UNIVERSITY OF KWAZULU-NATAL

TRANSFORMATION IN THE WORKPLACE. WHAT MAKES FOR SUSTAINABLE SOLUTIONS?

By
Anasuyah Pather
871871770

A dissertation submitted in partial fulfillment of the requirements for the degree of
Master in Commerce

Leadership Centre
Faculty of Management Studies

Supervisor: Professor Rob Taylor

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MS. A PATHER (871871770)
GRADUATE SCHOOL OF BUSINESS

Dear Ms. Pather

ETHICAL CLEARANCE APPROVAL NUMBER: HSS/0340/09M

I wish to confirm that ethical clearance has been granted for the following project:

"Transformation in the Workplace. What makes for Sustainable Solutions"

PLEASE NOTE: Research data should be securely stored in the school/department for a period of 5 years

Yours faithfully

Ms. Phumelele Ximba
Administrator
Humanities & Social Sciences Ethics Committee

cc. Supervisor (Prof. R Taylor)
cc. Mrs. C Haddon
Dear Sir,

RE: PERMISSION TO UNDERTAKE RESEARCH

This serves to confirm that Ms Anasuyah Pather (Student no. 871871770) was granted permission to pursue a specialized certificate course in Project Management while she was employed as a Planning Control Assistant with the Development Control Branch, from 2000.

She subsequently requested and was granted Assisted Education (a Municipal employees education grant) to continue with her studies until the completion of her Masters of Commerce (Project Management and Leadership) through the Leadership Centre.

There were no objections to Anasuyah conducting her research within the Department; this letter serves as confirmation thereof. This letter further grants Anasuyah retrospective and current permission to do so.

Kind Regards

Lihle Phewa
Deputy Head
Development Planning Department

"We care, we belong, we serve"


Abstract

This research is an experiential learning history of a change management process that occurred within the local government Development Management Department of the Ethekwini Municipality in the South African province of KwaZulu Natal. The department is the gatekeeper of development for Ethekwini and offers the plans approval service in the municipal area. The department underwent an internal change management process in 2000, which aimed to streamline the plans approval process and minimize the approval timeframe. The Municipality’s decision to change the existing system was motivated by the lack of foreign direct investment into the city due to the bureaucratic plans approval process.

This research used the qualitative framework and case study approach to understand the context of the requirement for the change, the implemented changes and the aftermath of the changes. A sample group of 38% (from the department) was interviewed, their responses consolidated, grouped and graphically represented, enabling the unpacking of the change management experience. The author then analyses the data against systems theory and change management theory to enable a greater appreciation of the complexity of the process and the high impacts of specific choices in the change management process.

The findings of the research indicate a high degree of unresolved stress relating to the imposition of the process of change management on employees. The author draws the conclusion from the evidence presented that the inclusion of the recipients of change, in the process of change will mitigate against these stresses.

This research documents the experience of the change management process by the recipients of change. In so doing it offers a greater level of insight of the way in which change is experienced, thereby promoting better choices by practitioners in the field of change management.
Dedication:

To my beautiful boys

Who make all things possible

My parents who inspire and encourage
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Chapter One

Introduction & Research Structure

1.1 Introduction

This chapter presents the backdrop and motivation for this study. It also presents the objectives and the focal points of the study. The context of the study is detailed and some of the limitations of this study are also highlighted.

1.2 Background and Motivation

In 1994, after the first democratic elections, the newly elected government of the Republic of South Africa set a course for governance based on the principles of non racism, non sexism and equality for all (The Freedom Charter; Adopted at the Congress of the People, Kliptown, on 26 June 1955). This effectively changed the face of the South African society from one entrenched in the apartheid system that governed the country for decades to a constitutional democracy. Thirteen years later this process of change is still being felt in all sectors of our society.

Within this context of South Africa’s societal changes, lies the complexity of organisational change. Organisations in South Africa, as in most democratic countries, are shaped by the country’s constitution. This is also enabled through the implementation of the Government’s labour and trade policies. These policies are given strategic direction through a country’s industrial and business sector support (Economic Development Strategy, Economic Development Unit, Ethekwini, 2007). The emergent network of rules and regulations underpins the complex web of relationships and interactions acting in common purpose through the activities of an organisation, commonly referred to as “work”.

Organisations are a social construct that speak to the understanding of “the process of work” (Felkins, Chakins & Chakins, 1993). Manuel Castells in the
Rise of the Network Society (1996) describes work as that which “is at the core of social structure”. The Classical view is that “organisations are a structure of relationships, power, objectives, roles, activities, communications and other factors that exist when persons work together with a common objective” (University of Washington, 2008). Ford & Ford, (1995:3) describe an organisation as a context of human social interactions, which constitute and are constituted by, communication.

Micklethwait, (1999) added to the discourse on change in organisations by emphasizing the constancy of change as a phenomenon. This argument is strengthened by Stoner, Freeman & Gilbert’s (1995:412) assertion that organisations must be able to respond to the new challenges, products and ideas from the marketplace. It is therefore a commonly held belief among all social and organisational scientists and thinkers that an organisation must change in order to be responsive to the requirements of its environment (Brown and Duguid, 2001).

According to Lichtman (2005), scientific management and neoclassical human relations, together offer a complete picture of organizational functioning. Lichtman (2005) purports that motivation, perceptions, as well as attitudes that employees have towards their jobs, are extremely significant and may only be ignored at management’s peril. Sharma, Gupta & Wickramasinghe, (2005: 261) observe that it has been extensively expressed that knowledge creation and continuous learning must happen at different levels starting from the individual, to groups or teams, to the organisation itself. This they propose as the singular foundation of competitive advantage which is sustainable. Employees are the key resource that translates into that competitive advantage of any firm, and should be valued as intellectual capital (Guthrie & Petty, 2000).

“Change” is a notion that Kanther, Stein and Jick (1992:9) refer to “as the consequence of the inherent potential for development associated with every entity”. However organizational change is recognised as a deliberate and intentional process.

Enacting this intentional change within an organization is a matter of “deliberately bringing into existence, through communication, a new reality or
set of social structures” (Ford & Ford, 1995:3), which will determine a new course. The key players within this process will then perceive this new *modus operandi* and redefine and reorient their relationship with the organisation itself.

Critical to this process is the creation of conditions that facilitate and assist that reorientation. In effect this speaks of the active process of managing change, referred to as ‘change management’, making changes in a controlled or systematic way (Nickols, 2004:1), within the discipline of organizational sciences.

1.3 **Focus of Study**

The focus of this research is to ascertain how staff within an Ethekwini Municipality Council department experienced a change management process: what were the emergent themes over time of their experience and how do these themes measure against the theories of change management and systemic thinking.

1.4 **Purpose Statement**

This study will explore the experiences of staff within a local governmental department who were part of a *workplace transformation process*.

Transformation comes from Latin, *transformare* which means to “change the nature, function or condition of, to convert” (Hacker & Roberts, 2004:1). In effect transformation refers to the movement from a specific context to a changed context. In an organisational context, transformation occurs when changes are implemented to change the nature or function of systems or sub-systems that make up the organisation (Hacker & Roberts, 2004).

Within the Ethekwini region, this change management process sought to streamline operations and service delivery to enable a more efficient service to customers and in turn increase investment (Best Practise City Commission Report, 1999). The study looks critically at the “new system” as ushered in by the change management effort with respect to perceptions of successes and failings.
1.5 Method of this Study

The method of this study is qualitative, as this offers an internal view and addresses the *why* (author’s italics) of an issue (Law & McLeod, 2004), thus lending itself to a learning history. This study seeks to document the impact of a change management process on the recipients of change in the workplace.

The researcher will use the Case Study approach which according to Laws & McLeod (2002) is highly conducive to a qualitative inquiry format.

The case study approach to research according to Laws & McLeod (2002:4), allows one to gain a comprehensive appreciation of the situation and significance for those involved. Merriam (1988:8) indicates that the strength of the case study approach “is its ability to deal with a full variety of evidence, including documents, artefacts, interviews and observations”.

1.6 Objectives of this Study

This study is aimed at establishing whether there can be any lasting, and sustainable outcomes from a change management process conducted within an organisation. This is driven by two features of the study:

i) the researcher as the participant observer and

ii) the study being explored over a period of time.

One of the most essential elements in case study according to Denzin & Lincoln (2002:444) is the recognition of the actual case, therefore identifying the “bounded system”. This would identify it's internal and external features, defines and enables an understanding of the context to gain insight into the experiences of those involved (Merriam, 1988).

Thus, using the case study approach will enable this researcher as a participant observer, to learn, extract and evaluate the issues as experienced by the
recipients of the change process. These can then be measured against change management theory.

While the end result of conducting a study using a case study is sometimes the case itself (Stake, 1995), the case can, and is frequently used to examine a wider phenomenon. This case study will further allow the author to investigate what the intrinsic issues integral to a meaningful and successful transformation process should be.

1.7 Research Methodology

The present study is a timeline research of a case study. This work looks at a situation of before, during and after a change management process was implemented within the context of a local government department of Development Planning, from June 1999 to August 2007. The value of using research based on specific timelines with the change management process as the key event, is that it enables a comparative analysis between each timeframe. This sequence analysis (Eisenhardt, 1989:532) technique also surfaces core and targeted experiential data for each timeframe instead of broad, non-specific data over a singularly defined.

This work is based on the researcher is a participant observer in the change management process and makes critical observations on the change process over time, extracting lessons that will relate to theory as included in the literature.

The researcher documents the data from the three timeline phases to understand the reactions and attitude of the change recipients through the processes of change.

The research is documented from June 2000, when the changes were proposed and up to June 2007, when the latest productivity measure was implemented.
1.8 Limitations of this Study

An objective of qualitative research is its use in enabling and empowering the defined system. However, unlike empirical quantitative research, which is not bound by socio-political forces of the environment, qualitative research is likely to meet with some limitations due to the character and context of the Public Sector and its concomitant politics.

This study is further limited in the degree of the generalizability of the findings. In developing their theory of Generalizability, Campbell and Stanley (Huberman & Miles, 2002:172) asked the question, “to what: populations, settings, treatment variables and measurement variables can the effect be generalized?” The results and findings of this study cannot be generalized beyond the target population, settings and variables of the defined context.

While an understanding of the phenomenon under investigation, will add to the body of knowledge, the limitation is that the specific findings and results cannot be transposed or generalized to other situations. This is principally due to the inherent constraints of the case study qualitative research method. The literature issues a certain measure of caution in extending its findings beyond the parameters of the scope of the study in qualitative studies (Schofield, 2002).

1.9 Summary Outline per Chapter

1.9.1 Chapter 1: Introduction & Chapter Summary

Chapter One has a brief introduction, before moving on to the background and motivation, and thereafter the focus of study. The chapter then looks at the definition of the problem statement and goes on to discuss the methods and then the objectives of the study. The research methodology and limitations of study follow, before the summary outline per Chapter outlines the rest of the work.

1.9.2 Chapter 2: Literature Review
This chapter develops the theoretical framework of the research. It looks at change management theory, leadership theory, and organisational theory all within the overarching framework of systems thinking.

**19.3 Chapter 3: Research Methodology**

The researcher proposes to use a qualitative research design, The work uses timeline technique to understand and make critical comment on the experiences of change recipients. According to Laws & McLeod (2002) this would involve the use of a randomly selected sample group from the target population. In this research, this would involve a randomly selected sample group from the Assessment Team within the Department of Town Planning in the Ethekweni Municipality Council.

The method of data collection will entail the use of a structured survey questionnaire and a dedicated open-ended question section. Demographic data will be tabulated and the open-ended discussion format will be used to extract themes and lessons.

**1.9.4 Chapter 4: Case Study: Development & Planning**

This chapter contextualises the case study. It documents the context prior to the change management process, during the process and after the changes were implemented.

**1.9.5 Chapter 5: Presentation of Results**

In this chapter the collection of data method and any issues relating to this will be discussed. The general demographics of the group will be presented. Thereafter the results of the interviews will be graphically represented and contextually explored.

**1.9.6 Chapter 6: Data Analysis and Discussion**
This chapter will look at the results from the interviews that were presented in the previous chapter and focus on the dominant and emergent themes. The discussion will be presented in a qualitative format.

**1.9.7. Chapter 7: Critique & Conclusion**

This final chapter discussion will be further situated within a systemic understanding of organizations and the workplace. The emergent themes will form the starting point for a comparison between the findings and the theory. Thereafter the critique of both the findings and the theories will ensue.

The conclusion will look at recommendations and the rational for them. These will be presented in a narrative style and further recommendations will be made for future research based on the findings.

The findings and recommendations will be summarised and made available to the Department. It is expected that this document will make possible their understanding of the processes that they were subject to. In addition it is expected to validate their participation in the study.

**1.9.8 References**

This section will detail a list of books, journals and web pages that the author referred to during the course of this research, to strengthen and support theoretical arguments.

**1.10 Conclusion**

The work is dedicated to unpacking the profound impact that a change management process or workplace transformation can have on the lives of the recipients of change. The research emphasizes that the complexity of change management cannot adequately occur in the absence of theory.
Chapter Two

Literature Review

2.1 Leadership Theory

There are many variables in the process of change within organisations that lead to its successful implementation. An important part of that process is indubitably the management style under which it occurs.

Traditional organisations such as government have a hierarchical approach to the ordering of their structures. The reporting lines are upward and the instruction process top down. Boak and Thompson (1998: 76) have stated that “…Management is famously an activity which produces results only through the work of other people…”. On this premise they hold that it is critical for management to understand others and work effectively with them.

McGregor (1960) looked at management techniques as effective ways to predict and control employee behaviour and improve motivation and performance. His work focuses on the potential of human resources using social science knowledge to initiate change within an organisation. The two perspectives mainstreamed by McGregor (1960) is that of: Theory X and Theory Y.

These two models are determined by the perceptions of managers. The Theory X manager, manages through control and direction. This perspective assumes that employees are lazy and do not want to work. Boak and Thompson (1998:94-95) detail that from this perspective, employees must be controlled and threatened. A manager thinking from this perspective therefore concludes that workers prefer security and control rather than the risks and effort involved in taking responsibility. These beliefs and thoughts often create conflict, lack of trust and communication, and low motivation. Change in this model, is frequently forced and penalising.

A Theory Y manager, however, values his employees and creates a positive background for change and their individual development. A manager with this
perspective believes that people will take responsibility and exercise self-direction. This manager nurtures the resourcefulness and creativity in the workplace and engenders the definition of a leader (Boak and Thompson, 1998).

Bobic and Davis (2003) add a refinement to McGregor’s management theory citing that employees have different personalities that respond to either Theory X or Theory Y management.

Likert (1967), similarly to McGregor (1960) attempted to present a different behavioural and motivational change context for management from the rigid bureaucracy to a more humanistic approach: Exploitative authoritative; Benevolent authoritative; Consultative and Participative Group.

**Exploitative authoritative:** Managers have no confidence and trust in employees. They seldom ask for ideas; use threats and punishments; all communication is top down. There is no sense of teamwork or loyalty to the organisation. It is difficult to initiate change in this setting because of the fear, mistrust and lack of open communication.

**Benevolent authoritative:** Managers exercise condescending trust and are manipulative. There is some exchange of ideas and opinions, but communication is mostly downward. There may be some reward, but employees may still be exploited. Change is imposed from the top down with limited success.

**Consultative:** There is an increased trust, and managers actively seek opinions and make use of these ideas. Employees are given limited authority, and there is some two way communication, and teamwork is moderate. Change here can be effective, though some elements can remain un-integrated.

**Participative Group:** there is complete confidence and trust in employees, and they are involved in all decision making. There are economic rewards for participation. Communication moves easily throughout the organisation and teamwork is substantial. This organisation has a greater competency to integrate directed and non-directed change.
Likert (1967) retains a rational behavioural definition of change in relation to internally consistent systems, but looks at change through the systems view of transformation.

Leadership is becoming an element increasingly entrenched in moral values and an unswerving respect for all employees (O'Toole, 1996). A leadership style that is based in character and values, referred to as values-based leadership is, according to O’Toole (1996), not only reasonable and fair, but is also effective in the complexity of today’s organizations. Values based leadership owes its core to the ideas of moral philosophy, where the welfare of the followers are truly important and leadership is shared. This form of leadership has the ability to cultivate an environment of “authentic identity” and draws on peoples’ capacity for engagement, participation and making meaning of their work (Hess & Cameron, 2006:171). In line with this, Russell (2001) identifies the importance of values based leadership and identifies 3 aspects often needed in this leadership style: trust; appreciation of others and empowerment.

2.2 Systems Theory

Systems Thinking, as a way in which to understand the world, was introduced by two books in the 1940’s and 1950’s- *Cybernetics* (1947) by Norbert Weiner and *General Systems Theory* (1954) Ludwig von Bertalanffy. These works introduced the first ideas of systems thinking and were the early contributions to the dominant reductionist and analytical worldview.

A system is defined as:

“*a collection of things and/or activities which are interrelated and which can be regarded as a single, whole entity that has a purpose and that can adapt and survive in a changing environment such that the purpose continues to be met*”

(Luckt, 2000:3)

Systems, is the idea that “the whole consists of two or more parts”. Each part affects the behaviour of the whole, depending on the part’s interaction with
other parts of the system. The essential properties that define any system are properties of the whole, which are not found in any of the parts. If we take a system apart it loses its defining characteristic (Johnson, 1997).

The use of traditional analysis to understand a system means that we would take it apart, thereby causing it to lose its essential characteristics. Systems thinking maintains that while analysis is valuable in many situations, holistic approaches to complete problems may be more effective.

Systems thinking says,

“that to understand anything, we must grasp the larger systems of which is a part, but that we will never reach a complete understanding of everything. Nevertheless, the larger the system we comprehend the wider and deeper our understanding becomes overall. In analysis, where we focus on smaller and smaller elements our knowledge increases, but with synthesis, it is our understanding that grows...”

(Johnson, 1997:8).

Anderson and Johnson (1997) state, that a principle point that systems thinking makes is that there is an interconnection between everything and everyone, in an infinitely complex network of systems.

Systems have defining characteristics:

- A system’s parts must all be present for it to carry out its purpose optimally.
- A system’s parts must be arranged in a specific way for the system to carry out its purpose.
- Systems have specific purposes within larger systems.
- Systems maintain their stability through fluctuations and adjustments.
- Systems have feedback.

Anderson and Johnson (1997) describe systems as constructed on structures that leave an indication of their existence. System components are interrelated by way of structure; in effect the organisation of a system. Structure is invisible
as it is defined by the interrelationships of the parts, not the parts themselves.
Within the organisational context therefore, understanding the relationships
between the various departments/functions (systems) is the key to maintaining
an equilibrium.

The pyramid (Anderson and Johnson, 1997) below explains the role of events,
patterns and structure in understanding of systems; and enables an
understanding of the events and trends of the context, in this case the
organisation.

![Pyramid Diagram](source)

*Figure 1. The Events/Patterns/Structure Pyramid*

(Source: Anderson V, Johnson L, 1997)

Events are snapshots, like a single action in a moment in time. The immediacy
means that one can only *react* to an event. Patterns, however, allow a deeper
level of understanding, giving us trends in events over time.

