

**THE INFLUENCE OF LEADERSHIP ROLE COMPETENCIES ON
ORGANISATION CHANGE OUTCOME IN THE MANUFACTURING
INDUSTRY IN SOUTH AFRICA**

by

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ABSTRACT

Recent authors identified a lack in leadership competencies to deal with organisation change within the South African organisation context as a burning issue (Tizard, 2001; Kriek, 2002; Fontyn, 2001; Msomi, 2001 and Rossow and Bews, 2002). This has resulted in a lack of employee initiative, adjustment, empowerment and a high turnover rate. With this research the author examined the influence of role *utilisation*, according to leaders' competence, on the outcome of organisation change. The aim of this research was to contribute towards finding solutions for the perceived lack in leadership competence in managing change.

The design used was quasi-experimental *ex post facto*: post-test/observationⁱ only. Three organisations in the manufacturing industry were selected because they were busy with the implementation of major organisation change initiatives. Two phases were identified for this research. Phase I investigated the utilisation of leaders in specific leadership change roles and Phase II investigated the influence of leaders' *change role competence* on change outcome. Hypotheses were formulated for each phase.

Phase I

Leaders' utilisation in change roles was investigated. This entailed the extent to which they were utilised in roles for which they received their highest average competence ratings. A literature study was done on leadership competencies. From the literature study, four leadership change roles (*Initiator, Shaper, Monitor, and Assessor*) were identified. A questionnaire measuring the level of competence for each role was designed. The respondent organisations' management teams were asked to identify the leaders they utilised and for which roles they were utilised. These leaders were rated by means of a 360-degree assessment. The respective leaders were assessed by themselves, their managers, a peer and a subordinate. Competence was determined by means of the average ratings received on all four competence clustersⁱⁱ.

The results obtained from Phase I were expressed in terms of role congruence. Role congruence referred to situations where leaders were utilised in roles for which they received their highest

ⁱ As no pre-post test was done (true experimental design) this research focused on the analysis and interpretation (post-test/observation) of processes and its impact on the study objects.

ⁱⁱ Four roles were identified; for each role a set of competencies (competence cluster) was developed.

average competence ratings.

The hypotheses for Phase I were:

H0: There is no statistical difference between the average competence scores leaders received on the different roles.

H1: The average competence scores for the roles leaders were utilised in, are higher than for those they were not utilised in.

Phase II

Phase II investigated the influence of the congruence results on change outcome. A questionnaire measuring the “soft”ⁱⁱⁱ dimensions of organisation change was developed. Random samples of all the literate employees in the respondent organisations were used to complete this questionnaire (Change Outcome Questionnaire).

The hypotheses for Phase II were:

H0: There is no statistical difference in terms of change outcome for roles where congruence was obtained and roles for which congruence was not obtained.

H1: For roles where congruence was obtained, there will be higher levels of success (change outcome).

Both questionnaires (Leadership Role Competence Questionnaire & Change Outcome Questionnaire) were validated in terms of content validity. A Cronbach alpha was determined for both questionnaires. Only the Leadership Role Competence Questionnaire was initially found to be reliable. To resolve the reliability dilemma on the Change Outcome Questionnaire, the constructs and their items were factor analysed^{iv} to determine the underlying validity of constructs, resulting in construct validity for this questionnaire. A Cronbach alpha was again administered to this questionnaire (after the factor analysis) and it was found to be reliable.

ⁱⁱⁱ Soft dimensions refer to dimensions not readily quantifiable in monetary terms, normally associated with human attributes like behaviour and attitudes.

^{iv} According to Grinnell (1988:119) factor analysis is a powerful method for determining construct validity. It is a statistical procedure that reduces a large number of items to a smaller number (factors) by discovering which ones go together and by determining what relationship exists between the clusters of items that go together.

Phase I Results: Role Congruence

The extent to which leaders were utilised in roles for which they achieved their highest average ratings (expressed in terms of role congruence) was determined through the application of a correspondence analysis. The results for Phase I were:

- Two roles (*Initiator* and *Assessor*) achieved potential congruence.
- The other two roles (*Shaper* and *Monitor*) did not achieve congruence.
- A relationship between both the *Shaper* and *Monitor* roles was identified. The competencies for these two roles were linked to the items that measured *Resistance to Change*.
- For Phase I the null hypothesis was rejected. There was a difference between the average competence scores leaders received on the different roles.

Phase II Results: The Influence of Role Congruence on Change Outcome

The change outcome results were determined through the Change Outcome Questionnaire. The results for Phase II were:

- The factor analysis done on the Change Outcome Questionnaire (discussed on *p. iii*) resulted in the extraction of three factors. One factor represented only one item and was therefore excluded resulting in the analysis of only two factors (*Change Buy-In and Support & Resistance to Change*);
- The results obtained from the Change Outcome Questionnaire indicated a successful outcome for the *Change Buy-In and Support* factor and an unsuccessful outcome for the *Resistance to Change* factor;
- The similarity of the results for the three organisations obtained for Phase I (correspondence analysis on congruence between role *utilisation* and role *competence*) and for Phase II (ANOVA on Change Outcome results) allowed for the comparison of their results. No significant statistical differences existed. Statistical evidence was therefore not conclusive to either reject or accept the null hypothesis for Phase II (there is no difference between roles with high congruence and roles with low congruence on change outcome); and

- Although the null hypothesis for Phase II could neither be accepted nor rejected, the indications are that role congruence appears to have had a positive influence on change outcome and that a lack of congruence appears to have had a negative influence on change outcome.

From the results of this study it was concluded that the research goals had been satisfactorily addressed.



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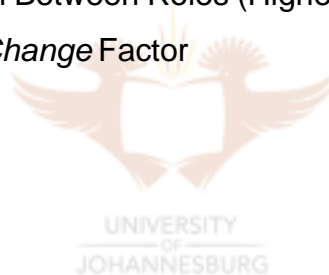
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CHAPTER ONE

INTRODUCTION

4.1.1 INTRODUCTION OF THE PROBLEM

Albertyn (2001:20) reported that in the year 2000, out of 41 countries assessed, the World Competitiveness Report ranked South Africa last in terms of human resources. She claimed that the authoritative management structures of the South African workforce results in organisations with non-initiative taking, disempowered members. Authoritative management structures imply a particular leadership style, i.e. an autocratic style. She also added that the changes brought about by globalisation, politics, economics and the growth in technology results in vulnerable individuals. Her statement on authoritative South African organisations may be debatable, but her claim on the demands made by these multi-faceted changes seems to be supported by many, such as Rossouw and Bews (2002), Msomi (2001), Kriek (2002), and Fontyn (2001). In the 2001 edition of the World Competitiveness Report, South Africa was ranked no 46 out of 49 countries rated (IMD International, 2001:303). Although some improvement occurred, *human resource* is still on IMD's list of the twenty weakest areas for South Africa.

Msomi (2001:2) reiterated that South Africa, like the rest of the world, is undergoing perpetual transformation and that it is true for human resources as well. Rossouw and Bews (2002:26) construed that contemporary organisations will always face the issue of change and they need to deal with this phenomenon on a continual rather than intermittent basis. Kriek (2002:28) mentioned that in the last few decades of the previous century the speed of change picked up at a tremendous pace with the environment posing ever more challenging demands on organisations and leaders alike. He mentioned the impact of globalisation, digitisation and e-commerce as demanding factors on leaders.

Organisation change is a constant that requires adjustment and action. Because they need to initiate, implement and evaluate change, leadership takes a central position amidst the changes. Tizard (2001:62) concluded as follows: "Those that manage change well ensure that techniques are put in place to move individuals through these stages as part of normal business. They give individuals no other choice than change although they go to some length to explain why it is

necessary, the impact and benefits. They also ensure that the change produces a tangible impact on the bottom line.”

1.2 PROBLEM STATEMENT

The World Competitiveness Report (IMD International, 2001:303) reflected negatively on South Africa regarding management issues. South Africa was ranked between the 43rd and 48th position on the following factors in the “business efficiency” cluster: *skilled labor* (49); *labor relations are generally hostile* (48); *customer satisfaction is not emphasised* (46); *industrial disputes* (44); *employees do not identify with company objectives* (44); *managers generally lack a sense of entrepreneurship* (43). Fontyn (quoting Olivier) echoed Albertyn’s (2001:20) comments on authoritative structures in South Africa: “Due to a shortage of talent at the top of organisations, there is not enough leadership competency in SA. Many business leaders run their companies purely on numbers, reverting to old models of leadership - like the autocratic model, where authority comes with the position rather than through true leadership.” (Fontyn, 2001:40). Fontyn then added that leadership qualities seem to be the underlying problem (autocratic managers) resulting in autocratic organisations and structures.

It is evident that change management and leadership are current issues within the South African organisation context. Organisations lack employee initiative, adjustment, and empowerment and experience high turnover as a result of the lack in leadership qualities. According to Tizard (2001:62) the effect of change has the greatest impact on individual performance. She was of the opinion that loss of individual performance is a consequence of their resistance to change (Tizard, 2001:62).

Many researchers over many decades shared Tizard’s (2001:62) concern over change elsewhere in the world and the need to deal with it. Pettigrew, Woodman, and Cameron (2001:697) referred to a host of researchers who looked into this matter over the years. These include Van de Ven and Poole, 1995; Weick and Quinn, 1999; Pettigrew, 1997; Kahn, 1974; Greenwood and Hinings, 1996; Gersick, 1994; and others (Pettigrew *et al*, 2001:697).

Pettigrew *et al*, (2001:698) put the need for more research on leadership and change management forward. They came to the conclusion that there are six key issues that need to be studied in depth regarding organisation change. According to them, the “organizational change literature remains

underdeveloped regarding these six interconnected analytical issues: (1) the examination of multiple contexts and levels of analysis in studying organizational change, (2) the inclusion of time, history, process, and action, (3) the link between change processes and organizational performance outcomes, (4) the investigation of international and cross-cultural comparisons in research on organizational change, (5) the study of receptivity, customization, sequencing, pace, and episodic *versus* continuous change processes, and (6) the partnership between scholars and practitioners in studying organizational change." (Pettigrew, *et al*, 2001:698)

As seen from the quoted references, not only is the lack of leadership a universal problem but also a particular issue for South Africa. Kriek (2002:29) specifically called for the need of leaders to simultaneously display a variety of roles, in particular that of manager, leader, facilitator and what he calls "meaningor". He related to "meaningor" as the leader's ability to create and enhance meaning by being congruent.

Schermerhorn (1995:32) indicated a need for research on organisation change inputs as far back as 1995, and his plead seems still relevant for South Africa in 2002, as clarified by Kriek (2002), Fontyn (2001), Msomi (2001) and Rossouw and Bews (2002). According to Schermerhorn (1995:32), change inputs deserve research attention because they are under managers' control. For Schermerhorn (1995), the more we learn about which inputs are associated with change success, the easier it will be for managers to choose well among these inputs when implementing change. If managers then "choose well" the chances for successful organisation change should be enhanced.

From the above discussion, the following negative consequences of a lack in leadership qualities were identified:

- a) A lack of skilled labour;
- b) Hostile labour relations and industrial disputes;
- c) Employees not identifying with organisation objectives;
- d) Managers lacking a sense of entrepreneurship;
- e) Organisations lack employee initiative, adjustment and empowerment;
- f) High turnover rate;
- g) Loss of individual performance; and
- h) Employee resistance to change.

The above change related consequences lead to the following overarching research question:

Will the allocation of change leadership roles according to leaders' competence, have an influence on the outcome of organisation change?

1.3 PRIMARY AND SECONDARY GOALS

1.3.1 Primary Goals

The research question was investigated through two phases.

Phase I

The first phase focused on the extent to which leaders were utilised in roles for which they achieved their highest competence ratings, as rated on a 360 degree evaluation method.

Phase II

The second phase attempted to assess the influence of the *role utilisation* and *competence* relationship on organisation change outcome.

1.3.2 Secondary Goals

The following secondary goals were formulated:

- a) To perform a literature study regarding organisation change and leadership role competencies;
 - b) To develop an integrated model for organisation change and leadership role competencies;
 - c) To develop instruments for measuring leadership change-role competencies and organisation change outcome;
 - d) To evaluate the developed instruments in terms of reliability and validity;
 - e) To compare the results of this research with the results contained in the literature study;
- and

- f) To provide guidelines and recommendations to organisations for the implementation of organisation change initiatives.

1.4 HYPOTHESES

Two phases were identified for this research. Phase I investigated the utilisation of leaders in specific leadership change roles and Phase II investigated the influence of leaders' role competence on change outcome. Hypotheses were formulated for each phase.

1.4.1 Hypotheses - Phase I

Leaders' utilisation in change roles were investigated in Phase I. This entailed the extent to which they were utilised in roles for which they received their highest competence ratings. A questionnaire measuring leaders' competencies for each change role was developed. The respondent organisations' management teams were asked to identify the leaders they utilised and for which roles they were utilised. These leaders were rated by means of a 360-degree assessment. The respective leaders assessed themselves, their managers, a peer and a subordinate. Competence was determined by means of the average ratings received on all four competence clusters¹. The results obtained from Phase I were expressed in terms of role congruence. Role congruence referred to the extent to which leaders were utilised in roles for which they received their highest average competence ratings.

The hypotheses for Phase I were:

H0: There is no difference between the average competence scores leaders received on the four different roles.

H1: The average competence scores for the roles leaders were utilised in, are higher than for those they were not utilised in.

ⁱ Four roles (Initiator, Shaper, Monitor, and Assessor) were identified; for each role a set of competencies (competence cluster) was developed.

1.4.2 Hypotheses - Phase II

Phase II investigated the influence of the congruence results on change outcome. A questionnaire measuring the soft (employee behaviour and attitudes) dimensions of organisation change was developed. Random samples of all the literate employees of the respondent organisations were used to complete this questionnaire (Change Outcome Questionnaire).

The hypotheses for Phase II were:

H0: There is no statistical difference in terms of change outcome for roles where congruence was obtained and roles for which congruence was not obtained.

H1: For roles where congruence was obtained, there will be higher levels of success (change outcome).

1.5 CHAPTER OUTLINE

Chapter Two will focus on leadership, the different views on leadership and leadership competency models. The specific types of leadership and detail explanations thereof will be investigated. Specific focus will be placed on the different leadership roles as well as the typical behaviours and attitudes associated with these roles. The purpose of this chapter will be the isolation of those behaviours and attitudes common for most styles or types of leaders that relate to organisation change.

An investigation into the various change or transformation models will form the focus of *Chapter Three*. These models will be analysed in terms of the different phases and typical roles for change agents (leaders) associated with those phases. Based on this literature study an Integrated Role Competence Cluster Model will be developed. This model will identify the different roles leaders need to adopt for the different phases of change initiatives.

In *Chapter Four* the research design will be discussed. In terms of the two phases that form the basis for the testing of the hypotheses, the relevant statistics will be explained. The evaluation of the questionnaires developed and used for this research will also be discussed in terms of validation and reliability.

Chapter Five will focus on the research findings and interpretation of the results. The results of the hypotheses testing will be discussed, and interpreted within the context of the overarching research question.

The conclusions and recommendations will be covered in *Chapter Six*. Based on the results of this study, recommendations will be made that will assist organisations implementing change initiatives. Future research projects for elaboration and extension of this research will also be recommended.



CHAPTER TWO

LEADERSHIP AND ASSOCIATED COMPETENCIES

2.1 INTRODUCTION

Fisher (1999:7) identified a paradox regarding leadership in the sense that most professionals cannot lead, and they do not want to follow. Fisher (1999:12) also noted that it is ironic that no one knows what leadership is; yet there are scores of books on the subject.

When one considers the different views and theories available on leadership and leadership competencies (Abzug and Phelps, 1998; Gaughan, 2001; Dering,1998; Trofino, 2000; Bergman, 1999 and Terry and Levin, 1998), one can only agree with the above view provided by Fisher. Not only are there multiple and diverse views, but they often oppose and contradict one another.

The purpose of this chapter is to reflect on the various views and to explore for commonalities. Contemporary views on leadership will be discussed. The literature on leadership competencies and in particular those competencies associated with change management will be presented.

2.2 DEFINITION OF LEADERSHIP

Weiss (1999:4) proposed the following definition of leadership: “Leadership manifests itself anytime you try to influence the behaviour of an individual or group, regardless of the reason. It may be for your own goals or those of others, and the goals may or may not agree with organizational goals.”

Abzug and Phelps (1998:208) argued that a lot of the “new” insights regarding leadership theory and practice were already known and acknowledged as far back as 200 years. In this regard they referred to the works of Adam Smith, Frederick Taylor and Chester I Barnard. According to them, Barnard “set the stage for moving beyond Taylor's control notion of management by offering a theoretical ground for participative leadership. He is consistent with today's paradigmatic shifts towards empowerment and nonlinear thinking that cause us to re-evaluate the role of guiding values versus work rules and routinization in the workplace.”

For Cairns (2000:3) leadership does not come from without, but from within. Leaders take initiative, they challenge the *status quo* and they encourage followers. She also added that this is a frightening prospect for many companies. In terms of her view, leadership is change focused. Cairns' sentiment on the role leaders play during change is shared by Cross (2001:49), who said: "An organization takes its cues from its leaders; if the leaders embrace change, the organization will change."

In their effort to compile a complete (or as they prefer to call it: hyper dimensional) taxonomy for managerial competence, Tett, Guterman, Bleier and Murphy (2000:221) looked at the various views on leadership. From twelve earlier models they studied they found that eight of them referred to leadership as "motivation by persuasion". According to them this was often considered to be the essence of leadership. In more recent studies they found the term *leadership* had been conceptualised in terms of dichotomous behavioural categories. These categories include, amongst others, (i) task and person orientation, (ii) autocratic and participative style, and (iii) transactional and transformational leadership. Some leadership competencies were identified as being applicable to all these categories, while others were linked to a particular "type" of leadership. They eventually grouped leadership into two clusters. The first cluster included "Initiating Structure (Task Orientation)", "Autocratic Style", and "Transactional Leadership". In the second cluster they grouped "Consideration (person orientation)", "Participative Style" and "Transformational Leadership". They also added that in the literature different authors conceptualised the same "leadership type" differently. As an example they referred to transformational leadership and noted that researchers like Bass, 1985; Burns, 1978; Conger and Kanungo, 1987; and House, 1977 defined it in different ways.

Kanji and Moura E SA (2001:701) shared the same frustration with leadership definitions. Their review of the literature suggested that there are "almost as many different definitions of leadership as there are researchers who have attempted to define the concept". They noted however, that every leadership definition inevitably comprises an *influential* component.

Zenger, Ulrich and Smallwood (2000:22) argued that any definition of leadership should include results, not just the method or process of human interaction. According to them, the ability to produce better production results is the ultimate goal of leadership.

Parsell and Bligh (2000:199) were of the opinion that leadership involves the possession and use of power and authority to bring about change in terms of influencing the thoughts and actions of other people. They also added that the idea of leaders to be born and not made and who possess innate abilities appropriate to leadership is less accepted amongst leadership authors.

Zenger *et al*, (2000:27) supported the link between leadership and change. They concluded: “Ultimately, leadership is about change; it’s usually not required for maintaining the *status quo*.” This view was shared by Kerfoot (1999:64). She defined leadership as the art and science of leading change effectively.

In comparing the different views on leadership, there are some similarities in the way leadership is explained. Inducing change, getting others to change and upholding change are at the essence of leadership. As such, leadership is linked to transformation. It was therefore concluded that leadership cannot be non-transformational, as leadership implies change.

For the purpose of this study, leadership was defined in terms of the ability to change others' behaviour, or to move them towards taking action in line with a goal or objective.

2.3 DEFINITION OF COMPETENCE

Competence was defined in a number of ways by various authors. In this section these definitions will be investigated.

Nadler (1990:26) defined competencies as knowledge and skill requirements for a specific job. Knowledge, according to Urdang (1992:237) relates to “knowing, awareness, apprehension, cognition, grasp, understanding, discernment, consciousness, conception and insight”. He (1992: 444) also defined skill as “talent, ability, aptitude, adeptness, adroitness, dexterity, expertise, proficiency, finesse, knack, quickness, deftness”. Considering the definitions provided by Urdang of knowledge and skill, competencies as defined by Nadler (1990:26) can be seen as the know-how of a job being executed in such a way that it exceeds expectation.

For Hall (1996:33) competence is a matter of “fitting”. He referred to White (1959) who originally worked on human competence and who defined competence as the key to adaptive fitness. Hall's

discussion included concepts such as “create”, “commit”, and “interest”. He consequently came up with the following definition of competence: “Competence, as a state of adaptive fitness and response readiness, is the sustained capacity of people to respond in a committed and creative fashion to the demands placed on them by their environments.” (Hall, 1996:33).

Letsinger’s (1998:26) view on competencies was similar to that of Nadler (1990:26). He defined competencies as the knowledge, skills, abilities and behaviours that are required for success in a job. Their (Letsinger and Nadler’s) views were shared by Halley (2001:154) who defined a competency as a characteristic that enables an individual to perform his or her job in a manner that is productive and can be measured against accepted performance standards. For Halley (2001:154) competency combines knowledge, skills, abilities, traits, attitudes, motives and behaviours.

Although it seems as if the definitions provided by Nadler (1990:26), Letsinger (1998:40) and Halley (2001:154) differ from the view provided by Hall (1996:33), they do relate. The way people get to respond and fit to their environments’ demands would rely upon their knowledge, skill and abilities in terms of the roles they fulfil. Only if they would acquire the necessary knowledge, skills, abilities and behaviours, would they be able to “fit”.

Spencer and Spencer (1993:9) defined a competency as “an underlying characteristic of an individual that is causally related to criterion-referenced effective and/or superior performance in a job or situation”. In their explanation of the terms “underlying characteristics”, “causally related” and “criterion-referenced”, a connection between the “fitting” processes described by Hall (1996:33) and the knowledge, skills, abilities and behaviours of Letsinger (1998:40) can be seen.

Spencer and Spencer (1993:9) provided a detailed explanation of the key concepts in their definition. They explained the term “underlying characteristic” as a deep, enduring part of an individual’s personality that allows for the prediction of behaviour in a wide variety of situations and job tasks. “Causally related” indicates the ability of the competence to cause or predict behaviour and performance. The term “criterion-referenced” means the competency actually predicts who does something well or poor, as measured against a specific criterion or standard.

Tett *et al*, (2000:212) offered a more recent definition of “competency”. They emphasised the fact that the understanding of the concept of competency is by no means firmly established. According to them, a competency “is an identifiable aspect of prospective work behaviour attributable to the

individual that is expected to contribute positively and/or negatively to organizational effectiveness.” They acknowledged the fact that this definition is lacking precision, in particular regarding when and how competencies might be expressed.

What was of particular interest in this definition of Tett *et al*, (2000:212) was the reference to negative contribution. That was interpreted to suggest leaders or managers not only possess competencies that will contribute positively to organisational effectiveness but also competencies that will negatively contribute to organisational ineffectiveness.

For this research, competencies refer to the knowledge, skills, abilities and behaviours that are required for success in leadership roles. The focus of this research is to link change-roles or positions for managers to specific leadership competence clusters, and to measure the impact on change outcomes.

2.4 VIEWS ON LEADERSHIP

In an overview of leadership development, Gaughan (2001:67) stated that the study of leadership began around the 1930s. A paradigm shift in leadership models from “transactional” to “transformational” occurred in the 1980’s. According to her, earlier models (situational or contingency models) focused on identifying styles and behaviours, which were dependent on a range of situational factors. The later models (post 1980) focused on change and gave rise to a “new” leadership approach.

The “new” approach involved a paradigm shift from transactional to transformational leadership. The transformational leadership style implied that leaders are only leaders by virtue of the leadership role being sanctioned by their followers. Although the focus has shifted to transformational leadership, Gaughan (2001:67) noted that most researchers agreed on the importance of both transactional and transformational leaders operating in organisations. The need for leaders to possess both transactional and transformational skills was confirmed by Cross (2001:49).

In the “Definition of Leadership” section of this chapter (*Paragraph 2.2, p. 8*), reference was made to research done by Tett *et al*, (2000:221) where they referred to the variety of ways in which authors conceptualised similar leadership approaches.

Transformational leadership was also called upon by Trofino (2000:232) to assist with the internalisation of total quality management processes. The two main skills or traits of the transformational leader were his/her ability to envision and to inspire. These particular abilities of the transformational leader were conceptualised by Bass and Avolio (1994:3) in terms of their four “I”s dimensions. These were “Idealized Influence”, “Inspirational Motivation”, Intellectual Stimulation” and “Individualised Consideration”. The core of each “I” related to the leaders' ability to inspire, to create a desire in their followers to follow their example, to generate enthusiasm and to stimulate creativity and a need for achievement. Transformational leadership, according to Parsell and Bligh (2000:199), focuses more on the process than the task, and motivates through cooperation rather than competition, considers people’s needs and feelings and encourages participative decision-making and problem solving.

Dering (1998:32) identified two distinct paths that the study of leadership took in the 1990s. One branch was the “Relational Models” and the other the “Contemporary Organisations Models”. The “Relational Models” focus on the affective domain in leadership (including concepts like caring, stewardship and love). The *Transformational Leader Model* is an example of the “Contemporary Organisations Model”. According to Dering (1998:32) the *Transformational Leader Model* is the leadership imperative of the 1990s. Although she claimed that no model alone informs the competencies of leaders in quality organisations, she found the *Transformational Leader Model* helpful in setting a framework for leadership in quality organisations. For her the *Transformational Leader Model* allows for three critical components of leadership, i.e. the needs of the followers, the needs of the organisation, and the needs of the organisation to change.

