2002). Organisations embark on change programmes if they are faced with the following scenarios: (Reddin, 1987).

- Pain – The existing state is painful due to falling market share, executive turnover, decreasing profits or conflict. Acknowledge crisis and the old ways of thinking become obsolete.
- Image or potential – Top management has a clear idea of where they see the organisation. This can be expressed in terms of profits, industry position, diversity, size or national role. In this case the organisation is moving towards a new (desired) state.
- Outside influence – External forces such as new legislation or technological innovation. The old ways become obsolete and outside influences are the driving force for the change.

- Achievement desire – Top management wants the organisation to become better. If there is potential for the organisation to move towards a more desired state then there is need to maximise the opportunity.
- Let's do something – Employees want to appear to be doing something constructive. According to Redding this reason is likely to lead to more pain in the long run.

Kotter's (2002) latest book, *The Heart of Change*, highlights the importance of emotion in spurring change and reiterating his earlier view that people are more likely to change when they are shown a truth that influences their feelings than when they are given analysis intended to shift their thinking. This is especially true of large-scale organisational change. "Changing behaviour is less a matter of giving people analysis to influence their thoughts than helping them to see a truth *to influence their feelings*. Both thinking and feeling are essential, and both are found in successful organisation, but the heart of change is in the emotions. The flow of see-feel-change is more powerful than that of analysis-think-change". Leaders must create a dramatic, eye catching, compelling situation that helps to visualize the problem or a solution to the problem and which awakens feelings that facilitate useful change or eases feelings that are getting in the way. Urgency, optimism or faith might go up, while anger, complacency, cynicism or fear may go down.

According to Kotter and Cohen (2002) there are behaviours that commonly stop the launch for needed change:

The **first** is complacency, driven by a false pride or ignorance.

A **second** is immobilisation, self-protectionism, a sort of hiding in the closet, driven by anger. The **last** is a very pessimistic attitude that leads to constant hesitation.

Whatever the reason the consequences are similar. People do not look carefully at the evidence, get on their toes, and start moving. Instead they hold back or complain if others initiate new action, with the result that needed change effort does not start or does not start well. One reason people start a change process with the creation and presentation of a recommendation is because they want clarity of direction. How can one begin without knowing where one is going? Often with change comes a lot of effort but no results because there is no enthusiasm from top executives. Tactics must be used to get the senior team's attention. Sometimes it is important to shift the focus away from the vision statement and to focus on what needs to be done in the future to avoid problems. One should avoid worrying about vision and long-term transformation when the house is "burning" (Kotter and Cohen, 2002). In order to create change it is important to use evidence not just words and numbers. Based on interviews within over 100 organisations in the midst of large-scale change, *The Heart of change* by Kotter and Cohen (2002), delivers simple yet proactive answers to this question, forever altering the way organisations and individuals approach change. While most companies believe change happens by making people think differently, Kotter and Cohen add that the key lies is making them feel differently. They introduce a new dynamic: "see-feel-change" – that sparks their emotions.

#### **2.4 Change Agent**

The "best practice" models put forward by many texts on change management frequently suggests that there are universal formulae that can be applied to any organisation that needs to undergo change. The sort of best practice rhetoric that is often heard in the change literature is 'you must get senior management support before attempting to manage change' (Balogun and Hailey, 1999). This may be true for many change situations, but perhaps for

certain organisations senior management support may not be necessary, or may take too long to acquire. For instance, if the senior management are major blocks to the implementation of change, the change may need to start with some other intervention and hope to gain senior support later on in the change process. This can be determined by analysing each organisation. What this means for change agents, is that instead of identifying “best practice” solutions, they need to start looking for ‘best questions.’ Contextual analysis is important in determining how strategy should shift. Balogun and Hailey (1999:6) argue that the internal and external context of the organisation should be evaluated in order to determine the appropriate change process.

Understanding an organisation’s change content requires the change agent to develop certain managerial and personal skills. Change agents need to develop their analytical, judgemental and implementation skills. All three of these are important. Without analysis the temptation is to draw upon ready-made change recipes, without judgement, after contextual analysis, change agents can miss the most critical aspect of the change context; and without action, the process can remain a planning exercise which never tackles the reality of change within the organisation. Change agents need to possess analytical abilities rather than to know the ‘10 best ways to run a change programme’ (Balogun and Hailey, 1999). They need to be able to dig deep into an organisation, to understand its culture and the motivations of its staff, to develop a full and holistic picture of the organisation concerned. However, equally, the practitioner needs to be wary of the danger of falling into ‘paralysis by analysis.’ It is easy to become overwhelmed by a detailed analysis. Therefore an additional skill is being able to judge the most critical features that are revealed by the contextual analysis. To take a medical analogy, a doctor giving a patient an examination following an accident might

reveal that the patient has cracked ribs, but also lymphatic cancer. The ribs can be treated immediately, but clearly the most critical condition, requiring longer term and more intensive care, is the cancer. Similarly, the change agent has to prioritise or weight the organisational features she or he uncovers in terms of how critical they are to the change process. The key skill for the change agent, is being able recognise what is critical in the particular change context. As an extension of the need for change agents to handle complexity and be sensitive to context and the impact of actions, change also requires influencing skills to help them to sell the change process to those around them. They also need well-honed political skills to help them manage the power relations in any change situation. Change often involves winners and losers. A change agent needs to be able to deal with the fall out from change.

Self-awareness is the capacity to understand one's own prejudices, preferences and experience. The way people view organisations affects the type of approach they are likely to take to change. Individuals view organisations in fundamentally different ways. Without realising it, change agents often allow their personal philosophy and style to influence the change interventions they choose. As a result, they often give limited considerations, if any, to the actual change context and its needs. Balogun and Hailey (1999) say that it is important for change agents to reorganise the existence of personal paradigms for two reasons:

- Designers of change should be driven more by the needs of the organisation than by their own perceptions or prejudices of what has constituted 'good' change management in the past. This requires an awareness of bias.

- It may be easier for change agents to understand other people's prejudices, paradigms or biases if they are armed with a certain degree of self-awareness. This is vital for working with others within the organisation and for persuading them of the wisdom of a particular change approach.

There are many complex explanations of the different ways in which individuals may view organisations. What follows highlights only a few key differences in order to illustrate how change agents 'world view' can affect the change choices they make (Balogun and Hailey 1999).

Words like 'objective' and 'subjective' are encountered in everyday use. When asked to define objective as opposed to subjective, individuals may make the following sorts of distinctions:

- Objective: rational, logical, analytical, fact, data, hard, quantitative. Objective assessments are seen as hard and measurable. Decisions are made on the basis of tangible facts and figures.
- Subjective: intuitive, experience, moral, feelings, emotions, soft, qualitative. Subjective assessments are seen to be based on something less tangible, more intuitive than data driven.

For any change agent, an awareness of which perspective predominates within their own mind will make them aware of how they will view change. The skill is for the change agent to check that their perspective is not in danger of becoming a prejudice. If an organisation is not in crisis and there is little readiness for change, a more objective manager, however much it goes against their personal philosophy, should not automatically dismiss the option of extensive communication to generate some degree of readiness, even if there is

insufficient time for extensive consultation with all staff members. This attribute of self-awareness is an important ability for change agents, and its existence within any manager illustrates a maturity of understanding of change, organisations and self.

Change is only likely to succeed if someone is responsible for leading that change, although it is also accepted that this responsibility may not reside with just one person. A change agent needs to be supported by additional change agents. Increasingly less faith is placed in one charismatic and heroic figure, since it is now recognised that change is complex and requires consideration and management of many different tasks. One individual could not hope to manage a major change effort entirely on her or his own. This is not to say that the role of leadership has been trivialised in any way. Major change efforts in particular are likely to require a champion who shows tremendous commitment to, and enthusiasm for, the vision she or he wants to see implemented in the organisation.

According to Balogun and Hailey (1999) there are a number of different ways change can be managed, although none of them are mutually exclusive. The primary change agent roles are:

- **Leadership:** The success of the change programme is based on a key pivotal figure. The 'Leader' may be the CEO, the MD, another senior manager acting as the internal change agent, or another director such as the HR Director.
- **External facilitation:** External consultants may be appointed and play a pivotal role in the change process. This may be in the form of advice or in active participation.
- **Change action team:** A team of people within the organisation may be appointed to lead the changes. This may be in the form of a steering committee. If this team does



not consist of senior and influential people, the team is likely to need the support of a more powerful individual or group of individuals in major change efforts.

- **Functional delegation:** Change responsibility may be assigned to a particular function such as HR, quality or operations management. This may be appropriate when implementing change limited to a particular function or if the skills needed to manage the change reside within a particular department. In major change efforts, unless the function head is endowed with a large amount of authority, or is able to gain the support of other powerful backers, the individual is also likely to need the backing of a more powerful figure.

The temptation for change agents is to simplify the decision-making process by basing their choices on popular change recipes they have seen used successfully elsewhere, or on their personal preferences, rather than the context in which they are currently operating. This may lead to the use of an inappropriate change approach. A feeling of urgency helps greatly in putting together the right groups to guide change and create essential teamwork within the group. When there is urgency more people want to help provide leadership, even if there are personal risks. More people are willing to pull together, even if there are no short-term personal rewards. For change to be effective it is important to put together an effective guiding team.

## **2.5 Bold Strategies for Bold Visions**

As a general policy, defying the reality of change is not a wise thing to do. Most people would agree that being ready for change is not being ready but, apparently, being ready isn't easy. Being ready takes time, energy, and effort; and even more, it takes confronting our

fear of change, our hate for what it does to our lives. Increasing organisational flexibility begins at a personal level....but it must end as an organisational act (Pasmore, 1994:270).

No one can accurately predict what tomorrow will bring. We do know that volatility, uncertainty, complexity, and ambiguity will define our future work environment. Some change patterns will be discontinuous and hard to identify. Frustration will be the norm for those who expect to control the future. Drucker (1999:73) sums this up with his comment that "One cannot manage change, one can only be ahead of it". According to Drucker, successful strategic managers and leaders are those who become change leaders. They identify opportunities and threats to the organisation and subsequently establish an environment wherein people can meet these challenges and still grow as individuals.

There are many different ways of conceiving the overall change process; some use more colourful language than others, for example 'awakening,' 'mobilizing,' 'institutionalising' (Tichy and Devanna, 1990). However, it is commonly accepted that during change it is necessary to consider three states: the current, the future and the transition. Essential inputs to the diagnosis of the current organisational state are an understanding of the organisation's competitive position and the need for change, but this must be accompanied by an understanding of the internal organisational context. It is also necessary to develop some sort of vision of the desired future organisational state or to encapsulate the strategic intent in a tangible format. In the transition state, the process of changing the organisation from what it currently is into the desired future organisation, can only start once the current organisational state is properly understood and a clear vision of the desired future organisational state has been formulated. Balogun and Hailey (1999) encapsulate this concisely; by stating that to achieve change it is necessary to:

1. Assess the current organisational situation

2. Define the desired future organisational state.
3. Determine how to get there.

For the sake of this text, strategic management is defined as that set of managerial decisions and actions that determine the long-run performance of an organisation. It includes:

- A vision statement.
- An environmental scan of factors that will affect the operationalisation of the vision.
- A strategic plan and policies based on the results of the environmental scan in comparison with the strengths and weaknesses of the organisation.
- Tactical and operational plans and timeliness to implement the strategic plan, and
- A monitoring system that will provide timely, valid, and reliable information which will be used to orchestrate the activity within the organisation.

The key is that the strategic planning horizon for each organisation is a function of its ability to see the future with some degree of confidence and to commit organisational resources. A roadmap for change is vital, built around finding the gap between where you are and where you want to be. Since the 1980s, there has been an increasing emphasis on the need for a powerful change 'vision', or picture of the future, if change is to be successful. In successful change efforts, the vision and strategies are not locked in a room with the guiding team. The direction of change is widely communicated, and communicated for both understanding and gut level buy-in. The communication of a vision fails for many reasons and perhaps the most obvious is lack of clarity. In successful change efforts, an empowered group of people are very selective in how they spend their time. They focus first on tasks where they can quickly achieve unambiguous, visible, and meaningful achievements. These short-term wins are essential, serving four important purposes:

1. Wins provide feedback to change leaders about the validity of their visions and strategies.
2. Wins give those working hard to achieve a vision a pat on the back, an emotional uplift.
3. Wins build faith in the effort, attracting those who are not yet actively helping.
4. Wins take power away from cynics.

Without these achievements, large-scale change rarely happens and the ‘infidels’ do seem to take over, regardless of how brilliant the vision and how needed the changes. The opposite is found when short-term wins do occur. They foster a growing sense of optimism, of energy, of belief in change. Because of the very nature of large-scale change much must be done to achieve the vision.

