

SUSTAINING ADMINISTRATIVE EFFECTIVENESS AFTER MUNICIPAL ELECTIONS THROUGH CHANGE MANAGEMENT

by

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Declaration

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Abstract

Municipalities are vulnerable to a potential regime change every five years due to municipal elections. These elections leave a municipality susceptible to the instituting of a new political leadership with its own strategies and ideologies. As part of the government sphere considered closest to its citizens, it is essential that municipalities run efficiently and effectively. The new political leadership could, however, propose and institute changes within the municipality which could temporarily threaten the efficiency of the municipality. It is imperative that the change process is managed effectively to ensure minimum disruption to the administration of the municipality and its ability to deliver services to its citizens.

This study focuses on change management as an instrument to manage the changes proposed and instituted by a new political leadership post-municipal election. The study explores the role of governance, councillors and administration, as well as examines the effects which regime change has on municipalities, both politically and administratively. It explores change management, the various models and approaches which can be applied to change processes and applies this to the case of an anonymous municipality in the Western Cape.

The municipality, used in this study, experienced administrative changes in 2012 with a policy and macrostructure change initiated by the new political leadership. The study uses non-empirical as well as empirical research to illustrate the change process, after which change management principles are applied to this case study.

The importance of instituting a sufficient implementation plan based on change management principles is identified as key to ensure that the change process is managed effectively. The study further emphasises the importance of communication to officials throughout the change period. These findings resulted in the development of a Change Management Procedure Model to serve as guideline for municipal management during change periods. This model, which serves as recommendation to the study, will potentially minimise the possible disruption which changes can bring to the municipality and ensure that efficient service delivery is maintained.

Opsomming

Vyfjaarlikse munisipale verkiesings laat munisipaliteite kwesbaar vir 'n potensiële regime-verandering en die daarstelling van 'n nuwe politiese leierskap met sy eie strategieë en ideologieë. As deel van die regeringsfeer wat die naaste aan sy burgers beskou word, is dit uiters belangrik dat munisipaliteite doeltreffend en effektief bestuur word. Die nuwe leierskap kan egter veranderinge voorstel en instel wat die doeltreffendheid van die munisipaliteit tydelik bedreig. Daarom is dit noodsaaklik dat hierdie veranderingsproses effektief bestuur word ten einde die minimum ontwigting vir die munisipaliteit en sy vermoë om dienste aan burgers te lewer tot gevolg te hê.

Hierdie studie fokus op veranderingsbestuur as 'n instrument om die veranderinge van 'n nuwe politiese leierskap na 'n munisipale verkiesing te bestuur. Die studie ondersoek die rol van die bestuur, raadslede en die administrasie, asook die effek wat 'n regime-verandering op munisipaliteite, beide polities en administratief, het. Verder word die verskeie modelle en benaderings tot veranderingsbestuur wat op veranderingsprosesse toegepas kan word, verken en op Alak Munisipaliteit toegepas.

Die munisipaliteit wat gebruik is in hierdie studie, het in 2012 administratiewe veranderinge ervaar as gevolg van 'n beleid- en makrostruktuurverandering wat deur die nuwe politiese leierskap geïnisieer is. Hierdie studie gebruik nie-empiriese sowel as empiriese navorsing om die veranderingsproses te illustreer, waarna veranderingsbestuurbeginsels op die gevallestudie toegepas word.

Die bevindinge van die studie identifiseer hoe belangrik 'n voldoende implementeringsplan gebaseer op veranderingsbestuurbeginsels is ten einde te verseker dat die veranderingsproses effektief bestuur word. Die studie benadruk verder die belangrikheid van kommunikasie met amptenare gedurende die veranderingstydperk. Hierdie bevindinge het gelei tot die ontwikkeling van 'n Veranderingsbestuur Prosedure Model om as riglyn vir munisipale bestuur gedurende veranderingstydperke te dien. Die model, wat dien as aanbeveling na aanleiding van die studie, het die potensiaal om die moontlike ontwigting wat veranderinge in die munisipaliteit tot gevolg kan hê te verminder en te verseker dat doeltreffende dienslewering gehandhaaf word.

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1. Chapter 1 - Introduction

1.1. Background

The only predictable condition of modern times is the certainty that change will occur (Newnham & Winston, 1997:105). The South African local government sphere, considered as the government sphere closest to its citizens, is responsible for delivering expansive services to its citizens. The organisational stability of municipalities is essential for the efficient delivery of these services (Zybrands, 2009:133). However, South Africa has municipal elections every five years, and with each municipal election comes the possibility of a municipality having to face a regime change. The transitional period from one regime's ideologies to another regime with different ideologies can have an effect on the administration of the municipality. Even if the political regime remains the same, it can result in new political appointments regarding the council of the relevant municipality. These new appointments may also impact on the administration of the municipality.

For this reason, it is often found that a temporary decrease in performance occurs when municipalities are in transition during or after municipal elections. As local government's main function is to deliver services to its citizens, a decrease in performance is not desirable. The potential change brought about due to changes in regime needs to be managed effectively to achieve the minimum level of disruption within the performance of the organisation. An effective and adequate response mechanism is necessary to respond to, adapt to and manage the changes which the organisation experiences.

The case study municipality used in this study experienced radical administrative changes in the period after the 2011 municipal elections. The municipality is based in the Western Cape, with a municipal area spanning over 900 square kilometers and known for its environmental beauty. The municipal area consists of various towns, of which a significant portion is utilised for agriculture. The local economy is broadly based on agricultural processing, various services including business and financial services, retirement settlements, tourism and growth sectors (Alak Municipality, 2012:11).

1.2. Rationale and Problem Statement

Response mechanisms to structural and system-based changes to administration have emerged in the private sector, but the public sector has been much slower in developing response

mechanisms to changes. The public sector therefore struggles to effectively manage radical changes within the organisation.

Change management studies are mainly focused on the private sector. Little emphasis have been placed on how change management could aid the management of the public sector and how it should be steered and implemented when local government is faced with change (Goss, 1989:8). The studies that have been conducted regarding strategic management with the aim of managing change in local government have mostly been done internationally. Even though some notable attempts were made to initiate such a strategic approach in South Africa's public sector, specifically local government, most studies on change management are only partly relevant to South Africa.

Due to quinquennial municipal elections, municipalities are faced with potential regime changes every five years. The elections expose municipalities to the instituting of new leadership which could potentially bring about change within the municipality. The period directly after the municipal election is characterized by instability due to the changing of leaders and uncertainty as the new leadership adapts to its roles. The new leadership brings its own goals and visions to the organisation, which may result in conflict between current and new leaders, as was the case in this study. These goals and visions drive the new leaders to initiate and implement structural and system-based changes to the organisation.

These periods of change are characterized by uncertainty in terms of the desired outcome for the organisation and subsequently affects officials' working environment. The result is often a decrease in the performance of the municipality. The decline in organisational performance can be attributed to the lack of effective management of the change which the municipality is faced with. Therefore it is vital that the change process is effectively managed by the management of the municipality. The parties initiating and implementing changes are faced with the challenging task of implementing changes in a manner which minimally disrupts the performance of the organisation whilst achieving the maximum positive results.

1.3.Objectives

Given the problem as stated in the previous section, the objectives of this study are to:

1. Conduct a theoretical exploration of the role of governance, councillors and administration.
2. Examine the effect of regime change on municipalities (political and administrative arms).
3. Explore the usefulness of applying change management strategies during change periods.
4. Investigate experiences of officials after a macro-structural change as a result of regime change in Alak Municipality.
5. Make recommendations on how a change management model could result in an effectively managed change process.

For purposes of confidentiality, the organisation used as a case study for this research will be referred to as Alak Municipality. This study focuses on the election of 18 May 2011 and the resulting macrostructure changes of the period after the election, thus 2011-2013. This period is illustrative of a local government entity being faced with a changing environment. The study sets out to explore how a change in the political structure due to the municipal election could affect the administration of local government, and how to capably manage the changes which the new management institutes.

Objective one will be achieved through the theoretical exploration of the literature review where it will be ascertained what citizens expect of local government. The literature review will also examine the effect of regime change on local government, as set out in objective two. Theories regarding the effects of regime change on the management and officials of the municipality will be discussed as well as the political environment of local government and the role of councillors within this political environment. Change management as a managerial issue, change management models and approaches as a solution to effectively manage change will then be explored in order to determine the usefulness of change management when it is applied to change periods, as set out in objective three. The case study of Alak Municipality and the policy and macrostructure change it experienced after a new leadership was instituted will be used to explore objective four: investigating change periods by focusing on the experience of officials

The study will conclude with a change management model to serve as guideline for management when faced with change in the dynamic local government environment. This guideline will assist management in ensuring that administrative effectiveness is sustained in the aftermath of municipal elections and the subsequent instituting of new leadership. This study aims to serve as a guideline for the leadership of municipalities when structural and system-based changes are being implemented within the organisation. It will demonstrate how change management principles usually only used in the private sector could be applied to a public sector entity to ensure a stable change period.

1.4. Research Design and Methodology

To achieve the objectives mentioned in the previous section, the study is using both non-empirical and empirical research. The non-empirical portion of the study includes a literature study and a secondary analysis of existing institutional and policy documents of Alak Municipality. These documents include Integrated Development Plans (IDPs), organograms, policies and annual reports.

The empirical data collection was done using two methods. A questionnaire was designed to determine the communication, organisational culture and experience of officials in the time prior to and after elections. The questionnaire, completed by a randomized sample of the organisation, provided the context for determining the sample of participants to be used in a second phase of research. The method used for this second phase was to conduct interviews with significant role-players and officials working in an administrative capacity at the municipality. Officials interviewed ranged from lower level employees (personal assistants, officials) to higher level employees (managers, directors).

1.5. Limitations of the Study

During the data gathering process, the researcher experienced certain limitations. Due to inadequate responsiveness from the political leadership of Alak Municipality, the researcher had to concede to viewing the change process only from the perspective of the administrative leadership and the officials within the organization as opposed to considering both the political and administrative leadership. The precarious nature of the political environment further prevented the researcher from determining the exact reasons for the proposed and implemented change, and the manner in which this occurred.

1.6. Chapter Outline

The following subsection will provide a brief outline of the chapters to follow in this study:

Chapter 2 consists of an extensive literature review covering the main focus areas of this study. It explores the reforms that local government was faced with in recent history to provide context for the organisational changes that municipalities are often faced with. Reference is briefly made to the changing administrative environment, and the role of councillors within municipalities as representatives of both the citizens and political parties is explored. The chapter concludes with literature on the concept of change management with specific reference to the models and approaches of change management.

Chapter 3 explores the Alak Municipality case study. It examines and discusses municipal elections within South Africa and continues with a discussion on Alak Municipality's change in macrostructure due to the change in political leadership after elections. The changed political and administrative leadership, the reason for the macrostructure change and the actual macrostructure change is discussed. The chapter concludes with a discussion of the effect of this new macrostructure on the administrative structures of the municipality.

Chapter 4 explores both the non-empirical and empirical components of the research methodology used in this study. The findings of the case study, divided into two phases, follow the research methodology discussion. The first phase, based on data collected through the questionnaire, provides context regarding the communication strategy within the municipality as well as the officials' experiences of the municipal election periods. The second phase, based on the secondary data analysis and interviews conducted, allows a discussion of the effect of the macrostructure change on the organisation.

Chapter 5 provides recommendations on how a change management approach could address the effects identified in the previous chapter. The recommendations of the study are based on a Change Management Procedure Model. The chapter concludes with an overview of the previous chapters and a synthesis of the findings.

2. CHAPTER 2 – Literature Review

2.1. Introduction

In this chapter, objectives 1 to 4 will be addressed through a literature study which provides an overview of the dynamic political environment of local government. The effect of a regime change on the local government administration will be discussed. Legislation pertaining to the role of councillors and the functions of municipal councils will be reviewed, after which a discussion of the role of councillors within the municipality will follow. In light of the changes within the political leadership after elections and the changes which municipalities potentially undergo due to the elections, change management as a managerial issue will also be addressed. The chapter concludes with a discussion of change management models and other approaches to manage change.

2.2. General Overview of the Changing Administrative Environment of Local Government

According to Clarke (1996:86), inescapable conflicting choices are to be made between management issues and those issues that need to be addressed according to citizens. Political parties have become a tool to bring order within the decision-making process. The representatives of political parties, known as the councillors, have a dual interest within the organisation. They firstly have their own political structures and political processes to adhere to, and secondly they also have an interest in the strategic overseeing of the organisation to ensure that policies and priorities are delivered in an effective manner. Councillors moreover provide a mediating influence between the potentially contrasting views of management and citizens. Government can be regarded as a sub-system of the political system (Leemans, 1976:19).

2.2.1. The Changing Role of Local Governance

Changes within public management reforms are often found to be a central feature of public management reforms. Various public sector reforms over the last 20 to 30 years have added to the dynamic and complex nature of local governance. The ongoing need to ensure efficient service delivery to its citizens and to be effective in meeting the needs of its constituents has caused government to undergo changes in its approach to managing local government.

Traditional public administration is a model passed on to independent countries such as South Africa due to colonialism. The merits of this model are its stability and sense of permanency,

neutrality with regards to politics, predictability and professionalism. It is also characterized by a hierarchy that promotes accountability and responsiveness to rules. However, this administrative form can result in “bureaupathologies” (Batley and Larbi, 2004:39), which refers to the inflexibility, waste and impenetrability of a hierarchy. The focus tends to fall on adhering to dense internal rules which causes the public to be unresponsive to the users of government’s provided services, and the failure of public participation.

Davids and Maphunye (2009:63) agrees that government is often associated with routine procedures and overall slowness which are characteristics of bureaucratic organisations. These characteristics have caused the public sector to be called “the bureaucracy”. Following a mainly top-down approach, it is often rendered unable to meet the changing needs of its constituents. This top-down approach is inadequate in meeting anticipated as well as new developmental challenges which the public sector is faced with. This inadequacy caused various South African public organisations to move towards a post-bureaucratic model with reforms to ensure improved performance as agents of change and a greater adjustment to changing circumstances.

The perception that traditional public administration was unable to anticipate and address the changing needs of its constituents led to the adoption of new approaches to public management. As a solution to enhance service delivery, government adopted the New Public Management (NPM) approach. NPM borrows its approaches and techniques mainly from the private sector and is based on the belief that markets and competition will bring about efficiency. This set of reforms “shifted the public sector from bureaucratic to post-bureaucratic organisational arrangements” (Batley & Larbi, 2004:40).