When there is a long period of imbalance in a system, contextually here the
poor functioning of department within an organisation, the structural level which
explores the causal connections will surface the reasons of a recurrence of
patterns, for instance the consistent backlogs. Intervention at this level is where
lasting high-leverage change can occur.
“... the art of thinking at the systemic structure level comes with knowing when to address a problem at the event, pattern, or structural level, and when to use an approach that combines all three”

(Anderson and Johnson, 1997:6).

Systems thinking is a language and a set of tools that enable us to understand and communicate the dynamic complexities and interdependencies of relationships. Many of the difficulties faced by managers in organisations arise from the fact that problems tend not to be linear based, the world view that “x causes y”, but circular, complex webs of interconnected relationships.

The tools used in systems thinking offers ways to visualise the problem, see the causal loops, translating our individual perceptions into explicit pictures, rich in implications and insight, challenging our assumptions, enabling discussion and learning.

### 2.2.1 Hard and Soft Systems

The chronological development of Systems thinking saw the move from the position of Hard Systems Thinking (HST) the “first wave”, to the “second wave” Soft Systems Thinking (SST), both theoretical positions effectively complimenting each other.

*Hard Systems* thinking seeks to achieve the attainment of goals or objectives. By assuming goal seeking is a sufficient model of human behaviour, it supposes that the world contains systems that can be “Engineered” hence that models of those systems can be made. It talks the language of problems and solutions to those problems (Checkland, 1999).

*Soft Systems* thinking does not regard goal-seeking as an adequate model for much of what goes on in human affairs; it does not assume that the rich complexity of the world can be captured in systemic models, and therefore it regards system models produced within the “Hard” tradition as “models of the logic of X”.

In hard systems engineering, the plan is to provide a solution, it is goal directed (Checkland, 1999:149/165). 'Soft' approaches differ in that they are based on the assumption that everyone has different perceptions of the world and possibly then preferences. Therefore, it is geared towards problem solving not of solutions.

This fundamental difference makes soft systems thinking an obvious choice for the organisational context which is people and relationship based rather than process based.

2.2.2. Soft Systems Methodology (SSM)

Exploring this idea further, a soft systems tool that is an appropriate methodology for the enactment of change management within the organisational context, bringing about an improved situation is Soft Systems Methodology (SSM). Within the framework of the organisation, SSM creates and represents varied viewpoints of the problem situation and seeks to address the social and political elements of an intervention (Lane & Olivia, 1998).

Jacobs (2004) identifies SSM as a tool that can help managers to deal with problem situations holistically. They would be able to identify significant issues, and reach a compromise of differing views as a basis for improvement.

Given the diversity of issues and the variety of perspectives within the case study, and the requirement for an improved situation and common understanding, SSM seems to be an appropriate tool with which to engage the change management effort. The major value of using Soft Systems Methodology is that it deals with the critical human factor, enables ‘new learning’ and allows for “perceiving, predicating, comparing and deciding on acting” (Checkland, 2001).

This methodology argues Jacobs (2004) can usefully compliment strategic frameworks, in attaining clarity on performance and change issues.
SSM is concerned with improvement in social matters by activating the people involved in a learning cycle (Checkland, 2001). In an ideal situation such learning and consequent improving is ongoing and sustainable. The learning happens in the iterative process of reflection and debate about perceptions of the real world, using systems concepts (Checkland and Scholes, 1990).

SSM gives the researcher and participant an opportunity to be empowered through the process of research, as it is a learning system. This learning about
the “complex problematical human situation” (Checkland, 2001) could lead participants either taking purposeful action in the situation or feeling more empowered. These aims can lead to improvement in perception and attitude. The methodology exposes assumptions and enables interaction towards the improvement of an undesirable situation. It is this technique that enables effectiveness in dealing with the complexities of human thoughts, values and assumptions, which is critical to the change process.

SSM is perception based; what the client perceives to be the problem is what the intervener must tackle. An intervention itself can lead to a changed situation, which can itself exhibit new problems. The importance in the methodology however, is the continuous learning cycle. These mechanisms of feedback should be built into the conceptual models and are crucial to self-organisation.

### 2.3 Change Management

The famous Greek Philosopher Heraclitus stated that “All is flux”, espousing the notion that consequential change is associated with every living entity (Checkland, 1999:26). The concept of change in society is that it is organic, inevitable, enduring and a natural aspect of the living process. Heraclitus’ observation on the dynamic nature of change “you cannot cross the same river twice”, acknowledges that everything including ourselves is in continuous flux.

Change management, the deliberate change process implemented in organisations to bring about a new order of doing business becomes more than a simple tool but in effect is a complex problem.

It is a common view, as stated by Collins (1998) that the ‘ideal organisation’ (author’s inverted commas) is innovative and flexible. This “ideal organisation” (Collins, 1998) has the capability to enable it to deal with the rapidly changing global environment. Where an organisation was not built as an “ideal organisation”, change management strives to transform organisations to this ideal.
This understanding corresponds with the increasing view that events anywhere, in any country and field, reverberate throughout the world. For example, tsunamis in Indonesia are felt in Africa, conflicts in the Middle East have international repercussions affecting global markets and amongst other factors have a measure of impact on crude oil prices. Global occurrences therefore have ripple effects that impact beyond the epicentre of the problem.

The *butterfly effect* (Lorenz, 1972) in Chaos Theory speaks to this idea that in a complex system, a small change applied to the system may alter the future or present in a dramatic way. A seemingly insignificant incident as that of a butterfly flapping its wings now could have an impact on the weather system on a global scale a few months in the future.

Change Management in an organisation according to Nicklos (2004:1) is the act of: “making...change in a planned and managed or systemic fashion”. The objective of a managed change process within an organisation is to successfully implement systems in response to a changing context and environmental dynamics.

**Summation: The Convergence of Systems Thinking and Change Management:**

The two paradigms of Systems thinking and change management merge in an organisational setting whence the goal of a change management process is approached using a systems methodology.

The systems approach to change is looking at the holistic perspective (Quadrant II, Figure 2). Felkins, Chakris & Chakris (1993) define this approach as an attempt to integrate and align complex activities. Senge’s (1990) study of the learning organisation looks at how managerial assumptions and mental models affect perceptions and organisational practices, similar to McGregor’s Theory X and Y managers. Senge (1990) suggests that change comes from a “shift of mind”, that recognises the interdependent relationships within complex interconnected system. This understanding means that individuals, groups and organisations should learn to accept some responsibility for the problems they have helped to create.
Viewed through a systems approach, change processes within an organisation is both simple and complex. The key in the understanding is exploring the overall relationships, having a long term vision and probing what is the functional structure. Understanding that the structure is what integrates and maintains a complex organisation, the dynamic relationship of its components, and the feedback cycles and action patterns that regulate the system and its communication patterns will unlock the process.

Senge (1990) points out that the dynamic forces of change within a system are moderated and adjusted through feedback. Furthermore, that the consistent monitoring of results throughout the system and the application of that information supports the planning and facilitation of change. Feedback is seen as a recurrent process of reciprocal influence and co-ordination in a network of interrelated units.

Trying to change a system according to Felkins, Chakris & Chakris (1993) can also bring out the inequalities and contradictions that might exist. An interesting example is the twofold functions entrenched in the bureaucratic structure of organisations called the Janus Effect, after the Roman God Janus who had two faces. Managers in organisations are often the independent face looking down at and controlling a sub-ordinate level, but also a dependant face, looking up to higher levels as a sub-ordinate.

A system therefore is seen as a hierarchy of sub-systems, inter-related components, homeostatic balances, equilibrium maintained by feedback and self regulation, and survival through adaptation and change in relation to the environment (Checkland, 2001).

**2.4 Organisations**

Organisations are specialised systems in a vast array of categories - business, retail, service, public, private, etc. An organisation is made up of a group of people functioning collectively in a structured way to achieve specific goals.
Kandula (2004) in reference to Felkins et al (1993), argue that ultimately, an organisation is created by people through their decisions, actions and interpretations of reality. The organizations that achieve long-term success at change are those that are able to regard as important the people who will be affected by the change (Editorial, 2001).

Senge, Kleiner, Roberts, Ross, Roth and Smith, (1999:24) purport that the sustainability of change which they describe as a “fundamental, profound change” incorporates both an inner shift and external changes. The internal change is in people’s values and behaviors, while the external shift is in the elementary philosophy of organizations which motivate choices of policy, structures, and systems.

Organisations need to be proficient in adapting and responding to a rapidly changing environment. Technologies, systems, ideas and products are new and innovative in a never-ending stream. The competition for a consumer spend is ever-more fierce, as the choices of products and services increase. In this context, the need arises for organisations that are “permeable, fluid and responsive” (Horton, 2003:403), to an environment in constant flux.

The pioneer of planned organisational change thinking, Kurt Lewin, developed the classic model of understanding change in the 1940’s. Lewin’s model is based on an ice cube, proposing three stages of organisational change: Unfreezing, changing and refreezing. This model premises that it is difficult to change long established attitudes, and people will return to the old patterns of behaviour unless the new patterns are reinforced. Lewin’s model has been criticised for its simplicity as a linear model which does not consider the complexities of the social context.

Further criticism of Lewin’s model is leveled at it’s supposition that organisations function in a stable state. This supposition as maintained by Burnes (2004) could only be applied to small change projects as it ignores power and politics within an organisation and is hierarchal and management-driven.
According to Eccles and Nohria, (1992) a more appropriate understanding of organisational flow as that which is "ubiquitous and multidirectional" has since emerged. This description of organizational change where it is viewed as nonlinear and multidirectional and where the outcomes are unpredictable, better encapsulates the complex relationships and interrelationships within an organisation (Ferdig, 2000). Expanding this view on change, Kanter, Stein & Jick (1992) describe the simultaneous occurrence of change on three levels namely environmental, organizational, and individual.

Critical to understanding the phenomenon of change is that there are two different processes that are involved. The first of these processes is developed from Kuhn’s “Paradigm Theory” (Kuhn, 1962) where he describes a series of quantitative, little noticed increments or small “c’ changes which can at some point be perceived as a qualitative shift or capital “C” change. This capital “C” change is then perceived as a paradigm shift. In the organisational context changing small processes or the way a work stream is carried out over time can collectively become a major shift in paradigm. Kanter, Stein & Jick (1992:10-11) postulates that capital “C” change or a paradigm shift can often be the mere decision to delineate change that has occurred incrementally at the periphery of the organisation for a time.

The second process refers to the set of characteristics that defines an organization. This is seen mostly in the enduring patterns of behaviour of the organisation itself and the people who staff it. This “character”, according to Davies (2007:6) is shaped through its leadership and the values of the organisation and through it’s ethical standards. Cornelius (2002:177) suggests that the nature of delivering it’s core objectives defines the character of an organisation and gives the organisation an identity. Kanter, Stein & Jick (1992:11), further state that this ‘character’ is core to change within an organisation and if change is not directed at this “character” then the outcomes of the process will be small c and non-sustainable. The imperative from this perspective is that in order to affect big C, transformational change, the character of the organisation must be deliberately and intentionally addressed in the process.
This concept of character of an organisation is supported by Sullivan, Sullivan & Buffton (2001) as they hold that the most powerful forces within an organisation are the individual and organisational values which are part of the empirical aspect of an organisation. Swift change can be effected (Sullivan, Sullivan & Buffton, 2001:249) by bringing the values of the people in the organisation together with those of the organisation.

Organisational “character” suggests Srinivasan (2003) is an expression of general principles proposed by the founders, the impetus of the managers and delivered by it’s members. The organisational character is evident through the “defining moments” (Srinivasan, 2003:30) of individual acts, during the existence of an organisation.

The new conceptualisation of organisations is not solely based on the positions and responsibility relationships related to set tasks or on the empirical aspects only. Instead Kanter, Stein & Jick (1992), recognise that many relationships occur in sets of “activity clusters”. These can be temporary, formed around a project, team or it may be goal driven. The emergent properties of the activity clusters (task units, divisions, departments, projects and teams) all working towards a common direction is termed the “continuous flow” of an organisation.

Tippelt, Maximilian & Amorós, (2004) argue that the current social and technological changes of the labour market make it increasingly important to acquire “new” skills. These would include such skills as the ability to work in a team or to find and select relevant information, the mastery of communication networks, the co-ordination of efforts and the ability of networked thinking and acting. These are formations and relationships that do not necessarily work from top down in the traditional organisational style, but are ‘boundary-less’, horizontal and often non-hierarchical.

According to Kanter, Stein & Jick (1992:12) the understanding of organisations as a “coalition of interests and a network of activities within a momentum bearing structure” has two major implications for organisational change.

Firstly, it emphasizes that change is continuously happening and secondly, that there are multiple networks, interests and actives beyond the definitive
prescription of traditional roles and responsibilities that need to be taken cognisance of. Parthasarthy (2001) describes this network structure as one that is arranged according to functional lines, but with minimal hierarchy and maximum horizontal interaction that is achieved through cross-functional teams and committees.

Organisational change thus needs to respond to an external environmental flux, the internal patterns and flow of the organisation, the recipients of change, and the systems and processes that facilitate the functioning of the organisation, and take cognisance of the interconnected relationships that occur.

2.4.1 Organisations and Change

Kanter, Stein & Jick (1992), have identified a “Big Three” model of change. This model describes three kinds of motion, three forms of change and three roles in the process of change.

The 3 kinds of movement:

- **Macro-evolutionary**: in respect to the environment.
- **Micro-evolutionary**: in respect to internal relationships.
- **Revolutionary**: in relation to individual interests.

The 3 forms of change within an organisation:

- **Identity change**: a relationship change between the organisation and its environment.
- **Co-ordination changes**: involving the internal parts of the organisation.
- **Control Changes**: the dominant coalition in charge of the organisation.

The 3 change processes:

- **Change Strategy**: looking at macro issues between the organisation and its environment. This happens more often at the top level.
- **Change Implementers**: those responsible for implementing the change process within departments. This is often at middle management level.
• *Change Recipients*: Those who are strongly affected by the change, but without the opportunity to influence those effects. This is the employee or staff level.

It is intended that each of these processes loosely fit over each other and therefore gives direction to the understanding and implementing of change as they occur in each of these forms. However, although these processes are differentiated here, it is the author’s belief that they are interconnected and change in any of these levels must necessarily contain aspects of the others.

The motivation for an organisation to undergo a process of change is often associated with its environment. The changing expectations and needs of customers, the financial costs of operations, the need to get ahead of the competition, all of these aspects are ultimately in response to the challenges of a changing marketplace.

As the main thrust of the case study is within a department of an organisation, this review will now focus on the aspects of dealing with an internal change processes.

2. *Decentralising and redeploying*: This deals with reducing the red tape, by allowing decision-making at a lower level, and also making the organisation leaner, by reducing the hierarchy and therefore the number of people.

3. *Contracting Out*: Here the focus is on shedding services that are contained within the organisation thereby reducing bureaucratic tendencies. This allows an organisation to focus on its core business, rather than secondary activities that add unnecessary layers and hierarchies.

4. *Turning Services into businesses*: This refers to converting internal services to profit centres by selling their services to other companies, instead of shedding those departments not central to the core function.

The intent with these steps in effecting change within a department is to “dismantle the very management layers and service staffs that help create the
corporate hierarchy in the first place” Kanther, Stein & Jick (1992:229) and by replacing these with market related functions.

Downs (2008:1) argues that in an effort to bring about the dramatic changes of delayering and downsizing, management often makes the mistake of assuming that “leanness” equates to “effectiveness”. While effectiveness is ostensibly the main focus, the expectation of reduced costs can lead to “strategic blindness”. Deal and Kennedy (2004) add to the discourse by stating that the re-defining of an organisation through “leanness”, often impacts negatively on an individuals' sense of membership, shared identity and meaning.

The threat of this approach is that it fails to take people into account as less people are doing more work. This approach sees people as costs, rather than as valuable assets with skills and experience. The result is that organisations can find themselves starved into a state of “organisational anorexia” (Wilkinson, 2005 :1080). This phenomenon can essentially increase costs through work and stress overload on the remaining staff. Deal and Kennedy (2004) substantiate this idea by qualifying the notion that the tasks within the organisation don’t disappear, it’s the people to undertake the tasks that have disappeared. This means that an organisation trying to increase efficiency and efficacy can actually loose production, service levels and customer focus, as staff may have too many tasks to focus on. Wilkinson (2005) adds that the issue of “sustainability” of a lean organisation then becomes questionable.

One set of consequences of this state of organisational anorexia is one of perpetual crisis. This crisis situation leads to stress, frustration and fatigue which is experienced by the recipients of the change process.

In line with this thinking on the “anorexic organisation”, Deal & Kennedy, (2004) make the observation that it is easier to destroy than to build when one has to streamline excess from an organisation. Dove (1999) notes that the thrust for the removal of surplus resources leads to a theoretical ‘single best method’ which can inhibit the organisations flexibility and it’s ability to react to changes.

Streamlining to the point of leanness can critically limit an organisation's ability to grow. It can lead to a compromise in an organizations capacity to innovate, to
prepare for its own future development or even enable succession planning (Deal & Kennedy, 2004).

This organisational leanness leaves a deficit in critical human resources which Kanther, Stein & Jick (1992:230), refer to as a ‘lack of depth’. An organization that suffers from ‘lack of depth’ has little or no ability to deal with crisis management. The organizational system is unable to function effectively or efficiently without the depth of staff which would normally allow it to do so. For example if one or two staff members are away for various reasons (sick, leave, training, etc), the system is unable to compensate adequately to alleviate the impact of the absenteeism.

Thus the lean organisation can become ‘static’ and weak, unable to withstand the impact of change. Sullivan (2005) undertook to calculate the costs of these “vacant positions” or removed positions in a ‘delayered’ organisation. Sullivan (2005), states that team outputs could be severely compromised by the interference caused by loss of productivity, experience, leadership, paucity of ideas and shortage of skills of the “vacated” or “delayered” person. The consequence of this loss is a cyclical downward spiral possibly leading to further disruption in the team, failure in staff cohesiveness and a loss of focus. The remaining staff is invariably affected by this spiral and their ability for idea generation suffers through various levels of frustration, stress and fatigue, and through overwork.

Not withstanding this negative impact of poorly managed resource downsizing, organizational scientists (Storey, Emberson, Reade, 2005) suggest that there is a point when leanness can be used as an effective tool, especially in a bureaucratic system. Re-configuring the remaining staff into teams allows a more effective relationship, enabling co-operation and contribution across workloads. This strategy can focus resources and makes for a sustainable downsizing. However, while it is important to know when leanness can lead to a breakdown in the system, it is even more critical to the function of that organisation, that there is continuous observation of the problems and re-evaluation of the process.
Peter Drucker, (1988:45-53) used the imagery of an orchestra to describe the “leaner organisation”. This imagery looks at the individual skills of performers through the single conductor working together to create beautiful and harmonious music through a common vision. The performers are likened to work teams, working without a bureaucratic hierarchy, using their personal skills in balance with others, in collaboration-as soloists, ensemble players and members of an orchestra.

Thus this conceptualisation of organisations recognises that it is the relationships, communication and flexibility in combining resources that are more important than the formal channels and reporting relationships represented in the organisational chart. In an environment requiring speed and dexterity, “what is important is not how responsibilities are divided up, but how people can pull together to pursue new opportunities.” (Kanter, Stein & Jick, 1992:232).