## **2.6 Reward Strategy**

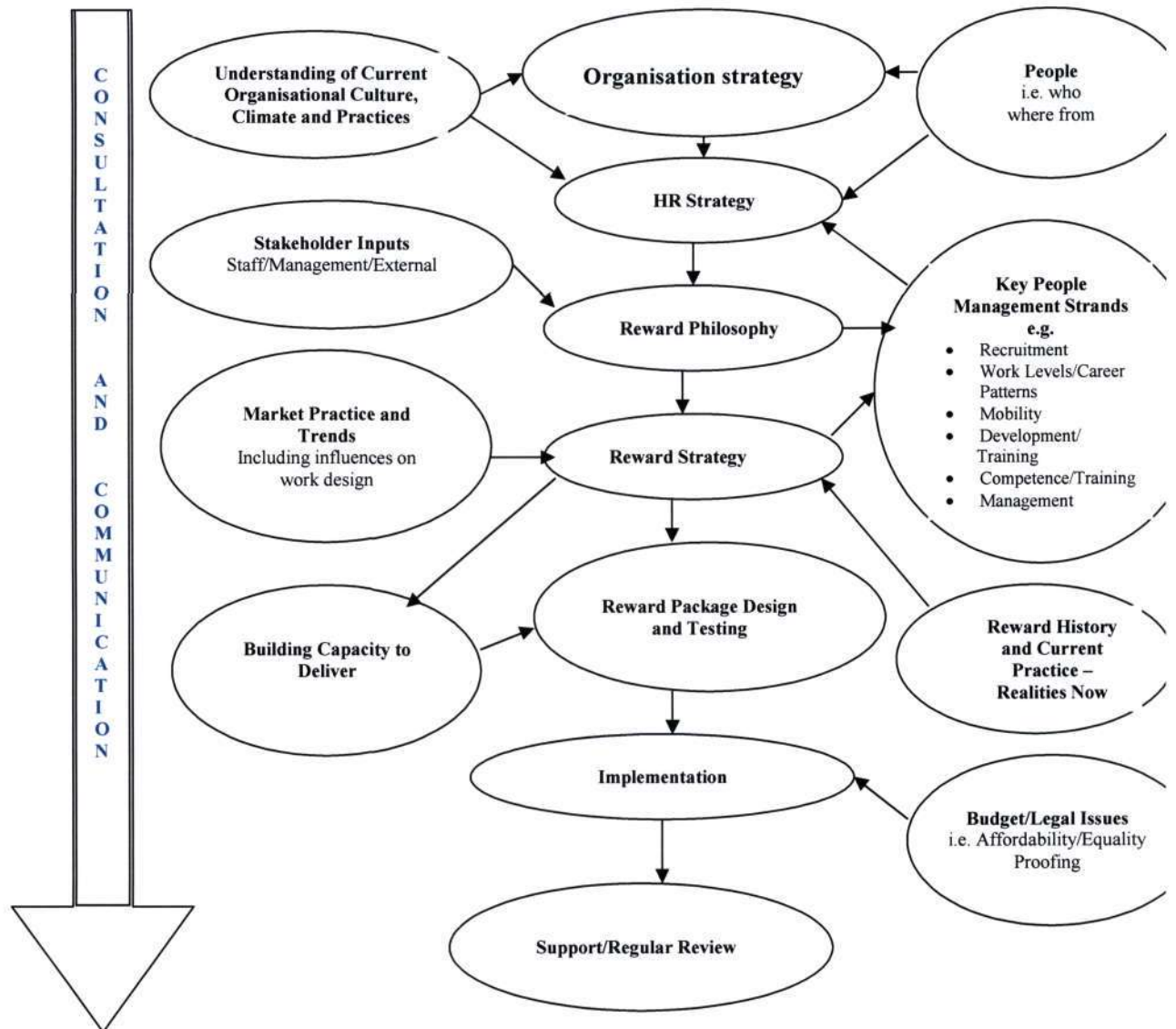
The Hay Group, one of Canada’s leading professional services firms specialising in people and performance, maintains that rewards are the key to attracting, retaining and motivating employees (internet 1). They believe that how organisations reward their staff makes a statement about what they value. It is important for organisations to have a reward strategy. The planning and management of reward strategies and systems is perhaps the most challenging task facing management. A reward strategy must provide specific directions on how an organisation will develop and design pay, benefits and related programmes to ensure that it rewards the behaviours and contributions that best support the achievement of its operational goals. It should be clearly linked to strategy for the effective management and development of people to ensure the organisation has the capability to deliver its overall strategy. A reward strategy can either be ‘implied’ from what has developed over time and is there now, or developed specifically to match new changing demands.

### **2.6.1 Developing a Reward Strategy for Recognition**

Recognition is one of the most effective ways to reinforce an organisation's culture, support its objectives, and retain top performers.

Figure 2.1 illustrates a typical reward strategy development and implementation process. It shows what has to happen and in what order to progress from the development of a reward philosophy through to the implementation of that strategy. The way in which this process is developed should help all the people involved in it to understand what has to go into the strategy and why, who is responsible and what the benefits are.

Figure 2.1: The Reward strategy Development Map



Source: (<http://www.irfs.org.uk/docs/reward/05.htm> (Reward in support of strategic change in the Fire Service by the Hay Group, December 2002).

**Essentially the process involves:**

- **Diagnosis** – Looking at the business, human resources, cultural and reward context, future needs and priorities;
- **Setting and agreeing principles, priorities and directions** for the reward strategy and implementation process;

- **Detailed design** of the changes to existing practices and new practices needed to deliver the strategy;
- **Testing the design and building capability** to implement and work with the new practices and planning the transition from existing practices, including modelling and costing planned changes;
- **Implementation** to a planned schedule – accompanied by ongoing reviews of the implementation and ‘fine tuning’, adapting the design and practices to meet changing of new demands.

The experiences of organisations in reward strategy development have confirmed how critical it is to involve both the people covered by a new system and those who will manage it. This is an essential component of successful change.

- **Consultation and communication are extremely important throughout this process** to ensure that everyone is involved appropriately, understands what is happening and understands why and how this fits with changing business circumstances.
- **Senior Management needs to be involved in and lead these changes**, supporting their people as they learn to work with new reward practices. Employees and their representatives need to feel their views and needs have been respected and taken on board.

Successful reward strategies are those that are well understood where the logic and benefits are clear and where capability has been built to operate the different elements effectively.

### **2.6.2 The Value of a Payment-for Results System**

Thompson and Strickland (1998:324) argue that the ability to reward employees based on results is central to attaining their commitment to strategy execution. “Performance-based incentives make it in the employees’ self interest to exert their best efforts to achieve performance targets and to execute the strategy competently (Thompson and Strickland, 1998:327). It is widely believed that pay is a powerful motivator, and will have a direct influence on productivity (Barnum, 1987:5). However, it may be argued that this simple link between work and money is deceptive. “There is little evidence to suggest that paying people more will automatically make them work harder” (Livy, 1998:413). Similarly, it may be argued that while people work for money, this is not the only satisfaction that they derive from work.

When examining payment-for-results, it is essential to understand why people behave in the way that they do. Without an understanding of motivation, it is difficult to infer that the reasons for any changes in behaviour are the result of the payment-for-results system. Beer (1984:113) argues that the impact of a compensation system upon employees is limited, and unlikely to be the source for solving human resource problems. He notes that in attempting to solve human resource problems, areas besides the design of the compensation system should be evaluated. Beer (1984:147) stresses the importance of using compensation policies to support other Human Resource Management policies. Sisson (1989:26) notes that while payment-for-results systems have been used since employment began, their impact has been inconsistent. Whilst a successful system can be both cheap and popular, an unsuccessful system can cause widespread dissent.



### **2.6.3 The Failure of a Payment-For-Results System**

A countervailing view on the merits of incentives is presented by certain theorists including Kohn (1993:54-64) and Pfeffer (1998:109-119). Kohn notes that incentives create a temporary compliance, without any enduring commitment. Kohn points to various studies, including a payment-for-performance system that had been abolished for a group of welders, in an American manufacturing company. This study, performed by Rothe found that despite an initial drop in performance, production actually increased to levels higher than previously recorded. Kohn (1993) states that an incentive system will fail to achieve any long-term change in employee behaviour. Kohn argues that pay in itself fails to motivate, and can destroy cooperation in the workplace. Kohn goes on to say that rewards serve to act as a form of punishment as they allow employees to be manipulated, and create low morale when employees fail to achieve the targets. Kohn notes that incentive systems fail to address underlying needs of employees, and can impede management's ability to manage.

Pfeffer (1998) argues that it is a myth to believe individual incentive pay will improve performance. Pfeffer notes that in reality individual incentive pay undermines teamwork, encourages a short-term focus, and leads to employees developing political skills rather than focusing on performance. Pfeffer points to various studies, including a work by the consulting firm William M Mercer, which concluded that most individual performance based payment systems result in two common attributes: an absorption of management time and resources, and an ability to make all employees unhappy. Pfeffer emphasizes that compensation should reinforce management practices and cannot be a substitute for a trusting and meaningful work environment.

These views are supported by Pearce (1985) who argues that payment-for-results systems can result in directing performance away from key areas within the organisation and reducing flexibility. Pearce notes that a payment-for-results system can undermine the employer/employee relationship as it places self-interest ahead of cooperation and interdependence. Pearce adds that pay for individual performance can damage organisational commitment as the employee is treated purely as a labour contractor. Williamson (1975) concludes that the failure of pay-for performance systems to consider employee potential and flexibility leads to less effective organisational performance.

## **2.7 Models used for Launching and Following through on Change Initiatives**

The basic model for all management is the virtuous circle of: plan, implement, evaluate and adjust. All change fits that in one way or another and it is probably best to keep that basic model as a backdrop. The models evaluated can be grouped into three, depending on the assumptions as to what is effective: top-down; capacity-building or strategic steps.

### **2.7.1 Top-Down Models: “It’s all about Leadership”**

The “Top Down” models grew out of the classic model. Balogun and Hailey (1999) assert that much of the prescriptive change literature has emphasised a top-down approach, in that the direction, control and initiation of the changes comes from the strategic apex of the organisation. It usually involves a programme of change determined and implemented by the top management or their representatives. However, although top-down change is clearly driven by the top executives, this does not mean that a top-down change approach is never collaborative or participative. In top-down change initiatives the plans developed can be achieved with the collaboration of senior managers, and a wider group of individuals within

the organisation. Top-down change may have to be imposed in a directive or coercive manner. In a crisis or turnaround situation there may be no alternative but to impose the change throughout the organisation. This directive form of top-down change design has the advantage of being speedy to implement. The basic belief is that the CEO can orchestrate change in a relatively short period. The premise is that if you change behaviour you change culture. Leaders influence by setting goals, clarifying desired outcomes, providing feedback, exchanging rewards for the desired performance, and taking action when goals are not met.

### **2.7.2 Capacity-Building Models**

A second approach is to build the capacity of those in the organisation, so that they are more able and eager to change and improve. Mintzberg 2003 says it is important to remember that change comes up from the grassroots: Change should not be driven from the top down in an organisation. Facilitation should enable the changes to occur from the bottom up. A climate should be created where people can individually and collectively think for themselves, take initiatives, and build interesting things.

### **2.7.3 Strategic Steps**

The third set of models follows a specific step-by-step process for launching and following through on change initiatives. Kotter (1996), in a seminal work, *Leading Change: Why Transformation Efforts Fail*, identified eight important steps in effecting change. Although these derive from a business perspective and may require some translation, they have some validity for change in higher education, especially transformational change.

- i. **Establish a sense of urgency to beat back complacency:** examine the existing situation, and identify and discuss the crisis, potential crisis or major opportunities. “Establishing a sense of urgency is crucial to gaining needed co-operation. With urgency low, it is difficult to put together a group with enough power and credibility to guide the effort or to convince key individuals to spend the time necessary to create and communicate a change vision”. He also warns that people may initially state their support of the change, but many do not feel the urgency, so do nothing.
- ii. **Form a powerful guiding coalition:** Assemble a group with enough power to lead the change effort and encourage the group to work together as a team. Change may often be difficult to accomplish, therefore a powerful force is required to sustain the process – no one individual, whatever his or her power, can do it alone. Four key characteristics are needed on the team: **Position power**; **expertise** so that all relevant points of view are represented; **credibility** within the organisation; and **leadership** skills.
- iii. **Create a vision:** This helps direct the change effort and develop strategies to support that vision.
- iv. **Communicating the change vision:** Use every vehicle possible to constantly communicate the new vision and strategies. The coalition has to lead by example. Kotter highlights seven key elements in an effective communication of vision, namely:
  - **Simplicity:** All jargon and techno-babble must be eliminated.
  - **Metaphor, analogy and example:** A verbal picture is worth a thousand words.
  - **Multiple forums:** Big meetings and small, memos and newspapers, formal and informal interaction – all are effective for spreading the word.
  - **Repetition:** Ideas sink in deeply only after they have been heard many times.