The NPM approach attempts to reform and modernize the public administration from within by introducing innovative, customer-friendly practices. It focuses on managing government as a business and states that the public sector can and should borrow management strategies from the private sector (Pollitt & Bouckaert, 2000:17; Wise, 2002:555). A main focus area is that the organisation should measure as well as evaluate its performance to ensure the least possible waste and the maximum output. NPM has prompted a widespread process of change in all public sector organisations as the systems that have evolved support good customer service with foremost focus being on performance management. This approach also led to the adoption of performance management systems which resulted in monitoring and evaluating

public officials and civil servants (Davids & Maphunye, 2009:62; Dienerova & Alam, 2007:53; Batley & Larbi, 2004:40, 41).

Recognising the importance of meeting the needs of its constituents and adapting to the increasing demands for effective service delivery has attributed to the further reform of the good governance approach. Since the 1990s there has been an increase in comparative international indicators such as good governance (Pollitt & Bouckaert, 2000:18). The South African public sector believes that the creation of a public-orientated organisational structure will aid it in its quest for good governance. Good governance is believed to be central to creating and sustaining an environment which enables development.

The South African government strives toward achieving good governance through adherence to the rule of law and ensuring legitimacy. It tries to promote transparency, accountability and being efficient and effective in response to its constituents' needs through partnership. Resource prudence, ensuring ecological soundness and the empowerment of the citizens of South Africa are also prioritised. It strives towards the adoption and creation of a strategic vision and the inclusion of all stakeholders in its decision-making processes. As stated by the Governance and Institutional Development Division (GIDD) of the Commonwealth Secretariat, the sound administrative structures necessary for a well-run society are strong, honest governance and a culture which is skills-driven (Davids & Maphunye, 2009:65; Zybrands, 2009:133).

The South African public sector is further characterized by significant changes, such as the replacing of old policies and statutes to better reflect the realities within the country as well as de-racializing governmental structures. Other changes also include the introduction and maintaining of equality and equity in providing access of goods and services to all citizens as well as the implementation of new laws and policies (Davids & Maphunye, 2009:62).

The reforms that have been discussed emphasise that governments have to adapt to change and continuously improve their performance to ensure efficient service delivery to citizens. Batley (2007:11, 12) stresses the importance of these reforms. Previously government was tasked to perform functions itself and the state held clear authority within their specific borders. However, government's role has changed as the view of nation states has changed. Government now undertakes less direct performance of functions and rather works in partnership with actors to perform functions.

Caulfield and Schultz (1989:4) substantiate this view by stating that local government is changing its role to become a securer instead of a provider of services. It adopts a facilitative role in which it enables the necessary actors to take action. Local government helps to shape direction and make public provision for the locality. It acts as a controller of quality of services provided by the private or voluntary sectors, and is supposed to become a voice for the local communities to the benefit of the local citizens. Constituents not only require services to be delivered but also that they add public value (Goss, 2001:18; Clarke, 1996:10). The various reforms that the public sector has undergone are illustrative of the necessity for government to find alternative ways to ensure that their services are delivered efficiently and effectively.

It is therefore essential that a municipality ensures that it assesses its internal and external environment continuously and to communicate any changes to its staff. The municipality should focus on the positioning as well as the repositioning of the organisation, both in- and externally. The leaders of the municipality should strategically position and establish a relevant and clear direction for the organisation to effectively complete its tasks (Davids & Maphunye, 2009:64). Nickson (2007:31) warns, however, that these tasks are technically complex and politically sensitive. Not only is a change in the organisational structures of central government required, but also in the skills and attitudes of the civil service. The municipal elections every five years and potential regime changes add to the complexity of addressing these tasks as it brings about a potential internal change within the leadership of the local government.

2.3. The Effect of Regime Change on Local Government Administration

South Africa, as a democratic country, has elections on national, provincial and local level. The focus of this study is on local (municipal) elections which are held on a quinquennial basis. The purpose of municipal elections is to elect new councils for each municipality in South Africa. Municipal elections are done in such a way that a total of fifty percent of the seats in each respective municipality are elected on a first-past-the-post system in single-member wards. This means that a candidate only needs to achieve a plurality, namely the largest number of the votes, to win the election. Those seats which remain are then allocated to restore proportionality (Heywood, 2007; 257). Municipal elections can thus result in a change in regime, or, as remarked by Leemans (1976:16), a take-over of power.

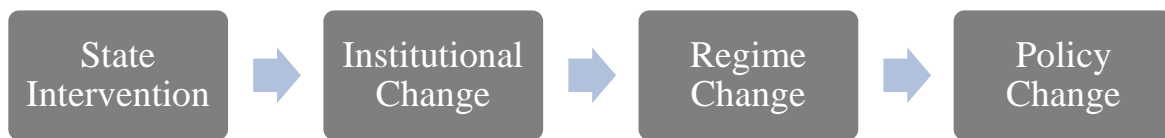
Whether through a revolution or by political groups which are different from the political group currently in office, it could cause crisis conditions which can result in change within the municipality. The new regime may view the existing government machinery as an obstruction to realizing their policies and as being in contrast with its ideology. Therefore, the potential regime change in local government due to the municipal elections every five years affects both the management and the officials of the municipality.

According to Haring (2011:8), regime change typically follows institutional change. She comments that most regime theorists find that regime change occurs due to incremental challenges posed to the status quo. Stone (1989:1) refers to “the regime” as the informal arrangements which both surround and complement “the formal workings of governmental authority”. In turn, Kitschelt (1992:1028) defines political regime change as a shift in the rules and also the basic political resource allocations according to which actors’ exercises influence or authority. This authority is exercised through the enforcement and imposition of decisions of a collective nature on the bound constituency.

Although there are various types of governance regimes, such as state regulation or municipal ownership, the core of each regime remains the same (Stone, 1989:1; Troesken, 2006:260). Haring (2011:7) remarks that at the heart of every regime there is cooperation among a diverse group of actors who come together to act. Therefore, regime change poses numerous incremental challenges to these actors and the status quo.

For the purpose of this study, regime change is defined as a change in the political leadership of the organisation where, although the party remains the same, different people are elected into office. The new political leadership (“regime”) can thus pose incremental challenges to the administration and status quo of the municipality and may result in a policy change which reflects the ultimate goals of these actors or their political parties.

Haring (2011:3) holds that state actors facilitate policy change through interventions to create new institutions which will subsequently restructure certain elements of the current policy regime. These result in new institutions which empowers the new set of actors that work to transform the existing policy environment. Regime change forms part of this process and is a result of the interventions as well as a predecessor for policy change. She uses the model set out in figure 2.1 to illustrate how this change is brought about.

Figure 2.1. Process to Accomplish Policy Change

Source: (Haring, 2011:3).

The state intervention referred to in figure 2.1 represents state actors who use intervention tools or strategies to exercise influence over local government. These intervention strategies can be classified into five broad categories, namely financial penalties and rewards, regulatory strategies, informative strategies, privatization strategies and takeover strategies. The last two categories refer to the removal of local officials from power and taking direct control over government (Haring, 2011:3).

According to Haring (2011:3), institutional change follows the implementation of intervention strategies. Just like a person, an institution is a political actor that can use the policy process to accomplish its goals and also the interest of the people which the institution is associated with. This can lead to the evolution of new institutions which operate simultaneously but parallel to the traditional existing regimes. These institutions give rise to a new set of actors who are empowered to think differently and determine a new set of rules. They can therefore be used to challenge the existing regime through policy restructuring as they redefine priorities in a way that empowers a new, unique governing regime. Institutional change thus results in regime change which acts as a catalyst for policy change (Haring, 2011:7).

According to Wilson (2000:260-266) regime change occurs when various catalysts interact with one another to undermine the existing regime and its policy goals. This process occurs in stages. However, these stages are not in a specific sequence and may occur concurrently, often interacting and working together to undermine the existing regime and its policy goals. There are five catalysts to regime change, namely stressors/enablers, paradigm shifts, legitimization crises, power shifts and finally organisation and policy change.

a. Stressors/Enablers

Wilson (2000:260) states that the first stage in regime change involves external factors which impose stress (stressors) on the change, or enables (enablers) the change. They cause conditions which are favourable for change and therefore act as catalysts for the change. As

organisational arrangements are under stress, focus is placed on irregularities within the governing policy paradigm of the organisation and the visibility of new problems increases. These stressors or enablers facilitate power shifts as they contribute to the creation of strategic advantages for those groups who promote alternative policy agendas (Wilson, 2000:260).

Moreover, stressors or enablers increase the number of those who were alienated and isolated, resulting in a disruption of daily routines and a shattering of the security and comfort of the status quo. The policy regime is further weakened by changes in demography, and in some cases, these stressors and enablers can produce enough strain to encourage the rethinking of all the organisational arrangements and the contemplation of possible alternatives (Roland, 2004:11).

b. Paradigm Shifts

Even though stressors and enablers influence regime change, they do not necessarily lead to the automatic change of policy regimes. They create conditions that are susceptible to change and stimulate paradigm shifts. Wilson (2000:262) describes a paradigm shift as a change in thinking which then discredits the governing policy paradigm and therefore elevates an alternative paradigm. He argues that paradigm shifts do not come about suddenly. They only occur in situations or events where there is conflict with the governing policy paradigm. This brings an increased focus on the alternative paradigms that exist concurrently with the governing policy paradigm but which have received less attention and have less credibility.

c. Legitimation Crises

Stressors or paradigm shifts triggered by events such as municipal elections often interact with and result in producing a legitimacy crisis, the third stage which Wilson (2000:264) describes. This transpires when confidence in the old regime is lost and when political leaders who are committed to policy change exploit stressors, promote alternative paradigms, challenge the current existing regime's rationality and offer different policy solution sets. Political leaders often achieve this through using the media, magnifying the relevant issue and thus raising its visibility. Leaders external of government increases a legitimacy crisis when they place doubt in the stories and authority on which the governing political regime has its foundations (Wilson, 2000:264).

d. Power Shifts

Wilson (2000:264, 265) attributes power shifts to changes in leadership as well as changes in the role of the state and defection within the regime. These changes may occur concurrently and are enabled due to the impact which paradigm shifts and stressors have. Power shifts are also brought about by defection within the regime and by the mobilization of an alternative regime where opposition groups challenge the current regime. These shifts in power provide leaders with the opportunity to convince people that the current arrangements are not rational or legitimate, but that alternative arrangements are feasible and possible.

e. Organisation and Policy Change

The final stage of the change process as identified by Wilson (2000:265) involves a change in the organisation of both policy goals and the policy implementation process. An amplified decision-making arena within government as well as the creation of a new setting for policy making generally pertains to the consequential policy change during this stage. Change commonly ends in the policy implementation process being reorganized, which is associated with changes occurring in policy goals and in the power arrangements, as well as shifts occurring in the policy paradigm.

The role of political leaders in these changes cannot be discounted. They often provide an onslaught on the current regime by advocating new alternative policy paradigms and through the promotion of policy solutions. The appearance of new policies and policy goals as well as the altered implementation thereof is generally the completion of the policy change process (Wilson, 2000:267).

The last step in the model set out in Table 2.1 (p. 14), policy change, is not simply the result of an enactment of new legislation and the institution of a new regime. Policy generally reflects the regime's perception of the "means and ends of governmental action" (Cohen-Vogel & McLenden, 2009:1). It also displays those institutional arrangements which structures policy making, as well as policy implementation and the objectives of the regime members.

Therefore, policy change depends on the process of implementation, power arrangements and decision-making. New policies do not directly result in policy change. Policy change is the product of changed institutional and power arrangements. It is only once policymakers are able to establish the procedures and rules which enable them to empower the actors who share

their vision that they have the power to potentially change the policy paradigm (Haring, 2011:10).

Policy change further results from control over the policy process, policy paradigm and the regime. The regime as well as the institutional arrangements shape the policy paradigm and can potentially redefine policy dialogue and goals, as well as create a new policy environment. In Table 2.1 the various types of policy change and regime change are illustrated.

Table 2.1. Types of Regime and Policy Change

| <i>Policy Change</i> | <i>Regime Change</i> | |
|----------------------|--|---|
| | Yes | No |
| Yes | (1) Regime Change Policy Change | (2) Policy Change No Regime Change |
| No | (3) Regime Change No Policy Change | (4) No Policy Change No Regime Change |

Source: (Haring, 2011:11).

This table illustrates the four types, or levels, of regime and policy change. The first quadrant illustrates both a change in regime and in policy change. It refers to authentic policy change because there is a change in the power arrangements as well as the actors, which ultimately leads to the appearance of a new regime that challenges the status quo in such a manner that the current policy paradigm is redefined (Haring, 2011:11). The second quadrant is illustrative of general policy-making when there is no change to the regime or policy paradigm, but there is a change in the existing policy or legislation pertaining to it. In the third quadrant, no change in the functional policies but a change in power arrangements is represented. It is a result of a new regime coming into power but lacking the ability and capacity to implement its agenda (Haring, 2011:12). The last quadrant is representative of the status quo. There is no change in either the regime or the policy.

When taking all four quadrants into account, it is important to consider that quadrant one, authentic policy change, is the type of change which challenges organisations and causes disruptions in the environment. This quadrant offers support for the argument that the political instability which is evident within local government during regime changes will negatively impact on policy implementation, service delivery and good governance (Okecha, 2010:92).

2.4. Political Leadership in Local Government

It is essential to realise that politics are an indispensable ingredient of local government (Okecha, 2010:2). It is characterized by competing interests and values which often result in difficult decisions that have to be made by management and councillors. The political environment which Clarke (1996:5) refers to is further explained by Fakir (2009:4) of the Development Bank of South Africa as the contest for power, the contestation for governance as the executive administration and a regulatory system. Goss (2001:117) and Okecha (2010:8) remarks that governance inexorably involves the negotiation of power and a struggle for competing groups and interests to attain power of the instruments and control.

The relationship between political parties is complex and will influence the stability and quality of the political order. It is often found that open discussion is the exception rather than the rule, signs of exclusiveness are apparent and decision-making are done whilst lacking sufficient information and debate. These factors further contribute to the complexity evident in an increasingly plural and diverse society (Clarke, 1996:12).

Politics within local authorities must be managed through regular reviews and continuous open debates. Clarke (1996:5) emphasises that good public management is essential in achieving good government, but he does not discount the fact that management takes place in a public sphere that has certain implications for management. Councillors often come into their positions expecting to immediately realise those ideals which they advocated and were elected for. However, they are sobered of these misconceptions when they realise that they are confronted with various challenges within the organisation due to either the political changeover or the internal workings of the organisation.