This understanding also supports Felkins, Chakris & Chakris (1993:55), in acknowledging that as people’s interpretation of the organisations shape their interaction within it, the starting point for change management must be: communication, dialogue, collaborative inquiry and mutual influence. Gollan (2004) takes this further and argues that organisations need to allow the needs and aspirations of individuals to be placed at the heart of the workplace.

The conceptualisation of what makes for an organisation has seen a timeline shift from an overly mechanistic view to a holistic, dynamic systems perspective and a context of cultural interaction. Therefore, organisational change has given way from a controlled perspective to a flexible, creative and interdependent one (Felkins, Chakris & Chakris, 1993:55).

2.4.2 Dynamics of Change

Organisational practices are, according to Felkins, Chakris & Chakris (1993), based on ways of thinking about change. These practises strengthen dominant ideologies on what is “true or not” in an organisation and how the organisation
works. This conceptual base may be theoretical, a collection of personal beliefs or operating principles. These assumptions, generalisations and perceptions establish a framework that provides structure and thereby gives a measure of predictability about the world (Pillay, 2008:2).

In a change process people are confronted with conflicting ideas, stories and truths. Senge (1990) refers to these as “Mental Models”, based on our world views and the way we process information, make judgements and decisions. “Mental Models”, according to Senge (Mabey & Illes, 1994:6) are the foundation by which people individually and collectively make sense of the organisation and create meaning.

Carl Jung (1971), the eminent psychologist explained our understanding of the world through his Psychological Functions diagram:

![Psychological Functions Diagram]

**Figure 3. Psychological Functions**
(Source: Felkins, Chakiris & Chakiris, 1993)

Jung (1971) theorised that sensation and intuition come from our environment or our unconscious, rather than from judgement or analysis like thinking and feeling. Sensing and intuiting, Jung (1971) expanded are ways of knowing the world and getting information and knowledge of it. He concluded that thinking
and feeling are the tools we used to evaluate, analyse, process and judge this information.

Peter Senge (1992) proposes that the lack of adoption of change practices occurs not as a consequence of poor management but actually that the new ideas are inconsistent with innate images of how the world works.

These images prohibit us from doing business in ways that are not familiar to us. Therefore if one is to adopt more appropriate change practices, then these mental models must be surfaced, tested and challenged into a new model.

Two people may perceive any one situation differently depending on their mental models. These differing views can impede the change process by falling back on the inertia of entrenched models, from management through to change recipients.

In organisational change therefore, knowing that there are underlying assumptions means that these can be surfaced, (Macintosh & Mclean, 1999) examined and improved.

Mental models theoretically then, through reflection and inquiry, can be used to accelerate learning. The application of the systems tools in an iterative process within the framework of systemic thinking can surface and examine mental models and help to shift paradigms.
Chapter Three

3. Research Methodology

3.1 Qualitative Research

Within the Qualitative paradigm, the researcher is a participant observer documenting Timeline research within a case study.

The fundamental difference between the Qualitative and Quantitative paradigms lies in their applications of the methodologies. The Qualitative methods “express the assumptions of a phenomenological paradigm that there are multiple realities that are socially defined” (Firestone, 1987). In this method, rich description seeks to persuade the reader by presenting the researcher as deeply part of the context and giving the reader the factors needed to "make sense" of the situation.

The Quantitative processes articulate the assumptions of a positivist paradigm that regards behaviour as something which can rationalised through objective facts. The tools are used to persuade the reader by showing that partiality and errors are taken out of the equation.

When the context of the research is scientific, quantifiable and replicable, the Quantitative paradigm is undertaken. When the context of the research is behavioural and non-replicable, the suitable paradigm is qualitative.

The purpose statement is the essence of the work, the central controlling idea of the proposed study (Locke, 1987).

Thus the purpose statement as indicated by Creswell (1994) which focuses the problem leading to the study and establishes the direction the study will take, must be characterised by the selection of the paradigm of the research. The construction of the purpose statement as indicated by Creswell (1994:57) is rooted in the paradigm of the study. Both qualitative and quantitative research methods have purpose statements; it is the form
and language of the statement that differs as a result of differences in the paradigm.

A qualitative purpose statement should express the assumptions of the qualitative paradigm (Creswell, 1994).

A Qualitative Purpose Statement in a case study;

Kos (1991) undertook a study of perceptions of reading disabled school students and factors preventing their reading development.

The qualitative purpose statement read:

The purpose of this study was to explore affective, social and educational factors that may have contributed to the development of reading disabilities in four adolescents. The study also sought explanation as to why student’s reading disabilities persisted despite years of instruction. (Kos, 1991).

According to Firestone (1987) the argument about quantitative and qualitative methods centres on the connection between method-type and research paradigm that makes the different approaches irreconcilable.

While the two methodologies are different, their results can be complementary, (Firestone, 1987). By using the quantitative data sets and interpreting them through a qualitative framework, this “complementariness” can be accomplished. “Quantitative data is the skeleton upon which qualitative information adds the body, for holistic understanding of the research” (Quote: Pillay, L. G, 2007)

3.2 Participant Observer Research

The researcher has situated herself as a participant observer. In this qualitative research. According to Denzin & Lincoln (4:2003), “any definition of qualitative research must work in a complex historical field” The observer locates the reality of this world through notes, articles, conversations, memos, interviews
and the like. This method involves the studied use of a variety of empirical materials: case study, introspection, personal experience, interviews historical and visual texts, problematic moments. The researcher will then lend her critical observations as a participant observer to the discussion in an effort towards an attempt to secure an indepth understanding of the phenomenon in question (8:2003, Denizen & Lincoln). The effort within the framework of research would be the collaborative research process (Maharaj, 2003). The process of collaborative research itself, leads to an inherent improvement, where even an understanding of the situation creates the means to that improvement.

According to Stringer (1999), this type of research may be defined in a linear fashion, but in practise it is not only reiterative but “...tends to fold into each other”. This describes the process when activities are reflected upon and reviewed and participants work systemically through the emergent information. A key characteristic of collaborative research with the researcher as the participant observer is that it aims to “contribute both to the practical concerns of people in an immediate problematic situation and to further the goals of social science simultaneously” (Maharaj, 2003:23).

The more traditional research approaches considers the act of research itself as the primary focus. In such cases action is not an inherent design consideration and may only occur as a secondary phenomenon, whilst conventional research practices emphasise scientific study. In this case the researcher’s participant observer status affords a small degree of action research into the research which assists in the process of uncovering the problem systematically simultaneously ensuring that theoretical considerations are key to the intervention.

Further, this small measure of action research enables all stakeholders to become researchers. People, who are part of the learning process, learn quickly and apply their learning’s. Action research is also submerged in a social context, as the research occurs in actual situations with the objective of solving real problems. In contrast to other disciplines, the researcher, is not an
objective entity, but freely acknowledges their predisposition to the other participants (Susman 1983:93-113).

Susman (1983:93-113) proposed the following to represent the action learning cycle:

![Figure 4: Action Phase Cycle](image)

Figure 4: Action Phase Cycle
Adapted from Susman: (1983)

Figure 4, details the process of “action research”. A detailed investigation occurs once the problem is identified and information is collected. Thereafter group interactions and discussions on potential solutions ensue and a collective plan of action emerges which can be implemented. The results of the intervention are noted and assessed, and fed back into the system as part of the research. In this case study however there are no group interactions or a collective plan of action, The researcher is able to diagnose, evaluate and extract learnings based on all data including the researchers own observations. While the intention is to feed the data back to the participants as a complete research document, the cycle in the research ends. The learnings of the participants however may increase through access to the research and findings, but this will be outside the scope of this research.
In a full study of action research, the cycle can continue as learnings increase, or is reassessed which starts another cycle. The limitations in this representation of action research are encapsulated in deliberations on the difference between practice and theory. Although Figure 4 shows the cyclical nature of action research, a more accurate representation would show the arrows moving in both directions between each phase.

According to Winter (1989) and Checkland and Holwell (1977), this research method is undertaken in real situations and is best suited to the complexity of circumstances of human interaction, which requires flexibility, and where change should be fast, holistic and cognitive.

This research is a holistic approach to problem-solving evolving from Kurt Lewin’s investigations of human groups and their dynamics. According to Checkland and Holwell (1998), the process evolved into the researcher immersing himself/herself into the situation and following it through, wherever it may lead, blurring the line between researcher and those researched. According to Elden & Chisholm (1993) this methodology remains effective today only because “they are being practiced in new ways, in innovative research designs, and applied to new problems.”

### 3.3. Research Tools

The qualitative research paradigm uses a number of tools for data collection: include keeping a journal, questionnaire surveys, interviews, and case studies. The purpose of action research within communities according to Stringer (1999) is to collaboratively build images and understandings of events that will enable the researched groups to develop commonly acceptable solutions to their problems. Stringer (1999) suggests that such research recognises that processes have multiple outcomes and addresses the need to endorse systems of working that:
“… protect and enhance the dignity and identities of all the people involved. It is orientated towards ways of organising and enacting professional and community life that are democratic, equitable, liberating and life enhancing”.

The idea behind the use of multiple data collection techniques is to optimize the collection of qualitative information. It further ensures that the limitations of the human subjects or social context do not compromise the quality and value of the phenomenon under study. Using multiple data techniques also has the benefit of building into the action research process an inherent validity check for the information obtained.

3.4 Case Study Designs

The case-study method involves the use of research, participant observation and interviews within a specific community or institution. A case study could be a “process” or “period-in-time” study.

Donmoyer (2000:45-68) states that the case study method provides an opportunity for the reader to experience vicariously what the researcher has experienced. It also provides the reader with an opportunity to “visit” a case study and link this to a direct experience where applicable.

In bringing about any conclusion, the case study allows the researcher to make a conclusion that is based on degrees of probability and on induction or inference. Thus, the case study does not necessarily provide an absolute proof of what to expect, but rather, a probability of what could occur, because no system of case study research is entirely closed. In fact, Lincoln and Guba (2000) emphasise the fact that, the only generalisation in a social inquiry should be that there is no generalisation.

The value a case study provides is based on what rich information can be inherently inferred or extrapolated from it. The application of a case study’s conclusion to other examples is not only based on its uniqueness or similarities, but rather the threads that may run through it.
Mitchell (2000:175) describes this by using the phrase “...the plausibility or upon the logicality of the nexus between the two characteristics”.

### 3.5 Research Design

Terre Blanche & Durrheim (1999) illustrate four decisions (Figure 5 below) that need to be made by the researcher in designing his/her research.

![Figure 5: Four dimensions of design decisions](image)

(Source: Terre Blanche & Durrheim, 1999)

1) The **Purpose** of the research
2) The theoretical **Paradigm** informing the research
3) The **Context** in which the research is carried out
4) The research **Techniques** used to gather data.

Utilising this guide of research design, the structure of this scope of work is defined as:

1) **Purpose**: Determining how the recipients of a change management intervention managed the process and deal with the outcomes. Was the process successful? And why was that outcome attained?
2) **Paradigm:** The research uses Systems Thinking as the approach. Systems theory recognises the complexity of social organisations and interactivity of the inherent human dynamic. This lends itself to the qualitative paradigm and action research methodology in a bounded system (case study) within the framework of systems thinking and change management.

3) **Context:** The research is conducted within the Department of Development Planning of the ETekwini Municipality. The department was subject to a change management process from 1999 to 2002.

4) **Techniques:** The Timeline technique within the Case Study will be used. This entails the use of interviews using the change management as a baseline measurement for Before, After and Now to assess the participants reactions to each. Further, group discussions and presentation of results to research participants after the completion of the research will add to the research techniques used.

### 3.6 Data Collection and Collating:

A semi structured interview schedule using a questionnaire (Appendix 6) will be used. The questionnaire (Appendix 6) will be inclusive of demographic data and open-ended statements will be used by the researcher to interview the participants:

- **The Demographic Data:** The results will be tabulated and presented in Chapter 5 (Graph 1). This information will define the target population and add to the contextual understanding of the participants who are part of the research.

- **Open Ended Questions:** These questions will ensure that the researcher does not presuppose a theoretical or situational bias upon the participant. This will then allow for a free flow of non-prescriptive information and a qualitative understanding of the research issues. Natural meaning units (Nmu’s) will be extrapolated from the qualitative
Thereafter, emerging themes will be synthesized from these Nmu’s (Appendix 7) and interpreted using a systems thinking and change management framework.

- **Data:** The thematic data will be presented to the participating group for discussion. This will further serve as an inbuilt validity test. The discussion will be a critical discourse, which will enrich the understanding of the issues of the research both to the researcher and to the participants. This will then be presented as an enriched thematic chart and be comprehensively discussed within systems theory and change management perspectives as documented in Appendix 8, and discussed under Chapter 5.

- **Cumulative Data:** The complete research findings and interventions will be recorded, developed and formatted into a report (this thesis) and be presented to the participants for purposes of their empowerment during the span of their experience as participants within the context of a “changed” unit within the Ethekweni Municipality.
Chapter Four

Case Study: Development & Planning

4.1 Context

In early 1999, Durban found itself amidst a changing economy where a lack of investor confidence in the Durban Metro Region was starting to impact negatively on the city. It was becoming apparent that other major centres were actively pursuing domestic and foreign investment away from the Durban Metro Region.

In a bid to jumpstart the failing local economy, the 3 Local Councils governing the Ethekwini region, the Durban Metropolitan Council, the North Central Council and the South Central Council established the Best Practise City Commission (BPCC) to advise the city and develop a nurturing and facilitative business environment where:

“all enterprise, ‘large and small’, can prosper and flourish and thereby improve the life of Durban’s citizens.” (BPCC Report, 1999:1-3)

The Commission was set up as a temporary authority mandated to identifying the impediments to new investment and development in the Durban region, within the existing legal and institutional framework.

The Terms of Reference (TOR) for the Commission focussed on:

“providing an object measure of the performance of the system that through which existing and new investors have to pass in the process of making an investment”. (BPCC Report, 1999:1-3)

It was also noted in the TOR that it was often alleged by investors and developers that the stumbling blocks to the system were:

- An unfriendly and non-facilitating attitude towards investors
- A lack of clear process around the development application and approval procedures
• Confusion on the role of the Metro Council and the North and South Councils
• No clear and effective lines of communication between the Councils and investors
• A limited understanding of Councils investment policy and procedures

In assessing these issues, the Commission was to make recommendations on how best the Council and its departments can meet the standards of international best practice both in terms of the procedures affecting investment decisions and the implementation thereof (Best Practise City Commission Report, 1999).

The significant high-level authority granted to the Commission (Figure 7) indicates the commitment to a broader vision that drove the Metro Council to pursue this strategy. That commitment is further entrenched by the nomination of the Commission Chair and its two commissioners from private enterprise, the Chamber of Business and from the political sphere respectively.

The Metro Council functioned as the strategic element within the structure of the municipality. It was at this level that policy issues and broad based framework for the running of its services, was formulated.

The Council also functioned at the level of acting as the intelligence for the organisation which needed to equip itself to deal with changing trends and city needs.

It was in early 1999 that the Metro Council realised that it needed to adapt to a changing context, therefore the Best Practises City Commission was established and given a clear mandate so that the City could be responsive to this change.
4.1.1 The Commission’s Findings

The information garnered from the Commission’s report (June 1999) enabled the City to allocate resources towards a broad future based vision for EThekweni. The Commissions findings identified two primary areas of concern:

- Firstly, that the crime in the metropolitan region has reached unacceptable levels.
• Secondly, that the municipal administration had not facilitated development within the city.

Commission focussed the latter issue and developed a “package of proposals”, which it urged Council to implement holistically as a “concerted, co-ordinated and comprehensive program” (Best Practise City Commission Report, June 1999).

Evidence, gathered by the Commission, suggested that the Council had done little or nothing to attract developers. Further to this, the Council was seen to be insensitive to investor needs, in the application and terms of the current legislation. According to findings, the perception in the private sector was that the Council’s focus was essentially on providing social infrastructure and services, and had lagged in the facilitation of investment in the commercial and industrial spheres.

Therefore, the time had come for a rethink in those Departments, which dealt with the public face of development.

The recommendations of the Commission were separated into two broad categories:

   I) Institutional Changes
   II) Attitudinal Changes.

There were 5 key institutional changes that were recommended and implemented:

1. Investment Promotion Agency
2. Corporate Plan
3. Development Facilitation Centre
4. Policy and Legal Framework
5. Local Economic Development Zones

The Metro Council, in its capacity as the strategic planning level of the organisation, directed the necessary changes as set out by the Commissions
recommendations. Item 3 listed above, the **Development Facilitation Centre**
would occur through a re-structuring and change management process within
the Development & Planning Service Unit. Council concurrently undertook the
other 4 recommendations as well as the overall “Attitudinal Change” program in
the form of the “Batho Pele”, the “people first” campaign.

The requirement for change was established, from regulation to facilitation, a
paradigm shift was needed.

**Pre: Change Management**

**4.2 The History**

The Development and Planning Service Unit was targeted as the point of entry
for developers, therefore it was here that the Development Facilitation Centre
the ““one stop shop” needed to be housed. The Development Facilitation
Centre was to be:  *a one-stop shop through which development applications
can be processed. The centre is envisaged as comprising a "tiered"
management structure and multiskilled teams with individuals drawn from the
various municipal departments and units involved in the development applications.*

The Development and Planning Service Unit was headed by an Executive
Director who had 3 directors, reporting to her. The directors were in charge of
departments, which consisted of several smaller divisions. These divisions were
run by managers, under whom the main body of staff fell.

**3.2.1 The Development Management Department** falls within the Development
and Planning Unit and is the first and most common interface with the public.

The Development Management Department was made up of several divisions.
The Development Control, Consent Use and the Town Planning Enforcement
divisions. The intervention however took place specifically within the Development Control and Consent Use Divisions.

These sections deal with the approval of building plans, from a basic boundary wall to large-scale developments worth millions. The Development Control Section dealt with applications from the aspect of the National Building Regulations; Consent Use, from the aspect of the Town Planning Scheme Regulations. These divisions were geographically separate prior to the restructure.

The Consent Use Division had a total of 24 staff. This consisted of 16 Planning Control Assistants (PCA’s), of which 5 were Senior Planning Control Assistants (SPCA’s). There were also 4 Senior Planning Control Officers (SPCO), 3 Clerks and the Manager: Consent Use.

This section dealt with all development within the city from a Town Planning aspect. Importantly, the Town Planning Scheme, at this stage excluded pockets of development within the city. Kwa Mashu, Umlazi and Inanda were not included as areas that fell within the jurisdiction of the Town Planning Scheme; these areas were developed after the Scheme was adopted circa 1955.

There was little differentiation between the PCA and SPCA in terms of work. However, a SPCA should be able to stand in for a SPCO in his absence. The SPCA’s were therefore placed on a progression grade, in terms of their salary. Each salary grade had a range of notches between the lowest salary in the grade and the highest. Normally once and employee was at the top of his/her grade, they would stay there. The only instance, which would change this, is if the staff member got a new job at a different grade. In the case of the SPCA’s, once they got to the top of the first grade they would –after a small experience based test – be put onto the next grade. This therefore was the value of being placed in a progression grade.

The work of the PCA/SPCA consisted of, the approval or the referral of building plans. He/she was also responsible for the circulation of plans to various
departments, if deemed necessary. Another aspect of the work was to advise the public telephonically and over the counter on zonings, calculations, the Town Planning Scheme and development issues.