According to Gronn (1997:277) leadership is an emergent attributed status. This aspect has resulted in what he called the “prototypical imperial leader”. The prototypical imperial leader originates from the leader attribute of greatness. There is a deeply entrenched belief in the greatness of the deeds of these individuals. Trofino (2000:236) linked the greatness of leaders like Florence Nightingale, George Washington, Mahatma Gandhi and Martin Luther King to personal characteristics of the transformational leader. Svyantek (1999:292) added Caesar as an example of an excellent leader.

Bergman (1999:15) proposed a somewhat different outlook on leadership development. He called for a “grass-roots” approach. The grass-roots approach viewed leadership as non-formal, claiming

that everyone can be a leader, regardless of title or position. This approach defined leadership competencies in terms of behaviours and not as traits. Viewing leadership in terms of behaviour and not as traits implied that leadership could be taught.

Terry and Levin (1998:308) reported that contemporary literature often include the term “new” when referring to leadership. They argued the reference to leadership in terms of “new” originated from the influence of modernism and technical rationality. The new brand of leadership is then used to characterise leadership in terms of successful strategies. “New” also relates to entrepreneurialism. Terry and Levin (1998:310) described the entrepreneurial leader as being powerful and change orientated. They saw the entrepreneurial leader as a skilled change agent who is adept at applying and exploiting the most advanced management techniques to bring about radical change.

In the “Definition of Leadership” section of this chapter (*Paragraph 2.2, p. 8*), reference was made to Abzug and Phelps’ (1998:208) comments on the fact that new is not so new at all, and that Barnard, Taylor and Smith looked at leadership in the same way. In their critique against the new form of leadership, Terry and Levin (1998:310) came to the same conclusion. According to them, from Machiavelli in the sixteenth century to Barnard and Selznick in the twentieth century, detailed descriptions were given on leadership strategies that make a difference. A further criticism against the entrepreneurial model was that new is not always better. For them new and unproven ways of doing things can cause more harm than good. Their last criticism related to the notion of tradition being the enemy of progress by the entrepreneurial model. For them tradition is the normative anchor that governs the rational actions of institutional leaders.

The preferred style of leadership for Terry and Levin (1998:313) was what they called the “administrative conservatorship style” or the “conservator”. The term “conservator” is derived from the Latin word *conserve* that means, “to preserve”. According to Terry and Levin (1998:313), “administrative conservatorship” refers to the active and dynamic process of strengthening and preserving institutions’ special capabilities, proficiency and integrity. They also stated that the “conservator” is not against change or that change is feared. They proposed a model “(administrative conservatorship model)” that included a continuum of leadership roles ranging from “initiating leadership” to “protecting leadership”. The initiating leadership role concentrates on strategic change (mission, values, personnel, and technologies), covering the entire institution and therefore protecting its integrity. Protecting leadership is concerned with incremental or zero-

change, guarding against opportunism. This model is against radical or total and fundamental transformation. Jorgensen (2001:75) shared Terry and Levin's concern on radical change. He warned that growth and change could make an organisation forget its original mission and values. Such an organisation then becomes sidetracked from its values base and can be full of conflict and tension.

The different views on leadership (new, traditional, conservator, transformational, charismatic, prototypical, etc.) proved the contentiousness of leadership theories. There were more similarities than differences in what authors saw as "good" leaders. All of them agreed on issues like inspiring people, showing direction, communicating effectively, and solving problems. The differences were more in terms of the "how they do it" than in "what they do". Some differences were even based on similarities where the arguments evolved around "more this than that". It was however clear that there is not yet a single leadership model that is universally accepted. Current models will be criticised even more in future, according to Loughlin and Barling (2001:551). They focused on the young workers and the tendency to see younger people in leadership roles. The new generation, they claimed, rejects older models of authority and leadership and they (young generation) did not yet fill the gap with new models of leadership.

For this research leadership was defined as the ability to change others' behaviour, or to move them towards taking action in line with a goal or objective.

The next section will focus on the competencies associated with leadership and in particular some models for leadership competencies.

2.5 LEADERSHIP COMPETENCIES

Boak and Coolican (2001:212) discussed leadership competencies in terms of specific behaviours exhibited by more effective and less effective leaders. They reported on various contemporary research findings and found the behavioural approach to competencies the best way of measuring leadership. The reason for this, they said, was the clear description of behavioural indicators. They noted however that leadership competencies, although based on behavioural indicators, were also expressed in terms of skills or characteristics. Recent models, they claimed, also focused on "meta-competencies" which refer to abilities that underpin or allow for the development of competencies,

as well as characteristics that individuals will need in addition to competencies such as motivation and cognitive abilities.

The model described above by Boak and Coolican (2001:212) was found useful and necessary for Wright, Rowitz, Merkle, Reid, Robinson, Herzog, Weber, Carmichael, Balderson and Baker (2000:1202) to determine a measurement process for leaders in the Public Health arena. They concluded competency-based instruction to be a means of achieving accountability through teaching practice-based clusters of knowledge and skills.

The above approach of expressing competencies in terms of more effective leaders and less effective leaders was called competency theory (Cairns, 2000). According to Cairns, “competency theory” is based on studying successful leaders, breaking down their behaviours, attitudes and skills into measurable bits and then putting them together to form beings demonstrating superior performance. She criticised this approach and called it “madness” and “lunacy” likely to create “nothing but inhuman monsters”. Instead she advocated the development of individuals’ own interests, own insights, motivations, and capabilities. She concluded that leadership comes not from without but from within (Cairns, 2000).

Her criticism was found to be ironic. She claimed that competency theory will create Frankenstein’s monster, and that all his (Frankenstein) problems started when the monster developed a mind of its own and stopped obeying his master. Her own support for leaders to develop to their own insights, motivations, and capacities, to be as much themselves as they are capable of being was supporting exactly what she criticised the competency theory of, i.e. creating a monster with a mind of his own that stopped obeying its master.

In a benchmarking study of best practices in leadership development, Fulmer and Wagner (1999:28) found most of the best-practice organisations have identified leadership competencies or defined the characteristics and qualities of successful leaders in general. They also kept their competencies updated through internal and external research.

Barner (2000:47) was of the opinion that leadership competencies should be identified within a specific business context. Leadership competency assessment must be designed around the current and future needs of the organisation. Although not against competency theory as such, he criticised

the way competency theory is practiced. According to Barner (2000:47), the problem with competency theory is that it is applied as the driver instead of the business strategy.

The assessment of leaders' strengths and weaknesses traditionally focused on analysing the leader as an individual rather than on the leadership team as a whole. This was the view of Kanji and Moura E SA (2001:706). They claimed contemporary organisations cannot and should not depend on the abilities of a single person. In addition to this criticism they added that there are considerable limitations in terms of consistency and reliability of measurement scales, which make it difficult to draw comparisons across organisations and even within the same organisation. The links between a particular kind of leadership and organisational performance are therefore problematic to establish.

Research on generic leadership competencies done in the UK by Gaughan (2001:75), found the nature of leadership models in the UK to be sufficiently different to those emerging from US leadership models. Her research also supported the views of Barner (2000:47) and Kanji and Moura E SA (2001:706) with respect to context.

The complexity of the manager's role calls for a comprehensive performance taxonomy that is more detailed than those offered in literature. This was the view of Tett *et al*, (2000:205). For them the complexity of the managerial role calls for greater attention to detail and they emphasised the value of greater specificity of behavioural dimensions in the analysis of leadership competencies. Like Barner (2000:47) they called for the contextualisation of leadership competencies. In addition to the context, they included the focus on behaviour and the need to capture the future-oriented nature of prediction and change in their competence model. They conducted a search for a comprehensive list of managerial competencies that would be representative for all managerial functions.

Tett *et al*, (2000:212) assembled their comprehensive list from twelve previously published performance taxonomies and ended with a master list of 109 dimensions. They eventually identified 53 competencies. They also derived at specific leadership competencies that they specified under selected leadership styles. These styles were: (1) *Initiating Structure*; (2) *Consideration*; (3) *Autocratic*; (4) *Participative*; (5) *Transactional*; and (6) *Transformational*.

Although not without shortcomings, competency theory was used by most researchers and practitioners to develop competencies. The criticisms against this approach stressed the situational

nature of leadership and that one generic competence model is not desirable. Most users of this approach were well aware of these difficulties and recognised it in their models. Acknowledgement was given to the contextual nature of leadership competencies in terms of type of industry, culture, and phase of the organisation's growth as well as to the need for diverse leadership within all of these parameters. The focus of this research was on diverse clusters of leadership competence to allow for the specific nature of each stage or situation linked to organisation change.

The next section will focus on the different competencies identified for leadership reported in literature with specific focus on change management. It was concluded in *Paragraph 2.2, p. 8*: "Definition of Leadership", that leadership cannot be non-transformational. As such leadership competency models have to be linked to leadership change management.

2.6 CHANGE-MANAGEMENT LEADERSHIP COMPETENCIES

Ten independent "High Performance Leadership Competencies" originally developed by Schroder with the addition of one "South African" competency were adapted by Spangenberg, Schroder & Duvenhage (1999:117) for South African managers. These competencies were: (1) "Information Competence"; (2) "Conceptual Competence"; (3) "Strategic Competence"; (4) "Interpersonal Learning"; (5) "Cross-Boundary Learning"; (6) "Developmental Competence"; (7) "Building Purpose"; (8) "Building Confidence"; (9) "Proactivity"; (10) "Achievement"; and (11) "Contextual Sensitivity".

Wright *et al.* (2000:1205) clustered the competencies identified in their Public Health Leadership Competency Framework in terms of the following four categories: (1) *Core Transformational Competencies*: "Visionary Leadership", "Sense of Mission", "Effective Change Agent"; (2) *Political Competencies*: "Political Processes", "Negotiation", "Ethics and Power", "Marketing and Education"; (3) *Trans-Organisational Competencies*: "Understanding of Organisational Dynamics", "Inter-Organisational Collaborating Mechanisms", "Social Forecasting and Marketing"; and (4) *Team-Building Competencies*: "Develop Team-Oriented Structures and Systems", "Facilitate Development of Teams and Work Groups", "Serve in Facilitation and Mediation Roles", "Serve as an Effective Team Member".

Tett *et al.* (2000:245) identified a comprehensive list of 53 competencies clustered in 10 categories. The categories were: "Traditional Functions", "Task Orientation", "Person Orientation",

“Dependability”, “Responsibility”, “Open Mindedness”, “Emotional Control”, “Communication”, “Developing Self and Others”, and “Occupational Acumen and Concerns”. They grouped some of these competencies in terms of specific leadership styles, i.e. “Initiating Structure”, “Consideration”, “Autocratic”, “Participative”, “Transactional”, and “Transformational”. For the development of the Role Cluster Competencies all the competencies they identified under these styles were considered. They included the following competencies: “Problem Awareness”; “Directing”; “Decision Delegating”; “Short-Term Planning”; “Strategic Planning”; “Co-ordinating”; “Goal Setting”; “Monitoring”; “Motivating by Authority”; “Motivating by Persuasion”; “Productivity”; “Initiative”; “Task Focus”; “Urgency”; “Decisiveness”; “Compassion”; “Co-operation”; “Social-Ability”; “Politeness”; “Political Astuteness”; “Assertiveness”; “Seeking Input”; “Rule Orientation”; “Trustworthiness”; “Timeliness”; “Tolerance”; “Creative Thinking”; “Cultural Appreciation”; “Listening”; “Oral Communication”; “Public Presentation”; “Developmental Goal Setting”; “Developmental Feedback”; “Job Enrichment”; “Quality Concern”; “Quantity Concern”; “Financial Concern”; and “Safety Concern”.

Boak and Coolican (2001:2180) developed a specific model for retail leadership. Their model consisted of 36 behaviours clustered in six key leadership competence categories. The six key leadership competencies they identified were: (1) “Acting Strategically”; (2) “Influencing and Inspiring Others”; (3) “Taking Action”; (4) “Developing a High Performance Team”; (5) “Making Decisions”; and (6) “Evaluating and Learning”.

The focus of the model developed by Kanji and Moura E SA (2001:708) was on leadership in quality-oriented organisations. They identified the following core competencies for their model: “Vision and Purpose”; “Ethics and Principles”; “Communication”; “Customer Orientation”; “Organisational Change”; “Structure and Systems”; “Measurements Evaluation and Reporting”; “Process Improvement”; “Team Development”; “Developing Subordinates”; “Developing Partnerships”; “Innovation”; and “Continuous Learning”.

Bergmann (1999:17) identified the following competencies for his grass-roots model of leadership: “Setting or Sharing a Vision”; “Managing Change”; “Focusing on the Customer”; “Dealing with Individuals”; “Supporting Information”; “Sharing Information”; “Solving Problems”; “Making Decisions”; “Managing Business Processes”; “Managing Projects”; “Displaying Technical Skills”; “Managing Time and Resources”; “Taking Responsibility”; “Taking Initiative Beyond Job

Requirements”; “Handling Emotions”; “Displaying Professional Ethics”; “Showing Compassion”; and “Making Credible Presentations”.

The following competencies were highlighted by Graetz (2000:553) for strategic change leadership: “Creating Capacity for Change”; “Creating a Vision and Setting the Direction”; “Leadership Commitment”; “Communicating the Message”; and “Reinforcing and Institutionalising the New Behaviours”.

Scholtes (1999:704) based his list of “new leadership competencies” on Deming’s work on the System of Profound Knowledge. The following list was identified by him to be “new leadership competencies”: (1) “The ability to think in terms of systems and knowing how to lead systems”; (2) “The ability to understand the variability of work in planning and problem-solving”; (3) “Understanding how we learn, develop and improve, and leading true learning and improvement”; (4) “Understanding people and why they behave as they do”; (5) “Understanding the interdependence and interaction between systems, variation, learning and human behaviour: knowing how each affects the others”; and (6) “Giving vision, meaning, direction and focus to the organization”.

The following nine core competencies were identified by Dering (1998:33): “Vision and Purpose”; “Customer”; “Organisational”; “Measurement Evaluation and Reporting”; “Process Improvement”; “Developing Subordinates”; “Team Development”; “Meetings Effectiveness”; and “Innovation”.

Potter (2001:55) identified five key factors he considered to be vital if effective change is to take place. These factors (“Create Understanding”; “Communicate Effectively”; “Release the Potential in Your People”; “Set a Good Personal Example”; and “Pace Yourself”) can be equated to in terms of competencies.

A significant number of authors (Dering, 1998; Scholtes, 1999; Graetz, 2000; Kanji and Moura E SA, 2001; Bergmann, 1999 and Wright *et al*, 2000) stressed the importance of *Creating a Vision* as an important competency for leadership. Kerfoot (2000:263) called for a *Shared Destiny* instead of a *Shared Vision*. She claimed that the best organisations are those built on a model where mutual growth for both organisation and employees are sought. Such a model allows for the employees and the organisation to develop a mutually satisfying relationship in which both add value to each other.

Most of the above authors referred to the competencies they identified as being “key” or “core”. Beckett (1998:24) was of the opinion that the word “key” is an example of management jargon. According to him, only management consultants would use the word *key*, to make it sound more important. Pritchard (1999:23) however, considered “core competencies” to be those essential characteristics needed for on-the-job success.

When consideration is given to the shopping basket approach used by some authors (like Tett *et al*'s 53 competencies), the words “key” and “core” are useful. Most authors specified those competencies that are unique or specific for leadership. There were a large number of similar competence clusters and indeed competencies described by authors as being key or core. By focusing on the similar or commonly identified key (core) competencies, the essence of leadership can be grasped.

2.7 COMPETENCE CLUSTERS FOR LEADERSHIP CHANGE ROLES

Bowman (2000:455) referred to six change-leadership styles, each with a different set of assumptions and goals. For him the challenge was to achieve a complementary pairing between the organisation's disposition towards change and the nature of the change demands in the environment. The six leadership styles should then be critiqued against this pairing, resulting in the selection of the most appropriate style. The six change-leadership styles he referred to were: “Anti-change”; “Rational”; “Panacea”; “Bolt-On”; “Integrated”; and “Continuous”.

More than one style was required for any change initiative. The challenge described by Bowman (2000:455) extends throughout the course of the change initiative.

Exploring literature on leadership competencies in this chapter provided the basis for the competence clusters for the change roles. The leadership competencies were selected with organisation change as functional area.

Based on the discussion of “Change-Management Leadership Competencies” (*Paragraph 2.6, p.18*) four competence clusters (supporting the four change leadership roles identified) were selected. Most authors discussed in *Paragraph 2.6, p. 18* identified them as core change-management leadership competencies.

Initiator Cluster

1. Illustrating an awareness of problems causing a need for change
2. Identifying possible solutions for the problem(s)
3. Providing strategic vision for the organisation
4. Communicating and sharing the vision
5. Obtaining support for the vision
6. Gathering data before implementation of the change initiative
7. Selecting the change initiative from among alternatives
8. Identifying and setting of change goals to realise the vision
9. Providing information on the expected change benefits

Shaper Cluster

1. Inducing and reinforcing change by providing incentives and rewards
2. Inducing and reinforcing change by providing authoritative measures and discipline
3. Providing clarity on behavioural expectations
4. Utilising personal attraction to induce change
5. Developing employee competence to meet change requirements
6. Empowering employees to deliver change outputs
7. Utilising and building teams to achieve change results
8. Utilising project management principles to achieve change results
9. Aligning employee's utilisation with change activities according to their strengths

Monitor Cluster

1. Allowing consultation on change progress
2. Handling emotional reactions, providing compassion and care
3. Addressing and eliminating resistance and conflict
4. Providing frequent performance feedback during the change efforts

5. Networking with various individuals and institutions on methods to streamline and expedite the change efforts
6. Encouraging and energising employees during failures and periods of stagnation

Assessor Cluster

1. Measuring change outcomes
2. Evaluating trends, outcomes, and the impact of change
3. Linking the change outcomes to the initial vision
4. Providing focus areas for future change initiatives

2.8 SUMMARY

Competencies refer to the adaptation of an individual's behaviour, skills and knowledge to situations or roles. Leadership as a role is very broad and authors prefer to diversify leadership in terms of styles or approaches. This has led to debate in terms of which is preferred, ideal, suitable or relevant. Matching different competencies to specific leadership styles allows for the process of adaptation.

Most competencies "fit" the general view of leadership. Most authors favour competency theory to explain leadership competencies in terms of leadership effectiveness. There was amongst them agreement on its (competency theory) shortcomings. Amongst its weaknesses are the need for specificity and a more situational application. Most models quoted in this chapter isolated what authors believe to be the "core" competencies allowing for a generic leadership-competence fit. The core competencies were supplemented with other related competencies to allow for specificity and the requirements of specific situations.

Most definitions of leadership focus on its transformational or change nature. The core competencies that were related to in this chapter confirmed this. Managing change is the essence of the leadership role. The overarching definition for leadership adopted for this study define leadership as *the ability to change others' behaviour, or to move them towards taking action in line with a goal or objective*. Leaders who are considered to be "transactional" lack leadership competence and are therefore not competent to manage organisation change.

According to competency theory, leadership competencies can be viewed as a collection of competencies ready to be used when necessary. Some must be used most of the time while others will be used occasionally when the occasion or situation demands their application. The true leader therefore will be the one that not only possesses the best collection of behaviour, skills and knowledge, but also over the ingenuity for knowing when, how, and why to apply them.

Applying specific leadership roles to the stages of organisation change allow for more specificity in terms of competency theory. Fitting competencies to those roles will assist the leader in working out the what, when and why. It is unfortunately not a foolproof recipe as the variables in the organisation environment are too complex and varied.

The nature of organisation change will be discussed in *Chapter Three*.



CHAPTER THREE

ORGANISATION CHANGE, CHANGE MODELS, AND MEASUREMENTS

3.1 INTRODUCTION

In this chapter the concept *organisation change* and what it entails will be investigated. Two distinct approaches towards organisation change are identified, namely the “Planned” and the “Emergent” approaches. Both of these two approaches will be discussed and linked to typical models developed for each. Arguments emanating from literature will be considered for choosing an approach. Leadership change roles will be discussed within the framework of the adopted emergent approach. Resulting from this investigation a change model has been developed for this research, the “Integrated Role Competence Cluster Model”. This chapter will be concluded with a discussion on the measurement of organisation change.

3.2 DEFINITION OF CHANGE

In defining change, most authors referred to it as a process of movement from one state to another. Some like Veldsman (2002:46) and Gillis (1999:28) referred to only two states in the change process, the current and the future. For them the future state is seen as positive or desirable.

Veldsman (2002:47) described that change as outcome “is the difference in the state of an organisation at two separate locations in time and/or space”. The earlier location refers to the “what is” state of the organisation, the latter location to its “what should/must be” state. State refers to the mode of existence and functioning of the organisation. The change process encompasses the conversion of the “what is” state into the “what should/must be” state. In this sense, the outcome of the change is desirable as he used the terms “should/must be”.

Gillis (1999:28) defined change in terms of its underlying drivers towards a new end state. According to her, these drivers or reasons for change include response to a changing environment, to begin a new venture, to prepare for the future, and to improve performance. She warned that if organisations do not respond by changing, they may not survive.

Hill, Hazlett, and Meegan (2001:142) referred to a third state associated with the change process. Their view of the change process was similar to the one described by Veldsman and Gillis above. The third condition or state mentioned by Hill *et al*, (2001:142) is the transition state. The transition state refers to the set of conditions and activities that the organisation must go through to move from the present to the future.

Schalk, Campbell and Freese (1998:157) described change as “the deliberate introduction of novel ways of thinking, acting and operating within an organization as a way of surviving or accomplishing certain organization goals”. In this sense, novel refers to new, different or unique, and as such implicates doing or thinking differently. Thinking or doing something different as well as their reference to “accomplishing certain organization goals” indicate moving towards a desired position.

Both Cornell (1996:23) and Mink (1998:272) related to change in terms of systems theory. For Cornell there was the assumption that for organisations to function satisfactorily, there need to be a balance or equilibrium between related factors.ⁱⁱ Change disrupts this equilibrium and the system will take steps to regain its balance. Change may also be a response to the desire to achieve such equilibrium, if one or other party is not content with the *status quo* (Cornell, 1996:24). Mink (1998:277) said the goal of organisation renewal is to become an open system. “Change is a process, not an event. Change not only is intention, but also grows out of experience and the learning process. Change is existential, not abstract. Change can be both spontaneous and planned. It can occur unilaterally or through collaboration. Change is purposive.” (Mink, 1998:277).

Whether a process or an event, change is moving from one position towards another, usually towards a desired or better position.

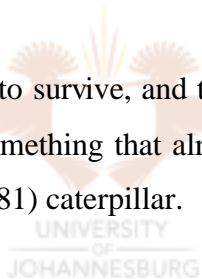
To conclude the discussion on explaining change, a comparison between change and transformation is essential. Applebaum and Wohl (2000:281) saw it as two distinct processes. For them, change is

ⁱⁱ Related factors include aspects relating to the self (job satisfaction, pay, family, motivation, relationships, etc.), the workplace (administration, efficiency, costs, competition, etc.) and the environment (technology, economics, world markets, etc.).

the alteration of something that already exists. The outcome of change is improvement or at least the adoption of a different way of operating. Change does not affect the context. Transformation is where there is a *bona fide* metamorphosis. It is not, like with change, improving on what is, but creating something that does not exist. They used the analogy of a caterpillar transforming into a butterfly. “The butterfly is not more caterpillar, or a better or improved caterpillar, or even a changed caterpillar - it is a new and entirely distinct being.” (Applebaum and Wohl, 2000:281).

Chapman (2002:16) and Mink, Esterhuysen, Mink and Owen (1993:209) referred to change in terms of first- and second-order change. According to Chapman (2002:16) this distinction originated from Watzlawick *et al*, (1974), while Mink *et al*, (1993:209) contributed its origin to Levy (1986). They (Chapman and Mink *et al*) did, however agreed in terms of the nature and meaning thereof. First-order changes were described as minor improvements and adjustments that do not change the system’s core. Second-order changes were seen as changes that are thoroughly integrated into the organisation and that transform its very essence. As such, second-order change implies transformation.

The ultimate goal of change is to renew, to survive, and to live. Transformation is about creating. For man to create, he has to transform something that already exists. To do so, the original has to die - like Applebaum and Wohl’s (2000:281) caterpillar.



Change, as referred to in this research, is about improvement and not transformation. Change is about movement, indicating direction.

3.3 APPROACHES TOWARDS ORGANISATION CHANGE

According to Savolainen (1999:1203) the main differences between the processes of change are found within the “type” and the “mode” of the process. He referred to “type” as the speed of change, while the “mode” was referred to as the means of effecting organisation change. Differentiation in terms of the speed of change was made where he distinguished between incremental (evolutionary) and radical (transformational/revolutionary) change. The mode of change was described as a polar type model of collaboration and coercion. Savolainen (1999:1204) added that in the polar model the difference does not lie in speed but whether organisations are affecting change on a continuous or on a discontinuous basis. He then described “Continuous Improvement (CI)” as a specific change process in terms of the mode of change.

