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A CASE STUDY ON THE DEVELOPMENT OF AN ORGANISATIONAL DEVELOPMENT MODEL FOR A SOUTH AFRICAN FINANCIAL INSTITUTION

By

THEO LÖTTER NELL

Dissertation
Submitted in partial fulfilment
of the requirements for the degree

DOCTOR IN PHILOSOPHY
in
LEADERSHIP IN PERFORMANCE AND CHANGE
in the
FACULTY OF MANAGEMENT
at the
UNIVERSITY OF JOHANNESBURG

SUPERVISOR: PROF. WJ SCHURINK
FEBRUARY 2005
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FEBRUARY 2005
STATEMENT

I hereby certify that the dissertation submitted by me in partial fulfilment of the degree DPhil (Leadership in Performance and Change) at the University of Johannesburg is my independent work and has not been submitted by me for a degree at another faculty or university.

THEO LÖTTER NELL
28 February 2005
So many people contributed to the successful completion of this study.

I would like to thank:

- Prof. Willem Schurink, my supervisor, for his support, understanding and guidance throughout this study. Thank you for always making time available, even when it was late at night and I just needed someone who would understand my frustrations. Without your help and patience I do not think I would have been able to complete this study.

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Theo Nell
Muckleneuk, Pretoria
28 February 2005
The aim of this study was to develop a clearly defined organisational change management model to facilitate effective change leadership within Group Payment Systems, one of the departments of a South African bank. A modernist qualitative methodology, with casing as research design and grounded theory as research strategy, was employed to develop a substantive model.

Eight employees were selected as research participants by means of purposive sampling. Their experience of change was explored with a view to developing the model. Various data collection methods were used, the principal ones being semi-structured interviews and participant observation. These yielded rich, descriptive data, which were systematically analysed by utilising grounded theory methodology. A computer-based qualitative data analysis (QDA) tool, namely ATLAS.ti, supported the development of the model.

After conclusion of the data analysis, the literature on the most current change theories and models of organisational change was reviewed. The results of this review informed the member-checking phase, which was aimed at substantiating the model. Member checking was done by means of a focus group discussion and resulted in the drafting of the Basics of Corporate Change Model.

Although certain shortcomings emerged, the main aim of the study was achieved. The guidelines provided in the literature were followed to ensure a quality and trustworthy study. Thus the study should not only contribute to a practical change management model for the Bank, but also deepen theoretical knowledge of organisational social change. Furthermore, the in-depth description of the application of grounded theory and my personal experience thereof should contribute to the application of this theory in other organisational settings. Recommendations for further studies conclude the dissertation.
Die doel van hierdie studie was om 'n duidelik gedefinieerde organisasie-veranderingsmodel te ontwikkel om die leierskorps in staat te stel om verandering binne Groep Betaalstelsels, een van die departemente van 'n Suid-Afrikaanse Bank, te faciliteer. Om 'n substantiewe model te ontwikkel, is 'n modernistiese kwalitatiewe metodologie gevolg, met gevallestudie as navorsingsbenadering en gegronde teorie as navorsingstrategie.

Agt navorsingsdeelnemers is geselekteer deur middel van 'n doelbewuste steekproef. Hul ervaring van verandering is ondersoek met die oog op die ontwikkeling van die model. Verskeie data-insamelingstegnieke is gebruik, veral semi-gestrukureerde onderhoude en deelnemerwaarneming. Die ryk, beskrywende data wat verkry is, is sistematies ontleed met behulp van gegronde teorie metodologie. Die model is ontwikkeld met behulp van rekenaarondersteunde sagteware vir ontleiding, naamlik ATLAS ti.

Na afloop van die data-ontleding is die literatuur oor die relevantste teoriee en metodologiee van organisasieverandering bestudeer. Die resultaat hiervan is gebruik om die uitsprake van die navorsingsdeelnemers te toets om sodanige die ontwikkelde model aan te vul. Hiervoor is 'n fokusgroepbespreking gehou. Dit het uitgeloop op die opstel van die Basiese Model vir Korporatiewe Verandering.

Alhoewel sekere tekortkominge na vore getree het, is die hoofdoel van die studie bereik. Die gehalte en geloofwaardigheid van die studie is verseker deur die voorskrifte in die literatuur noukeurig te volg. Dus behoort die studie nie net 'n praktiese veranderingsbestuursmodel vir die Bank voor te hou nie, maar ook die teoretiese kennis van organisatoriese sosiale verandering verdiep. Voorts behoort die diepebeskrywing van die toepassing van gegronde teorie en die belewenis daarvan by te dra tot die toepassing van hierdie teorie in ander
organisatoriese omgewings. Aanbevelings vir verdere studies sluit die verhandeling af.
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CHAPTER 1
CONTEXTUALISING THE STUDY

In this chapter I contextualise the study. First I describe the problem to be researched, second I motivate the necessity of launching this particular study at this particular point in time in South Africa, third I indicate its anticipated contributions, and finally I outline the aim and objectives of the intended research.

1.1 PROBLEM STATEMENT

There is a continuing need for long-range strategies to improve organisational leadership, change and performance within organisations. Consequently, many theoretical models of organisational development and change have been devised. According to Harvey and Brown (1996: p. 432), "[O]rganisational development is an ongoing process because an organisation cannot remain static and be effective. In today's changing environment, organisations must develop adaptive mechanisms and anticipative management systems. To cope with these changing conditions, an organisational development practitioner needs to be able to monitor and assess progress toward change goals and to recognize when these efforts may be phased out." (Emphasis added.)

Although most scholars seem to provide the answer to "what" needs to be done to effect change, few, if any, offer any systematic suggestions as to "how" to implement change strategies. In my view, what is unmistakably lacking is a flexible and clearly defined strategy that will render change-leadership effective on the basis of an understanding of the multifaceted ever-changing environment and the change-leader's everyday experience thereof. This is particularly true in the current banking industry in South Africa. But what precisely does this entail? I hope to unpack this state of affairs in the next section.
1.2 BACKGROUND TO THE PROBLEM

Not unlike the world globally, present-day post-apartheid South Africa is undergoing rapid transformation (Msomi, 2001). One sector in which the Rainbow Nation has transformed dramatically is the financial service industry. This is particularly clear in the marketplace of the banking sector, which is becoming increasingly more competitive and challenging. The following represents arguably some of the major changes in this sector:

(i) South African banks are striving to improve existing strategies and are consequently developing new strategies to approach their customers;

(ii) Recent mergers and acquisitions in the country have resulted in the consolidation of a number of its banks and a concentration of share amongst a relatively small handful of them;

(iii) Traditional lines separating banks from other local financial institutions are changing and as a result they intrude upon each other's domain (this happens as part of their respective strategies or through acquisition of other financial institutions); and

(iv) Advances in technology, especially e-commerce, have resulted in South African banks becoming truly global, one-stop financial service organisations.¹

Another important development, which is to some extent related to these changes, is the consolidation of banks globally. The success of the eventual outcome of the mergers could be questioned. Mergers, like Barclay's proposed takeover of Absa Bank, will undoubtedly influence the market sentiment drastically (particularly impacting on share price). Such developments, in turn, affect the morale of bank staff, translating into loss of output, causing difficulties

¹ Kriek (2002) mentions that, in the past few decades of the previous century, the speed of change picked up at a tremendous pace, with the environment posing ever more challenging demands for organisations and leaders alike. In this regard he cites the impact of globalisation, digitisation and e-commerce.
regarding the integration of different corporate cultures, and complicating the improvement of cost-to-income ratios. Moreover, increased competition arising from all sectors, financial and non-financial, can be expected. An example of this is Pick 'n Pay, one of South Africa's biggest retail stores, which has started to offer banking accounts to its clients. Amid these changes are the employees who need to deal with these transformations on a daily basis (Craffert, 2001).

The examples above illustrate some of the factors that play an important role in the effective management of the environment, which in turn calls for the development of leadership at all levels and in all structures, and the development of policies and strategies to facilitate this. Of particular importance, in my view, is the ability of organisations to incorporate performance and change effectively into the work environment and to respond creatively to the change pressures of this environment.

It is also important to take note of the views of various change scholars that it is essential to obtain buy-in from organisations' employees in order to successfully implement change (Craffert, 2001; Johnson & Scholes, 1997; Kotter, 1996; Aldag & Stearns, 1991; Clutterbuck & Cramer, 1990). This is confirmed by Gollan and Davis (2004), namely that high quality communication and consultation between management and employees at the workplace leads to greater productivity and effectiveness. With regard to South African organisations, Albertyn (2001) reports that, of 41 countries assessed, South Africa ranked last in terms of human resources in 2002. She claims that the authoritative management structures characterising the local workforce result in lack of initiative and disempowerment of the members of organisations. Supporting Albertyn, Fontyn (2001: p. 40) states: "Due to a shortage of talent at the top of organisations, there are not enough leadership competencies in SA. Many business leaders run their

---

2 Craffert (2001: p. iii) argues that it is also important to consider the way employees experience change and notes: "when a transformation process is started many diverse concepts or meanings of transformation are active. It is thus postulated that employees' experiences and opinions of such a process are influenced by the extent to which their individual concepts of transformation are congruent with the organization's concept of transformation."
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."

It goes without saying that as changes take place in the workplace, the field of organisational development is becoming increasingly complex. Clearly, leaders need to be more long-term focused in the decisions they take within their organisations. This change in focus directly influences the organisational consultant’s role in the workplace. Management of change interventions is no longer reserved for the organisational development consultant; and methodologies that can be applied practically within their changing work world need to be developed in order to assist management in making informed decisions. This will ultimately help them to cope with the resultant changes. As a business consultant to various organisations, I have personally experienced that few leaders are equipped to deal effectively with and facilitate change.

Flowing from the exposition above, it seems logical to expect that social science research generally, and particularly leadership studies, should be able to assist leaders in effecting change in their organisations while obtaining the buy-in not only of their immediate subordinates but also of the organisation’s employees generally. This expectation is even more reasonable given the huge amount of money, time and energy spent on leadership research, although this important issue cannot be dealt with here. Suffice it to say that although social science has led to many valuable insights into leadership phenomena, its ability to provide advice to leaders, consultants and other practitioners has been quite disappointing at best. While many leadership scholars, particularly those supporting “mainstream, quantitative oriented work” would probably feel that the preceding remark is too harsh, many would acknowledge that mainstream leadership methodologies and theoretical concepts have been rather unsuccessful in illuminating the social process of change within the leadership

\(^\text{3} \) Conversations I have had with peers who consult in related industries, confirm this.
domain. The following two excerpts from prominent scholars in the field are particularly informative as to the state of the art of leadership research and its contribution to practice:

- "First, leadership research has concentrated primarily upon the use of the quantitative methodologies associated with psychology. A psychological approach to leadership has dominated research. However, this general orientation has not yet led to an enduring and integrative theory of leadership. Second, change is an enduring and integrative theme in the leadership literature. Change incidents are inherently longitudinal, and an appropriate methodology is needed to reflect this. Third, leadership can be conceptualized as a social influence process. An appropriate methodology must reflect this need. Fourth, leadership research must incorporate the variety of variables that impact upon the social influence process. Hence, a methodology must be used which will utilize a breadth and depth of data such that the variety and range of variables are incorporated. This will necessitate theory generation rather than theory testing. Grounded theory ... is a particular relevant theory with which to achieve this" (Parry, 1998: p. 85). (Emphasis added.)

- "Like many other fields of management studies, research on leadership has been strongly dominated by neo-positivist/normative assumptions, together with an emphasis on rules and procedures for the securing of objectivity in practice and results ... Does traditional research on leadership meet its own criteria of knowledge accumulation? ... Mainstream methodology argues that well-conducted studies should lead to a steady growth in knowledge, greater convergence in verification/falsification of theories, and growing support for more and more accurate theories with expanded explanatory and predictive capacities. If the philosophical assumptions and rules of method
were sound, then one or a set of empirically well-suited theories, providing an excellent understanding of leadership phenomena and providing valuable advice for practitioners, would have been produced. For outsiders, such as ourselves, the degree of ‘success’ in terms of providing an understanding of leadership is not very high ...

More importantly, while not all agree, most insiders also see the outcome of these enormous efforts as meager ...

Several authors have called for a profound reorientation from the elaboration and measurement of abstract constructs to the analysis of leadership as a practical accomplishment and social process defined through interaction based on a qualitative approach ..." (Alvesson & Deetz, 2000: pp. 50-51). (Emphasis added.)

In an attempt to address changes in the industry, the bank where I am employed has recently begun initiating the alignment of all its payment streams. The six main payment streams, which include cash, cheques, electronic banking, micro-lending, credit cards and debit cards, currently contribute forty percent of the non-interest income of the Organisation. As a result of the perceived shift in strategic focuses between these payment streams, radical changes are expected throughout the Organisation. Since I have been interested in change interventions in the banking sector for some time, and because of the importance of this initiative for practice and social science, I decided to launch an in-depth study into this process.

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Since revealing the name of the bank could result in the institution’s competitors obtaining information that can impact negatively on the bank and its employees, in accordance with ethical requirements the bank will be referred to as “the Organisation” or “the Bank”. 
1.3 AIM AND OBJECTIVES OF THE STUDY

From the preceding exposition, the dilemma of the Organisation should be clear, namely lack of skills to effectively deal with organisational change and a practical model which will facilitate organisational change. Although great effort has gone into providing the leadership with understanding of the strategic direction of the Bank, few leaders are able to apply this to the operational level on their own.

After having assessed the organisational development models currently available to assist in managing change within organisations, I found that most change models only describe what needs to be addressed and overlook practical solutions on how to effectively manage change. I agree with Hodgson (2002) that what is needed is a model for leaders that does not only take into account the complexity of change management and its unpredictable nature, but also provides a more understandable and practical approach to guide the change implementation process in financial organisations. Given the tremendous changes facing the banking sector, the development of such a model to illuminate and facilitate the social influence process of leadership and equip leaders to facilitate change effectively is not only important but also timely.

This study aims to address the lack of a structured process by which leadership as social influence process can be implemented and assessed against the background of the complexity of change within the banking environment. The study has three objectives.

First, the study strives to develop a theoretical model of the dynamics of the social influence processes of leadership of a particular South African bank. This is achieved by exploring and describing the social construction of a group of

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5 I agree with Fishman (1997) who states that creating change is a skill and that the real challenge of change is not just to come up with a brilliant idea – it's to implement it. (Emphasis added.)
employees in one section of the Bank, thus illuminating their experiences and views of such processes. I hope that the model will assist the executive management of the Bank to bring about change in the organisation.

Second, the research endeavours to construct a qualitative approach that may be applied to the local study of financial institutions in order to unravel people’s experiences and perspectives of the social influence process of leadership.

Finally, I hope to further my professional career by achieving my Ph.D.

1.4 THE RESEARCH QUESTION

The following general research question guides the study: Can, and if so, how can a clearly defined and practical leadership change model within a particular section of a local bank be obtained?

1.5. OUTLINE OF THE DISSERTATION

In this (the first) chapter, I have contextualised the study by providing the background to the research problem, indicating its topicality and outlining its anticipated contributions. The remainder of the dissertation is structured as follows: In Chapter Two I outline the research design, cite the most salient decisions I took during the practical execution of the study and elaborate on my own experiences. In Chapter Three I present the research findings. Examples of the different concepts and categories that were derived through the application of the grounded theory methodology are provided. In Chapter Four I discuss key concepts and issues surrounding the implementation of change that are relevant to the study. This is done by reviewing the relevant literature to identify relevant theoretical concepts of change as well as key issues that need to be addressed when implementing a change programme within an organisation. This enabled me to assess the relevance and practical application of current
theories in the field of change management within the banking environment. In **Chapter Five** I compare the research findings with current change theory and discuss the applicability and relevance of current change theories in the banking environment. The concluding **Chapter Six** summarises the dissertation, reflects on the methodology used in the study (including my own experiences of it), outlines the implications of the model (e.g. its applicability to other areas and industries), and makes recommendations for further research.
CHAPTER 2
DEVELOPING AND IMPLEMENTING THE METHODOLOGY

2.1 INTRODUCTION

This chapter consists of two parts. The first part deals with the philosophical, theoretical and methodological assumptions and considerations applied during the research proposal phase, while the second part offers a chronological exposition of the most important decisions taken during the execution of the research.

2.2 DESIGN CONSIDERATIONS

This section is structured as follows: (i) explanation of the scientific beliefs that underpin the study's methodology; (ii) description of the particular qualitative research tradition I opted for as well as the broad/general theoretical perspective I used as framework in the study; (iii) my position on theory in the study; (iv) outline of casing\(^6\) as qualitative research design; (v) delineation of the research setting; (vi) the approach I followed in selecting appropriate data sources; (vii) clarification of the data collection methods; (viii) explication of the data-capturing techniques; (ix) outline of how I analysed the data; (x) description of how the data will be presented; and (xi) explanation of how I attempted to ensure a high-quality and ethically responsible study.

\(^6\)"Casing", as used by Ragin (1992), will be used freely in the dissertation to refer to a case study/ies.
2.2.1 SCIENTIFIC BELIEFS

Before a particular study's methodology can be appreciated, it is important to understand the scientific beliefs of the researcher. Holloway (1997), for example, states that it is advisable that qualitative researchers qualify their scientific beliefs and research paradigms, since these influence the research design they choose. Denzin and Lincoln (2000, p. 157) agree and define research design as "a basic set of beliefs that guide action". These beliefs primarily comprise the researcher's ontology, epistemology and methodology.

From an ontological position I believe that people react to changes in an environment in a specific way. Easterby-Smith, Thorpe and Lowe (2002, p. 31) describe ontology as "assumptions that we make about the nature of reality". Social change initiated in an organisation is evidence of how leaders, subordinates, clients and other people deal with reality. Social change can thus be seen as situation-bound. Furthermore, like any other phenomenon, people's constructions of an organisation's realities are continuously changing. As in any other social reality, the behaviour and perspectives of leaders, subordinates and other involved people are influenced by their experience of their organisation. As Isabella (1990, p. 9) puts it, "organisational members actively create, or enact, the reality they inhabit". Thus, the context in which organisational change takes place needs to be understood. According to Schurink (2003a, p. 5), "it should be clear that (a) nothing can be understood independently of the context in which it is observed, (b) meaning depends first and foremost on context, (c) meaning needs to be related to the different positions and viewpoints of the respective observers, and (d) it is no easy task to discovering and describing since mistakes could easily be made when ascribing specific meanings to particular observers". I share this position, which represents the core assumptions of the general theoretical perspective of this dissertation, namely symbolic interactionism.  

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7 Symbolic interactionism and its relevance and influence in the current study will be explained later in this chapter.
A researcher's **epistemology**, according to, amongst others, Snape and Spencer (2003), Holloway (1997) and Mason (1996), is literally her or his **theory of knowledge**, which informs the decision on how to study the social phenomenon that needs to be investigated. Easterby-Smith et al. (2002, p. 31) describe epistemology as a "general set of assumptions about the best ways of inquiring into the nature of the world". The word "epistemology" derives from two Greek words: "episteme", meaning "knowledge" or "science"; and "logos", meaning "knowledge", "information", "theory" or "account" (Johnson & Duberley, 2000). In organisational research, this relates directly to where the researcher perceives his or her position in relation to the organisation to be: inside or outside the organisation. As I was a full-time employee of the Bank at the time the study was undertaken, it is fair to state that the study was conducted by means of "inquiry from the inside", as described by Evered and Louis (1991, p. 7). From a qualitative perspective this can be seen as an advantage since I, the researcher, was able to relate the research findings directly to my own experiences of the Bank. Evered and Louis (1991, p. 6) found in their study that their inquiry from the inside "was critically related to [their] own immediate organizational experiences and therefore was likely to yield knowledge that was inherently more valid, useful, and relevant to the purposes of organizational participants". On these personal experiences, I agree with Johnson and Duberley's (2000, p. 2) opinion that "even though we might not be immediately conscious of it, everyone has a view about what demarcates justified from unjustified belief. Indeed, our claims about being rational or irrational or about what is true as opposed to what is false are tacitly grounded in such implicit differentiations."

Since my views and beliefs about science and research played a major role in the study, including my choice of the particular qualitative tradition, I now describe the specific qualitative research I used in the study.
2.2.2 MODERNIST QUALITATIVE RESEARCH

In designing any empirical study, various quite different quantitative and/or qualitative research traditions or orientations are at the researcher's disposal (Collis & Hussey, 2003). While various considerations and practicalities play a part in the researcher's decision, his or her ontology and epistemology are particularly important. In addition, existing theoretical and methodological traditions within a particular discipline and study area will also have a bearing on the decision to use a particular methodological approach. This has clearly been the case in organisational/management studies where quantitative approaches have dominated for some time and where qualitative research has only risen in stature in recent years (Gill & Johnson, 2002; Denzin & Lincoln, 2000; Johnson & Duberley, 2000; Conger, 1998, 1992; Hunt & Ropo, 1995). This tendency is also apparent in one of the sub-fields of organisational studies, namely leadership studies (Alvesson & Deetz, 2000; Parry, 1998).

After I perused the literature I decided, in following Locke and Golden-Biddle's (2002) description of Lee, Mitchell, Wise and Firemen's (1996) and Buessing, Fuchs and Perrar's (1999) qualitative studies, to embark on a qualitative methodology for this study. Locke and Golden-Biddle (2002, p. 104) state: "In both these studies, the authors' primary consideration was developing theory in the context of the real world; issues of the generalization of their models were secondary." Conger (1998) discusses the importance of qualitative research within organisations, especially with regard to leadership issues. He argues that "quantitative methods are designed largely to capture a reality that is composed..."
of concrete and objective structures. They are far less effective in a subjective, ever-shifting reality where human beings shape its creation" (p. 107).

Another important consideration when deciding on a particular methodology is naturally the nature and objectives of the envisaged research (Creswell, 1998). When reflecting on the social world orientation of this study, i.e. to capture, describe and understand the meanings, understandings and sense-making of employees of a substantive unit in a South African bank, I chose modernist qualitative methods. More particularly I opted for a case study and for grounded theory (Denzin & Lincoln, 2000; Hayes, 1997).

Two American scholars, Glaser and Strauss, developed grounded theory as a more defined and systematic procedure for collecting and analysing qualitative data. This procedure was developed "to reflect the source of the developed theory which is ultimately grounded in the behaviour, words and actions of those under study" (Goulding, 2002, p. 40). It should also be noted that two distinct ideographic grounded theory processes have developed over time: Glaser stresses the interpretive, contextual and emergent nature of theory development, whereas Strauss emphasises a more complex and systematic coding technique (Goulding, 1999). According to Glaser (1992), Strauss's overemphasis on the mechanics of the process reduces the degree of theoretical sensitivity and insightful meaning. In my analysis of the data I did not make use of the "conditional matrix" and thus opted to follow Glaser's (1992) view that the use of the conditional matrix should not be compulsory, as it could result in forcing data into predefined categories for which there may be no evidence. According to Strauss and Corbin (1994) the use of the conditional matrix is a compulsory step in the grounded theory process.

Grounded theory is based on the sociological tradition of the Chicago School of Symbolic Interactionism (Blumer, 1979). According to Harrington (2003, p. 605), "this theory postulates that the central task of social life is aligned with
others: forging connections with and between the self and other objects through symbolic means. Speziale and Carpenter (2003, pp. 110-111) explain symbolic interactionism and its link with grounded theory as follows: "In symbolic interactionism theory, it is believed that people behave and interact based on how they interpret or give meaning to specific symbols in their lives, such as style of dress or verbal and nonverbal expressions."

Schurink (2004c, p. 5) also discusses the relationship between grounded theory and symbolic interactionism and writes: "The study and exploration of the social processes present within human interactions in grounded theory are linked directly to symbolic interactionism." "Within social research," according to Snape and Spencer (2003, p. 11), "the key ontological questions concern: whether or not social reality exists independently of human conceptions and interpretations; whether there is a common, shared, social reality or just multiple context-specific realities; and whether or not social behaviour is governed by 'laws' that can be seen as immutable or generalisable'.

Denzin and Lincoln (2003) state that the modernist phase builds on the canonical works of the traditional period. A pioneer text of that era remains the work of Becker, Geer, Hughes and Strauss (1961), namely *Boys in white: Student culture in medical school*. According to Denzin and Lincoln (2003, p. 22) this study "attempted to make qualitative research as rigorous as its quantitative...

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9 Speziale and Carpenter (2003, pp. 110-111) provide the following example to explain the relation between grounded theory and symbolic interactionism: "For example, the nurse's cap, which is seen less frequently, was a style of dress that gave meaning to some clients, which is apparent from statements such as, 'How do I know you are my nurse if you do not wear your cap?' or 'I liked it better when nurses wore caps - they looked more professional'. Language can also have different meanings for different people. A common statement made by many nurses is, 'I'm working on the floor today'. Individuals familiar with the health care environment are likely to interpret that statement to mean that the nurse has been assigned to a specific unit in the hospital where he or she is providing nursing care to clients. Someone who is unfamiliar with the hospital setting or from a different culture may interpret this statement differently. To them, 'I'm working on the floor today' may mean cleaning or repairing the floor. Stern, Allen, Noxley (1982) emphasized 'it is also through the meaning and value which these symbols have for us that we try to interpret our world and the actors who interact with us. In this way, we try to read minds, and act accordingly. Learning the meaning and value of international symbols is everybody's lifetime study, and no easy task' (p. 203)."
counterpart". Emerson (1988, cited in Babbie & Mouton, 2001) identifies three factors contributing to this shift: "The rise of Symbolic Interaction with its emphasis on the creation of meaning and interaction 'forced' field researchers to be more reflective and sensitive to their interactions with subjects in the field; the original acceptance of a kind of naive empiricism, which viewed observation in the field as a fairly automated and mechanical process, turned out to be mistaken"; and "the increasing popularity of survey methods at Columbia University in the 1940s also compelled supporters of the qualitative paradigm to become more critical of their own methods" (p. 57).

In concluding this section and before I discuss my use of theory in the study, I would like to point out that my entire study from inception, through to research proposal writing and execution, took place in close consultation with my supervisor, Prof. Willem Schurink. We met regularly to discuss the flow of the study, logical next steps as well as decisions that had to be taken. We used the electronic medium excessively to communicate findings and thoughts during the study. Reflecting on my ideas and concerns with Prof. Schurink, as well as other scholars, contributed significantly to my successful execution of the study. Their continuous support, input and understanding were invaluable. I will elaborate more on these relationships and their contribution to this study later in this chapter. For now I focus on the use of theory within qualitative research and also discuss its use in this study.

2.2.3 UTILISING THEORY

The role theory plays in qualitative research has been disputed by qualitative researchers for some time (Johnson & Duberley, 2000; Creswell, 1998; Strauss & Corbin, 1990). Since this issue challenged me, I now sketch my position in this regard. In order to do so, I first provide a definition of the concept "theory"; second I discuss some prominent (modernist qualitative) scholars' views on the place and function of theory in qualitative research; third I discuss the role that
theory has played in qualitative case studies; and last I discuss how I used theory in this study.

A definition of "theory"

Gill and Johnson (2002), Weick (1999) as well as Flinders and Mills (1993), amongst others, agree that defining "theory" can be quite difficult. According to Flinders and Mills (1993, p. xiii) "theory can signify a set of formal propositions or axioms that explain how some part of the world operates ... At the same time, people also use 'theory' to refer to any general set of ideas that guide action. This usage encompasses beliefs ranging from one's personal philosophy and intuitive hunches to implicit assumptions, guesses, and suspicions about the everyday world in which we live." For the purpose of this study I used the definition of theory as provided by Gill and Johnson (2002, p. 31). They state that a theory, "in its narrowest sense, is a network of hypotheses advanced so as to conceptualize and explain a particular social or natural phenomenon". But before explicating how I used theory in this study, I offer an overview of other scholars' views of the place and function of "theory" in qualitative research.

Scholars' views of the place and function of "theory" in qualitative research

In my readings of theory in qualitative research it became apparent that the use of "theory" depends largely on the type of qualitative design that the researcher will be utilising, as the different strategies attend to theory and literature review at different stages and in different ways in the research. Marshall and Rossmann (1995, cited in De Vos, Strydom, Fouché & Delport, 2002) provide guidelines on the functions of a proper literature review, the latter being compiled early in all qualitative studies. The guidelines include "demonstrating the underlying assumptions behind the general research questions; demonstrating that the researcher is thoroughly knowledgeable about related research and the intellectual traditions that surround and support the study; show that the
researcher has identified some gaps in previous research and that the proposed study will fill a demonstrated need; and refines and redefines the research questions by embedding those questions in larger empirical traditions" (pp. 266-267). More specifically and related to this study, I also assessed the role of "theory" in qualitative case studies. In the following section I give an overview of other scholars' views on this.

The role "theory" has played in qualitative case studies

Creswell (1998) points out that, within a case study, theory could either be absent in the description of the case or could be used at the onset of the study to guide it. The third alternative is to employ theory towards the end of the study to "make comparisons, build theory, or propose generalisations" (Leedy & Ormrod, 2001, p. 149). This led me to the question: Should theory be used inductively, deductively or in combination? In answering this question, I again turned to various scholars for guidance.

Strauss and Corbin (1990) and Leedy and Ormrod (2001) contend that one should collect and analyse data before using any theory in a grounded theory study. In contrast, De Vos et al. (2002, p. 269) state that in a report on a grounded theory study, the researcher could include theory soon after a discussion of the research question, because it "neither provides key concepts nor suggests hypotheses as it does in deductive research. Instead, the final section of the report would discuss the relationship of the (new) theory to other existing knowledge."

On the other hand, Orton (1997) moved from inductive to iterative grounded theory and described, in detail, how he neither used inductive nor deductive research techniques in formulating theory. He writes: "This new position suggests that Glaser and Strauss's (1967) ... influential description of grounded theory is becoming outdated as a representation of what organisational process
researchers do. Organisational process research seems to draw researchers from inductive grounded theory to iterative grounded theory, in which researchers cycle back and forth between process theory and process data to produce process knowledge.” Schwandt (1993, p. 9) agrees and states: “In fact, grounded theory is a complex process of both induction and deduction, guided by prior theoretical commitments and conceptual schemes ... the task is far from purely inductive and inferential.” Finally, Creswell (1994, p. 21) argues that “literature should be used in a manner consistent with the methodological assumptions.”