An important aspect of the PCA’s/SPCA’s work was in the managing of the Special Consent Procedure and Town Planning Development Applications. These applications are advertised to gauge public opinion on particular developments that are in conflict with the Town Planning Scheme Regulations.

The PCA / SPCA also undertook site inspections of their designated areas. Site inspections assisted with their assessment of the usage of buildings and allowed them to gauge the scope of development within their areas. Inspections were important to enable a visual assessment, the amenity impact and precedence setting of certain proposals before making a decision.

The PCA/SPCA also presented Special Consent and TP Development Applications weekly to an interdepartmental committee. If a decision on an application could not be made at this forum, the PCA/SPCA would write a report for consideration by the Executive Director.

The Senior Planning Control Officers (SPCO) checked the work of the PCA and wrote Appeal reports to Council. In early 1999, the Senior Planning Control Assistants also began writing Appeal Reports and towards the latter half of the year, Planning Control Assistants were given this task as well.

An important aspect to the work in the Consent Use section was that the Town Planning Regulations were subject to interpretation, precedence and site variances. This enabled a PCA/SPCA and SPCO, to use his/her discretion, experience and judgement in approving and/or recommending the approval of an application.

3.2.2 The Plans Control Section was an administrative function. Plans Control, accepted plans, charged for the acceptance and were responsible for the distribution of plans to the Plans Examination and Consent Use sections. Two
typists, four clerks and a cashier staffed this section. The Manager: Plans Control and an assistant manager supervised this section.

3.2.3. The Plans Examination Section, had 3 teams. Each team consisted of three Plans Examiners, one Senior Plans Examiner and a Development Control Architect, who was in charge of the team. Each team dealt with specific areas in the metro region. The Plans Examiners assessed a building plan in terms of the National Building Regulations. These regulations are statutory requirements, detailing specifications for development of physical infrastructure and are not open to interpretation. The Plans Examiners also informed applicants about by-laws, and advised them at the public counter and over the telephone.

The Senior Plans Examiners checked the work of the Plans Examiners and endorsed the final approval or refusal with their signature on the plan and referral sheet. The Development Control Architects commented on the elevation and visual impact of certain proposals. The Architects focussed mainly on buildings that were considered architectural heritage and were listed as conserved buildings under the Heritage Act. The Development Control Architects also assessed any listed buildings, which were under consideration by Special Consent for conversion to offices or any other use. The head of this section was the Development Control Manager.

4.2.4 Physical Layout
The three section heads reported to the Manager: Development Management, who in turn reported to the Director, Development Management and finally to the Executive Director of the Development and Planning Unit. Except for the Director and the Executive Director who had suites on the first floor, this entire operation was situated on the ground floor of the municipal buildings in Old Fort Road.

This was the structure in place prior to October 1999, and 5 years before. An average plan in this system, would take about 2 to 6 weeks to get an approval
which included the circulation to other Departments (in other buildings), as the plan warranted.

**Change Management Process**

**4.3 The Changes**

**4.3.1 Soft Changes**

Firstly, in mid 1998, a new Executive Director was appointed to head the unit. In the same year the Manager: Development Management was appointed as Acting Director: Development Management. At the beginning of 1999, the Acting Director was appointed to Director: Development Management for a 3-year contract, after which time, the position would be reviewed. At this stage the new Director, decided not to appoint anyone to the position for Manager: Development Management and to hold both positions herself.

During the course of the year, 1 PCA was promoted, 1PCA emigrated, and three PCA's left for other jobs. One Senior Planning Control Assistant also retired. The Manager: Plans Control emigrated, and two Plans Examiners resigned. A Development Control Architect retired. That is, ten vacant positions in the Development Management Department in 1999.

In a bid to save money and satisfy political needs, the Director decided that none of these positions needed to be filled, and redistributed the workload to the remaining staff.

The structured changes which was the implementation of the “one stop shop” recommendations emanating from the Best Practice City Commissions Report (June 1999), started in October 1999.

The staff of the Consent Use Department were required to attend a workshop on the shift from a bureaucratic to customer focussed service. Staff expressed
dissatisfaction at the way in which they were told that a transition would be taking place. Management had not advised staff of the reasons or the need for change. The first inclinations that a change in the restructuring of the Department was imminent, was garnered at the workshops run by contracted consultants.

At this stage the staff members expressed concern that the changes were imminent and they were verbally resistant to the proposed changes. The existing system was comfortable and familiar and staff were concerned that changes were to be made to a system they felt was working well. The lack of staff consultation only increased the sense of conflict.

The second stage of the process involved the consultant meeting with groups of staff, to ascertain their positions within the Department. Once this information was gathered, the consultant, together with a group of core people, chosen by the Director, looked at the current operations. Together, they redesigned the system. Two weeks later they presented their proposals to the rest of the staff. Management had not advised staff of the reasons or the need for change. The first inclinations were garnered at the workshops run by outside consultants.

4.3.2. Hard Changes

The proposals that were implemented were as follows:
The Consent Use section was divided into two. The Development Control section was combined with the one half of the Consent Use section and called the Assessment Team. The remaining Consent Use staff, renamed the Deviations Team, were geographically separated from the Assessment Team.

4.3.2.1 The Assessment Team was divided into three teams. A team consists of 3 Plans Examiners, 3 PCA’s, 1 clerk, and a Senior Plans Examiner as a team leader. There was one SPCA in the office who was the Technical senior to the PCA’s but who was not the part of the line reporting structure. A Development Control Architect was the Floor Manager of the section.
The sole function of these teams was to assess plans as quickly as possible. The team leader would distribute work to the PCA’s. The PCA would assess a few plans and then sit with the SPCO to go through the work. The PCA’s in this section were not allowed to go out on inspection. The SPCO had to undertake all necessary inspections for the whole section.

Management felt that the Assessment Team should work as a production line; inspections therefore would stymie the flow of plans assessment. The consequence of this decision was a PCA who was not in touch with the area of his expertise and therefore losing the ability to function effectively in assessing plans and advising clients.

Once the work had been checked by the SPCO, the PCA booked the plans to the clerk. The computer programme used is Plans Tracker, which reflects the movement of a plan through the system.

The clerk then booked the plans to various departments on the recommendations of the PCA. In which case the plan would come back to the PCA for further assessment a few days later. The distribution clerk then booked the plan to the Plans Examiners.

Once the Plans Examiners have assessed the plans, and their senior checked the work, the plans are sent to the typist to type out an approval or referral letter. The plans are kept in the Plans Control section until the applicant picks them up. The PCA’s and the Plans Examiners still attend to the Public Counter and telephone queries.

4.3.2.2 The Plans Control section is still the administrative hub. Two Plans Examiners are now managing the section. The assistant manager for Plans Control was ousted from her position, and was actually without a position or a title for two months. She has since been posted to the newly created position of Customer Care Consultant.
4.3.2.3. The Deviation Team now deals primarily with the Special Consent procedure. This section also writes Appeal Reports and presents them at Council Committee. There are now two teams, each with an SPCO and three PCA's. There is 1 clerk and the head of the section, a Divisional Planner. In September of 1999, one SPCO from the Deviations Team retired.

4.3.2.4. The Information Centre was the final aspect to the physical changes. This centre was to serve as the basis of the “One Stop Shop” (OSS). Any developer or member of the public would be able to get any information on any of the services offered by the Department here. This centre was supposed to be the key support for beleaguered developers in KZN.

However, to staff this new section, one experienced PCA and clerk was taken from the Assessment Team and a senior SPCO from the Deviations Team. Furthermore, a rezoning technician and a Divisional Planner were seconded to oversee the management side of the centre. At the same time, in order to fill two critical positions in the Town Planning Enforcement Division, one Plans Examiner from the Assessment team and one PCA from the Deviation Team were seconded across.

A further aspect to the OSS was to get all relevant departments to come together and fast-track a complex or high investment plan (worth R10 million and above) whilst sitting around one table, in order to enable a speedy approval. The reality was, however, that Management could not get buy-in for this process from other departments. Consequently, plans still had to be circulated to the other Departments for comments in the conventional manner. The plans therefore took the same amount of time as plans within the old system.

4.3.3 Task

A secondary issue that impacted greatly on the staff, apart from the restructuring to the OSS, was the issue of TASK. Task was a new grading system that was being rolled out in mid 2000. The programme would standardise and reduce the number of salary grades in the Council, and was
being implemented by the Department of Human Resources. EThekwini was the test case for this programme, as once it had been ratified; it was to be implemented in municipalities throughout the region.

The issue of TASK, became a problem in the context of the restructured Consent Use Section as the job description of the PCA’s in the Assessment Team was now vastly different from those PCA’s who were now in the Deviation Team.

The Assessment Team PCA’s, afraid of being sidelined and given a TASK rating far below those of their colleagues sent a memorandum to the Executive Director voicing their concerns. The management solution was a reshuffle of bodies to appease the PCA’s. The solution saw all SPCA’s moved to the Deviations Team and all PCA’s moved to the Assessment Team. Furthermore, management suggested that to retain an involvement in the work, two PCA’s will be rotated from the Assessment Team to the Deviation Team every six months. Also, it was recommended from management, that if a PCA wanted to undertake additional work, that the Divisional Planner of the Deviation Team should be approached to assign the PCA an Appeal Report.

4.3.4 Summation

The idea of the OSS was that a member of public could walk into the Development Management Department, hand in his/her plans (provided that it is not a Special Consent) and get an approval in two weeks. Prior to the changes, a plan would be expected to take any time from two to six weeks to be approved.

4.4 Post: Change Management Process

4.4.1 During the period between 2002 and 2007, between the closeout of the restructuring process and presently; the following has occurred:
• **2002**: The “Unicity” was formed by the integration of the North, South and Central Local Councils. This meant that the governing body of the municipal area fell under the jurisdiction of a single integrated entity.

• **2002**: The Unicity undertook the boundary mapping process of it’s Municipal area, and in so doing incorporated Kwa Mashu, Inanda and Umlazi within it’s borders.

• **2002-2003** The newly formed Assessment Team was asked to “Multi-task”. This would mean that the Plans-Examiners and Planning Control Assistants, now had to undertake to learn each other’s work, and perform that function as part of the new job. Training was not provided. It was to be on the job learning from an amenable colleague.

• **2006**: The placement of Plans Examiners and Planning Control Assistants in their new positions and grades – as Assessment Officers. The staff working in the Deviations Team as Deviations Officers, and those in the Information Center as Information Officers. This was as a direct consequence of the restructuring process that started in 1999.

**4.4.2 Currently**

• The Facilitation Centre functions with 1 Information Officer, 1 Customer Relations officer and one Senior Planning Control Officer acting as the Manager for the Section.

• There is a six-month backlog of plans at the Assessment Team. See Appendix 1: North Glen News article, Anger over planning delays (14 October 2005), The Mercury Editorial, Illegal Buildings (July 26, 2006), The Mercury two articles, Damaging delays in approval of building plans (18 January 2006) and Planning Delays (19 January 2006).

• The rotation of PCA’s to the Deviations Team has fallen away.

• The Assessment Officers were placed on a Task 11 with a test admission progression grade to 12.

• The Deviation Officers were placed on Task 13, and have put in a management supported grievance to the Grading Council to relook at their Task Grading as a technical position on Task 14. This is currently
being debated at Grading Council. Regardless of the outcome of their application for Task review, currently there is a substantive material difference in the earning levels between staff members of the Assessment Team and the Deviations Team.

- Four vacant positions within the Assessment Team were filled in November 2006. Training for this job was not provided.

**Summation**

From a total of 35 combined Plans Examiners and Consent Use staff, which excluded the Township areas, the Assessment Team is currently working with 15 “multiskilled” individuals assessing all plans within the Ethekwini Region including an additional 3 million properties through the inclusion of Kwa Mashu, Inanda and Umlazi into the Municipal Boundary.

The Assessment Team, who now undertakes the job descriptions of two separate jobs (Plans Examiners and Planning Control Assistants) were placed on task grades one/two above their previous positions. The Deviations Team who have had a portion of their work taken away from them (building plan assessments) and who now only concentrate on Special consent applications have been placed on a task grade which is 3 levels above their previous positions.

**4.5 The Customer**

Whilst there has been the internal change process and restructuring occurring within the Department, the ramifications for the customer and the city as a whole, has been significant. Several articles (Appendix 1) in the Mercury Newspaper cite the backlog of plans approvals at the Planning Department as a serious setback to investment and reason for the erection of illegal buildings in the city.
An important Editorial in the Mercury: *Illegal Buildings*. Mercury. 26 July 2006, (Appendix 1) read:

“IT is unacceptable that thousands of property owners and developers have been proceeding with building operations before obtaining the necessary planning permissions from the eThekwini Municipality. No fewer than 6 000 illegal building developments have been identified in Durban within the past 18 months, suggesting that in places the regulations are simply regarded with scorn.

On the one hand, it is positive that the municipality has now decided to take a hard line against rogue builders and to publicise these efforts. Last week city officials sought a demolition order against a developer who, it is alleged, is erecting a training college building in Essenwood Road without an approved plan.

On the other hand, it is crucial that the city itself should constantly review its processes to ensure it is offering efficient and consistent standards in the handling of building applications and the interpretation of bylaws. Developers, architects and builders have complained over the past few years about the slow processing of their applications. City officials have pointed out that many of these issues are complex, requiring compliance with a variety of questions related not just to building issues but to issues involving town planning, the environment and land.

There have been long and costly delays which, in some instances, resulted in frustrated owners simply proceeding on the assumption that rubber stamp approvals would be issued in due course.

These delays flowed from a building boom that followed low interest rates and favourable economic conditions, coupled with a loss of experienced municipal employees and the juniorisation of some posts.

It is critical that the corrective action that now has been taken should be followed through. Experienced staff need to be employed, retained and correctly deployed.
Building without approval of plans can be dangerous and, in the interests of safety, the city cannot allow a building free-for-all to occur.”

This Editorial (Appendix 1) encapsulates the multifaceted issues that have emanated from the change management process that was implemented within the Town Planning Department. This change process was implemented in order to “cut the red tape” and facilitate the plans approval process to allow for greater business confidence and the ease of doing business within the Ethekwini Municipal Region.

The outcomes of this process however, seems to have left the internal recipients of the change in a state of flux, incoming staff in a quandary and the external customers the indirect recipients of the changes, in an uncertain business environment.
Chapter Five

5. Presentation of Results

5.1 Information Gathering

Over the course of three weeks between June 2007 and July 2007, the researcher met and interviewed 9 members of staff. All the staff members interviewed, had held positions within the Consent Use Department prior to the year 2000, and were all still employed within the Department albeit in different positions as an outcome of the changed system.

The course of information gathering as the primary tool of this research was initiated in June 2006. The initial response rate was low and involved numerous follow up calls to the subjects. The following were forwarded as reasons for the low response rate:

1. Staff did not have the time during work to fill out a 14 page questionnaire.
2. Senior staff were critical of time spent on activities unrelated to work.
3. Staff were concerned that senior staff were watching them and/or that they were being reported to senior staff by other members of staff.
4. The request was not a priority in a pressurized work environment.

This feedback led to a re-evaluation of the information gathering process and ultimately to the redesign of the questionnaire itself. The redesigned questionnaire allowed for a greater exploration of thought, and more open-ended questions.

The researcher e-mailed requests for appointments to 10 staff members of the Development Management Department. Two staff members refused to be part of the interview process. One additional staff member was solicited to contribute in the interview.
Specific appointments were set for each interview. Several of the later interviews had to be re-scheduled as it became apparent that each interview session was approximately two hours long.

Between early June and the middle of July 2007, 9 staff members of the Development Management Department were interviewed as part of this research dissertation. The raw data (Appendix 7) was extrapolated into natural meaning units and captured in a Table (Appendix 8).

The researcher used a questionnaire (Appendix 6) to introduce the research. Each participant was requested to read the covering letter (Appendix 6) and indicate their comfort with regards to this. The covering letter had the following sections, a Preamble, a Confidentiality Clause, and Feedback Clause and a space for the signature of the interviewer.

The Preamble, thanked the interviewee for agreeing to be interviewed, as all interviews were prearranged with the participant. It also indicated that “The context of this process will also be explained verbally before we engage on the questionnaire itself”. This enabled the interviewer to set the context of the research and explain the ensuing process. This section further indicated that anything that required clarification would be explained.

The second part of the covering letter had a Confidentiality Clause, binding the interviewer to maintain and respect the confidentiality of all participants and further undertook to remove any identifying elements.

The third part of the covering letter had a Feedback Clause, binding the interviewer to make the results of the research available to all participants, in order to empower participants to understand their current context.

The final part of the covering letter indicated a blank space for the interviewer’s signature, which was signed in front of the participant. This effectively gives legal recourse and comfort to the participant in terms of the stated preamble, confidentiality clause and feedback clause.
The Case Study used for this research is within a Unit in the Development Management Department with a staff contingency of 24 people. A sample size of 9 staff members interviewed constitutes of 38% of the Unit.

5.2 Biographical Data

Graph 1: Demographic Profile of Sample Group

Of the 9 staff members interviewed, seven were male and two were female. Whilst there are 24 staff members, there is currently only four female staff. The three female staff members who were part of the old system were interviewed. The other female member of staff is a new employee.

Graph 2: Ages of Sample Group
All of the staff interviewed from the youngest to the oldest member has an employment record of between 10 years to 24 years of service.

The 5 staff members within the 25-35 and 36-45 age groups, all started their careers within this Department. The four older members of staff have had longer careers within the Council, having started their working careers in different departments. Each of these older staff members have, however, been employed within the Department of Development Management in excess of 10 years.

Staff members who were employed within the Department prior to 1997, do not have any formal qualifications. A tertiary education level was not previously a job requirement for the Consent Use Department. After 1997, formal tertiary qualifications became a requirement for all posts above administration level, throughout the Council. As a result, whilst there has been a high turnover of staff with qualifications, those without formal qualifications have remained within the department. This is the reason for the numbers of staff over 46 years old being the highest in the sample.

5.3 Emergent Themes from the Data

A survey was undertaken of the participants within the semi-formal interview format, and framed as open ended questions to allow the interviewee a greater range of explorative and free thought space. This technique allowed for individual perceptions and experiences to surface, rather than a collective and perhaps standard response given in a closed format structure.

The questions were grouped into themes that explored experiences on:

1. The Changes
2. The Agents of the Change Process
3. The Job
4. The New System
   • Client’s Reactions
   • Old System to New System
   • Benefits to Clients
• General
• Changes to make the System Work

5. Staff Issues
• Stress
• Commitment

The questions also differentiated where applicable between different stages, using the process as a point of reference: Before, During, After and Now. This format was followed in order to ascertain the experiences of the participants at the various stages of implementation. The reason for introducing a timeframe to the process was in recognition of the notion that the internalisation of events is not uni-dimensional and is difficult to encapsulate from an experiential perspective.

Each theme in the questionnaire elicited a range of responses. The researcher in tabulating the results grouped together those responses that appeared distinctly similar, were the same, or which according to the researcher demonstrated a commonality of intent.

**Theme 1: The Changes**

![Graph 3]

*Graph 3*
The interviewees expressed a high degree of stress and anxiety over the changes. Close to ten responses alluded to a general sense of unhappiness and fear that change was inevitable.

Whilst there were a small group of interviewees who felt positive initially, the process of the change did not unfold positively in their experience.

There were three types of responses that described the process negatively, viz. “badly managed”, “factory-like”, and a general “distrust of the process”.