Kofoed, Gertsen and Jorgensen (2002:165) explained organisation change in terms of the punctuated equilibrium theory of change. According to this theory change occurs in a series of radical as well as incremental changes. The organisation is pressured by periodic dramatically environmental events to change dramatically (radical change) or else perish. Once these radical changes are implemented they will decay over time without maintenance and support. Kofoed *et al*, (2002:165) stressed that maintenance and support of radical changes are not alone adequate to ensure organisation survival due to the ever increasing demands of the environment. For this reason, the incremental changes implemented in the interim between radical changes must also be targeted towards the improvement of processes and systems within the organisation. For them “(CI)” or “Continuous Improvement” was seen as an advanced form of incremental change that not only help to maintain, support and build on the improvement efforts initiated by the radical changes, but also serve as an enabler for integration of radical changes within the organisation.

Two broad approaches to organisation change were identified in the literature, i.e. Planned Change and Emergent Change. The difference between Planned Change and Emergent Change is that Planned Change is in essence a “Top-down Approach”, whereas Emergent Change is driven from the “Bottom-up” rather than from the “Top-down”. Authors like Kofoed *et al*, (2002:165) and Pettigrew *et al*, (2001:705) viewed Emergent Change as incremental and continuous in nature, whereas Planned Change was seen as being radical and episodic. Emergent Change is also commonly known as the “Continuous Improvement (CI) Approach”.

Kofoed *et al*,(2002:165) further highlighted the complicated nature of change. They differentiated between radical and incremental change. Those that encompass major, fundamental shifts of organisation systems, products, culture and paradigms were described by them as radical changes (second-order changes). These are considered disruptive in nature and often require considerable investments, are targeted towards reorientation of the organisation in short, sudden, and planned bursts of activity, and are directed “Top-down” on the basis of deductive logic. Incremental changes or first order changes they defined as “the minor modifications that seek to reinforce or converge current practices, processes, culture, paradigms, etc. These changes are implemented slowly and gradually over time and require little investment to implement, are based on inductive logic and often involve employee participation and involvement in the planning, directing, and implementing of improvement activities.” (Kofoed *et al*, 2002:166).

Pettigrew *et al*, (2001:705) complicated the change terminology further by presenting yet another distinction: episodic versus continuous change. Although named differently to the two types identified by Kofoed *et al*, (2002:166), their underlying descriptions match. Pettigrew *et al*'s episodic changes are the same as Kofoed *et al*'s radical changes, whilst continuous changes are similar to incremental changes. Episodic change refers to infrequent, discontinuous, and intentional organisation changes. In contrast to episodic change is continuous change. Continuous changes are ongoing, evolving, and cumulative. According to Pettigrew *et al*, (2001:705) the distinctive quality of continuous change is its small-uninterrupted adjustments, created simultaneously across units, which create cumulative and substantial change.

Butcher and Atkinson (2001:562) differentiated between “Top-down” and “Bottom-up” approaches towards change. “Top-down” reflects a rational, hierarchical, bureaucratically way where change results from decisions and directions from the organisation’s leaders. “Bottom-up” change models assume a non-linear, political and irrational process. They concluded that the “Top-down” approach is seen as a *positive movement* to improve, whereas the “Bottom-up” approach is often referred to as a *negative movement*. Their view corresponded with that of Gillis (1999:28), in that something desirable is at the base of change. Although negative and in management’s view undesirable, “Bottom-up” change is desirable for the non-management initiators. This brings a new dimension to the definition of change. The direction may be desirable to one segment of the population yet undesirable to another. For change to be successful it has to be desirable to all stakeholders in the organisation. A “Bottom-up” approach must have the sanction of the organisation’s leadership.

3.3.1 The Planned Approach Towards Organisation Change

Many authors on organisation change models mentioned Lewin’s (1951) model of “unfreezing”, “change”, and “refreezing” as the original, and most influential model for organisation change. These authors included Applebaum and Wohl (2000:288), Cornell (1996:26), Burnes (1996:11), Gillis (1999:28), and Burke (1995:159). Burke (1995:159) as well as Burnes (1996:11) noted that this particular model provided the framework for change management theory for most of the second half of the previous century. The significance of Lewin’s work is eminent even in the year 2002. Veldsman (2002:49) still used Lewin’s terminology by calling for “New Age” organisations to remain in a constant state of “unfreezing”.

Burnes (1996:12) recognised Lewin's Action Research Approach towards solving organisation and social problems as the original Planned Model. Although not specifying specific steps for action research, it involved a particular process. This process involves the systematic collection of research data about an ongoing system relative to some objective, goal, or need and then taking action to change some of the observed variables followed by an evaluation process.

The above-described three-step model ("unfreezing", "change", "refreezing") was an improvement by Lewin on his initial action research approach. Burnes (1996:12) criticised the three-step model ("unfreezing", "change", "refreezing") as being too broad. Lewin's model was therefore developed further to enhance its practical value.

Many derivatives of Lewin's original model had since been developed ranging from three to eight distinct phases. Burnes (1996:12) quoted some examples including a seven-phase model from Lippitt, Watson and Westley, and even an eight-step model developed by Cummings and Huse. Most models range between three and four steps or phases.

Change as an event is viewed as the Planned Approach towards organisation change. This implies that change is planned, implemented and finalised. Gillis (1999:28) explained this belief in terms of organisation "states", a period of change and a period of relative stability leading to change.



3.3.2 Planned Change Models

Heifetz (1993:4) presented a seven-stage model called The Change Cycle model. The seven stages identified by him for this model are: Stage One: "Choosing the Target"; Stage Two: "Setting Goals"; Stage Three: "Initiating Action"; Stage Four: "Making Connections"; Stage Five: "Rebalancing to Accommodate the Change"; Stage Six: "Consolidate the Learning", and Stage Seven: "Moving to the next Cycle". He was of the opinion that each of these seven stages has its own purpose and characteristics. Within each stage there are some significant smaller changes that need to accelerate the change, to build upon each other towards the next stage. For him, this model will prevent some major mistakes in managing change. The following major change-management mistakes were identified by him: a premature assumption that the change is complete, wrongful assumptions of commitment for change, and the failure to measure and feed back tangible preliminary results and benefits during the change process.

The Culturally Sensitive Restructuring Model developed by Bate, Khan and Pye (2000:204) suggested four phases. The first phase is called “Cultural Framing”, which involves the process of diagnosing and mapping out the hidden problems and challenges within the organisation. The second phase, “Soft Structuring”, deals with setting the foundations for a mindset towards change. This involves the negotiation of ground rules, establishing of temporary project teams, as well as capacity building towards managing change. The operationalisation of the change into a new organisation design and a formal set of structures, systems and policies, make out the third phase, called “Hard Wiring”. The last phase, “Retrospecting”, deals with the critical evaluation of where the change was leading, whether it had to change direction, and how grass-roots innovations emerging from the process could be developed further.

St-Amour (2001:21) suggested three typical and distinct phases of transition that an organisation and its employees will pass through. The first phase is called the “Endings Phase”, where closure on the old and an understanding for the new structure is at its base. The “Exploration Phase” was the second and entails the buy-in, interim procedures and policies and preparation for the change. The third phase was called the “New Beginnings Phase”, and consists of the implementation of the change.

Although he did not establish a particular change model, Qubein (2001:17) described a basic three-step model suitable for managing change. He claimed that for change to be successful, it must be planned. He called these steps “Softening”, “Reshaping”, and “Restabilising”. He described the “Softening Phase” as the most uncomfortable, since many people have rigid habits. The essence of the “Softening Phase” is the establishment of positive and negative rewards and the implementation thereof by managers. The “Reshaping Phase” is more positive and he explained it as being more concerned with the new than with rooting out the old ways. The “Restabilising Phase” is characterised by the new behaviours being part of everyday routine. Senior managers and directors must model the new behaviours and rewards should be given.

3.3.3 The Emergent Approach Towards Organisation Change

According to Lichtenstein (2000:526) the advantages of using dynamic, non-linear models to understand how and why change happens in individuals, groups and organisations had been recognised by theorists in the advancement of the study of transformation. He concluded that theories based on these non-linear assumptions are playing an increasingly important role in the interpretation of transformation in groups, entrepreneurial ventures, innovation projects, large organisations, and in societies. He shared Burnes' (1996:13) view that stressed the gain in popularity of the emergent approach to organisation change in recent years. Connolly and Connolly (2000:62) supported this view and claimed that recent models of managing change emphasise context, and therefore the movement from a linear and rational view to a richer, socially constructed portrayal in which cognitive, cultural and political constraints are deemed important.

Shields (1999:105) provided a logical explanation for the popularity of continuous change processes. In order to successfully adapt to a continuously changing business environment, organisations must continuously innovate and change. In support of Shields' explanation was the following statement made by Doyle (2001:321): "An analysis of recent empirical research confirms that as part of their strategic response to radical change conditions, many organizations are resorting to structural and cultural initiatives such as total quality management (TQM) and business process re-engineering (BPR)." For Whitney (1998:314) the popularity for the Emergent Approach stemmed from the recognition by organisation development professionals that the greater the involvements of people in the change process, the greater their commitment to change.

The Emergent Approach to organisation change views change as a process that unfolds through the interplay of multiple variables (context, political processes, and consultation) within an organisation. This was the view provided by Burnes (1996:13). The rationale for the Emergent Approach, according to Burnes (1996:13), stems from the belief that change should not be seen as a series of linear events but rather viewed as a continuous process.

Burnes (1996:14) considered the proponents of the Emergent Approach as a somewhat disparate group who tend to be united more by their scepticism regarding planned change than by a commonly agreed alternative. He did, however find some agreement regarding the main tenets of Emergent Change. He summarised these agreements as follows:

- Organisation change is a continuous process of experimentation and adaptation aimed at matching an organisation's capabilities to the needs and dictates of a dynamic and uncertain environment.
- Although this is best achieved through a multitude of (mainly) small-scale incremental changes, over time these can constitute a major reconfiguration and transformation of an organisation.
- The role of the manager is not to plan or implement change, but to create or foster an organisation structure and climate which encourage and sustain experimentation and risk-taking, and to develop a workforce that will take responsibility for identifying the need for change and implementing it.
- Although managers are expected to become facilitators rather than doers, they also have the primary responsibility for developing a collective change vision or common purpose which gives direction to their organisation, and within which the appropriateness of any proposed change can be judged.
- The key organisation activities which allow these elements to operate successfully are: information-gathering (about the external environment and internal objectives and capabilities), communication (the transmission, analysis and discussion of information) and learning (the ability to develop new skills, identify appropriate responses and draw knowledge from their own and other's past and present actions).

The Emergent Approach to organisation change is also linked to “Organisation Learning”, depicting the change process as a continuous process of observation, analysis, implementation, and evaluation or assessment. This cycle allows for learning to take place with the focus on resetting what did not work and expanding on success. Amongst the proponents of the “Organisation Learning” view were Gronn (1997:275), Stuart (1995:28), Whitney (1998:315) Kofoed *et al*, (2002:165) and Mink (1998:272).

Gronn (1997:275) viewed “Organisation Learning” as those procedures organisations adhere to for sustaining, supplementing, and improving the knowledge and practices related to their core

functions. Stuart (1995:28) described the learning process in terms of cycles. He linked the *Gestalt Cycle of Experiencing* (“Sensation and Awareness”, “Energy Mobilisation”, “Contact and Resolution”, and “Closure and Withdrawal”) and the *Kolb Cycle of Learning* (“Experiencing”, “Reflecting”, “Conceptualising”, and “Experimenting”) to his process, called the “Change Journey”. Inquiry and dialogue were seen as the two crucial processes necessary to allow for “Organisation Learning” according to Whitney (1998:315). Her 4-D model (based on the “Appreciative Inquiry Approach”) centers around inquiry and dialogue as learning concepts. Kofoed *et al*, (2002:166) related “Organisation Learning” to “Continuous Improvement” as an Emergent Approach to organisation change. They concluded that the developmental process (last stage of CI) is grounded in continuous learning and as such synonymous with the “Learning Organisation”. The “Open Learning Organisation” formed the basis of Mink’s (1998:280) “Open Organisation Model”. He concluded that the challenge of continued growth exists for all members of the organisation and if this challenge is met, a truly ontological, open, learning system will have been created.

The Emergent Approach to organisation change depicts change as a process and not an event. Not only is change constant, but it is also desirable. Adaptation to change implies continuously seeking ways to change, expressed in terms of improvement. Change is therefore never complete.

Organisations cannot afford to adopt a complacent attitude or have the belief that they have “arrived”. Various models have been developed to allow for this continuous improvement process under the Emergent Approach. A summary of the major models will be provided in the next section, “Emergent Change Models”.

3.3.4 Emergent Change Models

In choosing a model for organisation change, Kofoed *et al*, (2002:165) considered the differences between radical and incremental changes. Although distinct, they found them to be much more interwoven than described by authors explaining the differences between them. According to them, their chosen model, the “Continuous Improvement (CI) Model”, allows for linking incremental to radical changes in an organisation. To them “Continuous Improvement” helps with both the maintaining, support and build-on to improvement efforts initiated by radical change and the integration of radical changes within the organisation. Savolainen (1999: 1216) provided a detailed description of the “Continuous Improvement” implementation process. The four stages of

“Continuous Improvement” as explained by Savolainen (1999:1216) starts with “Introducing (Supplying)”, “Re-spreading (Re-rooting)”, “Reinvigorating”, and finally “Spreading (Rooting)”.

Whitney (1998:316) called the “4-D Model of Appreciative Inquiry (AI)” a process for positive change. The four phases were called “Discovery”, “Dream”, “Design”, and “Delivery”. The “Discovery Phase” involves the seeking of positive stories and spreading them throughout the organisation. The focus is on positive “what is working” topics, also called affirmative topics. The “Dream Phase” is linked to “thinking big”. It involves visioning and the describing of personal wishes and dreams by groups of people. The “Design Phase” is characterised by groups of people coming together to plan and decide for the new organisation. Whitney (1998:317) called this “provocative propositions” or design statements. The “Delivery Phase” focuses on action planning at personal as well as organisation levels.

According to Shields (1999:107) the four cultural models that are operating in organisations (“Functional Model”, “Process Model”, “Time-based Model”, and “Network Model”) were shaped into a sophisticated assessment system, called the “Targeted Culture Modelling Process (TCM)”. “TCM” is a five-step process starting with the “Definition of Desired Business Results and the Development of a Change Plan”. This step set the direction and provided the road map that will drive the subsequent steps. The second step involves the “Creation of the Capability and Capacity to Change”. The essence of this step is the empowering of the organisations’ leaders to be less dependent on external consultants. “Designing Innovative Solutions”, step three, allows for the design of the change levers, learning systems, as well as performance management processes. The solutions designed in step three are developed and deployed as the fourth step, called “Develop and Deploy”. The last step, which involves the control over the change implementation and realisation of change benefits, is called “Reinforce and Sustain the Business Benefits”.

“Business and Computing Support Co-Evolution (BASE)” provided a framework for what Bustard and He (1998:370) called revolutionary planning and evolutionary implementation. The purpose of “BASE”, according to them, is to ensure that business change is planned to a reasonable extent and that the computing facilities continuously and effectively support the business as it evolves. Four main stages are identified in “BASE”. “Business Analysis and Understanding the Reason for its Existence” forms the first stage. From this understanding, the “Target System is Defined” follows as stage two. In stage three, the target system is “Compared Systematically with the Current

Operation of the Business”. The fourth and last stage is described as where “Recommendations for Change get Developed” in the form of a change report.

The “Improvement Journey” described by Connolly and Connolly (2000:63) consisted of three stages, the “Pre-acceleration”, the “Acceleration”, and the “Post-acceleration” stages. The “Pre-acceleration Stage” involves the need to change. Organisations in this stage experience difficulties and problems that necessitate change and this stage is about the triggers that will initiate change. The “Acceleration Stage” is characterised by rapid change and focuses on issues such as a climate of change, leadership, and the implementing of improvement initiatives. The “Post-acceleration Stage” is also called the stage of continual systematic and sustained change. Although this stage may see organisations return to the former “non-accelerating” status, Connolly & Connolly (2000:66) emphasised actions that will lead to continuous and accelerating improvement.

Sugarman (2001:65) identified three steps for his change model, “The Learning Based Change Initiative”. The “Pre-pilot Phase” (step 1) concerns the different preparations for change actions. These include initial (inner) commitment, conspiracy and conception, and commitment to action. The second step, the “Pilot Project”, involves that the new ideas are put to work in a large work group, with specific goals to address the priorities of the organisation. In the last step, the “Post-pilot Phase”, the lessons from the “Pilot Phase” grow into new projects to expand the scope of the changes. Sugarman (2002:66) stressed that there is no “roll out” as a mandated programme but that expansion comes by encouraging the interest of new volunteers to create new initiatives or to expand the “Pilot”.

Jay and Smith (1996:3) developed a four-phase “Consolidated Change Model” specifically for development projects in the IS industry, but claimed it could have general applicability. They mapped the model to the “Systems Development Life Cycle (SDLC)” so that it would provide project managers with additional change activities. Phase One is called the “Orientation Phase” and includes aspects such as understanding the change motivation, the development of a change strategy, and the organising of the project. The second phase, “Preparation”, deals with the preparation for change in terms of analysing the environment, communicating the vision, developing a change work plan, and providing direction. The third phase is called “Implementation”. This is done by piloting change in a pilot site and then rolling out to the rest of the organisation. The last phase, “Support”, is characterised by the stabilising of the changes, the evaluation thereof, and providing for prevention plans to prevent relapse.

Veldsman (2002:49) proposed a systemic model for change to guide “new Age” organisations through what he referred to as conditions of “Hyper-turbulence”. For Veldsman (2002:49) change is a journey of successive desired states and not the final destination and as such the “New Age” organisations remain in a constant state of “unfreezing”. He called his model the “Integrated Change Navigation Approach”. The centre of his model, all of which are representative of the need to change, consists of the “holographic network-linked Ecosphere, Strategic Intent, Leadership, Culture, Architecture, Resources and Outcomes”. This centre or core is surrounded by four other change abilities. The first of these change abilities he called the “Awakening” that provides a growing consciousness for the need to change. The second change ability is called “Mobilisation” and represents a more detailed intention, indicating people’s involvement, the required abilities, and resources. The third change ability is “Conversion” and consists of the specific interventions aimed at inducing change. “Stabilisation” makes up the fourth change ability, and according to Veldsman (2002:62) aims at embedding the new configuration and trajectory into the organisation landscape relatively permanently, but from the vantage point of ongoing “unfreezing”. These five “Change Abilities” he superimposed on an organisation model called “The Four-Dimensional, Dynamic, Holographic Network of Interacting Nodes”. The core represents “Strategic Intent”, “Leadership”, and “Culture”. “Awakening” is representative of the “Ecosphere” whilst “Mobilisation” is tied to “Resources”. “Conversion” represents “Outcomes” and finally “Stabilisation” that represents “Architecture”.

It is evident from the above overview of Emergent Models that there are some diverse opinions regarding the management of organisation change. Some authors used specific metaphors for change, like the “Journey” metaphor used by Veldsman (2002) and Connolly and Connolly (2000). Authors such as Jay and Smith (1996) and Bustard and He (1998) used terminology typical to the IS environment to describe their change models, whereas the language used by Heifetz (1993), Kofoed *et al*, (2002) and Shields (1999) was typical of the “Organisation Learning” approach. Change guidelines were consistent in terms of each author’s frame of reference.

In choosing a change model the change initiator is faced with many choices and options. The main concern will be the probability of successful implementation. In the next section attention will be given to guidelines for choosing a model with reference to change outcome.

3.4 SELECTING AN APPROACH TOWARDS ORGANISATION CHANGE

Before a model can be decided upon, an approach to organisation change has to be selected. It is difficult to determine which of the two approaches offers the best results towards organisation change. Each approach has its own proponents claiming success. A further constraint in deciding on an approach and indeed a particular model is the scarcity of research findings. Schalk, Campbell and Freese (1998:157) reported that little empirical research had been done on the effect of organisation change, specifically on the implementation of change on employee behaviour. Pettigrew *et al*, (2001:706) agreed by declaring the Emergent Approach “a rare approach to change research”.

Qubein (2001:17) insisted on the Planned Approach. According to him, for change to be successful, it must be implemented through the Planned Approach. His claim was echoed by Besecker (2001:31) who insisted that to be effective, organisation change must be well defined, well planned, effectively communicated and properly implemented. The Planned Approach was also preferred by Downes (1998:657).

St-Amour (2001:22) reported on a study by the Conference Board of Canada who found that 66 percent of organisations that completed restructuring initiatives (based on the Planned Approach) showed no immediate increase in productivity. More than 50 percent realised no short-term profit improvements and only 30 percent reported a lowering of costs.

Butcher and Atkinson (2001:558) explained the dominance of the Planned (“Top-down”) Approach has resulted in “Top-down” approaches to be equated with change, i.e. that implementing Planned Change is synonymous with change. To them there was increasing evidence that it frequently did not work. They described the impact of Planned Change Interventions as: “little more than a rearrangement of the existing structure chart, or the roll-out of a large-scale training programme.” They added that the long-term impact of these failures is greater internal contradiction and cynicism, eventually acting as a barrier to change.

Acknowledging the fact that the Planned Model is long established and held to be highly effective, Burnes (1996:12) reported that it had come under increasing criticisms since the early 1980’s. He highlighted the following points of criticism:

- Planned Models are based on the premise that organisations operate under stable conditions and as such can move from one stable state to another. An increasing number of authors reported that the business world is too turbulent and chaotic and that there is no “stability”.
- Situations requiring a more direct approach (e.g. a crisis that requires a rapid and major change) are ignored and it also does not allow for widespread involvement or consultation.
- It presumes that common agreement can be reached, that all parties involved in the change are willing and interested in its implementation.

Pettigrew *et al.*, (2001:706) were unbiased in their reference to studies by Sitkin, Sutcliffe, and Weick (1998), Sahlin-Andersson (1996), and Moorman and Miner (1998) where successes in terms of the Emergent Approach were reported. Success was established in terms of small, uninterrupted adjustments, created simultaneously across units, creating cumulative and substantial change. What is of particular importance is their mentioning of the Emergent Approach to be a rare approach to change research. They added that the study of continuous change is difficult, time-consuming and resource dependent.

Although claimed by Pettigrew *et al.*, (2001:706) to be rare, some research results on the Emergent Approach and change were found. Sugarman (2001:72) applied a “Learning-based” change initiative in five organisations. According to him all five (major US manufacturing corporations) provided compelling evidence of improved business results following the change. Not only did they improve their business results, but Sugarman (2001:73) also reported that they succeeded in improving the fundamentals of their work processes, including the way people worked with other people. They changed their old industrial culture paradigm to a learning system paradigm.

Termed “powerful applications of appreciative inquiry”, Whitney (1998:318) claimed success on a wide front. These included an organisation culture change in the largest division of an international company resulting in improvements in morale and company finances. A company called GTE has received the American Society for Training and Development Annual Culture Change Award as a result of the impact “Appreciative Inquiry” caused as their central process for culture change. She also reported on successes in terms of community transformation (City of Chicago), organisation renewal (a health care co-operative), organisation excellence, mergers and acquisitions and employee relations and Human Resources management.

A mid-size Danish processing company implemented a “Continuous Improvement” process in a three-year longitudinal study by Kofoed *et al*, (2002:167) from 1997 to 1999. The stated goal of this initiative was to optimise production by means of some technological enhancements, the creation of a flatter, more flexible organisation, and to increase employee involvement, participation, and responsibility by means of self-directed teams. They declared their initiative a failure and proclaimed “Learning Processes” and actions to be “predictably unpredictable”.

Burnes (1996:15) expressed some criticism on the Emergent Approach as well. These criticisms can be summarised as follows:

- Difficulty in relating structure to performance.
- Problematic in defining the main situational variables (environment, technology, and size).
- Managers have a significant degree of freedom to select and influence the issues of technology, environment, and size of the organisation. It is therefore possible to manipulate change contingencies.
- It ignores (like other models) the difficulty that organisations may face in adopting a new approach to change, holding the premise that our approach is the best and other approaches are undesirable.

Both the Planned and Emergent approaches to organisation change resulted in success. Equally so, both also resulted in some failures. Neither approach can be declared as being undeniably superior. The quest for a change model is therefore not one of finding the best model, but the best fit. This fit must be negotiated in terms of the aspects/objects requiring change, the circumstances or conditions prevailing, and the change model.

Not only is the selection of a change approach and model critical but also the management of the selected process. In organisations the management of change (whether “Top-down” or “Bottom-up”) centres around formal leadership. Organisations’ leaders allow for change either directly as change agents, or indirectly through appointed change agents. Kazemek (2000:36) pleaded for courageous leadership in change management. He noted that the knowledge of where the gold is and the mining thereof are two very different things. It is therefore not only a question of what approach or model to select, but also the implementation of that model (changes). In the next section attention will be given to leadership roles associated with the management of change.

3.5 LEADERSHIP CHANGE ROLES

Although there are many factors that determine the success or failure of organisation change, the most important one is leadership. Many researchers had come to this conclusion, e.g. Burke (1995:161), Cross (2001:49), Bate *et al*, (2000:197), Phillips (2001:58), and Weiss (1999:96).

Burke (1995:161) clearly stated that in dealing with large-scale organisation change, nothing is more important than competent leadership. Through their behaviour leaders set examples. In this regard Cross (2001:49) noted that an organisation takes its cues from its leaders and that change will happen if the leaders embrace change.