In the light of these different views on the usage of theory in qualitative research, I now turn to how I used theory in this study.

The application of "theory" in this study

Since theory is related to the researcher’s capability, I will first define theoretical sensitivity and then sketch the usage of theory in this study.

Strauss and Corbin (1990, p. 41) describe theoretical sensitivity as "a personal quality of the researcher. It indicates an awareness of the subtleties of meaning of data." They note that a researcher’s reading of the literature, professional experience and personal experience all influence his or her theoretical sensitivity. Glaser (1992, p. 27) agrees with this and describes theoretical sensitivity as the "researcher’s knowledge, understanding and skill, which foster his generation of categories and increase his ability to relate them ... according to emergent theoretical codes".

As for myself, I used theory to guide me in collecting and analysing the data. As Bogdan and Biklen (1998, cited in Schurink, 2003c, p. 10) state: "Good researchers are aware of the theoretical base and use it to help collect and analyze data. Theory helps data cohere and enables research to go beyond an
aimless, unsystematic piling up of accounts." Two positions regarding the theoretical base of the study are particularly important here, namely (i) the usage of a "formal" or general theory, like symbolic interactionism, which one applies to guide the execution of one's methodology, and (ii) so-called substantive theory, i.e. theory developed particularly to shed light on the phenomenon under investigation (Strauss & Corbin, 1990, p. 174).10

Since this study merely focuses on the experiences of leadership and change within one department of a particular South African financial institution, general theory was inappropriate. Instead I was inclined towards substantive theory. However, having considered Mouton and Marais's (1990) explanation of the various conceptual frameworks (i.e. typology, model and theory), it is fair to say that the study has led to the construction of a substantive model rather than a substantive theory. This matter will be clarified in a discussion of the three conceptual frameworks in Chapter 5.

Regarding the issue of theoretical sensitivity and the use of theory11 in this study, please note that, because I am a full-time employee of the Organisation and have been working in the field of organisational development since 1994, I engaged in literature studies on organisational development and change as part of my normal daily activities. This led to the realisation that theories and practices that assist leadership to effectively facilitate change within the banking environment were lacking, and motivated me, as already indicated, to undertake the study.

Substantive theories are theories and/or constructs developed to illuminate particular social phenomena within an immediate field of study (Glaser & Strauss, 1967). A substantive theory does not attempt to explain a phenomenon outside of this immediate field of study (Goulding, 2002).

Writing on the use of theory within qualitative research, Groenewald (2003, p. 9) points out: "Qualitative researchers generally caution that existing theory and findings from other research studies may interfere with the researcher's grasp of the perspectives of the research subjects. In order not to contaminate the meanings of the perspectives of research subjects, qualitative researchers recommend that the researcher refrains from exposing her/himself to the literature and existing research findings until after s/he has collected the data and has at least initially interpreted it."
More specifically, I made use of theoretical sampling to a greater or lesser extent throughout the study. In the first phase I mainly focused on theory to identify the research question, and then to guide the research design and identify the most appropriate tools for data collection. In the second phase (data collection) I mostly focused on leadership and change theory. This was done to obtain material for the focus group discussion and a comprehensive list of current and important change models and scholars' views on change. This assisted me in the examination of the change model I derived from the data analysis and interpretation. In the final phase (data interpretation and analysis) I again did a literature search to ensure that all change theories that could have influenced the derived model had been taken into consideration.

In an attempt to logically present and reflect on the variety of current theories, models and writings on organisational change, I designed a template. This template had a dual purpose: first, to provide an understanding and a theoretical overview of organisational change and, second, to test, as part of a focus group discussion, the derived substantive model against the concrete everyday experiences and views of the research participants.  

Now that my approach to theory in the study has been described, I can turn to the specific qualitative design employed, i.e. casing.

2.2.4 CASING

A number of qualitative research designs are available to the qualitative researcher, including narrative research, phenomenology, grounded theory, ethnographic studies, case studies, a story, culture, feminism, critical theory, qualitative evaluation (of which the most prominent include Guba and Lincoln's fourth-generation evaluation and Patton's utilisation-focused evaluation), and life

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12 This process, as well as the template, is discussed more comprehensively later in the chapter.
histories (Bogdan & Biklen, 2003; Schurink, 2003f; Creswell & Maietta, 2002; Babbie & Mouton, 2001). Strauss and Corbin (1990) add conversational analysis to this list.

Taking into consideration the explorative-descriptive aim of the study, I decided to make use of casing (Denzin & Lincoln, 2003; Gray, 2003). This design has been particularly popular in organisational research (Burton, 2000, Fox-Wolffgramm, 1997; Torraco, 1997; Gummesson, 1991) and is ideally suited to capture the social world of people and reaching an understanding of a real-life, contemporary situation (Yin, 1994; Robson, 1993). Burton (2000, p. 225) specifically discusses the use of casing within a British bank and finds it "an extremely flexible method of conducting social science research and this flexibility contributes to the attractiveness of the method".

Weiman and Kruger (1999, p. 190) note that case studies direct the researcher "towards understanding the uniqueness and the idiosyncrasy of a particular case in all its complexity". Gummesson (1991) as well as Torraco (1997) discuss the use of casing within organisational research and agree that case study research is a useful strategy for studying social processes in companies.

But what precisely does casing imply? According to Ragin and Becker (1992, p. 1) the meaning of the word "case" is not well-defined, "despite their widespread usage and their centrality to social science discourse".13 Yin (2003, p. 5) identifies six types of casing. "First, a case study research can be based on single- or multiple-case studies; second, whether single or multiple, the case study can be exploratory, descriptive, or explanatory (causal)." Eisenhardt (2002, pp. 12-13) notes "The cases may be chosen to replicate previous cases or extend theory, or they may be chosen to fill theoretical categories and provide examples of polar types ... [G]iven the limited number of cases which can usually

13 Eisenhardt (2002, p. 8) defines a case study as "a research strategy which focused on understanding the dynamics within single settings".
be studied, it makes sense to choose cases such as extreme situations and polar
types in which the process of interest is transparently observable."

On the use of casing as research design, Harrison (2002) cautions that the track
record of casings is less consistently favourable. He states: "much of this
criticism is related to variability in the nature of scholars' claims that their
research is 'case study based'. There are perhaps too many examples where
case studies have been used to parade 'best practice' which has been derived
from relatively superficial evidence and analysis" (p. 158). However, he also
states: "In spite of such health warnings, to those of us who are proponents of
case study methods, there is no more satisfying or enjoyable way to carry out
management research, and there are several clear advantages. First, there is a
continual 'reality check' with what is being researched. What you see and hear
poses a constant challenge to your emerging theoretical ideas. Second, there is
an almost endless choice of research methods – both qualitative and quantitative
– that can be deployed under the case study banner. Third, because it is
essential to draw a boundary around your study, the circumstances under which
the conclusions apply are normally apparent."

Taking the advantages and warnings regarding casing into consideration, I opted
for a single, exploratory case study. Recognising the steady increase in the
quest for practical application value of research results, I aimed at extending
emerging theory on leadership, change and organisational performance. More
specifically, the current case was selected on the basis of my knowledge of the
changes that were going to occur within a specific department of the Bank, as
well as my access to this department.

Demarcating one's case study is of paramount importance. Let us now take a
look at the precise demarcation of my case study.
2.2.5 RESEARCH SETTING

From a qualitative perspective, it is crucial that the context and history of the case, setting and organisation be explicated.

The research setting that I chose for this study can be termed an "elite setting" (Hertz & Imber, 1993). It focuses on the experience of change of a specific group of managers within a big organisation.

Defining the case as the unit of analysis, Miles and Huberman (1994, p. 25) describe the boundary of a case study as "somewhat indeterminate". According to Harrison (2002, p. 167), in practice, "the boundary will often define itself reasonably well if you have clarified your research objectives". I found this to be true in my study.

In order for the reader to gain a multi-faceted and in-depth understanding of the research case, I now describe the organisation and provide background information on the department that was the focus of the study, namely Group Payment Systems (GPS).

In moving towards a client-centric approach, the last decade has seen tremendous changes in the Bank, including those surrounding leadership. Central to providing service to its clients are the systems driving the transactions clients do on a daily basis. The function/department responsible for maintaining these systems, or payment streams, is GPS.

GPS consists of 38 staff members, who are responsible for maintaining the six main payment streams within the Organisation. Payment streams can be defined as an organised, integrated set of processes enabling the transfer of financial value between people and organisations. GPS thus facilitates the payment of transactions between banks, between banks and clients, and
between clients. The six payment streams are cash, cheques, electronic banking, micro-lending, credit cards and debit cards. Each of these has a dedicated payment stream manager.

As a result of the current changes in the banking regulatory environment and the effect of the different payment streams on each other, changes were foreseen in the operations and current focuses in GPS. In view of these changes, the experiences of GPS staff were used to develop the organisational change model with regard to leadership, which model was to guide the changes.

How to select information-rich data sources is important in any qualitative research, but particularly in a case study. How I went about locating and selecting appropriate data is the subject of the next section.

2.2.6 SELECTING DATA SOURCES

I made use of mainly two data sources in this study, namely employees and company documents, the employees being the chief source. Given the nature of the study I decided to use judgement (or purposive) sampling (Patton, 2002; Babbie & Mouton, 2001) to select employees whose insider experiences of change within GPS could be explored.

According to Bailey (1987, p. 94) purposive sampling allows the researcher to use his or her research skills and prior knowledge to choose research participants (RPs). Thus I chose managers and other members of staff who were directly involved in and affected by the anticipated change in GPS. I intended to interview ten employees, five of whom were directly involved in the management of the payment streams, one a general manager and the other four
representing the four support functions. As the study progressed, two RPs withdrew from the study, leaving eight RPs to provide me with data.

Another source of data was company documents, in particular the strategic documents of GPS. At the first meeting, which was held to explain the purpose of the study and get approval to carry it out, I asked the general manager for access to GPS strategy documents. I was also fortunate to be included in two strategic sessions that were facilitated by a member of the Bank's strategy department. I was allowed to make notes during these sessions. I also received a hard copy of the strategy documents that were constructed at these sessions. Thus I did not only receive the actual data of the session first-hand, but could also observe the RPs and their interaction with each other at both sessions. I made notes of my observations during these sessions to guide the individual interviews. The strategy documents were used, partially, to facilitate the discussion about the anticipated changes in GPS. The use of multiple data sources converging on the same phenomenon in grounded theory is supported by Pandit (1996).

I now turn to a more detailed discussion of the specific methods I used to obtain data.

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14 The reason offered by both RPs for their withdrawal was work pressure and lack of time to participate in in-depth interviews. At the outset I made it clear to all the RPs by means of a contract that participation was not compulsory and that they were free to withdraw at any time in the course of the study. I also emphasised that neither their participation nor their non-participation would affect their individual performance ratings in any way. These undertakings were also part of my agreement with the general manager of GPS.
2.2.7 DATA COLLECTION METHODS

Various methods of data collection are available to the qualitative researcher who conducts research in an organisational setting. These include individual interviewing, in-depth individual interviews, focus group interviews, observation and participant observation, life history and oral history, documentary research, diaries, photographs, films and video, and personal documents (Murphy & Dingwall, 2003; Loizos, 2000; Bryman & Burgess, 1999; Lee, 1999; Babbie & Mouton, 2001; Ball & Smith, 1992).

Schurink (2003b, p. 14) cautions that data collection methods should not be too focused at the outset of the research to ensure that the researcher has the opportunity to get acquainted with the subjective experiences and views of the members of the social reality/setting being researched. However, some direction, focus and structure at later stages of the fieldwork are necessary and typical of qualitative studies, as there is a need to focus on emerging views, concepts and/or hypotheses.

In view of Schurink's (2003b) cautionary note as well as the emphasis placed on the use of multiple methods in modernist qualitative research to ensure quality qualitative research, I opted for various data collection methods. More particularly, in view of the organisational structure and the developmental process adopted in the study, the most appropriate data collection methods in my view were individual semi-structured and exploratory interviews, focus group, participant observation and informal discussions (Murphy & Dingwall, 2003; Gray, 2003; Fontana & Frey, 2000; Welman & Kruger, 1999; Babbie, 1989; Bailey, 1987). In addition, as will become evident subsequently, these methods

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15 According to Locke and Golden-Biddle (2002, p. 105) "extended open-ended data-gathering techniques such as participant observation and semi-structured ethnographic interviewing are favoured in order to access and understand organisation members' perspectives on their lives, their work, the events they observed or were party to, and the actions that flow from them. The aim of such research, then, is situated understandings of behavior and events whose limits are an empirical question, rather than universal laws or structuring principles."
also contributed to the process of grounded theory. Glaser and Strauss (1967, p. 65) state: "In theoretical sampling, no one kind of data on a category nor technique for data collection is necessarily appropriate. Different kinds of data give the analyst different views or vantage points from which to understand a category and to develop its properties; these different views we have called 'slices of data'. While the sociologist [researcher] may use one technique of data collection primarily, theoretical sampling for saturation of a category allows a multi-faceted investigation, in which there are no limits to the techniques of data collection, the way they are used, or the types of data acquired." (Emphasis in the original.)

I now comment on the use of each of the data collection methods employed in this study. First, I explain how interviews were used to obtain rich, descriptive data from the RPs. Second, I explain the use of a structured schedule with open-ended questions. Third, I clarify participant observation as a data collection method. Last, I outline the focus group discussion.

The first data collection method I employed was interviews, and specifically semi-structured interviews. In my planning for these interviews, I found Rubin and Rubin's (1995) and Cassell and Symon's (1994) guidelines on the construction of semi-structured interviews quite useful in guiding the construction of the first and second in-depth, semi-structured interview schedules. According to Cassell and Symon (1994, p. 14), qualitative research interviews need to have "a low degree of structure imposed by the interviewer, a preponderance of open questions, a focus on specific situations and action sequence in the world of the interviewee rather than abstractions and general opinions".

The second data collection method I used was the questionnaire with open ended questions. The purpose of this questionnaire was twofold. First, it was used to obtain written data from the RPs on their experience of the process that was required to identify the new strategic direction for the department. Second,
as it formed the basis of the second round of interviews with the selected employees, it gave them time to reflect on the session before the second interview. I found this useful, since quite some time elapsed between the first and the second interview.

The third data collection method that was employed was participant observation within GPS. Murphy and Dingwall (2003) reviewed participant observation as a data collection technique and refer to work done by Emerson (2001). They state: "Emerson prefers the term 'field research' for what others would more commonly call 'participant observation', the study of social life by direct immersion in its everyday processes" (p. 55). Kellehear (1993, p. 115) agrees and argues: "In participant observation, the researcher interacts with the people that he or she is studying and makes observations in the course of these exchanges. The researcher records the days' events, social activities and the people met. This is done as part of other activities such as interviewing and using informants." As stated, I obtained permission to attend the management team's various strategic sessions. I also facilitated the project meetings that followed the project scoping session that was held as part of my own project within GPS. Owing to my involvement in GPS as a project leader I thus became an active participant observer. Henstrand (in Flinders & Mills, 1993, p. 96) states that, although some scholars argue that researchers should not become over-involved in the social system they study, she agrees with scholars like Jorgensen (1989), Peshkin (1988), Wolcott (1988) and Adler and Adler (1987) that "full involvement in the social system being studied can be an advantage". Having had the opportunity to observe people's reactions to proposed changes, I learned much about the behaviour of this group of people towards change, which served as an important input to the semi-structured interviews I had with the RPs.

The last data collection method I used was a focus group discussion (Fontana & Frey, 2000; Gaskell, 2000). Focus group discussions are a means to explore a specific set of issues, and the group is small (Patton, 2002; Kitzinger & Barbour,
"[They] are ideal for exploring people's experiences, opinions, wishes, and concerns. The method is particularly useful for allowing participants to generate their own questions, frames and concepts and to pursue their own priorities on their own terms, in their own vocabulary" (Kitzinger & Barbour, 1999, pp. 4-5). The purpose of the focus group discussion was to examine the outcomes of the strategy session, as well as to provide the RPs with an opportunity to give input to the substantive model that was derived from the data received from them in the first and second interviews, my observations and the various company documents I studied.

Before turning to how I stored and systemised the data, I need to mention the disturbing variables I anticipated and experienced in the execution of the study. Disturbing variables are those effects that could impact negatively on the data collection and ultimately compromise the trustworthiness of the information (Mouton & Marais, 1990). There were two prominent disturbing variables, namely the effect of the audio- and video-recordings, and the way the RPs reacted to these, called reactivity (Murphy & Dingwall, 2003). Reactivity specifically refers to participants' behaviour that can impact on the research data. To minimise the effect of the two variables, I employed strategies like member checking, ensuring anonymity, establishing rapport and triangulation. All these strategies as well as when and how they were employed will be discussed in more detail in the description of the execution of the study later in this chapter.

There are various ways by means of which qualitative researchers can store, systemise and analyse their data. I now discuss the methods I used in the study.

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16 Member checking is a methodology by which qualitative research findings are provided to participants so as to verify the validity thereof. "Most frequently, this practice involves feeding back research findings to study participants and inviting them to comment on the adequacy of the researcher's interpretations and conclusions" (Murphy & Dingwall, 2003, p. 186).
Before data can be ordered and analysed they must be captured and stored. Different strategies are available to ensure the capturing of rich, detailed soft data, including the use of audio- and video-recordings, field notes and documents (Schurink, 2003c; Bogdan & Biklen, 2003). I made use of field notes, memos, data files, photos, a video, a natural history, and an auto-ethnography.

**Field notes**

Field notes were used in the study to ensure that crucial data were retained (Lofland & Lofland, 1999). A written account of what was heard, seen and experienced during each of the interviews and the focus group discussion was compiled as soon as possible afterwards. Owing to my facilitating role in the focus group discussion, I found the video-recording of the proceedings most helpful in the construction of the field notes. Taylor and Bogdan (1998, p. 66) write: "Since field notes provide the raw data of participant observation, you should strive to write the most complete and comprehensive field notes possible. This requires a tremendous amount of self-discipline, if not compulsiveness. It is not uncommon for observers to spend four to six hours recording field notes for every hour of recording. Those who want to use qualitative methods because they seem easier than the statistics of quantitative methods are in for a rude awakening. Anyone who has carried out a participant observation study knows that recording field notes can be drudgery."

I agree with Schurink (2003c) that "note-writing forces researchers to think clearly about particular observations, what exactly happened, where things occurred, when events took place, who the actor or actors were, and how they experienced events. Compiling field notes are very helpful in relating occurrences, e.g. words, expressions, interactions, social processes to people, events, other occurrences, and values and norms of particular groups of people. Discovering such linkages
are important in selecting further theoretical incidents, persons, behaviours, etc.
and in establishing and verifying evolving ideas, themes and typologies" (p. 16).

I derived my field notes from observational notes (notes on what happened
where little or no interpretation was provided); theoretical notes (self-conscious,
systematic attempts to derive meaning from some or all human activities); and
methodological notes (reminders, instructions and critical comments to the
recorder or researcher) (Schurink, 2004a).

Memos

I made extensive use of memos (memoing) throughout the research process.
These memos reflected my experiences of the interviews, how the RPs reacted
during the interviews and what I observed during meetings and the focus group
discussion. I found the use of memos extremely helpful in the initial phase of
identifying codes and categories. It also helped in the formulation of the model.
To enable me to relate specific thoughts I had with regard to specific RPs, I
decided to capture the memos after making the field notes. An example of a
memo is provided in Annexure 1. Corbin and Strauss (1990, p.10) maintain that
"writing theoretical memos is an integral part of doing grounded theory. Since
the analyst cannot readily keep track of all the categories, properties,
hypotheses, and generative questions that evolve from the analytical process,
there must be a system for doing so. The use of memos constitutes such a
system. Memos are not simply 'ideas'. They are involved in the formulation and
revision of theory during the research process."

Data files

I made use of three forms of data files (Schurink, 2003d). These included
master files (containing the unedited field notes, tape transcriptions and human
documents); mundane or background files (which were kept to keep track of
people, places, organisations and documents); and analytic files (containing coded and theory-related data that were used to categorise the original data into smaller groups).

**Photos**

Bogdan and Biklen (2003) discuss the use of photos and maintain that they are still an extremely controversial matter in social science research. Some researchers claim that they are useless as a way of objective knowing, while others find photos to be a significant research breakthrough. According to them, "while a few argue these extreme positions, most social scientists neither accept nor reject photographs outright; they ask: 'What value does it have for me and how can I make use of it in my own work'. They ask these questions in relation to specific research problems and with particular photographs in mind" (p. 142).

For the purposes of this study, I decided to use photos only to illustrate certain aspects of the focus group discussion. It was by no means intended for data analysis purposes.

**Natural history**

I kept a chronological account of key activities and decisions I took during the execution of the study. Particularly important here are: (i) my reflection on my personal experiences, generally referred to as an auto-ethnography (Ellis & Bochner, 2000) of the study, and (ii) the e-mails I intermittently sent to and received from my supervisor, Prof. Schurink, which contributed greatly to compiling this chronological account. These documents were filed with the other data.
After receiving and capturing the rich, descriptive data from the various data sources, I moved to analysing the material. I now turn to this process.

2.2.9 ANALYSING THE MATERIAL

To make logical sense of the data, it is imperative to (i) effectively describe the rich soft data that were gathered during the research process (Schurink, 2003a), and (ii) classify the data in order to make meaningful comparisons between the different materials (Schurink, 2003a; Dey, 1999).

According to Schurink (2003c, p. 42), "[t]he aim of analysis and interpretation in qualitative research as in social science research generally is to attempt to gain insight and understanding into the phenomena under study". Although this is true, I agree with Eisenhardt (2002) that there is a lack of clarity about the process of actually building theory from cases, especially regarding the central inductive process and the role of the literature. Schurink (1996, cited in Schurink, 2003c) suggests that there are three general strategies of data analysis in qualitative research: typology construction, analytical induction and the grounded theory approach. The application of each of these strategies to the study was carefully considered as a possible research strategy.

For the purposes of this study I chose grounded theory as research strategy (Harrison, 2002) since I found it the most appropriate data analysis methodology for analysing the rich data I collected. Grounded theory is a

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17 At this stage of the process, grounded theory and analytical induction are similar in that both focus on the simultaneous collection, coding and analysis of data, resulting in the constant comparative method employed by both. In other respects, the two differ from each other. "The use of the constant comparative method to generate categories, properties and hypotheses about one's problem is different from the process of generalizing by abstracting. The focus on formal as well as substantive theory is more general; on the other hand grounded theory is not seen as producing total explanations, nor is it pre-eminently concerned with proof. Developing grounded theory is seen as a stage prior to verification, whereas Zaniecki (with his analytic induction) sought an alternative to it" (Blumer, 1979, p. 667).

18 Harrison (2002, p. 164) states that "case study research is actually an envelope for several possible research methods - more accurately referred to as a research strategy".
general methodology for building theory that is grounded in data that were systematically gathered and analysed (Lee, 1999; Torraco, 1997). Schurink (2003b, p. 2) describes grounded theory as "a particular inductive approach consisting of a systematic developed set of procedures and techniques to develop a theory about the life world of some selected group of people, which forms part of a particular part of social reality, or social phenomenon".

The procedures and techniques used in grounded include three types of information coding, namely: open coding, axial coding and selective coding (Dey, 1999; Glaser, 1992; Strauss & Corbin, 1990). According to Glaser (1992) coding enables the analyst to see the research, the data and the concepts in new ways that can be used for generating theory. Annexure 2 contains a description and overview of the different steps and decisions that form part of the grounded theory process. After reading various works on this process (Goulding, 2002; Locke, 2001; Dey, 1999; Strauss & Corbin, 1997, 1990; Glaser, 1992; Strauss, 1987; Glaser & Strauss, 1967), I found the process described by Goulding (2002) the most useful for conducting this study, for it provided a logical sequence of steps in the grounded theory process.

It is important to note that, before selecting grounded theory as research strategy, I considered the critique against it. In particular, I took note of the writings of Locke (2001), who argues, like many other scholars, that the steps for conducting grounded theory research are vaguely described and therefore open to researchers' interpretation. Another critique pertaining to this study was the use of theory within the grounded theory research process. Rose (1982) and Blumer (1979) (both cited in Schurink, 2004c) point out that qualitative analysis cannot be done without examining and utilising theories found in the relevant literature. In subsequent sections it becomes apparent how I addressed these potential shortcomings in my application of grounded theory. I agree with Collis and Hussey (2003) who argue that "like many other methodologies, grounded theory has its critics, but is widely employed and can be very helpful in analysing qualitative data where there in no preconceived theoretical framework" (p. 272).

The purpose of the current study was however not to only "test" current theory on change leadership, but also to generate a "new" model.

I analysed the data by means of a data-analysis software package. Although qualitative data analysis has often been conducted manually (e.g. the so-called cut-and-paste procedure), it has been engaging increasingly in the use of qualitative analysis software packages in the last couple of years (Kelle & Laurie, 1995). I studied the available computer-based qualitative data analysis (QDA) software currently available, including askSAM, ATLAS.ti, C-I-SAID, NUD*IST, Ethno, HyperQual2, HyperRESEARCH, kwalitan, QUALPRO, TAP, The Ethnograph, win MAX, Word Match, and WordCruncher to name a few (Scolari, 2002; Coffey & Atkinson, 1996; King, 1994). After considering the use and functionality of each of these software packages, as well as taking into account other scholars' experience of using them (Barry, 1998; Marsh, 2001; Lewis, 1998; Kelle, 1997; Kerlin, 1997; Pandit, 1996; Miles & Huberman, 1994), the ATLAS.ti software package seemed the most appropriate for this study. Barry (1998, p. 11) compared the two most prominent software packages in qualitative
analysis, namely NUD*IST and ATLAS.ti, and found that "part of Atlas.ti's immediacy is its simplicity of operation. It is easy to grasp what it does and how it works, certainly at the basic level of operation. It is easier to understand what it is trying to do than it is with some of the Nudist operations on first acquaintance."

In my comparison of the two packages, I found this to be true. For the purposes of this study, ATLAS.ti provided multiple functions to administer, extract, analyse, compare and aggregate meaningful data from the stack of collected data.

ATLAS.ti runs at two levels of data analysis: first, the "textual level", which focuses on the raw data and includes activities such as text segmentation, coding and memo-writing; and, second, the "conceptual level", which focuses on building the framework and includes activities such as interrelating codes, concepts and categories. These categories are used to form theoretical networks.

According to Pandit (1996), the use of computer-based qualitative data analysis (QDA) software simplifies and speeds up the mechanical aspect of data analysis without sacrificing flexibility, thereby freeing the researcher to concentrate to a greater extent on the more creative aspects of theory building. "The thinking, judging, deciding, interpreting, etc., are still done by the researcher. The computer does not make conceptual decisions, such as which words or themes are important to focus on, or which analytical step to take next. These analytical tasks are still left entirely to the researcher" (Tesch, 1991, pp. 25-26). Lee and Fielding (1991, p. 6) also support the use of computers in qualitative data analyses, as computers are likely to "bring real benefits to qualitative researchers, making their work easier, more productive and potentially more thorough".

After the data were analysed, I had to decide how to display them in the report. This is the subject of the next section.
2.2.10 DATA DISPLAY

The analysed qualitative data need to be presented in such a way that others will be able to thoroughly understand, reconstruct and scrutinise them (Miles & Huberman, 1994). The key is to innovatively portray the data by means of an in-depth description of stories, tables and, what is most popular, verbatim quotations of the words and expressions used by the research participants. All these methods contribute to "setting the stage" for representing the rich material that is obtained during qualitative research. Glaser (1978) cautions that the credibility of the study should be won through theory integration, relevance and workability, and not by illustration used as if it were proof. Goulding (2002) agrees with this and states that "the reader should be advised that all concepts are grounded, and as such they are not proven, they are only suggested" (p. 91). Furthermore, according to Glaser (1978) it is more important for the researcher to state the method used to ground the concepts than to provide the reader with descriptions of how each concept was established.

In this dissertation I utilise tables to represent theory and figures to illustrate how I used grounded theory methodology to analyse the data. I also used photographs to visualise the focus group session, and a diagram to depict the model of organisational change based on the research findings.

I now turn to a description of how I attempted to ensure quality and ethically responsible research.

2.2.11 ENSURING QUALITY AND ETHICAL QUALITATIVE RESEARCH

The social science community regards the evaluation of social science research as a principal responsibility of the researcher. The criteria or guidelines for this task differ for quantitative and qualitative research. Below I explain how I
attempted to ensure the quality of the study, and how I kept within the parameters of the set ethical standards.

**Ensuring a quality case study**

Schurink (2003e, p. 2) emphasises the importance of ensuring trustworthiness and quality in qualitative research, and notes that "assessing qualitative research is no easy matter and has particularly in recent years lead to a number of heated debates and controversies amongst scholars". He continues by referring to the concept "scientific credibility", a concept that was developed to evaluate qualitative research more systematically in the early 1980s. This is related to what Becker (1970) calls the "natural history" of a research project. As already alluded to, such a history contains an account of the various steps taken in the process of conducting a study. The purpose of this is to help the reader to understand how the study was done. It typically includes information on (i) how entry was initially gained to the persons, groups or organisations that were studied; (ii) how empirical observations were made and how the cases or data examined in the study were actually produced; and (iii) how the data were analysed in order to produce the results reported in the study. Marshall and Rossman (1995) call this "criteria for soundness".