Other factors that added to distrust in the process was that the Core Group was seen to be positioning themselves rather than expressing the needs of the staff through the process. Adding to the sense of distrust was that Council was seen to gain financially from the changes as a smaller staff complement was given twice the workload.

5.5. Theme 2: Agents for Change

Respondents expressed a small degree of “annoyance” at the agents for change. (Agents refers to the external consultant project manager and the Core Group who were assembled to mediate and liaise between the main body of staff and the project manager/management).

An explanation of the “annoyance” could be attributed to what one respondent described the employing of an external project manager as being:
“unnecessary”. There was also a sense that the agents were the scapegoats of management. This is reflected in the second highest response rate pinpointing management’s “Top down, Will do” attitude to the process.

In describing the Core Group as agents of change two of the next highest responses described the appointments of the core group as acts of “favouritism” on the part of management. They also felt that the core group “acted in their own interests” as opposed to the interests of the main body of staff. An equal response rate to the core group acting in it’s own interests was that, staff ideas were not considered. These two notions are similar perceptions expressed differently. The highest number of responses believed that the change agents acted for management thereby rendering the change process undemocratic and unethical.

Though only four responses alluded to a sense of disappointment and unhappiness, there was a generalised negative perception of the role of the change agents. One subject, however, felt that the behaviour of the agents were an acceptable part of the change process.

5.6. Theme 3: The Job

![Graph 5](image-url)
This theme focussed over the entire period of time from *before* the change management process began, to *during* the process, *after* the process and up to the present (*Now*). This format was used to plot the attitude of staff members towards their job at the various stages.

*Before* the changes, respondents reported that the work was very interesting and varied. They enjoyed their work and liked coming into the office each day. One respondent captured this sentiment by indicating that she was “committed, competent and confident”.

The period *during* the changes was described by most of the sample group as a time of uncertainty and disillusionment. The issue of distrust of the process was again expressed in that management was seen to have planned the system and were just “going through the motions”.

One response elicited the belief that the uncertainty was to be expected as part of change.

The period *after* the change management process was implemented shows a peak, with twenty-one recorded responses indicating negativity, unhappiness and dissatisfaction.

One respondent was excited about the potential of a new system and two replies indicated an anti-climactic situation, where the changes wrought “uneventful” and “boring” circumstances.

The current situation within the Unit is, according to seventeen responses, one of pressure and stress. The issue of being overworked as the cause of the pressure and stress emerged six times. There were five responses that expressed a preference for the old system.
5.7. Theme 4: The New System

Graph 6

This theme was devised to elicit responses about the new system and its influence in the organisation, as a value system for the individual, its engagement on a personal level and finally it’s empowerment of the individual.

From an organisational perspective, interviewees had a sense that the new system did not support teamwork and that the unit no longer functioned in teams. Four responses cited unhappiness and stress. Some of the stress could be attributed to the concern of backlogs. This was indicated four times.

Eight responses indicated that the new system did not have any importance as a value system. In support of this two replies felt that the system made people self-serving, whilst a further three responses indicated that they felt exploited. To these respondents the new system therefore did not impart any sense of value.

One response cited loyalty as a “matter of being” and therefore not confined to any external system.

The next category evaluated each member’s individual experience of, and relationship with, the new system. Six responses in this section drew the
reaction that staff felt that they were not consulted. Three replies indicated feelings of being ignored and stifled.

One response brought up the issue of being self-taught with regards to the multi-skilling. Intimating that while management clearly developed the requirement of multi-skilling through the changes that were initiated; they did not provide any formal training to staff in order to undertake the work that was required of them. Another single response declared that “management were ostriches”, which was explained to mean that management pretended that there was nothing wrong with the process, the implementation and the system.

In terms of the new system empowering staff, the highest number of responses were “yes”. Most of these respondents further reported that the empowerment was more by *default* than by design. This was because staff were left to train themselves in the field of plans examination, and were required to learn and apply the National Building Regulations. The next level of responses indicated that staff also found the new system *disempowering*. Two responses indicate anger at the notion that the new system could be empowering and one response pinpointed a “system breakdown”.

5.8. Theme 4: The New System: Client’s Reaction’s

![Graph 7](image-url)
Graph 7, is a pie graph that outlines the reaction of the clients to the new system. Clients to this system are: plan drawers, developers, homeowners, architects, as well as other Council Departments: Real Estate, Parks and Recreation, Health, Pollution Control, Solid Waste, Water Electricity, Environment and the Traffic Departments.

It was cited 20 times that clients were frustrated with the delays and backlogs emanating from the new system. Staff felt that management was unconcerned with client’s issues (6 responses) and it was stated 14 times that staff were left alone to deal with these issues. In support of this scenario, 2 responses indicated that management did not value the role that staff played in appeasing client’s frustrations over the new system.

The staff, as the first point of access for the client, indicated that they received the bulk of client’s complaints as opposed to management. Fourteen responses supported this notion. Further, five responses stated that client’s expressed anger over the new system. Three responses noted that clients had observed that more of the work was passed onto them.

5.9. Theme 4: The New System: Old System to New System

![Graph 8](chart.png)
This is a sub-theme of Theme 4: The New System Theme.

In a subjective assessment of the sample group between the old system and the new system, 8 responses focussed on the meshing of two “in-compatible” jobs, as being the primary cause of “failure” in the new system as compared to the old system. These two jobs, Town Planning and Plans Examination, each deal with different regulations governing specific sectors.

Seven replies cited too few staff as a major contributing factor to the misfunctioning of the new system comparatively. Equally, 7 replies also stated that the new system was inefficient whilst the old system was efficient.

Three responses indicated that the new system was a “calamity”, and a further 3 responses felt that shifting more work onto the clients was part of the problem.

One of the responses summed up the new system as causing too many issues in the process of change.

**5.10. Theme 4: The New System: Benefit to Clients**

This sub-theme on the Theme 4: The New System, attempts to specifically detail any benefits to the clients that arose from the changes. A key factor emanating from the responses on this sub-theme is that none of the

![Graph 9](image-url)
respondents indicated any positive benefits to the clients. The highest response under this sub-theme (thirty responses), is again the recurring “pressure and stress” on staff. In this instance however the underlying issue is the difficulties wrought by the change to the new system had to be managed daily by the staff. The difficulties with the system were felt acutely by the users of the system- staff and clients, as opposed to the managers of the department, who did not have to navigate the use of the system at the level of operations.

The next highest level of responses (eighteen) indicated the frustration of clients having to deal with backlogs. The next level of responses is the recognition (sixteen) that these backlogs are causing delays in approvals, which cost the developer time and money. Fourteen replies - which relate back to the issues of backlogs and delays, also state that the new system has not been beneficial to clients as it was slow and inefficient.

Seven instances of “no teamwork” were listed in support of the statement that the system was not beneficial to its clients. Staff expressed a concern (five responses) that management was not listening to the issues of the clients. A further two responses noted that the processes that were required in the new system in order to facilitate development was having a negative effect on clients.

5.11. Theme 4 The New System: General
This bar graph represents the general issues, which the sample group related to the new system. In 3 responses it emerged that the sample group felt that management misrepresented matters and did not follow through on staff issues. It was believed that this was done, in order that they (management) “looked good” at a council committee level.

A further three responses focussed on management shifting training needs on to staff and spreading a vast volume of work onto a small number of staff. The customers reactions to the system was “abusive and disgruntled” according to 2 responses, which was qualified as being “understandable”.

One respondent cited inexperienced new staff as compounding a system already in disarray. Another 1 response felt that the teamwork present in the old system worked well and was favourable as compared to the current new system.

5.12. Theme 4: The New System: Changes to make the system Work

![Graph 11]

The bar graph represents responses from the sample group about what they believe could be implemented within the new system to enable it to function properly. The highest number of responses (15) indicate that reverting to some
aspects of the previous system would improve the functioning of the newly implemented one. This was explained to mean:

- Separate the Plans Examination and the Town Planning functions.
- Combine the Town Planning role of the Assessment Team with the Town Planning role of the Deviations Team
- Allow inspections to take place and
- Distribute the workload between the staff of both teams.

The next highest number of responses (6), similarly support the move to the old system by pinpointing a significant aspect of the job as being experienced based, and therefore required experienced staff. It was recommended that by combining the two units (Assessment Team and Deviations Team), six experienced staff members would be included in the distribution of the Assessment Team workload. Whilst the Deviations Team workload would also be redistributed to all staff members as the highest percentage of workload is within the Assessment Team, the additional staff contingent would drastically reduce the backlogs in the section. The respondents explained that this would reduce the stress and frustration felt by staff and clients alike.

Increasing the staff component was further supported by five responses who believed that more staff needed to be employed and suitably trained to alleviate the pressure of the work within the Assessment Team.

Staff skills are again highlighted by 3 responses which recommend that staff be properly trained. This recommendation is a qualification of a notion held by the experienced staff members within the Assessment Team and client’s who have dealt with new staff. The notion contends that there is an inadequate level of training, skills and understanding of the work, among new staff within the unit.

Two responses believed that if management attached a technical grade to the job description, much of the pressure and stresses of the work would be dissipated.
A further two responses felt that the system would function adequately if other Departments bought into the One Stop Shop concept as a key operational function for fast-tracked approvals.

One response thought that an aspect that needed to be changed was the authority of staff to question elements of a plan.

Equally another 1 response felt that improvements needed to be made at management level to effect any improvements within the current system.

5.13. Theme 5: Staff Issues

The fifth theme of Staff Issues is represented in a similar format as that of the Theme 3: The Job, in order to plot the timeline from before the change management process began to the present (now).

Before the change management process began, the sample group responded with a degree of scepticism as to what was about to happen (the changes).
Four respondents reported feeling a sense of “annoyance” that the present system was about to be changed. The highest response rate (seven responses) indicated surprise by the changes with the adage “why fix it, if it ain’t broke?”

One staff member stated that management did not attend to staff concerns regarding the need or the reasons for the change.

*During* the changes, several issues questioning the new process were raised. The benefits of changing to a new system were questioned. Another aspect that was raised was the combining of two different job descriptions.

It was felt that combining the job descriptions meant a doubling of the workload but simultaneously took away responsibilities and created a position of less variety and interest.

The highest response which also related to the combining of two job descriptions was, that management offered no training to support this process, and staff were expected to train themselves. Three respondents indicated a sense of unhappiness that change was required.

Four respondents pointed out that the Core Group was chosen by management, not staff and therefore clouded the process. Equally four respondents had surmised that management had already made up their minds, and the process was only a matter of “going through the motions”.

Three respondents alluded to the Grading, which refers to the salary level commensurate with the job description. This became an issue as management had said that “if we were multi-skilled we would get on a higher salary grade”.

The period *after* the changes took place elicited many issues for the interviewees. The highest number of opinions focussed on the core group seemingly been given job *preferences* in comparison to the main body of staff.

The next level of responses surfaces the pressure and stress caused by the change to a new system and the high workload it wrought.
Four responses alluded to “promises not kept” by management. Another four reactions focussed on the increased workload, caused by the addition of a second job description and the simultaneous reduction of the number of staff.

Grade issues also elicited four responses, as it was felt that the grade was not now commensurate with the increased workload and expanded job description. An equal number of responses also centred on the feeling that management treated staff like machines in a production line rather than as people.

A few staff members concentrated on the lack of training provided by management, which they believed resulted in a difficult and protracted transition to the new system.

Two responses indicated “anger” at where the changes have led to and another response questioned “when is after?” This expression questioned a sense of a never-ending state of flux created by the changes that needs to be constantly managed.

Other opinions solicited, suggested that management were implementing a system that they had already agreed upon. The changes wrought affected the variety and interest of the work, which was described as unappealing and “factory-like”.

Another factor that emerged was that the adhoc car subsidies (a petrol reimbursement scheme) were revoked and staff were no longer allowed to go out on site inspections.

Staff felt aggrieved that the tools of their work were compromised and that they were no longer able to make informed decisions regarding plans approvals.
5.14. Theme 5: Staff Issues: Stress

Graph 13

Stress emerges as a sub-theme of the fifth theme, Staff Issues, which is represented according to the timeline format. The issue of stress is considered from the time before the changes occurred to the present (now). This design allows for a comparative analysis and observation of the levels of stress at different stages of the process.

The period before the changes had a high degree of pressure and stress (eleven responses), this was seen as good stress and supported the evaluation that work was a challenge (three responses) to the staff. Six respondents stated that work was enjoyable and that coming to work was a pleasure.

During the process of change, a high level of stress (twelve responses) was also recorded. This stress however was not positive stress but negative stress as respondents were struggling to cope with all the changes that were being implemented as well as being taken out of their “comfort zones”. Three respondents felt that too many changes were occurring and two respondents described the period as “murky”, giving a sense of unease and “entering uncharted waters” (sic).
The period after the process was implemented also brought a high level of stress as reported by twelve respondents. The experience was described as unsettling, and was further compounded by a sense that management was not listening to staff concerns and needs. Feelings of being sick and exasperated at the lack of response from management came to the fore.

Presently the situation as reported by the sample group is one of high pressure, frustration and stress. The large volume of work that has resulted in continuous backlogs has compounded the feelings of frustration and stress.

Staff have reported that they feel a sense of defeat and resignation regarding the permanency of the current system. Two staff from the sample group felt that their health problems were a direct result of the pressures caused by the new system and its difficulties.

5.15. Theme 5: Staff Issues: Commitment

[Graph 14]

Graph 14
The aspect of commitment as a sub-theme of the fifth theme, Staff Issues is represented according to the timeline format. The issue of commitment is considered from the time before the changes occurred to the present (now).

Before the changes, the representative group felt a high level of happiness and love for their work. The next level of responses, cite dedication and commitment as a key defining state in their relationship to their work. Two respondents indicated a state of healthiness.

During the process, respondents reported feeling unhappy and frustrated, as well as despondent, both descriptions expressing similar emotions. Three respondents describe feelings of stress and three others express feelings of being used as a “pawn” by management and the agents of change.

Two responses raised the issue of increased sick leave, being used by themselves and other members of staff to help alleviate some of the stresses that were felt in the workplace.

Staff also felt that disagreements became commonplace between staff and management. One staff member indicated that they had become reserved during this period. Another response was that there was decreased work commitment because of the changes.

After the implementation of the changes, staff reported feelings of frustration and anger. Three responses each pointed to being “uncommitted”, feeling “sick” by the situation and “demotivated and disappointed”. Two respondents had their predictions of “failure” of the new system “come true”. Equally, two other responses believe that there is no teamwork within the new system and that staff were treated like factory workers. Another two respondents felt that management was the enemy. One respondent felt jaded by the process and the implementation of the new system.

Currently, (now), there is a sense of exasperation, with five respondents claiming that “nothing has changed” compared with the scenario of the process after. Three respondents felt that staff were “worse off, and things are bad”. Three other responses pointed out that there is no teamwork in the new system.
A sense of being demoralized, having no loyalty and also “feeling sick” seemed to underpin the general “state of being” of staff members. One respondent felt that the new management was trying to deal with the issues.

5.16. General Comments

The following are general comments made by staff about the process that they underwent. These are directly quoted from the sample group.

| 1. Unethical process                                           |
| 2. Management should have included us in the process           |
| 3. No transparency                                            |
| 4. “People don’t leave jobs, they leave people”               |
| 5. It’s a hard job, you must know your stuff                  |
| 6. Management does not understand the complexity of this job  |
| 7. This job took my life                                      |
| 8. Management are like the army, staff are expected to do what they instruct, no discussion. |

5.17. Summation

This chapter detailed the responses of a sample group (thirty-eight percent) from the Department of Development Management. The information gathered was graphically represented for ease of understanding, and then comprehensively presented to articulate the issues behind the responses.

The next chapter will employ some of the key concepts detailed here and analyse these issues within the framework of Systems Thinking and Change Management, Leadership and Organisational Theory.
Chapter Six

6. Data Analysis and Discussion

6.1 Introduction

This chapter discusses in detail the findings of the current study. This discussion is taken forward by examining the results against the hypothesis.

6.2 Discussion in Relation to the Findings

6.2.1 Introduction

Over the last two years, South Africa has geared up for projected economic growth of 6%. This goal was established by President Thabo Mbeki, delivered in the State of the Nation Address in February of 2005 (National Govt, 2005).

The Accelerated Shared Growth Initiative (AsgiSA) a National Government economic programme was established to drive and achieve this target of 6% yearly economic growth by 2010. The programme also seeks to halve poverty and unemployment by 2014 (National Govt, 2007). This economic growth target has filtered down through established government structures as well as the private sector.

In pursuance of this goal, government, institutions and business realised that the systems of doing business needed to be more streamlined to cope with the speed and volume that a growing economy demanded.

It was through these macro-economic drivers that workplace transformation and change management became commonplace as a necessity and grew catalytically within the economic and services sector of South Africa.

However while the need for change had been established, the process of workplace transformation can and often has, created more problems than
solutions. The process of change is essential to affect the successful outcome of the transformation itself. This critical factor is often overlooked in a race to get to the end of the process, which for many companies is the beginning of new work systems.

The assessment of the success of a transformation process is not a singular measure. The success of a transformation process is more often a multitude of integrated factors that work in cohesion towards a desired result. If all the factors are not working in cohesion, the system may seem to work initially but starts to unravel and is unable to function optimally.

6.2.2 Findings

Through the data collection (interviews, newspaper articles and personal observation) the present study concludes that:

People who have been included, engaged and valued through processes of change are able to shift and re-pattern their behaviour to cope with the new work environments. Further those that have had the process of change imposed upon them, experience no shift of paradigm. This cursory impact on the individual does not create any lasting mental model and instead generates personal, environmental and relational conflict.

In the current study, the data supported the notion that people were desirous to be included in the process.

6.3. Systems Theory- Review

The analysis and discussion aspect of the findings and results of the research shall be done within the framework of systems theory. This framework, the Systems Approach not only affords theoretical rigor but is also a way of looking at the world in a holistic manner.
According to Lucket (2000:3:) a system could be defined: “as a collection of things and/or activities which are interrelated and which can be regarded as a single, whole entity that has a purpose and that can adapt and survive in a changing environment”

Within the organisational context, the Systems Approach enables one to look at an organisation as whole systems made up of interrelated parts. As these systems are described in constant interaction with its environment they are known as “open systems”, (Jackson, 1991)

Systems thinking is a language and a set of tools that enable us to understand and communicate the dynamic complexities and interdependencies of relationships. Through the work of, Professor Jenkins in the United Kingdom in the 1960’s, it became apparent that the direct application of systems thinking did not work in all situations. The application of systems thinking became more complex and difficult when it was applied to issues other than that of a technical nature. Thus, the distinction between “hard systems” and “soft systems” developed through the practise of systems thinking.

Within organisations, many of the difficulties faced by managers are not single stream problems which are easily identified and solved; where “x causes y”. The issues tend to be an amorphous complex web of interconnected relationships, hence the requirement of soft systems thinking when dealing with people.

Soft Systems Methodology is seen as a “process for managing human beings in messy complex situations for purposeful activity” (Lucket, 2000:3-6). The essence of the methodology is a learning system that deals with people’s perceptions to enable interaction towards the improvement of an undesirable situation.
6.4 Context

The purpose of the redesign within the Development Management Department was to develop an efficient, effective system. A system that could be accessible, dynamic and responsive to the needs of the people it serves.