Leaders have a role to play in every phase and aspect of the change process. From the visionary process where the change is conceptualised to the evaluation or assessment phase, multiple tasks and activities have been identified for leaders. This variety of leadership actions or responsibilities were summarised by Burke (1995:161) as follows: “Leading the visioning process, ensuring that the organization's purpose and mission are established and articulated, developing multiple programs and initiatives that are clearly linked to values that will help to guide the implementation of the change, and communicating all of these are some of the primary leadership acts that are necessary to bring about organization change.” In this section these activities, duties and responsibilities will be examined and then linked to particular change roles.

Leadership is often equated to the first stage of organisation change, the visionary process. Applebaum and Wohl (2000:284) stated clearly that organisation leaders become leaders because of their planning skills and abilities to envisage and communicate a better future. Potter (2001:54) acknowledged that the setting of a clear direction lies in core leadership competencies. The visioning role of leaders was also highlighted by Chapman (2002:18) in that they need to create a vision that will stretch the organisation beyond its current limits and capabilities. The visionary role is one of only two roles identified by Graetz (2000:550). She referred to the visionary role as the charismatic leadership role and as such strengthens the belief that transformational or charismatic leadership is synonymous with the process of envisioning.

Some authors also identified the role of implementer of change. Tizard (2001:62) referred to this role in terms of managing the change. The leader has to ensure that the change takes place by moving individuals through the different stages of the change process as part of normal business.

Besecker (2001:31) referred to this role as the “leader” of a change process. He explained the role as the primary point of contact for planning, communicating, and co-ordinating activities associated with the change.

For St-Amour (2001:20) the implementer role was critical during the middle phase of the change process. If the leader does not manage this phase well, the change will get stuck, resulting in confusion, anxiety, stress, resentment, guilt, and self-absorption.

Most authors on organisation change considered the leader’s ability to deal with individuals’ discomfort and resistance as another key role in the management of change. Cornell (1996:29) explained this function of the leader in terms of a climate of mutual respect. He reckoned that this climate could be achieved through ensuring good systems of communication and a reputation for being fair and willing to listen to new ideas and criticism. Shields (1999:105) related to this function in terms of the value the leader attach to the importance of people. Potter (2001:56) called for redefining the role of manager from boss to coach. Their duties will then include: building of self-esteem, awarding praise, and encouragement. The essence of this role is to support.

The final phase of all the models discussed centres around the evaluation of change. Applebaum and Wohl (2000:290) emphasised the need to monitor and measure the change outcomes in order to see if the change process has had lasting effects. According to them the evaluation of the change is often neglected. According to Jay and Smith (1996:66) a direct link exists between the first (Initiating) and last (Assessing) phases of the change process. Sugarman (2001:66) also reported on this link. For him this stage may be considered as the readiness stage for a new generation of projects.

The Emergent Approach views change as a continuous cycle of incremental change, and as such the last stage (Assessing) and first stage (Initiating) overlap. The role of the leader in the last stage (Assessing) will therefore be similar to the visionary role identified for the first stage (Initiating).

It was evident from the literature that organisations are not only in need of a variety of roles but also people to fulfil them. These individuals are often referred to as leaders of change or change agents. Gillis (1999:28) acknowledged the role of change agent and identified three types. A change generator is a demonstrator, a patron, a defender or a leader of the change effort. Change

implementers become operational after the change is identified and then get the process moving and vibrant. The change adopter adopts the change and models the new behaviour or attitude.

Besecker (2001:31) gave specific guidelines in terms of fitting the leader change roles to particular positions and individuals within the organisation. He insisted that from the start (the planning process) more than one person must be involved. The positions or players as he referred to it, are the leaders, the change agents and members of the leadership team. The leader in this sense is the leader of a change process or the individual sponsoring the change. Change agents are involved from the planning stage and according to him the leader should designate change agents to plan and implement the change. The leadership team is appointed by the leader and must provide resources, moral support and assistance with communication throughout the change process.

Like Besecker, Doyle (2001:321) also called for a wider multiplicity of organisation actors who will occupy a variety of dynamic and transient roles and will readily accept and adapt to a change agent role as part of their professional or operational task.

3.6 INTEGRATED ROLE COMPETENCE CLUSTER MODEL

Through the process of exploring change models in the previous section, four roles were identified for leaders to manage change. These roles are the *Initiator*, *Shaper*, *Monitor*, and *Assessor* roles.

The identified roles (*Initiator*, *Shaper*, *Monitor*, and *Assessor*) and competencies associated with each role are discussed in *Chapter Two, Paragraph 2.7, p. 21*: “Competence Clusters for Leadership Change Roles”.

The identified roles (*Initiator*, *Shaper*, *Monitor*, and *Assessor*) and competencies were integrated in a particular model, the “Integrated Role Competence Cluster Model (IRCCM)”, developed by this researcher. *Figure 3.1, p. 47*, is a graphic illustration of the “Integrated Role Competence Cluster Model”. This model depicts the change process as a continuous four phase cycle, integrating leadership change roles with associated competencies. The competencies, although clustered to meet the requirements of the distinct change roles, are inter-linked. The model views change as a managed process, moving through the identified phases of initiating, implementation (shaping), monitoring and assessing change. It is important to realise that although the identified change roles

are linked to particular phases, the nature of the activities and processes associated with a particular phase may implicate involvement from the other roles.

Table 3.1 provides a comparative analysis of how the different models for organisation change (in terms of their respective phases) can be linked to generic phases and roles in terms of the “Integrated Role Competence Cluster Model”. This comparison was done on Emergent Models only, as the “Integrated Role Competence Cluster Model” is based on the Emergent Approach.

Table 3.1:

Change Models and their Phases Compared to the IRCC Model ⁱⁱⁱ

CHANGE MODEL	SPECIFIC MODEL PHASES	GENERIC IRCC ROLES	GENERIC IRCC PHASES
Integrated change navigation approach (Veldsman, 2002)	1. Awakening	Initiator	Visionary
	2. Mobilisation	Monitor Shaper	Stabilisation
	3. Conversion	Shaper	Implementation
	4. Stabilisation	Monitor Assessor	Assessment
Improvement Journey (Connolly and Connolly, 2000)	1. Pre-acceleration	Initiator	Visionary
	2. Acceleration	Shaper Monitor	Implementation Stabilisation
	3. Post-acceleration	Evaluator Initiator	Assessment Visionary
Systems development life cycle (Jay and Smith, 1999)	1. Orientation	Initiator	Visionary
	2. Preparation	Shaper Initiator	Implementation Visionary
	3. Implementation	Shaper	Implementation
	4. Support	Monitor Assessor	Stabilisation Assessment

ⁱⁱⁱ IRCC Model refers to the Integrated Role Competence Cluster Model developed by this researcher.

Table 3.1:
Change Models and their Phases Compared to the IRCC Model (Continued)

CI-Implementation Process (Savolainen, 1999)	1. Introduction	Initiator	Visionary
	2. Re-spreading Re-rooting	Monitor Shaper	Stabilisation Implementation
	3. Re-invigoration	Assessor	Assessment
	4. Spreading Rooting	Monitor Shaper	Stabilisation Implementation
BASE ^{iv} methodology process (Bustard and He, 1998)	1. Plan	Initiator	Visionary
	2. Do	Shaper	Implementation
	3. Check	Monitor Assessor	Stabilisation Assessment
	4. Act	Assessor	Assessment
Targeted Cultural Modelling (TCM) (Shields, 1999)	1. Define desired business results and Develop change plan	Initiator	Visionary
	2. Create capability and capacity to change	Shaper	Implementation
	3. Design innovative solutions	Shaper	Implementation
	4. Develop and deploy solutions	Shaper	Implementation
	5. Reinforce and sustain business benefits	Monitor	Stabilisation

^{iv} Business and computing support co-evolution; based on the co-evolution of a business and its computing support a methodology for revolutionary planning and evolutionary implementation. Step 3 (Act) and step 4 (Check) are continuous.

Table 3.1:
Change Models and their Phases Compared to the IRCC Model (Continued)

Appreciative Inquiry (Whitney, 1998)	1. Discovery	Initiator	Visionary
	2. Dream	Initiator	Visionary
	3. Design	Shaper	Implementation
		Monitor	Stabilisation Phase
4. Delivery	Shaper	Implementation	

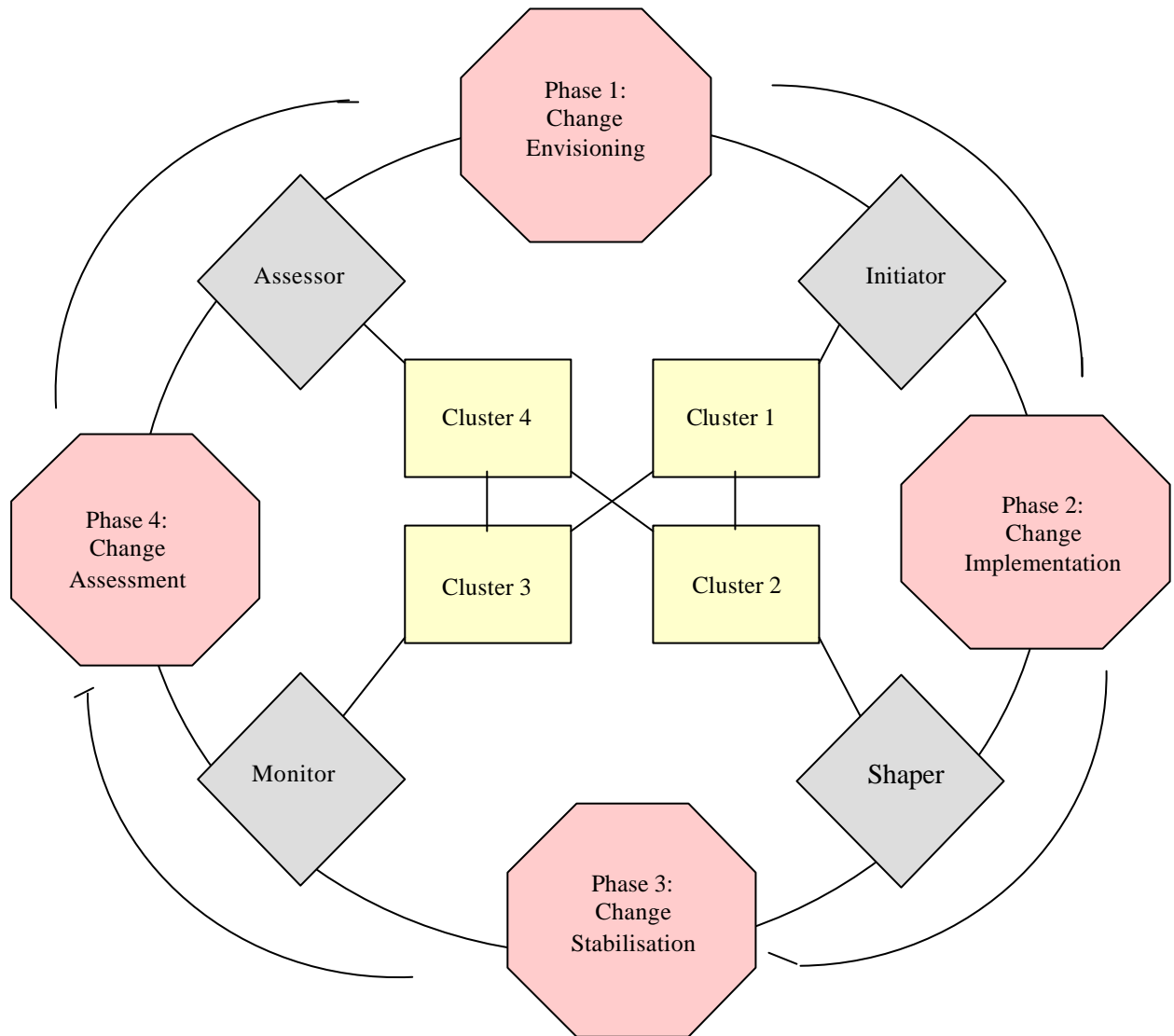
As can be seen from *Table 3.1* the roles and phases associated with the “Integrated Role Competence Cluster Model” can be linked to all the Emergent Models. This model thus provides a framework for the implementation of change through any Emergent Change Model.

The Integrated Role Competence Cluster Model is graphically illustrated in *Figure 3.1, p.47*.



Figure 3.1:

Integrated Role Competence Cluster Model



Cluster 1: Leadership Competencies Associated with Initiator Role
Cluster 2: Leadership Competencies Associated with Shaper Role
Cluster 3: Leadership Competencies Associated with Monitor Role
Cluster 4: Leadership Competencies Associated with Assessor Role

3.7 MEASURING ORGANISATION CHANGE

Measuring change poses a dilemma. Not only is the issue of producing evidence that the change initiatives contributed positively towards organisation performance a problem, but also the question of what to measure. For the first part of the dilemma, Pettigrew *et al*, (2001:703) suggested two options: “Option 1 is to carry out large-sample studies over time to clarify any association between the patterns of change adopted by firms and their financial performance. Option 2 is to carry out an associated set of longitudinal comparative case studies of matched pairs of organizations with high and low performance.”

Although Pettigrew *et al*'s, (2001:703) suggestions may be the ideal for determining convincing evidence of change, they are not the only ways of producing evidence. Alternative measurements (e.g. culture, antecedents, quality products and services, motivated and skilled employees, satisfied customers, and shared values) providing for valid evidence were suggested by the following authors: Burke (1995:177), McAdam and Bannister (2001:89), Doyle (2001:321), Kanji and Moura E SA (2001:709), Potter (2001:54), and Tizard (2001:62).

Pettigrew *et al*, (2001:703) argued, “the more confined area of evaluating the success of change initiatives is replete with practical difficulties. What is success in the management of change? Definitions of success can include notions of quantity, quality and pace of change.” They added that judgements about the success are conditional on who is performing the assessment and at what time it is done.

Burke (1995:177) was of the opinion that the “hard” data (net income, return on investment, and stock price) seems to be the only measurement in most studies and that the so-called “soft” measurements (culture, antecedents, etc.) are lacking. According to him we do know how to measure organisation performance using financial outcomes. This is as a result of (for publicly owned companies) the readily accessibility of data that provides a relatively easy and quantifiable outcome variable.

Burke's argument in 1995 is still valid today. McAdam and Bannister (2001:89) agreed with his argument against hard benefits, usually quantified in monetary terms. They quoted Kaplan and Norton (1996) who stated that the “lagging” financial performance measures have long been recognised for their inadequacy in the context of the business environment. The inadequacy lies in

their quarterly and annual financial reporting structure and the fact that they remained anchored in an accounting model that had been developed over centuries and are “still applicable to circumstances which are largely irrelevant in today’s information age.” They then argued for intangible and intellectual company assets such as high quality products and services, motivated and skilled employees, responsive and predictable internal processes, and satisfied and loyal customers. For them, the softer measures such as attitudes and team working, will lead to improved financial performance.

Although not arguing for or against either the so-called “hard” or “soft” measurements, Doyle (2001:321) suggested that for change to be effective, the initiatives must invoke a strong empowering philosophy that will permit employees “to make a difference”. This will then result in employees making innovations to improve existing work processes and a climate where existing operations and functions can be openly challenged. These measurements are soft issues and cannot be measured in financial terms.

Kanji and Moura E SA (2001:709) also focused on the soft issues as measurement for leadership and organisation excellence. The reason, they claimed, is because leadership is more than just one more criterion; it is responsible for driving the organisation in every area towards quality and excellence. They identified the following critical success factors for measuring organisation change: shared organisation values, vision, mission statement, aligned strategy, organisation structure, and operational mechanisms.

The reason we need to focus on the soft issues, according to Potter (2001:54), is the negative impact the focus on “adding value” and “gaining more output from less resources” has on employees. Although they had become more responsive to their stakeholders, and have created high quality results, organisations also ended up with confused employees suffering from stress-related illnesses. Potter (2001:54) argued that some of the organisations grew increasingly complacent or overly contented. As a result they faded away. He referred to companies like IBM and Marks & Spencer as examples of organisations who “grew increasingly complacent or overly contented”. IBM found themselves overtaken in market share by Compaq while Marks and Spencer also struggled to maintain their customers. Added to this “contentment syndrome”, according to Potter (2001:54), are employee denial and a tendency to ignore change in the hope that it will go away. For Potter (2001:54) the key to success was the following five factors: creating understanding, communicating

effectively, releasing the potential in your people, setting a good example, and pacing yourself as leader.

Tizard (2001:62) observed the following indicators for change: resistance to change, organisation structure, communication, management techniques, values, and teamwork. To be successful, change has to be part of the norm, causing minimal impact on individual performance. The effect is a seamless environment where performance and profitability are unaffected and in some cases can increase when faced with change (Tizard, 2001:62).

There is an increasing demand for soft measurements regarding organisation change (Tizard, 2001:620; Potter, 2001:54; Kanji and Moura E SA, 2001:709; McAdam and Bannister, 2001:89; Doyle 2001:321; and Burke, 1995:177). For this reason the focus of this research will be on the soft measurements. As it is also the focus of this survey to investigate reactions to the change process during its stages or phases, indicators such as acceptance, resistance and co-operation, will be used. The outcome of change will then be expressed as either successful or unsuccessful. A positive evaluation on the soft measurements will be seen as successful and a negative outcome as unsuccessful.

The measurements selected for assessing organisation change outcome will focus on employee attitudes and buy-in with the change initiative as well as employee behaviour.

The following measurements will be included in the survey to measure the change outcomes:

Change Measurement Areas

- The extent to which employees' knowledge and understanding of the company's vision is linked to the change initiative;
- The extent of employees' knowledge and understanding of the change initiative and process;
- The extent to which employees are informed and updated with progress regarding the change initiative;
- The extent of employees' success expectancy regarding the change initiative;
- The extent to which employees have a positive expectation of the company's future;
- The extent to which employees personally gained from implementing the change initiative;

- The extent to which employees anticipate the change initiative to have positive effects in their work;
- The extent to which any significant increase or decrease in employee co-operation occurred as a result of the implementation of the change initiative;
- The extent of employee support for and commitment towards the implementation of the change initiative;
- The extent to which employees changed behaviour as a result of the change initiative;
- The extent of employee resistance resulting from the implementation of the change initiative;
- The extent of the alignment of individual/team skills and roles with the requirements of the change initiative;
- The extent of employee participation in the implementation of the change initiative;
- The extent of employee’s trust in management’s commitment and integrity regarding the implementation of the change initiative; and
- The extent of recognition and acknowledgement for positive contributions from employees towards the successful implementation of the change initiative.

Table 3.2 indicates how the different change outcome measurements relate to the phases and roles identified for the “Integrated Role Competence Cluster Model”.

Table 3.2:

Change Outcome Measurements and IRCC Model Roles and Phases

CHANGE OUTCOME MEASUREMENTS	IRCC – MODEL: ROLES	IRCC – MODEL: PHASES
The extent to which employees’ knowledge and understanding of the company’s vision is linked to the change initiative	Initiator	Visionary
The extent of employees’ knowledge and understanding of the change initiative and process	Initiator Monitor	Visionary Stabilisation

Table 3.2:

Change Outcome Measurements and IRCC Model Roles and Phases (Continued)

The extent to which employees are informed and updated with progress regarding the change initiative	Shaper Monitor	Implementation Stabilisation
The extent of employees' success expectancy regarding the change initiative	Monitor Assessor	Stabilisation Assessment
The extent to which employees have a positive expectation of the company's future	Initiator Assessor	Visionary Assessment
The extent to which employees personally gained from implementing the change initiative	Shaper	Implementation
The extent to which employees anticipate the change initiative to have positive effects in their work	Shaper Monitor	Implementation Stabilisation
The extent to which any significant increase or decrease in employee co-operation occurred as a result of the implementation of the change initiative	Shaper Monitor	Implementation Stabilisation
The level of employee support for and commitment towards the implementation of the change initiative	Initiator Shaper Monitor	Visionary Implementation Stabilisation
The extent to which employees changed behaviour as a result of the change initiative	Shaper Monitor	Implementation Stabilisation
The extent of employee resistance resulting from the implementation of the change initiative	Initiator Shaper Monitor	Visionary Implementation Stabilisation
The extent of the alignment of individual/team skills and roles with the requirements of the change initiative	Shaper	Implementation

TABLE 3.2:
Change Outcome Measurements and IRCC Model Roles and Phases (Continued)

The extent of employee participation in the implementation of the change initiative	Shaper Monitor	Implementation Stabilisation
The extent of employee's trust in management's commitment and integrity regarding the implementation of the change initiative	Initiator Shaper Monitor Assessor	Visionary Implementation Stabilisation Assessment
The extent of recognition and acknowledgement for positive contributions from employees towards the successful implementation of the change initiative	Shaper Monitor	Implementation Stabilisation

3.8 SUMMARY

In this chapter the organisation change process was examined in terms of approach, specific models and stages, leader change roles and change measurements.

Change is managed mainly through either the Planned or the Emergent Approach. The Planned Approach is generally viewed as a "Top-down Approach", focusing on revolutionary change. The Emergent Approach is evolutionary and focuses on employee participation in the change process. The Emergent Approach is aimed at being "Bottom-up".

Proponents of both approaches claim successes and failures. The stance adopted for this research was that the choice of approach and change model must be done in terms of "fit". This fit must be negotiated in terms of the aspects/objects requiring change, the circumstances or conditions prevailing and the change model.

Leaders cannot abdicate their roles and functions regarding organisation change. Leaders must manage it although the Emergent view on organisation change considers it as a "Bottom-up" process. Change without leadership focus will result in chaos and as such not be able to get the organisation to move towards the desired state.

The Emergent Approach therefore calls for employee involvement. This involvement must be more than just the implementation of the leader's vision. Employees must get the opportunity to influence the direction (vision), to add new ideas and to criticise any aspect of the change process. They must also be actively involved in the managing of the implementation of change.

St-Amour (2001:20) and Cornell (1996:29) as discussed in *Paragraph 3.5 p.41*: "Leadership Change Roles", stressed the importance of these roles (*Shaper* and *Monitor*). To manage these roles well, Potter (2001:56) and Shields (1999:105) called for a climate of mutual respect where employees have the freedom to participate in and criticise the change process. Leaders must value the importance of their employees in the change process.

The success rates of both the Emergent and Planned Approaches were discussed. It was evident that failure was as common as success for both approaches. From the discussion of "Leadership Change Roles", *Paragraph 3.5 p.41*, the point was stressed that the *Shaper* and *Monitor* roles are directly linked to change outcome. St-Amour (2001:20) made it clear that if the leader does not manage the middle phases well, (linked to the *Shaper* and *Monitor* roles) the change will get stuck, resulting in confusion, anxiety, stress, resentment, guilt and self-absorption.

The "Integrated Role Competence Cluster Model", based on the Emergent Approach was introduced as providing a framework for integrating roles, competencies and change phases during organisation change. Four leadership change roles were identified: *Initiator*, *Shaper*, *Monitor* and *Assessor*.

The research methodology will be the focus of *Chapter Four*.

CHAPTER FOUR

RESEARCH METHODOLOGY

4.1 INTRODUCTION

In *Chapter Four* the research methodology will be discussed in terms of the research design and implementation thereof. Two phases were identified for this study. Phase I focused on the extent to which the respondent organisations utilised their leaders in change-roles according to their competence for those roles. Where leaders were utilised for roles in which they obtained their highest competence ratings, congruence was obtained. A questionnaire was developed that measured role competence and congruence for four leadership change-roles. Three respondent organisations in the manufacturing industry were selected for this study.

The objective of Phase II was to determine the influence of congruence/no congruence on change outcome. A questionnaire that measured change outcome was developed. This questionnaire was administered to all literate employees in the three respondent organisations. The results obtained from Phase I (level of congruence) were compared to the results obtained from the Change Outcome Questionnaire to determine the outcome of Phase II.

4.2 OVERALL RESEARCH DESIGN

The design used for this research was a quasi-experimental ex post facto: post-test/observation^v only. Quasi-experimental research was conducted because it allowed for the evaluation of change outcome in situations where no pre-testing was done.

The research were implemented in two phases. Phase I consisted of determining the congruence between the leaders' utilisation in a particular role and their competence in the competencies allocated to that role. Phase II investigated the influence of higher/lower levels of congruence on change outcome. For Phase II the dependent variable (Y) was the *change outcome* and the independent variable (X) the *level of congruence* obtained. The research design is graphically depicted in *Figures 4.1 and 4.2, pp. 58 & 59*.

^v As no pre-post test was conducted (true experimental design), this research focused on the analysis and interpretation (post-test/observation) of processes and its impact on the study objects.

For Phase I the *level of congruence* was determined by applying a correspondence analysis. The average ratings obtained for each leader on the four change roles were mapped against the roles they were utilised for. Leaders who obtained their highest average ratings for the roles they were utilised for achieved congruence. Leaders utilised in roles they did not achieve their highest average ratings for did not achieve congruence. Phase II investigated the influence of higher/lower levels of congruence on change outcome.

4.2.1 Limitations of the Study

Two limitations need to be highlighted:

- **Small sample sizes**

The sample sizes for Phase I for all three organisations were small. All three organisations utilised only a limited number of leaders in the change roles. These organisations approached the implementation of change initiatives as projects and therefore identified some leaders only for these projects.