Different qualitative approaches view criteria for quality differently (Whittemore et al., 2001, cited in Schurink, 2003e, p. 4). Sparkes (2001, cited in Schurink 2003e, p. 4), too, claims that there is no shared understanding of what "good" qualitative research is. Schurink (2003e) states that researchers experience difficulty agreeing on how to judge the validity of qualitative research or how to present convincing evidence of its trustworthiness. Taking these arguments into consideration, he then provides, six important considerations relating to the trustworthiness of a qualitative research project. These include obtaining access to subjects, the data collection methods, the recording of data, data analysis, the representation of qualitative data, and personal and emotional implications of the
research. To show the trustworthiness of this study, I provide detailed descriptions of all these factors further on.

Another important differentiator in a good qualitative study is the ethical principles that were applied. The ethical research principles I applied in the study are described below.

**Complying with ethical research principles**

As social scientists, we have to manage and comply with the ethical rules of our research. However, there is no consensus among qualitative researchers as to how this issue can be addressed in qualitative research. A set of rules guiding social scientists' behaviour in research is clearly lacking. Taylor and Bogdan (1998, p. 37) state: "There are no hard-and-fast rules in the realm of ethics. Research in the field must involve the researcher in a great deal of soul-searching. Whatever ethical decisions researchers make, they should not be cavalier or casual about deceiving people. Further, even if some measure of deception is justifiable, the researcher has a responsibility to take appropriate steps to minimise potential risks or harm people under study."

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19 In respect of the validity and reliability of qualitative research, Schurink (2003e, p. 10) maintains that "it should be borne in mind that a contextual research strategy is typically employed in qualitative studies. Put differently, qualitative studies strive towards an understanding of people's meanings. Therefore the emphasis falls on the internal validity (the production of accurate findings that agree with the subjects' life world). The two paramount issues associated with internal validity are reliability and validity. Schurink (1989, p. 99) states that reliability concerns especially consistency in collecting, analysing and interpreting the data, and that validity refers to the fact that a particular method yielded accurate and true-to-life results about the phenomenon that was studied." (Emphasis in the original.)

20 By means of annexures I also provide extensive examples of the various "tools" I used in this study. This was done to enhance the reader's comprehension of how the study was executed. Such "tools" were mostly lacking in the qualitative studies I consulted.
Ethical issues need to be addressed at two levels: on a researcher-participant level and in the execution of and reporting on the study. In the following section I discuss in more detail both these important ethical issues and how I applied them.

One way to manage the researcher-participant relationship is the use of informed consent. Liehr and Marcus (2002, p. 156) state: "The central concern that arises when research is conducted in naturalistic settings focuses on the need to gain consent. The need to acquire informed consent is a basic researcher responsibility, but it is not always easy in naturalistic settings. For instance, when research methods include observing groups of people interacting over time, the complexity of gaining consent is apparent. These complexities generate controversy and debate among qualitative researchers. The balance between respect for human participants and effort to collect meaningful data must be continuously negotiated." I decided to follow Mouton's (2001) list of participants' rights as the basis for the design of the informed consent form used in the study. Mouton states that research participants have the following:

- "The right to privacy (including the right to refuse to participate in research)
- The right to anonymity and confidentiality
- The right to full disclosure about the research (informed consent)
- The right not to be harmed in any manner (physically, psychologically or emotionally)" (p. 15).

Although it was quite difficult for me to explicate the research setting and simultaneously ensure that neither the Organisation's best interests nor the rights to privacy of the RPs were violated, I applied the above guidelines throughout the study.\footnote{The application of these guidelines is depicted in the description of the execution of the research.}
The second level of ethical behaviour relates to the execution, reporting and overall contribution of the study. Mouton (2001, p. 239) notes that researchers have an "obligation or responsibilities towards the practice of science (professional ethics), society, the subjects of science and the environment". Towards this goal, I tried to give an in-depth description of how the study was planned, executed and reported. I also took trouble to reflect on the most recent literature and to incorporate other scholars' ideas, not only with regard to the methodology I employed, but also in comparing the theory and models of leadership and change themes with the derived change model. I also anticipated that this study would contribute to the theory of leadership, performance and change, and that the findings could influence the way change is be planned and executed in organisations. In the last instance I agree with Schurink and Schurink (2003) and Newman (1997) that ethically responsible research depends on the integrity of the individual researcher and his or her values.

In the following section I explicate how I applied the various methodological assumptions and considerations in the execution of the study.

### 2.3 EXECUTING THE RESEARCH

This section offers an account of how I executed the study. The story, or in Becker's (1970) terms, "natural history", presents the steps that I took during the execution of the research. As I cannot provide a complete exposition of all the research steps and decisions here, I offer information on the key steps. As is generally proposed by modernist qualitative researchers, I hope to provide adequate information to assist you, the reader, in determining the study's credibility (Silverman, 2000; Schurink, 1989; Athens, 1984). The sketch of the study's results (Chapter 3) should assist the reader in this respect.
Another reason I decided to compile a natural history of the research is to retain the reader's attention and interest (Silverman, 2000). By applying an auto-ethnographic style, i.e. telling a story about my personal experience with the study, I attempt to explicate my assumptions and motivations for taking particular decisions during the study. However, since qualitative fieldwork changes the researcher and there is the increasing awareness that social scientists need to describe their emotions, I also include my feelings about my research journey and particularly how I experienced doing casing and grounded theory research in my own work environment.

2.3.1 LEADERSHIP CHANGE IN A LOCAL BANK AS SUBJECT FOR A DOCTORAL STUDY

In February 2002, I joined a department in the Bank whose main objective was to identify and implement profit optimisation change projects. One of the executives requested me to investigate and propose initiatives to improve the profitability of cash in the Bank as part of my day-to-day operations. This project resulted in a substantial additional income to the bank's bottom line income. In October 2003 the general manager of GPS, the department responsible for the strategic direction of cash, contracted me to do a similar profit optimisation project in the total GPS environment, i.e. for all the payment streams.

After setting the scope of the project during November 2003 with the GPS management team, I recognised the potential to study the experiences of the employees within GPS of the proposed changes that would ultimately result from the identified profit optimisation initiatives to be implemented as part of this project. The main role-players responsible for implementing these changes were the GPS management team.

These events were the beginning of my doctorate journey.
2.3.2 KEY DECISIONS AND STEPS IN EXECUTING THE CASE STUDY

From the available literature it is clear that qualitative research is processual, i.e. it typically occurs in phases. Therefore, following Schurink (1989), I now outline chronologically my reasons for the particular methods and strategies I used, how I employed them and how I experienced them during (i) the commencement or access phase, (ii) the middle or basic data collection phase, and (iii) the final or end phase of the study.

It is important to note at the outset that, although I placed the most important steps and decisions in the sequence in which they typically occur (owing to the highly changeable character of qualitative research they are in reality not organised), many of them in fact did not occur in that order. As Schurink (1989) correctly points out, qualitative research is flexible and various decision-making steps are taken continuously and seldom according to a pre-planned schedule. In addition, various steps are often taken concurrently.

2.3.2.1 Commencing phase

The commencing phase of the research stretched from November 2003 to March 2004. The primary steps taken during this phase were the following:

- Securing a supervisor
- Constructing the research proposal
- Operationalisation
- Choosing a research site
- Selecting data sources

Having realised the potential benefit of conducting this study, I drafted a preliminary research proposal and applied for the Doctorate Programme in Leadership in Performance and Change at the Rand Afrikaans University (now
the Johannesburg University) in November 2003. I was accepted at the beginning of 2004. After attending a lecture on research methodology, presented by Prof. Willem Schurink in January 2004, I made telephonic contact with him. We met in person for the first time on 23 January 2004.

During our first meeting, which lasted almost five hours (after initially setting it up for one hour), we clarified our student-supervisor relationship in detail. This provided me with great comfort, as I obtained a very clear understanding of what was expected of me during the study. We discussed our expectations of each other and then turned to the proposed study. After this discussion I reworked the research proposal several times to ensure that the scope of the research would be clear. We spent many hours over many days discussing the most appropriate research methodology and strategy based on my ontology (my view with regard to the very nature of things in the social world) and epistemology (my assumptions about knowledge and how it can be obtained).

After considering the various qualitative methodologies, I opted for casing, with grounded theory as strategy within a modernist qualitative approach. As I had already identified the research site in my original proposal, we had to assess the appropriateness thereof for this study. Prof. Schurink was satisfied with the research site and the RPs I had identified. I then completed the research proposal for approval by the Doctorate Evaluation Committee of the Department of Human Resource Management at the university.

On 16 March 2004 I presented my research proposal to the committee. They approved the study and seemed very enthusiastic about the contribution it could make to the knowledge on change leadership theory, especially in an elite setting such as the Bank. After many days of reworking and finally getting the study

22 In January 2005 the Rand Afrikaans University and the Witwatersrand Technikon merged to form the University of Johannesburg.
approved, I felt that the "real physical work" (or data collection phase) could finally start.

However, before data collection could commence, I had to construct the semi-structured interview schedule. Here again I spent many hours discussing with Prof. Schurink his vast experience in doing qualitative interviews with RPs in various settings. I tried to incorporate his experience and advice into the interview framework to ensure that the content of the interview schedule would be correctly addressed and that the in-depth interviews with the RPs would be clearly mapped and understood. The construction of the interview schedule started on 17 March 2004 and was completed on 20 April 2004.

After Prof. Schurink approved the interview schedule format and content, I set out to start the second phase, namely the middle or data collection phase.

### 2.3.2.2 Data collection phase

The data were collected from April 2004 to July 2004 and included various activities, the most important of which are: collecting the data; capturing the data; and storing, retrieving and safeguarding the data.

- **Data collection process**

Preparing for the first meeting with the general manager of GPS and the subsequent meetings with the RPs was important. As Thomas (1993, p. 83) puts it, "adequate preparation is an essential ingredient in this kind of [elite setting] research".

From the available literature it became evident that research in "elite settings" is difficult to undertake. In an attempt to access the identified research setting, I decided to first meet with the general manager, explaining the purpose, extent
and potential benefit of the research I intended to undertake. I used my knowledge of the changes within the department to indicate the value of the research for his department, i.e. that it could sensitise the management team to their behaviour during the change process. In respect of gaining access to elite settings, Ostrander (1993, p. 7) writes: "Because I believe that one reason why social scientists are hesitant to study elites is because they expect difficulty at this stage of the project ... The strategies I discuss include using your own circle and activities to put you in touch with subjects; doing preparatory background work with people 'in the know' before attempting to enter the field; making the right contacts, often in the right order; being appreciative of subjects' willingness to participate but not deferential and never obsequious; taking extra time to meet directly with people who have concerns and respond actively to those concerns while at the same time maintaining clear control of the research; being aware that gaining access is not the same as establishing the trust required for getting useful data and that there will likely be an ongoing process of being 'checked out'; putting agreements in writing; providing feedback and, when appropriate, opportunities for subjects to respond to and engage in dialogue about written proposals and interim and final reports or working papers as part of the research." I found these guidelines quite useful throughout my study.

Owing to my previous involvement with some of the members of this department through previous projects, I found it fairly easy to gain access to the general manager and the rest of the management team. At the time of the study I was also working on another project within GPS.

Gaining access in this way shows resemblance with the methodology employed by Koulikoff-Souviron and Harrison (2001, cited in Harrison, 2002, p. 171), who used Koulikoff-Souviron's previous employer as the proving ground for their study's research design. Harrison (2002, p. 171) states: "Personal knowledge

23 I elaborate on the specific steps I employed to access this research setting in a subsequent section.
and contacts are often valuable to start with. Carrying out your first case study in an organization you already know well saves a lot of time in understanding the context, and in developing contacts." Owing to this personal knowledge and contacts I did not experience the usual difficulties in negotiating access to organisations, as described by Andersen, Borum, Kristensen and Karnoe (1995). At the meeting with the general manager I indicated the estimated time I would need from each RP for the interviews, as well as the access I would need to company documents. I also indicated that participation in the study was voluntary, that it was any RPs prerogative to withdraw from the study at any time, and that participation to the study should not influence the RPs performance ratings in any way.

Finally, I indicated that I would provide each RP with my final report and that I would have to publish written articles on the research findings in professional journals. Being very interested in research himself, the general manager was attracted to the proposed study and this helped tremendously to obtain his buy-in to and consent for the research. In concluding the interview with him, I asked him to inform his management team about the research as well as my involvement in it. I then met with each manager individually at a time and place convenient to them to describe my role as researcher as well as my expectations of them as RPs. Qualitative fieldwork typically starts off very open-ended and tends to become more focused as one proceeds and learns more about the setting and its participants. This was very true of this study's data collection phase.

Two interviews were held with each of the RPs. After gaining written consent from each by means of an Informed Consent Agreement Form (Annexure 3), as indicated earlier, the first interview was conducted. The interviews were done over a period of three weeks. The interviews were conducted in either Afrikaans or English, depending on the RP's preference. The outline of the process and content of the first interview are depicted in Annexure 4. To reduce observer
effects as far as possible, I (i) explained the aims and nature of the study, (ii) ensured the RP that participating in the study would not harm him or her in any way – and to confirm this we both undersigned the Informed Consent Agreement Form; (iii) outlined qualitative research, particularly emphasising the need for the interviewee to share with me his or her everyday experiences and thoughts in his or her own way; (iv) explained the procedure I wanted us to follow during the discussion; and (v) explained the necessity of recording the interview and asked permission to do it in order to curb the effect of the audio-recording on the RP. I also took note of Schurink's (2004b, p. 4) advice: "Too many times qualitative researchers take it for granted that participants know what is expected of them when they take part in a qualitative study. This is a serious oversight since it is unreasonable to expect that people should know that we are interested in their worldviews. In fact, having been more exposed to social survey quantitative studies they normally tend to wait for the possible answers provided from which to select."

Rather than having a "formal" interview with the respective RPs, I opted for a more informal discussion. I found that this approach facilitated rapport and trust on the part of the RPs. At the outset I explained that the interview questions were unstructured and only served as guidelines for the different themes on which information was required. To this effect I made use of open-ended questions throughout the interview. I emphasised that the RP could use his or her own words to describe his or her thoughts and feelings, as he or she was not going to be identified in the final report. This seemed to have helped the RPs to feel more comfortable during the interview, as all of them participated spontaneously in the interviews.

\[24\] All RPs agreed that the interview could be recorded.
In the last stage of the interview, each RP was asked to complete a self-reporting questionnaire (Annexure 5) based on the first phase of the change process that was implemented at the time. This questionnaire formed the basis of the second interview (Annexure 6).

As stated previously, although I made notes during the interview, I also used a tape-recorder to capture our discussions. I did not find the use of a tape-recorder intrusive or that it impacted negatively on the validity of the interview data. When possible, I placed the tape-recorder on the table before the RP arrived for the interview. If the interview was conducted in an RP’s office, I would place the tape-recorder on the table while discussing informally something not relating to the study. Gaskell (2000, p. 51) also advises that “the interviewer should be open and relaxed about tape recording, which can be justified as an aide-memoire or a helpful record of the conversation for later use”. I then commented casually on the purpose of recording the interview and asked permission to record the interview. None of the RPs objected to the use of the tape-recorder.

The first interviews varied between 75 and 130 minutes. At the end of the interview I introduced the structured schedule with open-ended questions and requested the RP to complete it before we met for the second interview. In the questionnaire I presented the different activities the RPs were exposed to at the initial project scoping session I facilitated as part of the change process I was contracted to manage within GPS, as stated earlier. I also included the main decisions that were taken by the RPs during the session. After completion of each interview, I compiled field notes and memos by reflecting on the specific interview situation and data received from the interview. The field notes and memos were given to Prof. Schurink for comment on how I could improve on the rest of the interviews.
Each of the interviews was then transcribed completely\textsuperscript{25} by a typist who was not employed by the Organisation and did not know any of the RPs. This was done to ensure confidentiality in respect of the RPs' responses. The transcribed interviews and the completed questionnaires were then analysed, as discussed in the next section.

The second interview was done in a similar way as the first. These interviews lasted from 60 to 90 minutes. Because of time constraints, the second interview was done over five weeks. After completion of each interview, I again reflected on my experience of the interview in field notes and constructed a memo. Again, these were given to Prof. Schurink for review and comment.

Once the data were gathered, it was important to systematically group and analyse them.\textsuperscript{26} It is important to note that I started a preliminary analysis of the data after the first interview. This analysis was recorded as memos and served as input to the second interview as well as the final in-depth analysis of the data.

As mentioned previously, I also made use of a focus group in this study. The focus group discussion was held to examine the outcomes of the strategy session, as well as give the RPs an opportunity to provide input to the substantive model that was derived from the data received from them in the first and second interview. At the focus group discussion I obtained permission from the RPs to video- and audio-record the session.\textsuperscript{27} I decided not to make use of a "formal" written informed consent form as in the case of the interviews, but rather to capture consent on the video-recording. I did this to ensure that the focus group discussion would be as relaxed as possible. I also indicated at the start of the session that the information provided by the RPs would be treated as highly

\textsuperscript{25} Rather than opting for partial transcriptions, I decided to have the audio-recordings transcribed in full. This was done to ensure that I do not lose any valuable information provided by the RPs.

\textsuperscript{26} In the next section I describe the process that I followed here.

\textsuperscript{27} Permission was also obtained from the RPs to reproduce photos of the session (see below) in the dissertation. To protect the identity of the participants their faces were blocked out.
confidential and that no material would be used that could disclose the identity of a RP.

Six of the eight RPs were available to participate in the focus group discussion. Owing to the intensive nature of the session, I decided to conduct the focus group discussion in the morning. The focus group discussion was held on 30 November 2004 in the GPS boardroom. It lasted three hours. The purpose of the session was twofold: first, to examine the process to derive the outcome of the final step of the project I was working on at the time, namely a strategy for the department; and, second, to examine the outcome of the analyses that were done on the data provided by the RPs during the two interviews, as well as the data provided in the questionnaire, as part of the member-checking phase of grounded theory methodology. I made use of large posters that illustrated the model and the outcome of the strategy session. The photos that were taken at the focus group discussion (see below) show how the posters were used and examples of data that were discussed and presented to the RPs as an overview of the study. These examples included the audio-recordings, transcriptions of these recordings, examples of the analyses I did, as well as the model I wanted to test with them.
After an informal presentation of the model, the RPs discussed their understanding thereof around a table and provided input on the proposed changes to the model. To ensure a relaxed atmosphere, the RPs were permitted to make coffee/tea during the session. This had the desired effect. All changes to the derived model as well as changes to the strategy session output were recorded on the paper copies provided to the RPs.

Using these recording techniques also helped with the analysis of the data afterwards.

28 The details of the proceedings of the focus group discussion are presented in Annexure 7.
Ensuring rapport and sustaining trust

As stated earlier, ensuring rapport and sustaining trust during a qualitative study are crucial. Without this, the trustworthiness of the data can be questioned. Throughout the study this was one of my major concerns. To achieve rapport and trust, I had to ensure that the general manager would support the study. To this effect I asked him to inform his management team about the study. I also had a one-on-one meeting with each RP to introduce myself and discuss the purpose of the study and the envisaged process, as well as explain why he or she was selected to participate in the study.

At the start of the second interview, I reflected on some of the things the particular RP had mentioned in the first interview. This recall of information built a "bridge" between the first and second interview, and also showed that I had taken note of what the RP had said during the first interview.

Another technique I used to establish rapport and trust was to display the model on my office wall after the analysis of the interview data. This intrigued not only the RPs but also some of the other staff working in GPS. The RPs could thus "see" what was happening to the data they provided to me during the interviews.

At the start of the focus group discussion I gave an overview of the total research process. I also presented "evidence" of the "real" data, e.g. the actual audio tapes, transcriptions of the tapes, and examples of the analyses I did. I found that this technique created transparency around the research process and resulted in even more buy-in from the RPs.

Another effective way to ensure rapport and sustain trust was to focus on the ethical requirements throughout the study. As stated earlier, a particular ethical approach, namely informed consent (Holloway, 1997), was used for this study. Bailey (1996, p. 11) recommends in this regard that participants be made aware
of the following to gain their informed consent: (i) that they are participating in research; (ii) the purpose of the research; (iii) the procedures of the research; (iv) the risks and benefits of the research; (v) the voluntary nature of the research; (vi) the subject's right to stop the research at any time; and (vii) the procedures used to protect confidentiality.

In order to keep the identity of the RPs confidential, I reserved access to the electronic and paper-based data for myself only, and used pseudonyms when referring to them in documents.

It was essential to capture the data in a format that would enable safe storage and easy retrieval. Let us now consider this process.

- **Data capturing**

After considering a number of options I decided to use the following strategies: (i) audio-recordings, (ii) video-recordings, (iii) field notes, (iv) memos, and (v) transcriptions.

As already stated, after each interview I did a preliminary analysis, which was then used as input for the second interview and the in-depth analysis of the data. I also reflected on what worked and what did not work during each interview. The analysis of each interview and my field notes and memos were presented to my supervisor.

Data were also obtained by means of a literature review during which I perused books, journals, articles, previous studies and internet sources relevant to the themes of the study. This enabled me to "test" the derived model's categories.

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29 The relevancy and suitability of existing abstract constructs were "examined" against the life world of the Bank's members/research participants by using a modified version of analytic induction.
against current development and change theories. These categories were also examined during the focus group discussion. More particularly, the RPs decided whether any of the categories not depicted in the model should be added, and even whether some of the wording in the model should be changed.

Throughout the study I kept a research diary. I found this to be a very useful tool to reflect my feelings during the study. The diary also included notes on key decisions my supervisor and I made in the course of the study.

Looking back at the data capturing, I found it to have been an extremely, if not the most, exciting phase. Getting to know people at such a deep and personal level, having them trust me with their true thoughts and feelings, was a great privilege. I realised that we had to take time to listen to people, not only when conducting research but in everyday life. Every person I interviewed had a story to tell, and his or her story actually translated into behaviours I observed while being part of this group of people.

On a more practical note, the value of my preparation for each activity during this phase, especially the planning before conducting the interviews and the focus group discussion, cannot be underestimated. This contributed greatly to my obtainment of rich, descriptive data from the RPs.

2.3.2.3 Final phase

The final phase of the research extended from August 2004 to February 2005. The primary considerations in this phase were: terminating the fieldwork; analysing the data; compiling the dissertation; constructing and adjusting the dissertation's chapters; language and technical editing; submission of the dissertation; and providing the RPs with copies of the dissertation.

30 See Annexure 8.
Termination of the research

I decided to terminate the search for "new" data after I found that the categories became "saturated", i.e. no new information was found. Glaser and Strauss (1967, pp. 61-63) call this "theoretical saturation" and state: "The criterion for judging when to stop sampling the different groups pertinent to a category is the category's theoretical saturation. Saturation means that no additional data are being found whereby the sociologist can develop properties of the category. As he sees similar instances over and over again, the researcher becomes empirically confident that a category is saturated. He goes out of his way to look for groups that stretch diversity of data as far as possible, just to make certain that saturation is based on the widest possible range of data on the category ... The adequate theoretical sampling is judged on the basis of how widely and diversely the analyst close his groups for saturating categories according to the type he wished to develop. The adequate statistical sample, on the other hand, is judged on the basis of techniques of random and stratified sampling used in relation to the social structure of a group for groups sampled. The inadequate theoretical sample is easily spotted, since the theory associated with it is usually thin and not well integrated, and has too many obvious unexpected exceptions."

(Emphasis in the original.)

Dey (1999, pp. 8-9) makes two important points with regard to the conclusion of a grounded theory study: First, theoretical saturation "refers to concepts, not data, and identifies a point where no further conceptualisation of the data is required". Second, "[w]hile the limits of particular conceptualisation could be reached through theoretical saturation, the search as a whole could be brought to a conclusion through increasing selectivity. Through the process of integrating categories, a central theoretical framework could crystallize around a 'core' category – otherwise described by Glaser and Strauss as the main 'story line' of the study. A framework could 'solidify' out of the analysis and delimit the research by differentiating between core and peripheral categories and
identifying the scope and boundaries of the story. This framework could in turn
direct further data collection and analysis – but within a more circumscribed and
foocussed agenda. The focus could shift to analysis of the major categories and
their relations with efforts to identify underlying uniformities, clarify logical
connections and 'formulate' the theory with a small set of higher level concepts

- Analysis of the data

Analysis of the data was undertaken in two phases: First, the data obtained by
means of the interviews and participant observation were analysed by means of
grounded theory methodology, as described by Goulding (2002). Second, after
presenting the provisionally change model to the RPs during the focus group
discussion, the model was "tested" against current theories and models of
change leadership.

As discussed earlier, the data were analysed by making use of the ATLAS.ti
software package. It is important to note here that although I made use of this
software, the main steps in the analysis of the data remain the same as those for
manual analysis. The software merely assists in the systemisation of the data,
and does not by any means contribute to the "actual" analysis of the data.

- Triangulation

Triangulation is a strategy that is applied to minimise observer effects (Babbie &
Mouton, 2001). Patton (2002) and Babbie and Mouton (2001) state that this
technique indicates the use of multiple methods of data collection in a single
project in order to compensate to some extent for the disadvantages of each.
They argue that triangulation is considered to be one of the best ways to
enhance validity and reliability of research. To this effect I employed multiple data collection methods, including participant observation, individual semi-structured and exploratory interviews, focus group discussion and informal discussions. As stated earlier, the RPs also completed a self-reporting questionnaire. Furthermore, the research was supported by an analysis using pre-existing models, literature reviews and organisational documents. Finally, as an inquirer from the inside, I also reflected my own experiences of change within the department. Here I specifically made use of auto-ethnography.

After adapting the model, I decided on how to construct and represent my findings according to the guidelines received from the Rand Afrikaans University. Owing to the nature of the research, I tried to present the data within the prescribed boundaries in a unique, creative and innovative way, by incorporating visually stimulating photos, tables, figures and diagrams.

In summary, the grounded theory process I followed in this study is reflected in Figure 1 and was adapted from the work of Goulding (2002, p. 115).

31 Triangulation is recommended by a number of other scholars, including De Vos et al. (2002), Maxwell (1996), Wilson and Hutchinson (1991), and Bryman (1988).
Figure 1: Outline of the grounded theory process as effected in the study
• Compiling the dissertation

Compiling the dissertation was no easy task. Eventually I decided to "just get started" and plotted some ideas on how I could structure the dissertation in a logical way. As I found some other dissertations to be extremely "heavy", I decided, after discussion with Prof. Schurink, to present the dissertation in a more relaxed and personal way. This type of style coincides with what Bogdan and Biklen (2003, p. 199) refer to as a writing style that is more "informal" and "non-traditional".

The actual compilation of the various chapters was done to reflect the various stages in the case study. As it was important to show the process I followed in analysing the data, I included an extensive description of the various steps of theory building, complemented with practical examples of the codes and categories and finally showing the interrelatedness between categories in the derived organisational change model.

As the dissertation developed, I made use of a language editor, Ms Ina Stahmer, to ensure the correct use of words and to check, as an "outsider", the logical flow of the dissertation. Finally, the dissertation was submitted for the purpose of examination. After adjusting the dissertation according to the examiners' recommendations, I provided each RP with a copy of the dissertation.

2.4 CONCLUSION

In the past, considerable emphasis was placed on quantitative, objective and functionalist approaches to organisational life. An alternative view that takes note of "the multifaceted nature of organisational reality" (Gioia & Pitre, 1990, p. 584) has been developing in recent years.
In this study I attempted to provide a glimpse of the unstructured and constantly changing world of work as experienced by a group of people in a particular section of a local financial institution. By means of largely unstructured, qualitative methods, such as participant observation, in-depth interviews and a focus group discussion, the study focused on eight individuals' experiences of change. The grounded theory method, in conjunction with a symbolic interactionist approach, was used to capture and describe the research participants' experiences and the meanings they attached to these.

In the next chapter I present the material collected for this study.
CHAPTER 3

SYSTEMISING AND ANALYSING THE MATERIAL COLLECTED FROM THE BANK EMPLOYEES

3.1 INTRODUCTION

Similar to qualitative research studies generally, this study produced a large amount of rich data on the constructions of the research participants (RPs), i.e. their experiences and perspectives. How to go about managing these data to good effect was approached with due caution, the more so after I received the following e-mail message from my supervisor, Prof. Schurink, on 9 January 2005:

"Regardless of many textbooks having been published on how to execute qualitative analysis, and the availability of various 'recipes' like analytic induction, grounded theory and other pretty formal strategies today, qualitative researchers are generally highly individualistic and idiosyncratic when analyzing their data. Even though persistent calls are made to report their strategies by means of 'natural histories' or 'reflective accounts', we generally know very little about the ways qualitative researchers make sense of their material – even if they do utilize formalized methods!"

Thus I reviewed the literature for cues on developing and implementing a research method that would yield the most reliable and valid results and reported on this endeavour in the previous chapter.

Chapter 3 describes how I applied grounded theory to systemise and analyse the rich data obtained from the RPs. I present the key findings emerging from the analysis according to the concepts, categories and propositions identified in terms of grounded theory. More particularly, I give an overview of the RPs' inputs on the basis of the concepts and categories that best clarify their particular experiences and viewpoints. To a great extent the overview is based on my own
views of key leadership-in-social-change concepts. In order to ensure as far as possible the creation of a holistic picture, I included all the RPs' constructions of the Organisation's recently introduced change process, including those testimonies that did not form part of the "majority" verbalisations.

However, before presenting the constructions of the RPs, it is important to take a look at the key assumptions and steps of grounded theory.

3.2 NOTES ON PRINCIPAL ASSUMPTIONS AND FOCAL STEPS OF GROUNDED THEORY

The three basic elements of grounded theory are concepts, categories and propositions. Concepts form the basic unit of analysis and the basis for theory construction. Strauss and Corbin (1990, p. 7) write the following about theory development: "Theories can't be built with actual incidents or activities as observed or reported; that is, from 'raw data'. The incidents, events, happenings are taken as, or analysed as, potential indicators of phenomena, which are thereby given conceptual labels. If a respondent says to the researcher, 'Each day I spread my activities over the morning, resting between shaving and bathing,' then the researcher might label this phenomenon as 'pacing'. As the researcher encounters other incidents, and when after comparison to the first, they appear to resemble the same phenomena, then these, too, can be labelled as 'pacing'. Only by comparing incidents and naming like phenomena with the same term can the theorist accumulate the basic units for theory." (Emphasis added.)