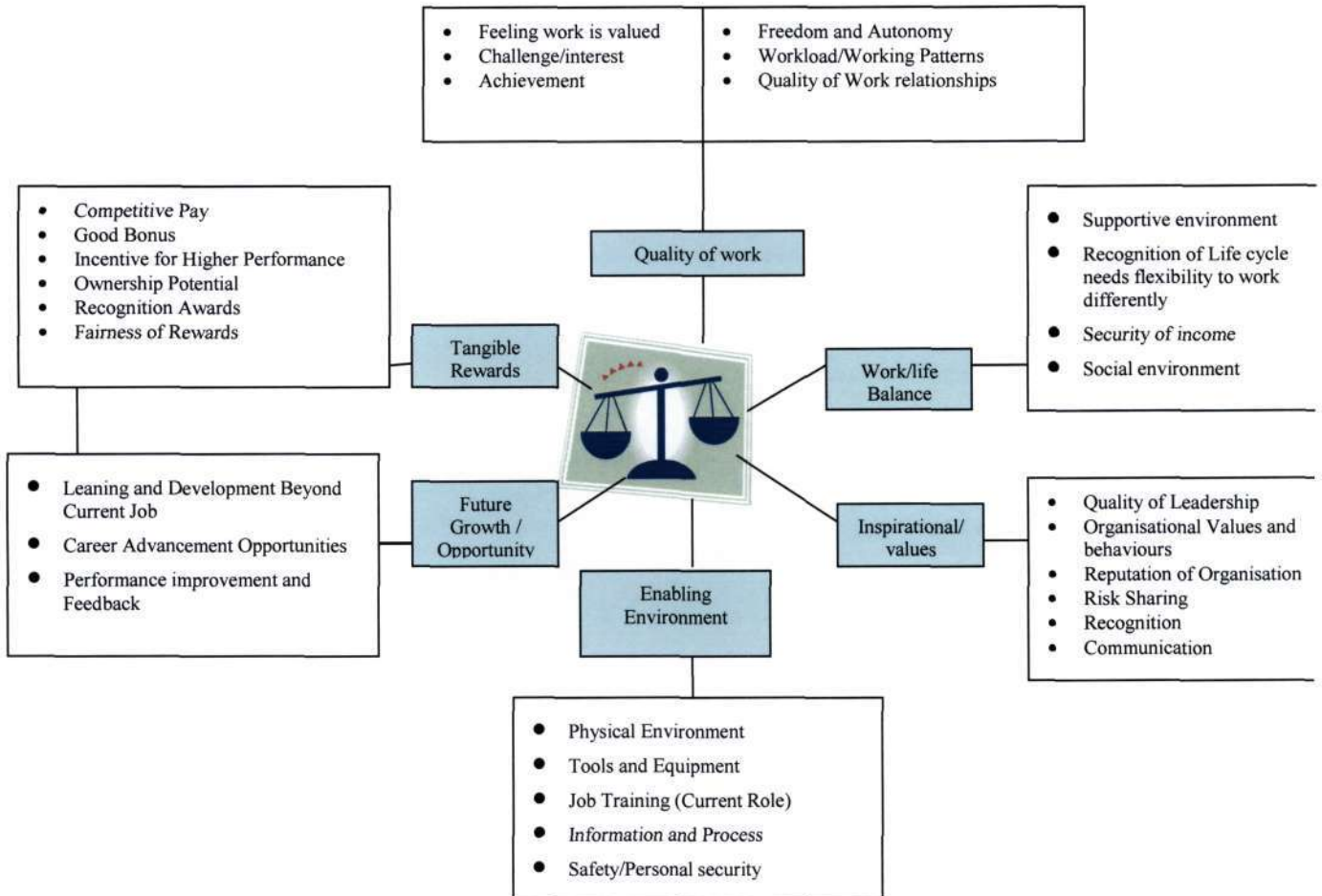
- **Leadership by example:** Behaviour from important people that is inconsistent with the vision overwhelms other forms of communication.
  - **Explanation of seeming inconsistencies:** Un-addressed inconsistencies undermine the credibility of all communication.
  - **Give-and-take:** Two-way communication is always more powerful than one-way communication. Repeat, repeat, and repeat. It is virtually impossible to over communicate.
- v. **Empower others to act:** Get rid of the obstacles to change. Change structures that undermine the vision, encourage risk-taking and non-traditional ideas, activities, and actions. The main barriers are procedures that make it difficult to act; bosses who discourage action aimed at implementing the new vision; a lack of needed skills; and outdated finance and other information systems that make it difficult to act.
- vi. **Plan and create short-term wins:** Plan for visible performance improvements, create those improvements and recognise and reward people who made those wins possible. It helps overcome the “miserable middle”.
- vii. **Consolidating improvements:** Use increased credibility to change systems, structures and policies that don’t fit the vision. Hire, promote and develop employees who can implement the vision. Reinvigorate the process with new projects, themes and change agents.
- viii. **Institutionalise the new approach:** Articulate the connections between new behaviours and organisational success. Develop the means to ensure leadership development and succession.

Kotter (1996) makes a clear distinction between management and leadership. Management is a set of processes that can keep a complex system running smoothly. Leadership defines

the future and aligns people with the future. Kotter argues that too much emphasis is placed on managing change and not enough on leading change.

Another model to explore is shown in Figure 2.2. The model was developed by the Hay Group from the experience it gained over many years of working with employees of all kinds. The Group set out to discover what was important to the employees about their work and careers and the way they were rewarded. It covers the whole 'deal' needed to enable people to contribute 'Engaged Performance' (Brown, 2001) and has proved helpful to organisations in public and private sectors in prioritising Human Resource (HR) and reward strategy development. It is important to bear in mind that some elements matter more in some organisations than others. For example ownership potential (the opportunity to have a financial stake in the business) clearly matters more in the private sector whereas feeling your work is valued matters more in most parts of the public sector.

**Figure 2.2: The main things employees want from their work**



Adapted from the model developed by the Hay group  
 Source: From Intent to Impact, Duncan Brown, CIPD 2001 (<http://www.irfs.org.uk/docs/reward/05.htm>) (Reward in support of strategic change in the Fire Service by the Hay Group, December 2002).

The kinds of issues explored using this model and some examples of the things that matter to staff include the following (Hay Group, 2002: internet 2):

**For inspiration and values:**

- How well leaders/managers provide effective and motivating leadership, especially when change is happening or a crisis has to be faced.

- How well the organisation defines and lives by a clear set of values.
- The level of respect for the organisation in the community
- How well responsibility for risks is taken/shared
- The degree to which individual and team achievement and contribution is given recognition, such as whether personal thanks is received from a senior manager for meeting a specific challenge
- The quality of communication to staff, for example whether it is clear, timely and uses appropriate media.

**For future growth and opportunity**

- How effectively personal development and learning are encouraged and supported, for example clear training and development maps and courses.
- The extent to which career opportunities exist and people are encouraged to develop and progress, for example a clear process for broadening experience to move across into new areas or gain promotion.
- How clear people are about what is expected from them and whether they get effective feedback on how they are doing, for example clear role profiles are available against which people can check what is expected locally and get feedback from their manager about what they are doing well now or need to learn.

**For work/life balance:**

- How far people feel their work is valued for its importance in contributing to the success of their employer and outside in the community.



- How much challenging and interesting work is on offer (for example whether there are opportunities to broaden roles or work on a new project.)
- Level of opportunities and encouragement for personal achievement.
- How far people are encouraged to take independent decisions and actions that is the balance between essential frameworks and personal discretion.
- The manageability of the workload, including working patterns, shift patterns and team resources for specific tasks.
- The extent to which interesting, stimulating and beneficial relationships are available with colleagues at work.

#### **For enabling environment**

- The effort the employer puts into providing and improving the physical working environment (for example the state of decoration and quality of facilities provided).
- The extent to which appropriate and effective work tools and equipment are provided.
- How well the employer provides training and development as well as support to people to do their current job well (such as providing on-line learning opportunities and specific courses).
- The effort the employer puts into designing and providing for ways of working and the information needed to do the current job well.
- How well the employer safeguards employees against hazards and minimizes exposure to personal risk associated with their work, such as providing clear safety procedures and protective uniforms.

People's views and priorities around these six elements vary considerably depending on what most needs doing to improve their particular employment environment and where they are in the organisation. It is often found that there are clear gaps between what senior management believe they are providing and what their staff members believe is on offer. To people work/life balance is viewed as very important.

## **2.8 Recommended Model for change.**

Many organisations use frameworks to check that they have fully considered all things they need to look at and plan for. This helps them make sure they are capable of the changes they want to make and that each element supports others.

The Deputy Vice Chancellor of Research at the University recognised that a new reward strategy was needed to match the wider changes that were implemented at the University. To understand where reward and recognition fit in the wider context it is useful to work from a recognised and respected framework for looking at all the elements that need to be addressed for change to be successful.

**Figure 2.3: Recommended Model: The Key elements of successful organisational change**



**Figure 2.3** has been adapted and revised from the theoretical models illustrated in this Chapter and is in line with the literature review. This model highlights the seven key elements or levers for successful change and how they are dependent on each other; at its heart lies leadership as the most important factor to get it right. It makes clear the reality that reward and recognition are part of and dependent on other elements of the change agenda. The academic framework that is most helpful when constructing the model comes from Burke and Litwin's (1992) work on organisational change. The framework has been adapted to help understand where the University's Research Office is and what the seven main elements in its operations that may need to change to transform a shared vision.

The model **starts with strategy** by asking:

- What are the key challenges and opportunities for the future?

- What are the key capabilities required to achieve these?
- How far has the strategy been translated into key things that have to happen?
- Whether there is an integrated plan to align resources and systems with the strategy?

Looks at **Leadership** in terms of whether:

- There is a compelling vision that inspires the organisation.
- Current leaders act according to this vision.
- They create clear expectations of others.
- They clear a path and eliminate obstacles.
- They foster effective teamwork.

Assesses **values and cultures** in terms of:

- The values and behaviours that support success.
- Whether there is consensus around these values.
- The extent to which behaviour matches these values.
- The extent to which excellence in leadership is valued.
- How much the organisation values people?

Scrutinises **work processes and business systems** to assess:

- Which work processes are critical to delivery of the strategy?
- Whether these are efficient and effective.
- The extent to which there is clear process ownership.
- Whether people delivering specific processes are clear on overall requirements.

- How far business systems and policies are aligned with work processes.
- The extent to which information flows to where it is needed, when it is needed.

Reviews **organisation, team and job design** in terms of:

- Whether the grouping of resources supports overall strategy.
- How effectively people and teams work together.

Looks at **individual and team competence** to assess

- How clear a picture there is of what excellence looks like in the different roles in the University.
- Whether the talent pool is adequate.
- The extent to which there is a process to identify and learn from superior performance.

Assesses **management processes and systems** to review

- How well people management systems are integrated.
- The appropriateness of selection systems.
- Whether succession systems are adequate.
- How appropriate are the development systems.
- Links to and alignment with other management systems.

And scrutinises **reward and recognition** to check

- Whether the reward structure is well aligned with strategy and values.
- If the institute can attract and keep the right people.
- Whether there is a clear link between rewards and the measurement of contribution.

- How far rewards really encourage or discourage researchers to develop new capabilities?

And finally, to see **results** in terms of

- Building the value-added contribution required by all who have an interest in the organisation's success (for example researchers, Government and students).
- Having an organisational climate that supports the desired results.

## **2.9 Summary**

The purpose of this chapter has been to describe in some detail the use of particular levers and mechanisms to aid the transition process and help effect the required changes. Literature on change and how it fits with reward strategy is evaluated. Given that texts in this field that relate specifically to universities were not obtainable, extensive use was made of business contexts in light of Kotter's assertion that one can successfully extrapolate knowledge gained in purely business environment to a situation of higher education.

The factors highlighted were:

- Change management and strategic leadership
- Exploring strategic change.
- Change agents
- Bold strategies for bold visions
- Reward strategy and the change agenda and incentives.

This chapter has introduced the role of the change agent, and highlighted the fact that change is distinct from strategy in so far as change is about moving an organisation from its current position to a future condition.

Strategic change was examined and found to be a well planned process where change must have an impact on the people of the organisation and the way they do things. The ability to manage change is fast becoming a mainstream competence for managers.

This chapter concludes that it is important to work from a model when implementing change. There is no one perfect strategic planning model for each organisation. Each organisation ends up developing its own model for strategic change, often by selecting a model and modifying it as they go along in developing their own planning process. It is important to use particular levers and mechanisms to aid the transition process and help effect the required changes. The recommended models suggested at the end of the literature review highlights the seven key elements or levers for successful change how they are dependent on each other.

To understand where reward and recognition fit in the wider context, a framework that was constructed from the Burk and Litwin's (1992) work on organisational change has been adapted to help understand where the University is, and what the elements in its operations may need to change to transform a shared vision.

At its heart lies leadership as the most important factor to get it right. It makes clear the reality that reward and recognition are part of and dependent on other elements of the

change agenda as follows: values and cultures, work processes and business systems, organisation team and job design, individual and team competence, management and systems, reward and recognition and finally results.