The change period in which one opposition political party may potentially become the ruling party can only be described as volatile. When a new party comes into rule, new councillors are taking up positions that were previously filled by another party. Management therefore takes place in a political environment rich with public debate, values that are conflicting, public choice and accountability (Keohane, 2001:2). In order to achieve the good public management Clarke (1996:5) refers to, it is vital that managers are sensitive to these factors and have clarity on its desired outcomes. It is essential that the local political leaders recognize other local leadership sources. Collaboration with these sources and the

identification of ways to bring these sources into the processes of local authorities are important (Clarke, 1996:12; Corrigan, 1998:24).

2.4.1. The Role of Political Leadership in Local Government

Part 2 of the Municipal Structures Act (No. 117 of 1998) states that there are various types of municipalities that are defined according to their systems of municipal government. These systems include the collective executive system, which allows the executive mayor to exercise executive leadership “through an executive committee in which the leadership of the municipality is collectively vested”, and the mayoral executive system which allows for the executive mayor to exercise executive leadership while assisted by a mayoral committee (Republic of South Africa, 1998:18).

Traditionally, the role of councillors was to reflect the desires of the community. Currently, however, competitive and feasible governments require councillors to address emerging demands from constituents at local level. The changes in local government, as discussed in section 2.1, have contributed to confusion about the role of councillors. According to Newnham and Winston (1997:105), councillors are leaders of local government, representatives of the people and policy-makers. The often undefined and uncertain role of councillors adds to the conflict apparent in the dynamic environment of municipalities.

There is therefore a clear need to define the role of councillors. As mentioned previously, councillors have a dualist role as they are representatives of their political party while also having to act in the interest of their constituents. Councillors’ various roles are concerned with representation, the maintaining of strategy as well as resource and priority allocation. Councillors are also responsible for aiding in policy making, providing community leadership and continuously considering politics.

The most important role which councillors must play is acting on behalf of those who elected them in their geographical areas. Councillors should be a link as well as a representative of the electors to the local authority. They should deal with the needs, both local and individual, of their constituents and also address their problems and complaints (Clarke, 1996:44).

As part of the political leadership, councillors are further required to aid in promoting the direction of the local authority to ensure the organisation is able to deliver. They must insure that the direction of the organisation is responsive to change and continuously check on the

progress being made towards meeting the strategic goals of the organisation. The promotion of the organisation's strategic direction requires councillors to continuously confirm that the priorities and resources of the organisation are directed towards that which it was intended for (Clarke, 1996:44).

The Municipal Structures Act (No.117 of 1998) emphasises that councillors should continuously seek to find the best methods and practices as well as to deliver on strategies, services and programmes identified in the organisation efficiently and effectively. Subsection 3 states that the committee must identify and also develop criteria according to which the implementation of its strategies, services and programmes can be evaluated. The criteria can include key performance indicators specific to the municipality as well as local government generally (Republic of South Africa, 1998).

Adding to the burden of councillors is the perception that the community expects them to undertake their roles in a more strategic manner (Newnham & Winston, 1997:106). It would entail taking overall responsibility for the instituting of policies, guiding these policies, playing an oversight role pertaining to the performance of management as well as setting standards for service delivery. Conflict arises when the administration demands attention to issues which party politicians do not view as being profitable and which may lead to possible electoral damage for them, or vice versa. The lack of defined roles of councillors is a major catalyst for this conflict (Local Government Board, 1995:1; Okecha, 2010:4).

In addition, the role of councillors also has to be defined because of the complexity and professionalism of modern management which is of such a nature that councillors often do not have the necessary experience, knowledge or qualifications to be successful in their tasks. By removing the management responsibility from councillors and rather transferring it to the administrative leadership, councillors will be able to focus on strategic planning for the municipality and on policy direction (Newnham & Winston, 1997: 106).

There is an increasing need for councillors to receive support in the form of skills training and knowledge to better understand the complexities of their tasks as well as the issues they have to deal with (Clarke, 1996:24). It is vital that those parties involved in local government understand the distinctive nature of local government as well as the purpose and values that are involved in its leadership and management.

2.4.2. Relationship between Managers and Councillors

As discussed in section 2.2, changes in local governance have resulted in a more managerial approach to governance, resulting in a larger role afforded to senior managers as they become more powerful (DETR, 1998:8, 13; Goss, 2001:117-120). Thus, in addition to the changing role of both managers and councillors, there has been a change in the relationship between councillors and managers. Traditionally the relationship between councillors and managers were very formal. Managers retained powers to challenge decisions made by councillors and to determine the lawfulness and appropriateness of these decisions. Currently councillors and managers work together and act as co-managers of a corporation as they partake in informal discussion groups (Goss, 2001:123).

The strategic approach of the municipality deals with key issues regarding the organisational direction. Therefore, policy within the organisation requires continuous development to guide service delivery or other activities to ensure that the municipality moves towards its desired strategic outcomes. During policy making, decisions need to be made about the optimal manner of executing activities. Standards and qualities must also be determined as well as the providers of services to citizens. As representatives of the community, councillors can help with these decisions by tracking and assessing whether decisions are being implemented and whether they have the desired effect on the community (Clarke, 1996:45).

Furthermore, as representatives of political parties, councillors are required to be advocates for specific viewpoints. Councillors will actively argue their case through debating, promoting and seeking publicity (Clarke, 1996:45). This often causes strain on the relationship between managers and councillors. Managers perceive councillors as only focusing on their political and self-interest. Councillors are deemed unable to understand the internal administrative side of the organisation due to their perceived lack of experience. Therefore managers often disregard the issues which councillors raise (Lodewyk, 2012).

After a municipal election, new councillors are often sobered when they realise that they are unable to bring about immediate change. The induction processes provided by the administrative leadership cause councillors to feel inadequate in fulfilling their roles. When councillors are unable to bring about immediate changes due to municipal administrative process, they perceive the administrative leadership as unwilling to bring about change. Management is also often perceived as having a superior attitude towards councillors, which contributes to a tense relationship (Lodewyk, 2012).

Adding to the stress of this relationship is the inevitable change of new political leadership after elections. *The White Paper on Modern Local Government: In Touch with the People* notes the importance of change in local government and the management of this change in order to add to the quality of citizen's lives (DETR, 1998:8, 13). The following section will therefore discuss the concept of change management as a means to handle this unavoidable change.

2.5. Change Management

2.5.1. Dealing with Change: A Managerial Issue

Change can be defined as “the movement away from a present state toward a future state; or generally a response to some significant threat or opportunity arising outside of the organisation” (Rashid, Sambasivan & Rahman, 2003:161). Clarke (1996:17) describes it as an “unfortunate necessity on the way to a new stability”. Organisations with their various regulations, institutions and routines have a tendency to resist change and innovation. However, Newnham & Winston (1997:105) remarks that local government is known for its adaptability to innovation and its ability to maintain existing conditions. Regardless of the municipality, this imminent change and the subsequent shift must be managed (Rashid *et al*, 2003:161; Cohen-Vogel & McLendon, 2009:1).

The changes which occur with the five-yearly municipal elections and the changes resulting from ensuing regime changes must be addressed effectively to ensure efficient and effective service delivery. This change management must start from the top of the organisation. The public manager is the figure which exercises leadership, coordinates human resources, ensures savings are made, formulate strategies and ensure overall efficiency to improve performance. Thus, the public manager is responsible for the effective management of changes affecting the municipality (Goss, 2002:141; Pierce, Dunham & Gardner, 2002:632).

There are various factors which may contribute to the resistance of change by officials (Rashid *et al*, 2003:164). As the focus of this study falls on resistance to change due to the implementation of changes following a regime change, only a brief overview of these contributing factors will be given. These contributing factors are not to be discounted, but for the purpose of the study the focus is only on the changes that occur after a municipal election and the entrance of a new political leadership.

Rashid *et al* (2003:162) and Pierce *et al* (2002:631-632) states that three factors need consideration when change processes are to be implemented: technological, organisational and personal perspectives. People play the most important role when implementing change, but they are also the most difficult to deal with. The human capital within an organisation involves different preferences, values and attitudes towards particular activities.

Attitudes are the most difficult to change. People are comfortable with that which they have learned or are used to. They fear taking risks and show intolerance to it. Their need to maintain tradition is prevalent. To effectively implement change, management should consider that the change will challenge each person's assumptions, attitudes and related beliefs. The response of officials to these challenges should be given serious consideration as the core of the organisation lies within its human capital (Rashid *et al*, 2003:162; Pierce *et al*, 2002:633).

Some people are more resistant whilst others are more receptive to change. There are three responses to change: cognitive, instrumental and affective. Cognitive responses refer to opinions that relate to the necessity and rationale behind the change, and the knowledge which is required to handle the change. The information, which the person is in possession of, forms the basis for that which the person believes is true. Instrumental responses refer to those actions that have been taken or are to be taken to handle change. Affective responses refer to the feelings of anxiety or satisfaction linked with the change (Rashid *et al*, 2003:163).

Managers need to clarify which practices the organisation should continue with or cease in order to implement the necessary change. This includes aligning the organisation's processes to support the change rather than oppose it (Cook, Macaulay & Coldicott, 2004:55). Three areas to consider when planning the managing of change are: changing aspirations within society, unexpected occurrences and differences between that which was forecast and that which actually happen (Caulfield & Schultz, 1989:6, 14).

Clarke (1996:18) further emphasises the management of the people within the municipality during conditions of change. To ensure that change management is effective, managers need to pay attention to the relevant people issues. The acceptance of change by officials will increase when organisational commitment is apparent and when they experience clarity, job motivation, satisfaction and security. If these factors are recognized and addressed by management, resistance to the change will be reduced (Iverson, 1996:128). Managers should

ensure as far as possible that officials are not resisting the change but that they are part of the change through open discussions regarding working relationships, expectations and possibilities. Managers should recognize the strengths and weaknesses of their officials and aim to ascertain shared understanding, agendas and approaches to the change (Clarke, 1996:18).

The importance of organisational history must also not be discounted. How the organisation dealt with change previously, its capacity in terms of management expertise and its resources to manage the change in an effective manner are important aspects. The view of the organisation's future beyond the change is also vital to the success of the change management (Cameron & Green, 2009:55). A framework or formality is therefore necessary to ensure effective change management which can last in the long term.

2.5.2. Change Management Models

2.5.2.1. Phillips' Phases of Organisational Change

Julien Phillips published a change management model in the 1980s. The notion of change management, however, took over a decade to catch on. Phillips based his model on three critical components. These components include the need for a strategic vision for the organisation, the new organisational skills necessary for this vision to work and the deep commitment by the officials within the organisation to ensure that the change achieves its desired outcomes (Phillips, 1983:188-189).

Phillips' model consists of four phases of organisational change, with three components – strategy, organisation and political support – to be considered in each phase. Phillips (1983:190, 191) notes that the first phase should include a strategy, a clear grasp of the organisation's attributes and characteristics, and gaining political support from the core group of people within the organisation. The second phase is the development of a specific commitment to the proposed change by developing a clear strategic vision and establishing a dominant group that understands the change (Phillips, 1983:191). Phase three is described as “pushing for major change”. It entails achieving a favourable and sustainable position as management consistently works toward the new strategic vision (Phillips, 1983:192). In the fourth and final phase the new vision is consolidated and reinforced. It includes the identification of new strategic opportunities on a continuous basis and consolidating acceptance of the change (Phillips, 1983:192).

2.5.2.2. *The Change Process Model*

Building on Phillips' model, Chang (1993:14) poses a "six-step change process" to effectively manage change a decade later. This model sets out six steps to be followed by managers to ensure effectiveness during change periods. The first step is to refine the need for change by determining the potential for change and testing the emotional reactions of the officials. The second step is defining the results by outlining the desired outcome and establishing which officials will be affected. Managers should thirdly produce a plan in which the tasks and roles of all relevant parties are outlined. They must develop a plan of action whilst considering the employee responses regarding the plan. The fourth step is to implement the action plan, mobilize it and decide on the monitoring process. Fifthly stability must be brought to the outcome by communicating to officials that the desired outcomes are in place, while recognizing the supporters to ensure that the change remains in place. Lastly, Chang emphasises the importance of evaluating the change and establishing new ways so that innovation is encouraged.

2.5.2.3. *Lewin's Change Management Model*

By viewing the change process as one with different stages, managers are able to prepare for change and plan how to manage this change efficiently. Kurt Lewin developed the Lewin's Change Management Model. Lewin viewed behaviour as "a dynamic balance of forces working in opposing directions" and that driving forces are the facilitators of change (Kritsonis, 2005:1). Lewin's Change Management Model recognizes three stages within the change process: the unfreezing stage, the change stage and the refreeze stage (Kritsonis, 2005:2). The unfreeze stage involves preparing the organisation for the change that is to occur. It is considered the most difficult and also the most stressful for managers. However, it is essential that managers start at the core of the organisation and challenge the values, beliefs, behaviours and attitudes of the officials that currently define the organisation. By starting at the core, managers ensure that the transition because of the change is smoother as officials are not suddenly veered off-balance in their positions. It forces the organisation to re-examine the core of the organisation and create a "controlled crisis" and buy-in from officials (Mind Tools, 2007).

After the confusion created in the first stage, the change stage follows. During this stage, officials resolve their uncertainties, become more accustomed to the new ways of doing things and start to behave in support of the transition. However, the movement from the first stage to

the second is often a timeous exercise, and it takes time and careful managing to ensure that officials start to act proactively. Lewin states that an important factor which managers should focus on is ensuring that officials understand the change and how it affects them. Lewin stresses that communication and time are the two keys to achieve a successful movement from the first to the second stage (Schein, 1996:30; Mind Tools, 2007).

The last stage, called the refreeze stage, occurs once officials have embraced the change, have adapted to the new ways and the organisation considers itself as ready to refreeze. A municipality is ready to refreeze once it has job descriptions and an organisation chart that are steady and once officials internalize the changes by ensuring that they are used consistently and are well-incorporated into the municipality (Mind Tools, 2007).

This model is simple and easy to understand as it consists of steps. For this reason it is used efficiently today. However, the disadvantage is that it is time-consuming. Also, during the refreezing period officials are often concerned that another change might occur again, thus staying in a state of “change shock” and being less efficient and effective in their jobs (Chapman, 2006).