32 As I pointed out in Chapter 1, reviewing the relevant literature was part of my work at the Bank. In addition, I also developed my own ideas about leadership, social change and related concepts as I went about my work over the years. I studied the abstract constructs and relevant empirical work, as explained in Chapter 4, only after I completed the study's fieldwork, which is in line with the general guidelines of modernist qualitative researchers and grounded theory exponents.

33 See the general discussion of grounded theory in Chapter 2.
Strauss and Corbin (1990, p. 7) define the second element of grounded theory, categories, as follows: "Categories are higher in level and more abstract than the concepts they represent. They are generated through the same analytic process of making comparisons to highlight similarities and differences that is used to produce lower level concepts. Categories are the 'cornerstones' of developing theory. They provide the means by which the theory can be integrated. We can show how the grouping of concepts forms categories by continuing with the example presented above. In addition to the concept of 'pacing', the analyst might generate the concepts of 'self-medicating', 'resting', and 'watching one's diet'. While coding, the analyst may note that, although these concepts are different in form, they seem to represent activities directed toward a similar process: keeping an illness under control. They could be grouped under a more abstract heading, the category: 'Self Strategies for Controlling Illness'." (Emphasis added.)

The third element of grounded theory, propositions, indicates generalised relationships between a category and its concepts and between various categories (Pandit, 1996). Giaser and Strauss (1967) originally termed this third element "hypotheses". Pandit (1996, p. 2) states that "the term 'propositions' is more appropriate since, as Whetten (1989, cited in Pandit, 1996) points out, propositions involve conceptual relationships whereas hypotheses require measured relationships. Since the grounded approach produces conceptual and not measured relationships, the former term is preferred." (Emphasis added.)

Pandit (1996, p. 2) continues by discussing the use of grounded theory: "The generation and development of concepts, categories and propositions is an iterative process. Grounded theory is not generated a priori and then subsequently tested." Based on this, Strauss and Corbin (1990, p. 23) state that it should rather be "inductively derived from the study of the phenomenon it represents. That is, discovered, developed, and provisionally verified through systematic data collection and analysis of data pertaining to that phenomenon. Therefore, data collection, analysis, and theory should stand in reciprocal..."
relationship with each other. One does not begin with a theory, then prove it. Rather, one begins with an area of study and what is relevant to that area is allowed to emerge." (Emphasis added.)

In addition to using concepts, categories and propositions, I also tried to employ, theoretical sensitivity, a particular personal research skill. In referring back to my discussion of theory, two positions regarding the theoretical base of the study need to be noted. These are (i) the usage of a "formal" or general theory, i.e. symbolic interactionism, which guided the execution of the study's methodology, and (ii) applying so-called "substantive" theory, i.e. theory developed particularly to illuminate the phenomenon under investigation, i.e. leadership change (Strauss & Corbin, 1990).

In the remainder of this chapter I present (i) a profile of the research participants, and (ii) the various concepts, categories and key themes I identified with the aid of ATLAS.ti, the computer-assisted program I used.

3.3 PROFILES OF RESEARCH PARTICIPANTS

Initially ten RPs participated in the study. After some time two of them withdrew due to time constraints. The group consisted of five men (Brian, Pieter, Derek, Eberi and Werner) and three women (Elbe, Joy and Amanda). All the RPs were part of the GPS management team and were subjected to the changes in the department. Five of them spoke Afrikaans at home, two spoke English and one spoke Venda. Only one RP was of African origin. The rest were white. Table 3.1 presents their demographic information.

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34 See Chapter 2.
35 See Chapter 2.
36 To ensure that the RPs would not be identifiable, I used fictitious names for them.
37 As the Venda-speaking person was fully bilingual in Venda and English, I conducted her interview in English. There was thus no need for an interpreter.
3.4 SOCIAL CONSTRUCTION OF CHANGE, LEADERSHIP AND RELATED MATTERS

In this section I describe the categories and themes that I identified in the data.

The two interviews I had with each of the RPs and the questionnaires were analysed using open coding. Open coding is the process by which data are broken down into distinct units of meaning (Goulding, 2002). This is done by first transcribing all the interviews from a tape-recording. Second, every line of the transcribed interview is searched for key words or phrases that give some insight into the behaviour under study. These are then highlighted and extracted from

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38 Her home language is Venda, an African language.
the interviews (Goulding, 2002). Goulding (2002, p. 77) gives a detailed description of this process and states: "During the early stage of line-by-line analysis it is not unusual to identify hundreds of codes which are 'open' and unrelated." After completion of the line-by-line analysis of the first interview, another interview is analysed by repeating the process. New interviews are added and analysed until the researcher starts to detect recurring patterns. Codes that seem to have a relation to each other are then clustered into groups that say something about the behaviour. This starts "the process of abstraction and moves the interpretation on from merely describing what is occurring, to linking codes together with the aim of developing explanatory concepts" (Goulding, 2002, p. 77). Figure 3.1 presents an example of the open coding I did with the assistance of ATLAS.ti.
Figure 3.1: Example of initial open coding with ATLAS.ti

With the assistance of ATLAS.ti I initially identified 474 concepts. These concepts were reduced to 66 with the use of ATLAS.ti (see Figure 3.2, where the initial concepts are indicated in red). These concepts are then grouped together to form groups of concepts with the same or similar meaning (on the left side of the figure). Each of these groupings is then named. In the example, the label "Management and Leadership Role" was given to the group of codes that
collectively describe the central theme. In ATLAS.ti, these groups are known as "families".

Figure 3.2: Example of "families" compiled with ATLAS.ti

By means of further coding, the 66 concepts were then grouped under nine higher-order categories. After completion of this phase, I could move to the second phase of data analysis, namely axial coding.

"Axial coding involves moving to a higher level of abstraction and is achieved by specifying relationships and delineating a core category or construct around which the other concepts revolve. Axial coding is the appreciation of concepts in terms of their dynamic interrelationships" (Goulding, 2002, p. 78). She further states that by using axial coding, the researcher develops a category by
specifying the conditions that gave rise to it, the context in which it is embedded, and the action/interactional strategies by which it is handled, managed and carried out. According to Spiggle (1994, cited in Goulding, 2002) these conditions, contexts, strategies and outcomes tend to be clustered together and the connections may be hierarchical or ungraded, linear or recursive. In terms of process, concept analysis is an integral step of theory construction (Jezewsky, 1995). Jezewsky proposes that the theoretical definition “that emerges from concept analysis summarises insights that form while creating conceptual meaning and describes the essential meaning of the concept” (p. 16). Again, ATLAS.ti was used to determine the interrelationships between the various identified categories. Figure 3.3 illustrates how I used the concepts that were related to the "Management and Leadership Role" categories as an example of how axial coding was done.

Figure 3.3: Example of axial coding with ATLAS.ti
This example highlights the relation between the various concepts and how they were clustered together. The various codes that were identified during the open coding phase were grouped together to indicate the possible relationship between the codes that all related to a similar category and could logically be clustered together.

The final stage in the analysis is to construct core categories by means of selective coding. “A core category pulls together all strands in order to offer an explanation of the behaviour under study. It has theoretical significance and its development should be traceable back through the data. This is usually when the theory is written up and integrated with existing theories to show relevance and new perspective” (Goulding, 2002, p. 88). According to Glaser (1978) a core category is a main theme that sums up a pattern of behaviour. The nine core categories or "themes" (Glaser, 1978) that were identified in the study are (i) affiliation to people and peer influence; (ii) communication; (iii) environmental complexity; (iv) individual focus; (v) management and leadership role; (vi) resistance to change; (vii) support; (viii) the change process; and (ix) emotions.

I kept on tooth-combing the data until nothing new emerged and I was satisfied that all categories were saturated. The nine categories became the central elements of the model and were all derived in a similar way by means of grounded theory, as described in Chapter 2. The nine categories were tested by means of a focus group discussion with six RPs. By means of "member checking" I offered my interpretations to the six RPs. Goulding (2002, p. 89) states that "returning to the original informants and obtaining their opinions of the developing theory is also recommended in all the key texts on grounded theory, although this is only done during the early stages of data collection and interpretation before the researcher begins the process of abstraction". She did, however, provide an example of a recent study done by Nuefield et al. (1996)
who asked their informants not only to check the resulting interpretation, but actively criticise it and expand on earlier comments. This was also found to be a very useful strategy in the current study.

Table 3.2 provides a high-level overview of the themes and categories that emerged from the data.

Table 3.2  Emerging themes and categories

<table>
<thead>
<tr>
<th>Emerging categories</th>
<th>Emerging concepts</th>
<th>Research participants</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Brian</td>
</tr>
<tr>
<td>Affiliation to people &amp; peer influence</td>
<td>Perceptions of people</td>
<td>X</td>
</tr>
<tr>
<td>Communication</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>What is communicated and how</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Providing a holistic picture</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Providing a vision</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>When change is communicated</td>
<td></td>
<td>X</td>
</tr>
</tbody>
</table>

39 The themes and categories are presented in the first two columns. The RPs from whom the themes originated are indicated with crosses in the relevant columns.
<table>
<thead>
<tr>
<th></th>
<th>X</th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Respect shown to people</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Providing reasons why change is necessary</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Environmental complexities</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
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<tr>
<td>Organisational politics</td>
<td>X</td>
<td>X</td>
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<tr>
<td>Focus on the Individual</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Fear of the unknown</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
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<tr>
<td>Appreciation shown</td>
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<td>X</td>
<td>X</td>
<td></td>
<td>X</td>
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<tr>
<td>Providing options</td>
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<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
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<tr>
<td>Providing input</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
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<tr>
<td>Providing a growth opportunity</td>
<td>X</td>
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<td>X</td>
<td>X</td>
<td>X</td>
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<tr>
<td>Control</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
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<tr>
<td>Individual needs and interests</td>
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<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
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<tr>
<td>Buy-in</td>
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<td>X</td>
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<td>X</td>
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<tr>
<td>Previous experience of change</td>
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<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Providing recognition</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Skills development</td>
<td>Providing clear guidelines</td>
<td>Management &amp; leadership role</td>
<td>Integrity</td>
<td>Honesty</td>
<td>EQ</td>
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<td>Support</td>
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<td>Social identity</td>
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<td>X</td>
<td>X</td>
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<tr>
<td>Social support</td>
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<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
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<tr>
<td>Change process</td>
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<td>X</td>
<td></td>
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<tr>
<td>Pressure to change</td>
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<td>X</td>
<td></td>
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<tr>
<td>Structured/ planned process</td>
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<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Measurement</td>
<td>X</td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Using current infrastructure</td>
<td></td>
<td>X</td>
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<tr>
<td>Organisational culture</td>
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<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Emotions</td>
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<tr>
<td>Experience of change</td>
<td>X</td>
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<tr>
<td>Sadness</td>
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<td>Fear</td>
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<td>Stress</td>
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From Table 3.2 it is evident that a large number of themes relating to change emerged from the data. These were communication, management and leadership roles, social support, the importance of a structured and planned process, and organisational culture. In presenting qualitative research results, it is however also important to reflect the unique themes that emerged from the interviews. These "minority" categories are thus also included in Table 3.2.

As stated earlier, in the substantive coding phase it is appropriate to construct a theory or, in the case of the current study, a model, and to integrate it with existing theories to show its relevance and new perspectives. In the next chapter I present the model that was derived by means of grounded theory. I also compare it to existing theories to show its relevance and new perspectives, particularly those relating to organisational change.

3.5 SUMMARY

This chapter introduced the RPs. The research findings were presented according to the concepts and categories that emerged using grounded theory, including memoing, continuous comparison, and category development and saturation. As it was more important to depict the process I followed in deriving these concepts and categories, my main focus in this chapter was to illustrate the process, and not the data that constitute the identified concepts and categories. I will illustrate the identified categories by means of verbatim examples in the interpretation and discussion of the data, and how they contributed to the construction of the different categories in Chapter 5.

In the next chapter I will review the change literature.
CHAPTER 4

REVIEWING THE ORGANISATIONAL CHANGE IMPLEMENTATION LITERATURE

4.1 INTRODUCTION

In accordance with many modernist qualitative studies generally and grounded theory projects particularly, I review existing theoretical concepts as well as issues surrounding the study domain in this chapter, i.e. the implementation of leadership and social change in (financial) organisations. More particularly, my objective is to capture major issues facing leaders in organisations when implementing change and to discuss theories and other constructs developed by scholars, my ultimate aim being to illuminate these phenomena and my empirical study. In order to orientate the reader I first give a brief exposition of the state of the art of this domain.

4.2 STATE OF THE ART OF SOCIAL CHANGE AND DEVELOPMENT IN ORGANISATIONS

Social science and its various disciplines and study areas encompass a great variety of theoretical and empirical activity. Therefore a systematic discussion of the work in the as yet developing field of social change and development in organisations is no easy task. However, I settle for a much more modest task: to draw key features and developments from the available literature in the field. Apart from what Mouton and Marais (1990) term "analytical tools" or "instruments" of researchers, I also briefly discuss methodological approaches, policies and procedures. Finally, I take a look at the attention scholars have thus far devoted to financial institutions generally and banks in particular.
My general review of the relevant literature has led to the following observations:

**First**, various organisational change constructs are available to the organisational change agent, but these theories and models do not describe how organisational change should be facilitated.

**Second**, the role that leadership plays in facilitating the change process is of the utmost importance.

**Third**, resistance to change has led to the failure of many organisational change initiatives.

**Fourth**, employees should be involved in the change process from the outset to ensure commitment to the anticipated change.

**Fifth**, change cannot be facilitated in isolation – the complexity of the system in which an organisation operates will have a direct influence on the envisaged change.

**Sixth**, organisations need to constantly adapt and change to ensure survival in the business world.

**Seventh**, the role that emotions play during a change initiative should not be underestimated.

**Eighth**, organisational change should not be viewed as a linear process, but rather as an open, complex system of events.

**Finally**, policies and procedures should support the strategic direction and subsequent change initiatives supporting the overall organisational strategy.
4.3 STUDY-RELEVANT ELEMENTS IN THE LITERATURE

Various definitions, concepts, theories and models, interventions and methodological approaches are topical with regard to this study's aims, objectives and research question. I briefly review these in the sections below.

4.3.1 DEFINITIONS

When one reviews the literature, various definitions of organisation development present themselves. The following theoretical definition of Kreitner and Kinicki (1998, p. 622) captures the basis from which my study was done: "Organizational development is concerned with helping managers plan change in organizing and managing people that will develop requisite commitment, coordination, and competence. Its purpose is to enhance both the effectiveness of organizations and the well-being of their members through planned interventions in the organization's human processes, structures, and systems, using knowledge of behavioral science and its intervention methods."

Understanding the theoretical base from which the study was done is not sufficient, though. It is also important to grasp the basic concepts constituting the field of organisational change and development. Three concepts are discussed in the next section, namely systems view, complexity and unpredictability.

4.3.2 CONCEPTS

A systems view of organisations as well as leaders' ability to deal with the complexity and unpredictability of internal and external business environments are integral considerations of research on organisational change. Below I briefly discuss the latter two concepts before turning to the systems view of organisational change.
As the environment in which organisations find themselves become more complex and unpredictable, it is important that organisations become more flexible and dynamic in order to cope with their operating environment (Ansoff & McDowell, 1990; Carnall, 1999; Englehardt & Simmons, 2002; Hoag, Ritschard & Cooper, 2002). Denton and Vloeborghs (2003), Calabrese (2002), Peters (1997) as well as Fishman (1997) stress the importance for organisations to adapt to changing times or disappear from the scene. These scholars argue that change can destroy an organisation if it is not anticipated. According to Fishman (1997), "change has overtaken every organisation. Creating change, managing it, mastering it, and surviving it are the agenda for anyone in business who aims to make a difference." Cooksey (2003, p. 204) adds to this by iterating that, for leaders to effectively deal with the non-linear complexities of organisational change, the concept "learnership" is of the utmost importance. Englehardt and Simmons (2002, p. 113) agree with this when they state that "complex adaptive systems may hold useful lessons for developing organisational flexibility. Under complexity theory, organisations naturally emerge out of the interaction of simple agents without any top-down control." Beinhocker (1999) and Pascale (1999) (both cited in Englehardt and Simmons, 2002, p. 113) suggest that social and business organisations with the requisite individual interaction share the traits and behaviours of complex adaptive systems.

The way in which people react to organisational change and sometimes strongly resist it also contribute to the complexity of effectively managing organisational change (Bovey & Hede, 2001; Hoag, Ritschard & Cooper, 2002). The unconscious processes, which typically arise as individuals respond to change, play an important role in the change process (Bovey & Hede, 2001; Halton, 1994; O'Connor, 1993) and may obstruct and prevent an individual from adapting to it (Halton, 1994). Various scholars have also found that the failure of many large-

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40 According to Cooksey (2003, p. 204) the concept and process of "learnership" are seen as an evolving meld of leadership and learning where responsibility for learning and for leading is progressively diffused from a few central individuals to a critical mass of organisational members, all of whom become mutually embedded in the learning process, leading where needed, but always with a sensitive eye on the complex texture of the learning environment they inhabit.
scale corporate change programmes can be traced directly to employee resistance (Calabrese, 2002; Maurer, 1997; Spiker & Lesser, 1995; Reger, Mullane, Gustafson & DeMarie, 1995). According to O'Connor (1993), managing employee resistance is a major challenge for the initiators of change, and outweighs any other aspect of the change process. Bovey and Hede (2001, p. 535) note that, "although the vast majority of organisational change is managed from a technical viewpoint" without recognising or understanding how the human element influences the success or failure of the change, it is the expectations of staff that their input to the change process will be noted and taken into consideration when implementing the anticipated change. They also found that "when implementing significant change, management needs to be aware of how defense mechanisms are associated with an individual’s behavioral intentions. Once the benefits of working with the human dimension are understood and accepted, management will be more inclined to develop, promote and implement appropriate intervention strategies" (Bovey & Hede, 2001, p. 545). Weinbach (1984) states that not including people's expectations in the process may leave them disillusioned.

Calabrese (2002, p. 328) contends: "the personal nature of change operates with a specific set of rules driven by behavior". According to Argyris (1999) these rules are consistent across culture, race and gender and include: the desire to remain in unilateral control; maximising winning and minimising losing; suppressing negative feelings; and rationality as a cornerstone in judging whether we have achieved clearly defined goals. Calabrese (2002, p. 29) further argues that "the rule-driven behaviors mentioned by Argyris result in five tacit personal understandings that guides our attitude toward change: 1) We want others to change to meet our needs; 2) We only change when we believe we have no other choice; 3) We are comfortable with change when it occurs at a..."
pace where outcomes are predictable; 4) We change only when we are ready to change and 5) We seldom address the real source of needed change because of our desire to avoid potential threat or embarrassment." Calabrese (2002, p. 329) concludes: "[E]ffective leadership strategies take into account these tacit personal understandings and move to transcend them." Beech and Cairns (2001) agree that coping with organisational change is extremely complex and argue that managers will have to adopt a "post-dichotomous" approach to effectively facilitate change.

Birkenbach (2001) believes that most change initiatives that fail is the result of change leaders looking at change from a linear (Newtonian) view of the world, which is seen as controllable, predictable, understandable and fixable. Whereas this simple cause-effect perspective mostly works well within closed systems, it does not succeed in the complexity of systems in which organisations operate. Moreover, when change initiatives do not produce the anticipated results, variables tend to be isolated and analysed, and the results presented as "evidence" of why things did not turn out the way they were intended to do. According to Birkenbach (2001) this will lead to wrong assumptions on how to correct what went wrong.

Birkenbach (2001) then discusses an alternative worldview that includes the systems dynamics of organisations. According to this view it is important to include factors such as "the law of unintended consequences", the role that self-organisation plays in change, and new assumptions about chaos and complexity that influence effective change management. He cautions that this approach should not be misinterpreted as that leadership is not required in organisations. On the contrary, he argues that more leaders are needed who can read

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43 Beech and Cairns (2001) distinguish four "ideal types" of reality(ies) that people adopt to cope with organisational change. Two of these, namely "single reality" and "multi-layered reality", epitomise dichotomous thought, which, according to them, is unlikely to provide adequate managerial insight in coping with complex change. The other two realities, namely "multiple realities" and "no such thing as reality", typify post-dichotomous thought and hold greater possibilities as frameworks for coping with such social situations.
emerging patterns in times of chaos and complexity – particularly leaders who are capable of mobilising the energies of people who think differently.

Therefore, by merely focusing on analysing problems on a linear basis, driving vision statements as a solution to organisational problems, and trying to perform change within a controlled environment, change agents in organisations will not effectively influence the complex systems people and organisations operate in. Change leaders need to question their assumptions and worldview. Rather than focusing only on the "what" to do, they need to start focusing on "how" they influence change within this complex reality.

Various theories and models have been devised to assist change leaders to deal with change in an organisational setting. These provide a framework for dealing with the concepts of complexity and unpredictability. In the next section I will note some of the most prominent theories and models, and discuss my experience in applying them in an actual organisational setting.

4.3.3. CONCEPTUAL FRAMEWORKS, INCLUDING TYPOLOGIES, MODELS AND THEORIES

Many theories and conceptual frameworks/models have been devised to address the uncertainty around organisational development and change (Aldag & Stearns, 1991; Kotter, 1996; Harvey & Brown, 1996; Peters, 1989; Senge, Roberts, Smith, Roth & Kleiner, 1999).

Some scholars provide theoretical guidelines on what to focus on when confronted by change. These include Kotter’s eight steps to organisational transformation (Kotter, 1996), Senge’s five practices for building change capability (Senge et al., 1999), Aldag and Sterns’s six major steps in planned change (Aldag & Sterns, 1991) as well as Heifetz’s seven-stage model called the Change Cycle Model (Heifetz, 1993). Non-linear, or emergent changing models
also address change in organisations, the most prominent being the Continuous Improvement Model (Savolainen, 1999), the 4-D Model of Appreciative Inquiry (Whitney, 1998), the Improvement Journey (Connolly & Connolly, 2000), the Learning Based Change Initiative (Sugarman, 2001), the Consolidated Change Model (Jay & Smith, 1996) and Veldsman’s Systemic Model for Change (Veldsman, 2002).

These theories and conceptual frameworks, however, do not include a practical process that can be used to facilitate change effectively in organisations. They merely describe “what” should be addressed during a change process, but not “how” change should be facilitated. This has led to the largely ineffective implementation of change in organisations.

Another view of organisations that suggests an approach that can eventually lead to a better understanding of the impact of change and a more accurate estimate of the outcomes is the systems view (Kreitner & Kinicki, 1998; Montuori, 2000; Senge, 1990). In Senge’s (1990) framework, the systems paradigm or “fifth discipline” of organisational change is supported by four “core disciplines”, namely personal mastery, mental models, shared vision and team learning. Used in concert with any of the existing planning methods, the systems approach presents a model for considering the impact that change will have throughout an organisation. It therefore assists in planning and implementation. The systems approach is a way of thinking about the function of management by considering the organisation as an integrated whole made up of interacting parts (Ballé, 1996; Harvey & Brown, 1996; Montuori, 2000).

Coetzee (2001) states that the systems approach considers an organisation as a single system consisting of interrelated and interdependent subsystems. Furthermore, organisations are considered to be open rather than closed systems. Systems thinking is a holistic approach to studying phenomena, as it promotes studying the interdependent parts as systems of an integrated whole.
When an organisation is considered in terms of its subsystems, it becomes evident that it is virtually impossible to make changes in one subsystem without causing changes, intentional or unintentional, in the other subsystems. It is the unintentional or unanticipated impact beyond the subsystem that often is the undoing of a well-meaning, goal-directed change. A change, major or minor, made in any subsystem will impact to varying degrees in every subsystem throughout the organisation. It is the anticipation of this effect and the consideration of ways to create a favourable impact that is the key to successful change (Englehardt & Simmons, 2002; Harvey & Brown, 1996; Stoner & Freeman, 1989). Clayton and Gregory (2000) add another dimension to the systems debate by noting that, although organisations can be viewed from a systems perspective, the rules within which they operate play an important role when considering change in the organisation. They (Clayton & Gregory, 2000) refer to "rule-bound systems" (p. 140), which would include organisations in the South African banking industry, which industry is controlled by various Reserve Bank regulations.

I agree with Hodgson (2002) that industry needs a more practical change model that integrates the systemic and integrated approaches to change management, particularly against the background of the tremendous increase in the pace of change in the past few decades, which poses ever more challenging demands on organisations and leaders alike (Kriek, 2002). Tizard (2001, p. 62) epitomises the basis of my study when he concludes: "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 impacts and benefits. They also ensure that the change produces a tangible impact on the bottom line." (Emphasis added.)
Taking into consideration the magnitude of theories and models that are available to leaders for facilitating change (Annexure 8), choosing the most appropriate and usable theory or conceptual framework/model can become a daunting task for the uninformed leader who wants to implement sustainable change within the complex banking industry. According to Hodgson (2002) new ways should be found to overcome this problem. She argues that theory ought to be fully translatable into practical, tactical steps for change. Mintzberg, Ahlstrand and Lampel (1998) concur, but state that there is no consensus as to which models will work best in respect of organisational change in the industry.

Considering the preceding overview of the current approaches to change management, as well as taking into consideration the comments by scholars such as Hodgson (2002), Mintzberg, Ahlstrand and Lampel (1998) and Tizard (2001), and my own experience, there is clearly a need for a practical and executable change process that can be applied within the financial industry.

In my search for organisational change models for financial institutions generally and the banking industry in particular, I found that very little has been published on the topic. Although organisational change is addressed in various handbooks of banking practice, I was unable to find any specific constructs pertaining to change within the banking environment per se. I did find descriptions of case studies on improving profitability and workplace effectiveness, but these hardly ever referred to how the change process should be managed from within the organisation. Again, the lack of such models and theories emphasises the need for a change model that specifically addresses the complexities in the banking environment.

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44 Rather than reconstructing the current constructs on organisational change, I present a summary of these in Annexure 8.
In concluding this chapter, I assess the role policies and procedures play within organisational change.

### 4.3.4 POLICIES AND PROCEDURES FOR ORGANISATIONAL CHANGE

In the rapidly changing world of organisations in the 21st century, more and more companies are moving towards formal policies and procedures to govern organisational change. To impart a common understanding of, and adherence to change approaches, processes and procedures are normally formulated in policies (Smith, 2004).

In the world of banking, various rules and regulations, both internal and external to the organisation, are provided to management to guide change initiatives. Human resources departments usually provide the policies that govern change initiatives among staff. Deetz, Tracy and Simpson (2000) as well as Anderson and Anderson (2001) are in agreement that policies and procedures play an important role during organisational change.

The importance of formulating organisational change procedures is also evident from the amount of information available on organisation change policy. An Internet search I conducted on 29 January 2005 detected more than a million sites dealing with the formalisation of organisational change management.

**Web Results 1 - 10 of about 1,120,000 for organisational change policy. (0.15 seconds)**

When focusing on organisational change policy in South Africa, the Internet search produced more than 35 000 sites.

**Web Results 1 - 10 of about 35,300 for organisational change policy. (0.13 seconds)**
Most of these sites relate to policies governing business and economics, employee training and development, human resources and personnel management, organisation theory, organisational behaviour, and organisation and management of education. However, all the sites have one main focus: the effective management of organisational change.

Policies and procedures should assist in aligning organisational change in and between departments and with the overall strategy of the organisation. For their part, the change interventions and methods should complement the policies and procedures (Dobson, Starkey & Richards, 2004; Burke, 2002; Deetz, Tracy & Simpson, 2000). Veldsman (2002) adds to this consideration the importance of the philosophy, policies and practices for people management and for the reconstitution of the psychological contract between the organisation and the individual.

4.4 SUMMARY

The purpose of this chapter was to highlight the most important change constructs. In doing this I presented definitions of organisational development, and discussed the concepts of organisational change, namely the systems view, complexity and unpredictability.

In addition, I offered a summary of the main theories and models and the thoughts of different scholars on the subject. I emphasised the dilemma of leaders who are faced with deciding between the various constructs as well as the lack of practical guidelines on "how" to effect successful change, which dilemma urgently calls for pertinent action in respect of the design of change processes. I assessed the availability of change models for financial institutions and the banking industry in particular, and concluded that very little theory is available on change management within this sector. Finally, I also noted the role that policies and procedures need to play in organisational change.
In Chapter 5, I present and discuss the change model that I created and tested with the RPs, reflect on other change theories and indicate where existing constructs were used in constructing and explicating my model.
CHAPTER 5

CONSTRUCTING A CORPORATE CHANGE MODEL

5.1 INTRODUCTION

The aim of this chapter is to present the Basics of Corporate Change Model (BCCM) as analytic tool to illuminate the change process initiated at the Bank. More specifically, I describe how I constructed this symbolic instrument by using primarily data received from the research participants (RPs) and employing abstract change model concepts found in the literature. By relating some of the RPs' constructions, expressed as concepts and categories, with each other, I offer a model that illuminates the pattern of the RPs' experiences and perceptions.

However, before I present the BCCM, I elaborate on a particular set of analytical tools that social scientists often use to make sense of the phenomena they study.

5.2 BRIEF NOTES ON CONCEPTUAL FRAMEWORKS

Although a comprehensive discussion of all the building blocks of science can obviously not be provided here, it is necessary to get clarity on (i) how social scientists typically use conceptual frameworks (i.e. typology, theory and model) as research products to make sense of phenomena they research, and (ii) whether a substantive model or a substantive theory should be used to illuminate leadership and change in the Bank.