## **CHAPTER THREE: CASE STUDY OF THE UNIVERSITY IN RELATION TO RESEARCH AND DEVELOPMENT**

### **3.1 Introduction**

As indicated in Chapter 1, a case study method will be used to provide the necessary information to work towards the evaluation of the effect of implementing strategic change in the way researchers were rewarded for producing accredited research. This Chapter introduces the institution that is the subject of the study. An overview will be given of the strategic approach taken to reward researchers in an attempt to increase productivity. In addition to this overview, which is based on a theoretical model, this dissertation will also seek to determine the impact the change has had on researchers through the administration of a questionnaire, a copy of which is attached as appendix A. While this research envisages suggesting strategies for the period following the merger of the Universities of Natal and Durban-Westville, it has been conducted with reference to the situation at the University of Natal prior to the merger.

### **3.2 Background**

The Universities of Natal and Durban Westville merged on 1 January 2004 to form an institution known as the University of KwaZulu-Natal.

The new university brings together the rich histories of both the former Universities. The University of Durban-Westville was established in the 1960s as the University College for Indians on Salisbury Island in Durban Bay. Student numbers throughout the 1960s were low as a result of the Congress Alliances' policy of shunning apartheid structures. This

policy gave way in the 1980s to a strategy of “education under protest” which sought to transform apartheid institutions into sites of struggle. Student numbers grew rapidly and in 1971, the College was granted University status. The following year, the newly-named University of Durban-Westville moved into its modern campus in Westville and was a site of major anti-apartheid struggle. UDW became an autonomous institution in 1984, opening up to students of all races.

Founded in 1910 as the Natal University College in Pietermaritzburg, the University of Natal was granted independent University status in 1949 owing to its rapid growth in numbers, its wide range of courses and its achievements in and opportunities for research. By that time, the NUC was already a multi-campus institution, having been extended to Durban after World War 1. The distinctive Howard College building was opened in 1931, following a donation by Mr T B Davis, whose son Howard Davis was killed during the Battle of Somme in World War I. In 1946, the government approved a Faculty of Agriculture in Pietermaritzburg and, in 1947, a Medical School for African, and Indian and Coloured students in Durban.

The two KwaZulu-Natal universities were among the first batch of South African institutions to merge in 2004 in accordance with the government’s higher educational restructuring plans that will eventually see the number of higher educational institutions in South Africa reduced from 36 to 21. Confirmed by a Cabinet decision in December 2002, the mergers are the culmination of a wide-ranging consultative process on the restructuring of the Higher Education Sector that began in the early 1990s” (Internet 3).

### 3.4 Strategic Objectives

*".. the university as an institution is generally ill-suited to perform research: it is the professor at a university who performs research, not the institution."*

*Steven Muller (10<sup>th</sup> President of the Johns Hopkins University)*

*Technological Innovation in the eighties, (ed. J.S. Coles, Prentice-Hall 1984) (in Walker :2003)*

The mission statement of the University Zulu-Natal is to be "A truly South African University that is academically excellent, innovative in research, critically engaged with society and demographically representative, redressing the disadvantages, inequities and imbalances of the past." (Internet 4). The Office of the Deputy Vice-Chancellor (Research and Development), assisted by the Director (Research), is responsible specifically for bringing to reality that portion of the mission statement that exhorts the University to be 'innovative in research'. Through its efforts it is also expected to play a part in the University's overall vision and mission to be a leading research institution on the African continent.

The potential to attract research funding for large and important programmes is dependent on the ability of the University's researchers to move into a highly competitive global environment (Research Policy: Part 1 Strategic direction of research at the University of Natal 2002 – 2004). At the end of 2002 the Deputy Vice-Chancellor (Research and Development) (DVC) introduced strategic changes that included changing the way researchers were rewarded for their research outputs. The new incentive awards scheme for publications will be discussed in detail under the section on reward and recognition. The strategic objective of this change was to increase the productivity of the Universities' researchers. Given that the same yardsticks are used to measure the research outputs of all South African universities it is imperative that the University finds a way to maximise the output of its researchers if it is to realise its strategic objectives and the research productivity

awards were viewed as serving the dual purposes of facilitating research and raising the University's productivity relative to other South African universities, along with encouraging a change of focus within the University's research community, from inward looking to externally focused.

The key purpose of any university is the advancement of knowledge. According to Walker (2003) the advancement of knowledge may be achieved by:

- Researchers pushing forward the frontiers of knowledge, as well as scholarly activity that deepens understanding of current knowledge.
- Effectively passing knowledge on to the next generation.
- The application of the results of research to technology transfer and the problems of society.

These are the three legs on which the academic endeavour rests and each feeds the research endeavour of the University. It is important that any strategies adopted by the university must be driven first by their academic merit. There are dangers in taking ones' eye off the ball in matters such as income generation and lucrative contract research as they are important, but only if they are consistent with the university's own academic objectives. Walker (2003) has noted a number of perceived strengths and weaknesses in the state of research activity at the University, as follows:

#### **Strengths**

- A significant number of strong researchers with track records of delivering first rate research.
- Strong research publication output placing the University among the top South African Universities.

- A newly accepted Research Policy that strongly encourages research.
- A number of faculties with strong research ethos.
- Attraction of increasing amounts of research funding for directed research.
- A variety of research incentives for individual researchers.
- The establishment of a set of strategic initiatives that have the capacity to encourage strategic networks and linkages.

### **Weaknesses**

- Declining research output over the last few years up to and including 2002.
- Identifiable sections of the University community with a relatively low research output.
- Inadequate resources and declining funding for basic research.
- Inadequate financial and institutional support for postgraduate students doing research degrees.
- Inadequate journal holdings in the library.
- Age profile of active researchers.
- Conflicting pressures on researchers by various arms of the University.
- Loss of active researchers approaching the age of 60 and beyond because of retirement policy.

### **3.4 Leadership**

The University's mission statement indicates that it has a compelling vision to be innovative in research and to this end strong leadership is required. The motion in support of the University Research Committee's (URC) arguments to appoint a Deputy Vice Chancellor of

Research and Development in late 1993 illustrated strong commitment by the leadership of the University at that time to its research and development functions. (URC minutes 26 November 1993). The Research Office, directed under the leadership of the DVC, serves 5 campuses: Edgewood, Howard College, Pietermaritzburg, Westville and Medical School. The DVC's primary role is to ensure that a supportive and enabling environment is created in order for research to flourish at the University.

The DVC (Research and Development) has had to build a competent team that is able to meet the needs of all five campuses and thus help the University community transform itself into an organisation that can gain a long-term competitive advantage in an environment where organisational change is becoming more frequent, complex and risky. The range of changes to the University Research Policy implemented in 2003 was an act of innovative leadership intended to inspire those within the organisation. According to Professor S.A. Karim, present DVC (Research and Development), the aim of the changes was to reduce bureaucracy and create efficiency in the way funding was awarded to researchers for productivity (private communication, 21 May 2004).

#### **Deputy Vice Chancellor (Research and Development)**

The DVC (Research and Development) takes overall responsibility for research within the University, and is assisted by the Director of Research. They work together with administrative support staff in the form of the Research Office. It is imperative that the Research Office be adequately staffed both in number and at suitable competency levels, to effectively control the administrative functions.

### **The University Research Committee (URC)**

The URC is a sub committee of Senate that operates under the Chairmanship of the DVC (Research and Development).

The URC is responsible for:

- Strategic planning and research policy within the University
- Promoting research
- Research capacity development

### **Faculty Research Committees (FRC)**

Each faculty has an FRC, its role being to foster and stimulate research in that faculty and to consider and advise on all matters related to research in the faculty. Research activities of both staff and students are considered.

## **3.5 Values and Culture**

Recognition is one of the most effective ways to reinforce an organisation's culture, support its objectives and retain top performance. The University's mission statement clearly states that the University is to be a truly South African university that is academically excellent and innovative in research. The vision of the University is to be the premier university of African Scholarship. The best way to build a vibrant and active culture is to appoint the right people in the first place.

The University aims to be a pre-eminent research university in South Africa. Its research activities are supported by laboratories housing the most modern equipment, a library fully resourced with leading international research journals and a highly sophisticated information technology division that provides all the necessary research support, e.g. software and

internet facilities. Research is conducted in a conducive and vibrant environment that promotes innovative and creative thinking. Centres of Excellence have been developed in several areas, ranging from social sciences and humanities, through to medical sciences, natural science and engineering. The University is at the cutting edge of international research in several areas, especially in HIV/AIDS, Forestry, Water Technology, Invertebrates and Economic Development. In addition, there has been a significant growth in the university's international research partnerships.

The comprehensive postgraduate programmes offered at the University attract an increasing number of Masters and Doctoral students from the African continent, as well as abroad (internet 5).

### **3.6 Work Processes and Business Systems**

Much of the effort in encouraging research at the University has gone towards encouraging the individual staff member by:

- Promotion policies that emphasise research performance.
- Generous provision for sabbatical leave.
- Recognition for individual excellence such as the Vice-Chancellor's award, University Fellowships, and the University Book Prize.
- Competitive grants for new staff members to get them started in research.
- Grants for expensive capital equipment.
- Support and advice in applying for funding and grant writing.
- Research incentive awards based on research outputs, such as publications, by the individual and supervision of post graduate students.

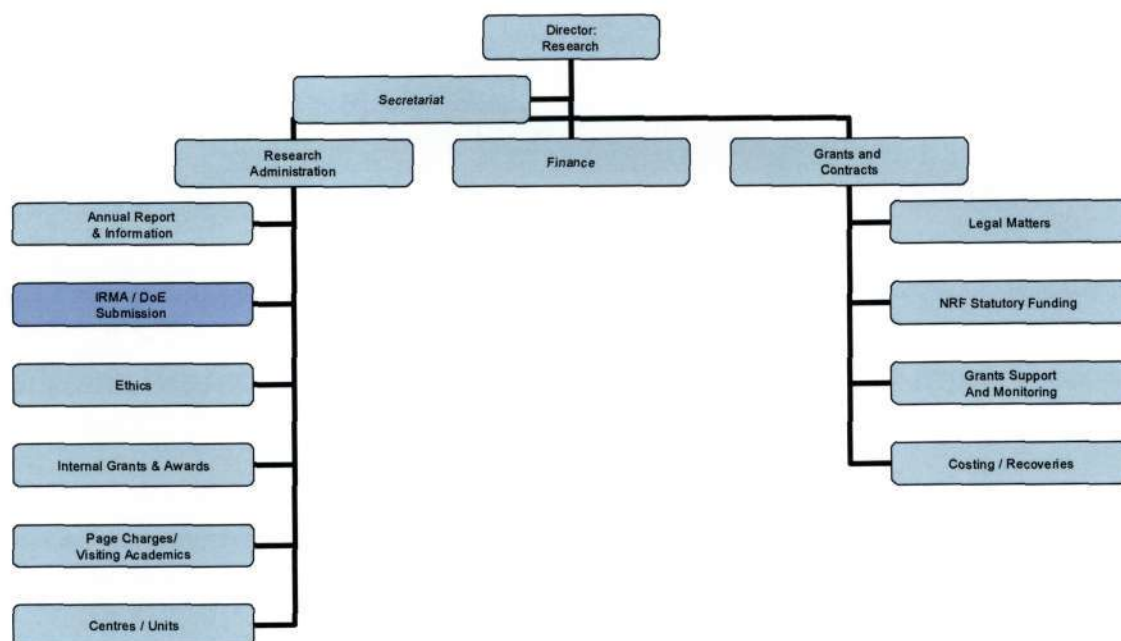


### 3.7 Organisation, Team and Job Design

Figure 3.1: Research Office Operational Structure (Source DVC: Research)

#### University of KwaZulu-Natal

#### Research Office: Operational structure



The Research Office provides service and support to researchers on all five campuses from a centralised office. To effectively manage the processes involved in promoting and facilitating research within the University, the Research Office has the following in place:

- A dedicated email address: [research@ukzn.ac.za](mailto:research@ukzn.ac.za). This address is checked several times each day, and receipt of each email message is acknowledged by the Personal Assistant of the DVC. Thereafter each message is replied to with the appropriate response. As part of the ongoing effort to ensure that the Research Office is being appropriately responsive to the research community, response times to emailed queries are monitored on an ongoing basis.
- It subscribes to Community and Science (COS) Funding alerts and the information is shared with the University community accordingly. In addition, the library has purchased the Web of Science.
- It provides assistance in preparing research grant proposals to external funding agencies.
- It handles all Natal Research Foundation (NRF) matters, such as evaluation and rating, focus areas, Thuthuka, Technology and Human Resource Industry Programme (THRIP), International Science Liaison Programme (ISLP). This includes sending out NRF notices and collating, checking and validating all NRF submissions.
- It has a special section to deal with external research grants and contracts. Assistance is given in several areas, including institutional cost recoveries and providing legal advice to protect the interests of the University and the researcher.
- It publishes a monthly Research Newsletter on ongoing highlights in research activities.