2.5.2.4. Kotter’s Eight Steps to Managing Change

Another model to effectively manage change was developed by John Kotter in 1995. This model plays an important part in managers’ understanding and managing of change as a key principle is acknowledged at each stage and people resultantly “see, feel and then change” during the change period (Chapman, 2006).

The first step for managers is to inspire people to make their objectives real and relevant and also convince officials that the change is manageable. Secondly a team which will guide the change process must be put together. The people in this team must have the relevant skills and attain sufficient management levels within the organisation as well as possess the correct emotional commitment to guide the officials. Thirdly the team has to establish a vision and strategy to drive service delivery and efficiency (Chapman, 2006). Fourthly, the team should ensure that as many people as possible are involved and that buy-in is created through effective communication and responding to people’s needs.

The fifth step, called the “empower action” step, is that the team should remove any obstacles that prevent the change as well as ensure that constructive feedback is given and that

managers provide sufficient support for officials. The sixth step, the creation of short-term goals, helps managers to assist officials by showing them the progress that has been made. According to the seventh step, managers should encourage persistence and perseverance with continuous progress reporting and also highlight the future milestones that have to be achieved. The eighth and final step in this model is to make the change stick. Managers must reinforce the value of the changeover and the change must be weaved into the organisational culture (Chapman, 2006).

Similar to Lewin's Change Management model, Kotter's step-by-step model is easy to follow. In addition, its focus on the acceptance of change and on how prepared the municipality is for change, as opposed to a focus solely on the change itself, is beneficial. Potentially detrimental, however, is that steps cannot be skipped as this will result in failure of the change process. As with the previous models, it must be remembered that change takes time and managers should take that into account (Chapman, 2006).

2.5.3. Approaches to Change Management

2.5.3.1. Strategic Planning and Management of Change

Various authors promote the notion of strategic planning as a means to manage change within local government. However, opinions vary regarding what the strategy concept actually implies. It is often associated with determining both internal and external objectives during change periods, whilst other authors rather focus on global approaches to the suggested organisational change. Due to these varying interpretations, strategy may be categorized into dimensions which are often interrelated (Leemans, 1976: 43). Strategic planning, in the context of this study, refers to the local authority establishing its purpose as well as direction and clearly embracing its political purpose and direction. It lies at the heart of the change process in the local authority as a whole (Caulfield & Schultz, 1989: 6).

The key elements to be considered in strategic planning are the vision and mission statement of the organisation, its values and goals, its implementation strategy, communication strategy, the presence of a strategic task force as well as monitoring of the strategic plan (Kaplan, Norton & Barrows, 2008:3). Caulfield and Schultz (1989:5) further recommends that local government first take the broader view and purpose into consideration and that they tackle these broader issues rather than focusing on fine details. Management should abstain from only focusing on incremental changes, but rather continuously consider the bigger picture

(Heifetz & Linsky, 2002). It must also examine those issues which will ultimately influence the constituents and which are important to the municipality as a whole.

It is necessary for managers to define the purpose of the organisation when faced with change. This sense of purpose and determining of key values will ensure the optimal use of energy and resources. The organisational purpose as well as the political direction of the municipality contributes to the establishment of a role which is wider than in many organisations and involves the engagement of both the elected members and managers (Clarke, 1996:14, 62). Management should be aware of and identify potential problematic areas and focus on them. If managers are able to align the objectives of the local authority and ensure feedback through various measurement techniques, they will be able to manage the change in a strategic manner (Technology One Limited, 2010:3; Clarke, 1996:14).

Clarke (1996:15) adds that a “strategic sense” is necessary to mould the various contributions of the constituent parts. The change must be managed with the goal of developing a sense of direction or purpose shared throughout the organisation. Communication with staff members regarding changes and expectations of them is critical. Officials need to understand the logic and purpose behind change and be informed of how this will influence their environment.

Caulfield and Schultz (1989:8) affirm that strategic planning is not a process that will happen on its own. Strategic management requires managers to adopt strategic leadership and thinking approaches and to create a strategic organisation which is more adaptable to change. It is essential that the organisation is subject to change. According to Quinn (1980) effective strategies concentrate resources and management attention on a few critical thrusts which cohesively integrate the entity’s major goals. As stated, strategic planning aids managers in determining the overall purpose of the organisation and assists them in planning the change management process properly. However, strategic planning is the instituting of a strategy itself and may have an adverse effect on change management as officials then have to adapt to a new system amidst being within a change period.

2.5.3.2. Developing an Action Plan

Leemans (1976:153) considers the notion of strategic planning as a sensible idea but he notes that managers must bear in mind that they are planning and therefore preparing for an “inaccurately predictable future”. He further notes that managers often proceed to develop plans based on the assumption that the maximum should be attempted at the outset, while in

reality it is inevitable that they will have to modify their plans along the way. Managers often only have a vague vision of what they want to achieve and how to manage the change period. Therefore, Leemans proposes developing an action plan once the desired outcome and strategic direction for the change has been established. This action will help managers identify their main difficulties and objectives and will prevent them from hiding their intentions as they will not be able to refrain from certain commitments.

Objectives help to determine which strategies and instruments will be used, and secondly they provide a yardstick to establish the degree to which they have been realised. Leemans (1976:27) identifies two main categories of objectives. The first category is intra-administration objectives which are primarily focused on ensuring improvement in the municipality. The second category refers to those objectives which are concerned with the societal roles of the administrative system in the municipality as well as with the changing programmes and policies. Despite this categorisation, the two may often be closely related.

Internal objectives are generally used to ensure greater accomplishment of external objectives, for example, to improve or increase outputs. It is important to maintain this interrelationship as it contributes to ensuring the survival of the organisational units within the municipality. It is a useful approach because these objectives, once determined, will guide the manager in effectively managing change (Leemans, 1976:27).

The action plan should furthermore identify the people responsible for managing the change as well as the main parties and their supporters (“change agents”) who will initiate change. It should also appeal for backing of these parties and confirm the worth, practicality, feasibility and acceptability of the proposals to manage the change. Leemans (1976:153) states that the plan should provide evidence of where the proposed change management plans have worked and an estimation of the outcome. Moreover, it should identify points at which opposition may be most likely experienced and determine the rewards that will be bestowed on supporters as well as potential threats of penalties on opponents. Lastly, an action plan should include references to access adequate, necessary resources and reveal the chosen instrumentalities.

This plan is, however, subject to faulty planning. Those developing the plan often have insufficient time and background material. The developers of the plan may also not have the necessary competencies to develop it, resulting in potential failure to formulate broad as well

as specific objectives that are related to the change situation the municipality finds itself in (Leemans, 1976:153). Objectives are furthermore subject to undergo substantial changes and shifts throughout the change process. Therefore, even though the determining of objectives may be viewed as a concrete path to guide managers, objectives are also subject to influence and subsequent altering during the change process (Leemans, 1976:30).

2.5.3.3. *Monitoring and Evaluation*

In order to ensure that potential mistakes are minimized and objectives are altered in a manner which ensures that the desired outcomes are reached, management should also decide on a monitoring and evaluation process for the implemented change. Monitoring and evaluation are powerful feedback tools for public managers to use during change periods. Monitoring refers to a continuous function which systematically collects data on specifically determined indicators in order to indicate the progress and achievement of objectives to management. Its aim is to improve the efficiency and the effectiveness of the change process (Kusek & Rist, 2004:12; Shapiro, 2013).

Evaluation refers to the objective, systematic assessment of an ongoing or completed project, policy or programme. The aim of this feedback tool is to determine the fulfillment and relevance of the objectives, its effectiveness, impact and sustainability. It can either be summative or formative, where the former takes place through the lifecycle of the project and the latter is drawn afterwards for learnings for future projects. Evaluation should provide management with credible and useful information which they can use for future projects, policies or programmes. Evaluation complements the monitoring process, as monitoring sends signals to management when it is moving away from the objectives. Monitoring and evaluation provide management with a review of the progress in the implementation of change, identifying problems during the change period and allowing management to make effective adjustments during the process (Kusek & Rist, 2004:12-13; Shapiro, 2013).

2.5.3.4. *Communication and Change Agents*

Although monitoring and evaluation processes are useful tools to determine problematic areas, continuous communication with officials during the change process will prevent problems from occurring. Dienerova (2007:67) emphasises the role which communication can play to manage change in local government. Efficient local governments attribute their success partly to excellent communication strategies. Dienerova (2007:68) defines

“communication” as any interaction between management and its officials. The communication of the values, vision and mission, goals, as well as strategy within the organisation is an elemental requisite to start and continue throughout the change process (Cook, Macaulay & Coldicott, 2004:55).

It is essential that involvement, ownership and commitment are evidenced by the political leadership, managers and officials. Involvement and ownership will be achieved through effective and continuous communication with officials. Officials need to be involved and take ownership of their roles to effectively adapt to the change they are experiencing. The success of any approach to adapt to change relies on the conviction of officials as well as managers (Caulfield & Schultz, 1989:47).

However, as mentioned previously, officials tend to be resistant to change. Therefore, management should identify and focus on the supporters of the change, the so-called “change agents”. Chang (1993:8) and (Lunenburg, 2010:1) recognizes that the driver behind successful changes is the “change team”, or officials which are affected by the change. A change agent is, thus, any person with the skill and the power to facilitate, stimulate and coordinate the change effort. These supporters could be internal or external to the organisation. The success of the change process relies heavily on the relationship between management and these change agents. It is essential that management identify change agents within the organisation as they can enable officials to work effectively throughout the planning, implementing and overall experience of the change. Change agents can also assist officials’ ability to manage future change (BDR Consultants, 2013).

2.6. Summary

Various authors have written on the concept and process of change and how to deal with it. This movement away from a present state towards a future state is inevitable in local government. It is a potential occurrence with each municipal election and the potential subsequent institution of a new political leadership. Although approaches, models and reasons for change vary significantly among authors, it is evident that all of them agree that this change need to be managed.

This chapter has explored the various expectations of local government and has noted that the role of local government is changing due to various reforms. However, these reforms were

only discussed to provide context, and the focus of this study is rather on when change occurs due to regime change (a change in the political leadership when the same political party remains in power). The chapter thus continued by discussing the effects of regime change on the administration.

The role of councillors as significant role players in the political environment of municipalities was examined. Dealing with change as a managerial issue was discussed, including various change management models: Phillips' Phases of Organisational Change, Chang's Change Process Model, Lewin's Change Management Model and Kotter's Eight Steps to Managing Change. Other approaches and their merits to managing change were also discussed. These included the concepts of strategic planning and management, the development of an action plan, the aligning of such a plan with set objectives as well as the instituting of a monitoring and evaluation plan to track progress and to ensure that the change process is aligned with its pre-determined objectives. A section on continuous communication to officials throughout the change process emphasised the importance of this aspect. The chapter concluded by discussing the integral role of change agents during the change process and how these supporters of the change can assist management in ensuring effective change management.

3. CHAPTER 3 – Macrostructural Change at Alak Municipality

3.1. Introduction

The previous chapter provided a general, theoretical overview of the changing administrative environment in municipalities, as well as the effect of regime change on local government administration, and briefly viewed the political leadership within municipalities. Chapter 3 will discuss the case study of Alak Municipality which will serve as a practical example of a regime change, the political leadership and how these can affect the municipal administration.

Alak Municipality focuses on various development goals: the creation of sustainable jobs, the development of skills in the community and empowering of community members, as well as ensuring sustainable economic growth. These goals served as the rationale for the administrative changes in policy and macrostructure brought about in 2012. The intent of the changes were to further assist in achieving additional development goals, namely reducing poverty, focusing on partnerships with significant relationships and maintaining stable relationships with relevant parties to ensure co-operation (Alak Municipality, 2012:11).

The main focus of this study is on the macrostructure change which occurred in July 2012, approximately a year after the municipal election in May 2011. This lapse of one year from the time that the new municipal council was in position is due to timing, most notably the start of the next financial year. The municipal council was only able to influence the financial planning for 2012. For the purposes of this study, the period from May 2011- July 2012 will not be discounted, but the focus will be on the period after July 2012 when abovementioned administrative changes were implemented. A discussion on the political leadership and the administrative leadership in this organisation follows, after which the macrostructure change to this organisation in 2012 will be discussed.

3.2. Leadership in Alak Municipality

3.2.1. Political Leadership

The executive mayor, deputy executive mayor and speaker were appointed in 2009. After the 2011 elections new candidates filled these positions. Post-elections the Alak town council consisted of 43 councillors of which 22 were elected directly as ward councillors, whilst the others were elected on a proportional basis to serve their political parties (Respondent 1, 2013).

The mayoral committee (Mayco) is the principal decision-making body of the council and consists of the executive mayor, the deputy executive mayor and six councillors. The members that make up the Mayco as well as the speaker are full-time councillors who are assigned to a specific directorate based on their previous experience and preference. The Mayco that was in office in mid-March 2011 was aligned with the portfolios of the directors of the municipality in terms of the macrostructure adopted by the municipal council in August 2010.

The municipal election of 2011/2012 was held at the start of the financial year. The Integrated Development Plan (IDP) as well as the budget had to be finalized before 1 July 2011. This is a timeous process which requires a big portion of the directors' time. The timing of the municipal elections and the subsequent entry of the new councillors resulted in councillors being unable to immediately implement changes or influence processes. The projects that were in the IDP and the budget for the following year were already approved by the directors and the previous municipal council (Respondent 1, 2013; Respondent 4, 2013).

It is important to note that the following part of section of 3.2.1 is mainly the opinion of the participants, specifically the administrative leadership, interviewed. Due to the limitations of the study, namely the inability to speak to the political leadership, the researcher, however, adduces the following (although it is mainly opinions) to provide context for the manner in which the macrostructure change was implemented.

According to Respondent 1 (2013) the newly instated councillors were disillusioned as they were still unaware of procedure within the municipality. The councillors were under the misconception that they would be able to implement changes immediately, but due to the timing of the elections and the start of the new financial year, they were unable to do so. Therefore the municipal manager and the directors decided to focus on an intensive induction programme for the new councillors to familiarize them with procedure. The rationale behind it was that 65% of the new councillors, including the newly appointed executive mayor and deputy mayor, had a background in the private sector and had no previous experience in the public sector (Respondent 2, 2013).

The intense induction programme included various presentations which councillors experienced as overwhelming (Respondent 1, 2013). Each director made a presentation

regarding their respective directorates. Further presentations on the IDP and its function, the strategic objectives of the municipality and its future plans were also presented by the administrative leadership. Additionally, the new municipal council was taken on a breakaway session where presentations were made regarding legislation relating to the operation of council, the role of the political leadership within the organisation and the responsibility of officials (Respondent 1, 2013).