A second reason for the small sample sizes resulted from the 360-degree assessment method. Not all the respondents selected to assess leaders returned their assessments. This resulted in a limited number of leaders for whom the data were complete. A full assessment result was obtained for only 9 out of the 51 leaders assessed (17.6%).

To overcome this limitation the results of all three organisations were combined for Phase I. This was made possible by performing a cross tabulation analysis for each of the three organisations by means of Cramer's V test. This procedure was recommended by RAU's Statistical Consultation Department as Cramer's V allows for the elimination of the effect of sample size on tests. The results of the Cramer's V tests (organisation A: 0.5; organisation B: 0.4; organisation C: 0.4) indicated that no significant differences existed between the three organisations. It was therefore possible to combine their data sets. This decision was validated with RAU's Statistical Consultation Department.

- **Two separate populations for Phases I and II**

A second limitation was the utilisation of two different populations for the respective phases. For Phase I the leaders utilised in the change roles constituted the population. Phase II's population comprised of all the literate employees in the respective organisations. The reason for choosing two populations was that utilising the first population for also determining the change outcome would have resulted in respondent bias. The opinions of all the literate employees in the organisations gave an objective measure of the change outcome result. However, having two populations resulted in the inability to correlate the results obtained from the two questionnaires.

The ANOVA results from the Change Outcome Questionnaires indicated that no significant differences existed amongst the three organisations. RAU's Statistical Consultation Department suggested comparing the results obtained from the Cramer's V test (Phase I) with the results of the ANOVA (Phase II), as in both cases no significant differences existed amongst the three organisations. As a result of this procedure, it was also possible to combine the three organisations' results. This process resolved the problem of not being able to directly correlate the two populations' results.

4.2.2 Phase I: Leaders' Role Utilisation in Change Roles

Leaders' utilisation in change roles was investigated. This entailed the extent to which they were utilised in roles for which they received their highest competence ratings, expressed as role congruence. A questionnaire measuring leaders' competencies for each change role was developed. The respondent organisations' management teams were asked to identify the leaders they utilised and for which roles they were utilised. These leaders were rated by means of a 360-degree assessment. Themselves, their managers, a peer, and a subordinate assessed the respective leaders. Competence was determined by means of the average ratings received on all competence clusters^{vi}.

^{vi} Four roles (*Initiator, Shaper, Monitor, and Assessor*) were identified; for each role a set of competencies (competence cluster) was developed.

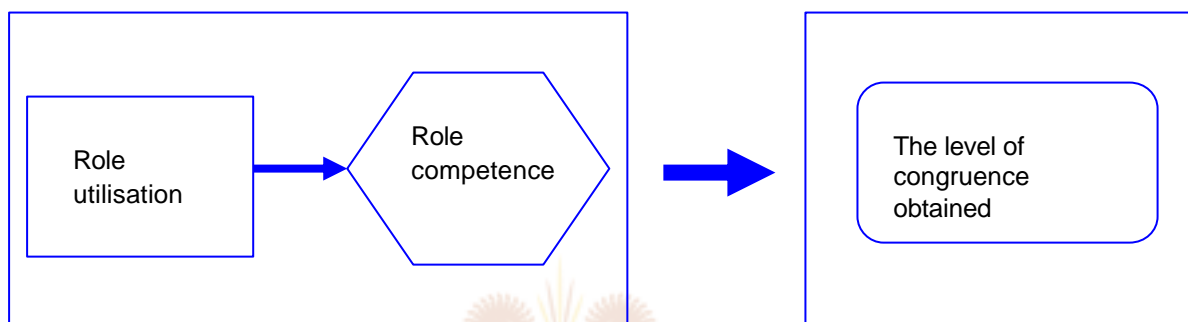
The hypotheses for Phase I were:

H0: There is no difference between the average competence scores leaders received on the different roles.

H1: The average competence scores for the roles leaders were utilised in are higher than for those they were not utilised for.

Figure 4.1

Research Design for Phase I: Determination of Congruence Between *Role Utilisation* and *Role Competence*



Role utilisation refers to the change roles leaders were utilised for during the implementation of the change initiative. *Role competence* refers to the average ratings leaders obtained from the 360-degree assessment on all four roles. The correspondence results of the utilisation and the competence data sets indicate the level of congruence obtained for each role.

4.2.3 Phase II: The Influence of Role Congruence on Change Outcome

The results of Phase I were expressed in terms of role congruence. Phase II investigated the influence of the congruence results on change outcome. A questionnaire measuring the soft (employee behaviour and attitudes) dimensions was developed. Random samples of all the literate employees of the respondent organisations were used to complete this questionnaire (Change Outcome Questionnaire).

The hypotheses for Phase II were:

H0: There is no difference in terms of change outcome for roles where congruence was obtained and roles for which congruence was not obtained.

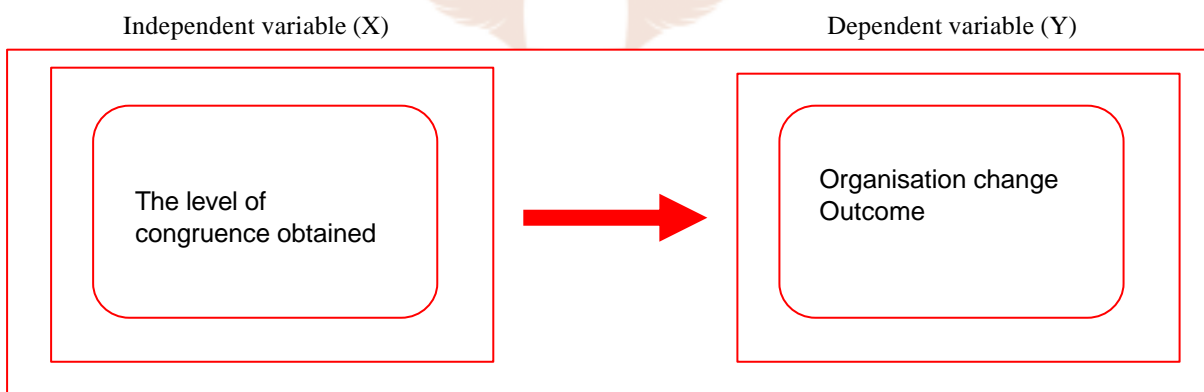
H1: For roles where congruence was obtained, there will be higher levels of success (change outcome).

To determine whether significant differences existed for the three organisations, an ANOVA was done on the change outcome results obtained for each organisation. From the ANOVA results it was determined that no significant differences existed between the three organisations. It was therefore possible to combine the results of all three organisations on change outcome (refer to *Paragraph 4.2.1, p. 56: "Limitations of the Study"*).

The design for Phase II is graphically depicted as follows:

Figure 4.2

Research Design for Phase II: Determination of the Influence of Congruence on Change Outcome



4.3 POPULATION

Three organisations in the manufacturing industry were selected. They were selected because all three were busy implementing a major organisation change initiative.

Organisation A manufactures a food ingredient extracted from corn. This organisation consists of a head office and four mills. The head office is located in Gauteng. One of the mills is located in the Western Cape whilst the remaining three are located in Gauteng. The total complement of this organisation was 713. Organisation A implemented the SAP information technology management system.

Organisation B manufactures motorcar tyres. The head office of this organisation is located in Gauteng. The organisation has two plants, one in North West and the other in the Eastern Cape. For Organisation B the total complement was 780. Organisation B implemented the ISO 9000 Quality Management System.

Organisation C manufactures a metal product and has its total operation in Mpumalanga. The organisation consists of two specific plants located on the same site. The total number of employees for this organisation was 560 employees. Organisation C implemented the 20 Keys Total Quality Management System.

All three organisations used their managers (executive, senior and middle levels) as change agents. Managers in the higher levels of the organisations (executive and senior levels) were utilised for the *Initiator* and the *Assessor* roles. Senior and middle managers were utilised for the *Shaper* and the *Monitor* roles. The managers involved with the implementation of the change initiative were utilised in different stages of the implementation. All three organisations' executive management teams determined the utilisation of their leaders for the specific change-roles, according to their perceptions of the leaders' competencies for those roles.

The most important factor why these organisations were selected was the nature of their change initiatives. The definition of change adopted for this research focuses on the alteration of behaviour or attitudes of an individual, whether in person or as a group of individuals or ultimately the total employees making up the organisation in order to improve current or future performance. The change initiatives implemented by the selected organisations had at its core inducing change in individuals' behaviour and attitudes.

4.4 SAMPLING

All three respondent organisations were asked to list all their leaders who were officially involved with their change initiatives according to the four leadership change roles. All the leaders identified were selected per role as they were utilised during the change initiative. The executive management teams of the respective organisations did the allocation of managers to specific change roles. This was done independently without involvement of the researcher.

In all three cases only a select few leaders were involved with the implementation of the distinct change initiatives. The population was therefore limited. In terms of the Leadership Role Competence Questionnaire the total population of leaders utilised (as indicated by the respective organisations) were selected. Organisation A utilised 18 leaders, Organisation B 20 and Organisation C 17.

For the 360-degree assessments all three organisations provided their organograms from which the selected leaders' subordinates and peers were determined. It was done in this fashion to ensure a uniformed process for all three organisations as well as to ensure the randomness of the selection process. A random selection was done from the organograms to determine the peer and subordinate to rate each leader. All the subordinates reporting to a leader (excluding B-lower band positions) formed the population from which subordinates were selected. All the peers on the same level as the leader reporting to the same manager formed the population from which peers were randomly selected for leaders. A short covering note (see *Addendum 1, p. 105*: "Leadership Role Competence Questionnaire") explaining the selection process, purpose, and person to be rated accompanied each questionnaire.

The organograms were also used to randomly select 120 respondents (after the elimination of illiterate employees) for the Change Outcome Questionnaire. All three organisations were asked to indicate the position levels where illiterate (ability to speak, write, and understand English) employees were most likely to be found. For all three organisations the lower B band (Patterson Job Grading System) positions were eliminated. For each of the organisations, respondents were selected proportionally to the sizes of their mills (Organisation A), or plants (Organisations B & C). The number of employees per mill/plant as a percentage of the total number of employees for the organisation was determined. The samples for each mill/plant were determined as a proportional

percentage of the total organisation complement (N). This was done to ensure a random representation of respondents across the total organisation. *Table 4.1* depicts the proportional sizes of the respective samples for the three organisations. Organograms for all the mills/plants and Head offices (Organisations A and B) were used to randomly select the respondents according to the proportional sample sizes.

Table 4.1:
Sample Sizes for all Three Organisations' Mills/Plants

<i>Mill/Plant</i>	<i>Complement (N)</i>	<i>Sample Size (n = 120)</i>
Organisation A	711	
HO	144	24
Mill A	140	23
Mill B	221	37
Mill C	116	20
Mill D	90	16
Organisation B	780	
Plant A	359	55
Plant B	421	65
Organisation C	560	
Plant A	202	43
Plant B	358	77

4.5 MEASUREMENT INSTRUMENTS

4.5.1 Leadership Role Competence Questionnaire

Various change models published in the literature were investigated and discussed in *Chapter Three*. Based on these models, stages and identified roles, an “Integrated Role Competence Cluster Model” was developed. A literature study was also done on leadership competencies. From the literature study, four leadership change roles (*Initiator, Shaper, Monitor, Assessor*) were identified. A questionnaire measuring the level of competence on each role was designed. To avoid bias

responses in the questionnaire, competencies were not linked to their identified clusters. This was done through a randomised positioning of each item in the questionnaire. Items were rated on a Likert scale^{vii}, ranging from “Not at all competent” to “Very competent”. *Addendum 1, p. 105*: “Leadership Role Competence Questionnaire”, contains a copy of this questionnaire.

4.5.2 Change Outcome Questionnaire

Based on the literature study on change and measurements for change outcomes (*Chapter Three, Paragraph 3.7, p. 48*: “Measuring Organisation Change”) a questionnaire that measures the “soft”^{viii} dimensions was developed. The measurements focused on the attitudes and behaviours of employees towards the change initiatives and their impact. A copy of the Change Outcome Questionnaire is included as *Addendum 2, p. 111*: “Change Outcome Questionnaire”.

The following fifteen dimensions were covered in the questionnaire:

Change Measurement Areas

- The extent of employees’ knowledge and understanding of the organisation’s vision linked to the change initiative;
- The extent of employees’ knowledge and understanding of the change initiative and process;
- The extent to which employees are informed and updated with progress regarding the change initiative;
- The extent of employees’ success expectancy regarding the change initiative;
- The extent to which employees have a positive expectation of the company’s future;
- The extent to which employees personally gained from implementing the change initiative;
- The extent to which employees anticipate the change initiative to have positive effects in their work;

^{vii} According to Black (1999:227), Likert scales refer to the ascertaining of attitudes by presenting a list of declarative statements and asking respondents to rate them in terms of agreement or disagreement.

^{viii} Soft dimensions refer to dimensions not readily quantifiable in monetary terms, normally associated with human attributes like behaviour and attitudes.

- The extent to which employee cooperation increases or decreases as a result of the implementation of the change initiative;
- The extent of employee support for and commitment towards the implementation of the change initiative;
- The extent to which employees changed behaviour as a result of the change initiative;
- The extent of employee resistance resulting from implementing the change initiative;
- The extent of alignment of individual/team skills and roles with the requirements of the change initiative;
- The extent of employee participation in the implementation of the change initiative;
- The extent of employee's trust in management's commitment and integrity regarding implementation of the change initiative; and
- The extent of recognition and acknowledgement for positive contributions from employees towards the successful implementation of the change initiative.

For each of the above dimensions four items were developed. The validation of the instrument resulted in these fifteen dimensions to be factor analysed into just two factors. Six items were eliminated as well (refer to *Chapter Five, Paragraph 5.2.2, p.70*: "Change Outcome Questionnaire") for a discussion and explanation of this alteration. The dimensions and items each factor represents are depicted in *Addendum 3, p. 115*: "Adjusted Change Outcome Instrument Measurement Areas". The first factor dealt with *Change Buy-In and Support* while the second dealt with *Resistance to Change*.

The items on this questionnaire were also rated on a Likert scale, ranging from "Not at all successful" to "Very successful". The same process was followed with the Change Outcome Questionnaire as with the Leadership and Role Competence Questionnaire^{ix} in terms of their construction.

^{ix} All questionnaires were distributed simultaneously to all respondents. Questionnaires were completed anonymously, and completed questionnaires were returned in a sealed envelope. All ratings and responses were kept confidential and no personal feedback was given to any respondent.

4.6 METHOD OF GATHERING DATA

Fieldwork was conducted during the period 15 July 2002 to 22 August 2002. All questionnaires were distributed simultaneously to all respondents. Questionnaires were completed anonymously, and completed questionnaires were returned in a sealed envelope. All ratings and responses were kept confidential and no personal feedback was given to any respondent.

Role Competence Questionnaire

For Organisation A the total number of questionnaires distributed was 72 (assessed 18 leaders). Only 49 (68%) responses were received. There were 5 leaders for whom complete sets (4 ratings^x) were returned.

The total number of questionnaires distributed in Organisation B was 80 (assessed 20 leaders) for whom only 36 (45%) were returned. There was only one leader for whom a complete set (4 ratings) was returned.

For Organisation C a total of 64 questionnaires (assessing 16 leaders) were administered of whom only 45 (70%) were returned. There were only 3 leaders for whom a complete set (4 ratings) was returned.

Change Outcome Questionnaire

For Organisation A, a total of 75 (120 distributed) questionnaires were returned. This was a response rate of 62%.

The response rate for Organisation B was 65%. This represented 78 questionnaires that were returned.

Only 35 questionnaires were returned for Organisation C. This represented a response rate of 29%.

^x Four ratings refer to a complete set of assessments, i.e. from the leader self, his manager, a peer, and a subordinate.

4.7 STATISTICAL TECHNIQUES

Phase I

For Phase I the following statistical techniques were applied:

- Correspondence Analysis

A correspondence analysis maps one set of objects onto the objects of another set (Kerlinger, 1986:59). The two sets of objects that were mapped onto one another in Phase I was the role that leaders were utilised in and the competence leaders achieved for those roles. A cross-table was used to analyse and compare the data because discrete values were used. Discrete values are mapped graphically by applying a correspondence analysis. The correspondence analysis allowed for the ordered pairs (*utilised* roles & *competent* roles) to be expressed in terms of percentages, allowing for the determination of congruence.

- Cramer's V test

As a result of the small samples for Phase I, a Cramer's V test was done to assess the effect of sample size on tests. The purpose of this test was to determine whether significant differences existed amongst the results obtained for the three organisations. Similar results (no significant differences) for the three organisations would allow for the comparison of Phase I results with the results of Phase II.

Phase II

For Phase II the following statistical techniques were applied:

- Factor Analysis

A factor analysis was done on the results obtained from the Change Outcome Questionnaire. This was done as a result of the low reliability results obtained for this instrument. The factor analysis allowed for the reduction of the number of items to a

smaller number by determination of which ones go together. This resulted in the validation of the Change Outcome Questionnaire by means of construct validity.

- ANOVA

An ANOVA was done on the results of the Change Outcome Questionnaire to determine whether any significant differences existed between the three organisations' results.

- Kruskal-Wallis Test^{xi}

To determine whether any significant differences existed within Organisation A. (between the mills) a Kruskal-Wallis test was done. This technique was used because the sample sizes for the different mills were smaller than 30.

- Non parametric t-test for sample sizes smaller than 30^{xii}

Non parametric t-tests for sample sizes smaller than 30 were done for Organisations B and C to determine whether any significant differences existed within them (between plants). This technique was used as the sample sizes for both plants were smaller than 30.

4.8 SUMMARY

To determine the influence of role congruence on change outcome, a quasi-experimental ex post facto: post-test/observation design was used. The research was done in two phases. Phase I investigated the extent of congruence between the competence leaders achieved on the roles they were utilised for during their organisations' implementation of change initiatives.

^{xi} A Kruskal-Wallis test was used for Organisation A because the data were grouped in more than two groups.

^{xii} Non-parametric t-tests were used for Organisations B and C because their data were grouped in only two groups.

The null hypothesis for Phase I stated that there is no difference between the average competence scores leaders received on the different roles. For Phase I a correspondence analysis was done to determine the level of congruence.

Phase II investigated the influence of congruence on change outcome. The null hypothesis for Phase II is that there is no difference in terms of change outcome for roles where congruence was obtained and roles for which congruence was not obtained. Change outcome was established by means of soft dimensions.

Two questionnaires were developed for this research. The Leadership Role Competence Questionnaire measured leaders' competence for the four change roles identified. To measure change outcome the Change Outcome Questionnaire was developed.

Both questionnaires were validated by means of content validity by distributing it to three experts on leadership and change management^{xiii}.

The low return rate on both questionnaires resulted in small sample sizes. Non-parametric statistics (Kruskal-Wallis test & non parametric t-test)^{xiv} were used to test for significant differences within organisations. An ANOVA was done between organisations ($n > 30$) to determine whether significant differences existed between them.

^{xiii} Change experts were selected according to the following criteria: a) Must be registered Psychologists with the HPCSA and b) Must have at least 10 years practical experience in Organisation Development and/or Change Management.

^{xiv} Refer to *footnotes 7 & 8, p.67* for the reason why both Kruskal-Wallis and non parametric t-tests were used.

CHAPTER FIVE

RESULTS AND DISCUSSION

5.1 INTRODUCTION

In this chapter the research results will be discussed in terms of the design explained in *Chapter Four*. The results for the reliability and validity of both questionnaires (Leadership Role Competence Questionnaire and Change Outcome Questionnaire) will be addressed first. This will be followed by a discussion about the results of the statistical techniques applied for both Phase I and Phase II.

This chapter will be concluded by an interpretation of the results in terms of the problem statement discussed in *Chapter One*, i.e. Will the allocation of change leadership roles according to leaders' competence, have an influence on the outcome of organisation change?

5.2. RELIABILITY AND VALIDITY RESULTS OF THE MEASUREMENT INSTRUMENTS

5.2.1 Leadership Role Competence Questionnaire

The leadership and change experts^{xv} validated the Leadership Role Competence Questionnaire. All three agreed that the items were valid; their feedback was accepted and the instrument was applied as a valid instrument for the assessment of leadership role competence.

The Cronbach Alpha for this questionnaire indicated that it was a reliable instrument. The results are shown in *Table 5.1*.

^{xv} Change experts were selected according to the following criteria: a) Must be registered Psychologists with the HPCSA and b) Must have at least 10 years practical experience in Organisation Development and/or Change Management.

Table 5.1

Reliability Test Results for the Leadership Role Competence Questionnaire (Cronbach)

<i>Role</i>	<i>Alpha</i>
Initiator	.97
Shaper	.94
Monitor	.88
Assessor	.93

Interpretation of *Table 5.1*

All four roles achieved alpha values higher than 0.7.^{xvi} The instrument is therefore reliable.

5.2.2 Change Outcome Questionnaire

The experts on leadership and change management validated the Change Outcome Questionnaire. All three agreed that the items were valid to measure change outcome in terms of the soft issues. Their feedback was accepted and the instrument was applied as a valid instrument.

The Cronbach test resulted in only one of the original fifteen dimensions achieving an alpha value higher than .7. (Refer to *Addendum 4, Table 1, p. 116*: “Reliability Test Results for the Change Outcome Questionnaire – Initial Reliability Test”). This instrument was therefore not reliable. The non-reliability of this questionnaire resulted in conflict as it was validated in terms of content validity.^{xvii}

To resolve the reliability dilemma the constructs and their items were factor analysed^{xviii} to determine the underlying validity of constructs.

^{xvi} According to RAU’s Statistical Consultation Department, .7 is the cut-off point for acceptance of reliability coefficients.

^{xvii} Grinnell (1988:129) summarised the relationship between validity and reliability as follows: “An instrument that is valid is always reliable; an instrument that is not valid may or may not be reliable; an instrument that is reliable may or may not be valid; an instrument that is not reliable is never valid.”

^{xviii} According to Grinnell (1988:119) factor analysis is a powerful method for determining construct validity. It is a statistical procedure that reduces a large number of items to a smaller number (factors) by discovering which ones go together and by determining what relationship exists between the clusters of items that go together.

A factor analysis was done in terms of a first order Principal Axis Factoring (PAF) with Varimax rotation. For this a Kaiser-Meyer-Olkin (KMO) and Bartlett's^{xix} test were applied. The KMO value was .77 (significance < .001). This result indicated sampling adequacy, which allowed for factor analysis.

The results of the factor analysis indicated that six out of 65 items had to be eliminated (correlated lower than .7). These items were: 20 (.32), 22 (.51), 24 (.31), 42 (.56), 45 (.46), and 65 (.58). After their elimination the KMO and Bartlett's test for sampling adequacy were repeated. The KMO was .83 (significance < .001) which indicated an improvement in sampling adequacy.

Fifteen factors with Eigen values higher than 1, explaining 71% of total variance were extracted. Although accepted on Eigen values, they did not explain enough variance. The first five factors explained less than 50% of total variance^{xx}. (See *Addendum 4, Table 3*, p. 119: "Total Variance Explained After First Round PAF – Change Outcome Questionnaire"). Ideally no more than three factors should explain 50% or more of total variance.

A second round PAF was done by means of an Oblimin with Kaiser Normalisation as rotation method. The test for sampling adequacy resulted in a KMO value of .85 (significance <.001). Sampling adequacy was again achieved, allowing for a further factor analysis. The second round PAF resulted in three factors with Eigen values higher than 1, explaining 57% of total variance. (See *Table 5.2, p. 72*: "Total Variance Explained After Second Round PAF"). Enough variance was explained to accept the construct validity of the resulting three factors.

The factor analysis procedure's results satisfactorily addressed the conflict emanating from the content validation of the instrument on the one hand and the lack of reliability on the other hand.

^{xix} KMO and Bartlett's test are specific statistical methods for factor analysis.

^{xx} According to RAU's Statistical Consultation Department, in human populations any variance explained higher than 50%, is good.

The questionnaire items grouped together for factors one (*Change Buy-In and Support*) and two (*Resistance to Change*) are listed in *Addendum 3, p. 115*: “Adjusted Change Outcome Instrument Measurement Areas”.

Table 5.2:

Total Variance Explained After Second Round PAF

<i>Factor</i>	<i>Total (Eigen values)</i>	<i>% of variance</i>
<i>Change Buy-In and Support</i>	4.5	31.80
<i>Resistance to Change</i>	2.41	17.21
<i>Personal Work Advantages</i>	1.16	8.28

Interpretation of Table 5.2

The first factor explained almost 32% of total variance; the second factor explained 17% and the third factor 8%. Three factors thus resulted in 57% of total variance explained which is acceptable for human populations (see *Footnote 6, p. 71*).

The third factor (*Personal Work Advantages*) was eliminated on the grounds that it only represented one item for the Change Outcome Questionnaire.

After the construct validation of the Change Outcome Questionnaire, a Cronbach test was done. Both factors (*Change Buy-In and Support* and *Resistance to Change*) measured higher than 0.7 (see *Table 5.3*). The instrument, factorised into two factors, was therefore considered to be reliable. Further evidence therefore exist that the content validation conflict, referred to earlier (see discussion on *p.71*), has been satisfactorily addressed.

Table 5.3

Alpha Reliability Coefficient for Factors Isolated After Second Round PAF

<i>Factor</i>	<i>n of items</i>	<i>Alpha</i>
<i>Change Buy-In and Support</i>	42	.95
<i>Resistance to Change</i>	17	.84

Interpretation of *Table 5.3*

Both factors obtained higher values than the cut-off point of .07, allowing for high reliability.