- It handles all submissions regarding research productivity through the Integrated Research Management Application (IRMA) software which is available to researchers on the University website. IRMA is an efficient way of submitting information for the Annual Research Report, DoE SAPSE submissions and productivity awards. Researchers are able to view their productivity awards via this database. It enables researchers to determine exactly what they are awarded, and for what research.
- It provides funds to invite international visiting academics who are already in South Africa, to the University.
- It provides funds for page charges for articles to be published in SAPSE accredited journals.
- It provides funds to Executive Deans for the hosting of faculty research days to promote research within faculties. The funds can also be used to pay honorariums to key note speakers and for awarding prizes for the best presentations.

### **3.8 Individual and Team Competence**

Reiterating what was said earlier; the best way to build an active and vibrant culture is to appoint the right people in the first place. Once that is done the obstacles placed in their way should be minimised. A private interview with Professor Johan Jacobs (University of KwaZulu-Natal: 6 May 2004) revealed that one of the major obstacles faced by many young researchers appointed to a lectureship after completing a PhD, was the every-day demands of lecture preparation and student supervision. These demands sometimes consume so much of the researchers time that promising research careers are brought to a halt. Research is part of the total academic endeavour and the University must ensure that a

balance is achieved between research, teaching, and the application of knowledge (Walker: 2003.) Walker continues by saying that in a major University the ideal academic is a scholar, concerned with the advancement of his or her subject through original research, critical scholarship and educating the next generation in the subject. All academics should be expected to contribute to these three activities. This does not mean that every academic will contribute equally to each. All academics should be involved in teaching, but need not necessarily contribute equally to the teaching effort. In the same way, all should be involved with scholarship and research, but the proportion of effort may vary between individuals. The University must find ways of making it possible for each individual to contribute in the way that best suits his or her talents and interests, and must find ways of rewarding endeavours that exceed the general expectations.

### **3.9 Management Process Systems**

The Research Office has processes in place for developing the next generation of researchers by running capacity building programmes on a regular basis for the young and promising researchers. There are also systems in place for rewarding excellence in research. The Research Office facilitates and assists researchers in the area of securing grants. Deans of faculties are expected to get involved with researchers by encouraging research and delegating research mentorship and also streamlining the academic load to ensure systemic productivity. Details pertaining to rewards, recognition and productivity will be elaborated in the next section.

### **3.10 Reward and Recognition**

Recognition is one of the most effective ways to reinforce an organisation's culture, support its objectives, and retain top performers. The Department of Education subsidises Universities' for research output. The University in turn recognises researchers for their efforts with the various incentives it has in place.

#### **3.10.1 Incentive for Research Outputs**

The DoE defines research output as textual output and research is understood as original, systematic investigation undertaken in order to gain new knowledge and understanding. (Higher Education Act, 1997). The subsidy for research to institutions of higher education is influenced by the affiliation of the authors. The claiming institution accrues full subsidy if all the authors are affiliated to the claiming institution. In the case where authors are affiliated with two or more institutions, the subsidy is shared between the claiming institutions. Affiliated authors are defined as academic or research staff, research students, visiting scholars or fellows and retired academics from the claiming institutions. Institutions must claim the outputs with a publication date of the preceding year (n-1) in the current reporting year (n). For the purpose of subsidy, recognised research output, in terms of the Higher Education Act, 1997, comprises journals, books and conference proceedings.

Prior to 1988 the University did not provide incentives to individual researchers for the research output that they generated, instead funds were allocated to researchers on application for project-based research. During 1988 numerous discussions centred on the need to provide incentives to researchers in order to stimulate research took place (URC minutes: 3 June 1988 page 4/16). In August 1988 the University Research Sub-Committee

produced the following data (table 3.1) that showed how the productivity of the University compared with that of other universities in the country. The data used for this comparison was based on the 'research output units' approved by University and Technikons Advisory Committee (UTAC).

**Table 3.1: SAPSE Productivity of Researchers Compared to other Universities 1983-1985**

<b>Year</b>	<b>University of Witwatersrand</b>	<b>University of Cape Town</b>	<b>University of Natal</b>
1983	772	682	325
1984	938	619	337
1985	961	612	327
No. of Academic Staff	± 950	±900	890
Unit/ Staff in 1985	1,01	0.68	0.37

Even though the data used to compile table 3.1 may have been subject to limitations, it is still obvious that the level of research publications between the above three universities differed considerably and the University of Natal had been due the smallest portion of the fixed sum available. Based on the numbers of individual staff members at the three universities, it was apparent that the University of Natal was potentially capable of attracting a far greater portion of the publication subsidy. Improvement was desired not only for the purpose of increasing the subsidy but also because the University wished to increase the scholarly recognition it was afforded by the other institutions. During the massive restructuring of the University in the 1990s student numbers increased and teaching loads became substantially heavier, impacting critically on the ability of academics to undertake research (Research Policy part 1). Rewards to staff and the establishment of new posts in faculties were allocated in recognition of excellence in teaching while research outputs may

not have been equivalently rewarded. The internal research system was rather inwardly focused, with research committees spending a great deal of their time and energy on equitable allocation of small amounts of funding.

### **3.10.1 Fellowship of the University of KwaZulu-Natal**

On an annual basis the University Council may, on the recommendation of the Fellowships Selection and Awards Committee, award approximately three Fellowships of the University of KwaZulu-Natal for distinguished academic achievement.

### **3.10.2 Vice Chancellors Award**

The Vice-Chancellors Award is awarded annually by the University Council on the recommendation of the Fellowships Selection and Awards Committee. The award is intended to recognise exceptional research and research related scholarly activities and to support an exceptional young staff member engaged in research and more general scholarly activity. The award takes the form of funding that covers the costs of such research and/or scholarly activities.

### **3.10.3 Annual Book Prize**

The purpose of the award is to bestow recognition upon outstanding contributions to scholarship and research in book form and to stimulate such publications by University personnel.

#### **3.10.4 Honorary Research Associate (HRA)**

The University Senate, or the Senate Executive Committee acting on behalf of the Senate, may, on the recommendation of the University Research Committee, confer the title of Honorary Research Associate on any member of the academic staff who has retired from the University's service and who wishes to continue or complete his or her research.

#### **3.10.5 History of the Changes to the Incentive Award for Publications Receiving Recognition**

An incentive award for publication is paid to researchers for the preceding years publications (n-1) in the current reporting year. Prior to 1989 researchers or Departments did not receive an incentive. Funds were allocated for conference travel and project based research. Researchers applied for project based research funding and conference attendance funding. The applications underwent a thorough screening process before the funds were allocated. This process continued for conference travel and project based research up to and including 2002 when it fell away and was replaced with the incentive driven research-funding policy in 2003. The incentive driven policy framework is shown in table 3.2.

In 1989 an award of R500 per SAPSE unit was awarded to departments as an incentive to motivate research productivity. In April of 1999 it was agreed that, in accordance with the New Research Policy (URC minutes 9 April 1999 p. 7/165) the awards to researchers would be increased as follows:

Articles in SAPSE journals	R3 500
Chapters in books and refereed conference proceedings	R1 000



This was intended as an incentive to motivate academics to produce more SAPSE accredited research. In 2001 the incentive award for publications was increased as follows: (URC minutes 28 November 2000 p. 8/21).

Article for SAPSE journals	R5 000
Articles for internally evaluated journals	R1 000
Chapters in books and refereed conference proceedings	R1 000

Senate, at its meeting of 20 November 2002, approved the allocation of Research Productivity Awards, within the framework of an incentive driven research funding policy, in accordance with the table 3.2.

**Table 3.2**

<b>PRODUCTIVITY AWARDS</b>	
<b>CATEGORY</b>	<b>NO. OF PRODUCTIVITY UNITS</b>
Refereed Conference Proceedings	4
Journal Editorial	8
Journal Article	15*
Chapter in Book	15
Edited Book	30
Creative Contribution (Local)	15
Creative Contribution (International)	50
Graduating Course Work + Research Masters Student (with $\geq$ 50% dissertation component NRF approved)	6
Graduating Full Dissertation Masters Student	12
Graduating Doctoral Student	60
Patent	80
Book (entire)	100

\* Article in SAPSE Journal:  $4 \times 15 = 60$  units

\* units x monetary value = Total Rand value (will vary each year depending on the University's Research Budget available) For the year 2002 and 2003 the monetary value was equivalent to R250 per unit.

Source: Research policy document part 2 Building sustainable scientific excellence and research productivity. Approved by Senate 12.08.02 (internet 6).

The approach in table 3.2 recognises the book as the pinnacle in the reward hierarchy with patents next. SAPSE units and doctoral graduating students make up the top 4 categories.

The units for graduating students are awarded to the supervisors. The incentive driven funding category applies to staff members who have already established a research profile. Promising researchers and those just beginning their careers, and in need of funds to establish themselves in research are not ignored. The Competitive Research category of University Research Funding was also introduced and is available to the following staff:

- New Staff members will be eligible within the first 2 years after joining the University.
- Staff members who are initiating research as part of their academic activities.
- Staff members already engaged in research but who have not as yet established a research profile that will allow them to access sufficient funds through the Productivity Awards arrangement.

### **3.11 Results**

The theoretical model in Figure 2.3 illustrates that reward and recognition are part of and dependent on other elements of the change agenda however in the final analysis there has to be results. For the purpose of this research the performance indicator will be the number of SAPSE units received from DoE for SAPSE accredited research. Apart from all the other benefits that accrue to the University with a reputation for excellence in research, SAPSE research output also generates income. A thorough screening process is in place for the evaluation of books, chapters in books and proceedings. This is to ensure that submissions to DoE meet the criteria for SAPSE.

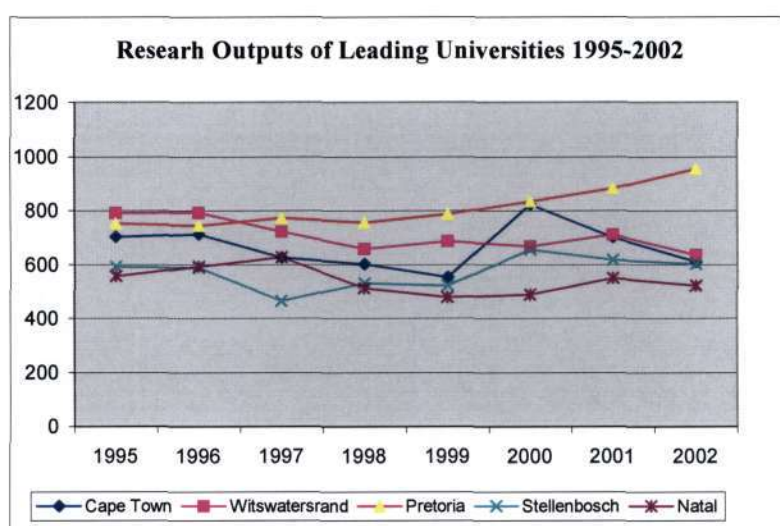
Table 3.3 and Figure 3.2 depict the trend of SAPSE output as measured by the DoE for the period of 1995 – 2002. This includes the measure for SAPSE units received from DoE for

SAPSE accredited Journal Articles, Books, Chapters in Books and Refereed Conference Proceedings.

**Table 3.3 Research Output of Leading 1995-2002**

University	1995	1996	1997	1998	1999	2000	2001	2002
Cape Town	702.3	711.02	623.86	601.07	552	820.91	699.68	607.87
Witswatersrand	788.8	791.13	720.61	656.02	685	666.19	709.52	632.89
Pretoria	749.9	742.6	770.72	754.68	784.4	832.75	882.21	954.18
Stellenbosch	589.2	585.55	462.27	528.82	520	653.89	616.62	601.75
Natal	555.3	590.64	625.4	510.82	478.66	487.01	547.58	519.30

**Figure 3.2 Research output of leading Universities 1995-2002**



The data in table 3.3 was extracted from information received from South African Universities Vice Chancellors Association (SAUVCA) {appendix 2: Source DoE}.

Higher Education institutes may only claim once for each subsidisable research output. Institutes must claim the outputs with a publication data of the preceding year (n-1) in the current reporting year. Late submissions for previous year (n-2) may be considered for evaluation. For the purposes of publication count it must be noted that DoE reflects the evaluated publication for year (n-2) in the year (n-2) statistics although it was reported for evaluation with year (n-1). Submissions for SAPSE evaluation are submitted to DoE in March and August of each year (n) for (n-1) claims. In March of 2004 the total late claim for 2002 was 19.92 for SAPSE accredited journal articles. It is estimated that there will be

more units claimed for late 2002 when claiming for the second round for 2003 publications which will be submitted to DoE at the end of August 2004. It is therefore projected that the statistics of 519.24 reflected in table 3.1 (Figure 3.2) will increase by no less than 19.92. DoE will only release the final updated statistics for year 2002 after all claims for evaluation have been submitted for late 2002 and 2003 accredited publications.