This intensive induction programme may have caused the incoming Mayco to feel overwhelmed and to feel that the administrative leadership was condescending. These feelings of being overwhelmed and frustration were enhanced by the fact that the new councillors lacked room to provide any immediate input into projects because the budget had been approved six months prior to the election (Respondent 1, 2013; Respondent 5, 2013). The hostility which the political leadership felt towards the administrative leadership caused resistance towards the administrative leadership, and frequent internal “caucusing” by the political leadership occurred (Respondent 1, 2013).

3.2.2. Administrative Leadership

Through Mayco’s caucusing and strategic sessions held in June, July and September of 2011 as well as January 2012, sessions which happened unknown to the administrative leadership, it decided to initiate a review of the macrostructure of the organisation in terms of the approved policy framework. This change was to be effective on 1 July 2012, the start of the new financial year. It was instituted as soon as the new municipal council was able to bring about long-term changes in the organisation.

Subsequently, Mayco brought an unexpected agenda item proposing a new macrostructure to a special council meeting. The municipal council voted in favour of this change, which then further contributed to the tension between the administrative and political leadership (Respondent 4, 2013; Respondent 1, 2013). In addition to the changed macrostructure, Mayco also proposed that, upon completion of all directors’ contracts, their positions will be advertised and directors will have to re-apply for their positions.

The newly proposed macrostructure of the Alak Municipality easily linked to the portfolios of the Mayco members. It would be more economical and would provide the necessary focus to effectively achieve the development goals of the municipality. The structure would be more

responsive to the needs of the constituents and would improve the organisation's service delivery.

3.3. Previous Changes to the Macrostructure of Alak Municipality

The macrostructure of Alak Municipality had previously been revised in 2009 and approved in August 2010, as illustrated in Addendum A (p. 71). This macrostructure had consisted of three levels with the municipal manager at the top level. On the second level were a personal assistant and internal audit department, which focused on risk management and conducting performance audits. On the same level was a liaison executive department which specifically focused on matters pertaining to councillors, namely committee services and providing councillor support. This department also focused on legal services, providing executive support, ensuring compliance and all matters pertaining to the office of the municipal manager (Respondent 3, 2013; Alak Municipality, 2012a:4).

The third level consisted of six directorates: Strategic and Corporate Services, Financial Services, Public Safety, Community Services, Planning, Property and Integrated Human Settlements (IHS), as well as Engineering Services. Addendum B (p.72) indicates the various functions of the six directorates according to the 2010 macrostructure. Upon establishing this macrostructure in August 2010, the municipality also initiated a revision of the micro-structure, which was approved in August 2011 (Alak Municipality, 2012a:4).

After these administrative changes were implemented, the municipality established a stable institution in which all the political parties committed to the delivery of high quality service delivery. It committed to the principles of good governance, especially being corruption-free with regards to the administration, the municipality's foremost priority. The municipality rationalised these political and administrative changes, which consumed considerable energy, time and resources, by stating that it was necessary to establish a sound base for future progress (Alak Municipality, 2012a:4; Respondent 4, 2013).

However, despite the potential energy, time and resources that another structural change would require, the new municipal council decided that another radical change to the macrostructure is necessary. Therefore, in 2012, the municipal council decided to revise the macrostructure of 2010 and establish a new macrostructure to be operational from 1 July 2012.

3.3.1. Operational Policy and Macro Organisational Guidelines

The organisation of Alak Municipality is governed by an approved policy framework which had to be observed in the review and resulting adaptation of the organisation's structure. Alak Municipality's internal administrative organisation consists of a macrostructure and a microstructure. The macrostructure consists of a Municipal Manager and a manager for every primary line or primary staff function who reports directly to the municipal manager. Approval is granted by the Executive Mayoral Committee (Mayco) in conjunction with the Municipal Manager after necessary consultation with the trade unions according to the organisation policy framework. The macrostructure may not consist of a span of control of less than two or more than ten directorates or managers who report directly to the Municipal Manager (Alak Municipal Council, 2012:19).

In the 2012 macrostructure review, the municipal council used the macro-organisational guidelines that were adopted by Alak Municipality's stakeholders during previous macro-organisational reviews. The political office bearers cited that incumbents should be representative of demography and accommodative of the current directors and that mutual respect, trust and loyalty should be characteristics of the political administrative interaction. It was further indicated that service delivery should be effective and efficient and that there must be respect for the overlapping roles between the administrative and political leadership. The macro-organisational change had to be accommodative and inclusive of the current administrative leadership, and the appointment or placement process had to be driven by the Acting Municipal Manager. The Acting Municipal Manager would have to ensure that directors are competent and provide the necessary support to directors (Alak Municipality Council, 2012:19).

The municipal council proposed various guidelines as departure point for the implementation of the 2012 macrostructure change. These guidelines included the placement of management on the basis of the close match principle whilst taking the preference of serving managers into account. A placement process would be preferable to an advertised competitive appointment process, and staff would follow function where applicable. The municipal council further proposed that current service levels be maintained during the change process. Remuneration and reconstructed portfolios would be assessed to ensure that market value adjustments to remuneration are made. Lastly, the reputation of officials had to remain intact as dignity and respect should characterize deliberation and interaction on all matters regarding the macro-review and implementation process (Alak Municipal Council, 2012:19).

3.3.2. Strategic Intent of Macrostructure Review

The political leadership attributed the 2012 macrostructure review and change to strategic direction or intent – to give effect to a strategy of efficiency and effective service delivery. This strategy would strive towards transforming the organisation from a good municipality to a great municipality. The municipality strives towards a positively growing local economy and social society. The political leadership intended to achieve this aim through instituting a more effective macrostructure which would enable the municipality to achieve certain objectives.

Alak Municipality would be able to provide innovative, creative and modern customer-focused leadership from the front in an administrative environment which is legally compliant. This environment would allow both the municipal council and executive committee to effectively and efficiently execute decision-making activities under the political leadership and administrative guidance of a functionality-specialized directorate of corporate services (Alak Municipal Council, 2012:19). The new macrostructure would enable them to achieve integrated and adequate delivery of all infrastructural technical services over the long, medium as well as short term with the specific intent of fulfilling backlogs in the bulk infrastructure. It would also contribute to prolonging the life of the existing infrastructure through planned maintenance (Alak Municipal Council, 2012:19).

The revised and improved macrostructure would ensure the highest possible participation of the public, management and political office bearers in determining the needs of the community and subsequent strategic planning. It would also ensure participation in performance management, reporting processes and budgeting, provided within a corporate, efficient administration and a financially affordable, sustainable and viable organisation where good governance and administrative as well as public participation are the standard (Alak Municipal Council, 2012:19).

The improved microstructure would furthermore facilitate economic development and the maximization of employment within a planned and positively controlled property development environment in all sectors and nodes. The structure would allow for a special focus on delivery and maintenance of social accommodation as well as residential opportunities in an environment where social development, community safety and service delivery to the community is the priority (Alak Municipal Council, 2012:19).

3.3.3. The Structural Implications of the Macrostructure Review

The previous subsection dealt with the strategic intent of the political leadership as a rationale to change the macrostructure. The following table will provide the link between the strategic intent discussed above and the structural adaptation of this intent at macro-level.

Table 3.1. Strategic Rationale, Structural Adjustment and Macro Implication of Macrostructure Change

| Directorate | Strategic Rationale | Structural Adjustment | Macro Implication |
|---|--|---|---|
| Strategic and Corporate Services | <p>Innovative, creative, modern customer-focused leadership from the front in an administrative environment that is legally compliant.</p> <p>Environment will allow council and committee to effectively and efficiently execute decision-making activities under political leadership and administrative guidance of a functionality-specialized directorate of corporate services</p> | <p>No macrostructural implication.</p> <p>Establish focused corporate management of Information Technology to achieve modern electronic governance in municipality.</p> <p>Develop modern office facilities. Develop organisation wide customer care and client networks.</p> <p>Provide professional corporate councillor support, committee services and legal advice/compliance.</p> | <p>No macro-organisational adjustment. Transfer misplaced Functions of Legal Services, Councillor Support and Customer Care and Information Management to the Directorate Strategic and Corporate Services</p> |
| Strategic and Corporate Services Financial Services Liaison | <p>Achieve integrated and adequate delivery of all infrastructural technical services over the Long-term, Medium-term, Short-term.</p> <p>Specific intent to fulfil backlogs in the bulk infrastructure.</p> | <p>No macrostructural adjustments required.</p> <p>Strategic and Corporate Services and Directorate Financial Services are established.</p> | <p>Retain current macro-organisational arrangement with regards to Directorate Strategic and Corporate Services and Directorate Financial Services.</p> <p>Exception of consolidating all corporate functions as indicated: Transfer the misplaced Functions of Legal Services, Committee Services,</p> |

| | | | |
|---|--|--|---|
| | | | Councillor Support and Customer Care and Information Management to the Directorate Strategic and Corporate Services. |
| Engineering Services | <p>Ensure highest possible participation of public, management and political office bearers in determining the needs of the community and subsequent strategic planning.</p> <p>Ensure participation in performance management, reporting processes and budgeting.</p> <p>Provide a corporate, efficient administration and a financially affordable, sustainable and viable organisation where good governance, administrative and public participation is the standard</p> | No macrostructural adjustments required as Directorate Engineering/Technical Services is established. | Retain amalgamated Directorate Engineering Services inclusive of Electro-Technical Services and Civil Engineering. |
| Integrated Human Settlements Public Safety | <p>Economic development and the maximization of employment within a planned and positively controlled property development environment in all sectors and nodes.</p> <p>Special focus on delivery and maintenance of social accommodation and residential opportunities in an environment where social development, community safety and</p> | <p>Minor structural adjustments of macro organisation: Unbundle Local Economic Development Services from other directorates.</p> <p>Integrate with existing planning development, environment, building control and heritage functions to form Directorate Economic Development and Planning.</p> <p>Differentiate Integrated Human Settlement Services (IHS) from current</p> | <p>Re-establish a Directorate Integrated Human Settlements.</p> <p>Re-establish a Directorate Economic Development and Planning.</p> <p>Re-establish a Directorate Community and Public Safety.</p> |

| | | | |
|--|---|---|--|
| | <p>service delivery to the community is the priority.</p> | <p>Directorate Development Planning and IHS to ensure dedicated focus on the provision and management of current/future residential opportunities while reducing span of control of current Directorate.</p> <p>Create separate Directorate for IHS.</p> <p>Provide focused and specialised social community service delivery. Integrate current services provided by Directorates Community Services and Public Safety.</p> <p>Form consolidated cluster of social services.</p> <p>Abolish both current Directorates Community Services and Community Safety and consolidate functions to form singular Directorate Community and Public Safety Services.</p> | |
|--|---|---|--|

Adapted from: (Alak Municipal Council, 2013:20, 21).

3.3.3.1. Top Level of Macrostructure

Addendum C (p.73) graphically illustrates the new macrostructure as proposed in table 3.1. The new macrostructure consists of only two main levels of management. The first level has a municipal manager. A senior administrative officer is on a level between the municipal manager and directorates but above the personal assistant. The liaison executive falls away and is replaced by the internal audit department which now mainly focuses on risk management. These functions have the main purpose of assisting the office of the municipal manager. While performance audits were previously done by the internal audit, this function now moves to the Directorate: Strategic and Corporate Services (Respondent 4, 2012).

3.3.3.2. *Directorates and its Functions*

Four directorates underwent changes, namely the Directorate: Strategic and Corporate Services, the Directorate: Public Safety, the Directorate Community Services and the Directorate: Planning, Property and IHS. The new macrostructure split the Directorate: Planning, Property and IHS to form a new directorate, namely Directorate Human Settlements.

The Directorate: Strategic and Corporate Services were given the additional function of Legal Services and Municipal Court. Legal Services formerly formed part of Liaison Executive. The Municipal Court is still being established in 2013. This directorate also has the additional function of Information Technology (previously from the Directorate: Financial Services). It is responsible for performance management (formerly part of the Internal Audit department) and Public Participation which is a new function determined in the review. Councillor Support and Committee Services (Ward Committees) have also moved from Liaison Executive to this directorate (Respondent 3, 2012).

Human Resources, which fall under the Directorate: Strategic and Corporate Services, used to be responsible for salaries, but it has now moved to the Directorate: Financial Services. Compared to the macrostructure approved in 2010, the Directorate: Financial Services performs mainly the same functions, but these have been specified and renamed in the new macrostructure. What was named “Budget Office” in 2010 was termed “Budgeting and Costing” in 2012, and “Financial Statements” used in 2010 became “Financial Statements, Compliance and Reporting” in 2012 (Respondent 6, 2012).

Previously termed Directorate: Public Safety has been replaced by Directorate: Community and Protection Services. This directorate now also has the function of Area Cleaning, Parks and Rivers as well as Sport and Facility Management. All of these formerly formed part of the Directorate: Community Services. The Neighbourhood Revitalisation function of the Directorate: Community Services was renamed “Greening Services” and included together with the new function of Air Pollution (Respondent 4, 2012).

A new directorate called Human Settlements has been established instead of the Directorate: Community Services. This directorate focuses on informal settlements, housing administration, new housing and the project management unit (PMU), property management and building maintenance. Formerly, housing administration and PMU were separate

functions of the Directorate: Planning and Property and IHS. In the new directorate, they are combined into one function. Property Management and Building Maintenance, formerly called Building Inspectorate, is also part of this directorate (Respondent 7, 2012).

The Directorate: Planning, Property and IHS of the 2010 macrostructure was renamed the Directorate: Planning and Economic Development. It has the function of Community Development, formerly from Directorate: Community Services, as well as a newly established function, Local Economic Development (LED). It still retains all its other functions, except for those that moved as identified above. The final directorate, Engineering Services, was mainly unaffected by the change in the macrostructure of 2012, except for mentioning the specific focuses that fall under its Electric Service function (Respondent 1, 2012).

3.3.4. Development and Implementation Process

The macro-organisational change commenced with a strategic review by the political leaders and consultation between the acting municipal manager and affected directors on 3-5 April 2012. Union consultation was completed on 11 April 2012 via the local labour forum which culminated into a proposed macrostructure submitted to the Mayco on 18 April 2012. This proposal was further submitted to the municipal council on 25 April 2012 for approval (Alak Municipality, 2012a: 21-22). The understanding and point of departure for the proposed organisational arrangements were that the material conditions of service and benefits contained in current fixed term contracts must be maintained. The remuneration of reviewed portfolios was subject to change by mutual consent of the parties to the contracts of service.