Although the term “conceptual frameworks” has been used loosely (Janesick as well as Rist, in Denzin & Lincoln, 2000; Creswell, 1994), Mouton and Marais (1990) offer a good explanation of this tool when stating that once scientific statements are integrated into conceptual frameworks, similar structures of science can be identified, namely typologies, theories and models. According to
them, the function of the framework will determine its nature. Thus, a typology’s function is to classify or categorise; a model’s function, while also categorising, is heuristic (i.e. discovering or “exposing” certain relationships between concepts); and, although a theory’s function is to classify and to discover, its basic function is explanation and understanding. According to these authors’ guidelines, it is fair to say that the current study initiated a substantive model of organisational change, rather than a theory.

By means of grounded theory (as discussed in Chapter 2) I developed a model of organisational change. In order to examine its appropriateness, I presented it, as already mentioned, to six RPs during a focus group discussion. During this discussion I asked the RPs to evaluate the model, and after they had evaluated it positively, to (i) identify, if possible, its main phases, and (ii) provide a suitable name for it.

5.3 THE BASICS OF CORPORATE CHANGE MODEL (BCCM)

I now present the model in more detail.

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45 At the beginning of the focus group discussion I presented to the RPs all the data obtained from them (i.e. the data obtained by means of both the semi-structured interviews and questionnaires), before I presented existing organisational change constructs to them. Subsequently they compared the model I derived from their constructions with other existing abstract models in the literature. Then they adjusted their model by adding – and rewording – some categories.

46 The RPs identified four distinct phases of organisational change and offered “Basics of a Corporate Change Model” as name for the instrument.

47 I use the RPs’ verbal responses to illuminate the model’s concepts.
5.3.1 BASICS OF THE CORPORATE CHANGE MODEL

From an inspection of the data (including the literature review) four distinct phases were identified in the organisational change cycle, namely: Phase 1: Preparation; Phase 2: Design; Phase 3: Outcome; and Phase 4: Reflection.

The BCCM is presented graphically on the following page.

I now explicate each of the identified four phases.

5.3.1.1 Phase 1: Preparation

Not surprisingly, before an organisational change can be designed, various factors need to be considered. This is done in the first phase of the change process, namely the preparation phase, and the factors to be considered include organisational politics, environmental complexity, environmental assessment, client focus, strategy, organisational culture, management and leadership role, communication, perception of employees, focus on the individual, and support.

- Organisational politics

Organisational politics refers to the unwritten rules guiding the behaviour of the employees of the Bank. Derek indicated that he was experiencing difficulties in bringing about change within his area of responsibility due to organisational politics:

"I reckon we could have gotten a lot more out of that [the change that was implemented], but it is getting Johan's boss on board and getting him in touch with this whole thing [the change]. We would have gotten a hell of a lot further, but their boss, Pieter, is playing politics. The whole aspect of..."

The reader is reminded that all the RPs' names have been changed.
the profitability is going to take a while before it is implemented due to this [organisational politics]."

Discussing the use of internal versus external project leaders to drive the change process, Brian also indicated that organisational politics could have an effect on the change process:

"The other risk is obviously that, internally, the team is far more open to politics. It [the change process] is not totally in my control when using internal resources to drive the process. I think, unfortunately, that is exactly what happened to the team that was involved in this project: They were half way through the project and although they were already allocated to be involved throughout the project, they were actually disbanded. If it was an external party it's far more unlikely to have happened."

From the preceding it is clear that, before a change process is implemented, the role of organisational politics needs to be assessed and managed in order to reduce the possibility of failing to achieve the desired change results. This seems to be particularly true when internal resources drive the process.

- Environmental complexity

"Environmental complexity" refers to the number of internal and external factors influencing the Bank, and how sensitive the organisation is to these. Pieter reflected much on the "ongestruktuurde en komplekse omgewing waarin ons werk" [complex and unstructured environment in which GPS, their department, operates]. He described most changes within GPS as "verandering binne 'n verandering" [change within a change] and contended that the employees in

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49 GPS is the business unit responsible for managing all payment streams within the Bank, thus not only facilitating the smooth running of each complex individual payment stream, but also the interdependencies and influences the various payment streams have on each other.
GPS had to deal with "kompleksiteit op kompleksiteit" [a lot of complexity]. He mentioned that at any one time, there were "vyf tot sewe projekte wat almal prioriteit is" [five to seven projects that are all priority] and that the employees also had to "fokus op dag-tot-dag werk" [focus on their day-to-day tasks as well]. Derek underscored this:

"There are so many things going on at the same time which you have to keep track of." Brian added that people "need to understand the complexities and dynamics of payment systems".

- Environmental assessment

Focusing on environmental complexity leads to environmental assessment. This refers to the task of assessing the environment in which the Organisation functions in order to ensure that all direct and indirect influences that may impact on the effective implementation of the anticipated change are anticipated and managed. Pettigrew and Whipp (1991, cited in Johnson & Scholes, 1997) found that environmental assessment represents one of the five characteristics of organisations that manage change successfully.

- Client focus

"Client focus" refers to the effect the anticipated change could have on client relations internally and externally to an organisation. This category was added after the RPs discussed the proposed model. Focusing on the different change-management leadership competencies, Dering (1998) points out that one of the important management competencies in a change period is the ability to ensure that customer relations remain the focus. Leaders should thus not only have an internal focus during times of change, but should also realise that the internal change could affect external client relations. Owing to the direct effect any change within GPS would have on the Bank's relationship with all its clients, the
RPs felt that this category should be considered when planning any change within the bank.

- **Strategy**

Before any change is implemented, the strategy of an organisation should be determined. Pieter added the strategy category during the focus group discussion. He felt that the Bank's strategy should drive the change process:

"Alles begin by die strategie. Dit sé waarheen ons wil gaan." [Everything starts with determining the strategy. It indicates where we want to go.]

"Sonder dit sal ons nie weet watter veranderinge om eerste op te fokus nie." [Without the strategy we will not know which changes to focus on.]

David (1997) agrees with this and states that change flows from strategy formulation. Change implies a shift in responsibility from those who formulate the strategy to those who are required to implement it, namely divisional and functional managers.

- **Organisational culture**

"Organisational culture" refers to the norms and values driving behaviour in an organisation. Six of the eight RPs indicated that organisational culture previously affected the way change was implemented. Discussing his experiences while working for a government department, Pieter stated:

"By nature is die staat nie die mees nicest plek wat daar is nie. Die hele opset, die hele manier van dinge doen is anders." [By nature, the government is not the nicest place to work for. The whole environment and the way people do things are different.]
Werner, who worked for another employer, stated:

"It [how change is implemented] depends on the department, or the people working in the department."

Joy agreed:

"But it [change] obviously depends on which department you work for. I sometimes feel I do not belong here. I suppose the culture of the department is different. Sometimes I feel that people really protect their language. For instance, I was sitting in Peet's office and he was speaking to Kobus. Kobus would send an e-mail in Afrikaans and he would mention my name several times in the e-mail, no matter how often I asked him that if he mentions my name he must please write it in English so that when I read it I can understand exactly what he is saying."

Elbe also reflected on an organisation she previously worked for where shouting at people was perceived to be "part of the culture". She compared this experience to her current working environment in GPS and stated:

"Ek het nog nooit so iets hier beleef nie, wat vir my wonderlik is. Dit is degrading. Dit het nog nooit hier gebeur nie. Ek was in Western Area by bank X en vandaar was ek oor na hulle Jeppestraat-tak toe. Ek het net nie dieselfde hoeveelheid respek vir mekaar daar beleef as wat ek hier beleef nie." [This (shouting on people) has never happened here (in GPS). I never experienced it anywhere else, which is wonderful to me. It is degrading if something like that happens. GPS is a wonderful environment to work in. I worked in Western Area for (another) bank and then moved over to their Jeppe Street branch. People did not have the same level of respect for each other as I am experiencing it here in GPS.]"
It is clear that the culture of the Bank influenced the way its employees reacted to, and perceived organisational change. More specifically, it influenced the way communication took place, as well as how people were generally treated in times of change. This, in turn, affected the employees' experiences of change and ultimately contributed to the successful implementation of change.

- **Management and leadership role**

The role that management and leadership play during organisational change cannot be underestimated. All but one RP indicated that the management and leadership role affected the way change was implemented in the Organisation. This role related to the attitude towards, and support provided by the management team of the Organisation in times of change. These include: honesty, emotional intelligence, providing guidance and support, creating buy-in, providing a clear vision and purpose for the rest of the employees, focusing on the retention of staff, specifying expectations of them, and identifying the cause-effect relationship between events.

The performance of these management and leadership tasks should result in integrity, perceived fairness and trust during a period of organisational change. This concurs with Antal's (1993, p. 12) findings: "It is the process of developing a shared vision and values that both creates the glue and mobilises action, not the content alone. For those who are not involved in the process, the result is only words on a paper that are unlikely to create energy." Potter (2001), Chapman (2002) and Graetz (2000) agree that setting clear direction is a core leadership competency. Duck (1993) as well as Mintzberg, Ahlstrand and Lampel (1998) argue that a holistic approach, which treats the systematic and interactive aspects of change as a sum of its parts, needs to be taken when one manages a change. The key is to manage the change dynamic and not the individual pieces (Senge, Roberts, Smith, Roth and Kleiner, 1999).
Pieter indicated that it is important in times of change that "die persoon in die top dit embrace van dag een af". [Top management need to embrace the change from the start]. In a recent change in their department, the management team had the task to create buy-in from the rest of the staff. At the outset of the change "die hele bestuurspan het 'n taak gehad om met die personeel te gaan sit en deur die proses te werk." [The whole management team were tasked to discuss the process with all staff.] Brian also felt that "the leader can only be an example" and that "strong leadership is needed" in times of change. Werner added: "Dit lê baie in die bestuur van 'n afdeling en die persone wat die besluite neem." [The responsibility for effective change lies with management and the people who take the decision to change.] Derek referred to this as "dynamic leadership".

Brian experienced that, during a change process, it was important to "never promise which you can't deliver", for this would influence the integrity of the leader. He further indicated that the leader "should be absolutely honest with them [staff]."

Furthermore, it was important that buy-in from all levels had to be obtained before change was implemented. Pieter pointed out: "Middelbestuursvlak moet dit steun – buy-in van die seniorbestuurspersoneel. Die persoon in die top moet dit embrace van dag een af." [Middle management should support it; there should be buy-in from senior management level. The person at the top should embrace it from the outset.]

Elbe reflected on the way a change was implemented in a department she was previously working for:

"Hulle het ons ingeroep en 'n vergadering gehou. Hulle het toe eers vir ons gekommunikeer daar is die moontlikheid van herstructurering, die twee moontlike opsies wat ons kan volg – jy weet hoe die struktuur gaan
Elbe noted that, since the management team did not achieve buy-in from the staff on the process of implementing the proposed change, it created a lot of discomfort among the staff and influenced the perception of fairness negatively. She felt that integrity, fairness and trust in the process would have been achieved if the management team had been honest from the start and if a clear vision had been communicated.

Another leadership role is the retention of key staff during the change process. Pieter commented that it was important during the change period: "Dit was belangrik dat ons sterre op daai stadium nie sleg gereageer het nie." [It was important at that stage that our champions would not respond negatively.] Werner reflected on an incident that happened to a previous colleague of his when they went through a restructuring of their department:
"Hy het net vir haar ingeroep en gesê: Jy sal more aan daai ou rapporteer ... As jy 'n hele departement amper by jouself gebou het tot op 'n punt en iemand sé dit vir jou ... Jy weet, ek sou ook indien ek die kans gehad het om te loop, onmiddellik geloop het." [He (the manager) called her (the employee) in and said: Tomorrow you will report to somebody else ... If a person has built a department up by herself and someone says that to her ... You know, I would also have resigned immediately if I had the opportunity.]

Thus, the way management approach employees and inform them that they will have to move to other positions and/or to different reporting lines plays an important role in retaining staff in times of change.

The preceding constructions regarding the role of leadership and management correspond with Hennestad's (2000) finding that there is a leadership and management dimension to change. Leadership and management coincide with the change-management leadership competencies identified by Dering (1998), which include: vision and purpose, customer focus, organisational focus, process improvement, developing subordinates, team development, meeting effectiveness and innovation.

Thus it is fair to conclude that when designing and implementing organisational change, leaders should be attentive to their influence on and reaction to the change process, not only from an organisational point of view, but also from an employee point of view.

- Communication

One of the most important categories in the change process is communication. Pieter claimed:
In this study, four main focuses were identified that relate to communication: (i) what is communicated and in what manner it is done; (ii) when change is communicated; (iii) respect shown to employees during the communication process; and (iv) celebrating small wins during the change process. We now take a closer look at these categories.

What and how change is communicated

This category encompasses the provision of a holistic picture, a vision and reasons why change is necessary. Brian said: "You need to communicate about what is happening." He also indicated that people need to know "the context of change, as well as the reason and the principles behind it".

Reference was also made to the manner in which communication takes place during change processes. Pieter mentioned a change process that had to be implemented in their department. First, the management team had to decide how they would inform the employees about the change. ("Ons het gesprek gehad op bestuurspanvlak om te sé: Dit is die situasie en dit is die verandering wat ons voorsien. Wat maak ons nou?") They decided that the best option was to have communication sessions with each division. ("En die hele bestuurspan het 'n taak gehad om met die personeel te gaan sit en deur die proses te werk.") To keep staff informed during the change process, management also made use of e-mails. ("Daar was ook gewone e-mails wat van tyd tot tyd gestuur is.") Pieter found that by doing this, the process was kept transparent and the staff informed.
Referring to the same change process, Elbe, not being part of the management team at the time, stated that she experienced the communication from the management team as good. ("Persoonlik in my ervaring was dit goed.") When she compared her experience to what she perceived as happening in other departments, she felt that the communication was open. ("Dit was regtig, in vergelyking met wat gebeur in ander afdelings waar ek al was en soorgelyke dinge plaasgevind het, oop kommunikasie.")

Management also requested staff to provide feedback on how they could improve on the way they communicated to staff. ("Dit was die heeltyd verwelkoming en hulle het gevra ons moet participate. Hulle het gevra: Het julle 'n voorstel hoe ons dit beter kan doen? Kan ons dit anders doen?")

These first-order conceptualisations coincide with findings by Craffert (2001, p. 209) and Spreitzer (1996) that, by providing employees with information about the process, one contributes to their feelings of having the ability to exercise control in the situation. It would also reduce the uncertainty that comes with change and provide employees with an understanding of their work environment, which would inevitably enhance the perception of having the ability to take control.

In addition to the above, a holistic picture is essential. Pieter recalled: "Een fout wat ons gemaak het was dat ons nie up front ons probleme 100% met hulle gedeel het nie. Ek dink nie dit is 'n skande om die probleme met jou personeel te deel nie." [One mistake we made was not to share the problems we experienced as the management team 100% with the staff. I do not think it is a shame to share your problems with the staff.]

Furthermore, management also needs to provide a vision and clear objectives. Werner said it was important that people could see "die hele prentjie" [the total picture]. Derek agreed:
"Guys need to have a clear understanding of what the objectives are. The group needs to know where it wants to go, where it wants to be." He found the team meetings to be valuable in this regard: "We used to have team meetings. In the team meetings they would tell us this is what is planned to be done."

When change is communicated

In respect of this subcategory Elbe stated the following:

"Hulle het ons ingeroep en 'n vergadering gehou. Hulle het toe eers vir ons gekommunikeer daar is die moontlikheid van herstrukturing, die twee moontlike opsies wat ons kan volg – jy weet hoe die struktuur gaan werk. Daarna het die bestuurspan agter 'n toe deur besluit oor 'n struktuur en hulle het toe teruggekom na ons toe. Die bestuurders het toe elkeen sy eie spannetjie ingeroep en verduidelik wat is elke nuwe afdeling se rol en wat is ons afdeling se rol en jy as persoon wat is jou rol. En die personeel was toe sewe dae geleentheid gegee om te appelleer as hulle ongelukkig was met hulle posisie." [Management called a meeting and informed us about the restructuring of the department. They also noted that they had two different options on how to handle the restructuring. The management team then discussed the new structure behind closed doors and presented it to us. Every manager then had the task to discuss what each sub-department's role would be and what the roles of individuals working in these departments would be, and their functions within their respective teams. People then had the option to appeal if they were not happy with their placement in the new structure.]
Kotter (1995, p. 63) argues that "without credible communication, and a lot of it, the hearts and minds of the troops are never captured."

Respect shown to employees

Respect shown to people during the change process is also important. Throughout the change process at the Bank, employees wanted to be handled with respect. Joy agreed: "People need to be handled with respect." Most authors on organisational change concur that the leader's ability to deal with individual discomfort and resistance to change is a key role in managing change. Cornell (1996) explains this leader function in terms of a climate of mutual respect. He argues that this could be achieved through ensuring good systems of communication and a reputation for being fair and willing to listen to new ideas and criticism.

Celebrating small wins during the change process

The fourth subcategory, namely "celebrating small wins during the change process", was added after various theories and models were considered during the focus group discussion. The RPs referred to the theories presented by Harper (1998), Kotter (1995), Nevis, Dibella and Gould (1995), Weick (1984), and Coyle-Shapiro (1999) in this regard. These scholars argue that a change process can lose momentum if short-term goals are not met and celebrated. According to Weick (1984, p. 46), a small win reduces powerlessness ("this is no big deal") and demands ("that's all that needs to be done"), and raises perceived skill levels ("I can at least do that"). Weick continues: "Deliberate cultivation of a strategy of small wins infuses situations with comprehensible and specific meaning (commitment), reinforces the perceptions that people can exert some influence over what happens to them (control) and produces changes of management size that serve as incentives to expand the repertory of skills (challenge)."
In the light of the RPs' statements as well as the theoretical concepts, the importance of communication during organisational change should not be underestimated. Not only is the "what" (content) of communication important, but also the "how". The effect of communication on individuals plays an integral part in the change process, since people need to be handled with respect at all times. It is also important that leadership, throughout the change process, should celebrate the small wins to ensure that momentum is maintained.

- Perception of employees

During a restructuring process, Joy experienced that management's perception of employees had an influence on how management reacted towards them. She recalled a person who had left the organisation at the time due to her perception that "people had perceived her as not being a hard worker". Although the person was at the time reporting to Joy, she (Joy) felt that the rest of the management team did not test their assumptions about the specific employee with her and that she (Joy) had been placed in an embarrassing position. Joy felt strongly that management need to confirm assumptions before taking action.

In her study on organisational change, Craffert (2001, p. 189) discusses the context in which change is taking place within organisations. She notes: "The nature of 'formal' relationships depends, to an extent, on an organisation's perceptions of employees (their role, status) and would be reflected in the various policies and codes of conduct dealing with human issues. So, for example, an organisation with a strong elitist and leadership perspective would perceive blue collar employees as unequal to those in positions of authority. They should be managed to perform particular tasks. On the other hand, organisations with a strong meritocratic or collegial perspective would perceive employees as equals who would be valued for their commitment, participation and teamwork." Her finding corresponds with my own findings, as well as

Based on these scholars' findings, as well as Joy's comments, it is clear that people's contribution to the success of a department or organisation should be assessed objectively. This could certainly contribute to the perceived fairness of the change process. If this is not done, it could create uneasiness about the change process and could result in employees questioning the fairness and integrity of management.

- **Focus on the individual**

At the centre of any organisational change are the affected staff. It is thus not surprising that Woodward and Buchholz (1987) argue that the central focus of change must be on its impact on individual employees. Various scholars, including Eby, Adams, Ruscel and Gaby (2000), Rousseau and Tijoriwala (1999) as well as Armenakis, Harris and Mossholder (1993) found that employees interpret and understand the organisational message of why change is necessary in a unique manner. Furthermore, the process of responding to events in their environment and understanding the reasons for change is based on individually held assumptions and expectations (Eby et al., 2000).

In this study the most important categories that need to be considered when addressing individual needs during a change process include fear of the unknown, showing appreciation, providing options, ensuring that individuals have the opportunity to provide input on the change process, providing growth opportunities during the process, showing recognition, and taking individual needs and interests into consideration. In addition, as the RPs confirmed, the unwritten contract between the organisation and the individual plays an important role. On the topic of the unwritten agreement (noted by Derek during the focus group discussion), Craffert (2001, p. 194) states: "The psychological contract is
more like a mutual agreed relationship of responsibilities. Some perceive an organisation as a place to apply their particular skills in exchange for money whereas others expect an organisation to provide social interaction and opportunities for creative development and demonstrating other abilities.

Furthermore, the RPs felt that just as leaders' emotional intelligence guides their reaction to change, employees' emotional intelligence influences their experience of transformation.

Another matter also needs to be considered when focusing on employees: They need to feel appreciated and in control. If this is not taken into account, the change process is much more difficult to manage. Brian noted:

"I had to know whether I fitted in there. I didn't feel appreciated." He also acknowledged: "To deal with people on an individual basis is very difficult but listening to concerns of staff is important."

During a previous change process, Amanda felt quite scared ("was ek ook maar bang en half bangerig vir wat wag"). She was also afraid that she would lose her job. ("Ek was bang ek verloormy werk").

After the implementation of the restructuring process, Elbe felt that management did not take her needs into consideration. She confronted them:

"Hoekom was mense net in poste gesit? Hoekom is daar nie gevra in watter pos hulle wil wees nie?" [Why were people just placed in positions? Why were they not asked in which positions they wanted to be?]
On this theme, Werner stated: "Om my inset te gee was belangrik." [It was important for me to provide input.] Joy agreed:

"Listening to concerns of staff is important. We didn't have much say. Nobody had a say on how it [the change process] should be done. Management have to learn to acknowledge the fact that every person who says something has to be considered."

Management also needs to provide clear guidelines on how they anticipate implementing the change process. It is thus important that they share their vision with the employees. Linked to this, Senge (in Senge et al., 1999) argues that the mental models of individuals need to be taken into consideration, as well as their previous experience of change. This will affect their level of buy-in into the proposed vision, and, more importantly, how it will be achieved.

Beer, Eisenstat and Spector (1990) argue that the development of a shared diagnosis of what is wrong and what must be improved, is a critical first step in a change effort. Bartunek and Moch (1987) concurs and states that an organisation's schema of change does not automatically happen; it needs to be negotiated amongst its individual members. According to Tampoe (1990, p. 349), successful change "requires a period of consultation so that a coincidence of views and goals can be achieved". Antal (1993, p. 12) argues: "It is the process of developing a shared vision and values that both creates the glue and mobilises action, not the content alone. For those who are not involved in the process, the result is only words on a paper that are unlikely to create energy."

According to Beer et al. (1990), involving employees in the development of the vision makes it easier to mobilise them to work towards it while the flow of information is improved with broad participation. Harper (1998) concludes that
employees are more willing to distance themselves from the past if they are offered the opportunity to participate in shaping the future.

Another important aspect when focusing on the employee, is providing growth opportunities. Six of the RPs felt that, when they were learning a new skill or experienced personal growth during a period of change, the overall change was more positive. As Elbe commented on a recent change in the department:

"Dit was 'n baie goeie leerproses waardeur ons gegaan het - ons gaan definitief goeie resultate kry." [It was a positive learning experience - good results will certainly be achieved.]

Craffert (2001, p. 194) also finds that the focus on the individual employee during a change process is important: "Research into the role of personal traits, coping strategies and thinking patterns suggests that personal characteristics, such as internal locus of control (perhaps more the belief about the ability to control as the actual control itself), high feelings of self-efficacy, tolerance of ambiguity, a high self-esteem, and an ability to adjust personal frames of reference to include information from the external environment facilitate experiences of and adjustment to change and threatening situations in the work environment."

Buy-in from individuals is another important matter. Pieter stated: "En ek het persoonlik eienaarskap geneem, persoonlik geglo daarin." [He personally took ownership and believed in past changes in his department.] He experienced changes more positively. He felt that a person should make a "shift in his personal framework" and "believe in a cause, believe the vision, and commit energy, talent and time" to the change. This would result in a more positive experience of the change process.
An individual’s previous experience of change influences how he or she perceives subsequent changes. Werner commented: "Dit hang af van hoe jy groot geword het, jou vorige ervaring." [A person's experience of change is influenced by his upbringing.] At the focus group discussion, the RPs all felt that when people’s past change experiences were positive, they tended to embrace new changes more easily.

According to Armenakis et al. (1993), specific individuals may also react differently to the same message. According to social differentiation theory, the individual's culture or subculture membership influences his or her understanding. Craffert (2001, p. 188) states: "Thus, when transformation is introduced, it happens in the context of a whole web of relationships and against a backdrop of histories of past experiences involving perceptions of trust, support, honesty, fairness, and integrity. These relationships and experiences are therefore mitigating factors in employees' experiences and opinions regarding the proposed transformation." This relates to Joy's experience of her current position in GPS when she commented: "I sometimes don’t feel I belong here; I suppose the culture of the department is different. Sometimes I feel that people really protect their language." By their use of language, for example, people may include or exclude certain members of the team, resulting in individual experiences of a similar change event being vastly different.

The influence change has on individuals is of crucial importance in effective change intervention. Therefore, one of the most important considerations in designing change interventions is the anticipation of the experiences of different individuals in the change situation. As each individual will, from his or her own frame of reference, have a unique experience of change, the design of the change intervention must facilitate individual needs and experiences. It follows that the inclusion of staff in change process designs may result in more positive results. In conclusion, I agree with Cooper and Markus (1995, p. 39) when they state: "Organisations are bound to continue having trouble implementing change"
until they learn that people resist not change per se, but the way they are treated in the change process and the roles they play in the effort.

- Support

The last category of the first phase of the change process is support. Support consists of two categories, namely (i) social identity and (ii) social support. In essence support implies that staff members need to identify with other people going through a similar experience and should be receiving support from their peers during a period of change. Six of the RPs indicated that the level of support a person receives will influence his or her experience of change. The more support a person receives, the more positive the experience of the change process.

Pieter reported as follows on a major change: "Vriende gemaak met die mense wat in min of meer dieselfde bootjie as jy is." [Closed friendships with people in the same boat.] This helped him to experience the change process more positively. He also indicated that a "social club" that facilitates the informal relationships between staff could help people to cope with change.

Organ (1990) as well as George and Brief (1996) describe such spontaneous behaviour as pro-social organisational behaviour or organisational citizenship behaviour. Katz and Kahn (1978, cited in George & Brief, 1996) feel that this type of behaviour is often taken for granted and is often overlooked in systematic study. However, for an organisation to be effective, this behaviour is necessary. According to Katz and Kahn (1978, cited in George & Brief, 1996, p. 311) "an organisation which depends solely upon its blueprints of prescribed behavior is a very fragile social system".

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Another example of supportive behaviour came from comments made by Joy. Joy and her friends used to travel to university by means of "Struggle", a bus that came to be a symbol of their effort to get transport to class. Due to the restrictions of the (then) political dispensation, Joy and her friends were not allowed to make use of other public transport. Thus, by travelling together in "Struggle", they could identify with each other's problems and experiences during South Africa's apartheid years. It also contributed to the development of a support network for these students during South Africa's very difficult transition phase.

I personally also found that, through membership of a social support network, people reacted more positively to change. Pieter indicated that by socialising with other people and knowing that he could rely on them to support him during the change process helped him to cope with it.

Armenakis et al. (1993) state that individual employees are susceptible to colleagues' opinions of change. Likewise, Barczak, Smith and Wilemon (1987) found that employee relationships play an important role in a transformation process. They identify "bonding" and "attunement" amongst organisation members as important factors for successful large-scale change. "Bonding" and "attunement" develop when members cultivate "a greater sense of community, trust, respect and shared values" (Barczak, Smith & Wilemon, 1987, p. 29). This coincides with the views of Ashforth and Humphrey (1995), as well as Eby et al. (2000), whose studies identify level of trust and acceptance, shared emotional experiences, tolerance, and the convergence or divergence of personal ideologies as contributors to the nature of relationships amongst employees.

Considering the feedback received from the RPs on socialising with, and receiving support from peers, as well as the importance of pro-social organisational behaviour as described by Organ (1990) and other scholars, the design of a change intervention should allow for social interaction and informal
support by employees going through such a process. This should result in a more positive experience of the change process. In addition, this may be beneficial to the process, for employees may well be positively influenced by their colleagues during it, which in turn may reduce resignation from the process, as described subsequently.

5.3.1.2 Phase 2: Execution

This phase boils down to designing and implementing the change process. The design will be determined by the categories discussed in Phase 1, which will either lead to buy-in from those undergoing the organisational change or resignation from it. Resignation from the process implies that employees believe neither in the process nor the results of imminent change. This can lead to frustration, low performance and perceptions that the process is unmerited. This, in turn, could result in resistance to change. In this regard, Derek stated:

"Some will resist the change and then there are those that really accept it although they are not exactly sure how it’s going to work out."

Various scholars have noted that the focus should not only be on people resisting change. Ashford (1988) notes that there is a tendency to ignore the many employees who are actively trying to cope with and adjust to change and tend to focus on those resisting change. Craffert (2001, p. 185) argues that the underlying assumption of such a view is that "transformation is necessarily perceived and experienced as a loss". It does not take into account those individuals who experience the change in a positive light.

The term "resignation" was proposed at the focus group discussion by Derek. According to him it depicts the opposite of buy-in. Lawrence (1991, p. 79) adds another dimension: "We are all, at times, resistors as well as instigators of change ... Resistance to change is by itself neither good nor bad. Resistance
may be soundly based – or not. It is always, however, an important signal calling for further inquiry by management.” Craffert (2001, p. 215) states: “Resistance can also be constructive where voice is aimed at warning about wrong decisions or directions.” Management should thus not see resignation to change as an effort to sabotage the anticipated change, but rather as a potential warning sign that can indicate that the change direction should be revisited. Senge et al. (1999) and Kotter (1996) agree that resistance should not only be viewed negatively, since it provides a degree of stability and predictability. Without this, organisational behaviour would take on the characteristics of chaotic randomness. It ensures that change is implemented in a way that is right for the circumstances and contexts of the organisation.

In this study I identified the following four main categories of resistance reduction that necessitate consideration when designing the change process: (i) putting pressure on people to change; (ii) measuring commitment; (iii) structuring and planning of the change process; and (iv) using enterprise-wide change tools. I now turn to each of these.