The Department is the only service provider for building plans approval in the metro local council. It is the core function of the Department to manage the statutory regulations governing the erection of any structure or building. The clients, who are also recipients of the change management process, are regarded as an important means to the unlocking of investment in Ethekwini. The objectives of developing an efficient system that would unlock investment and growth within the Ethekwini region have not been achieved.

Interviews with key personnel, stakeholders, interested and affected parties as well as perusal of the Best Practise City Commission’s Report for the restructure (1999) has enabled the author to conceptualize the problem situation in the form of rich picturing. Two rich pictures were used to depict the issues and elements and visually document the relationships between these two.

Information gathered for Chapter 3, which details the historical context of the unit together with the stakeholder interviews were used as data generating tools to enable an understanding of the relationships and complexities of the situation.
6.5 Key Themes:

The key themes that emerged through the data analysis process have been coalesced into:

1. Stress
2. Lack of Transparency
3. Traditional Management
4. Lack of Inclusion

6.5.1 Theme: Stress

The theme of “stress” was strongly represented throughout the data sets (presented in Chapter 5). The term “stress” over and above referring to a feeling of discomfort is more used to describe a general state of psychological and concomitant physiological and behavioural reactions to situations, which are counter to an individual’s frame of reference (Pillay, 2007).

The data revealed that high levels of stress were experienced in relation to: The Changes (Graph 3); the functioning of the new system from an organisational perspective (Graph 6); the poor delivery of work in the new system (Graph 9), Staff Issues “after” and “now” (Graph 11); “before” positive stress and “during”, “after” and “now”- recurring stress (Graph 12), “during” (Graph13).

By applying Kurt Lewin’s (1941) basic 3 stage method of “unfreezing, changing and refreezing” to the case study; the first stage would dismantle the existing “mindset” to overcome the inertia of staff. The second stage would be the changes (where there was no system yet to replace the old one) and the third phase would be the replacement of stability. In the third phase, the mental models of the staff would successfully adapt to a new comfort zone in a new system.
The period of time from the implementation of the Change Management process within the Department of Development Planning, to the present is seven years. The emergent and continuous high degree of stress experienced by the staff members long after the change management process was terminated, indicates that the replacement of an adequate system to which staff could accustomise and “refreeze” was unsuccessful. The “mental models” of staff therefore did not shift and re-pattern from the old system to the new system.

Peter Senge’s seminal work, “The Fifth Discipline”, (1990), describes the way people see the world.

“what we carry in our heads are images, assumptions and stories. These are deeply held internal images of how the world works”

(Logsdon on Senge, 1996:6)

Senge (1990) termed this “mental models”, the same concept was purported by Thomas Khun and Joel Arthur Baker as “paradigms” (Logsdon, 1996).

If the stress experienced by staff were more closely examined in terms of these “mental models” (Senge, 1990), staff may have held on to the belief that the “old system was better”. The resultant inability to shift into a new mental model that allowed the acceptance of the new system could not then occur. This mental model may have been reinforced by management’s inability to create “a shared vision” at the outset of the process and thus empower the successful functioning of the new system.

It is important to note that Graph 2, which graphically depicts the Ages of Sample Group, indicates that seven of the sample group staff fell into the “35-45” and “45 and older” age groups. Additionally, of the 9 staff members interviewed, seven were employed with the Department for three years and more, prior to the intervention. These staff members would therefore have developed intrinsic long-term habituated and learnt behaviours to their workplace environment, which could have added to the resistance that staff members felt towards the changes. The conflict resulting from these mental
models could therefore have compounded the feelings of stress experienced working within the new system.

A further contributor to the stress experienced by staff was the lack of training provided to them. Staff members were unable to be fully functional when the new system became operational because the new system demanded a complex and different skill. This situation rendered staff members incapable of the competency they possessed in the old system. In effect the lack of training and re-skilling would have led to staff perceiving themselves as incompetent and inadequate. This would have further entrenched resistance and created stress within the new system.

Whilst management had a well-run system of highly skilled staff in the “old system”, the “new system” had a group of untrained staff who felt incompetent and stressed. These staff members were failing to cope with the demands of irate customers within a new unfamiliar work environment.

Staff members had experienced a shift in circumstances from a familiar and navigatable workplace environment; they had lost control over their own work and were now in uncharted waters.

Management and Leadership theorists (Bennis & Nanus, 1985), suggest that a primary component of management effectiveness is that of “empowering” subordinates. The experience of not being skilled “disempowered” staff. This meant that staff could not effectively engage with the new system. The “lack of skills” resulted in an inability to work efficiently, which resulted in backlogs of work.

All of these causal factors created a build up of negative stress experienced by the staff members. The pressure from different quarters, (management, clients and the workload) meant that the stress was constantly perpetuated. The recipients of the change management process were caught in a causal loop of negative stress.
The Porter–Lawler Expectancies Model (above) defines work performance as being based on skills, understanding and motivation. Good performance is dependant on the person understanding what is required, having the skills to achieve what is required and being motivated to apply the necessary effort. If this model is applied to the case study, then all four elements required for a person to satisfactorily perform his/her job effectively, was missing.

Management did not motivate the staff body. Instead management undertook the process of change without engaging in conversations to impart key knowledge and understanding about the change; they did not communicate a shared vision. Senge (1990) purports that this shared vision is critical to breaking down resistance in mental models (Longsdon, 1996:4).

The results gathered at the interview stage showed that staff were certainly not trained to manage the complexity of the “new system”. Instead they were left to multi-skill themselves. The staff had already formed negative mental models of managements’ offered incentives and therefore did not consider the value of the benefits or the effort over the benefit as motivational.

The results of these conflicts were a demotivated staff body expressing a “lack of personal accomplishment”.

Figure 8: The Porter-Lawler Expectancies Model
(Source: Boak & Thompson, 1998)
Transformational organizational change is an important life experience for employees in any organization. According to Robinson & Griffiths' study of *Coping With the Stress of Transformational Change in a Government Department* (2005:204-221), not only is organizational change a major source of work stress, but the researchers identified five sources of change stress:

1. Increased workload,
2. Uncertainty/ambiguity,
3. Interpersonal conflict,
4. Perceived unfairness,
5. Perceived loss.

These five sources of change stress are strongly evident within the data sets of this research.

**6.1.1.1 “Increased workload”**

This issue emerged as a theme initially in Graph 3, which graphically represents perceptions about the Changes. In this graph, eight responses cited a doubling of workload. The same graph recorded thirty-one responses of Stress and Anxiety. Together with other salient factors, the correlation between “Increased workload” as a source of workplace stress corroborates Robinson & Griffiths (2005:204-221) study.

“Increased workload” appeared under the categorised Theme 3: The Job, expressed in Graph 5. The relationship between pressure and stress has a causal link to being overworked, which according to the subjects was a result of the increased workload.

This theme emerges again in Graph 9, which represents the “Benefits to Clients”. In this instance the link between stress and “increased workload” is not direct, but inferred. In this graph, “pressure and stress” emerge as the dominant subject. The “pressure and stress” described here as experienced by staff is
caused by the inefficiencies of the new system. In the new system, “Frustration at backlogs” felt by the client has a direct stress impact on the staff. The stress response is unavoidable because the backlog is a result of the increased workload.

Under Graph 13, representing Staff Issues, the workload theme emerges again. It is first surfaced in the time frame of “during” the Changes. However in this category, there is no reference to stress, and workload issues is a cognitive idea rather than an operationalised one. The theme of “increased workload” re-emerges in the same graph in another timeframe i.e. “after”. In this defined period “after”, the correlation between stress and the increase in workload become apparent. In this period, the staff were expected to undertake the operations of the new system. The operations would include the reality of the additional workload and therefore stress emerges as an acute response to this pressure.

Robins and Finley (1998), make the amusing observation (though no less real) that the pain is almost physical in organisations where the answer to sluggish output has been to downsize, in so doing passing the work onto fewer employees, battering them into surrender.

The difficulty, the researcher proposes, lies in what some Change Management theorists see as “strategic blindness”, or careless delayering. Strategic blindness is when management equates lean-ness with effectiveness; where “doing more with less” becomes the focus (Kanther, Stein & Jick, 1992:230). The objective becomes cutting costs, while trying to be effective at the same time. People are not looked at as assets, but as costs. Resources have been cut and stretched at the same time. Therefore value, in terms of expertise, potential and experience is allowed to be lost.

The strategic planning vision to create a vibrant customer focused centre was compromised against a secondary goal. Strategic planning for the department was absent and instead myopia governed the assessing of the potential of the department and its systemic impact over the longer term. The only focus here is
the seeming cost effectiveness of the plan and therefore the seeming competence of the implementers.

The issue of what I’ve called “careless delayering” is endemic in this department. In the last 3 years, 13 people have left. Management has made it clear that those positions will not be filled. The Department has become what has become known as the “anorexic organisation” (Wilkinson, 2005:1080).

An organisation (here a Department) that has been downsized and delayered to such an extent that it could actually increase costs in the longer term Downs (2008:1). There is decreased productivity due to work overload, stress and low motivation levels. Regular auditing processes and feedback loops would have picked up on the problem if they were carried out with the necessary vision and integrity.

The new system is supposed to have substantially decreased the amount of time an application takes to be approved or referred. This has not happened.

The reason behind this is that there are so few people, keeping the system functioning, that when one person is absent, the system comes to a grinding halt (Deal and Kennedy, 2004). There is no backup of people to allow the work to continue unhindered. As a result, there is continual crisis. This continual crisis limits the ability of an organisation to innovate or prepare for it’s future (Deal and Kennedy, 2004).

The public has seen no benefit in the new system and customer needs although come first, cannot be attended to quickly or efficiently enough and the sustainability of the organisation becomes questionable (Wilkinson, 2005). The large investor is still not being cared for. The only system in place for the large-scale developments is tracking of the plan by computer.

6.1.1.2 “Uncertainty/ ambiguity”

This theme has not always appeared under the same terminology in the collected data. Instead, the expression of uncertainty has surfaced as
generalised feelings of unhappiness and despair. People spoke of their despair and unhappiness when referring to not having clarity and not having a sense of direction in the new system. Graph 3 (The Changes), Graph 4 (Agents of Change surfaces) and Graph 11 (Staff Issues) all surface “unhappiness”, coupled with “fear and disappointment or disillusionment”.

While it may be argued that these “generalised feelings” might be the consequence of the changes that were occurring, it is the nature of change to bring about “uncertainty”. It would be incumbent upon the (change) agent to replace this “uncertainty” with a credible system in which a person would find personal meaning and a structure to function within. This “new system” would dispel feelings of “uncertainty” through its own systemic functioning.

The term “uncertainty”, was directly expressed in Graph 5 (The Job) in the “During” period. Graph 12 (Stress) “During” was regarded as “murky”. This word graphically represents the feelings of uncertainty and suggests that there was confusion and no clear vision or goal. This graph also records in the period, “After”, a sense of feeling “unsettled” and in the “Now” period, defeat and resignation.

Kanter, Stein & Jick (1992:242), detail the negative consequences of employee “uncertainty” as:

- **Confusion**: Where things are in disarray
- **Misinformation**: where communication is haphazard and rumours are rife.
- **Emotional Leakage**: There is no focus or credence given to emotional reactions
- **Loss of Energy**: Negative change consumes emotional energy. The mood becomes sombre, morale sinks and it is difficult to maintain the usual pace of work.
- **Breakdown of Initiative**: Initiative and spirit are lost, people become passive and wait to be told what to do
• **Weakened faith in Leaders’ ability to deliver and the need for scapegoats:** Management loses credibility. Implicit promises made during the process, seem to be broken (Kanter, 1989)

All these negative elements that arise from “uncertainty”, according to Felkins, Chakins & Chakins (1993), are evidenced in the emergent themes arising from the data.

Issues of “despondency” surfaced in Graph 13 (Commitment) in the “During” period. The period “After” is peppered with sentiments of demotivation and disappointment as well as feelings of being jaded. The expression of being “demoralised” emerged in the period “Now”. The “emotional leakage and “loss of energy” described by Kanter, Stein & Jick (1992:242), are manifested in these comments. The research therefore supports the theory.

### 6.1.1.3. *Interpersonal conflict*

Whilst the theme “Interpersonal conflict” seems to encompass many of the emergent data sets, the most profound is the impact on the working relationships between follow staff members. The other impacts are felt between the staff members and their clients, between staff members and management.

The theme is raised in Graph 9 (Benefit to Clients). Staff members express a loss at the notion of teamwork: “Teamwork was lost” and additionally staff felt that that the new system made people “self serving”. Staff members found themselves in a situation of confusion and conflict.

In this situation the construct of teamwork was no longer relevant and had been dissolved by the deconstruction of the old system. Staff members felt the need to protect themselves and assert their roles as individuals so that their personal identity within the new structure was not lost. Apart from the significant work related benefits of working in a team, Boak & Thompson (1998: 96), touch on two of the *social and psychological* aspects of teamwork:
• That bringing people together in a team is a way of addressing common concerns
• That team members provide one another with support and help

Staff members responded severely to the dissolution of these social aspects present in a team and began to withdraw from these interpersonal relationships.

A similar expression of inter-personal stress, emanated in The System: General (Graph 10). A staff member expounded: “we were a team; experienced and proud. Not now”. The statement expresses a deeply held notion of loss. In this instance the “loss” is that of the very powerful inter-personal relationships developed and supported in a team.

Robbins and Finley (1998), describe the dissolution of the team as a state of fragmentation. Explaining that whatever cohesion the team had managed to achieve may begin to fall apart as people drift back to solitary pursuits.

6.1.1.4. “Perceived unfairness”

As a source of workplace stress, “perceived unfairness” crosses a variety of emergent themes.

The first appearance of “perceived unfairness” is in Graph 3 (The Changes). The Core Group was seen to have “positioned themselves”. Staff were angry that instead of navigating the change process as mediators between Staff and Management, the Core Group (was purported to have) used the benefit of their positions to secure better jobs and privileges for themselves.

John Kotter’s (1995), “Eight steps to Organisational Change” cites the formation of a “Powerful Guiding Coalition” as the second key step to leading successful change. However, Kotter (1995) also notes that critical mistakes in each step can have devastating impact and can negate hard won gains. In the case study, the guiding coalition was chosen by management in a non-transparent manner. Staff members felt a lack of trust as this coalition was seen to be aligned with management.
“Favouritism”, (Graph 3) was used to describe the relationship between management and the core group. This perception was also recognised as the reason for each individual’s appointment to the Core Group. Staff felt that management did not chose members of the Core Group in a public, open and transparent manner. It was felt that the Core Group members were chosen as a result of their own personal relationships with management.

Other issues of “perceived unfairness” emanating from Graph 4 (Agents for Change) were: Staff ideas were not considered in the decision making; the Core Group acted in their own interests; management’s “top down, will do” instructions and the undemocratic nature of this approach.

Graph 5 (The Job) in the period “During”, it was perceived that management had already planned the “shape” of the change. This perception translated in effect to staff not having any legitimate input into the proposed changes. This graph also surfaced the issue of being “overworked’ in the period “now”.

“Perceived unfairness” permeates the data:
Graph 3, shows perceptions of unfairness as related to Council gaining financially by freezing posts within the Department. Graph 8 (Old to New System) recognises “too few staff”. Both of these indicators “freezing posts” and “too few staff” had the consequence of together with an additional job description directly increasing the workload. This critical factor is what Kanter, Stein & Jick (1992) have termed the “anorexic organisation”. This term describes an organisation that has been downsized and delayered to such an extent that it could actually increase costs in the longer term (also explored under “Increased workload”).

Anorexic organisations starve innovation. The pressure of daily activities reduces the ability to think and to prepare for tomorrow. This organisation has rendered itself unable to deal with crisis, and finds itself in difficulties if one or two staff members are away (Felkins, Chakins & Chakins, 1993).
There is decreased productivity due to work overload, stress and low motivation levels. The mal-functioning of this overly lean organisation was discussed under the theme of source of stress “increased workload”. The multiple causal relationships, streams of conflict and stress are evident in the continuous emergence of similar theoretical explanations through a variety of data sets.

6.1.1.5. “Perceived loss”

The theme of “perceived loss” is defined at a macro and a micro level. In referring to the loss of the old system (in its entirety), as staff move into a new system, is the expression of control at a macro structural level. From the initial non involvement to the continuous lack of consultation and discourse, the staff began to feel the gradual loss of control and “say” over the work environment.

Control, partial or not, that was perceived to be in the old system is perceived to be gradually wrestled from them and placed on external factors. On the micro level the perceived loss would be experienced in perceptions of unilateral changes to job definitions, (Non compatible jobs meshed-Graph 8: Old System to New System), re-allocation of resources, and changes that impact on work comforts, privileges and a sense of belonging. Since these were perceived as personal losses by staff members, they experienced significant emotional turmoil and anxiety.

Motivational theory such as Maslow’s “Hierarchy of Needs” (Boak & Thompson, 1998) defines what people are most motivated by after their subsistence needs are satisfied:

- the need to affiliate with others;
- the desire for recognition and self esteem
- the opportunity to grow and actualise capabilities

These motivating drivers explain the complexity of loss felt by staff members. Staff members in the old system were competent and had reached a strong measure of self actualisation, where they perceived themselves as experts in
the field. In the new system staff members had no such anchors at a structural or individual level.

The “need to affiliate with others” relates firstly to a broader sense of belonging, and secondly to a sense of the “team” being lost. The broader feature refers to the “community” aspect of being part of an organisation. The forces that govern a sense of belonging are a shared vision and common understandings. These qualities create a structure of inter-relationships in an organisation.

Senge (1990) reflects that wherever we consider our “place”, be it the organisation, family, community or nation, we belong to a human system and that the nature of these systems is structure. This structure is the basic interrelationships that control behaviour (Senge, 1996).

The second sense of loss in the team emerges in the response of “no team work”-Graph 9 Benefit to Clients, and the poignant statement of loss in a staff member’s statement: “We were a team; experienced and proud. Not now”. The System: General (Graph 10), also explored under “Interpersonal Conflict”.

Senge’s (1996), assertion the “we live our lives in webs of interdependence” explains the profound nature of losing this community and team identity.

**Summation:**

The researcher proposes that the 5 sources of stress identified by Robinson and Griffiths (2005) are not distinct or clearly defined experiences but merge and overlap as part of the holistic and complex experience of transformational change in the workplace.

The stress sources identified are not discreet measurable quantities but act as multiple strains of issues that fold into each other, lead to and/or reinforce each other. This cyclical reinforcement of stresses is evidential from extrapolation of the data into each of the 5 categorised sources of stress in the workplace.
6.5.2 Theme: Lack of Transparency

The data (Graph 3, Graph 5, and Graph 11), showed a strong emergence of the theme: Lack of Transparency. The issue of “transparency” refers to public sharing of knowledge and information.

In the case study staff felt that most of the information was not shared and that decisions had already been made. These feelings inferred that decisions were being made elsewhere, behind closed doors, therefore there was a lack of transparency and staff were not actually part of the process. The sense of distrust that Staff felt for the process was also levelled at management. It was felt that management “knew what they wanted, and were just going through the motions”. Hammer (1996:131) argues that is both natural and inevitable that there is resistance to change, however, that knowledge reduces uncertainty. Therefore supplying people with information can lower their natural resistance to change.