5.3 ROLE CONGRUENCE RESULTS: PHASE I

A correspondence analysis^{xxi} was done to test the hypotheses formulated. To assume congruence had been achieved the cut-off point was set at 40 percent^{xxii}. Congruence was obtained for roles that had achieved 40% or higher for utilisation of leaders in roles for which they achieved their highest average competence ratings. The higher the percentage of leaders utilised for roles where they achieved their highest average competence ratings, the higher the level of congruence. The results of the correspondence analysis (See *Table 5.4, p. 74* and *Graphs 5.1, 5.2 and 5.3, pp. 77-79*) are summarised as follows:

- Role A (*Initiator*) achieved a high level of congruence (71%)
- Role B (*Shaper*) achieved a low level of congruence (15%)
- Role C (*Monitor*) achieved a low level of congruence (10%)
- Role D (*Assessor*) achieved acceptable congruence (50%)

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The results from the Cramer's V tests for the three organisations indicated no significant differences amongst them. Their results could therefore be combined. The unit of analysis was roles across organisations (Refer to *Chapter Four, Paragraph 4.2.1 p.56: "Limitations of the Study"*).

5.3.1 Correspondence Analysis Results

The results of the correspondence analysis are discussed with reference to *Table 5.4* and *Graphs 5.1, 5.2, and 5.3*. Although complete assessment results were only obtained for 9 leaders (combined for all three organisations) the data used for the correspondence analysis were obtained

^{xxi} According to Kerlinger (1986:59) a rule of correspondence is a prescription or a formula that tells us how to map the objects of one set onto the objects of another set. It tells us, in brief, how the correspondence between set members is achieved. The process is highly varied in its applications but simple in its conception. Instead of thinking of all the different ways of expressing relations separately, we realise that they are all sets of ordered pairs and that the objects of one set are simply mapped onto the objects of another set.

^{xxii} RAU's Statistical Consultation Department agreed that for this study 40% as cut-off for congruence was acceptable.

for all the leaders for whom assessment results were returned. At least two assessments per leader were received for which an average rating was calculated.

Table 5.4

Role Competence and Role Utilisation Cross Tabulation

<i>Role utilisation</i>	<i>Count (Number of leaders for whom an average rating was calculated)</i>	<i>Competent: Role A Initiator</i>	<i>Competent: Role B Shaper</i>	<i>Competent: Role C Monitor</i>	<i>Competent: Role D Assessor</i>	<i>Total</i>
<i>Utilisation: Role A Initiator</i>	Count % within role % within competent ^{xxiii}	10 71.4% 45.5%		1 7.2% 11.1%	3 21.4% 18.8%	14 100.0% 27.5%
<i>Utilisation: Role B Shaper</i>	Count % within role % within competent	2 15.4% 9.1%	2 15.4% 50.0%	5 38.5% 55.6%	4 30.8% 25.0%	13 100.0% 25.5%
<i>Utilisation: Role C Monitor</i>	Count % within role % within competent	5 50.0% 22.7%	2 20.0% 50.0%	1 10.0% 11.1%	2 20.0% 12.5%	10 100.0% 19.6%
<i>Utilisation: Role D Assessor</i>	Count % within role % within competent	5 35.7% 22.7%		2 14.3% 22.2%	7 50.0% 43.8%	14 100.0% 27.5%
<i>Total</i>	Count % within role % within competent	22 43.1% 100.0%	4 7.8% 100.0%	9 17.6% 100.0%	16 31.4% 100.0%	51 100.0% 100.0%

Interpretation Table 5.4

Table 5.4 is a cross-tabulation of the results obtained from the correspondence analysis. The level of congruence obtained for each role is indicated as “% within role”. Each role is discussed separately. The *Initiator* and *Assessor* roles achieved congruence whilst the *Shaper* and *Monitor* roles did not achieve congruence.

^{xxiii} Percentage within competent refers to the total percentage of leaders who were found to be most competent in that role.

Initiator Role

Seventy-one per cent (10 of 14) of the leaders utilised in the *Initiator* role were also assessed as being most competent for that role. Forty-five per cent of all the leaders (10 out of 22) that were assessed to be competent for the *Initiator* role were utilised for that role. Most leaders who were utilised for the *Initiator* role, were rated most competent for the *Initiator* role. Compared to the cut-off point for congruence (40%) the congruence result for the *Initiator* role was good. Seventy-five per cent indicated most leaders utilised for the *Initiator* role were utilised according to their strength. High congruence was achieved for the *Initiator* role.

Shaper Role

Only two (15%) of the thirteen leaders who were utilised for the *Shaper* role were rated most competent for that role. Fifty per cent of all the leaders (2 out of 4) who were assessed as most competent for the *Shaper* role were utilised in that role. Only 4 leaders were rated as most competent for the *Shaper* role. Most leaders who were utilised for the *Shaper* role (85%) received their highest competent ratings for other roles. Compared to the congruence cut-off point of 40%, the result obtained for the *Shaper* role (15%) was poor. No congruence was achieved for the *Shaper* role.

Monitor Role

Just one out of ten leaders (10%) utilised for the *Monitor* role was assessed as being most competent for that role. Eleven percent of all the leaders (1 out of 9) assessed as being most competent for the *Monitor* role was utilised for that role. This result (10% synergy) was also considered to be poor compared to the cut-off point of 40%. The *Monitor* role achieved the lowest congruence rating of all four roles, making this role the most vulnerable for managing organisation change. No congruence was achieved for the *Monitor* role.

Assessor Role

Seven out of 14 (50%) of the leaders utilised for the *Assessor* role were assessed as being most competent for that role. A 50% result was considered to be indicative of some congruence. With

an equal number of leaders (50%) not being utilised for roles they were more competent for, the result was evaluated as average. The *Assessor* role achieved acceptable congruence.

Overall, only 20 out of 51 leaders utilised in their respective roles were rated most competent for those roles. That accounts for 39% of candidates assessed. This overall result, when compared to the cut-off point of 40%, was poor. Most leaders (61%) were not utilised for roles where they achieved their highest competent ratings. The utilisation of leaders in change roles was not successful.

5.3.2 Discussion of Correspondence Analysis Graphs (*Graphs 5.1 – 5.3*)

The results obtained from the correspondence analysis were depicted in *Graphs 5.1 – 5.3, pp. 77-79*. *Graph 5.1, p. 77* showed that *utilised* and *competent Initiator* role were mapped on dimension 1 towards the left of the centre line. *Competent Monitor* role, *competent Shaper* role, and *utilised Shaper* role were mapped towards the right of the centre line in terms of dimension 1. For dimension 2, *utilised Monitor* role and *competent Shaper* role were mapped towards the left of the centre line with both *utilised* and *competent Assessor* roles towards the right of the centre line.

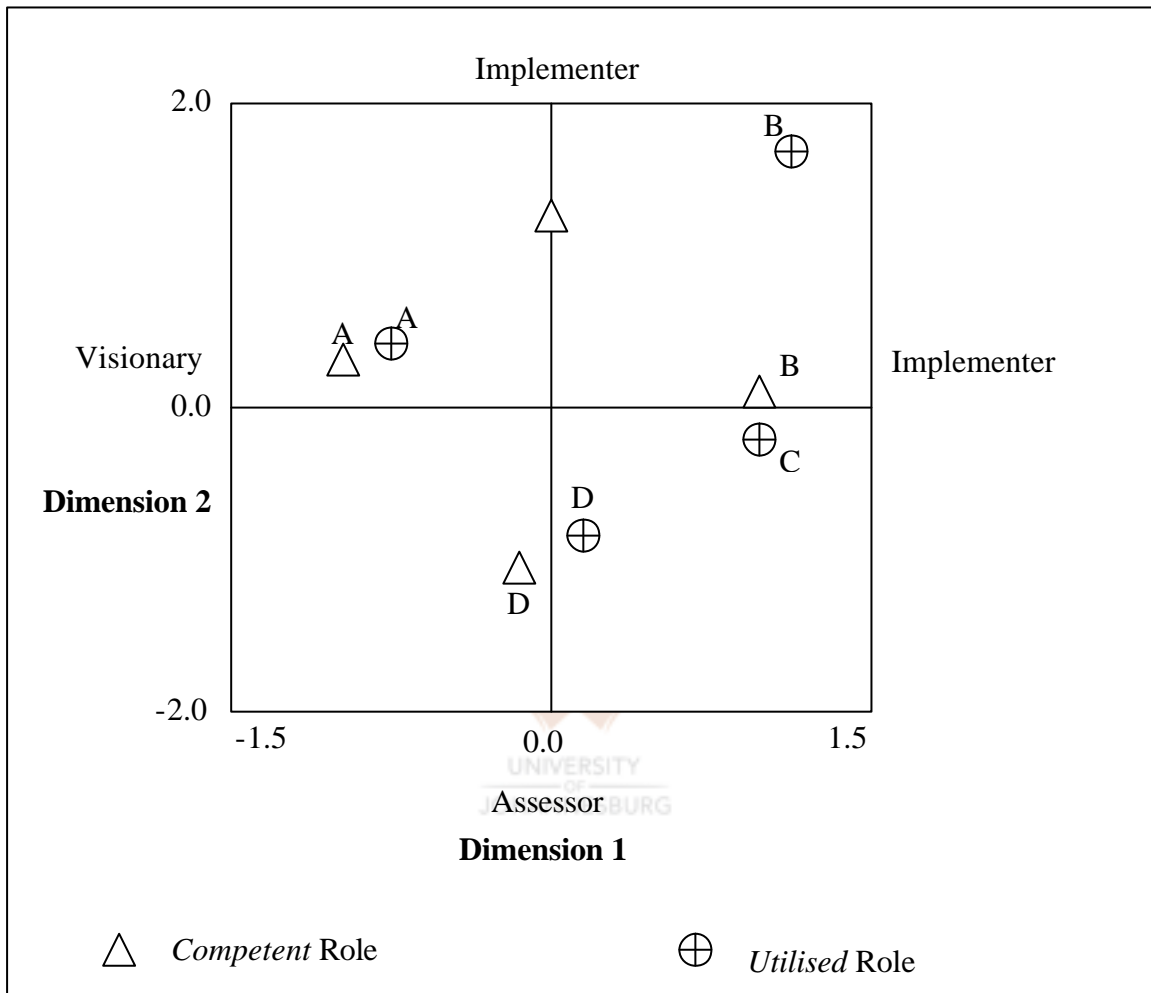
The items identified for the *Initiator* role measured leaders' ability to develop a vision, to communicate it and to inspire subordinates with the vision. The *Shaper* role's items measured the leaders' ability to implement the change initiative, to ensure employees' active participation with the implementation of the change initiative and to align their activities with the change initiative. The *Monitor* role's items measured the leaders' ability to identify factors causing resistance and to deal with it. The items associated with the *Assessor* role measured the leaders' ability to measure the change outcomes, to evaluate its trends and the impact, as well as providing focus for future change initiatives.

The nature of the roles in terms of their items was used to name the two dimensions for the correspondence graph (*Graph 5.1, p.77*). Dimension 1 was called the *Visionary vs. Implementer axis* and Dimension 2 the *Implementer vs. Assessor axis*.

The data depicted in *Graph 5.1, p. 77* was interpreted by lowering the positions of the roles (*utilised* and *competent*) onto the two axes. The lowered role-data for each axis were depicted in *Graphs 5.2 and 5.3, pp. 78-79*.

Graph 5.1

Symmetrical Normalisation Graph (Correspondence Analysis) for Role Congruence Between Utilised Roles and Competent Roles

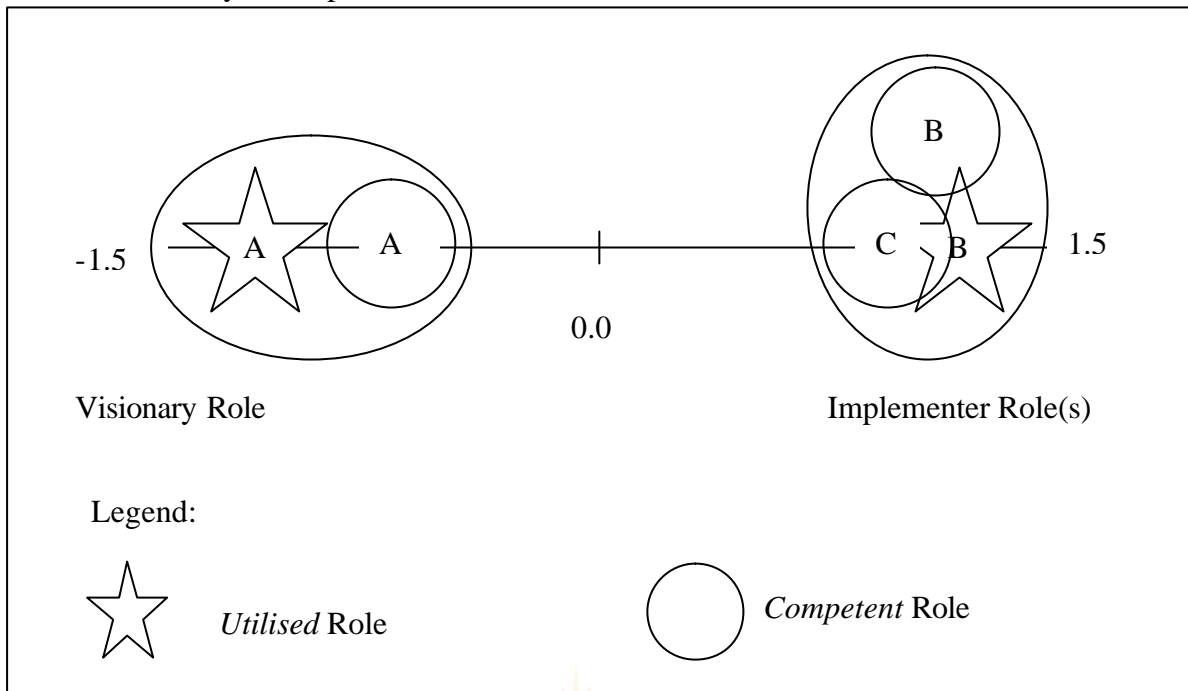


Interpretation Graph 5.1

Dimension 1 was named the *Visionary vs. Implementer axis* and depicted the *Initiator* role (Role A) against the *Shaper* role (Role B) and the *competent Monitor* role (Role C). Dimension 2 was named the *Implementer vs. Assessor axis* and depicted the *Assessor* role (Role D) against the *competent Shaper* role (Role B) and the *utilised Monitor* role (Role C).

Graph 5.2

Dimension 1: Visionary vs. Implementer Axis

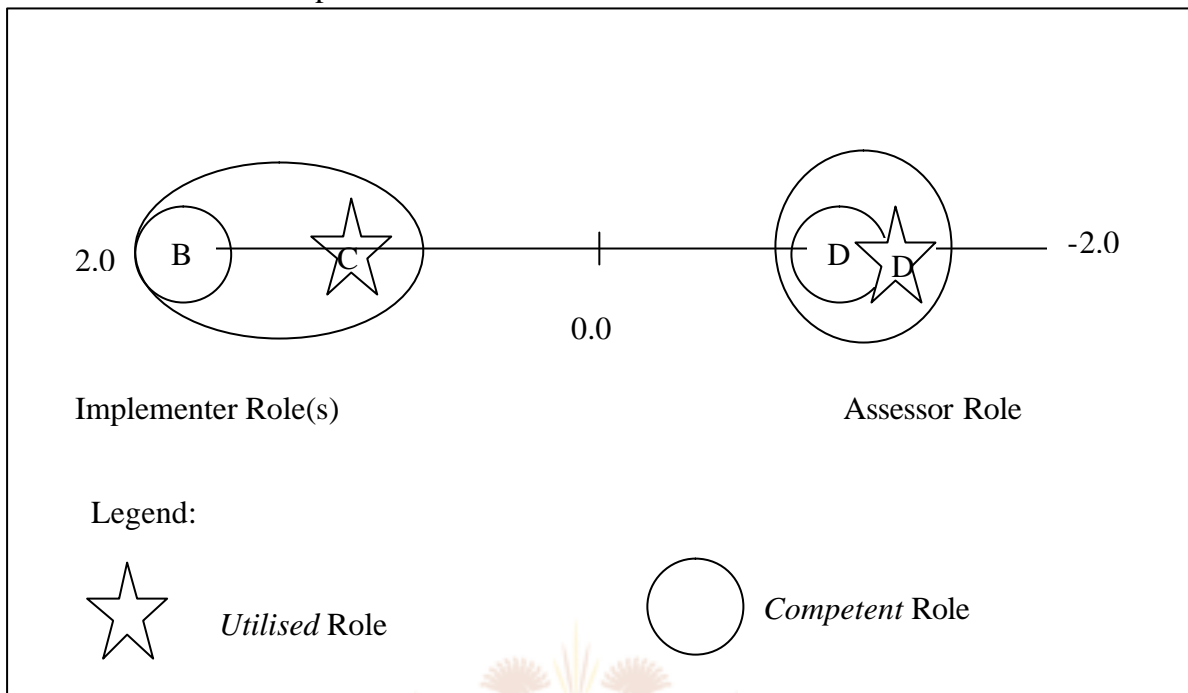


Interpretation of Graph 5.2

Roles that are positioned together on the axis indicated a relationship amongst them. For this dimension (*Visionary vs. Implementer* dimension) *utilised* and *competent Initiator* role (Role A) indicated a relationship. *Utilised Shaper* role (Role B), *competent Shaper* role (Role B) and *competent Monitor* role (Role C) indicated a relationship on the opposite pole to the *Assessor* role. The Implementer role cluster depicted towards the right of the centre line also indicated a relationship between the *utilised* and the *competent Shaper* roles (Role B).

Graph 5.3

Dimension 2: Assessor vs. Implementer Axis



Interpretation of Graph 5.3

The roles positioned together on the second dimension axis (*Implementer vs. Assessor axis*) indicated a relationship between the *utilised* and the *competent* Assessor role (Role D) and between the *utilised* Monitor role (Role C) and the *competent* Shaper role (Role B).

5.3.3 Interpretation of Congruence Results

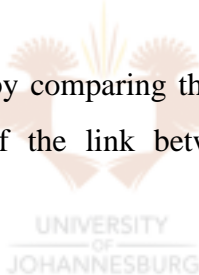
The relationship between the *utilised* and the *competent Initiator* roles as well as the *utilised* and the *competent Assessor* roles is explained in terms of the congruence achieved for the *Initiator* and *Assessor* roles. Leaders who received their highest competence ratings for these roles were also utilised for these roles.

The first dimension (*Visionary vs. Implementer axis*) also mapped the *utilised* and the *competent Shaper* roles together when lowered onto the axis. For the *Shaper* role 15% congruence was achieved. This was a clear indication that even with a low congruence, the *utilised* and the *competent Shaper* roles formed an association. Table 5.4, p. 74: “Role Competence and Role

Utilisation Cross Tabulation”, indicated that 50% of all the leaders who received their highest competent rating for the *Shaper* role were utilised for that role. The relationship between the *utilised* and the *competent Shaper* roles is therefore explained in the fact that 50% of leaders rated most competent for the *Shaper* role were utilised for that role.

The relationship between the *Shaper* role (*utilised* and *competent*) and the *Monitor* role (*competent*) indicated a significant number of leaders who were utilised for the *Shaper* role, achieved their highest competent ratings for the *Monitor* role. From *Table 5.4, p. 74* it can be seen that 50% of leaders utilised for the *Shaper* role received their highest competent ratings for the *Monitor* role. *Table 5.4, p. 76* also indicates that 50% of leaders who received their highest competent ratings for the *Shaper* role were utilised for the *Monitor* role. This indicated a similarity in the competencies associated with the *Shaper* and *Monitor* roles. The premise was formed that because low levels of congruence were measured for the *Shaper* and *Monitor* roles their low congruence will cause a low rating on the change outcome items link to their competence clusters. These items were grouped together in the Change Outcome Questionnaire as the *Resistance to Change* factor.

The above premise can be investigated by comparing the competence clusters of the *Shaper* and *Monitor* roles and the determination of the link between their competence clusters and the *Resistance to Change* factor.



For the *Shaper* role the following competencies were identified:

- Inducing and reinforcing change by providing incentives and rewards;
- Inducing and reinforcing change by providing authoritative measures and discipline;
- Providing clarity on behavioural expectations;
- Utilising personal attraction to induce change;
- Develop employee competence to meet change requirements;
- Empower employees to deliver change outputs;
- Utilising and building teams to achieve change results;
- Utilising project management principles to achieve change results; and
- Align employees' utilisation with change activities according to their strengths.

For the *Monitor* role the following competencies were identified:

- Allowing consultation on change progress;
- Handle emotional reactions; providing compassion and care;
- Address and eliminate resistance and conflict;
- Provide frequent performance feedback during the change efforts;
- Network with various individuals and institutions on methods to streamline and expedite the change efforts; and
- Encourage and energise employees during failures and periods of stagnation.

Both sets of competencies concerned the actions required to implement the change initiative. These two roles concerned leaders' competence in getting employees to turn their commitment and support into action. It also required leaders to be competent in dealing with employees' emotional reactions to the impact of the implementation of the change initiative. Both roles dealt with aspects of resistance to change. The *Shaper* role focused on getting commitment and rewarding positive behaviour. It also concerned dealing with negative behaviour. The *Monitor* role concerned dealing with resistance by means of counselling activities.

5.3.4 Testing Hypotheses: Phase I

The results obtained from the correspondence analysis indicated that congruence was achieved for the *Initiator* and the *Assessor* roles, but not for the *Shaper* and *Monitor* roles. The results obtained from the correspondence analysis indicated a difference between the average scores leaders received on the different roles.

The null hypothesis was therefore rejected. There was a difference between the average scores leaders received on the different roles.

5.4 CHANGE OUTCOME RESULTS: PHASE II

An ANOVA was done on the two factors (*Change Buy-In and Support* and *Resistance to Change*) on the Change Outcome Questionnaire for all three organisations. This was done to determine whether any significant differences existed amongst the three respondent organisations. *Table 5.5, p.83* depicts the results of this ANOVA.

A Likert scale was used to measure change outcome for this questionnaire. Values included “strongly agree” (1), “agree” (2), “disagree” (3) and “strongly disagree” (4). Values of 1 and 2 indicated a successful change outcome. Values of 3 and 4 indicated an unsuccessful change outcome. A mean value of 2.5^{xxiv} was chosen as cut-off point for success as it was the midpoint for the scale used. Values lower than 2.5 indicated successful change and values higher than 2.5 indicated unsuccessful change.

The two factors (*Change Buy-In and Support* and *Resistance to Change*) are summarised below in terms of their respective items:

The *Change Buy-In and Support* factor contained items measuring the following aspects:

- Employees’ understanding, knowledge and comprehension of the company’s vision in terms of the change initiative;
- Information and feedback given on the implementation progress;
- Employees’ success expectancy for the company and the change initiative;
- Personal and work gains resulting from the change initiative;
- Employees’ buy-in towards the implementation of the change initiative;
- Employee participation in the implementation of the change process; and
- Employee support and commitment towards the implementation of the change initiative.

The *Resistance to Change* factor contained items measuring the following aspects:

- Specific detail given on the change initiative-process and schedule;
- Employee resistance;
- Reduced levels of participation with management and in company activities;
- Experiencing of difficulties in work processes as a result of the implementation of the change initiative;

^{xxiv} The usage of 2.5 as cut-off point was discussed with RAU’s Statistical Consultation Department. It was agreed to be a valid cut-off point.

- Lack of trust in management commitment and integrity regarding the change initiative;
- Lack of trust in employee participation forums regarding the change initiative;
- Experiencing of personal harm caused to employees as a result of the implementation of the change initiative; and
- Constraints perceived to inhibit the effectiveness of the change initiative.

5.4.1 Interpretation of Change Outcome Results

The Change Outcome results are depicted in *Table 5.5* below:

Table 5.5

Statistics for Success Outcome on the *Change Buy-In and Support* and the *Resistance to Change* Factors for all Three Organisations

<i>Factor</i>	<i>Company</i>	<i>n</i>	<i>Mean</i>
<i>(Change Buy-In and Support)</i>	A	57	2.37
	B	21	2.34
	C	66	2.32
	Total	144	2.34
<i>(Resistance to Change)</i>	A	61	2.66
	B	22	2.72
	C	79	2.60
	Total	162	2.63

Interpretation of *Table 5.5*

From *Table 5.5* it can be seen that all three organisations were rated successful (mean values lower than 2.5) on the *Change Buy-In and Support* measurement area. This implies the change vision was successfully shared, a need for change was realised with employees, and their commitment was obtained for the implementation of the change initiative.

With regards to the *Resistance to Change* measurement areas, values of higher than 2.5 were obtained for all three organisations. This implies that factors causing employee resistance and employee difficulties with the change implementations were dealt with unsuccessfully.

For all three organisations both the *Change Buy-In and Support* and the *Resistance to Change* factors recorded similar results. These results indicated no significant differences existed amongst the three organisations. Specific statistical techniques were applied to explore any possible statistical difference within these organisations. An ANOVA was used to test for significant differences between organisations where the sample sizes were larger than 30. Non-parametric statistics were used within organisations where the sample sizes for the different mills/plants were smaller than 30. These techniques included:

- ANOVA on Mill differences for Organisation A; $n > 30$ (*Addendum 4, Table 7, p 121*).
- Kruskal-Wallis test^{xxv} for Organisation A; $n < 30$ (*Addendum 4, Table 8, p. 122*)
- Non-parametric t-tests for organisations B and C; $n < 30$, (*Addendum 4, Tables 10-15, pp. 123-125*).