**Figure 3.3 University of Natal SAPSE Units / Academic Ratio**

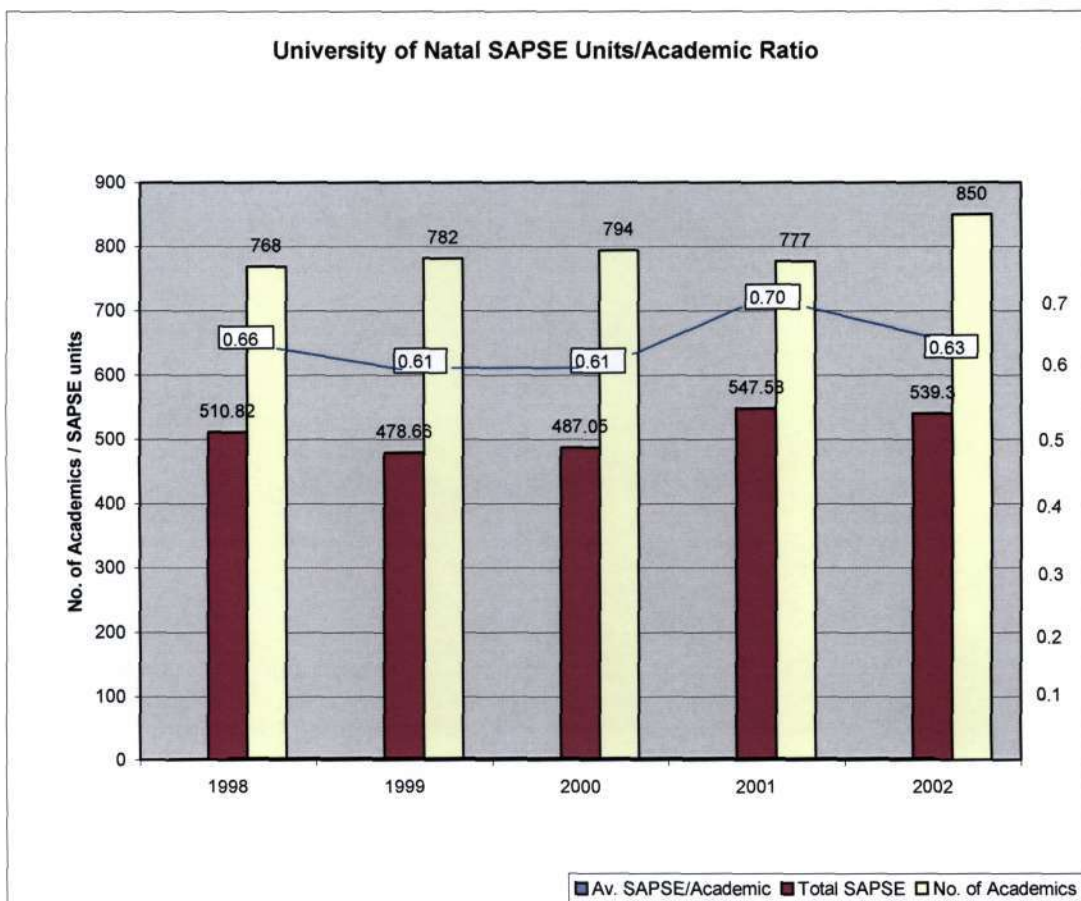


Figure 3.3 illustrates the Universities' total SAPSE as measured by DoE, total number of academics and the average SAPSE unit per academic. The academic statistics were obtained from the Human Resource section. The staff members represented, are full time

academics and all academics that are on contract for 2 years and more. Edgewood, Medical School, Pietermaritzburg and Howard College campus are represented. Figure 3.2 does not reflect the additional 19.2 units for late 2002 SAPSE accredited journal articles reported with the 2003 output.

### **3.12 Summary**

The case study has been discussed in the format of the recommended theoretical model in Figure 2.3. To understand where reward and recognition fit in the wider context, a framework that was constructed from the Burk and Litwin's (1992) work on organisational change has been adapted to help understand where the University is and what the elements in its operations may need to change to transform a shared vision. Chapter 4 will proceed to evaluate and discuss the facts of the case study against the requisites of the model and evaluate the results of the questionnaire.

## **CHAPTER FOUR: EVALUATION AND DISCUSSION**

### **4.1 Evaluation of the Case Study**

This section will evaluate and discuss the information pertaining to the case study in Chapter 3 against the theory and theoretical model in Figure 2.3, which illustrates that reward and recognition are part of and dependent on other elements of the change agenda.

#### **4.1.1 Strategic Objectives**

According to Miller 2002 demand for deep, sustainable change in organisations is being driven from all directions. Radical disruptions to competition, regulation, technology and customer expectations are creating an almost constant need for change. However, it is important to note that the goals of the organisation must not conflict with each other, the process of change must respond well to the environment, a competitive advantage must be achieved and the strategy must not provide unsolvable problems.

The new incentive for productivity awards was a bold strategy to inspire researchers to achieve the goal of getting more SAPSE accredited articles. This indicates that attempts have been made to specifically bring to reality that portion of the mission statement that exhorts the University to be “innovative in research” and play a part in the University’s overall vision and mission to be a leading research institution on the African Continent.

#### **4.1.2 Leadership**

The range of changes to the University Research Policy introduced in 2002 was an act of strategic leadership to encourage researchers to achieve the goals of getting more SAPSE accredited publications. Miller (2002) asserts that the most successful change leaders he has

ever seen in action are the ones who take change as a personal crusade or mission. Every effort was made to achieve the goal of getting more SAPSE accredited publications despite the obstacles. The DVC and the Director take very active roles in promoting and encouraging research. The recent action of the DVC to personally email researchers to find out why researchers were not capturing their research output on IRMA created an awareness of the new system and encouraged researchers to ensure that their research was submitted to the Research Office. This indicates that a personal interest is taken to encourage researchers to be productive.

#### **4.1.3 Values and Cultures**

Recognition is one of the most effective ways to reinforce an organisation's culture, support its objectives and retain top performance.

The new productivity award scheme recognises top researchers. In the January 2004 Newsletter of the Research Office of The University of KwaZulu-Natal, Professor Pat Berjak, an A-rated scientist in the Howard College, School of Life and environment Sciences, said "There is a really positive attitude to research. One can sense the support and optimism for research".

The Competitive Grant offered to new researchers is an incentive that encourages "young" researchers to develop themselves. In developing the young researchers the University is creating an environment for the next generation.



Although the University has incentives in place to retain top performers, these are undermined to a certain extent by its equity and retirement policies. It is understood that certain requirements are dictated by legislation however it is up to the University to ensure that it is sufficiently innovative in its recruitment and retention policies to prevent it from suffering a “brain drain” (by losing its top researchers to other countries). Part of this drive to retain key staff members must be to ensure that the morale of researchers is not jeopardised.

#### **4.1.4 Work Processes and Business Systems**

The budgeting system at KwaZulu-Natal is good in that the productivity award to researchers is paid to their cost centre within a reasonable time frame. Researchers have direct access to these funds for research related activities and conference attendance.

Dr Sandile Malinga, of the School Physics said “As a scientist who had just started my professional career, I have received tremendous support. The effort made by the University on the development of new researchers is encouraging and most appreciated” (Research Office Newsletter, January 2004). This remark confirms that the introduction of the Competitive Grant category to new researchers is considered a good system.

#### **4.1.5 Organisation, Team and Job Design**

The new incentive for productivity awards must not be the only motivating factor for researchers to be productive. It is good to have these incentives but it is also important to consider the other factors that motivate researchers.

Figure 3.1 in Chapter 3 shows the operational structure of the Research Office. Every attempt is made to ensure that the Research Office is adequately staffed to provide adequate and effective service to researchers. In Figure 2.2, which illustrates “the main things that employees want from their work”, one of the indicators for work / life balance is a supportive environment however, this body of research did not focus its investigations on whether the Research Office support staff members are adequately supporting all the researchers. To this end the Research Office needs to obtain feedback from researchers to assess their perceptions regarding the support they receive from the Research Office.

#### **4.1.6 Individual and Team Competence**

Throughout this research emphasis has been placed on the fact that the best way to have a vibrant culture is to appoint the right people in the first place. Once this is done obstacles placed in their way should be minimised. In the case study it was highlighted that a promising researcher, appointed to lectureship after completing a PhD, has his/her research career brought to a halt by the every-day demands of lecture preparation and student supervision. Research is part of the total academic endeavour, and the University must ensure that a balance is achieved between research, teaching, and the application of knowledge. The university must find ways for each individual to contribute in the way that best suits his/her talents and interests and must find ways of rewarding endeavours that exceed the general expectations.

#### **4.1.7 Management Processes and Systems**

The university provides leadership and support for the academic community to realise the University’s research mission and attain its goals. The University facilitates the training and

professional development of the next generation of researchers and scholars by hosting capacity building workshops. The Faculty Research Committee plays a major role in building research by doing the following:

- Assisting in drawing to the attention of industry and commerce, information on the research activities of the faculty.
- Assisting in attracting talented postgraduate students and postdoctoral candidates from other universities, both within South Africa and beyond, to pursue research work at the University.
- Hosting an annual Research Day for staff and postgraduate students to showcase their findings.
- Stimulating and encouraging researchers to organise national and international workshops/specialist conferences at this University in areas of particular expertise.

However when one looks at the weaknesses highlighted in Chapter 3 one needs to take cognisance of the fact that there has been a loss of active researchers approaching the age of 60 and beyond because of the retirement policy. Although processes are in place to encourage the future generation, research productivity will decline if the University loses active researchers.

#### **4.1.8 Reward and Recognition**

Over the years the University has actively engaged in creating incentives to increase research productivity. The new productivity award scheme covers a broad category. Prior to 2002 supervisors of Masters and Doctorate students who have graduated were not given any incentive for supervision. Supervisors will now be more motivated to encourage

students to work towards completing and publishing their research in SAPSE accredited journals.

#### **4.1.9 Results**

Viewing results in terms of building value-added contributions by all who have an interest in the organisation's success is important. It is also important to have an organisational climate that supports the desired results. For the purpose of this research the performance indicator is the number of SAPSE units received from the DoE. The efficient and effective screening process for SAPSE accredited publications before they are submitted to DoE is a good way of ensuring the DoE criteria is met. The University is very fortunate in that its Director of Research is also a member of the DoE panel of experts that evaluates SAPSE publication submitted by universities.

The regular reports on SAPSE output disclosed to faculties and Senate are also a useful in that Faculty Research Committees can use them to recognise unproductive researchers and take action to assist these researchers in overcoming the problems that are preventing them from producing research

The introduction of IRMA is also good, in that it enables researchers to determine exactly what they are awarded, and for what research. In casual conversation with a few researchers they applauded the system and said that there is now far greater transparency as compared to the past. However concerns were raised regarding the fact that researchers were too busy to be spending their time capturing information on IRMA while they could utilise their time being actively engaged in research related activities.

Table 3.3 shows an upward trend in 2001. Cognisance must be taken of the fact that the incentive award for publication was increased 2001 and the new “Productivity Awards”, within the framework of an incentive driven funding policy, were implemented in 2002.

As the SAPSE measure is such an important aspect of the Research Office there should be a dedicated team that ensures that all alternatives are explored in ensuring that SAPSE accredited journal articles are submitted to DoE and this should not just be the sole responsibility of the researcher. This has proved to be an effective method for other universities such as Cape Town. The Publications Counts Manager of the University of Cape Town ensures that her team are actively engaged in ensuring that all available resources are exhausted to ensure published accredited articles are obtained from the library or accessed from the web, should academics not be able to supply the necessary information (Kom-Mahlulo. S., Private conversation 28/06/04).

#### **4.2 Summary of Case Study**

No single method, strategy or tool fits all problems or situations that arise. In situations where one is trying to achieve change, there is no straightforward solution. Implementing change is a particular focus of a group of models, which all suggests different methods of effecting change.

#### **4.3 Results of Questionnaires**

The second section will present a summary of the results obtained from the questionnaire. The questionnaires were emailed to the chairperson or a member of each Faculty Research Committee. The University comprises of 10 Faculties. The response rate from the

questionnaires was 80%, in that eight out of ten questionnaires were returned and analysed. The results of which are portrayed below.