This theme “Lack of Transparency” was supported by the research data. The Best Practise City Commission Report (1999) had mapped a scenario to Council that detailed a One Stop Shop as the final outcome of the change management process. The change management process therefore had a predetermined outcome. Management had not communicated the goal adequately and had failed to consider the value of the process rather than the goal. Instead they (management) were implementing a strategy agreed upon at a higher level.

The mental model (Senge, 1990) that staff had of management was one of “general distrust”. This mental model was entrenched through years of engaging with management through the labour unions on various issues. Two important issues in dispute between both parties prior to the change management process were over the car subsidies and salary parity.

Management’s disregard for staff during the process of transformation further “proved” the image that staff formed of management’s behaviour. This aspect was further entrenched and proven by “promises that management made to
staff, and did not keep”. The issue of distrust and lack of transparency is made even more salient in that seven years have elapsed since the promises had been made. Thus the mental models that staff had about management were and are for all intents and purposes, true.

6.2.3 Theme: Traditional Management

Staff members ideated this theme in various ways as they recounted events and experiences of the transformation process. The researcher has encapsulated the emerging issues by the term “traditional management” as this term explains the behaviours within the Change Management and Leadership Theory context.

These terms include: “factory like” (Graph 3); “a production line”; “Top down-will do” attitude; the actions in the selection of the Core Group i.e favouritism (Graph4); “Staff ideas not considered” (Graph 4); “undemocratic” (Graph 4); “like the military” (General Comments); “exploited” (Graph 6); “Management not listening” (Graph 9); “Management lied and abandoned us to look good at Council” (Graph 10); management regarded “as the enemy” and feeling like a “pawn” (Graph 14).

McGregor’s leadership theory defined the characteristics of managers as Theory X and Theory Y as explored in Chapter Two.

Management (as expressed by staff), had a specific mental model of the staff that saw them as: self-centred, working only when it is unavoidable, not wanting or accepting responsibility, and inherently lazy (Boak & Thompson, 1998:93-95). These elements describe the way that a Theory X Manager understands their staff. A manager who approaches his staff from this perspective would elicit a range of behaviours in engaging with staff. Primarily, this behaviour would be controlling and threatening. This behaviour is clearly indicated in the case study. The way that the management interacted with staff during the
change management process conforms to the theory, as the process was imposed and punitive.

Through Likert’s (1967) model of behavioural and motivational change, the managers as subject of this research would fall into the Benevolent authoritative frame. This category in Likert’s model, suites the frame of managers who exercise “condescending trust and are manipulative”. Whilst there are some exchange of ideas and opinions, communication is mostly downward. This has been the experience of the staff members.

Staff have reported there were meetings and engagements with management, however management did not listen to their concerns or acknowledge their ideas. The communication was used to manipulate staff into accepting the process with promises of higher task grades and pay parity. There was the promise of reward but employees were still exploited. In this category Change is imposed from the top down with limited success- as is the case from the data gathered from staff within the Development Planning Department.

**6.2.4 Theme: Non-inclusion**

This theme emerged strongly under the terminology of feelings of “not consulted”; “ignored and stifled” and “disempowered” (Graph 6), “under valued”, Graph 7; “Management should have included us in the process” (General Comments).

Organisational theory and systems theory both subscribe to the value of utilising “Metaphors”. In organisational theory the view of an organisation as “machines”; “organisms”; “brains” or “cultures” for instance surfaces different understandings of their character and functioning (Jackson, 1991). Systems Thinking relies upon the metaphorical understandings of the nature of systems.

The machine as the metaphor of the organisation is a classical view embedded in the scientific paradigm. There is evidence in the data that staff felt
management viewed them as a “production line, factory-like, like a machine”. It is interesting that the change process brought about change from a values based team approach in the old system to a control and command based approach in the new system. The process of transformation devolved the structure from a systems view to a mechanistic one.

The resultant fallout of the non-inclusion of staff in the change management process were generalised feelings of loss and alienation. Within systems theory, loss and alienation in the work place is engendered in the aspects of the cultural metaphor. In the cultural perspective, the character of an organisation is determined through its people. The culture of an organisation lies in its articulated values, beliefs, strategies and norms. It is embodied in symbols of group identity, solidarity and visions (Whiteley, 1995:15).

Culture has been used successfully by organisations to instil a sense of community, collaboration and collectivity, a mutual sense of belonging and identity (Flood and Jackson, 1991). The responses presented to the researcher that elicited a sense of “loss of community” and alienation presumes that changing the values and perceptions of the employees as the cultural aspect to the change management process did not occur.

<table>
<thead>
<tr>
<th>The Key Mechanisms for Overcoming Change</th>
</tr>
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<tbody>
<tr>
<td>1. Incentives-positive or negative</td>
</tr>
<tr>
<td>2. Information-dispel uncertainty</td>
</tr>
<tr>
<td>3. Intervention-one on one connections</td>
</tr>
<tr>
<td>4. Indoctrination-make change seem inevitable</td>
</tr>
<tr>
<td>5. Involvement-make people part of the effort</td>
</tr>
</tbody>
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Table 4
The Key Mechanisms for Overcoming Change
(Source: Hammer, 1996)
The literature of Change Management clearly directs the steps that should be taken to start the process of change. Hammer (1996:131) sets out five “I’s” to effect Change Management successfully (Table 4, above).

Whilst the researcher does not support the tactics listed by Hammer (1996) in terms of the use of negative incentives under item 1, or the indoctrination detailed in item 4, item 5: Involvement, is fully supported.

The process of involvement creates a feeling of control. Instead of “they doing it to us”, we are all doing this together (Hammer, 1996). According to Hammer (1996) participation provides a “catharsis” for negative feelings that find a positive outlet in helping direct and shape the way forward.

The view of Leadership as a relationship embraces the three components of the Leadership Phenomenon: Leaders, followers and the context in which the relationship is formed (Parry and Meindl, 2002) this gives more expression to the complexity of Leadership.

“Managers must always be consistent when they talk about change and how they communicate the change process. Always gain as much input from the users as you can and involve them in the process so they're part of the change rather than the receiver of it”

(Andersen, 2004 on Shein, 2002, n.p)

True effective leadership, is one where the leaders' behaviour and the exercise of the leaders' influence process; are in keeping with ethical and moral values. According the Prozesky (2002:12-34), the concept of morals encompasses core values of: truthfulness and integrity, justice and freedom, responsibility and respect, dignity and equality, and inclusive concern.

Kanungo & Mendonca, (1996) rationalise that the purpose for having a leader in an organisation is to move it toward the pursuit of objectives, that when obtained would produce benefits to both the organisation and its members. The
leader’s energies and strategies are therefore justified and assume meaning and significance only when these are intended to serve the interests of the organisation and its members.

Leadership based on shared purpose, vision, and moral values in a consistent display of respect for all followers should be the only modus operandi (Makulwar on O’Toole, 1995). Values-based leadership is significantly effective in the complex organizations of today as well as being fair and just (Makulwar, 1995).

When leaders view their prime goal as the welfare of their followers, they get results. This view is substantiated by Appendix 2 (2000) an article that determined that in companies with a $1 billion turnover, the return on motivating and rewarding staff amounted to $13 million return.

Successful change requires leadership with vision and strategy that drives a shared values culture which supports the vision and strategy for change. Change recipients require empowerment, motivation and inspiration for successful change. Those who can enact these behaviors encompass the requirements of leadership (Gill, 2003).

The case study as a system of interrelated parts was not managed effectively. The change management, the goal, the staff, their requirements, all these aspects were dealt with in a cursory manner which did not empower the people or allow for successful intervention.

“Management is famously an activity which produces results only through the work of other people, and therefore there is a high premium on understanding others and being able to work with them.”

(Boak and Thompson, 1998:76)

This transformation surfaced an apparent the lack of leadership and disregard for the recipients of the change. Although staff were unhappy, leadership did
nothing to allay their fears. Bennis and Nanus (1997) developed four strategies of competent leaders, the need to:

1) Establish a vision of a clear and compelling goal,
2) Communicate that vision effectively to others
3) Create an unwavering commitment and
4) Create a confidence and optimism about the success of the change.

None of these crucial strategies were implemented in the change management process as would befit a competent leader.

A critical dimension that was overlooked in the planning system changes was the people factor. Management’s failure to take cognisance of this issue has undermined the long term sustainability of their process.

The managers have approached the change management in this context in a non-complex way as a uni-directional and uni-dimensional process. The sustainability of the system therefore comes into question.

As Senge, Laur, Schley and Smith expound (2006:9) that sustainability, “is connecting the inner and outer work that must be done, including connecting the inner changes of managing with the outer effects that organisations have on larger systems; connecting the inner changes in mental models and shared visions with the outer changes in management culture; and connecting the inner changes of who we are as human beings to how we act and interact”.

Profound change must incorporate both an internal shift in people’s values, and actions, and external changes in the basic thinking patterns of organizations that underlie organizational choices of strategy, structures, and systems.

As the Chinese philosopher Lao-tzu expressed some 600 BC:

“A leader is best when people barely know that he exists,
Not so good when people obey and acclaim him.
Worst when they despise him.
Fail to honour people, they fail to honour you
But of a good leader, who talks little,
When his work is done, his aim fulfilled,
They will all say,
We did this ourselves”

6.3 Conclusion

Leading management thinkers Ghoshal and Bartlett (2005) proposed that in order for a company to proceed beyond the aftermath of organisational restructure, it needs to develop the ability of “continuous renewal”. The ability of “continuous renewal” is developed by changing the behaviours and actions of organisations members. The most vital aspect in the self-renewal of an organisation is in the “rejuvenation of its people”. These “individual level behaviours” create the behavioural context, the “climate” of a work place. According to Bartlett & Ghoshal (2005), the behavioural context of an organisation can be a source of stimulation or a source of oppression. As a source of oppression, it can sap personal energy and creates conditions for apathy.

Bartlett & Ghoshal (2005) identified compliance, control, contract and constraint as impediments to a stimulating behavioural context. These restraints create a behavioural context that limits the innovation, responsiveness, flexibility and learning abilities of an organisation.

David Miller (2002), states that an important factor of implementation success is personal change adaptability. This is the ability of individuals to manage change successfully. People differ in their skill to do this. Some people can cope with change related stress better than others and may even thrive in periods of uncertainty. This characteristic according to Miller (2002) appears to be both genetic and learned. In the learnt context, an individual who found a
circumstance challenging or threatening will eventually find avenues of coping and learning from the experience.

It is suggested that the drivers of this change process, initially Council, the Best Practise Commission and finally the senior Management of the Department in question, used *familiar tactics* to induce change, rather than arm themselves with knowledge.

To illustrate this point (Kanter, Stein, Jick, 1992) use Charles Lamb’s (15th century writer) parable of how people discovered cooking. When the villagers were away, house burnt down, a pig perishing in the fire. Curiosity led the villagers to taste the animal, and they discovered cooked food. Thereafter whenever they wanted to celebrate, they left a pig in a house and set the house alight. The lesson the tale (Kanter, Stein, Jick, 1992) explain, is: *If you don’t understand why the pig gets cooked, you are going to waste an awful lot of houses.*

In the case study, there was the absence of any powerful or convincing theory to guide the change process. Management thus resorted to *familiar tactics* to get the job done.
Chapter Seven

7. Critique & Conclusion

7.1 Introduction

A major criticism of the process of change management and transformation described in this research, is the apparent lack of leadership and a supreme want of concern for the recipients of the change. The staff were clearly unhappy that they had little or no input into the process, however despite raising these concerns nothing was done to allay their fears or anxieties. It is clear that management did not feel the need to “establish a vision of a clear and compelling goal” or “communicate that vision effectively to others” as would befit a competent leader according to leadership theorists Bennis and Nanus (Boak & Thompson, 1998:75-77).

This elucidates the inherent weakness in this process of transformation, namely, that the people factor was overlooked in the planning system. Although the physical and system changes may have improved some of the processes, much of the failure lies in the lack of concern for the staff, in their needs, requirements and attitudes. The managers in this project have failed to understand that the real world is complex, problematical and mysterious (Checkland, 1999).

7.2 Critique: Action Research

The qualitative research methodology using action research was the only choice for the researcher as it coincides with the researcher’s humanist paradigm. The process of conducting the research however was beset with difficulties.

The work was time consuming as it was reliant on the time-tables of the people (staff) who are part of the study (explored under 6.2.1 Information Gathering).
The researcher requested and was granted Assisted Education (a Municipal employees education grant) to continue with her studies until the completion of her Masters of Commerce (Project Management and Leadership).

While the subject of the thesis was known and there were no objections to the work, no express permission was requested. This however has been rectified through submission of a letter granting permission for this dissertation. This research however amounts to an evaluation of a management transformation initiative, and could be construed as sensitive material due to the nature of the study.

### 7.2.1 Information Gathering

There were several difficulties in obtaining results from the questionnaires. Initially, a questionnaire was drawn up in April 2006 and given to a staff member to distribute and collect in June 2006. Ten questionnaires were sent out, nil were returned.

In November 2006, ten questionnaires were e-mailed to a random selection of staff within the Development Management Department with a request to participate in the survey. One e-mailed response was received by December 2006 with irretrievable data.

In February 2007, ten copies of the questionnaire were posted to a staff member in the Development Management Department. The questionnaires were distributed; one questionnaire was returned. In May 2007, the questionnaire was redesigned to allow for a greater exploration of thought, and more open-ended questions.

It became apparent that staff felt a general apathy for anything outside the pressure of their work environment. There was also an underlying sense of fear and anxiety in focussing on something that was non-work related without express permission from management. At the time of securing interviews with the staff (August 2007) management had instituted a process of "daily
planning”. This is a printed sheet given to each staff member to be filled out and handed in everyday by staff. The sheet (Appendix 3) divides a staff member’s day into minute pockets, to track the time staff are spending on work.

Individual interviews were therefore set up during the official lunch break or after work. One on one interviews were conducted. These were manageable, allowed for a greater “free” interaction and elicited a high degree of engagement.

The final document will be released to the participants as essential to the action research process. The document will also be offered to management and made available to them if requested.

Whilst this may not enable the greatest degree of impact on the current situation, the nature of the research may be too sensitive for management’s information. Management’s decision of non-engagement in the research may have stemmed from the sensitivities and complexities around the current situation and a desire for non disclosure. The confidentiality of the document has increased relevancy as the institutional structure, systems and consequent pressures emanating from the change management process started in 2000, are still in operation.

Theoretically Action Research is participatory and an iterative process. The researcher and subjects identifies a problem area or issue, initiates an effort to address and resolve, evaluates their effort, and then continues to drive the effort towards an acceptable resolution. Figure 4: The Action Phase Cycle, adapted from Susman (1983), shows the iterative process of Action Research.

The key situational authority and major stakeholder (management) were diffident as regarding the research. Therefore it is a criticism that Action Research cannot always be completely inclusive and participatory as it is subject to the power structures controlling the chosen environment. The 5 phases in the Action Phase Cycle cannot therefore be fully realised unless all stakeholders are willing participants and not disengaged figures.
Susman’s (1983) Action Phase Cycle: (Figure 4, Chapter Two), sets out the actions as Evaluating, Learning, Diagnosing, Action Planning and Taking Action. Although the research enabled Evaluating, Learning and Diagnosing to occur, the self imposed non-participation of management does not critically allow for Action Planning and Taking Action to occur.

Maharaj, A (2003), articulates that within the framework of Action Research, research would be a collaborative process. This is suggestive of a continuous process of mutual discourse throughout the research with all stakeholders. In this case study, collaboration and discourse between the researcher and the participants did occur. This collaboration and discourse is beneficial as it enables the participants to engage on their issues meaningfully, which further serves as a cathartic experience.

According to Maharaj, 2003, not all action research envisages a resolved situation. However, releasing the completed work to all staff would have a significant impact in that the collaborative research leads to an inherent improvement, where even the understanding of the situation creates the means to that improvement.

Notwithstanding the difficulty in attaining a resolved situation, this research would, in the absence of political and hierarchical buy-in, further people’s insight and understanding of their environment and thereby give them an improved sense of empowerment.

Therein lays one of the key values of this research approach.

**7.3. Critique: Systems Thinking**

From a Systems perspective, a serious flaw of the change management process as well as the existing situation is the complete lack of feedback loops and the relations between the different systems. As a systemic tool, feedback informs learnings which allows for adjustment to the situation. Adjustments are
a means to regulate the system and promote efficiency giving the system ease of adaptability. The ability to adapt quickly and easily to a changing environment is a principle of systems theory and a critical survival tool required in the economic environment.

Management’s inability to see the *interrelationships* between the different systems and its environment caused them to make unsustainable adjustments in the guise of “improvements” to the current situation. Anderson and Johnson (1997) pronounce the advantage of looking at the deeper levels of structure, which is the general way that system components are interconnected.

The Events/ Pattern/ Structure Pyramid (Figure 2, Chapter Two) reveals that “events” are a single action in a moment in time. The immediacy means that one can only *react* to an event. Patterns however, allow us to understand at a deeper level, giving us trends in events over time. The Structural level allows us to explore why patterns are occurring and reveals the causal connections. It is at this level where lasting high-leverage change can occur. Actions taken at this level are creative, because they help shape a different future.

Management’s inability to see the underlying patterns and structures cause them to *react* rather than *adapt* the patterns they observe (Anderson and Johnson, 1997). In the case study, the “events” are: continuous backlogs and frustrated clients.

The ongoing complaints lodged by clients prompted Council in July 2007, to ask the Department to submit a report detailing the reasons why there are backlogs and to propose a plan to deal with this. The consequence of requiring to send a report to council caused the Department to *react* to the *events*. These *reactions* include, the institution of the daily planner (Appendix 3) for staff to minutely govern their time, asking staff to work overtime, denying applications of leave and refusing applications to study.

Management believes that these new strict(er) conditions of control over the staff will alleviate the problems. Management has found “solutions”, where any
glitch or snag is treated with a swift reaction. This analogy is in reference to the parable in *The Fifth Discipline* (Senge, 1990), where a rug merchant jumps on a bump on a rug, only to have the bump reappear on another part of the rug. After doing this many times the merchant lifts up the rug, and out slithers an angry snake. These reactive “solutions” beget their own problems or new ‘bumps’ on the rug.

Seven years post the change management process, the system is in a state of disintegration requiring more interventions to “prop it up”. Management does not acknowledge that the: “fault lies not in the stars, but in ourselves (dear Brutus)” Shakespeare.

“The long term, most insidious consequence of applying non-systemic solutions is increased need for more and more of the solution”

(Peter Senge, 1990:57-58)

### 7.3.1 Proposing the Use of Systems Thinking

If the systems thinking approach were applied to the problem situation, management would have been able to recognise the interrelationships between the systems and to act accordingly. By developing this proposal, using the systems technique of Rich Picturing, the complexity of the case study situation emerges.

Applying Rich Picturing at two different phases of the timeline in the case study situation firstly in the year 2000 the beginning of the change management process and presently in the current situation, two very different visual representations emerge.

#### 7.3.1.a) Rich Picture 1

(Appendix 4)
Rich picture 1, shows at the top left hand corner -city hall (1)- representing Council. In 1999, council realised that something needed to be done to attract greater development and foreign direct investment into the city-cranes and money pouring into city (2) and commissioned the Best Practise City Commission-(3) to investigate how this could be done. Their findings pinpointed the issue of red tape (beauracracy-4) as a key hindrance to development within the city and proposed that changes-flux image (6) be made within the Development Planning Department- (5) and that a One Stop Shop-(7) be created which will speed up the rate of approvals of development applications and so give the green light- traffic light on green (9) to investment and development.