No significant differences were recorded as a result of the above techniques applied. The change outcome results of the three organisations could therefore be combined for the hypothesis test. The unit of analysis for Phase II was change outcome across organisations.

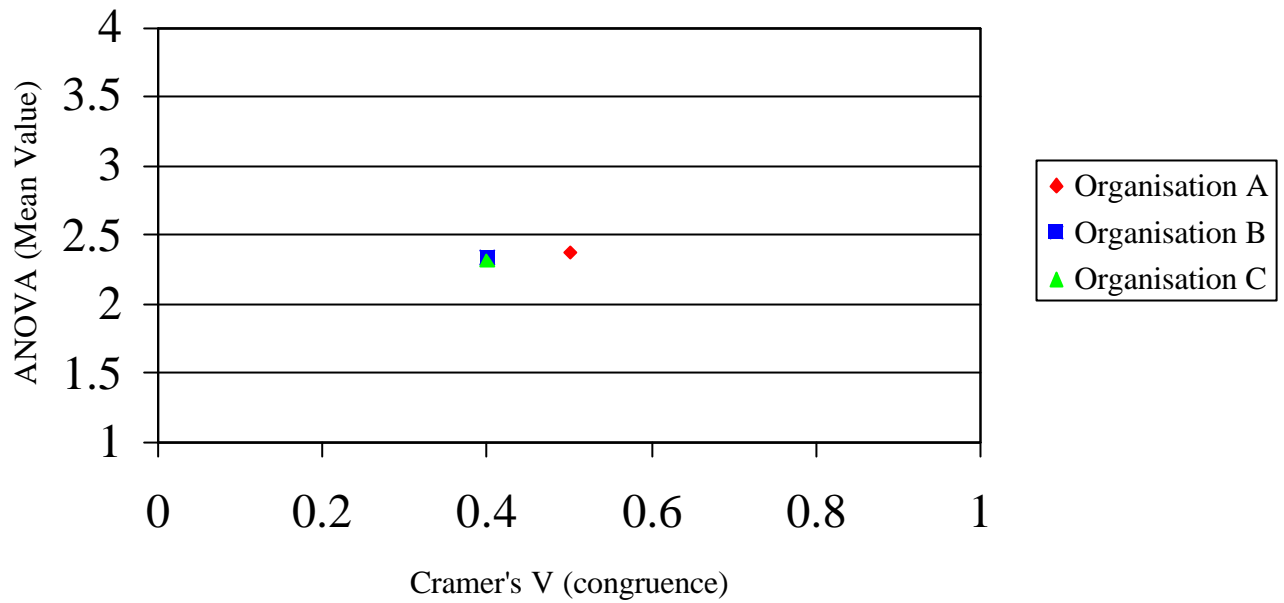
5.4.2 Testing Hypothesis: Phase II

The Cramer's V tests for role congruence indicated no significant differences existed between the three organisations in their congruence results. The ANOVA on the change outcome results also indicated that no significant differences existed between the three organisations. It was therefore possible to compare the results obtained from the two questionnaires.

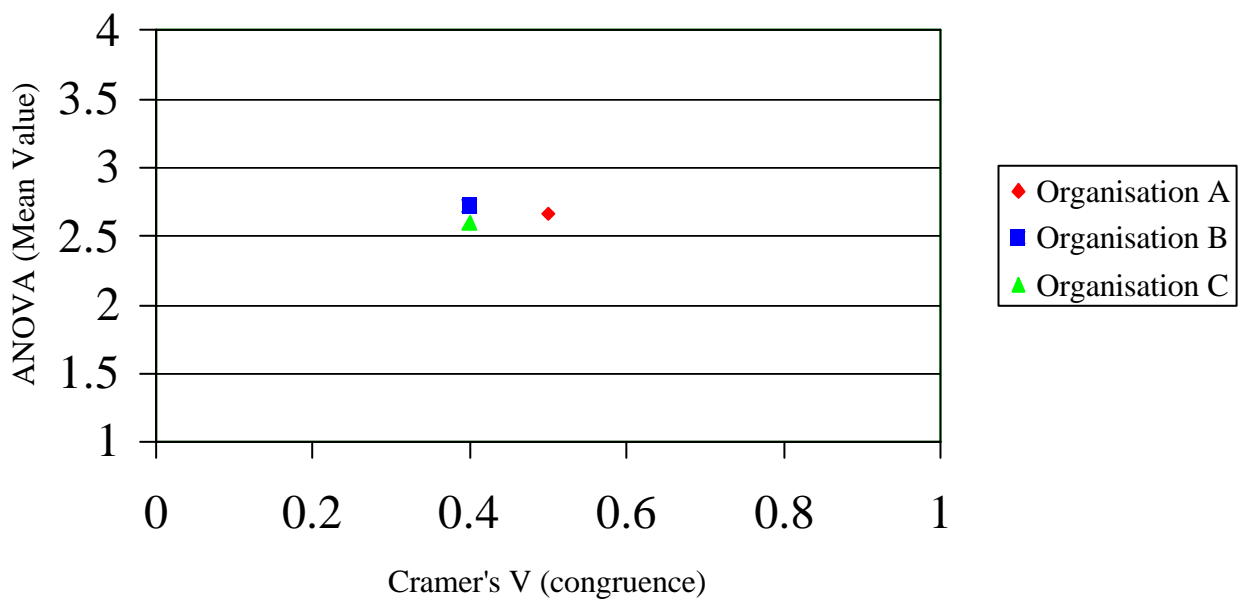
Graphs 5.4 and 5.5, p. 85 depicted the comparison of the congruence results with the change outcome results for both *Change Buy-In and Support* and *Resistance to Change*. No significant differences existed amongst the results obtained for all three organisations on both the correspondence analysis and the ANOVA values for the Change Outcome Questionnaire. As can be seen from both graphs the results are depicted in a cluster. The congruence values for all three organisations ranged from 0.4 to 0.5, the ANOVA values for *Change Buy-In and Support* from 2.32 to 2.37, and the ANOVA values for *Resistance to Change* from 2.60 to 2.72.

^{xxv} Refer to *Chapter Four, footnotes 7 & 8, p.67* for the reason why both Kruskal-Wallis and non parametric t-tests were used.

Graph 5.4:
The Relationship Between Role Congruence and *Change Buy-In and Support* for the Three Respondent Organisations



Graph 5.5:
The Relationship Between Role Congruence and *Resistance to Change* for the Three Respondent Organisations



Interpretation of Graphs 5.4 and 5.5

Graphs 5.1 and 5.2 illustrate the relationship between role congruence and change outcome of all three organisations. *Graph 5.1* depicts the relationship between congruence and *Change Buy-In and Support* and *Graph 5.2* depicts the relationship between congruence and *Resistance to Change*. The clustered mappings formed by this positioning of the values are indicative of the similarity of the results. The mappings are clustered so close that it is not possible to determine any form of correlation, i.e. a higher or lower ANOVA value with either a higher or a lower Cramer's V value.

There is thus no significant statistical evidence to accept or reject the null hypothesis for Phase II. The influence of role congruence on change outcome could therefore not be determined statistically.

5.5 THE INFLUENCE OF CONGRUENCE ON CHANGE OUTCOME

The congruence result obtained through Phase I can be linked to the change outcome results. The results obtained for Phase I indicated that the *Initiator* role obtained "good" congruence, the *Assessor* role average congruence, and no or poor congruence for the *Shaper* and *Monitor* roles. The competencies associated with the *Initiator* role concerned the items that measured change results in terms of the *Change Buy-In and Support* factor. *Change Buy-In and Support* was successful. The deduction is made that congruence for the *Initiator* role resulted in positive change outcome in terms of support and buy-in.

The literature study (*Chapter Three*) revealed the association of leadership with leaders' ability to formulate and share their vision and to inspire their followers. Applebaum and Wohl (2000:284) construed that leaders became leaders because of their competence in envisaging and communicating a better future. Graetz (2000:550) was quoted for her view that transformational or charismatic leadership is synonymous to the process of envisioning.

The *Initiator* role measured leaders' competence to formulate and share their vision as well as to inspire their followers. The highest level of congruence was achieved for the *Initiator* role. Most leaders measured achieved their highest competent ratings on the *Initiator* role. This result supports Graetz's (2000:550) view on transformational leadership to be synonymous with the process of

envisioning. Tett *et al*, (2000:221) referred to their survey on leadership and concluded that eight out of twelve earlier leadership models defined leadership as motivation by persuasion. (Persuasion is one of the core competencies associated with the *Initiator* role.) Trofino (2000:232) supported this view by claiming that the ability to inspire and to envision are the two main skills for the transformational leader. Bass and Avolio (1994:3) conceptualised the four “I” dimensions associated with transformational leadership. All four of these I’s imply the visionary role (*Initiator* role).

The *Shaper* and *Monitor* roles did not obtain congruence. The competencies associated with these two roles concerned the items that measured *Resistance to Change* on the Change Outcome Questionnaire. There was resistance to change. In Paragraph 5.3.2 p. 76: “Discussion of Correspondence Analysis Graphs” (*Graphs 5.1 –5.3*) the premise was formed that the low congruence obtained for the *Shaper* and *Monitor* roles would cause resistance to change. The result of the Change Outcome Questionnaire indicated resistance to change.

A Pearson correlation was done between the competent roles (leaders rated most competent for the roles of *Initiator*, *Shaper*, *Monitor*, and *Assessor*) and the two change outcome factors (*Change Buy-In and Support* and *Resistance to Change*). A significant correlation was established between role competence on the *Monitor* role and *Resistance to change*. Table 5.6: “Pearson Correlation Between Roles (Highest Competence) and the *Resistance to Change* Factor”, depicts this result. This indicated a relationship between low competence for the *Monitor* role and an unsuccessful *Resistance to Change* result.

Table 5.6

Pearson Correlation Between Roles (Highest Competence) and the *Resistance to Change* Factor

<i>Resistance to change</i>	<i>Initiator Role</i>	<i>Shaper Role</i>	<i>Monitor Role</i>	<i>Assessor Role</i>
Pearson Correlation	.632	.633	.811	.715
Sig. (2-tailed) at 0.05 level	.128	.127	.027	.071
n	7	7	7	7

Interpretation of *Table 5.6*

Only the *Monitor* role correlated statistically with *Resistance to Change*, i.e. a higher rating for *Resistance to Change* correlated with the low competence reflected on the *Monitor* role. A higher competence result for the *Monitor* role would result in a lower rating for *Resistance to Change* (successful outcome on *Resistance to Change*). This implies that the lower the congruence for the *Monitor* role, the higher (higher mean values on the Change Outcome Questionnaire indicates low success) the *Resistance to Change* in terms of Change Outcome.

There was statistical support for the premise that low congruence on the *Monitor* role would cause resistance to change (*Table 5.6*: “Pearson Correlation Between Roles (Highest Competence) and the *Resistance to Change* Factor”). The relationship established between the *Monitor* and *Shaper* roles (refer to *Paragraph 5.3.2, p. 76*: “Discussion of Correspondence Analysis Graphs - Graphs 5.1 –5.3 - Correspondence Analysis Graphs”) also implied the influence of the *Shaper* role on resistance to change.

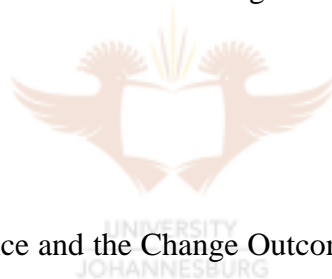
The literature study (*Chapter Three*) also revealed leaders’ vulnerability with the implementation of the change initiatives. St-Amour (2001:20) referred to the middle phase^{xxvi} of the change initiative and if not managed well, will result in resistance. The *Shaper* and *Monitor* roles were concerned with the middle phases of the change initiative. The results indicated that the middle phases were not managed well.

Leaders utilised for the change initiatives were selected on their competence for “leadership”, i.e. their ability to envision and to inspire. No appropriate match took place in terms of the change roles identified for implementing the organisation change initiatives. The inter-relationship between the *Shaper* and *Monitor* roles showed a lack of congruence (competence and utilisation). Leaders who were rated most competent for the *Shaper* role were utilised in the *Monitor* role, and *vice versa*. This inter-relatedness was also reported in the literature (Jay and Smith, 1996:66 and Sugarman, 2001:20).

^{xxvi} According to St-Amour (2001:20) the middle phase is concerned with the practical implementation of the change and dealing with employees’ discomfort and resistance.

The results indicated leaders' lack in competencies related to the implementation of the change initiative. Reference was made to comments on transformation and change by Terry and Levin (1998:313) and Jorgensen (2001:75) in *Chapter Two, Paragraph 2.4, p. 12*: "Views on Leadership". Organisation change initiatives can cause organisations to be full of conflict and tension. They warned that leaders could be too focused on the change that they neglect the integrity and values of the current organisation, causing conflict and resistance. Initial support and enthusiasm for the change initiative got lost in the process of implementation. Lacking competence and focus in dealing with employees' difficulties and loss resulted in resistance.

The results indicated that leadership competence *per se* does not result in successful organisation change. *Chapter Two, Paragraph 2.5, p.15*: "Leadership Competencies" referred to various authors' models for leadership competencies. Tett *et al*, (2000:205) and Barner (2000:47) recognised that these competencies needed to be specified for specific behavioural dimensions. The different leadership change roles are typical behavioural dimensions. Congruence between role *utilisation* and role *competence* resulted in successful organisation change. No congruence resulted in unsuccessful change.



5.6 SUMMARY

Both the Leadership Role Competence and the Change Outcome Questionnaires were validated and found to be reliable.

The hypotheses test for Phase I resulted in the null hypothesis to be rejected. There was a difference between the average scores leaders received on the different roles. This was done through the application of a correspondence analysis. The correspondence analysis produced the following results:

- Two roles, the *Initiator* role and the *Assessor* role achieved congruence.
- The *Shaper* and *Monitor* roles did not achieve congruence.
- The *Shaper* and *Monitor* roles were inter-related in terms of similarities in their competence clusters.

The results obtained from the Change Outcome Questionnaire indicated a successful outcome for the *Change Buy-In and Support* factor and an unsuccessful outcome for the *Resistance to Change* factor.

The Cramer's V test for role congruence and the ANOVA on the Change Outcome Questionnaire indicated that no significant differences existed between the three organisations regarding their congruence and change outcome results. The similar results for both populations in terms of their statistical analysis made it possible to compare their results.

The similar results (Cramer's V test and ANOVA) for all three organisations resulted in no conclusive evidence to either accept or reject the null hypothesis for Phase II.

Although the hypothesis test for Phase II was inconclusive, the interpretation of the statistical analysis revealed significant results in terms of the influence of role congruence on change outcome. These results were:

- Congruence for the *Initiator* and *Assessor* roles had a positive influence on support and buy-in for the change initiatives.
- No congruence for the *Shaper* and *Monitor* roles resulted in resistance to change.

In *Chapter six* conclusions and recommendations will be made.

CHAPTER SIX

CONCLUSIONS AND RECOMMENDATIONS

6.1 SUMMARY OF FINDINGS

6.1.1 Literature Study

- a) From the literature study it was established that there was an important connection between leadership and organisation change. In *Chapter 3 pp. 41-43* Burke (1995:161), Cross (2001:49), Bate *et al*, (2000:197), Weiss (1999:6) and Phillips (2001:58) were referred to in terms of the importance of leadership in managing change. Leadership was singled out as an important variable determining the outcome of organisation change.
- b) The literature study also indicated that leaders had various roles to play during organisation change. These roles were investigated and it resulted in the identification of four specific leadership change roles. Based on the investigation of leadership competencies and leadership change roles (*Chapter Two*) competence clusters were developed for each role. The Integrated Role Competence Cluster Model was developed which formed the basis of the Leadership Role Competence Questionnaire.

6.1.2 Empirical Study

- a) Phase I of this study found congruence for the *Initiator* role and the *Assessor* role. No congruence was found for the *Shaper* and *Monitor* roles. The null hypothesis (there is no difference between the average competence scores leaders received on the different roles) was rejected.
- b) The change outcome results indicated a successful outcome in terms of *Change Buy-In and Support*. For the *Resistance to Change* factor an unsuccessful outcome was found.
- c) The similarity of the results for the three organisations obtained for Phase I (correspondence analysis on congruence between role *utilisation* and role *competence*) and for Phase II (ANOVA on Change outcome results) allowed for the comparison of their results. No

significant statistical differences existed. Statistical evidence was therefore not conclusive to either reject or accept the null hypothesis for Phase II (there is no difference between roles with high congruence and roles with low congruence on change outcome).

- d) It was deduced that there was a relationship between role congruence and change outcome. The competencies for the *Initiator* role were linked to the items that measured *Change Buy-In and Support*. The deduction was made that role congruence for the *Initiator* role had a positive influence on *Change Buy-In and Support*.
- e) A relationship between both the *Shaper* and the *Monitor* roles was determined. The competencies for these two roles were linked to the items that measured *Resistance to Change*. It was deduced that no congruence for these roles had a negative influence on the *Resistance to Change* outcome.

6.2 CONCLUSIONS

The following conclusions resulted from this study:



6.2.1 Overall Conclusions

- a) To manage change successfully leaders need to be utilised in different change management roles.
- b) Leaders were most competent in initiating (setting a vision and communicating it) and assessing change initiatives. Their competence was reflected in the successful results obtained for the *Change Buy-In and Support* factor in the Change Outcome Questionnaire.
- c) Leaders were not competent to deal with the implementation of the change initiatives. Their incompetence was reflected in the *Resistance to Change* factor in the Change Outcome Questionnaire.
- d) The results of this research supported the literature on organisation leaders' vulnerability to deal with the middle phases (implementing and enforcing) change initiatives.
- e) There was a need for leaders to be developed in the competencies associated with the various change roles, in particular for the *Shaper* and *Monitor* roles.

6.2.2 Phase I Conclusions

- a) The respondent organisations' executive management teams succeeded in utilising their leaders in the initiating, envisioning, and inspiring role (*Initiator* role).
- b) The respondent organisations' executive management teams partly succeeded in utilising their leaders in the *Assessor* role.
- c) The respondent organisations' executive management teams did not succeed in utilising their leaders in the *Shaper* and *Monitor* roles.

6.2.3 Phase II Conclusions

As discussed in *Chapter Five*, the hypotheses for Phase II were inconclusive, but from the statistical analysis some deductions were made leading up to the following conclusions:

- a) A lack of role congruence for leaders managing organisation change influenced change outcome negatively.
- b) Role congruence for leaders managing organisation change had a positive influence on change outcome.
- c) The leadership role competencies associated with the *Initiator* role imputed the most on *Change Buy-In and Support* aspects.
- d) The leadership role competencies associated with the *Shaper* and *Monitor* roles influenced the *Resistance to Change* aspects most.

6.3 RECOMMENDATIONS

The following recommendations are suggested:

6.3.1 Research Related Recommendations

a) Research Design

Further research for this research topic is recommended, as statistical evidence for the hypotheses test for Phase II were inconclusive. The lack of statistical evidence to either accept or reject the null hypothesis (Phase II) supported the findings of Pettigrew *et al* (2001:703), referred to in *Chapter Three, Paragraph 3.7, p.48*: “Measuring Organisation Change”. They declared it problematic to produce evidence that change initiatives contributed positively towards organisational performance. This research supported their opinion and the following suggestion, building on their two options, is recommended:

A true experimental design where pre and post tests are done on control and experimental research subjects (comparative type and size organisations) over a long time period.

b) Sample Sizes

A limitation of this study was the small sample sizes for both Phase I and Phase II. Future research projects should increase the sample sizes as well as the number of subjects (organisations) to be included in the research. Larger sample sizes will enhance the probability for significant statistical evidence to accept/reject hypotheses. Even if the return rate is low on large sample sizes, the probability of getting sufficient complete response material is enhanced. Statistical significance can be determined non-parametrically on small response-samples provided the data is complete. In Pettigrew *et al*'s, (2001:703) recommendations on research evidence for successful organisation change, they also pleaded for large sample sizes. The extension of the number of organisations to be included will also increase external validity.

6.3.2 Leadership Utilisation Related Recommendations

a) Leadership Assessment

Leaders need to be assessed on their competence to manage change successfully. This assessment should be done for each of the change roles identified in this study (*Initiator, Shaper, Monitor, and Assessor*).

The Leadership Role Competence Questionnaire is recommended as instrument to measure leaders' role competence. Leaders should be assessed by means of a 360-degree method.

Assessment results will allow organisations to accurately allocate change roles to leaders as well as to identify development needs for leaders found to be incompetent.

b) Leadership Change Role Application

In the process of allocating change roles to leaders who are managing organisation change initiatives, organisations need to take cognisance of their (leaders') competence for those roles. Leaders should be utilised in change roles for which they are most competent in to allow for maximum congruence.

c) Leadership Development

This research identified a lack amongst leaders on the competencies associated to the *Shaper* and *Monitor* roles. Assessment of leaders on change role competencies should be extended to development of leaders found to be not competent on change roles. Specific attention should be given to the *Shaper* and *Monitor* roles. This will result in leaders to be competent on those roles enhancing the success rate of implementation of change initiatives.

d) Informal Leaders

Leadership development and leadership role utilisation should include informal leaders as well. The literature study (*Chapters Two and Three*) indicated the influence of informal leaders on successful change outcome. Their inclusion will assist in the channeling of their influence on the organisations' employees to assist with the successful implementation of the change initiatives. These informal leaders are also the organisations' future managers and early development will enhance their success to be formal leaders, particularly regarding the management of change.

6.4 FINAL SUMMARY

The goals and objectives identified for this research in *Chapter One* have been satisfactorily addressed.



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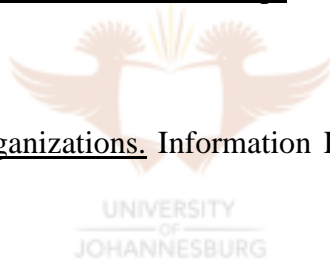
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ADDENDUM 1

LEADERSHIP ROLE COMPETENCE QUESTIONNAIRE

Leadership Role Competence Questionnaire

We are conducting research on the impact of leadership competencies on the outcome of change initiatives. A random selection process resulted in your selection to participate in this research. This questionnaire forms part of a 360-degree process where the leader, his manager, a peer and a subordinate conduct independent ratings on the manager. All four respondents' ratings will be processed to form one ultimate rating.

Please note that all the responses will be treated confidentially. No personal feedback will be given to any individual nor will any individual be discussed with your management.

Responses to items in this questionnaire relate to your organisation's implementation of the ISO 9000 system. Please ensure that you keep this in mind when responding to the items.

Your co-operation and timeous return of the questionnaire will be appreciated.