**Figure 4.1**

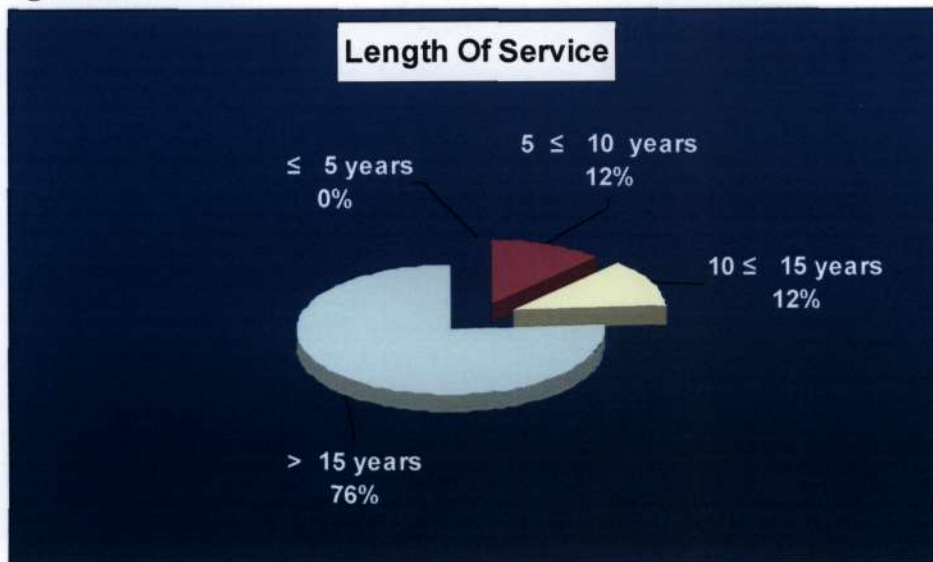
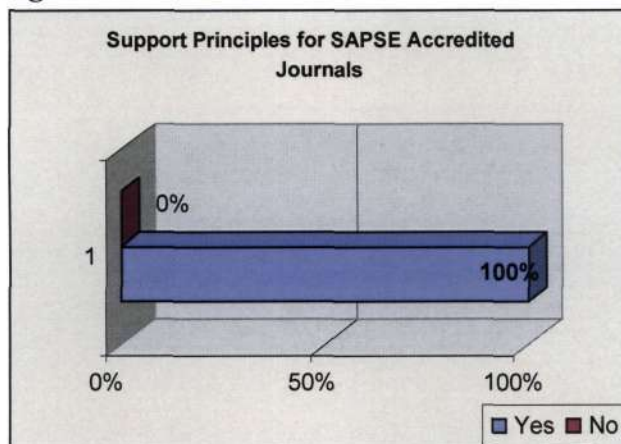


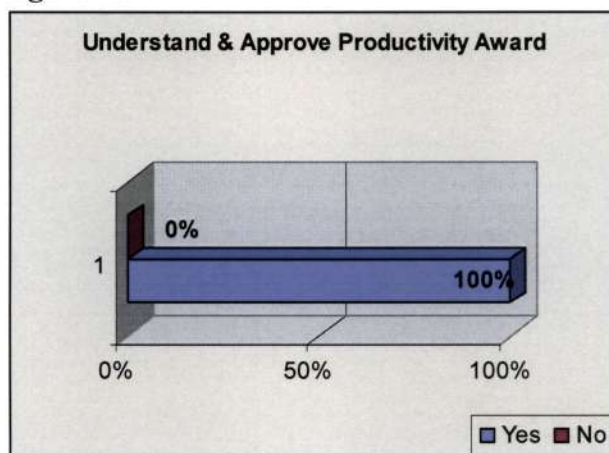
Figure 4.1 shows length of service of respondents. All respondents have been with the University for more than 5 years and this indicates that they are familiar with the old and the new incentives for researchers.

**Figure 4.2**



As can be seen from Figure 4.2, 100% of respondents (n = 8) indicated that they support the principles of SAPSE accreditation of publications.

**Figure 4.3**



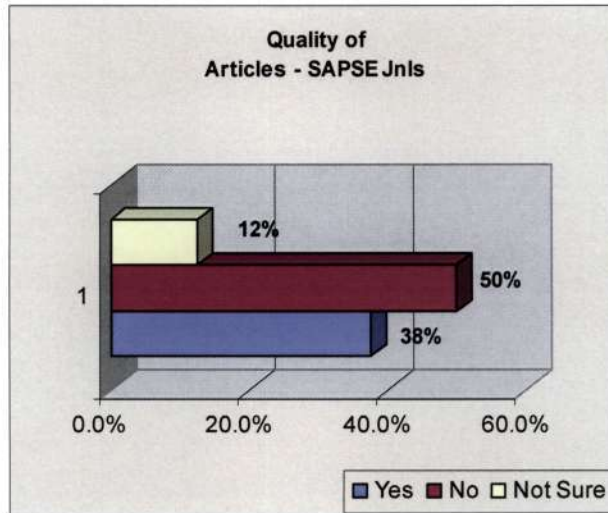
Question 2 focused on the understanding and approval of the productivity awards category and the scale as applied by UKZN. As indicated by Figure 4.3, all respondents see it as fairly simple and beneficial to the researcher. The idea of earning awards appeals to them.

**Question 3 asked the respondents: ‘Do you prefer the previous system where academics applied to the University’s Research Funds for research and conference grants or do you prefer the productivity award research incentive system? Please give reasons for your answer either way’.** All respondents indicated that they preferred the productivity awards research incentive system

**Quote 1** “I think the new system is better, incentivizes people who are productive. In the old system the productive person was penalized”

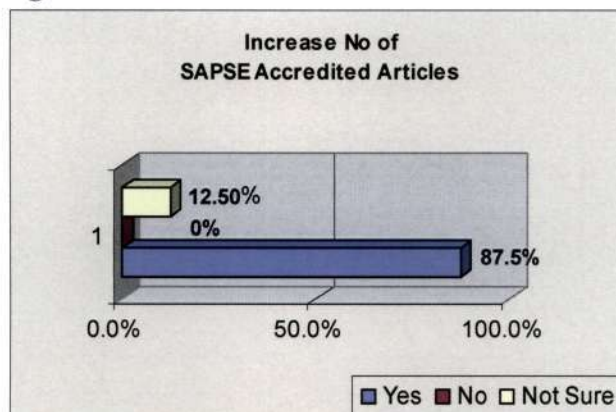
**Quote 2** “I prefer the productivity award system. It enables persons to earn their awards, i.e. to be rewarded for achievements”.

**Figure 4.4**



Question 4 asked respondents whether the new productivity award research funding system will affect the quality of articles submitted to SAPSE accredited journals (Figure 4.4). The question failed to ask, if they believed it would affect the quality, whether this would be for the better or not. Thus, whilst 50% of the respondents indicated that they believe that it will affect the quality, it is not possible to detect whether they believe the effect will be positive or negative.

**Figure 4.5**

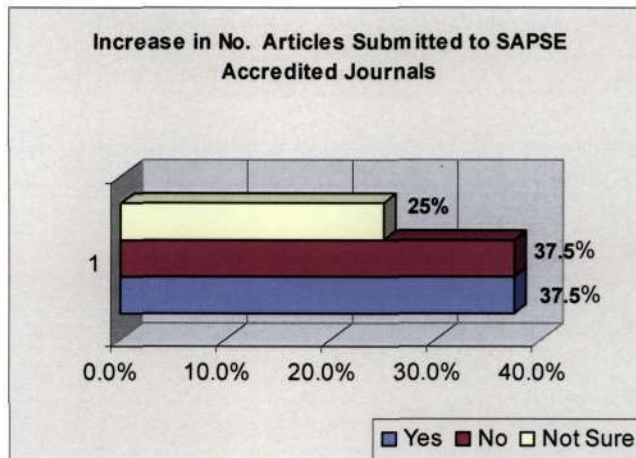


Question 5 focused on whether the new incentive for productivity awards will result in an increase in the number of SAPSE accredited journal articles. Eighty-seven and a half



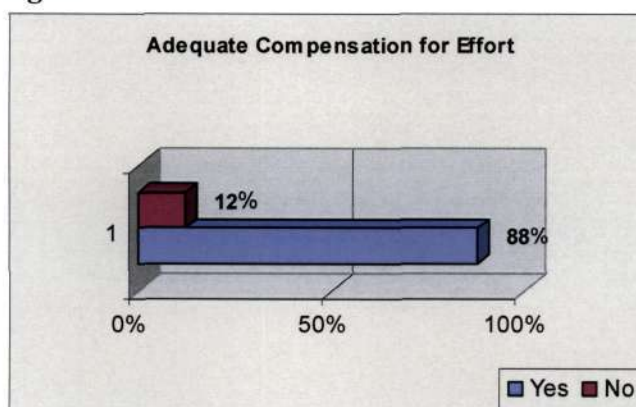
percent of respondents indicated that there will be an increase in the number of SAPSE accredited journal articles (illustrated in Figure 4.5).

**Figure 4.6**



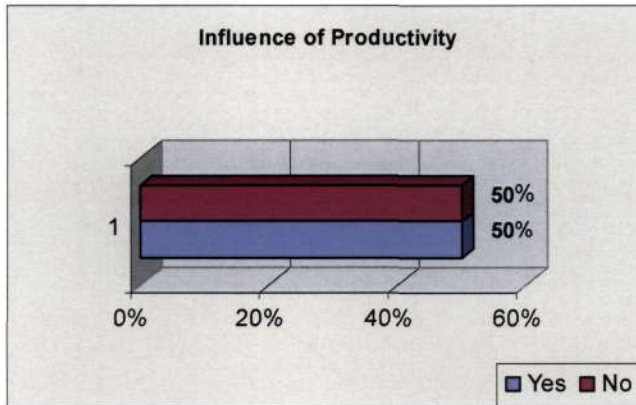
In Figure 4.6, 25% of the respondents indicated that they were not sure whether there would be an increase in the number of articles submitted to SAPSE accredited journals as the current statistics were not available for comparison. Thirty-seven and a half percent whose response was “no”, indicated that no statistics were available for comparison.

**Figure 4.7**



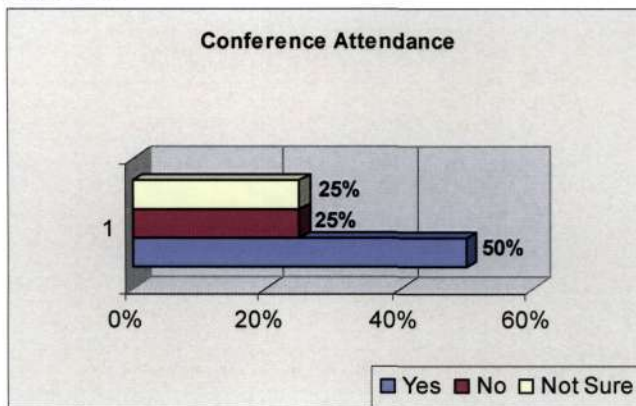
The negative response to question 7 was that there would be a conflict in terms of authorship because not all authors contribute equally to the research (Figure 4.7).

**Figure 4.8**



Question 8 focused on whether the new incentive for productivity award influenced respondents own productivity. Those respondents (50%) who have given a “no” response indicated that their output has been consistent and incentives will not influence their productivity (Figure 4.8).

**Figure 4.9**



Question 9 focused on whether the shift from the University conference-funding scheme to the self funded conference attendance initiative, influences conference attendance. Those respondents (25%) who have given a “no” response indicated that funds were available within faculties to cater for those who qualified for conference attendance. Those

respondents who gave a “yes” (50%) indicated that with the new system researchers were now able to decide how they wished to spend their funds (Figure 4.9).

#### **Question 10**

**This question asked respondents: ‘How did the shift from the project funding to the self-funding initiative affect the research output in your faculty?’**

The majority of the respondents indicated that they were not able to respond as insufficient statistics were available and the time frame was too short for observable results. One respondent noted that he “Would like to see top figures for the last two years”.

**Question 11** asked: **‘How do you think that the new productivity award will influence authorship of SAPSE accredited articles in future?’** Four respondents indicated that the productivity award will influence authorship of SAPSE accredited articles in future. One respondent indicated his opinion as follows: “Researchers will be inclined not to list all participants as authors, and will be more inclined to include the names of contributors under acknowledgements instead of listing them as authors. From the answers received it is apparent that four respondents misinterpreted the question, and thus their responses have not been included.

#### **4.4 Summary**

Data collected from the questionnaire indicate that all respondents understand and approve of the productivity awards category and the scale as applied by the University. They prefer the new incentive system as they see it to be more beneficial to the researcher and the idea of earning awards appeals to them. The new incentive award system will motivate researchers to increase productivity.

## **CHAPTER FIVE: CONCLUSIONS AND RECOMMENDATIONS**

### **5.1 Introduction**

Strategic thinkers need to understand the evolutionary nature of an organisation in order to probe where the organisation needs to move to secure its future. This study has indicated the critical questions to be answered, as well as the objectives of the study. A theoretical model was recommended highlighting seven key elements or levers for successful change and how they are dependent on each other. The case study was undertaken in order to understand the strategic changes initiated at the University and the study outlined the various incentives awarded to researchers to increase productivity. The nature of the research was essentially descriptive. The questionnaire helped draw conclusions as to whether the new incentive for productivity awards will in fact achieve the goals of increasing the productivity of researchers.

### **5.2 Conclusions**

The ability to lead change in an organisation is going to gain more importance in the coming years. The main reason is that the speed with which technology and the environment is changing dictates that organisations need to change at an even faster pace just to keep up.