Considering the first and second categories, Werner felt that not all people would change out of their own accord; pressure must sometimes be put on those who do not want to change:

“Mense is nie almal mal oor verandering nie; ek sal net nooit as ek moet kies sommer die verandering kies nie. Ek resist change en dan gaan ek weer aan, so dit is goed as ek druk ervaar.” [Not all people are keen about change; I would not choose change out of hand. I resist change and carry on. So it is a good thing for me to experience pressure.]
One of the ways to achieve buy-in is to assess people's commitment to change. Pieter felt strongly that supporting a change intervention had to be made part of a person's key performance areas (KPAs) and that a person's support of change had to be reflected in incentive schemes and bonuses.

The third category suggests that structuring the change process may be important. Six of the RPs indicated that it was imperative to structure and plan the change process. Pieter felt that, although the process had to be planned, it had to be flexible. Indeed, his experiences of previous change processes where little structure was given were negative. This is supported by scholars such as Qubein (2001), Besecker (2001) and St-Amour (2001). They agree that change must be thoroughly planned in order to be effective and believe that it should be well defined, well planned, effectively communicated and properly implemented. The planned approach is also acknowledged by Downes (1998).

Regarding the last category, the RPs referred to supporting processes that helped to facilitating change as "enterprise-wide change tools". These refer to other organisational processes that can assist with the implementation of a new change initiative. In the Bank, various programmes are being implemented to develop and equip staff to deal with change at an organisational and personal level. When designing a new change initiative, it is important that these programmes should be incorporated in the execution of the change initiative, since they may subsequently contribute towards minimising resignation due to change.

The above clearly ties in with Rousseau and Tijoriwala's (1999, p. 516) statement: "Employees are not merely passive recipients of change messages." Therefore in planning change intervention, management will have to actively plan how to influence employees to buy into the process as well as its projected outcomes. Armenakis et al. (1993) and Eby et al. (2000) use the term "readiness
for change". Armenakis et al. (1993, p. 682) define it as the "cognitive precursor to the behaviors of either resistance to, or support for, a change effort".

Once the change process has been designed and implemented, the focus must be shifted to how to assess its outcome.

5.3.1.3 Phase 3: Outcome

The main focuses here are employees' experiences of the process as well as the effectiveness of the envisaged implementation of the organisational change. In this phase many emotions are experienced by people in a change environment.

The RPs experienced a range of emotions. After losing her job due to the liquidation of the previous company for which she worked, Amanda experienced a lot of sadness:

"Ek het baie gehuil en was hartseer oor die besigheid. Ek het nie met bitterheid nie, maar met hartseer daar uitgestap." [I cried a lot and was sad about the entire matter. I did not walk out with resentment but with sadness.]

Such experiences led to some anxiety and uncertainty. She described the feelings as follows:

"Ek was half bangerig vir wat wag, soms selfs paniekbevange." [I felt a little scared and sometimes even panicky]. She also said: "Daar was soveel stres en soveel spanning. Ek dink ek was later getraumatiser. Toe eers was ek upset." [There was so much stress and anxiety. I think I was traumatised later. Only then did I feel upset.]
When Brian was exposed to a change process that he did not agree with, he "got extremely angry with different role players" and "blamed them".

From the discussions with the RPs it became clear that many of the emotions mentioned were not experienced during the change process itself, but only when the process was concluded. It was also evident that when resignation was more profound, negative emotions were far more severe and lasting. When the emotions that surfaced during the personal interviews were discussed with the RPs during the focus group discussion, the one they primarily identified with (due to their own experience) was the feeling of disempowerment. In cases where they resigned from the change process, the RPs experienced increased levels of anger, fear, stress, sadness, trauma as well as blame.

Since people experience change processes differently, it follows that they could experience different levels of trauma. The importance of reaching closure after completion of a change intervention becomes quite apparent. The fourth and final stage, reflection, provides such closure.

5.3.1.4 Phase 4: Reflection

This phase was added to the model by the RPs during the focus group discussion. Pieter said that he always took some time to reflect on a change event, regardless of it being "good or bad". All the RPs agreed with this statement. Therefore they decided to add this as the final phase to the process. The term "team learning" was proposed to refer to this category.

During this phase a team will look at the lessons they learned from a particular change process. This helps to ensure that future change initiatives can be planned and implemented better. Also, as part of reflecting on the effectiveness of a change process, an evaluation of the change should be undertaken. This coincides with the views of scholars such as Applebaum and Wohl (2000) and
Sugarman (2001), who caution that evaluating change is often neglected. They emphasise the need to monitor and measure change outcomes in order to determine whether the process has had lasting effects. Various other scholars recommend that there should be a focus on hard data measurements (net income, return on investment, stock price) as well as soft data measurements (culture, previous circumstances) of change. These scholars include Pettigrew, Woodman and Cameron (2001), Potter (2001), Burke (1995), Doyle (2001), Kaplan and Nortin (1996), Kanji and Moura (2001) and Tizard (2001).

On the issue of psychological closure, Albert (1984) argues that this is reached by sharing feelings and emotions. Without it the process is incomplete. Tampoe (1990, p. 347) comments: "Managing change in organisations is as much about managing emotions of people as it is about managing logistics of change." According to Gagne, Koester and Zuckerman (2000), the acknowledgement of the feelings of employees facilitates acceptance of change. Ashford (1988) agrees that sharing worries and concerns appears to be the most effective coping response during organisational transitions. She also indicates that without official consent or permission "individuals may be less likely to share concerns and more likely to worry about appearing confident" (Ashford, 1988, p. 31).

Needless to say, employees do not always feel it is appropriate, or even allowed to discuss their emotions within organisations. Rafaeli and Sutton (1989) as well as Van Maanen and Kunda (1989) discuss organisationally approved or prescribed emotions. With regard to the role of emotive appropriateness, Rafaeli and Sutton (1989) mention that a clear distinction must be made between the emotions that employees feel and those they actually express. According to Ashforth and Humphrey (1995), emotions are perceived as barriers to and interference with the rational approach towards task accomplishment and therefore have to be controlled. To this they (Ashforth & Humphrey, 1995, p. 98) they add that "emotions are an integral and inseparable part of everyday
organisational life. From moments of frustration or joy, grief or fear, to an enduring sense of dissatisfaction or commitment, the experience of work is saturated with feeling." Thus, "the validity of emotion for those who feel it is a given, is subject to no known truth test, and is neither right nor wrong" (Van Maanen & Kunda, 1989, p. 53), and "ignoring the emotions neither obviates their influence on behavior nor provides any alternative for behavior or emotion" (O’Niel & Lenn, 1995, p. 32). In her study on employees’ experience of organisational change, Craffert (2001, p. 212) found that "ignoring the emotions that employees experience during a transformation process, will not make them go away but ... will rather contribute to the unnecessary negative experience of the process. Acknowledging the feelings of employees during a transformation process provides support for the need for autonomy. It may also be argued that acknowledging the feelings of employees can be to the benefit of the organisation as well, as this can contribute to the employee-organisation relationship."

In conclusion, for any organisational change to be accepted and incorporated into the day-to-day operations of the organisation, employees need to be debriefed before the change process can be viewed as complete. Without this phase, the organisation may achieve its initial change goal but miss the longer-term effect on its employees. If this step is neglected, the success and sustainability of the implemented change remain questionable.

5.4 SUMMARY

The first part of this chapter offered a discussion of the conceptual frameworks, i.e. typology, theory and model, as research tools. Considering the (sometimes vague) explanations of each of these frameworks in the literature, it became clear that the presentation of a substantive model rather than a substantive theory in this study was justified.
This chapter also explored the relationship between different categories of data that were received from the RPs. The propositions of these categories were made accessible by means of a schematic presentation of the Basics of Corporate Change Model (BCCM).

The four phases of the BCCM that were identified by the RPs at the focus group discussion as well as the different categories that constitute the phases were discussed in detail. In each section current theory on organisational change was compared to the findings. The "voices" of the RPs were made audible through the various verbatim quotations that were presented to describe the categories.

This study showed that employees experience change in different ways and that the role of leaders should incorporate the acknowledgement of the needs of individual employees. Change agents should in particular note that resignation during the change process is often only expressed after the change has been effected.

In the next and final chapter, I present a précis and the implications and recommendations of the study.
CHAPTER 6
PRÉCIS, IMPLICATIONS AND RECOMMENDATIONS

6.1 INTRODUCTION

In this chapter, I first provide a synopsis of the study. This is followed by a sketch of the study's shortcomings and most obvious contributions, and some remarks on my personal reflections. Finally I outline areas that, in my view, deserve further attention from local scholars and practitioners.

6.2 SYNOPSIS

Chapter 1 posed the question: Can, and if so, how can a clearly defined and practical leadership change model within a particular section of a local bank be obtained?

To answer this question, I studied the perceptions of change of eight bank employees on the basis of grounded theory. I conducted interviews with them and also asked them to complete a questionnaire on their experiences of the change intervention that was implemented at the time of the study. My analysis of the data showed that the practical change model I was looking for could indeed be derived from the data. I then applied member checking with the research participants (RPs) and also requested them during a focus group discussion to review my constructs on the subject. And so the Basics of Corporate Change Model (BCCM) were born. The methodology employed to produce this model was presented in Chapter 2. In Chapter 3 I offered topical examples of the data that were received from the RPs and how I systemised and analysed them for the purposes of this study.

In Chapter 4 I reviewed the most prominent scientific constructs in current organisational change implementation literature. The literature review was
Chapter 5 introduced the BCCM. The model comprises the following phases in a cycle of organisational change:

- Phase 1: Preparation
- Phase 2: Execution
- Phase 3: Outcome
- Phase 4: Reflection

Each of these phases consists of various categories that need to be taken into consideration when planning and implementing organisational change. Some of the most interesting findings were those on the category "resignation", as well as the importance of including a reflection phase in the change cycle. The RPs felt that, without the latter phase, sustainable organisational change would not be achievable.

The overall conclusion of this study is:

- The role that leadership and management play in a change process should not be underestimated. The RPs expected of their leaders to provide, foremost, guidance and a framework for change.
- The content and method of change communication play an important role in the success – or failure – of a change intervention. The RPs pointed out that employees needed to be informed about and understand the vision of the department or organisation, and be given valid reasons for the intervention, and be given these reasons as early as possible in the process.
- The RPs pointed out that people need social support from their peers during the process.
- According to the RPs, employees need to be treated as individuals during the implementation of a change. They require the opportunity to express
their specific needs and preferences, and these should be incorporated into the change process.

- Some of the RPs experienced anger, fear, sadness and blame after the change had been implemented. This was particularly the case when they "resigned" from the change process. Resignation from the process implies that a person does not believe in either the process or the results of imminent change.
- Time should be set aside for reflection and debriefing if change is to be sustainable.
- The results of this research support the literature on organisational leadership and change.
- This study enhances knowledge about methods of conducting qualitative research in organisations, and especially the use of grounded theory.

6.3 LIMITATIONS OF THE STUDY

Scientific research as human endeavour is necessarily fallible (Mouton & Marais, 1990). Although readers of this report may differ from me as to the study's specific limitations, I can only highlight those that I, in terms of my scientific beliefs and methodological approach, perceive as shortcomings here.

In the design of the study I opted for casing, with grounded theory as research strategy. Although this offered the advantage of demarcating the study, it also imposed certain limitations.

6.3.1 CASE STUDY

This study was done in one department of one South African financial organisation. In addition, the model only reflects the experiences of eight people, all employed in the same department. Furthermore, the main focus of

\[50\] See Chapter 2.
the study was to build a model for the financial industry. Other industries, for example the manufacturing industry, were excluded. Therefore the results of the study cannot be generalised to those, though they can serve as a guideline for other departments in the Bank as well as the bigger South African financial industry. Finally, only the conceptual framework and not the actual use of the model was tested.

6.3.2 GROUNDED THEORY

While grounded theory has been utilised since 1967 by various scholars, including students of leadership in organisations, I found no clear guidelines on its execution. After reviewing current scholars' application of grounded theory, I found Goulding's (2002) description of the grounded theory process to be most helpful. Nevertheless, as I worked through the various stages of the process, as described by Goulding, I sometimes still doubted whether I was applying the process correctly. The fact that I am new to the field of qualitative research, and especially to the use of the complex grounded theory process, naturally contributed to my difficulty in applying the methodology. In an attempt to reassure myself to some extent and to limit error in the analysis, I constantly compared my application of the process with the original work of Glaser and Strauss (1967) as well as Strauss and Corbin (1990, 1994). My humble opinion is that wider experience in the application of the process could have resulted in the development of a better model. Finally, to ensure a credible and trustworthy model, I "tested" with the RPs whether I had made the correct deductions from the data. I believe that this also mitigated possible researcher bias.

Being aware of one major critique of employing grounded theory as research strategy, namely that of the failure of the approach to provide proper attention to data collection techniques and the quality and analysis of the material (Goulding, 2002), I described in detail my approach to the collection, ordering and analysis
of the data. Wherever possible, I also offered concrete examples to enhance validity and transparency.

I agree with Smith (2004) that the application of grounded theory requires certain qualities from a researcher, e.g. interviewing skills, self-confidence, creativity and a wide general knowledge. As part of my daily activities as organisational development consultant, manager and psychologist, I am required to interview people on a very personal level and on various subjects. This, in my opinion, contributed largely to my having been able to conduct the interviews successfully. Also, my experience in the field of organisational development contributed to ensuring that I could be perceived as knowledgeable on the research topic and to elicit buy-in from the RPs. Being aware of the possible influence my prior knowledge of the research topic could have on my research activity, I also took care to eliminate leading questions from the interview schedule.

6.4 KEY CONTRIBUTIONS AND IMPLICATIONS

I believe that, first and foremost, this study has contributed to the knowledge field of social science, leadership and social change. Second, it has contributed to the practice, policy and strategy of dealing with organisational change in one complex environment, namely the banking industry. I now elaborate on both of these contributions.

6.4.1 ORGANISATIONAL SCIENCE, LEADERSHIP AND CHANGE

Theoretically, the main purpose of this study was to gain insight into the selected employees' constructions of organisational change. Taking mainly these concrete experiences as point of departure, I set out to derive a dynamic model of organisational change. As already indicated, although many scholars

\textsuperscript{51} As pointed out elsewhere in the report, I also used existing scientific constructs.
provide constructs dealing with the topic of managing organisational change, I could not find a structured process by which leadership as social influence process could be implemented and assessed against the background of the complexity of change within the banking environment. I believe that the model I derived from my data enhances the theoretical knowledge of organisational change management.

**Methodologically**, I set out to provide a framework for executing qualitative research within banking institutions. Although qualitative research has been used in organisational studies, **grounded theory has not been employed widely in exploring organisational behaviour in banks**. Having described the natural history of the study in detail, I trust that the research design and research strategy I employed in this study will provide a clearer explanation of the application of grounded theory in organisational settings, and specifically in the field of organisational development, change and leadership. I also hope that this study will guide the way to future applications of grounded theory in elite organisational settings.

### 6.4.2 PRACTICE, POLICY AND STRATEGY

Given my analysis of eight employees' experience of change, and having developed a change management model, I believe that the findings of this study can assist managers in the bank where I conducted my study in planning and executing organisational change more effectively, and adapting policy and procedures. In addition, as other South African banks are guided by policies and procedures similar to those of "my" bank, I believe they can also apply the findings and the change management model with great confidence. After all, "[t]o optimize the role and usefulness of qualitative methods for policy and program development, one must understand the information needs of policymakers, how qualitative methods can contribute, and how best to design research and report results" (Carey, in Morse, 1997, p. 345).
6.5 SOME PERSONAL REFLECTIONS

From the outset the qualitative research was a much more profound experience than I ever anticipated. In this regard I would like to mention the following:

- **Unique opportunity**

Although, formally, the study started in January 2004, the process started long before then. For some time I had been exploring different topics for a doctoral study. However, none of them seemed to grasp my attention and motivate me to the extent that I would consider them. Then, almost unplanned, I joined a department in the Bank, Group Payment Systems (GPS), and suddenly I realised that an opportunity had emerged that was interesting to me as industrial psychologist, would accommodate my inclination towards the qualitative approach, and could benefit the Organisation. Thus I applied for the doctoral degree in Leadership in Performance and Change.

- **Intricacies of qualitative research**

In general, using a qualitative design is by no means an easy option when conducting research. I do not think that anyone can embark on this journey without the necessary psychological preparation. In deciding on the specific research design and strategy, I had to learn to carefully assess my ontology and epistemology. In the beginning of the research, this was merely done as a theoretical exercise, and I did not clearly understand its importance for later decisions on the study. I finally came to realise that without clarifying these two very important cornerstones, my qualitative research would be inadequate. Ontology and epistemology exert a profound influence on the research design, and this can hardly be overemphasised.
• Academic guidance and administrative support

Furthermore, as a novice in the field of qualitative research, I found the research programme offered by the Rand Afrikaans University, now the University of Johannesburg, most helpful in designing and executing the research. The guidance of my supervisor from the first day of registration and the university's administrative support throughout the year contributed to a large extent to the successful completion of the study.

• Close involvement with the research participants

As participant observer, I became very involved in the day-to-day lives of the RPs. Being human, one is also inclined to become more attached to certain individuals, which obviously may affect one's objectivity. When conducting the interviews, I became aware that I had to focus on preventing my personal feelings from influencing the way I perceived the data received from the RPs. The line-by-line analysis of the transcribed interviews was quite useful in this regard, as was the capturing of my feelings in the memos.

• Each story counts

I also gained much more from this experience than what is reflected in the written account I offer in the dissertation. Through sharing their experiences of change, the RPs led me to the realisation that each and every person has an interesting story to tell; we just need to take the time to listen to people.

• Small number of research participants

Regarding the RPs from whom I obtained data, I would have preferred to have had more than eight of them. Although the data they offered contributed enormously to the derived model, I would have felt more at ease if I could have
tested the findings with a larger audience. One question that continues to bother me is whether I have really reached saturation on the study subject, or whether I have merely reached data saturation with the particular group of RPs.

- Outside influences

During the research I came to realise that outside influences could indeed affect qualitative research results. While conducting the interviews, I was informed that the department I was assigned to would be incorporated into other departments of the Bank. This implied that I would have to adjust or, even worse, abandon the study. After I discussed my predicament with the general manager of GPS, he undertook to act as patron of the research, if necessary. This not only gave me great comfort in completing the study I felt so passionate about, but also showed his commitment to it.

- Manual for grounded theory application

One of my biggest frustrations and concerns, from the outset of the study, was the lack of a clear explanation on how to apply grounded theory. On the positive side, this vagueness forced me to carefully consider the various views on the application of the approach and develop my own interpretation. Thinking back, I must conclude that it is impossible and unfair to expect a step-by-step manual on the application of grounded theory, given the personal character of qualitative research. At best one can carefully share one's own application of this complex process. As qualitative researcher, I did not set out to prove or disprove any hypothesis, but merely to understand as best as possible the everyday experiences and views of change of a small group of RPs within a very complex environment by interpreting what I believed they verbally and non-verbally conveyed to me.
• Patience

It was time consuming to make sense of the group's constructions of their everyday experiences on the basis of grounded theory. The hours and hours spent on finding concepts and categories in the enormous amount of rich, descriptive data sometimes became quite discouraging. Fortunately the discovery of linkages between concepts more than made up for this. It is clear that when undertaking qualitative research one needs to be "devoted and committed to gathering new knowledge; and exercise sufficient patience in collecting information on aspects of participants' experiences of particular worlds that often at first appears unimportant, if not boring" (Schurink, 2005, p. 7).

• Perseverance

I learned what it means to persevere: to work, sometimes hours on end, just to realise that my own views on the data seldom fitted the mould I created for them, and that the RPs had vastly different views!

• Seasons of the research

I experienced various and sometimes discomforting feelings reminiscent of the seasons. The planning phase of the study was like summer: I recall feelings of excitement and anticipation, almost having too much energy to keep under control. Then there was autumn: I got to know the RPs very well – the details of their experiences of their world of work. It was like looking at the trunk of a tree, at first just seeing its outline, but upon looking closely, seeing the ravages of time. Winter, which hosted feelings of doubt and loneliness, arrived when I had to struggle to make sense of the vast amounts of data. Lastly, Spring began when everything just seemed to fall into place with the presentation of the categories I had identified from the analysis of the pages and pages of data,
resulting in the birth of the Basics of Corporate Change Model, which was, like any other birth process, not easy, but extremely rewarding.

- **Support and compassion**

Particularly astounding was the support and compassion I received! Both family members and dear friends understood, time and time again, that our visits had to be brief or postponed in the interest of the study. The personal sacrifices of the RPs, such as Brian's preparedness to spend no less than two hours with me on a Friday night to be interviewed, will remain with me. So will the many conversations with Prof. Schurink, my supervisor, at his home, via e-mails, telephonically and, maybe the most enjoyable, spending afternoons on my home balcony, looking over the capital city and talking for hours on end about our experiences of qualitative research. What a remarkable experience to get to know a person that well in such a short time!

- **Soul mate**

Closer to home the study also had its memorable ups and downs. The many times I had to sacrifice time that I would normally have spent with my partner cannot be counted in hours. In my opinion, no relationship can survive the test and strain of a doctoral study if both parties are not committed to the study. Moreover, this journey should not be undertaken in solitude – the support of one's partner is indispensable, even though the person is sometimes drawn unwillingly into the complexities of the research.

- **The ultimate**

Most of all, I learned to believe that I can achieve the goals I set for myself.
6.6 RECOMMENDATIONS

In this final section of the dissertation I make recommendations about qualitative research in general, as well as further research to be conducted in the banking industry.

6.6.1 QUALITATIVE RESEARCH ON ORGANISATIONS, LEADERSHIP AND SOCIAL CHANGE

I have identified four main areas I would like to highlight and discuss, and which need further exploration:

• Theory

Considering the various constructs presently available to manage change, especially in the financial industry, more research needs to be conducted to understand the complex environment employees are functioning in and the effect of the implementation of change initiatives on them. Of particular importance are the emotional consequences of change.

The concept of "resignation" and the way people react to change need to be further explored. In this study, it is clear that some people do not resist change outright, but resign from the change initiative when buy-in is not achieved.

• Methodology and research

As described in the previous section, the use of qualitative research, and specifically grounded theory, is very challenging and time consuming. Researchers who decide to use this methodology should be aware that it calls for much self-discipline and dedication, as well as an appreciation of its impact on
one's personal life. To be successful, a researcher should have a genuine interest in his or her research topic and a strong commitment to study it.

I think researchers would generally find grounded theory more difficult than conventional methods, and that it requires a fair degree of research experience to build substantive constructs such as theories and models. This of course does not suggest that grounded theory should not be considered as a viable research option for less experienced researchers! It is most definitely a feasible approach provided that the first timer applying the research strategy should ensure that he or she has access to an expert in grounded theory who could and would be prepared to guide the researcher.

On a more practical note, I recommend that a qualitative study should not be undertaken if the researcher has not clearly considered his or her ontology and epistemology. When planning the design, the use of a supervisor is of the utmost importance, not only for guiding the study, but also to provide a sounding board for ideas on research design and implementation. Another major role I see the supervisor playing is the provision of emotional support during the daunting task of writing up the findings of a doctoral study.

Also important is when and how a research setting is entered. This is crucial in obtaining buy-in from RPs. It is important that the researcher realises that his or her research is not necessarily important to the RPs. The researcher should thus appreciate that RPs are under no obligation to assist him or her by taking part in the study. RPs normally have more important things to do than participate in a study. Entering the research setting should thus be carefully planned and executed. Related to this is the need to assure and re-assure RPs that their participation in the research will not harm them in any way. Seeing to it that such assurance remains intact is a major responsibility of the researcher.
I found the ATLAS.ti software package extremely helpful in the analysis of the data. It assisted me in organising the data in a logical way and definitely contributed to the analysis of the data. It prevented a rigid, mechanical analysis (Coffey & Atkinson, 1996) by prompting me to think about the data and to conceptualise the RPs’ constructions of change. One of the major constraints in many qualitative studies is the vast amount of data that needs to be analysed. The sheer volume and complexity of data can become quite daunting, but ATLAS.ti simplified matters considerably. However, using computer-assisted qualitative data analysis software (CAQDAS) does not obviate the need for creativity and imagination, as these two qualities complement the efficient systematisation and management of the data. This by no means suggests that CAQDAS should always be opted for in qualitative analyses. Many researchers still use manual analysis to good effect. Much debate is clearly required on the advantages and disadvantages of these two analytic approaches in qualitative, and specifically grounded theory research.

- Policy

In order for banks to successfully manage change, relevant policy should be developed. If policy is required to (i) take account of the needs of a bank’s clients, (ii) effectively project the ideal scenario to manage change, (iii) give an exposition of the available means to accomplish change, and (iv) evaluates the gap between the ideal and reality, then it becomes clear why research findings such as those of this study become important. Bank policy makers should be made aware of the importance of policy in the challenging environment of the bank and the importance of applying findings generated by research. In my view, scientific theory and research and their value for constructing policy have not been fully appreciated by bank managers. One way to overcome this problem is to enable more organisational leaders to embark on research.

52 "A policy is a general guideline for decision making ... It channels the thinking of organizational members so that it is consistent with organizational objectives" (Stoner & Freeman, 1989, p. 147).
• Post-graduate university training

As stated earlier, before embarking on a doctoral study, researchers should ensure that they have prepared themselves properly for the journey in order to be able to manage the many frustrations and turmoil on the way. If, for whatever reason, they are not willing or able to devote sufficient personal time to their studies, I cannot see them successfully completing their doctoral research. This is especially true for those who, like me, are full-time employees in organisations. Even though my employer allowed time for studying during business hours and arranged for financial support, I sometimes found it very difficult to keep to the deadlines I set for myself. The time and effort a study of this nature requires should not be underestimated.

Relatively little attention is presently assigned to qualitative research. The vast majority of local students are trained in mainstream quantitative research methodology and consequently receive limited, if any, training in qualitative research. Although the Department of Human Resource Management at the University of Johannesburg has been providing modules in qualitative research for some years, this style of research is still far removed from the world of students and remains a largely unexplored field of organisational/leadership research. Therefore, post-graduate students need more hands-on guidance in the theory and execution of qualitative studies. This calls for the department to allow more time for qualitative methodology lectures and practical assignments, in its curricula and particularly during its study schools. In my opinion most post-graduate and even Ph.D. students do not really understand the complexities of embarking on qualitative research. Apart from choosing the most appropriate research design and strategy, there clearly is currently no "one correct way" of doing qualitative research. It is thus of the utmost importance that the department sensitises prospective qualitative researchers to the
multifacetedness of this type of research and train them to describe and reflect on their application of the research design they have chosen.

A particular aspect I would like the department to look at is their guidelines as to the length of qualitative dissertations. Restrictions on the length of a qualitative dissertation could result in the researcher not providing an in-depth description of the natural history of and methodology employed in the study, which in my view is of utmost importance when presenting a qualitative study. This is the only way the researcher can prove the quality and trustworthiness of a qualitative study.

Lastly, the decision of the department to discontinue the compulsory completion of a theoretical model for degree purposes is welcomed. It is difficult to find enough time to complete the individual theoretical modules and also conduct research at a doctoral level, particularly for students who have to combine their studies with a full-time corporate career. Although, as indicated already, there is a need for more guidance on research methodology, students' understanding of the underlying principles can easily be "tested" in their presentation of the research design and during the execution of the study. Needless to say that, in accomplishing this, the relationship between the student and his or her supervisor will play an important role.

6.6.2 THE BANKING ENVIRONMENT

From a practical implementation perspective, I recommend that the proposed model be incorporated in the change policy of the Bank. Furthermore, I recommend that:

- similar studies be undertaken in other departments in "my" bank and other banks, as well as other financial and non-financial industries;
- the model be executed and the experiences thereof be used to refine the model.
the statistical relationship between the various categories of the model be tested, employing quantitative research (increasing the sample, and sampling from additional populations, should also increase the validity and generalisability of the findings); and

- the effectiveness of applying different leadership change roles to this model be assessed.

6.7 CONCLUDING NOTE

Having undertaken this study, I sincerely hope that I have contributed, albeit modestly, to our present knowledge of organisational development. I would very much like to believe that by constructing a substantive model facilitating organisational change within the complexities of a systems view, I have succeeded in emphasising (i) the importance of the support and involvement of top management; (ii) the needs of both individuals and groups in an organisation affected by change initiatives; and (iii) the importance of social science theory and research in the development of policies, i.e. strategies to ensure effective organisational interventions.

More than 30 years ago, French and Bell (1973, pp. 199-200) wrote: "The future viability of organisational development efforts has many dimensions, including the degree to which the OD efforts accurately reflect the perceptions, concerns, and aspirations of the participating members." By giving eight people employed in a particular division of a South African bank "a voice", I hoped to have contributed to this expectation, which is still relevant today.

Finally, having been allowed to take a journey through the experiences and perspectives of eight employees of the Bank and by becoming part of their everyday lives, I want to conclude this study with the following words of Sir Laurens van der Post, a renowned South African writer:
"For myself, indeed, I know now that I have traveled so much because travel has enabled me to arrive at new, unknown places within my own clouded self."
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AN EXAMPLE OF A MEMO

Interview 1: Memo

Research background and general information on RP

Group Payment Systems

Date: 14/05/04
Time: 16:30

Research participant (RP): P1, white male, XX years old

Reason for selection of RP: Position held by the RP, as well as the effect change within this department has on the RP

Number of session: 1

How long did the interview last? 115 min

Description of the interview setting

Interview was conducted in P1's office. Door was kept open, but all staff had left and we were totally private. The interview started 30 minutes late due to another meeting P1 had to attend. He indicated that he was willing to continue with the interview though it was after working hours. He seemed very interested in the research and wanted to continue with the interview.