Table 3.2. Macro Organisation Implementation Plan

| Activity | Timeframe | Responsibility |
|--|----------------------|--------------------------|
| Amendment of microstructures | 15-18 May 2012 | Relevant directors |
| Consultation with Organised Labour on macro implementation process | 21 May 2012 | Relevant directors |
| Endorsement of amended microstructures | 29 May 2012 | Acting Municipal Manager |
| Acting Municipal Manager to consult with affected directors/officials | 29 May – 5 June 2012 | Acting Municipal Manager |
| Directors to consult with affected officials | 29 May – 5 June 2012 | Relevant directors |
| Ratification of amended | June 2012 | Mayco |

| | | |
|--|---|---|
| microstructures | | |
| Issuing of placement letters | June 2012 | Relevant directors |
| Consideration of placement objections | June 2012 | MDPC |
| Ratification of amended microstructures | June 2012 | Council |
| Appointment of an acting director: Planning & Development | June 2012 | Council in consultation with the Acting Municipal Manager |
| Placement and advertisement of vacancy and selection of candidate | To be finalized after consultation with the Municipal Manager | |

Source: (Alak Municipality, 2012b:3-4).

Table 3.2 illustrates the implementation process for the macro-organisational change, including the various activities which form part of the implementation process. It provides the timeframe of these activities and indicates who is responsible for each activity. However, upon implementing the macrostructure, this plan was not implemented on schedule (Buka, 2012). The micro-structures were to be amended by the end of May 2012. In April 2013 the municipality was still undertaking job evaluations to determine and amend the microstructure. The review of the microstructure has thus taken over a year to complete, and it was still not completed by an external consultant by July 2013 (Respondent 3, 2013).

The changed macrostructure was implemented on 1 June 2012, but uncertainty about their positions, especially which officials are in which directorate, and the circulation of various rumours resulted in confusion. The implementation was proposed but it was not followed. Only in September 2012 were directors able to arrange workshops and formally inform their officials of the changes after clarification on each department was provided by the municipal manager and political leadership. This was three months later than the implementation plan initially stated (Respondent 4, 2012; Respondent 8, 2012).

3.4. Summary

The emergence of a new political leadership after the municipal election on 18 May 2011 caused Alak Municipality to be exposed to potential changes. The intensive councillor induction process left councillors feeling overwhelmed by the administrative leadership and led to their gradual withdrawal from the administrative leadership. Internal caucusing and workshops by the Mayco resulted in devising a new macrostructure, without the knowledge of

the administrative leadership. This new macrostructure served as an unexpected agenda item on a special municipal council meeting and was voted in.

The protocols within the organisation and the roles of the political leadership were clarified in the intensive induction programme of the municipal council. Although the municipal council strived to follow the macro-organisational guidelines previously adopted by the municipality, the political leadership did not fully adhere to these guidelines. The guidelines state that approval for structural change must be granted by both the municipal manager and the Mayco, but the Mayco did not include the municipal manager in the discussions regarding the proposed change. The municipal council approved this change, but the initiation of the change as well as the change process was not inclusive of the administrative leadership, as required by the guidelines.

In the new macrostructure, the following directorates were affected: the Directorate: Strategic and Corporate Services, the Directorate: Community Services, the Directorate: Public Safety and the Directorate: Planning, Property and IHS. The restructuring of the macrostructure rendered the Directorate: Community Services obsolete. The change in directorates was couched as serving the strategic intent of the municipality and assisting in achieving its development goals. The municipal council also decided that, upon the completion of directors' contracts, the consequential vacancies would be advertised and that directors would have to re-apply for their positions.

Although a draft implementation plan for the macrostructure change was drawn up, it was not followed. Directors were astounded when this change was proposed, and the officials were subsequently not properly informed of what the change entailed. For a period of three months there were only rumours circulating regarding the change and its effect on the organisation. This confusion and lack of communication from both the municipal council to the administrative leadership and the ensuing lack of communication from directors to officials had adverse effects on the organisation. The main effect of this lack of proper management of the change process was a decrease in the service delivery levels of the organisation, which was in direct contrast to the macrostructure guidelines which the municipal council strived to follow. The following chapter will examine this lack of management and specifically of communication in greater depth.

4. Chapter 4 – Research Methodology and Findings

4.1. Introduction

Chapter 3 discusses the case study of Alak Municipality. The municipality experienced a macro-structural change in 2012 which had adverse effects on the organisation. This chapter discusses the research methodology used in this study, the communication to officials before and after the municipal election on 18 May 2011 as well as the communication after the changed macrostructure proposal and implementation. The adverse effects on the organisation and its overall service delivery is examined, and the chapter concludes with recommendations on how the adoption of a change management approach would have prevented these effects.

4.2. Research Methodology

As requested by the municipality, the name of the municipality has been changed. All participants that were interviewed formed part of the sample used in the survey (Addendum D (p. 74). The sample, which was selected on the basis of representativeness of officials at all levels of the organisation, consisted of officials ranging from low- to high-level management. To further ensure the validity of the survey data, the sample was expanded to also include participants that were not interviewed but were selected randomly. The participants involved in this study remains confidential. Pseudonyms have been assigned to the parties quoted.

In addition to the empirical research via surveys and personal interviews, documentation such as the minutes of a special municipal council meeting, a draft macro- and micro-organisation implementation plan, e-mails, IDPs and annual reports were also analysed. The research that was conducted and the information that was gathered were divided into two phases. The data from the survey was used in Phase 1 whilst the information gathered through personal interviews and documentation was used in Phase 2.

4.2.1. Phase 1: Survey

The researcher compiled a survey to be completed by the officials of Alak Municipality. The purpose of the survey was to determine the communication of top management to the officials within the organisation. A sample of approximately 10% of the officials within Alak Municipality ranging from low- to high-level officials in various directorates within the municipality was used.

The survey consists of three categories. Category A sets out to determine how successful top management is in communicating the strategic vision of the organisation to its officials. It follows from the theory on the importance of communicating a shared strategic vision as a change management approach as discussed in Chapter 2. Category B sets out to determine the communication and feedback channels which are in place for officials. In order to have successful change management, it is essential to have proper and continuous communication regarding any changes occurring in the organisation which will affect the officials. Moreover, it is crucial to have feedback channels in which officials can voice their specific concerns to their superiors without being judged (McManus, 2008:5). This category determined the communication of the organisation in extraordinary conditions such as municipal election periods as well as the daily communication to officials. The survey determined the communication channels used in the organisation via a provided list.

In Category C participants had to answer questions regarding a contact person who could address any concerns officials may have in extraordinary conditions such as municipal election periods. Participants further had to indicate whether they felt that these concerns were adequately addressed by this person. A five-point scale, ranging from “Strongly Disagree” to “Strongly Agree”, was used for the statements provided in Category C. Welman, Kruger and Mitchell (2006:156) identified this attitude scale as the most popular type of scale within the social sciences discipline. This scale was decided upon as it is easy to compile and administer, it is short and it can be used for multi-dimensional attitudes. The researcher made use of “positive attitude” statements as termed by Welman *et al* (2005:157) and referred to the period before and after the municipal election on 18 May 2011. Participants had to indicate their perception of the efficiency of the municipality before and after the municipal elections as well as of their personal productivity in these two periods. The final two statements referred to the regime change and whether subjects were aware of the effects of such a change and how prepared they were for it.

4.2.2. Phase 2: Personal Interviews

Personal interviews were conducted with subjects spanning from low- to high-level officials. Twelve interviews were conducted, including interviews with the directors that were affected by the macrostructure change, their personal assistants as well as the affected managers and officials within these directorates. The sample which was interviewed was chosen based on their knowledge of that specific time period, as well as their personal experience during the change period. The researcher conducted personal interviews that were arranged at a time and

place that was convenient for the respondents. Interviews usually occurred at the workplace or homes of the respondents and ranged from ten to ninety minutes.

The interviews were mainly semi-structured with similar structured questions and themes covered during the interviews and covered four main themes, namely, the experience of the municipal election period in 2011, how the macrostructure came about, the respondents' experience of the macrostructure change and the experience of respondents in the period post-macrostructure change. The themes were covered in no specific order and questions were only asked if the respondent did not provide sufficient information on a specific theme. To ensure anonymity, the interviews were not recorded. Written notes were made and the names of respondents were secured through the use of pseudonyms.

The flexible and adaptable nature of personal interviews enhances its effectiveness as data gathering tool. The personal nature of the interview also allows the interviewer to observe the interviewee when responding to certain questions and provides fewer chances for the respondents to elude the interview. However, this form of data collection is time-consuming, and anonymity could pose a problem in interviews where names and addresses are established (Welman *et al.*, 2006:163-164).

4.2.3. Documentation

The use of personal documents and mass media material is a form of unobtrusive data-collection. These documents includes minutes of meetings within the organisation, mass media such as newspapers, documents of a personal nature, official statistics and archival sources (Welman *et al.*, 2006:151, 152). For this study, the researcher collected minutes of a special council meeting as well as the minutes of meetings spanning from April 2012 to September 2012. Furthermore, electronic mails from the administrative leadership to the officials, confidential draft implementation plans in the form of minutes of meetings within Alak Municipality as well as official documents of the organisation were consulted. Macrostructure organograms of 2010, as well as 2012 and official media documents, for example IDP's, annual reports and policies of the organisation, were used. The researcher decided upon this method of data collection due to the ease with which it can be obtained and the low costs associated with it.

4.3. Findings

4.3.1. Phase 1: Survey

The survey used in Phase 1 of the study was completed by 10% of the officials within Alak Municipality and spanned from top management to officials. A randomized sample within each directorate was selected to complete the survey. The researcher used this survey as contextual background to the municipality regarding communication and the municipal election periods. The survey also assisted the researcher in establishing rapport with the officials of the organisation. It proved to be beneficial for Phase 2 as the parties interviewed were already familiar with the researcher.

Category A of the survey determined Alak Municipality's strategic approach in terms of its mission and goals. Clarke (1996:14,62) notes that it is necessary for managers to define the purpose of the organisation when it is faced with change. Once key values have been determined and a sense of purpose has been created, energy and resources can be utilised optimally. Therefore, the researcher set out to determine whether the officials of Alak Municipality know what the mission of the organisation is. The survey further determined how often officials of the organisation are informed of the strategic intent of the organisation.

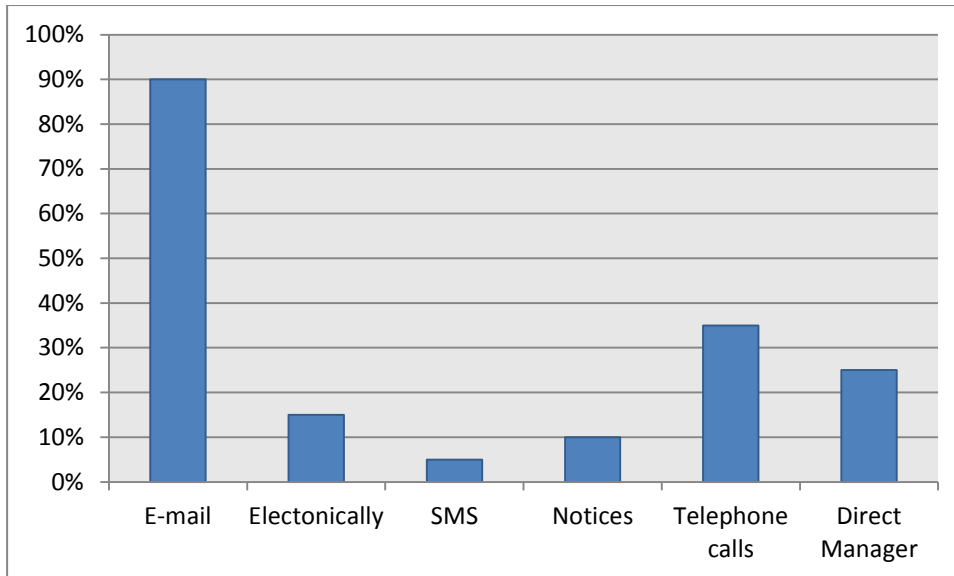
It was found that 40% of the respondents are informed of the mission of the organisation on a monthly basis. Another 25% indicated that they are informed of the mission on a quarterly basis, whilst 20% are informed on an annual basis, and only 15% on a weekly basis. It illustrates that Alak Municipality is not informing its officials of the organisation's mission in a uniform manner which may result in confusion for officials regarding the strategic intent that they should strive to achieve.

As part of category A, participants were also asked to state what they think the mission of the organisation is. The mission of Alak Municipality is to serve the town with efficiency and integrity through providing municipal services, promoting social and local economic development by creating local jobs, and maintaining a healthy, safe, sustainable, unique living environment (Alak Municipality, 2012a: 5). All respondents indicated that the mission of Alak Municipality is service delivery and a safe town.

Another integral aspect of change management is continuous communication with those affected by the change. Through category B the survey explored the communication and

feedback channels within Alak Municipality and whether officials are satisfied with these channels. Figure 4.1 indicates the medium in which communication from management occurs. Of the participants, 90% indicated that they receive communication mainly via electronic mail, whilst 35% of participants indicated telephonic communication as their main source of communication. The figure indicates that most communication occurs via electronic mail, whilst telephone calls are also often used.

Figure 4.1. Format in which Communication Occurs



The survey continued by determining whether each participant in the survey is aware of a person which they can contact with any concerns they experience regarding their job, role or position prior to and after the municipal election. Of the participants in the survey, 55% indicated that they did have a contact person, mainly unions and their direct managers. However, only 35% were satisfied with the ability of these contact persons to help them. Some of the reasons for the lack of satisfaction noted were that concerns are only partially addressed, that the concerns they raised were not duly noted and that they were not put at ease about their concerns.

Category C of the survey mainly focused on the experience of officials within the municipal election period of 2011. Clarke (1996: 14) asserts that it is essential for managers to be aware of the change which a regime change can bring about. This change and its potential effects must be communicated to the officials of the organisation because it could aid them to keep the bigger picture in mind, adapting to and managing the change in a strategic way (Technology One Limited, 2010:3). Therefore, the researcher posed questions regarding the

officials' perception of their efficiency and productiveness before and after the municipal election period. The questions also touched on their experience of the municipal period and whether they were informed about the potential effects of the regime change on their jobs. Participants had to rate their perceptions on a scale of 1-5, ranging from strongly disagree to strongly agree.