*'I come from the world that no longer exists'* – this quote, and the fact that the name of its author is already forgotten, captures in a nutshell what the modern world is faced with. The ability to lead effective change is becoming a source of competitive advantage to organisations. This is because implementing a strategy is a change management process and any organisation that is unable to execute strategy effectively will be out in the cold in no

time. The efficiency through which change is led in organisations is to a large extent also determined by the approach that is adopted by the organisation.

According to the results of this research the strategic changes implemented by the Research Office are perceived to have had a positive impact on researchers and it thus appears that the University has the potential of increasing its SAPSE research output. Respondents were not able to comment on whether the new incentive for productivity award has actually resulted in an increase in the number of SAPSE accredited articles as the 2003 statistics were not available for comparison. Although there were limitations regarding statistics for 2003 and the late 2002 SAPSE outputs, this research affirmed that researchers are motivated by incentive awards and the new incentive for productivity award will thus increase productivity as it is seen as beneficial to the researcher. The theoretical model recommended at the end of Chapter 2 made clear the reality that reward and recognition are part of and dependent on other elements of the change agenda. The evaluation of the case study against the theoretical model assisted in identifying areas within the Research Office that may need attention in order to create an environment within the University that is even more conducive to the increasing research productivity.

Much of the literature has looked at strategic change in a generic business sense and assumes that the same principles will be applicable to a situation of higher education. The assumption might indeed be true, but there is also contention that there are differences in situations in the business sector and situations of higher education, however this should be viewed in the light of Kotter's assertion that one can successfully extrapolate knowledge gained in a purely business environment to a situation of higher education.

When exploring new strategies one should be careful not to pursue a “one size fits all” policy. Although the results indicate that the new incentive driven research funding policy will increase productivity, cognisance is taken of Professor Walker’s comments as follows: “One cannot make the assumption that research by each individual will simply happen. The difficulty arises when the academic is faced with the realities of general academic life in the University”. Recommendations are therefore given on the bases of the recommended theoretical model that reward and recognition are part of and dependent upon other elements of the change agenda.

### **5.3 Recommendations**

#### **Values and Cultures**

Although the University has incentives in place to retain top performers and processes are in place to encourage the future generation, research productivity will decline if the University loses active researchers reaching the age of 60. The University needs to revisit its retirement policy.

#### **Organisation Team and Job Design**

It would be useful to obtain feedback from the researchers regarding the service and support provided to researchers by the administrative support staff of the Research Office. Areas where weaknesses are perceived to exist could be identified and addressed to ensure that the Research Office be adequately staffed both in number and at suitable competency levels, to effectively control the administrative functions.

### **Individual and Team Competence**

The conflicting pressures on researchers by the various arms of the University need to be addressed. The University must look at ways of addressing the pressure of the teaching load so that there is sufficient time to undertake research. Researchers who have a high teaching load should not be penalised because time constraints do not permit them to undertake research. The University needs to find ways of ensuring that a balance is achieved between research and teaching. .

### **Results**

SAPSE output is dependent on the number of SAPSE accredited research publications received by researchers. It is therefore important that Chairpersons of each Faculty Research Committee provide adequate support and encouragement to researchers in the area of research.

Currently the Research Office submits new journals to the DoE for SAPSE evaluation on an annual basis. These should rather be submitted as and when a researcher requests SAPSE accreditation for a journal. As SAPSE units are not granted retrospectively, a delay in accreditation can result in SAPSE units not being granted for publications.

### **5.4 Recommendations for Future Research**

The findings of this study identify the need to consider looking at SAPSE output for 2003. It is recommended that a similar study that includes all researchers from the University be included in the study.

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**Dear Respondent**

Dear respondent

I am conducting a survey in an attempt to assess the impact that the new 'incentive for research productivity awards' has had on the level of output of academics with respect to SAPSE publications. This research is undertaken as a requirement for a Masters degree at the University of KwaZulu-Natal. My research topic is "Exploring the Effect of Strategic Change on The Research Incentive Reward System,". I would greatly appreciate it if you, as a **representative of your faculty**, would take a few minutes to consider how the changes have impacted on the academics in your faculty and then complete this questionnaire. Your responses, whether they are returned to me by email or in hard copy, **will remain completely Confidential and remain anonymous.**

**Guidelines:** For the closed-ended questions please place an 'x' in the applicable block. For the open-ended questions kindly provide a written response. There are two options for returning the completed questionnaire: it can either be saved and sent back to me as an attachment to an email, or printed and returned via internal mail in an envelope addressed as indicated below and marked 'Private and Confidential'.

Patricia Jacob  
Senior Administrative Officer  
Research Office  
Francis Stock Building (Howard College Campus)  
031 2603326 // 0315640652 /0824399826

**SECTION A**

**Faculty:**

**Length of Service with UKZN:**

≤5 yrs		>5-10 yrs		>10-15yrs		>15 yrs	
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How long have you been the Chairperson / Member of the Faculty Research Committee?

≤5 yrs		>5-10 yrs		>10-15yrs		>15 yrs	
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**SECTION B**

1. Do you support the principals of SAPSE accreditation of publications?

Yes	
No	

Please give reasons for your answer either way.

2. Do you understand and approve of the productivity awards categories and the scale as applied by UKZN?

Yes	
No	

Please give detailed reasons for your answer either way.

3. Do you prefer the previous system where academics applied to the University's Research Funds for research and conference grants or do you prefer the productivity award research incentive system?

Please give reasons for your answer either way.

4. Do you think that the new productivity award research funding system will affect the quality of articles submitted to SAPSE accredited journals?

Yes	
No	

Give reasons for your answer.

5. Do you think the new incentive for productivity awards will result in an increase in the number of SAPSE accredited journal articles?

Yes	
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No	
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Give reasons for your answer either way.

6. Within your faculty have you noticed whether the new incentive for productivity award has resulted in an increase in the number of articles submitted for publication in SAPSE accredited journals?

Yes	
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No	
----	--

Give reasons for your answer either way.

7. Do you believe that the new productivity award scale adequately compensates one for the effort required to produce articles for publication in a SAPSE accredited journal?

Yes	
-----	--

No	
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Please support your answer.

8. Has the new incentive for productivity award influenced you to increase your productivity as a researcher?

Yes	
-----	--

No	
----	--

Please give reasons.

9. Has the shift from the University conference funding scheme to the self funded conference attendance initiative influence conference attendance in your faculty?

Yes	
-----	--

No	
----	--

In what way did it have an influence?

10. How did the shift from the project funding to the self funding initiative affect the research output in your faculty?

11. How do you think that the new productivity award will influence authorship of SAPSE accredited articles in future?

## RESEARCH OUTPUTS OF UNIVERSITIES: 1988 - 2002

UNIVERSITIES	1988	1989	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001	2002
CAPE TOWN	882,22	758,14	797,25	830,48	831,48	774,25	793,86	702,32	711,02	623,86	601,07	552	820,91	699,68	607,87
DURBAN - WESTVILLE	66,18	75,23	79,74	100,34	107,37	89,88	126,15	126,67	132,37	126,01	124,47	120	120,3	113,36	119,85
FORT HARE	27,51	32,30	42,60	21,76	28,61	32,61	29,37	22,42	31,78	47,89	36,54	34,4	46,15	0,00	25,39
FREE STATE	295,67	253,09	300,43	315,07	300,57	330,52	321,89	298,15	290,11	264,88	265,80	276	331,18	299,42	345,93
MEDUNSA	42,60	35,20	26,50	53,26	29,39	36,30	37,61	52,26	46,35	48,38	38,33	36	45,22	31,08	37,48
NATAL	468,32	500,67	479,34	521,16	476,74	514,12	552,58	555,33	590,64	625,40	510,82	478,66	487,01	547,58	519,3
THE NORTH	27,88	29,44	41,76	34,18	31,01	42,89	49,99	71,56	44,89	64,58	84,52	84,5	82,27	98,38	72,5
NORTH WEST	-	-	-	-	-	-	40,111	51,081	62,761	14,56	8,91	19,97	6,33	6,33	4,16
PORT ELIZABETH	125,51	97,58	81,83	107,80	107,03	70,74	90,68	82,37	101,63	104,89	99,54	96	106,37	131,61	97,74
P U FOR CHE	227,48	200,18	241,98	199,46	230,58	193,10	191,29	171,41	183,25	159,26	155,61	173	202,18	186,69	209,98
PRETORIA	657,50	710,39	767,23	706,34	746,73	752,77	706,25	749,92	742,60	770,72	754,68	769,4	832,75	882,21	954,18
RAU	230,64	285,58	282,74	270,36	363,73	348,89	306,06	316,40	333,68	330,86	306,94	259	291,46	310,95	267,46
RHODES	157,89	162,90	173,84	170,58	160,24	156,49	157,10	174,56	182,12	183,18	211,74	208,2	233,25	210,16	206,64
STELLENBOSCH	455,03	460,80	458,36	465,39	487,42	481,91	616,90	589,20	585,55	462,27	528,82	520	653,89	616,62	601,75
TRANSKEI	-	-	-	-	-	-	-	40,91	60,92	74,73	80,95	5	16,16	15,17	10,9
UNISA	266,56	264,98	333,01	365,83	394,59	426,14	408,46	406,57	422,85	379,99	315,76	334	307,6	341,43	373,17
VENDA	-	-	-	-	-	-	-	0,00	0,00	0,00	0,00	0	1,1167	11,43	13,96
VISTA	22,50	38,24	34,33	47,03	59,43	59,45	59,12	48,97	37,00	38,88	58,93	60,3	67,35	51,42	58,76
WESTERN CAPE	45,82	65,06	46,53	66,13	82,00	128,92	126,87	144,21	146,55	136,79	133,77	133	103,27	157,98	113,59
WITWATERSRAND	1 026,48	934,61	1 003,72	819,75	860,62	768,78	867,57	788,79	791,13	720,61	656,02	685	666,19	709,52	632,89
ZULULAND	28,04	30,98	19,91	31,51	39,67	36,18	48,78	45,07	50,64	58,98	55,88	46,1	74,65	43,37	58,15
<b>TOTAL</b>	<b>5 053,83</b>	<b>4 935,37</b>	<b>5 211,10</b>	<b>5 126,43</b>	<b>5 337,21</b>	<b>5 243,94</b>	<b>5 530,64</b>	<b>5 438,17</b>	<b>5 547,84</b>	<b>5 236,72</b>	<b>5 029,50</b>	<b>4897,9</b>	<b>5 495,61</b>	<b>5 464,39</b>	<b>5 331,65</b>

Source: Dept of Education (figures released to SAUVCA)



RESEARCH OUTPUT FOR TECHNIKONS: 1998 - 2002

TECHNIKONS	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001	2002
BORDER	-	-	-	0,00	0,00	0,00	0,13	0,00	0,4	3	1,00	2,00
CAPE	6,24	4,99	24,81	19,78	14,91	29,39	17,78	17,18	12	10,62	12,61	10,73
EASTERN CAPE	-	-	-	-	0,00	0,00	0,00	0,23	0	0,04	1,00	0,00
FREE STATE	1,28	1,83	2,58	9,34	7,22	17,52	8,32	14,68	11	12,62	8,49	19,54
MANGOSUTHU	1,00	2,50	0,00	0,00	0,23	0,00	1,00	0,00	1	0	1,00	1,35
M L SULTAN	0,08	1,50	0,50	1,00	0,00	0,06	2,80	5,06	7	5,59	0,00	0,00
NATAL	0,00	0,00	5,88	8,54	7,21	14,72	9,13	17,90	20,3	26,35	0,00	0,00
DIT											40,72	22,4
NORTHERN GAUTENG	2,00	0,00	0,00	0,00	0,00	2,00	4,00	3,00	3	3	6,00	1,00
NORTH-WEST	-	-	-	-	0,00	5,00	3,00	2,00	2,3	2	1,00	4,75
PENINSULA	3,21	3,53	2,50	1,50	2,50	3,25	1,50	8,65	9	5,5	7,30	3,60
PORT ELIZABETH	3,13	7,06	2,48	10,50	6,92	14,38	8,36	17,99	30	18,53	22,54	28,64
PRETORIA	6,58	9,27	9,88	8,56	16,80	11,08	20,62	17,06	22	47,01	40,65	69,83
TECHNIKON SA	0,00	0,00	2,00	3,66	4,83	13,00	9,71	10,55	14	9,33	13,44	10,66
VAAI TRIANGLE	0,00	0,00	4,53	4,47	0,00	1,50	1,50	3,00	6	10,78	8,94	16,22
WITWATERSRAND	0,00	1,50	0,00	1,00	1,00	2,17	4,83	15,17	5,69	9,14	7,40	12,58
<b>TOTAL</b>	<b>23,52</b>	<b>32,18</b>	<b>55,16</b>	<b>68,35</b>	<b>61,62</b>	<b>114,07</b>	<b>92,68</b>	<b>132,47</b>	<b>174</b>	<b>163,51</b>	<b>172,09</b>	<b>203,30</b>

Source: Dept of Education (figures released to SAUVCA)