The interview was conducted at his conference table – we usually meet at this table and it is very private and the atmosphere is relaxed. P1 is a very calm man, and seemed extremely relaxed during the interview. Due to my role within the change process in this department, I meet with P1 at least once a week to discuss the process, and this helped me to have good rapport with him.

I continued with the first part of the interview and discussed the following with P1 (the tape-recorder being on the table from the start, and P1 not seeming to mind it at all):
Phase 1 of the interview

Observational notes
See interview setting notes

Methodological notes
The use of the tape-recorder worked well. Again, I feel that it is important to make little fuss about the instrument, and treat it as a normal part of the interview.

P1 communicated very well and little probing was necessary after a question was asked. I feel this works well during the interview. He used a lot of his own words in describing how he felt, which showed that he did not try to filter information. Answers came very naturally.

Making notes during the session helped to ensure that I did not forget to ask follow-up questions that were needed.

Memo: Main themes emerging

Process structure/design
People need to feel in control
Understand what is NB to the people
People need to feel they can influence the process and decisions that are taken
Build a trust relationship
Change is seen as a crisis
Provide choices in the process
Communication
Perceived fairness of the process
Must understand what priorities there are
Respect
Integrity
Honesty
Must feel appreciated
Direct communication from management – open and honest
Provide an objective to achieve
Why are you changing?
Communicate the process of change
Communicate the impact on the people
Rules of the game must be clear
Basic principles on how to act must be in place

Individual focus
Exposure to different kinds of people in the past – know how to deal with people
People need to feel in control
People need to retain power
People need to feel they can influence the process and decisions that are taken
Feelings of disempowerment during change
Respect
Integrity
Retention of staff NB
People need to feel empowered
Support
Understand what is NB to the people – concerns
Respect
Integrity
Recognition

Resistance to change
Change should be seen as a choice
People need to feel in control
Perceived fairness
People need to feel they can influence the process and decisions that are taken
People need to believe in the objective

Management's role
Understand what is NB to the people
People need to feel they can influence the process and decisions that are taken
Respect
Integrity
Leadership style – balance between autocratic and democratic style
If power resides in one or a few people it is not good
Management style is NB
Set a vision
ANNEXURE 2

GROUNDED THEORY: THE PROCESS


<table>
<thead>
<tr>
<th>Stage number</th>
<th>Stage name</th>
<th>Description of steps</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Elemental stage</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>Open coding</td>
<td>This is the initial stage of constant comparison during which the data are scrutinised for every possible meaning.</td>
</tr>
<tr>
<td></td>
<td>Identification of relationships across concepts</td>
<td>Breaking down interviews, observations or other forms of appropriate data into distinct units of meaning that are labelled to generate concepts.</td>
</tr>
</tbody>
</table>
| 1.1 | Full transcription of the interview | • Transcribe the interview.  
• Record a memo about the interview, describing the interview scene, anything happening during the interview that could have an effect on it, the mood of the interview, any ideas on the person being interviewed, own feelings as interviewer, any initial themes that are starting to emerge, and any other information that could be helpful when analysing the data. |
| 1.2 | Line-by-line analysis | Purpose: To identify key words or phrases that connect the RP’s account to the experience under investigation:  
• Each line of the transcript/interview is searched for key words/phrases that give some insight into the behaviour under study.  
• Highlight these key words/phrases and abstract them from the interview.  
  o Any number of codes can be identified and these can be unrelated.  
• Repeat this process with all interviews conducted and transcribed. |
Patterns will start to emerge.
Also look for concepts that can extend/challenge and substantiate them.
  - Do this after interviews and during other methods of data collection, e.g. the focus group discussion(s).
- Cluster the identified codes into groups that seem to indicate a relationship that says something about the behaviour.
  - This starts the process of abstraction and moves the interpretation on from merely describing what is occurring, to linking codes together with the aim of developing explanatory concepts. (A concept is basically the underlying meaning, uniformity and/or pattern within a set of descriptive incidents.)

| 2 | **Axial coding (AC)** | AC involves moving to a higher level of abstraction and is achieved by specifying relationships and delineating a core category or construct around which the other concepts revolve. Concepts are clustered into descriptive categories. (A category is a higher-order concept. It has much wider explanatory power, and pulls together all the identified concepts into a theoretical framework.) Qualitative questions regarding data to be kept in mind during abstraction:
- What are the strategies that result in particular behaviours?
- What are the different conditions involved?
- What kind of theoretically derived comparisons would be useful here?
This will collapse empirically grounded categories into higher-order |
conceptual constructs which will lead to the integration of theoretical concepts into a conceptually complex integrated theory.

| Development of a category | • Specify the conditions that gave rise to the specific category, the context in which it is embedded, and the action/interactional strategies by which it is handled, managed and carried out.  
• Cluster these conditions, contexts, strategies and outcomes together (e.g. high staff turnover is related to stress at work; stress at work (concept) has properties like nature of the role/job, unrealistic targets, poor communication etc.). The connections may be hierarchical or ungraded, linear or recursive. |
|---------------------------|-------------------------------------------------------------------------------------------------
| Focused stage:            | Looking for theoretical meaning |

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Categories are re-evaluated for their interrelationships and then gradually subsumed into higher-order categories, which suggests an emerging theory. As in dimensional analysis, grounded theory describes a process of developing a theory. Four questions have to be answered:

1. What are the conditions of the action?
2. What are the interactions between the actors?
3. What are their strategies and tactics?
4. What are the consequences of the action?

- Data are placed in a framework:
  - Causal conditions
  - Phenomenon
  - Intervening conditions
  - Interactional strategies
  - Consequences of the action

<table>
<thead>
<tr>
<th>Dimensionalisation of concepts</th>
<th>Analytical frameworks</th>
<th>Concept of basic social process</th>
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<tbody>
<tr>
<td>(Theoretical coding) Glaser &amp; Strauss</td>
<td>Answer the following four questions:</td>
<td>... by placing the data into the framework.</td>
</tr>
<tr>
<td>Causal conditions</td>
<td>1. What are the conditions of the action?</td>
<td>Causal conditions</td>
</tr>
<tr>
<td>Phenomenon</td>
<td>2. What are the interactions between the actors?</td>
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<tr>
<td>Intervening conditions</td>
<td>3. What are their strategies and tactics?</td>
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<tr>
<td>Interactional strategies</td>
<td>4. What are the consequences of the action?...</td>
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<tr>
<td>Consequences of the action</td>
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<tr>
<th>3.1</th>
<th>106</th>
<th>183</th>
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<td>3.2</td>
<td>106</td>
<td>183</td>
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</table>
### Conditional matrix

**Glaser vs. Strauss:**
According to Glaser, this step should not form part of the process.

**Purpose:** A device for tracking the various levels of influences upon the phenomenon under study.
- Represented in the form of a diagram comprising concentric circles:
  - **Outer circle:** Represents the macro influences (e.g., international, national, community, organisation and sub-organisational groups, individuals and collectives) acting upon the individual.
  - **Inner circles:** Relate more to the actions and consequences of the behaviour.
- Show specific linkages (and integrate them into the developed theory.)
- For Glaser: Compulsory use of the conditional matrix can lead to forcing data into pre-defined categories for which there might not be evidence. This stifles theoretical sensitivity.
- For Strauss & Corbin: Use of conditional matrix is compulsory
- For Glaser: Use of conditional matrix should not be compulsory.

### Building the theory

#### 4 Identifying categories

#### 4.1 Higher-order categories / core category identification

A core category is a main theme that sums up a pattern of behaviour.
- Final stage of theory development.
- A core category pulls together all the strands in order to offer an
explanation of the behaviour under study.
- It has theoretical significance and its development should be traceable back through the data.
- The theory is only considered valid if the researcher has reached a point of saturation.
- It must be explained in relation to its relevance to other categories.
- It must meet the following criteria:
  - It must be central and account for a large proportion of behaviour.
  - It must be based on reoccurrence in the data.
  - A core category takes longer to saturate than other categories/ concepts.
  - It must relate meaningfully to other categories.
  - It should have clear implications for the development of a formal theory.
  - The theoretical analysis should be based on the core category.
- It should be highly variable and modifiable.

<table>
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<tr>
<th>4.2</th>
<th>Ensuring credibility through member checking</th>
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<tbody>
<tr>
<td></td>
<td>- Other external reviewers are to consider the data and offer their interpretations of it in order to check consistency.</td>
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<td></td>
<td>- It is a primary strategy for the validation of findings.</td>
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<td>- Returning to the RPs in the early stages of data collection and interpretation, before the process of abstraction is begun.</td>
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<tr>
<th>Presenting the theory</th>
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<td>5</td>
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<tr>
<td>5.1</td>
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</table>
theory: Theoretical interpretation

- The structure the story should reflect.
- Degree of methodological detail to be included.
- The amount of data to be present in order to provide evidence and support for the core categories.
- Demonstrate how the concepts emerged and developed from the data.
- Show how the researcher has moved from description through the process of abstraction.
- Show how core categories were generated.
- **MUST BE CREATIVE:**
  - No specific formula given on how the theory should be written.
  - Needs to provide an extensive abstract.
  - Use of diagrams and illustrations.
  - The end-theory should be an integrated set of hypotheses, not findings.
  - Advise the reader that all concepts are grounded, and as such they are not proven, they are only suggested.
  - State that the enormous effort that makes up the process of generating theory cannot be shown in a single publication.
  - Present only enough material to facilitate understanding.
  - Analysts do not have to provide the reader with descriptions of how each concept was reached; rather, the method should be stated and possibly an example of how a code or
hypothesis was grounded should be included.

- Use direct quotations from interviews, field notes, events, etc. to add to the credibility of the concepts.
- Readers should feel "part" of the study, as if they have been in the field:
  - Tell how conclusions were reached.
  - Any interesting events.
  - Who was interviewed.
  - Direct quotations.
  - Describing places and spaces.
  - Personal experiences.
- Summaries not necessary; rather give conclusions:
  - Should be discussed in relation to their use and potential contribution to the development of more formal theory and other realms of enquiry.
ANNEXURE 3

INFORMED CONSENT AGREEMENT

This agreement serves to confirm that the research subject (participant) mentioned below gave her/his consent to participate in a qualitative study regarding the change process followed within Group Payment Systems. The research participant agrees to provide the researcher with his/her experiences and views of the area of research to the best of his/her ability.

The undersigned participant understands the purpose and nature of this study and that her/his participation is voluntary and that s/he may stop the interview at any time. The participant further grants permission for the data collected to be used in fulfilment of part of the requirements for the degree D.Phil. in Leadership in Performance and Change, including a dissertation and any future publication(s).

The data collected will be used for research purposes only. The researcher undertakes neither to disclose the identity of any of the participants, nor the origin of any of the statements made by any of the participants. However, the undersigned participant understands that the researcher may make use of verbatim statements in order to give the perspectives of participants a voice in the research report.

The participant grants permission for the audio recording and that the researcher may make notes of her/his views and experiences.

The participant undertakes to give a true representation of her/his perspective and/or her/his experiences.

I, .................................. the undersigned participant, agree to meet at mutually agreeable times and for mutually agreed lengths of time, and to make
use of other means of communication, e.g. e-mail, to enable the researcher to gain a thorough understanding of the process researched. I further acknowledge that I received a copy of this agreement and that I may contact any one of the under-mentioned if I have any subsequent queries.

Signature of research subject: ______________________  Researcher: Theo L. Nell
Title, initials & surname: ______________________  Employer: Bank X
Date: ______________________ 2004  Tel: 011-XXX4201
E-mail: theon@XX.co.za
Fax: 012-XXX0895
Place: ______________________  Cell: 082 XXX 5990

Research supervisor: Prof W.J. Schurink
Tel: 012 998 5574
Cell: 082 779 2294
E-mail: willems@acc.co.za
ANNEXURE 4

INTERVIEW 1

Research background and general information on RP
Group Payment Systems

Date:
Time:
Research participant (RP):
Reason for selection of RP:
Class/type of representation (range of RPs, their status/position within the organisation):
Number of session/interview:
Description of the interview setting:
Duration of the interview:

Phase 1 of the interview

Provide background to the research:

- **Purpose of the research**: To get your understanding, feelings about and input to the Profit Optimisation (PO) process that is followed within GPS and how your past and upbringing might have played a role in your feelings about the process.

- **Permission from gatekeeper**: Consent from GM for GPS to participate in the research already obtained.

- Study's overt research approach and therefore *cooperative research style* as opposed to a covert/secretive one.
Study's approach to research (qualitative nature of the research – what it means): Not controlled or quantitative but of qualitative/narrative nature, i.e. discovering, describing and reaching an understanding of this organisation's staff's everyday work experiences; what it means to them and how they adjust to it everyday in the work situation – alternative research style, which is equally scientific.

My/Researcher's (R's) role in the research: Obtaining data, listening and doing my/his best to understand how you are experiencing the process and what you are telling me.

I/R as RAU doctoral student seek(s) your sympathetic cooperation. 

Indicate that what I/R require(s) from the RPs and how it will evolve as the study proceeds.

Explain what I/R want(s) and will be doing:

- For now I will introduce themes/topics/agenda points I need us to discuss in any way you choose; I would prefer that you talk and I listen; I will be taking notes here and there and will ask questions if I do not understand something you said, and/or will request more information on something specifically.

- In qualitative research it is very important that the researcher be as non-disruptive as possible. Therefore I will try my best to influence you as little as possible.

- Utilisation of research findings: All data gathered will be treated as confidential – nobody's name will be used in the report, the findings will be for research purposes only, i.e. to obtain my Ph.D. and for this organisation to obtain feedback on its staff's experiences of the process.
Interview sessions are envisaged

- 1st interview

*Explanation of research*

Research agreement
Establishing rapport and trust relationship

*General background on the research, RP's background* to understand why and how s/he experiences the process or specific aspects thereof in a specific way – to be compared with other RPs’ previous experiences and backgrounds.

Framework: People's views of realities and of themselves are influenced by various things, including their past and upbringing (e.g. symbolic interaction).

Conclude interview by thanking participant and assuring him/her that his/her accounts are very important and will be studied intensively and by asking him/her to share his/her experiences of the interview and your approach (evaluation).

Field note reports will be discussed with Research Supervisor in order to decide what needs to be explored further during subsequent interviews.

Insights gained from other RPs will also be checked for patterns and deviations/outshooters.

- 2nd interview

Start off by asking about the RP’s thoughts of the first interview. Is there anything s/he would like to add or rephrase?

Check information provided in the first interview to understand the RP’s experience of the first phase of the PO process.
Follow the same procedure as during the first interview and ensure that you obtain the RP's evaluation of the interview again.

- **3rd interview** (could be a group session – called a focus group discussion)
  Check information from 2nd interview(s), understanding the RP’s experience of the 3rd phase of the PO process.

  Give feedback to all RPs (OR SELECTED ONES?) to check R’s accuracy in representing and understanding the RPs’ experiences.

**Phase 2 of the interview**

**RP’s background**
- Please tell me more about yourself – an overall life and work history (prompting with questions if needed).
- Life history – family, where person grew up, any significant events, studies, age, if/when married, significant relationships.
- Work history: before this organisation, within this organisation, when to GPS, significant experiences within each of these areas, role within GPS.
- What makes you different from other people:
  - Characteristics?
  - Temperament?
  - How you deal with challenges?
  - Other?
- What was your exposure to change – guided questions, if needed, to obtain data from RP.
Before joining this organisation:

- What happened?
- Where did it happen?
- When did it happen?
- Why did it happen?
- How did it happen?
- How do you feel about it?
- How did other people experience it?
- Your thoughts on their experiences?
- How could it have been done differently?

Within this organisation:

- What happened?
- Where did it happen?
- When did it happen?
- Why did it happen?
- How did it happen?
- How do you feel about it?
- How did other people experience it?
- Your thoughts on their experiences?
- How could it have been done differently?
Within GPS:
- What happened?
- Where did it happen?
- When did it happen?
- Why did it happen?
- How did it happen?
- How do you feel about it?
- How did other people experience it?
- Your thoughts on their experiences?
- How could it have been done differently?

- How do you feel about these changes within GPS?
- How do other people in your view feel about these changes?
- How were you informed about this initiative?
- Have you heard about IBI and the process that was followed before?
- What have you heard?
- Where have you heard it?
- When did you hear it?
- Do you have any concerns about IBI coordinating the PO and change process?

Phase 3 of the interview

The document to be completed for the next meeting.
- Give an overview of the document provided.
- Inform the RPs that:
  - They are to **discuss the themes** highlighted in the document.
  - The findings/information will be discussed at the next meeting.
Phase 4 of the interview

Closing statements
- Anything else the RP might want to share?
- Do you have any questions regarding anything we have discussed today?
- Reassure the RP about the confidentiality of information provided.
- Mention timeframe of the study and when research report will be available.
- Set next appointment date with RP.
- Will send e-mail if I need any further information on this interview.
- Thank you for your time and willingness to participate in this research.
- If you have any questions or concerns, please contact the researcher (provide card with contact numbers and details).

End of first interview
After the interview, complete:

- Field notes
  - Background notes
  - Observational notes

- Theoretical notes
  - Refer to 1\textsuperscript{st}-order constructs.
  - Refer to 2\textsuperscript{nd}-order constructs.
  - Any specific concepts to look out for.
  - Search for specific data/RP selection according to what has been learnt.

- Methodological notes
  - Reflect on your own performance: What did I learn about my own interview skills?
  - Reflect on the environment – situational observer effects?
  - Reflect on your assessment of the RP: Was s/he relaxed and open or were things held back?
  - Should s/he be used as a member validator?

- Refer to what to do differently in the future.

- Provide the Research Supervisor with a copy of the notes.
Group Payment Systems
Profit Optimisation and Change Process

Summary of Profit Optimisation Process

Phase I

PRIVATE AND CONFIDENTIAL
After reviewing each slide, please answer the questions posted thereafter. Your honest opinion on each question will be highly appreciated and treated as highly confidential. No-one except the interviewer will have access to your answers.
Profit Optimisation Methodology

Profit Optimisation Process

PHASE I

PURPOSE: Set the strategic direction; forecast the impact on profitability of high-level initiatives

PHASE II

PURPOSE: Design and deliver change through translation of strategy into goals and measurements

Please answer the following questions based on this slide:

1) Do you understand the profit optimisation (PO) process? If not, what is unclear to you about the process?

2) Please explain why you think Group Payment Systems is using the PO process.

3) When did you first become aware that GPS is going to use this process?

4) How do you feel about the process being implemented within GPS?

5) If you feel the way people are made aware of the process can be improved, what can be done differently?
Identifying the main problems

On the following slide, please answer the questions relating to this phase of the process.
Please note that this slide is only applicable to the different Payment Systems managers.

We conducted the mini-systems enquiry session with you before the main scoping session at Kayalami, where the main problems in your area were identified and prioritised. Please answer the questions below.

Please answer the following questions based on this slide:
(Please refer to Annexure A for the problems that were identified at the different sessions.)

1. How the purpose of this session been stated clearly?

2. Were the instructions given clearly – did you understand exactly what was required of you?

3. How did you feel about the exercise?

4. How do you feel about the outcome of this exercise? Could anything have been done differently to enhance this part of the process?
Phase I: Opportunity identification: Scoping session

On the following slides, please answer the questions relating to this phase of the process.
Phase I: Opportunity identification

Defining the problem statement:

- In your group, discuss your understanding of the problem(s) relating to Group Payment Systems and its environment.
- Record your feedback on the flipchart provided to your table.

Please answer the following questions based on this slide:
*(Please refer to Annexure B for a list of the problems that were identified within the GPS environment.)*

1. Were the instructions given clearly — did you and the people at your table understand exactly what was required of you and the output that was required?

2. Could the question have been phrased differently to create a better understanding of the outcome that had to be achieved?

3. How do you feel about the outcome of this exercise?

4. Do you feel that anything could have been done differently to enhance this step of the process?
Phase I: Opportunity identification

Defining the problem statement (cont.)

► In your group, discuss to whom the identified problem(s) relate(s).
► Record your feedback on the flipchart provided to your table.

Please answer the following questions based on this slide:

(Please refer to Annexure B for a list of the stakeholders who were identified in this exercise.)

1. Were the instructions given clearly – did you and the people at your table understand exactly what was required of you and the output that was required?

2. Could the question have been phrased differently to create a better understanding of the outcome that had to be achieved?

3. How do you feel about the outcome of this exercise?

4. Do you feel that anything could have been done differently to enhance this step of the process?
Phase I: Opportunity identification:

**Identifying key driver hypotheses**

- **Step 1:**
  - Using the World Café method, in your group, discuss the problems identified earlier. Please revise them if necessary, i.e. you may re-state existing problem statements, remove problem statements, or add new ones.
  - Record your feedback on the Post-it notes and flipchart provided to your table.

Please answer the following questions based on this slide:

*(Please refer to Annexure A for a list of the problems that were identified per payment stream in this exercise.)*

1. Were the instructions given clearly – did you and the people at your table understand exactly what was required of you and the output that was required?

2. Could the question have been phrased differently to create a better understanding of the outcome that had to be achieved?

3. How do you feel about the outcome of this exercise?

4. Do you feel that anything could have been done differently to enhance this step of the process?
Phase I: Opportunity identification

Identifying key driver hypotheses (cont.)

Step 2:
- In your group, consolidate the problems identified into main themes per balanced scorecard perspective.
- Record your feedback on the Post-it notes and flipchart provided to your table.

Please answer the following questions based on this slide:

(Please refer to Annexure C for a list of consolidated problem statements for GPS that were identified in this exercise.)

1. Were the instructions given clearly - did you and the people at your table understand exactly what was required of you and the output that was required?

2. Could the question have been phrased differently to create a better understanding of the outcome that had to be achieved?

3. How do you feel about the outcome of this exercise?

4. Do you feel that anything could have been done differently to enhance this step of the process?
Phase I: Opportunity identification

Identifying key driver hypotheses (cont.)

Step 3:
- In your group, derive problem statement(s) that describe the main themes identified from an overall GPS perspective, i.e. develop generic problem statement(s) for GPS by taking into account all of the problem(s) highlighted within the individual payment systems.
- Identify additional problem statement(s) that are specific to GPS as a whole that are missing.
- Record your feedback on the Post-it notes and flipchart provided to your table.

Please answer the following questions based on this slide:
(Please refer to Annexure C for a list of the problem statements that were identified in this exercise.)

1. Were the instructions given clearly — did you and the people at your table understand exactly what was required of you and the output that was required?

2. Could the question have been phrased differently to create a better understanding of the outcome that had to be achieved?

3. How do you feel about the outcome of this exercise?

4. Do you feel that anything could have been done differently to enhance this step of the process?
Phase I: Opportunity identification

Identifying drivers and levers:

- Step 4:
  - In your group, identify the main drivers and levers for each problem statement.
  - Record your feedback on the Post-it notes and flipchart provided to your table.

Clues to help you along:
- Use differently coloured Post-it notes to differentiate between drivers and levers.
- Indicate where projects are already in progress to address any levers identified (provide full details regarding the scope of the projects identified).

Please answer the following questions based on this slide:
(Please refer to Annexure D for the drivers and levers that have been identified in this exercise.)

1. Were the instructions given clearly - did you and the people at your table understand exactly what was required of you and the output that was required?

2. Could the question have been phrased differently to create a better understanding of the outcome that had to be achieved?

3. How do you feel about the outcome of this exercise?

4. Do you feel that anything could have been done differently to enhance this step of the process?
Phase I: Opportunity identification

Assigning responsibilities:

- Identify a responsible person to take ownership of the project and manage the levers identified.

Please answer the following questions based on this slide:

(Please refer to Annexure E for a list of the responsible people who were identified by the team to drive the individual levers or tasks.)

1. Were the instructions given clearly - did you and the people at your table understand exactly what was required of you and the output that was required?

2. Could the question have been phrased differently to create a better understanding of the outcome that had to be achieved?

3. How do you feel about the outcome of this exercise?

4. Do you feel that anything could have been done differently to enhance this step of the process?
Phase I: Opportunity identification

Establishing project management principles:

- Commencement date for Phase II?
- Development and submission of project plans by (date).
- Finalisation of overall project plan by (date).
- Project status meetings (commencement date and frequency).
- Access to project information – where will information be stored (e-mail, shred folder)?
- Sound-boarding of scoping session output with project sponsor and other identified stakeholders by project coordinator.
- Contracting with appropriate line management in terms of KPAs.
- Other?

Please answer the following questions based on this slide:

1. Were the instructions given clearly – did you understand exactly what was required of you?

2. Did the people at your table understand exactly what they had to do to answer this question?

3. Could the question have been phrased differently to create a better understanding of the outcome that had to be achieved?

4. What could have been done differently to enhance this step of the process?
Phase I: Opportunity identification

Completion of the work breakdown structure template

Please answer the following questions based on this slide:
(Please refer to Annexure F for an example of the work breakdown template.)

1. Were the instructions given clearly - did you understand exactly what was required of you and the output that was required?

2. How do you feel about the outcome of this exercise?

3. Do you feel that anything could have been done differently to enhance this step of the process?
Phase I: Opportunity identification

Overall impressions relating to the process

- The venue
- The people attending the session
- The facilitators of the process
- The time allocated to the first phase of the process
- Your expectations of the outcome of the session
- The way information was provided before and during the session
- The project owner’s expectations of the process
- Any other things you want to comment on

Considering the above factors, what is your overall impressions of the process thus far?
The RP's experience of the PO process within Group Payment Systems

Date:
Time:
Research participant (RP):
Reason for selection of RP:
Class/type of representation:
Number of session:
Description of the interview setting:
Duration of the interview:

Phase 1 of the interview

Going back to our previous discussion, is there anything you would like to add or change or rephrase that we had discussed? Anything else you have thought of in the meantime?

Interviewer also to clarify anything that was unclear during the previous interview.

Check information provided in the first interview, making sure to understand the RP's experience of the first phase of the PO process.
Phase 2 of the interview

Did you have any time to read through and consider the themes in the document I provided to you at our previous meeting? (If the RP did not do so, discuss the document anyway).

- Use document as base for interview and discuss RP’s experiences and thoughts per slide.
- Is there anything else you feel that is important during this phase that you would like to comment on?
- How did you experience this procedure?

Phase 3 of the interview

Closing the interview:

- Is there anything else you would like to add or discuss?
- Do you have any questions regarding anything we have discussed today?
- Reassure the RP about the confidentiality of information provided.
- Will send e-mail if I need any further information on this interview.
- Discuss the way forward.
- Information analysis.
- Next interview or focus group discussion to be used – depending on the analysis of the first dataset.
- Conclude interview by thanking RP and assuring him/her that his/her accounts are very important and will be studied intensively and by asking him/her to share his/her experiences of the interview and your approach (evaluation).
Field note reports will be discussed with research supervisor in order to decide what needs to be explored further during subsequent interviews.

Insights gained from other RPs will also be checked for patterns and deviations/outshooters.

End of 2nd interview

After the interview, complete:

- Field notes
  - Background notes
  - Observational notes
  - Theoretical notes
    - Refer to 1st-order constructs.
    - Refer to 2nd-order constructs.
    - Any specific concepts to look out for?
    - Specific data/RP selection according to what has been learnt?

- Methodological notes
  - Reflect on your own performance. What did I learn about my own interview skills?
  - Reflect on the environment: Situational observer effects?
  - Reflect on your assessment of the RP: Was s/he relaxed and open or were things held back?
  - Should s/he be used as a member validator?

Refer to what to do differently in the future & submit copy of notes to supervisor.
**FOCUS GROUP DISCUSSION: MEMBER CHECKING, 30 NOVEMBER 2004**

<table>
<thead>
<tr>
<th>Action/step</th>
<th>Requirements/preparation</th>
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| 1) Provide an overview of study process:  
- Confirmation of confidentiality  
- Role of video-recording  
- Talk through purpose of study, the process followed (refer to documents on display) and purpose of this session  
- Address any questions and concerns of any RP  
- Get verbal consent from RPs for tape & video-recording of session  
- Get verbal consent to take photographs during the session | 1.1) Place on table copy of:  
- Research proposal  
- First chapters  
- Interview outlines  
- Tapes of interview recordings  
- Transcriptions of all interviews  
- Analysis documents – all codes and families  
- Abridged member-checking sheets  
- Big sheets with substantive theory  
- Strategy documents for member checking |
| 1.2) Video camera  
1.3) Camera  
1.4) Tape recorder & tapes | |
| 2) Discuss the strategic session outcomes and record input on A3 paper provided | 2.1) A3 strategic documents posted on wall  
2.2) Post-its, Prestic & pens |
| 3) Show substantive model (SM) to RPs  
- Get general feeling about the SM from the RPs  
- Provide each RP with a copy of families and codes  
- Facilitate the flow of the SM with the RPs  
- Test family groupings (names) and logic of the flow with the RPs  
- Make changes where necessary | 3.1) Post SM on wall before session starts  
3.2) Hand-out for each RP on the families and codes  
3.3) Have blank pieces of paper available to write changes on |
| 4) Test SM with other theories on change management  
Adjust SM if and where necessary on the poster | 4.1) (As per step 3) |
| 5) Closure of the session  
- Next steps in the process: Will put the updated SM in my office and RPs can view and discuss it with me in their own time  
- Record RPs’ experience of the session | 5.1) Put updated SM on wall in office  
5.2) E-mail all RPs to invite them to view updated SM in my office and to have a discussion with me on the changes that were made at the session |
ANNEXURE 8

LEADERSHIP AND CHANGE MODELS

Colour coding
Blue: Categories in the organisational change model.
Red: Typologies and thoughts on change from these scholars.

Note:
Only models of change and of change management and leadership have been included in this literature search. Due to the vast amount of models on general leadership, they have not been included in this summary.