Figure 4.2. The Municipality was More Efficient Before the Municipal Election

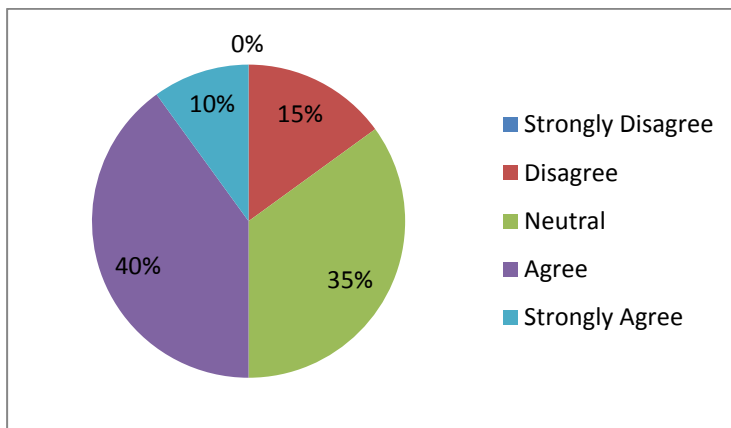
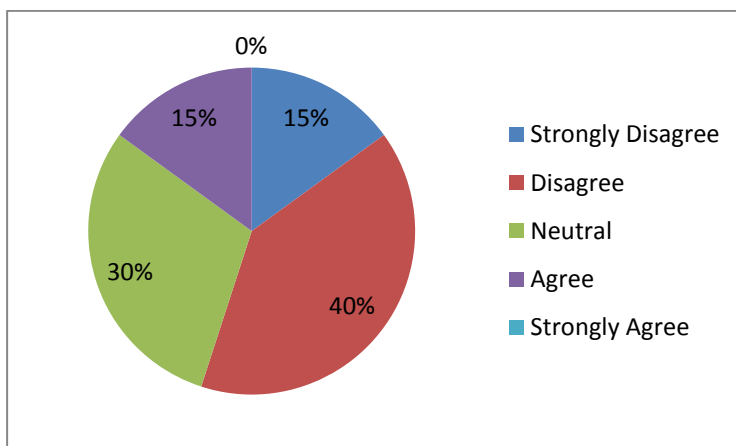


Figure 4.3. The Municipality was More Efficient After the Municipal Election



From both figures 4.2 and 4.3, it can be deduced that 40% of the participants agreed that the organisation was more efficient before the municipal election, whilst 40% agreed that the municipality was less efficient after the municipal election.

Regarding their experience of the municipal election period in further questions posed to the respondents determined that 45% of participants experienced it as positive overall, whilst 30% remained neutral. There is a narrow margin regarding the results on whether participants were

informed about the effect of a regime change on the organisation as 30% indicated that they were informed, whilst 45% said that they were not.

It is noteworthy that 25% of the participants decided to remain neutral on the question pertaining to whether respondents were informed about the effects of a regime change. Therefore it cannot undoubtedly be determined whether the organisation communicates the effects of regime changes to their officials before municipal election periods. However, 55% of the participants felt that they were unprepared for the effects that a regime change would have on their positions within the organisation. Based on this, it can be deduced that the lack of communication regarding the effects of regime change resulted in the officials' resistance to change as they did not know what to expect if a regime change occurred.

Figure 4.4. Respondent's Productiveness Increased Before the Municipal Election Period

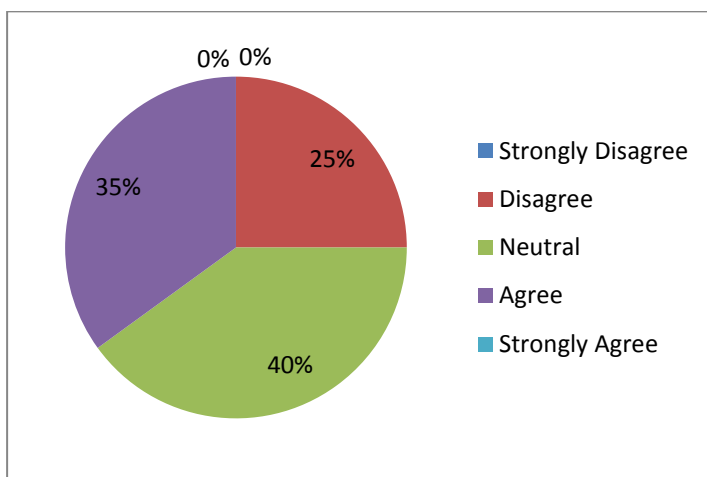
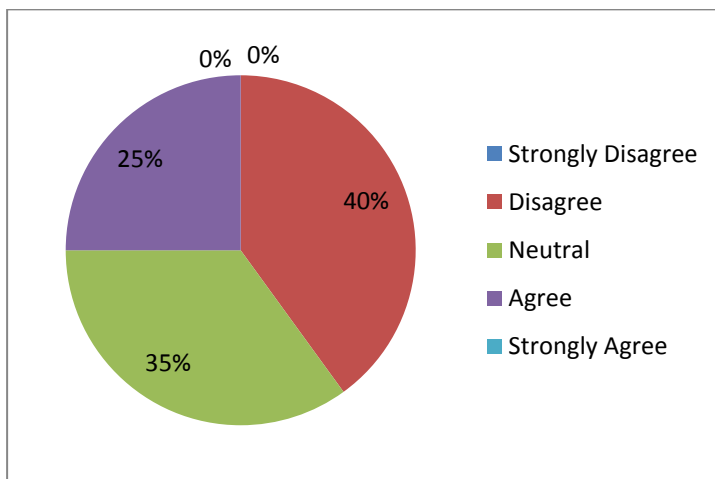


Figure 4.5. Respondent's Productiveness Increased After the Municipal Election Period



There is a narrow margin in the results on whether the productiveness of participants increased before the municipal election. As can be seen in figure 4.4, 25% of participants believe their productiveness decreased. However, only 35% indicated that it had increased. Figure 4.5 illustrates that 40% of the participants felt that their productiveness decreased after the municipal election whilst 35% of those surveyed remained neutral on this question. It is important to note that participants mainly chose to remain neutral which could indicate that they struggled to measure their productiveness.

4.3.2. Phase 2: Personal Interviews

In his article “Policy Regimes and Policy Change”, Wilson (2000:262) states that when new political leadership is established, a paradigm shift will occur if the new leadership’s vision is in conflict with the current governing policy paradigm. This paradigm shift and subsequent change in thinking advance an alternative paradigm. Wilson further states that there are five catalysts to regime change that, in its interaction with each other, undermine the existing regime and its policy goals, and that these catalysts occur in various stages: stressors/enablers, paradigm shifts, legitimisation crises, power shifts and organisational or policy change. In the case of Alak Municipality, these catalysts were evident and the organisation experienced the stages as identified by Wilson.

4.3.2.1. Stressors/Enablers

External factors, or exogenous shocks, impose stress on the organisation which then enables change. The municipal election in 2011 and the subsequent change in the political leadership were the stressors that initiated the changes that Alak Municipality experienced in 2012.

4.3.2.2. Paradigm Shifts

Cohen-Vogel & McLendon (2009) states that “paradigm shifts occur when stressors arise that are inconsistent with the dominant policy narrative” resulting in new discourses or paradigms within the organisation. When the political leadership in Alak Municipality changed, the policy regarding the appointment of directors and the extension and conclusion of their contracts changed. Previous municipal policy stated that upon the completion of a director’s standard five year contract, a performance evaluation will be conducted. If it is found that the director fulfilled his/her duties sufficiently, the contract may be extended. However, Mayco found this policy to be insufficient and altered it so that contracts may not be extended. Upon

the completion of the contract, the post will be advertised and the current director would have to apply for his position again (Respondent 4, 2013).

This policy change was not communicated with the administrative leadership before implementation. The new policy furthermore prevents continuity within the organisation. Directors are placed in a temporary position, and may be demoralized when they have to apply for a job which they have had for five years. Upon appointing a new director, the directorate's efficiency may be compromised whilst the new director is adapting to the position.

4.3.2.3. Legitimation Crises

Wilson (2000:264) states that stressors, in this case the municipal elections, are often exploited to produce legitimacy crises in which the new political leaders challenge the rationality of existing political leaders and the administration. Through internal caucusing and private workshops, the political leadership of Alak Municipality decided against the current administrative macrostructure. In a special council meeting, they challenged the administrative leadership by proposing the new macrostructure.

4.3.2.4. Power Shifts

Concurrently with this legitimation crisis, a shift in the power of the political leadership provided political leaders with the opportunity to convince people that the current arrangements within the organisation were not feasible. Through its proposal, the Mayco shifted the power from the previous political and administrative leadership to the new political leadership. The Mayco convinced the municipal council that the current administrative structure is not sufficient to reach its strategic goals and that a new structure will assist the organisation in fulfilling its strategic intent. This shift illustrates Wilson's statement (2000:267) that the influence and role of the political leadership within the organisation should not be discounted.

4.3.2.5. Organisation and Policy Change

The final stage in the change process involves a change in the organisation and its policies (Wilson, 2000:265). The alternative policy proposed by the municipal council regarding the appointment of directors is an example of such a policy change, and the implementation of the proposed macrostructure change brought about organisational changes.

4.3.3. Effects of Macro-Organisational Change

The lack of an official implementation plan as well as the changed macrostructure itself had adverse effects on both the directors and their officials. The adverse effects of the lack of communication from the political leadership to the administrative leadership and the subsequent radical change in the macrostructure will be discussed in the following sections.

4.3.3.1. Implementation of the Macrostructure Change

Procedurally, the proposed macrostructure change was not conducted in a truthful manner. Clarke (1996:5) states that aspects of good public management are to have regular reviews and open debates. Even though the proposed macrostructure change underwent regular reviews, the political leadership did not have any open debates or discussions with the administrative leadership. After internal caucusing and workshops among the political leadership, the proposed change served as an unexpected agenda item in a council meeting.

Furthermore, as mentioned in Chapter 3, there was no formal implementation plan for the macrostructure change. The political leadership did not inform the municipal manager and directors of the intended macrostructure change prior to the special council meeting. Although the proposed macrostructure change was accepted by the municipal council during this meeting, the political leadership did not have any implementation plan established, and the administrative leadership did not assemble one as the proposed change was not communicated to them.

The lack of an implementation plan resulted in a lack of communication from the administrative leadership to its officials. The first communication from top management to the officials was on 14 May 2012, approximately three weeks after the macrostructure change was voted in. This communication was in the form of a formal electronic mail from the acting municipal manager regarding the macrostructure changes. In this e-mail the acting municipal manager addressed the macro-organisational structure change approved by the municipal council, clarifying it to officials. The Acting Municipal Manager stated that it was essential to ensure that the implementation of the macrostructure process was effected in a consistent, coordinated and equitable manner. It also stated that in the interim all existing reporting lines, delegations and authorities would remain in place until the finalization and roll-out of the implementation plan. It specified that the expected final implementation of the macro-organisational change was 1 July 2012.

This date, however, was continuously revisited, resulting in confusion for the officials. An e-mail sent out by the acting municipal manager on 30 May 2012 stated that, due to operational requirements, the reporting lines changed, with the Department: Legal, Committee Secretariat and Council Support having to report to the Directorate: Strategic and Corporate Services from 1 June 2012. A second e-mail on the same day also stated that, due to operational requirements, the staff of the Department: Ward Administrators and the Department: Public Participation will also report to this directorate with effect from 1 June.

Communication of the changed reporting lines was done less than 24 hours before the change was of effect. It caused confusion among staff members, as they were not fully informed of what these changed reporting lines meant. Officials were uncertain of which projects had to be approved and signed off by whom. One official stated that “Project A might be on the desk of Manager A, but now Manager B must approve and sign-off on it, so project A must be added to the pile on the desk of Manager B. Often Manager B is even unaware of what the project entails which he has to now sign off and approve”. This situation had adverse effects on the productivity of the municipality and the confusion resulted in a lag in approval of projects and operational matters.

Directors only received clarity on their directorates, their jobs and the positions of their officials in September 2012. Therefore, officials were uncertain of what their jobs were and what their future positions in the organisation would be from the end of April until September 2012.

The lack of communication from the municipal council to the directors and municipal manager of Alak Municipality caused the relationship between the directors and councillors to deteriorate. The directors viewed the changes within the macrostructure as evidence of the municipal council’s distrust of the administrative leadership. The situation resulted in minimal trust between the councillors and directors as feelings of resentment and annoyance surfaced. The directors made their discontent known to the Municipal Manager, who made these feelings known to the Mayco. Due to ineffectual and unpleasant working conditions, the municipal manager resigned and, consequently, an Acting Municipal Manager was appointed.

A further consequence of the procedural manner in which the macrostructure change was proposed was distrust between the municipal councillors and the directors. It resulted in the restructuring of the Mayco in 2013 and the appointment of councillors to new directorates. It

is problematic, however, as the councillors had to join other directorates almost two years into their reign and after they had established and familiarised themselves with their directorate and its director. It resulted in a transitional period during which the effectiveness of the councillors could be compromised.

Procedurally the proposed change was done in a manner which contributed to an environment unfavourable to change. The new macrostructure brought about various administrative changes as well as challenges to the organisation. The period after the implementation was characterised by confusion, ineffectiveness and demoralized officials. The macrostructure change resulted in decreased efficiency because of the lack of proper implementation and management which affected the morale of the workers. As mentioned by Rashid *et al* (2003:162), an organisation's people are the most difficult to manage.

The lack of communication from the municipal leadership to its officials exacerbated the already uncertain working environment of the municipality. People tend to be comfortable with what they are used to, and the instituting of major changes can instil fear in them (Rashid *et al*, 2003:162; Pierce *et al*, 2002:633). The cognitive manner in which a person responds to change is largely dependent on the information and knowledge of the change that they have. The officials in Alak Municipality struggled to adapt to the changes within directorates because they did not have any information regarding the potential effect which the macrostructure change will have on their positions. The result was that officials were resistant to the change as fear for their futures and fear of making mistakes that might compromise their futures caused them to rather not make decisions until the change was properly instituted.

The changes in directorates caused some officials to have new managers to report to which lowered the morale of officials. They felt that they already had a reputation with their manager and that possible promotions based on this reputation may be compromised when they have to report to a new director. Their new director might also have a different leadership style than their previous director. This was specifically problematic in one directorate where officials moved from a director who followed a bottom-up approach, allowing officials to be innovative and make decisions independently, to a director who is strict and follows a top-down approach to management. It resulted in frustration for managers and officials who now have to continuously report what they are doing, with an adverse effect on efficiency within the organisation.