Please return the questionnaire on or before to

.....
MD

.....
Researcher

The person you are required to rate is

Please indicate your plant by placing an X in the appropriate box:

Head Office	Sales (Isando)	Port Elizabeth	Brits

Indicate your relationship to the person you are rating:

Self	Manager	Subordinate	Peer

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You are required to rate the level of competence for by rating him/her on all of the competences described in this questionnaire. *Please note that you have to evaluate (rate) this person in the context of your organisation's ISO 9000 initiative.* Place an X in the appropriate box in each case:

The extent to which this person demonstrates competence in:

	Very Competent	Competent	Somewhat Competent	Not at all Competent
1. Developing a clear vision for his/her team				
2. Providing attractive incentives for employees who conform to change requirements				
3. Incorporating individual suggestions into the change process				
4. Continuously focus on measuring change outcomes				
5. Applying the necessary power to ensure co-operation with the change process				
6. Continuously seeking to apply examples from similar change processes to the change initiatives				
7. Exploring creative solutions for problems				
8. Holding social activities to entertain employees				
9. Explaining the vision in understandable terminology				
10. Translating setbacks and failures into learning experiences				
11. Explaining in no uncertain terms what is expected from each employee				
12. Providing future change requirements that will be used for the formulation of a new vision				
13. Explaining the expected change outcomes in terms of its value to the organisation				
14. Getting employee support for the vision				
15. Ensuring employees perform to the required standards by providing skills training				
16. Applying recognised methods to measure the change outcomes				
17. Gathering relevant data regarding the vision				
18. Dealing with individuals' fears to reduce resistance to change				

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	Very Competent	Competent	Somewhat Competent	Not at all Competent
19. Providing rewards consistently				
20. Evaluating various alternatives to address the changes towards the vision				
21. Continuously seeking ways to improve measuring the change outcomes				
22. Seeking employee inputs before implementation of various change projects				
23. Providing feedback regarding the company's share value				
24. Recognising various problems facing the vision				
25. Demonstrating how employees will gain personally from change outcomes				
26. Developing realistic goals to achieve the vision				
27. Showing a willingness to deal with employees' difficulties resulting from implementing changes				
28. Continuously gathering information provided by change indicators on the change outcomes				
29. Providing unambiguous codes of conduct for employees				
30. Explaining benefits associated with the vision				
31. Demonstrating the ability to adjust change targets based on evaluating results/outcomes				
32. Continuously seeking ways to keep employees excited about the change process				
33. Giving direction towards a better future for the organization				
34. Allocating responsibilities to suit individual preferences				
35. Determining the impact the change outcomes has on the organisation				
36. Experimenting with new ideas towards problem solving				
37. Addressing individuals' discomfort with the change process				
38. Clearing confusion regarding the vision				
39. Utilising formal policies to ensure adherence to the requirements of change actions				
40. Applying continuous improvement principles through the identification of new change focus areas				
41. Obtaining buy-in from stakeholders for the vision				
42. Settling conflict arising from the implementation of the change				
43. Allowing employees to take decisions regarding their duties in terms of the change initiative				
44. Willingness to obtain information regarding the vision from stakeholders				
45. Keeping employees informed of the change initiative's progress				
46. Linking advantages obtained from similar case studies to this change initiative				
47. Considering a range of options				
48. Advising employees on safety				
49. Circulating regular official change reports				
50. Translating the vision into measurable goals				

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	Very Competent	Competent	Somewhat Competent	Not at all Competent
51. Dividing the various change activities into manageable projects				
52. Demonstrating a continuous improvement attitude				
53. Providing convincing arguments on the advantages associated with the vision				
54. Consulting with experts on various aspects regarding the change process				
55. Demonstrating awareness for the constraints associated with the vision				
56. Applying suitable rewards to obtain co-operation from employees				
57. Making sure the changes are compatible with individuals' values				
58. Applying authority in obtaining co-operation				
59. Interpreting organisational issues as indicators necessitating change				
60. Identifying specific behaviour requirements for the change				
61. Demonstrating the ability to translate measurement data into change outcome feedback				
62. Presenting more than just one solution to solve problems				
63. Developing employees to their full potential				
64. Having a clear goal towards the final change outcome				
65. Matching responsibilities to employees' expertise to ensure successful change				
66. Providing specific detail explaining the vision				
67. Allowing employees to use own initiative within their responsibilities				
68. Constantly translating change outcomes to the desired vision				
69. Assigning change activities to designated team roles				
70. Providing clear processes to realise the vision				
71. Utilising project management principles with the implementation of the changes				
72. Linking the vision to SAQA standards				
73. Motivating employees by rewarding them with praise				
74. Making sure of the facts regarding the changes before implementation thereof				
75. Using discipline to obtain co-operation				
76. Seeking commitment from all employees for the vision				
77. Providing specific guidelines to operate in order to achieve results				
78. Providing accurate analysis of measured results as indicators of the final change outcomes				
79. Translating the change gains into individual advantages				
80. Allocating change projects to special project teams				
81. Negotiating the need for change with stakeholders				
82. Addressing employee shortcomings on competencies associated with the changes				

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	Very Competent	Competent	Somewhat Competent	Not at all Competent
83. Carefully considering all the implications associated with the various options before deciding on an alternative				
84. Adjusting employee job descriptions to accommodate change requirements according to their strengths				
85. Providing guidelines for future change projects based on final change outcomes				
86. Giving decision authority to employees				
87. Invite employees to board meetings				
88. Providing various alternatives to address blockages that prevent achievement of the vision				
89. Applying a team approach in pursuing change outcomes				
90. Providing a clear picture explaining the vision				
91. Aligning change requirements with team members' strengths				
92. Separating changes into manageable projects				
93. Relating successes to the final outcome				
94. Allowing for criticism on the change progress				
95. Providing detailed information to explain the consequences of the vision				
96. Empathises with the difficulties experienced by individuals in the change process				
97. Linking the change initiative to the company's social responsibility				
98. Gathering specific status reports on key performance indicators before implementing change projects				
99. Working through failures by encouraging employees not to give up on their commitment				
100. Breaking down the final change outcomes into manageable short term objectives				
101. Dealing with resistance				
102. Demonstrating an unbiased attitude in selecting amongst alternatives				
103. Providing of regular feedback on the change process				
104. Discussing the change initiative with suppliers				
105. Determining the impact of change on employees				
106. Scanning the environment continuously to determine opportunities for the organisation				
107. Exchanging ideas with stakeholders on expediting changes				
108. Holding regular consultation sessions with employees on improvement of the change process				
109. Showing concern for individual losses resulting from the change process				
110. Aligning employees' personal visions with the change outcomes				
111. Energises employees during periods of stagnation				
112. Allowing employees to experiment in fulfilling their duties regarding change activities				
113. Dealing with destructive behaviour that threatens the change efforts				

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	Very Competent	Competent	Somewhat Competent	Not at all Competent
114. Applying team building activities to induce change				
115. Providing performance feedback to employees				
116. Ensuring employees are capable of performing to the required standards				
117. Ability to accurately predict change outcomes based on trend analysis				
118. Aligning change activities to various team objectives				
119. Networking with various institutions to ensure best practices				



ADDENDUM 2

CHANGE OUTCOME QUESTIONNAIRE

Change Outcome Questionnaire

We are conducting research regarding employees' experience of the implementation of ISO 9000 as change initiative in your organisation. A random selection process resulted in your selection to participate in this research. Please note that your feedback will be treated confidentially. No personal feedback will be given to any individual or your management.

Responses to items in this questionnaire relate to your organisation's implementation of the ISO 9000 system. Please ensure that you keep this in mind when responding to the items.

Your co-operation and timeous return of the questionnaire will be appreciated.

Please return the questionnaire on or before to

.....
MD

.....
Researcher



Please indicate your plant by placing an X in the appropriate box:

Head Office	Sales (Isando)	Port Elizabeth	Brits

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OF
JOHANNESBURG

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You are required to indicate your agreement or disagreement with the statements regarding the implementation of ISO 9000 in your company. *Please note that the term “change initiative” refers to the implementation of ISO 9000.* Place an X in the appropriate box in each case:

	Strongly agree	Agree	Disagree	Strongly disagree
1. Management did everything possible to explain the nature of the change initiative				
2. I know how the change initiative links up with the company's vision				
3. I am totally committed towards the change initiative				
4. The company will definitely benefit from the successful implementation of the change initiative				
5. The change initiative holds distinct advantages for me personally				
6. I can support the change initiative without having to change the way I do my work				
7. My job activities were adjusted in line with the change initiative's requirements				
8. My work team have definite goals for successful implementation of the change initiative				
9. I am involved in a specific task team that deals with the implementation of the change initiative				
10. I receive regular progress feedback regarding implementation of the change initiative				
11. Since the launch of the change initiative, I now have more hope for its success				
12. I understand the company's safety strategy				
13. I have personally experienced some advantages for my work resulting from the implementation of the change initiative				
14. I can openly discuss my concerns about the change initiative with management				
15. I am often invited to share my suggestions to enhance the effectiveness of the change initiative				
16. Some of the changes resulting from the implementation of the change initiative caused me some harm				

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	Strongly agree	Agree	Disagree	Strongly disagree
17. The majority of employees in this company support the change initiative				
18. The implementation of the change initiative resulted in improved team work				
19. Special effort was taken to enhance my skill in performing new tasks associated with the change initiative				
20. I like being recognised				
21. There is definite conflict among employees as a result of the implementation of the change initiative				
22. I am aware of individuals who deliberately try to disrupt the successful implementation of the change initiative				
23. More employees are against the change initiative now than in the earlier stages of its implementation				
24. Management has reduced their focus on the successful implementation of the change initiative				
25. I am convinced that this company's future will be more secure should the change initiative be successfully implemented				
26. No recognition was given to me for my positive contributions towards the change initiative				
27. Since its implementation, the change initiative resulted in some positive behavioural changes from employees				
28. Although promises were given by management in terms of specific concerns, they did not keep to it				
29. How this change initiative will assist in the realisation of the vision was explained to me				
30. The change initiative is clear to me				
31. I am convinced that this change initiative will be successfully implemented resulting in this company being more effective than before				
32. Change requires action				
33. Changes resulting from the implementation of this change initiative have improved work processes to the advantage of employees				
34. There is a significant increase in employee support for the implementation of the change initiative since its inception				
35. Employees' contribution to successes in the implementation of this change initiative goes by unrecognised				
36. There is definite confusion regarding this change initiative (what it involves; its aim, objectives, requirements, etc)				
37. Few employees have changed the way they operate to accommodate the change initiative				
38. The implementation of the change initiative resulted in specific actions to improve team work in this organisation				
39. Employee participative forums regarding this change initiative are not trusted by employees				
40. I do know what this company's vision is but do not understand how this change initiative will allow the company to reach it				
41. Employees who contribute positively towards the successful implementation of this change initiative received some recognition from management				

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	Strongly agree	Agree	Disagree	Strongly disagree
42. I am unaware of what the change initiative's implementation schedule entails				
43. I am happy in my work				
44. Management enjoy the trust of the majority of employees in the company				
45. Insufficient feedback on the change initiative's progress is given				
46. Some employees try to convince other employees not to co-operate with the implementation of the change initiative				
47. I am convinced that this change initiative will live up to management's expectations				
48. As a result of the implementation of the change initiative I am now less likely to participate in company activities				
49. I think this company has a positive future				
50. Since the implementation of this change initiative I now have more difficulties in doing my job				
51. My position or future in this company has benefited from the implementation of the change initiative				
52. The connection to this change initiative to the vision was discussed with me but I need more explaining to fully comprehend the link				
53. I have personally been recognised for my contributions to make this change initiative work				
54. I do not know why the company has decided on this particular change initiative				
55. Regarding this change initiative, management do not "walk the talk"				
56. I received some personal benefits resulting from the implementation of the change initiative				
57. There are too many constraints that will cause this change initiative to fail				
58. Since the implementation of the change initiative employees are now more supportive of organisational goals				
59. The effects of the change initiative caused me to avoid getting personally involved with its activities				
60. I receive regular official reports on the progress of the change initiative				
61. The change initiative's implementation enhanced employee co-operation with management				
62. I am working for a progressive company				
63. The changes resulting from this change initiative are causing inefficiencies in work processes				
64. The implementation of the change initiative resulted in employees being less willing to co-operate with management				
65. To succeed in this company one always has to agree with management				

ADDENDUM 3

ADJUSTED CHANGE OUTCOME INSTRUMENT MEASUREMENT AREAS

Change Measurement Area	Items on Questionnaire
<i>Change Buy-In and Support</i>	28, 18, 34, 35, 17, 59, 39, 13, 62, 11, 5, 9, 15, 14, 8, 61, 48, 10, 2, 31, 32, 4, 26, 3, 1, 30, 55, 7, 54, 42, 27, 36, 57, 52, 19, 41, 60, 63, 50, 33, 44, 45
<i>Resistance to Change</i>	16, 23, 40, 65, 37, 58, 64, 56, 24, 29, 21, 53, 38, 49, 47, 51, 12



ADDENDUM 4

STATISTICAL ANALYSIS – TABLES

Table 1:

Reliability Test Results for Change Outcome Questionnaire - Initial Reliability Test

<i>Dimension</i>	<i>Items on questionnaire</i>	<i>Alpha</i>
The extent to which employees' knowledge and understanding of the company's vision is linked to the change initiative	2; 30; 41; 53	.44
The extent of employees' knowledge and understanding of the change initiative and process	31; 37; 43; 55	.53
The extent to which employees are informed and updated with progress regarding the change initiative	1; 10; 46; 61	.64
The extent of employees' success expectancy regarding the change initiative	11; 32; 48; 58	.62
The extent to which employees have a positive expectation of the company's future	4; 26; 50; 63	.78
The extent to which employees personally gained from implementing the change initiative	5; 16; 52; 57	.48

Table 1:
Reliability Test Results for Change Outcome Questionnaire - Initial Reliability Test (Continued)

The extent to which employees anticipate the change initiative to have positive effects on their work	13; 34; 51; 64	.58
The extent to which any significant increase or decrease in employee co-operation occurred as a result of the implementation of the change initiative	49; 59; 62; 65	.65
The extent of employee support for and commitment towards the implementation of the change initiative	3; 17; 23; 35	.63
The extent to which employees changed behaviour as a result of the change initiative	6; 18; 28; 38	.43
The extent of employee resistance resulting from implementing the change initiative	21; 22; 47; 60	.51
The extent of the alignment of individual/team skills and roles with the requirements of the change initiative	7; 8; 19; 39	.62
The extent of employee participation in the implementation of the change initiative	9; 14; 15; 40	.67

Table 1:
Reliability Test Results for Change Outcome Questionnaire - Initial Reliability Test (Continued)

The extent of employees' trust in management's commitment and integrity regarding implementation of the change initiative	24; 29; 45; 56	.54
The extent of recognition and acknowledgement for positive contributions from employees towards the successful implementation of the change initiative	27; 36; 42; 54	-.47

Table 2:
MSO for Items on Change Outcome Questionnaire

<i>Item</i>	<i>Anti-image Correlation</i>
1	.85
2	.88
3	.77
4	.87
5	.90
6	.69
7	.69
8	.72
9	.65
10	.86
11	.81
12	.77
13	.89

<i>Item</i>	<i>Anti-image Correlation</i>
14	.86
15	.86
16	.65
17	.77
18	.90
19	.68
20	.32
21	.74
22	.51
23	.76
24	.31
25	.85
26	.69

<i>Item</i>	<i>Anti-image Correlation</i>
27	.82
28	.71
29	.86
30	.86
31	.80
32	.70
33	.84
34	-.87
35	.70
36	.74
37	.77
38	.78
39	.79

Table 2:

MSO for Items on Change Outcome Questionnaire (Continued)

<i>Item</i>	<i>Anti-image Correlation</i>	<i>Item</i>	<i>Anti-image Correlation</i>
40	.78	53	.75
41	.62	54	.83
42	.56	55	.84
43	.84	56	.83
44	.90	57	.57
45	.46	58	.78
46	.67	59	.79
47	.74	60	.75
48	.65	61	.80
49	.77	62	.78
50	.63	63	.70
51	.82	64	.64
52	.66	65	.58

Table 3:

Total Variance Explained After First Round PAF - Change Outcome Questionnaire

<i>Factor</i>	<i>Total</i>	<i>% of variance</i>	<i>Cumulative %</i>
1	14.90	24.65	24.65
2	5.78	9.64	34.48
3	3.22	5.37	39.85
4	2.44	4.07	43.92
5	2.13	3.54	47.46
6	1.92	3.19	50.66
7	1.78	2.97	53.63
8	1.68	2.79	56.42
9	1.59	2.64	59.06

Table 3:
Total Variance Explained After First Round PAF - Change Outcome Questionnaire (Continued)

10	1.41	2.35	61.42
11	1.26	2.10	63.51
12	1.16	1.94	65.45
13	1.12	1.87	67.31
14	1.07	1.78	69.10
15	1.05	1.75	70.85

Table 4:
ANOVA on Success Outcomes for Factor A - *Change Buy-In and Support*

SOURCE	ss	ms	F	df	Significance
Between Groups	.09	.04	.30	2	.75

Table 5:
ANOVA on Success Outcomes for Factor B - *Resistance to Change*

SOURCE	ss	ms	F	df	Significance
Between Groups	.47	.24	1.82	2	.17

Table 6:
Descriptive Statistics for Organisation A - Mills

Mills	n	Mean	Std. Deviation
Factor A (<i>Change Buy-In and Support</i>)			
Head Office	12	2.31	.41
Mill A	15	2.31	.31
Mill B	9	2.43	.60
Mill C	12	2.40	.51
Mill D	9	2.50	.21
Total	57	2.37	.41

Table 6:
Descriptive Statistics for Organisation A – Mills (Continued)

Factor B (<i>Resistance to Change</i>)				
Head Office	11	2.70		.15
Mill A	16	2.60		.34
Mill B	11	2.75		.29
Mill C	14	2.60		.42
Mill D	9	2.70		.35
Total	61	2.66		.32

Table 7:
ANOVA on Mill Differences for Organisation A - Mills

SOURCE	<i>ss</i>	<i>ms</i>	<i>F</i>	<i>df</i>	<i>Significance</i>
Factor A (<i>Change Buy-In and Support</i>)					
Between groups	.27	.07	.37	4	.83
Factor B (<i>Resistance to Change</i>)					
Between groups	.20	.05	.47	4	.76

Table 8:

Kruskal-Wallis Test on Organisation A - Mills

<i>Mill</i>	<i>N</i>	<i>Mean Rank</i>
FACTOR A (<i>Change Buy-In and Support</i>)		
Head Office	12	28.58
Mill A	15	25.93
Mill B	9	27.89
Mill C	12	29.42
Mill D	9	35.2
Total	57	
FACTOR B (<i>Resistance to Change</i>)		
Head Office	11	32.27
Mill A	16	26.38
Mill B	11	36.23
Mill C	14	30.93
Mill D	9	31.39
Total	61	

Table 9:

Test Statistics ^{a, b} for Organisation A

^a – Kruskal-Wallis Test

^b – Grouping Variable: Mill

	<i>Factor A (Change Buy-In and Support)</i>	<i>Factor B (Resistance to Change)</i>
Chi-Square	1.83	2.10
df	4	4
Asymp. Significance	.77	.72

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Table 10:

Non Parametric t - Test: Organisation B - Plants

<i>Plant</i>	<i>n</i>	<i>Mean</i>	<i>Std. Deviation</i>
FACTOR A (<i>Change Buy-In and Support</i>)			
Plant A	12	2.32	.48
Plant B	8	2.30	.26
FACTOR B (<i>Resistance to Change</i>)			
Plant A	10	2.80	.18
Plant B	11	2.64	.07

Table 11:

Non Parametric t -Test for Organisation B - Plants

(Levine's Test for Equality of Variances)

	<i>F</i>	<i>Significance</i>
FACTOR A (<i>Change Buy-In and Support</i>)		
Equal variances assumed	1.02	.33

Table 12:

Non Parametric t -Test for Equality of Means - Organisation B

	<i>t</i>	<i>df</i>	<i>Sig. (2-tailed)</i>	<i>Mean Difference</i>	<i>95% Confidence Lower</i>	<i>95% Confidence Upper</i>
FACTOR A (<i>Change Buy-In and Support</i>)						
Equal variances assumed	.25	18	.80	.05	-.34	.44

Table 12:

Non Parametric t - Test for Equality of Means - Organisation B (Continued)

	<i>t</i>	<i>df</i>	<i>Sig. (2-tailed)</i>	<i>Mean Difference</i>	<i>95% Confidence Lower</i>	<i>95% Confidence Upper</i>
FACTOR B (Resistance to Change) Equal variances assumed	.56	19	.57	.11	-.30	.50

Table 13:

Non Parametric t - Test: Organisation C - Plants

<i>Plant</i>	<i>n</i>	<i>Mean</i>	<i>Std. Deviation</i>
FACTOR A (Change Buy-In and Support)			
Plant A	38	2.30	.60
Plant B	27	2.34	.70
FACTOR B (Resistance to Change)			
Plant A	42	2.70	.36
Plant B	36	2.42	.34

Table 14:

Non Parametric t - Test for Organisation C - Plants
(Levine's Test for Equality of Variances)

	<i>F</i>	<i>Significance</i>
FACTOR A (<i>Change Buy-In and Support</i>) Equal variances assumed	.37	.54
FACTOR B (<i>Resistance to Change</i>) Equal variances assumed	.24	.63

Table 15:

Non Parametric t - Test for Equality of Means - Organisation C

	<i>t</i>	<i>df</i>	<i>Sig. (2-tailed)</i>	<i>Mean Difference</i>	<i>95% Confidence Lower</i>	<i>95% Confidence Upper</i>
FACTOR A (<i>Change Buy-In and Support</i>) Equal variances assumed	-.46	63	.64	-.04	-.22	.14
FACTOR B (<i>Resistance to Change</i>) Equal variances assumed	3.49	76	.001	.28	.12	.44

ADDENDUM 5

LEADERSHIP ROLE COMPETENCE CLUSTERS AND RELEVANT QUESTIONNAIRE ITEMS

Initiator Cluster

1. Illustrating an awareness of problems causing a need for change
2. Identifying possible solutions for the problem(s)
3. Provide strategic vision for the organisation
4. Communicates and shares the vision
5. Obtain support for the vision
6. Gathering data before implementation of the change initiative
7. Selecting the change initiative from among alternatives
8. Identifying and setting of change goals to realise the vision
9. Providing information on the expected change benefits

Shaper Cluster

1. Inducing and reinforcing change by providing incentives and rewards
2. Inducing and reinforcing change by providing authoritative measures and discipline
3. Providing clarity on behavioural expectations
4. Utilising personal attraction to induce change
5. Develop employee competence to meet change requirements
6. Empower employees to deliver change outputs
7. Utilising and building teams to achieve change results
8. Utilising project management principles to achieve change results
9. Align employees' utilisation with change activities according to their strengths

Monitor Cluster

1. Allowing consultation on change progress
2. Handle emotional reactions; providing compassion and care
3. Address and eliminate resistance and conflict

4. Provide frequent performance feedback during the change efforts
5. Network with various individuals and institutions on methods to streamline and expedite the change efforts
6. Encourage and energise employees during failures and periods of stagnation

Assessor Cluster

1. Measuring change outcomes
2. Evaluating trends, outcomes, and the impact of change
3. Linking the change outcomes to the initial vision
4. Providing focus areas for future change initiatives

Questionnaire items are linked to the role-competence clusters in the following way:

Initiator Cluster

9 Competencies

Competence	Items in Questionnaire
1. Illustrating an awareness of problems causing a need for change	24; 55; 59; 106
2. Identifying possible solutions for the problem(s)	7; 36; 62; 88
3. Provide strategic vision for the organisation	1; 33; 64; 90
4. Communicates and shares the vision	9; 38; 66; 95
5. Obtain support for the vision	14; 41; 76; 81
6. Gathering data before implementation of the change initiative	17; 44; 74; 98
7. Selecting the change initiative from among alternatives	20; 47; 83; 102
8. Identifying and setting of change goals to realise the vision	26; 56; 70; 100
9 Providing information on the expected change benefits	13; 30; 46; 53

Shaper Cluster

9 Competencies

Competence	Items in Questionnaire
1. Inducing and reinforcing change by providing incentives and rewards	2; 19; 56; 73
2. Inducing and reinforcing change by providing authoritative measures and discipline	5; 39; 58; 75
3. Providing clarity on behavioural expectations	11; 29; 60; 77
4. Utilising personal attraction to induce change	25; 57; 79; 110
5. Develop employee competence to meet change requirements	15; 63; 82; 116
6. Empower employees to deliver change outputs	43; 67; 86; 112
7. Utilising and building teams to achieve change results	69; 89; 114; 118
8. Utilising project management principles to achieve change results	51; 71; 80; 92
9. Align employees' utilisation with change activities according to their strengths	34; 65; 84; 91



Monitor Cluster

6 Competencies

Competence	Items in Questionnaire
1. Allowing consultation on change progress	3; 22; 94; 108
2. Handle emotional reactions; providing compassion and care	27; 37; 96; 109
3. Address and eliminate resistance and conflict	18; 42; 101; 113
4. Provide frequent performance feedback during the change efforts	45; 49; 103; 115
5. Network with various individuals and institutions on methods to streamline and expedite the change efforts	6; 54; 107; 119
6. Encourage and energise employees during failures and periods of stagnation	10; 32; 99; 111

Assessor Cluster

6 Competencies

Competence	Items in Questionnaire
1. Measuring change outcomes	4; 16; 21; 28
2. Evaluating trends, outcomes, and the impact of change	31; 35; 61; 105
3. Linking the change outcomes to the initial vision	68; 78; 93; 117
4. Providing focus areas for future change initiatives	12; 40; 52; 85

“Placebo Competencies”

3 Competencies

Competence	Items in Questionnaire
Placebo's 104	8; 23; 48; 72; 87; 97;



ADDENDUM 6

INITIAL CHANGE MEASUREMENT AREAS AND RELEVANT QUESTIONNAIRE ITEMS

Change Measurement Areas	Items in Questionnaire
Employees' knowledge and understanding of the company's vision linked to the change initiative	2; 30; 41; 53
Employees' knowledge and comprehension of the change initiative and process	31; 37; 43; 55
The extent to which employees are informed and updated with progress regarding the change initiative	1; 10; 46; 61
Employees' success expectancy regarding the change initiative	11; 32; 48; 58
The extent to which employees experience a positive expectation of the company's future	4; 26; 50; 63
The extent to which employees personally gained from implementing the change initiative	5; 16; 52; 57
The extent to which employees experience the change initiative to have positive effects on their work	13; 34; 51; 64
Did any significant increase or decrease in employee co-operation occur resulting from the implementation of the change initiative	49; 59; 62; 65
The level of employee support for and commitment towards the implementation of the change initiative	3; 17; 23; 35
The extent to which employees changed behaviour as a result of the change initiative	6; 18; 28; 38
The level of employee resistance resulting from implementing the change initiative	21; 22; 47; 60
Alignment of individual/team skills and roles with the requirements of the change initiative	7; 8; 19; 39

Employee participation in the implementation of the change initiative	9; 14; 15; 40
Employees' trust in management's commitment and integrity regarding implementation of the change initiative	24; 29; 45; 56
Recognition and acknowledgement for positive contributions from employees towards the successful implementation of the change initiative	27; 36; 42; 54
Placebo items	12; 20; 33; 44; 66



ADDENDUM 7

TITLES OF ARTICLES DISTRIBUTED TO LEADERSHIP SPECIALISTS

Applebaum, SH & Wohl, L 2000: Transformation or Change: Some Prescriptions for Health Care Organizations. *Managing Service Quality*, 10, (5), 279-298.

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