<table>
<thead>
<tr>
<th>Scholar</th>
<th>Model</th>
<th>Dimensions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Albert (1984)</td>
<td>Change</td>
<td>• What worked well in the past needs to be carried forward.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Focus on sharing of feelings, emotions – psychological closure.</td>
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<tr>
<td>Antal (1993)</td>
<td>Change</td>
<td>• It is the process of developing a shared vision and values that both creates the glue and mobilises action, not the content alone. For those who are not involved in the process, the result is only words on a paper that are unlikely to create energy.</td>
</tr>
<tr>
<td>Armenakis, Harris &amp; Mossholder (1993)</td>
<td>Change</td>
<td>• Specific individuals may react differently to the same message.</td>
</tr>
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<td></td>
<td></td>
<td>• According to social differentiation theory, the individual's culture or sub-culture membership will influence his/her understanding.</td>
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<td></td>
<td></td>
<td>• Individual employees are susceptible to colleagues' opinions on the reasons for change (also refer to Roussseau (1999) below).</td>
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<tr>
<td>Author(s)</td>
<td>Section</td>
<td>Notes</td>
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<tr>
<td>Ashford (1988)</td>
<td>Change</td>
<td>• Readiness for change is important in successful implementation of change.</td>
</tr>
</tbody>
</table>
| Ashford & Spreitzer (1995) | Change | • Personal traits to be considered in change.  
• Sharing of feelings, emotions are important.  
• Focusing on autonomy – the belief of the individual that he can influence the direction of change. |
| Ashkenas & Francis (2000) | Change | • Focusing on the specific areas of change, e.g. fostering of team commitment.  
• Organisational change fails due to not being incorporated into the daily activities of the organisation. |
| Bate, Khan & Pye (2000) | Change model Cultural Restructuring Model | • Cultural framing:  
  o Diagnosing;  
  o Mapping out the hidden problems and challenges.  
• Soft structuring:  
  o Setting the foundations for the mindset towards change;  
  o Negotiating ground rules;  
  o Establishing temporary project teams;  
  o Capacity building towards managing change.  
• Hard wiring:  
  o Operationalisation of the change into a new organisation design and a formal set of structures, systems and policies. |
<table>
<thead>
<tr>
<th>Author(s)</th>
<th>Change</th>
<th>Key Leadership Competencies</th>
</tr>
</thead>
<tbody>
<tr>
<td>Barczak, Smith &amp; Wilemon (1987)</td>
<td>• Retrospection: 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.</td>
<td>36 behaviours clustered in six key leadership competence categories:</td>
</tr>
<tr>
<td>Bartunek &amp; Moch (1987)</td>
<td>• The nature of employee relations plays a role in the transformation process.</td>
<td>• Acting strategically.</td>
</tr>
<tr>
<td>Beer, Eisenstat &amp; Spector (1990)</td>
<td>• An organisation's schema of change, which assumes shared frames of reference, has to be negotiated amongst individual members; it does not happen automatically.</td>
<td>• Influencing and inspiring others.</td>
</tr>
<tr>
<td>Begley &amp; Czajka (1993)</td>
<td>• Cognitive processes of the individual and psychological needs are important.</td>
<td>• Taking action.</td>
</tr>
<tr>
<td>Boak &amp; Coolican (2001)</td>
<td>• Unlearning the old and relearning the new – people need to change their behaviour for change to be effective.</td>
<td>• Developing a high-</td>
</tr>
<tr>
<td>Reference</td>
<td>Description</td>
<td>Change Styles</td>
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<td>-----------------------------------</td>
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<tr>
<td></td>
<td>Six change-leadership styles</td>
<td>• Evaluating and learning.</td>
</tr>
<tr>
<td>Clark &amp; Garside (1997)</td>
<td>Change</td>
<td>• Continuous.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• What worked well in the past needs to be carried forward.</td>
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<td></td>
<td></td>
<td>• Participation is important.</td>
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<tr>
<td></td>
<td></td>
<td>• Emergent approach towards organisational change.</td>
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<tr>
<td></td>
<td></td>
<td>• Consider the top-down and bottom-up change process.</td>
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<tr>
<td></td>
<td></td>
<td>• Interaction with the external environment creates understanding of the need</td>
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<tr>
<td></td>
<td></td>
<td>to change on an individual level (also refer to Griffen et al. (1997) and</td>
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<td></td>
<td></td>
<td>Levy (1986) below).</td>
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<tr>
<td></td>
<td></td>
<td>• People need to make sense of change for themselves and have a sense of</td>
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<tr>
<td></td>
<td></td>
<td>control of, or making a contribution towards, the nature of it.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Communication and sharing of information is important.</td>
</tr>
<tr>
<td>Author(s)</td>
<td>Change model</td>
<td>Details</td>
</tr>
<tr>
<td>---------------------------</td>
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<tr>
<td>Connolly &amp; Connolly (2000)</td>
<td>Improvement</td>
<td></td>
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<td></td>
<td>Journey</td>
<td></td>
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<tr>
<td></td>
<td>- Emergent approach towards organisational change.</td>
<td></td>
</tr>
</tbody>
</table>
|                           | - Pre-acceleration:  
|                           |   - Need to change.                                                                                                                |
|                           | - Acceleration:   
|                           |   - Rapid change; 
|                           |   - Leadership; 
|                           |   - Implementation of improvement initiatives.                                                                                  |
|                           | - Post-acceleration:  
|                           |   - Continual systematic and sustained change.                                                                                    |
| Cooper & Marcus (1995)    | Change        |
|                           | - Relatedness to others is important.                                                                                           |
|                           | - Concern that the creation of a crisis or an image of a burning platform could have 2 negative effects:  
|                           |   - Psychological safety may not be created;  
<p>|                           |   - Employees may be deprived of a place to master the required skills and behaviour.                                           |
|                           | - Participation is important.                                                                                                  |
|                           | - Change must be perceived as fun.                                                                                              |
|                           | - Resistance to be addressed.                                                                                                |
| Coyle-Shapiro (1999)      | Change        |
|                           | - Celebrating small wins during the process is important.                                                                      |
| Cunningham (1997)         | Change        |
|                           | - Beliefs and expectations play an important role in influencing employees' experiences and behaviour.                         |
|                           | - Personal traits can influence the effectiveness of the change process.                                                       |
|                           | - External environment's                                                                                                       |</p>
<table>
<thead>
<tr>
<th>David (1997)</th>
<th>Change</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>People resist change because change has the potential to disrupt comfortable interaction patterns.</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Change flows from strategy formulation by the people who have to implement that change.</strong></td>
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<tr>
<td><strong>Need for sense of security.</strong></td>
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<tr>
<td><strong>Resistance to change due to fear of the unknown.</strong></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Deal &amp; Kennedy (2000)</th>
<th>Change</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Lack of understanding of how the change is to be approached.</strong></td>
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<tr>
<td><strong>Emphasis is on analysis, thoughts on and precision of economic information.</strong></td>
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<tr>
<td><strong>There is a tendency to overlook the fact that people, their emotions and their values are critical contributors to successful implementation of change.</strong></td>
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<tr>
<td><strong>Organisations undergo change to realign themselves and remain competitive within changing macro environmental conditions and market forces.</strong></td>
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<tr>
<td><strong>The perceptions of individuals that play a vital role in the change process are often overlooked and this can lead to resistance if the change is perceived as a threat to security, habits, control relationships or status.</strong></td>
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<td></td>
<td>Change-Management Leadership Competencies</td>
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</tbody>
</table>
|             | - Customer.  
|             | - Organisational.  
|             | - Measurement evaluation and reporting.  
|             | - Process improvement.  
|             | - Developing subordinates.  
|             | - Team development.  
|             | - Effectiveness of meetings.  
|             | - Innovation.  
| Doyle (2001)  | - Emergent approach towards organisational change.  
| Duck (1993)  | - Organisational change fails due to not being incorporated into the daily activities of the organisation.  
|             | - Interconnected parts - systems view of organisations.  
|             | - Change programmes fail because the traditional (mechanic) model of managing change is unrealistic and does not work – the initiative is broken into small pieces, each of which is managed along operational lines as a series of individual projects (as noted by Kotter (1996) and Peters (1990)).  
|             | - Change needs to be "managed" from a holistic and dynamic approach, not its individual pieces or projects – the systematic (business) and interactive (people) aspects are to be treated as parts of the sum.  

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<table>
<thead>
<tr>
<th>Author(s)</th>
<th>Change</th>
</tr>
</thead>
</table>
| Eby, Adams, Russel & Gaby (2000)| • The understanding of the reasons for change reflects the individual's unique interpretation of the reality of the organisation.  
• Individually held assumptions and expectations influence the individual's response to change.  
• Readiness for change is important in effective change management. |
| Farias (2000)                   | • Unlearning the old and relearning the new – people need to change their behaviour for change to be effective. |
| Foot (2001)                     | • Participation in change process is important.                        |
• Communicating and sharing information.  
• Sharing of feelings, emotions. |
| George & Brief (1996)           | • Employee relationships influence the experience of change.  
• Organisational citizen behaviour.  
• The context in which change takes place: the informal organisation is also influenced by the change process.  
• Sharing of feelings and emotions are important. |
<p>| Gerpott (cited in Nelson, 1995)  | • Relatedness to others can influence success of change.              |
| Goodstein &amp; Burke (1991)        | • Unlearning the old and relearning the new – people need to change their behaviour for change |</p>
<table>
<thead>
<tr>
<th>Authors</th>
<th>Change</th>
<th>Resistance to be addressed.</th>
<th>Creating capacity for change.</th>
<th>Communication and need for information are important.</th>
<th>Focus on the context in which change takes place.</th>
<th>Interaction with the external environment creates understanding for the need to change on an individual level (also refer to Levy (1986) below).</th>
<th>Employees form their own concepts of transformation.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Goss, Pascale &amp; Athos</td>
<td>Change</td>
<td>Resistance can be overcome by involving people in planning for change and monitoring its progress – bringing in their experience and views assists the creative process, and aids organisational flexibility to meet change forces, or, indeed, create something entirely new.</td>
<td>Creating vision and setting the direction.</td>
<td>Leadership commitment.</td>
<td>Reinforcing and institutionalising the new behaviours.</td>
<td>Autonomy – the belief of the individual that he can influence the direction of change.</td>
<td></td>
</tr>
<tr>
<td>(1993)</td>
<td>Change-Management Leadership Competencies</td>
<td></td>
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<tr>
<td>Graetz (2000)</td>
<td>Strategic change leadership</td>
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<tr>
<td>Greenberger &amp; Strasser</td>
<td>Change</td>
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<td>(1991)</td>
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<td>Greiner &amp; Schein (1988)</td>
<td>Change</td>
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<tr>
<td>Griffen &amp; Mathieu (1997)</td>
<td>Change</td>
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</tbody>
</table>
| Gronn (1997) | Change and Organisational Learning | • Emergent approach towards organisational change.  
• Resistance can be overcome by involving people in planning for change and monitoring its progress – bringing in their experience and views assists the creative process, and aids organisational flexibility to meet change forces, or, indeed, create something entirely new.  
• Creativity, flexibility and individuality are needed for successful change. |
| Hamel & Prahalad (1996) | Change |  |
• Sharing of feelings, emotions are important.  
• Management of people issues.  
• Get buy-in.  
• Ownership is important.  
• People need to make sense of change for themselves and have a sense of control of, or of making a contribution towards, the nature of it.  
• Resistance can be overcome by involving people in planning for change and monitoring its progress – bringing in their experience and views assists the creative process, and aids organisational flexibility to meet change forces, or, indeed, create something entirely new. |
<p>| Hannagen (1995) | Change and Successful implementation of change |  |</p>
<table>
<thead>
<tr>
<th>Author</th>
<th>Change Model</th>
<th>Points</th>
</tr>
</thead>
</table>
                    |                                                  | - Participation is important.                                           
                    |                                                  | - Celebrating small wins during the process also important.            |
|               | Facilitative Project Management                  | - Setting goals.                                                       |
|               |                                                  | - Initiating action.                                                   |
|               |                                                  | - Making connections.                                                  |
|               |                                                  | - Rebalancing to accommodate the change.                               |
|               |                                                  | - Consolidating the learning.                                          |
|               |                                                  | - Moving to the next cycle.                                            |
| Hennestad (2000)| Change                                         | - People expect more changes to take place to reach a satisfactory change state – more changes than were originally foreseen.  
                    |                                                  | - Unlearning the old and relearning the new – people need to change their behaviour for change to be effective. |
|               |                                                  | - Planning.                                                            |
|               |                                                  | - Implementing.                                                        |
|               |                                                  | - Closing-out.                                                         |
| Hudson (2001) | Change                                           | - Focusing on the specific areas of change, e.g. fostering of team commitment. |
|               |                                                  | - Confirmation.                                                        |
|               |                                                  | - Culmination.                                                         |
|               |                                                  | - Aftermath.                                                           |
|               |                                                  | - Cognitive processes of the individual – psychological needs to be addressed.  
                    |                                                  | - Communication and the need for information                           |
Johnson & Scholes (1997) Change model Successful implementation of change

- Clear vision of the strategy being followed.
- Building a commitment to change in the organisation.
- Ensuring that the approach to managing change is relevant to the circumstances being faced.
- Overcoming inertia and change resistance, by attending to the influence of the organisation's paradigm and culture web.

- Management of people issues.
- Get buy-in.
- Ownership.
- Planned approach to change.
- Organisations undergo change to realign themselves and remain competitive within changing macro environmental conditions and market forces.
- Need to be alert to dangers and opportunities.
- People need to have control/desire for control, based on Maslow's needs hierarchy (this includes habit, security and predictability).
- Human aspect of change is important – overlooking it will result in resistance to change.
- The perceptions of individuals who play a vital role in the change process
Leadership in quality-oriented organisation are often overlooked and this can lead to resistance if the change is perceived as a threat to security, habits, control relationships or status.

- Creativity, flexibility and individuality are needed for successful change.

- Employees form their own concepts of transformation.

- Organisations' perception of their employees (their role and status).

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<thead>
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<tbody>
<tr>
<td></td>
<td>Successful implementation of change</td>
<td>Organisational change.</td>
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<td>Structure and systems.</td>
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<td>Measurements evaluation and reporting.</td>
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<td>Process improvement.</td>
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<td>Team development.</td>
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<td>Developing subordinates.</td>
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<td>Developing partnerships.</td>
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<td>Innovation.</td>
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<td>Continuous learning.</td>
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<td></td>
<td>Management of people issues.</td>
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<td></td>
<td></td>
<td>Get buy-in.</td>
</tr>
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<td></td>
<td></td>
<td>Ownership.</td>
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<tr>
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<td></td>
<td>Planned approach to change.</td>
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<tr>
<td></td>
<td></td>
<td>Human aspect of change is important – overlooking it will result in resistance to change.</td>
</tr>
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<td></td>
<td></td>
<td>People need to make sense of change for themselves and have a sense of control of, or of making a contribution towards, the nature of it.</td>
</tr>
<tr>
<td>Author(s)</td>
<td>Change/Change model</td>
<td>Points</td>
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<tr>
<td>---------------------------</td>
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<td>------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Kofoed, Gertsen &amp; Jorgensen (2002)</td>
<td>Change/Punctuated equilibrium of change</td>
<td>- Creativity, flexibility and individuality are needed for successful change.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Participation is important.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Employee relationships have an effect on innovative spontaneous behaviours that go beyond role requirements.</td>
</tr>
<tr>
<td>Katz &amp; Kahn (1978)</td>
<td>Change</td>
<td>- Change occurs in a series of radical as well as incremental changes.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Highlight the complicated nature of change.</td>
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<tr>
<td></td>
<td></td>
<td>- Distinguish between planned change (top-down approach) and emergent change (bottom-up approach/continuous improvement approach).</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Distinguish between radical and incremental change.</td>
</tr>
<tr>
<td>Kotter (1995)</td>
<td>Change</td>
<td>- Unlearning the old and relearning the new – people need to change their behaviour for change to be effective.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Communication and the sharing of information important.</td>
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<tr>
<td></td>
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<td>- Celebrating small wins during the process important.</td>
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<tr>
<td></td>
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<td>- Form a powerful guiding coalition.</td>
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<td></td>
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<td>- Create a vision.</td>
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<td></td>
<td></td>
<td>- Communicate the vision.</td>
</tr>
<tr>
<td>Author(s)</td>
<td>Year</td>
<td>Change</td>
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<td>Lawrence (1991)</td>
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<td>Change</td>
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<td>Levine (2001)</td>
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<tr>
<td>Author/Reference</td>
<td>Type/Model</td>
<td>Key Points</td>
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<tr>
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<td>-----------------------------------------------------------------------------</td>
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<tr>
<td></td>
<td></td>
<td>Interaction with the external environment creates understanding for the need to change on an individual level (also refer to Griffen et al. (1997) above).</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Non-linear assumptions are playing an increasingly important role in change.</td>
</tr>
<tr>
<td>Macri, Tagliaventi &amp; Bertolotti (2000)</td>
<td>Change</td>
<td>The perceptions of individuals who play a vital role in the change process are often overlooked and this can lead to resistance if the change is perceived as a threat to security, habits, control relationships or status.</td>
</tr>
<tr>
<td>Miller (1998)</td>
<td>Change</td>
<td>Relatedness to the group effect successful change.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Participation important in successful change.</td>
</tr>
<tr>
<td>Mintzberg, Alstrand &amp; Lampel (1998)</td>
<td>Change Model</td>
<td>Refer to the &quot;map of change&quot; methods:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Planned change (programmatic):</td>
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<tr>
<td></td>
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<td>- Quality improvement;</td>
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<td>- Work reprogramming;</td>
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<td>- Strategic planning;</td>
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<td>- Job enhancement;</td>
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<td>- People empowerment</td>
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<td>- Team</td>
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</tbody>
</table>


- Building:
  - Organisation development;
  - Training;
  - Education;
  - Initiative teams;
  - Indoctrination.
- Driven change (guided):
  - Rationalising (costs);
  - Restructuring (organisation);
  - Repositioning (strategies);
  - Reframing (mindset);
  - Revitalising (culture).
- Evolved change (organic):
  - Venturing;
  - Strategic learning;
  - Political challenge.

<table>
<thead>
<tr>
<th>Author</th>
<th>Year</th>
<th>Change</th>
<th>Focuses on the sharing of feelings and emotions.</th>
<th>Participation important.</th>
<th>Celebrating small wins during the process important.</th>
<th>Lack of sufficient understanding of the new conceptual destination have negative influence on successful change.</th>
<th>Personal traits to be considered in change process. Autonomy – the belief of the individual that he can influence the direction of change.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mossholder (2000)</td>
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<tr>
<td>Nadler &amp; Tushman (1989)</td>
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<tr>
<td>Nevis, Dibella &amp; Gould (1995)</td>
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<tr>
<td>Newman (1998)</td>
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<tr>
<td>Newton &amp; Keenan (1990)</td>
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<tr>
<td>Author</td>
<td>Domain</td>
<td>Notes</td>
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</tbody>
</table>
| Nicholson (1998)  | Change          | - Need to create a safe space for change to occur.  
- Sharing of feelings, emotions important. |
| O'Niel & Lenn (1995) | Change         | - Personal traits important in successful change.  
- Manager’s role in change to be understood.  
- Communication and the need for information throughout change process important.  
- Sharing of feelings, emotions also important. |
- Relatedness to others is important.  
- Values and norms of the individual vs. those of the group to be considered.  
- Resistance plays role in successful change. |
| Organ (1990)      | Change          | - Employees’ relationships have an influence on their experience of change.  
- Focussing on organisational citizen behaviour and its influence on change.  
- The context in which change takes place: the informal organisation is also influenced by the change process. |
| Peters (1990)     | Change Model    | - Be obsessed with responsiveness to customers.  
- Encourage constant innovation in all areas of the firm.  
- Partnership – build wholesale participation and commitment of all |
people connected with the organisation.
- Change-loving leadership, which instils and shares an inspiring vision.
- Maintain control by implementing simple support systems aimed at measuring the correct things in today's environment.
- Planned approach to change.
- Change should be part of the daily activities within the organisation.
- Organisations undergo change to realign themselves and remain competitive within changing macro environmental conditions and market forces.
- Change is constant and a part of organisational life.
- Creativity, flexibility and individuality are needed for successful change.

<table>
<thead>
<tr>
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<tbody>
<tr>
<td>Theoretical approach to change:</td>
<td>Leading change.</td>
<td></td>
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<tr>
<td>Five characteristics of organisations that manage change successfully</td>
<td>Linking strategic and operational change.</td>
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<tr>
<td></td>
<td>Strategic human resource management.</td>
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<tr>
<td></td>
<td>Coherence in managing changes.</td>
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<tr>
<td>Porter (1990)</td>
<td>Change</td>
<td>Creativity, flexibility and individuality are needed for successful change.</td>
</tr>
<tr>
<td>Source</td>
<td>Change-Management Competencies</td>
<td>Summary</td>
</tr>
<tr>
<td>--------------------------------</td>
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<td>-------------------------------------------------------------------------</td>
</tr>
</tbody>
</table>
| Potter (2001)                  |                               | - Create understanding.  
|                                | Change-Management              | - Communicate effectively.  
|                                | Leadership Competencies        | - Release the potential in your people.  
|                                |                                | - Set a good personal example.  
|                                |                                | - Pace yourself.  |
| Rafaeli & Sutton (1989)        | Change                        | - Sharing of feelings and emotions are important during change.  |
| Rotter (in Newton & Keenan, 1990) | Change                        | - Personal traits have influence on effective change.  |
| Rousseau (1998)                | Change                        | - What worked well in the past needs to be carried forward.  |
| Rousseau & Tijoriwala (1999)   | Change                        | - The employee’s relationship with the organisation is a product of the organisation-employee history and the nature of the employee’s psychological contract with the organisation.  
|                                |                                | - A relational contract that entails mutual obligations to support each other’s interest, offers security, loyalty and commitment and involves a high degree of flexibility is believed to enhance the acceptance of change (also refer to Strebel (1996) below).  
|                                |                                | - Issues such as loyalty, commitment and feelings about the leaders may influence individual members’ understanding of the reason for change.  
<p>|                                |                                | - Individual employees are susceptible to colleagues’ opinions on the reasons for change (also refer to Armenakis et al. (1993) above).  |</p>
<table>
<thead>
<tr>
<th>Author</th>
<th>Change-Management</th>
<th>Change-Management</th>
</tr>
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<tbody>
<tr>
<td></td>
<td></td>
<td>Personal traits important.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>External environment can influence effective change.</td>
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<tr>
<td></td>
<td></td>
<td>Cognitive processes of the individual – psychological needs to be addressed.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>The context in which change takes place is important.</td>
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<tr>
<td></td>
<td></td>
<td>Unlearning the old and relearning the new – people need to change their behaviour for change to be effective.</td>
</tr>
<tr>
<td>Savolainen (1999)</td>
<td>Change</td>
<td>Differentiate between type and mode of change.</td>
</tr>
<tr>
<td>Schaafsm (1997)</td>
<td>Change</td>
<td>The common denominator of various contemporary change models, such as the networking model, matrix model and open systems model, is refocusing on the people.</td>
</tr>
<tr>
<td>Scholtes (1999)</td>
<td>Change-Management Leadership Competencies</td>
<td>The ability to think in terms of systems and knowing how to lead systems.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>The ability to understand variability of work in planning and problem solving.</td>
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<td></td>
<td></td>
<td>Understanding how we learn, develop and improve, and leading true learning improvement.</td>
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<tr>
<td></td>
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<td>Understanding people and why they behave as they do.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Understanding the interdependence and interaction between</td>
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</tbody>
</table>
## Change Model

| Theoretical approach to change: Five practices for building change capability |
|------------------|--------------------------------------------------|
| Duvenhage (1999) |

### Leadership Competencies

- "High Performance Leadership Competencies"

### Change

- Change Management

### Change Systems

- Change Management
- Systems Thinking

### Change Models

- Change Models: Personal mastery, Team learning, Information sharing, Systems thinking

- High performance leadership competencies: Giving vision, meaning, direction and focus to the organisation.

- Systems, variation, learning and human behaviour: knowing how each affects the others.

| Theoretical approach to change: Five practices for building change capability |
|------------------|--------------------------------------------------|
| Duvenhage (1999) |

### Change

- Change Management
- Systems Thinking

### Change Models

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### Change

- Change Management
- Systems Thinking

### Change Models

- Change Models: Personal mastery, Team learning, Information sharing, Systems thinking

- High performance leadership competencies: Giving vision, meaning, direction and focus to the organisation.

- Systems, variation, learning and human behaviour: knowing how each affects the others.
<table>
<thead>
<tr>
<th>St-Amour (2001)</th>
<th>Change Model</th>
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</thead>
<tbody>
<tr>
<td>Three phases of transition</td>
<td></td>
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</tbody>
</table>

- **Ending phase:**
  - Closure of the old and understanding of the new structure's base.

- **Exploration phase:**
  - Buy-in;
  - Interim procedures;
  - Preparation for the change.

- **New beginnings phase:**
  - Implementation of the change.

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<table>
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<tr>
<th>Steiner (2001)</th>
<th>Change</th>
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</table>

- Change programmes fail because the traditional (mechanic) model of managing change is unrealistic and does not work – the initiative is broken into small pieces, each of which is managed along operational lines as a series of individual projects (as noted by Kotter (1996) and Peters (1990)).

- People need to have control/desire for control, based on Maslow's needs hierarchy (this includes habit, security and predictability).

- People are adaptable and can embrace change.

- Organisational change fails due to not being incorporated into the daily activities of the organisation.

- Executives and employees see change differently: too few leaders recognise the ways in which individuals commit to change to bring it about.

- The employee's...
relationship with the organisation is a product of the organisation-employee history and the nature of the employee's psychological contract with the organisation.

- A relational contract that entails mutual obligations to support each other's interest, offers security, loyalty and commitment and involves a high degree of flexibility is believed to enhance the acceptance of change. (Also refer to Rousseau et al. (1999) above.)

<table>
<thead>
<tr>
<th>Source</th>
<th>Change and Organisational Learning</th>
<th>Emergent approach towards organisational change</th>
</tr>
</thead>
<tbody>
<tr>
<td>Stuart (1995)</td>
<td></td>
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<tr>
<td>Sugarman (2001)</td>
<td>Change Model</td>
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<tr>
<td></td>
<td>The learning-based change initiative</td>
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</tr>
</tbody>
</table>

- Pre-pilot phase:
  o Preparing for change;
  o Initial commitment;
  o Conspiracy;
  o Commitment to action.

- Pilot project:
  o New ideas are put to work in the large group;
  o Specific goals.

- Post-pilot phase:
  o Lessons from pilot phase grow into projects to expand the scope of the changes.

- Organisational change fails due to not being incorporated into the daily activities of the organisation.
<table>
<thead>
<tr>
<th>Author(s)</th>
<th>Change/Change-Management/Change Competencies</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tampoe (1990)</td>
<td>Change</td>
<td>• Successful change requires a period of consultation so that a coincidence of views and goals can be achieved. • The context in which change takes place. • Sharing of feelings, emotions important in change process.</td>
</tr>
<tr>
<td>Tett, Guterman, Bleier &amp; Murphy (2000)</td>
<td>Change-Management Leadership Competencies</td>
<td>• Traditional functions. • Task orientation. • Person orientation. • Dependability. • Responsibility. • Open-mindedness. • Emotional control. • Communication. • Developing self and others. • Occupational acumen and concerns.</td>
</tr>
<tr>
<td>Thompson (1997)</td>
<td>Change</td>
<td>• Management of people issues. • Get buy-in. • Ownership-issues to be addressed. • Threatening developments and opportunities for profitable change. • Need to provide opportunities in change process. • Human aspect of change is important – overlooking it will result in resistance to change.</td>
</tr>
<tr>
<td>Tracy (1994)</td>
<td>Change</td>
<td>• Human aspect of change is important – overlooking it will result in resistance to change.</td>
</tr>
<tr>
<td>Van Maanen &amp; Kunda (1989)</td>
<td>Change</td>
<td>• Sharing of feelings and emotions are important.</td>
</tr>
<tr>
<td>Author</td>
<td>Title</td>
<td>Key Points</td>
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<td>-----------------------</td>
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<td></td>
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<td>• Organisations are on a journey of successive desired states and are not at the final destination. As such, the &quot;New Age&quot; organisation remains in a constant state of &quot;unfreezing&quot;.</td>
</tr>
<tr>
<td>Watson (1996)</td>
<td>Change</td>
<td>• People need to have control/ desire for control, based on Maslow’s needs hierarchy (this includes habit, security and predictability).</td>
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<tr>
<td>Weick (1984)</td>
<td>Change</td>
<td>• What worked well in the past needs to be carried forward.</td>
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<td></td>
<td></td>
<td>• Celebrating small wins during the process important.</td>
</tr>
<tr>
<td>Weiss &amp; Cropanzano (1996)</td>
<td>Change</td>
<td>• Sharing of feelings and emotions are important.</td>
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<tr>
<td></td>
<td></td>
<td>• Celebrating small wins during the process also important.</td>
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<tr>
<td></td>
<td>4-D Model of Appreciative Inquiry</td>
<td>• Discovery.</td>
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<tr>
<td></td>
<td></td>
<td>• Dream.</td>
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<tr>
<td></td>
<td></td>
<td>• Design.</td>
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<tr>
<td></td>
<td></td>
<td>• Delivery.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Management of interconnected parts is a source of potential conflict because of inherent issues of understanding, communication and coordination.</td>
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<td>• Human aspect of change is important – overlooking</td>
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it will result in resistance to change.
- The central focus of change must be its impact on people.
- Change survivors – those who have been through, and have been affected by, numerous such initiatives over the course of their careers.
- Educational background and functional responsibilities contribute to distinctive perceptions of the reasons for change and how to go about it.

<table>
<thead>
<tr>
<th>Author(s)</th>
<th>Change Management Leadership Competencies</th>
<th>Change-Managment Competency Framework</th>
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</table>
• Sense of mission;  
• Effective change agent. |
| | Political competencies: | • Political processes;  
• Negotiation;  
• Ethics and power;  
• Marketing and education. |
| | Trans-organisational competencies: | • Understanding of organisational dynamics;  
• Inter-organisational collaborating mechanisms;  
• Social forecasting and marketing. |
| | 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.