A key issue that emerged through implication and confirmed through investigation, was that whilst the requirement for change had been established, the central control base-of the City Council -official building-(1) had, through the Best Practise City Commission (BPCC) investigations, pre-determined a specific outcome- the One Stop Shop (8). This idea of the One Stop Shop, was imported through the work of the BPCC, from a successful pilot project developed in London and was projected as the outcome of the change management process. This made it difficult for management, agents and the recipients to navigate through the change management process, thus resulting in a very inefficient and fragmented system.

This predetermined change management approach was further complicated by a secondary agenda of the management team. The secondary agenda was to save money on the Council’s annual operating budget –which was determined to be too high, across all Council departments by the Treasury Department at the time (1999/2000)- (7).

The stumbling blocks towards the vision are low budget -X money-(7) and lack of realisation of staffing needs-tools for the job, additional personnel, experienced staff, and training requirements (7).
A critical further obstacle is the misunderstanding of the job criteria (7), by the implementers of the change, i.e. management and their agents. This has resulted in chaos, duplication of work and an unsystematic situation.

7.3.1.b) Rich Picture 2
(Appendix 5)
The mandate to engage in a process of Change Management was handed down from Council-official building (1), to the Senior Management of the Development Management Department -(2). The Management, engaged the services of an external consultant to project manage the change process, and established a core team of staff to assist the Project Manager and facilitate communication with the main body of staff- the change agents (3).

The Project Manager, together with the core team and the iron fist (4) of management “Top Down, Will Do!” attitude backing the process; proceeded to engage staff and implement the changes. Six Senior PCA’s were separated into the Deviations Team to concentrate solely on the Special Consent procedure of the Town Planning work-(5). The remaining two sections were combined and staff asked to multi-skill themselves, with each other’s job description (JD) – anxious person with two combined JD’s to learn(6).

The PCA now had 20% of his workload taken away (Special Consents). The freezing of six vacant positions to added to his workload by 31.25%. A further 31.25% increase in the number of plans crossing is desk with the redistribution of the 6 Senior PCA’s workload (as they have been moved to the Deviations Team). A further 100% in additional work load from the inclusion of the National Building Regulations to his work, and a 20% increase in the number of plans coming into the system from the newly included areas.

However simultaneously there has been a respite of 50% of the workload, through the combining of the 6 staff members of the Plans Examination section- to whom the workload will be spread. In total, this results in an increase in
workload of 128.50%, per person-person below centre trying to keep head above sea of work (7).

Added to this dilemma is the complication of self-skilling rather than being trained in the learning of a second job description, removal of the necessary resources and authority to do the job properly (site inspections and the authority to question details on plan), angry developers-(8), resulting from the backlogs. Consequently the members of staff were very stressed individuals, in a highly pressurised environment, unable to cope adequately with the workplace challenges (9).

It was felt that this system would provide a multi-dimensioned approach to plans approvals, facilitating easy access to services and consequently reducing the barriers to business in the city.

The value expected by the Council, by the Best practise City Commission and Senior Management of the unit was to develop a well functioning and managed service. However, the route through the eyes and experience of the recipients was haphazard and the end predetermined (“management knew what they wanted –this was just the sugar-coating”).

The process of transformation was imposed rather than transparent and developed with all stakeholders. The relationships thus become strained through the complexity of a myriad of issues and budget cuts-money (8) and the freezing of posts wrought frustration with the staff – staff (9). The problems are exacerbated by the inability to attract and retain skilled personnel.

**Summation:** This tool of Systems thinking, Rich Pictures, shows the causal relationships between systems. Leveraging one or more of these systems will have repercussions elsewhere. Rather than looking at issues in isolation, systems tools can give a holistic picture of the problem situation and place it in context of its environment. Therefore decisions based on the Systems Approach can have more sustainable outcomes as it gives the practitioner underlying appreciation for the impacts of each decision.
Specifically, Soft Systems Methodology (SSM) developed by Checkland (1981) is a tool more appropriate to any complex organisation where there are significant social, political and human activity elements (Weeks, 2008:[n.p.]).

Using Rich Picturing as a means to express the problem situation, SSM demands that one focuses on points of leverage to identify what are the different perspectives from which the issues can be looked at. This would be in the expression of Root Definitions. Root Definitions can be written as sentences to elaborate the transformation that one defines.

**Root Definitions**

**From Rich Picture 1** (Annexure 4)

1. A system to eliminate bureaucracy and thereby enable effective and easy access by investors to development in the city.
2. A system to encourage investment through a well-developed planning system that offers investors a “One Stop Shop” that is relevant to their needs.

**From Rich Picture 2** (Annexure 5)

1. A system to resolve conflict between different sections of the unit within the department and to give staff clear direction and build better relationships.
2. A system to motivate staff towards a sense of trust and security to alleviate frustration and retain skilled and experienced personnel.

The Root Definitions depend on the choice of view the practitioner decides to develop. However as the process is itinerant, later stages may expose the irrelevance of an earlier choice. The practitioner, by developing a root definition, is making a choice over a relevant system. Checkland (Systems Theory Systems Practice, 1999), points out that the obvious characteristic of a root definition, as demonstrated above, is that it clearly expresses a particular
Weltanschung. While there are additional steps to the application of Soft Systems Methodology, these will not be explored here.

It remains sufficiently evident that if Soft Systems were employed at the start of the process of Change Management within the Department, it could have allowed the identification of gaps that were initially missed and have subsequently become complex and problematical of themselves.

### 7.4 Critique: Change Management

“Change” in the workplace, is regarded as a significantly stressful event in a person’s life according to the Horowitz Impact of Events Scale (Revised) HIES-R (Kaplan & Sadock, 2002). The process of change is such that even the most successful intervention is stressful to the recipients. Radical transformational change, referred to as big “C” change (Felkins, Chakins & Chakins, 1993), requires a shift in mental models. Paradigms or mental models are intrinsic views of the way the world works; therefore, moving to a new mental model is inherently stressful.

A critique of the change management process detailed in this research is therefore rooted in the reality, that when the process of change management is not carefully orchestrated not only does it create stress; but it has significant negative impacts on the recipients, their lives and their productivity in the workplace. The “Social Readjustments Rating Scale”, rates organisational re-adjustment as the 15\textsuperscript{th} most stressful life event in the life of a person out of a scale of 43 (Kaplan & Sadock, 2002). Thus the complexity and life-altering impact of the change management process was clearly not understood by management to a significant degree.

Another critical dimension to the undertaking of a change management process in any organisation is that it is the sole prerogative of Senior Management to implement. Even if there is a third party involved (an external change agent) the playing field is not level. Further, given that the external change agent in this
case-study context was chosen and paid by management, however skilled the agent, he was bound by the contract and directives of his employer in the role-out of the process.

7.5. Critique: Leadership

As explored in detail in Chapter 4, the evidence of the leadership style in operation during the change management process (and beyond) is that of traditional management. The management had a transactional leadership style of one who sways employees by the use of formal authority to persuade conformity of behaviour (Kanungo, 2001).

The style of management closely followed that of the Theory X manager, and coercion “you will do”, and the parent—child metaphor “I know what’s best for you” was applied. In Likert’s (1967), behavioural and motivational change model, management falls within the Exploitative authoritative segment which: demonstrates no confidence and trust in employees. Managers in this segment seldom ask for ideas; use threats and punishments and all communication is top down. There is no sense of teamwork or loyalty to the organisation. It is difficult to initiate change in this setting because of the fear, mistrust and lack of open communication.

In effect, the phenomena of transformational “leadership” as defined by Boak & Thompson (1998) was completely absent from the process of change management that occurred within the Development Planning Department detailed in this research.

It is cogent that behavioural issues (stress and pressure) did not seem important factors to the management of the department. Management’s lack of skills mitigated against their recognition that people are the most valuable assets. The absence of these key skills permeated the decision-making and drove forward an unsustainable process.
A critique of the absence of management skills and any form of inspirational leadership in the process, is that most of the senior managers in Council are people with technical or career qualifications.

The Head of Development Planning at the time this process was implemented had a first degree in Social Science and an unfinished degree in Town Planning. The Executive Director of the Cluster at the time had a BA Degree and a Masters Degree in Town Planning. The City Manager previously held the post of Head of Department in Town & Regional Planning at the University of Natal.

The critique is that management of people and resources in any organisation requires a considerable amount of skills. Promoting technical expertise into positions that require one to deal with the complexities of human interaction is like a “leap of faith”, analogous to giving a ball-boy the tennis racket at Wimbledon and expecting him to win.

The constraint of lack of skills, caused management to choose the consultant and the Core Group themselves and disregard the inclusion of the recipients of change in these processes. Management’s core focus was the predetermined goal, of the One Stop Shop. The process of getting there was inconsequential.

The absence of a knowledge rooted in management theory on the part of management, surfaced a host of behavioural pathologies within the staff of the department. This absence of knowledge also negated a powerful resource base: staff. If management proceeded on an ethical basis, they would have upheld principles of transparency, involvement, and engagement, seeing value and innovation in staff (Prozesky, 2002).

It is the value of staff and their innovation that can be critical in unlocking ideas on change. Staff are the best placed to determine how the system could be tweaked to function optimally as they are the principal users of the system.
The data explored in Chapter 5 points to some of the succinct ideas staff recommended to enable the improved functioning of the current situation. The recommendations of staff are based in their intimate knowledge of how the system functions. Management have never experienced the system, their knowledge is observer based.

The absence of management skills and leadership has taken its toll on the condition of the systems, the operations and on the staff working under the transactional leadership style within the Development Planning Department.

7.6 Critique: Motivational Theory

Motivational theory continues from the work of Leadership theory. The previous discussions pointed to a lack of management and leadership knowledge. Apart from this theoretical vacuum, there was also an absence of morals on the part of management.

The basic human tenant of morals allows people to act in good faith and conduct themselves ethically, especially when their actions can affect the wellbeing of others. Hein (1996:133) adds that a leadership style that is based in character and values emphasizes the achievement of happiness and the fulfillment of ambition through looking beyond illusion and conquering pretense. O’Toole (2005) highlights the virtues of humility and temperance, as well as leading responsibly with a sense of justice and fair play.

A critique of management’s behaviour is while they did not possess the theoretical knowledge to undertake the endeavour of change management; they displayed unethical behaviour by their indifference to the welfare of those who worked under them. Russell (2001) identifies the characteristics of a leader who shares leadership and serves the followers. This leadership style is rooted in moral values and embodies the aspects of trust; appreciation of others and empowerment.

In today’s business environment ethics and morals are highly regarded. However the management within a public department demonstrated a lack of
concern for these issues. It could be argued that a public department is a “protected” environment because it is not subject to the volatility of the market environment. This “protection” affords a relaxation of egalitarian practises.

Furthermore, government departments are not subject to the same scrutiny of operation as public organisations. There is a generalised assumption that government is self-regulating as they are the responsible caretakers of statutes and regulations for civil society. The result is that within government departments the rigorous application of such statutes and regulations is often absent.

**7.7. Proposing the use of Soft Systems**

The researcher proposes that the most appropriate methodology to apply to the context of the Development Planning Department both at the point of implementing the change management process in the year 2000 and now in 2007 for the purpose of long-term sustainability of the system is Soft Systems Methodology (SSM).

Systems thinking, offers a framework for a unique process of enquiry, and offers a way of thinking that takes into account the whole and the interdependencies of the parts within it (Rees, 1999). Soft Systems Methodology within this framework creates and represents varied viewpoints on a problem situation and seeks to address the social and political elements of an intervention (Lane & Olivia, 1998).

The intrinsic nature of the case study context identified in this body of work is at its core soft issues relates to staff. While the problem context has process tasks in line with its service delivery mandate, there are significant social interactional tensions.

Jacobs (2004) identifies soft systems methodology as a tool that can help managers to deal with problem situations holistically. They would be able to identify significant issues, and reach a *compromise of differing views as a basis*
for improvement. Given the diversity of issues and the variety of perspectives within the case study, and the requirement for an improved situation and common understanding,

Soft Systems Methodology seems to be an appropriate tool with which to engage the change management effort. The major value of using Soft Systems Methodology as a tool within the theoretical framework of Change Management is that it deals with the critical human factor, enables ‘new learning’ and allows for “perceiving, predicating, comparing and deciding on acting” (Checkland, 2001).


The Soft Systems practitioner is a facilitator assisting people to think about their difficulties and to see their situation in new ways so that change is possible. As the practitioner becomes involved in the improvement of any situation, it becomes difficult to be a detached observer; therefore there are values that a practitioner should adhere to:

- Participation, mutual learning and empowerment of people involved
- Commitment to obtaining the holistic view
- To endeavour to understand the worldviews and assumptions of all stakeholders.

Soft Systems Methodology is a tool of Soft systems thinking which is concerned with improvement in social matters by activating the people involved in a learning cycle (Checkland, 2001).

In an ideal situation such learning and consequent improving is ongoing and sustainable. The learning happens in the iterative process of reflection and debate about perceptions of the real world, using systems concepts (Checkland and Scholes, 1990).
Observe/enter 7. Act to improve

an ill-defined problem situation

the problem situation

6. Decide on feasible & desirable changes

5. Compare systems models with problem situation

4. Construct conceptual models

3. Generate root definitions of relevant systems

2. Express the problem situation (Rich Picturing)

Compare systems models with problem situation

Real world

Systems thinking

4a

Formal system concepts

4b

Other systems thinking

Figure 2

The 7 Steps of SSM: the methodology in summary

(Source: Checkland, 2001)

Figure 2 above, maps out the basic process of Soft Systems methodology.

A key focus of this intervention, with the case study as proposed by the author, is that it takes place within a Department in the Ethekwini Municipality. Soft Systems Methodology (SSM) gives the researcher and participant an opportunity to be empowered through the process of research, as it is a learning system. This learning about the “complex problematical human situation” (Checkland, 2001) could lead participants either taking purposeful action in the situation or feeling more empowered. These aims can lead to improvement in perception and attitude.
SMM deals with the complexities of human beings. Peter Checkland (1999) developed the methodology as a consequence of the failure of systems engineering to cope with the complexities of human affairs. The researchers actively took part in the change processes, which made Soft Systems thinking an Action Research based method.

Action Research was a concept based on Kurt Lewin’s theories that it was not possible to study real social events in a laboratory. The theory is informed by the practice and vice versa.

The methodology looks at a problem situation from many different perspectives, enabling the systems practitioner to see the problem as a hierarchy of interconnected wholes.

Soft Systems Methodology exposes assumptions and enables interaction towards the improvement of an undesirable situation. It is this technique that enables effectiveness in dealing with the complexities of human thoughts, values and assumptions.

Soft Systems thinking recognizes

- That systems are ‘nominated’
- That the purpose is in learning and in relationship maintaining
- That it aims to improve a problematic situation through the facilitation of a learning cycle (ref. Figure 10)
SSM is a very intensive and involved process. It is formulated in real life situations where the participative process can be exhaustive. Nevertheless, it can be and is a rich tool, which enables an understanding of systems and nested systems. Checkland (1999) notes that in the case of a ‘Soft’ system a purpose or mission may be the pursuit of something, which can never be finally achieved.

SSM is perception based; what the client perceives to be the problem is what the intervener must tackle. An intervention itself can lead to a changed situation, which can itself exhibit new problems. The importance in the methodology however, is the continuous learning cycle. These mechanisms of feedback should be built into the conceptual models and are crucial to self-organisation.

In applying SSM to the above change management intervention and in attempting to understand the results within this framework it is critical to note that success is when those involved feel that the problem has been ‘solved’ or that the situation has been improved.

*The Methodology shows us possibilities of changes. Checkland (1999) envisages these tools to be used as a point of departure to start debate around*
possibilities of changes, which can be implemented. It is not meant to be imposed. It is intended as a participative, learning process.

7.8 Concluding Comments and Recommendations of the Study

The data, discussion and critique have touched on a few of the issues, which arose from the change management process as implemented by the management of the Development Planning Department in 2000.

The research has attested to the fact that quick fix “solutions” can lead to a system breakdown. Political posturing, to impress Council with cutbacks and short term gains has jeopardised the equilibrium of the system with increased expenditure and wasted resources.

The current system forces staff to overlook glaring faults. These top-down, imposed operating procedures compromise the core function of the department, wastes scarce resources and denies the expression of expertise.

This inevitable waste of capital and expenditure further attests to poor functioning of a system in disintegration. In the researcher’s opinion the only way forward is to apply the systems approach in assessing the status for intervention.

Rich Picture 2 (Appendix 5) shows several points that could be focussed on to achieve a more sustainable equilibrium in the system. This could mean spending money to employ and train staff as well as providing them with the necessary resources. Furthermore, permitting staff a greater degree of autonomy to do their work, will allow them to reach a satisfactory state of self-actualisation and will foster a sense of pride and re-ignite a cultural norm. People find honour in work when they feel they are adding value and making a difference.

According to Checkland (Systems Theory Systems Practice, 1999) it is best to build the richest picture of a problem situation to enable a range of possible
choices which can be revealed. This will enable the identification of the viewpoint from which to conduct further investigation.

“This is done with the full knowledge that other choices are possible and might be more insightful”

(Checkland, 1999)

New proposals can cause further upheaval and stress, but an improvement in the current situation *may* be welcome especially if dealt with ethically. The disintegration of the current system means that it is perfectly poised for the introduction of new changes. By understanding and responding to the needs of the individual, the task and the team, the starting point for real solutions can be found.

The core thrust of applying soft systems to the current context is in adding value by creating an enabling environment. Listening to staff concerns, fostering relationships, and encouraging on-going team building within the context of a level forum, would serve to dispel the distrust and uncertainty between colleagues across the sections and between management and staff.

The employees of the entity, *the critical creative force* must be acknowledged and included in the changes one is deliberately making within an organisation. If the employees are not a significant element in the process, they will be unable to re-establish a relationship with the changed entity. This disorientation could have impacts on the long term sustainability of an organisation.

A participative collaboration should be forged so that there will be a renewed purpose in their work and an imperative to speed up the service for the benefit of the communities. By exposing mutual fears, sharing concerns and building inter-departmental trust, the participants are empowered to look beyond their concerns and anxieties to agree on the importance of their work and renew their commitment to it.

The environmental aspects to an improved system may finally achieve the goals of increased investor confidence and development within the city.
As a result of an effective development control, excellent service, competent and informed staff, the Metro Council could literally open its doors to new investment. The winner in the systemic solution in the long term will be the city of Durban, where investor confidence will increase as ease of doing business in the city increases. South Africa’s favourite city stands at the forefront of tourism and economic growth. The benefits of collaboration can be felt, if informed and enthusiastic people manage the complexities and consequences, of the process of reengineering. The advantages are systemically far-reaching and positive for organisational transformation.

This research contributes to the qualitative appreciation of the process of change management with its inherent challenges. The hope is that by exploring these aspects at phenomenological level more organisational researchers will engage in study to address the issues of change management in a dynamic, ethical and empowering way. Further it is hoped that the results of this research will offer senior management, future leaders and practitioners with more appropriate tools with which to undertake the change processes in their organisations.
References


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