4.4. Summary

Phase 1 of the findings in this Chapter contextualized Alak Municipality in terms of three categories posed in a survey. Category A of the survey established the strategic intent of the organisation. It was found that communication regarding the mission of the organisation mainly occurs on a monthly basis and that all respondents partly knew the mission of the organisation. Category B determined the daily communication channels in the organisation. The findings of the survey indicated that electronic mail is the main communication channel used on a daily basis. It also established that 55% of participants were aware of a contact person in case they had issues which needed to be addressed, but only 35% were satisfied with the way in which this person addresses their needs.

Category C of the survey focused on the period before and after the municipal election in terms of the municipality's efficiency and the productiveness of the officials. Of the respondents, 50% indicated that the municipality was more efficient before the election, whilst 40% felt that their productiveness decreased after the municipal election. It also set out to determine whether officials were prepared for a potential regime change. It was found that most officials remained neutral on whether the municipality communicated the possible changes which a regime change can bring about. Although the data on this question was inconclusive, the researcher did determine that 55% of the officials felt that they were unprepared for the regime change.

Phase 2 expanded on Phase 1 by discussing the effects of the macrostructure change and what had led to those effects. The findings of Phase 2 are based on information gathered through personal interviews and documentation. To start with, the way in which stressors such as municipal elections enable change within the organization was discussed, based on Wilson's model as discussed in Chapter 2. These stressors can lead to paradigm shifts, legitimization crises, and shifts in the power relationships within the organisation and ultimately organisational and policy change, as it also occurred in Alak Municipality.

The discussion continued with the manner in which the macrostructure change was proposed and implemented. It was found that the macrostructure change had adverse effects on the organisation. The lack of an implementation plan and the subsequent lack of communication resulted in an organisation filled with confusion and chaos. One director (Pietersen, 2013) described the transition period from one macrostructure to another as one in which they were "running around like headless chickens". The deteriorated relationship and distrust between

the administrative and political leadership, the officials' resistance to change and the confusion they experienced attributed to this "chaos" (Pietersen, 2013). The result was that the organization did not achieve its mission as an overall decrease in service delivery and efficiency in the organisation was experienced in the period from when the new macrostructure was proposed to its implementation and the period thereafter.

5. Chapter 5 - Recommendations and Conclusion

5.1. Introduction

Chapter 1 and 2 provided the theoretical background regarding changes which municipalities are faced with after a regime change, as well as change management principles which could be applied to manage these changes. Chapter 3 afforded the context for and a discussion of the macrostructure change of Alak Municipality in 2012. Chapter 4 continued by discussing the findings and providing background information regarding the communication and experience of officials pertaining to election periods. It discussed the changed policy paradigm and the effects of the macrostructure change on the organisation. The following chapter will provide recommendations on how Alak Municipality can effectively manage organisational change. The recommendations will be based on the literature in Chapter 2 and the findings of Chapter 4. A change management procedure model will be used to illustrate how change management could have assisted the municipality in its macrostructure change process and how it could potentially assist in future administrative changes within the organisation.

5.2. Recommendations

As discussed in Chapter 2, local governance is faced with various changes and reforms that are characteristic of the dynamic environment of local government. These changes illustrate the additional complexity that municipal management has to deal with when managing change processes. Taking this into consideration and based on the two fundamental components of organisational change as identified by Phillips (1983:188), namely the need for a strategic vision and the commitment of the people involved in the change, the researcher has developed a change management procedure model. The model is a hybrid founded upon both Lewin's Change Management Model (Mind Tools, 2007) and Chang's Change Process Model (Chang, 1993:14) as neither of these models provided an inclusive guideline for a proper change implementation plan. The hybrid model provides a comprehensive guideline to ensure the effective management of an organisational change within an organisation. The model consists of three stages and six steps, as indicated in table 5.1 below. A discussion on each stage and step as well as how Alak Municipality could have used such a guideline during their macrostructure change process follows.

Table 5.1. Change Management Procedure Model

| Position in Change Process | Activity |
|----------------------------|---|
| Stage 1: Unfreezing | |
| Step 1 | Refine need and potential for change; test emotional reactions of officials |
| Step 2 | Outline desired outcome and effects of change |
| Step 3 | Develop plan of action |
| Stage 2: Change | |
| Step 4 | Implement and mobilize plan; decide on monitoring process |
| Step 5 | Communicate with officials and ensure stability |
| Stage 3: Refreeze | |
| Step 6 | Evaluate the change and establish ways to encourage innovation |

Source adapted: (Schein, 1996:30; Mind Tools, 2007; Chang, 1993:14).

5.2.1. Stage 1: Unfreezing

The aim of the first stage is to ensure that the organisation sufficiently prepares for change and accepts that the change is necessary. It consists of three steps that aid the organisation in determining the potential change. Step 1, consisting of two parts, firstly emphasises the importance of determining and refining the specific need for change in the organisation. It is vital that management determines and defines the rationale behind the change as they are challenging the way things are done within the organisation and breaking the status quo. Strategically, it is essential that management define the purpose of the organisation when explaining the rationale behind the change. Clarke (1996:14, 62) maintains that by communicating the purpose of the organisation and how the change will assist in achieving this purpose, officials will be able to see the bigger picture relevant to this change. Once the need and potential for change has been refined, management should continue to the second part of step 1: testing the emotional reactions of officials. Management, as the drivers of the success of the change, must be aware of how officials will respond to the challenge in the way in which they conduct their work.

The political leadership at Alak Municipality did clarify the rationale behind the proposed change, namely to further the organisation's strategic intent. However, the change was not presented to the administrative leadership or the officials of the municipality. It is recommended that the political leadership firstly present the proposed change and its rationale to the administrative leadership for feedback and recommendations prior to the commencement of voting on instituting the change.

Step 2 requires that management outline the desired outcomes, as well as the potential effects which the change will bring about and setting of objectives aids in clarifying the desired outcome of the change. Objectives serve as a yardstick to establish the degree to which the set objectives are realised. The clearly defined change and its potential effects should be communicated to officials, thus enabling the organisation to move in a strategic direction.

Step 3, the final step in the first stage, involves the development of an action plan to bring about the change. Leemans (1976: 27) states that management should include objectives in this action plan. Both intra-administration objectives and objectives concerned with the societal roles in the administrative system and changing policies should be included. Although often closely related, intra-administration objectives refer to objectives that will ensure improvement in the municipality, whilst the second category of objectives refers to objectives that will ensure that changes in policies are done correctly. Including objectives in the action plan would provide management with a clear guideline on whether the change is implemented efficiently. It will also allow management to communicate the successes of the change to officials once certain objectives have been realised. This, in turn, will provide the officials with a sense of accomplishment and subsequently make officials more accommodating to the change.

Upon deciding on the change and its rationale, the intended changes were outlined in the agenda item at the special council meeting. However, they did not determine any short-, medium- or longterm objectives regarding intra-administration or changing policies. The proposed changes, the macrostructure change and change in policy were also not communicated to the officials. This lack of communication prevented the organisation from moving in a strategic direction, as officials were unaware of both the changes and the strategic purpose behind the changes. Management was also unable to track the success of the change implementation due to the lack of a proper action plan. Although a timeframe regarding the stages of the implementation was determined, it did not indicate any activities, objectives or relevant responsibilities to realise the implementation.

The researcher recommends establishing an action plan consisting of a specific timeframe indicating actions, objectives as well as the parties responsible for each action. The objectives, which should be from both categories, will serve as a yardstick for management to measure the success of the change. Specifying certain actions and the parties responsible for the execution thereof will provide clarity and promote accountability. It is further recommended

that management continuously inform officials of the realisation of objectives as it will ensure their buy-in. Stage 1 may result in confusion when the new change is proposed, but sufficient planning, objective-setting and communication with employees will lessen this confusion.

5.2.2. Stage 2: Change

The second stage, consisting of two steps, mainly focuses on the implementation of the change, continuous communication with officials and determining and refining a monitoring process. This stage is based on Phillips' second critical component: the people within the organisation must be deeply committed to the new strategic vision to ensure that the organisation moves forward. This stage is characterized by management resolving all uncertainties experienced by the officials. Lewin (Mind Tools, 2007) warns that this stage is time-consuming, involving a process which does not occur overnight, and management should bear this in mind.

Step 4 of this model, and the first step in this stage, involves the implementation and mobilisation of the action plan established in step 3. Step 4 also includes determining a monitoring process which will serve as a basis for evaluation in step 6. Establishing a monitoring process will indicate the progress of change as well as the sufficiency of resources and capacity. To decide on the most efficient monitoring process, indicators should be chosen that will allow tracking progress, efficiency and effectiveness. Management should further ensure that the monitoring process, be it internal or external, will collect and analyse information to ensure that problems within the change process are identified (Shapiro, 2013).

As mentioned previously, Alak Municipality did establish an implementation plan, but it was never implemented. The municipality did not have an established monitoring process. The researcher recommends that Alak Municipality implements and mobilises a detailed action plan to ensure that the change is implemented successfully. It is also essential to decide on a monitoring process that will form the basis of their evaluation process. The municipality's management should decide on tangible and measurable indicators that would allow them to determine their success in implementing the change. Lastly, management should decide whether the monitoring process, and ultimately the evaluation process, should be conducted internally or externally.

Step 5 in the Change Management Procedure Model, and the second step of the second stage, entails communicating with officials to ensure stability within the organisation during the

change period and to ensure officials' commitment to the change. Chang (1993:14) holds that not only should the desired outcomes be communicated to officials to ensure ownership and commitment but that the supporters of the change (also known as change agents) should also be recognised. These change agents continuously represent management to officials throughout the implementation period. It is essential for management to recognise these change agents as they enable officials to effectively conduct their work by providing continuous feedback from management to officials, whilst management plans, implements and experience change. Change agents increase the ability of officials to manage future change, ultimately ensuring stability within the organisation.

In the case of Alak Municipality, management did not communicate with its officials throughout the change process. Due to lack of communication at top management level, directors were only able to discuss the change with their officials three months after the change was implemented. The management of Alak Municipality should have communicated the potential changes and their effects to the officials after the change was voted in. Management should further have identified change agents to serve as intermediators between officials and management, allowing problems to be identified and addressed in a timely manner to ultimately ensure stability.

5.2.3. Stage 3: Refreeze

Once officials have committed to the changes and the organisation has stabilised, the organisation is able to "refreeze" (Mind Tools, 2007). This stage is characterized by stable job descriptions and by the internalisation and institutionalization of changes. The final stage consists of one step: evaluating the change and establishing ways to encourage innovation. Using the monitoring process discussed in step 4, management must evaluate the change once it has been implemented. The evaluation process, which should be based on the indicators decided upon in the monitoring process, will enable management to determine whether the impact of the change is in line with the strategic vision of the organisation. It will also provide information regarding the efficiency, effectiveness and impact of the change on the organisation. An evaluation report can provide an indication of the issues that arose and provide recommendations on how future change processes can be managed more effectively (Shapiro, 2013).

Currently (approximately a year after the change was implemented), Alak Municipality is found to still be in this stage. Job descriptions have not been stabilized. Due to the lack of

stabilized job descriptions, the changes have not been internalized within the organisation. Officials have not yet fully committed to the changes as their future positions are still uncertain. The changes have, however, been institutionalized in the form of a changed organogram that was approved in 2012.

Alak Municipality have also not established or implemented an evaluation process. The management is therefore unaware whether the change has, in fact, had the desired outcome – whether it has furthered the strategic vision and development goals of the organization. They are also unaware of which issues arose and may still be within the municipality. The researcher recommends that Alak Municipality initiates and implements an evaluation process in the near future, as it will provide management with critical information to be used in future change processes.

It is important for managers to take a “step back” throughout the change process. Heifetz and Linsky (2002:6, 7) describes it as “getting on the balcony” and looking out over the “dance floor” in order to see the pattern of a situation. It is recommended that, in order to gain perspective, management should ensure that it distances itself from a challenging situation. This will allow management to break away from the concurrent unstable thinking and turmoil that may be prevalent in the organisation and to see its own role as well as that of officials within the organisation, allowing for proper unbiased feedback. However, Heifetz and Linsky (2002:6, 7) warn against failing to get back on the “dance floor” and remaining in an ineffective observer role. Stepping away to see the bigger picture should be an iterative process and not a static one.

The management of Alak Municipality should continuously take this “step back” to determine whether the change process is successful, whether officials are aware of what the changes are and how they would be affected. If management had done this, the officials would not have experienced confusion, which could have ultimately allowed for efficiency within the municipality and effective service delivery.

5.3. Conclusion

Change is the only predictable condition of modern times. The South African local government sphere is faced with continuous changes. Municipalities are vulnerable to change because of the instituting of new political leadership after each quinquennial municipal

election. This study set out to illustrate how the subsequent change period can be effectively managed through applying change management.

The study conducted a theoretical exploration to determine the changing role of governance, councillors and administration within local government. It further examined the effect of regime change on municipalities and established that they are affected both politically and administratively. The usefulness of applying change management strategies, models and approaches were also explored. The researcher developed a Change Management Procedure Model to serve as a guideline for management to follow when faced with the implementation of changes within the organization.

Alak Municipality was used as case study to illustrate the potential changes which municipalities face after the election of a new political leadership. Through the use of surveys, interviews and secondary data-analysis, the researcher was able to determine the extent of the changes implemented in Alak Municipality. Based on these findings, the proposed Change Management Procedure Model was applied to the case study.

The researcher did experience certain limitations. The lack of participation from the political leadership of Alak Municipality only allowed the researcher to view the change process from the perspective of the administrative leadership and the officials of the organization. The sensitive nature of the political environment further prevented the researcher from determining the exact reasons for the manner in which the change was proposed and implemented.

This study is significant as it provides the management of local government institutions with a practical, comprehensive and easily applicable guideline to successfully implement changes within a municipality. An easy step-by-step guide allows management to identify all the aspects to be addressed in the change process. The effective management of the change process will enable municipalities not to compromise on their performance or the quality of their services, as the implementation of changes would not adversely disrupt the organization.

Future studies could build on the Change Management Procedure Model of this study as a whole or focus on specific aspects of the model. Future research could investigate the political environment of the municipality, how to manage the transition period when new political

leadership is instituted and how the political leadership could initiate and implement changes within the municipality in an effective manner.

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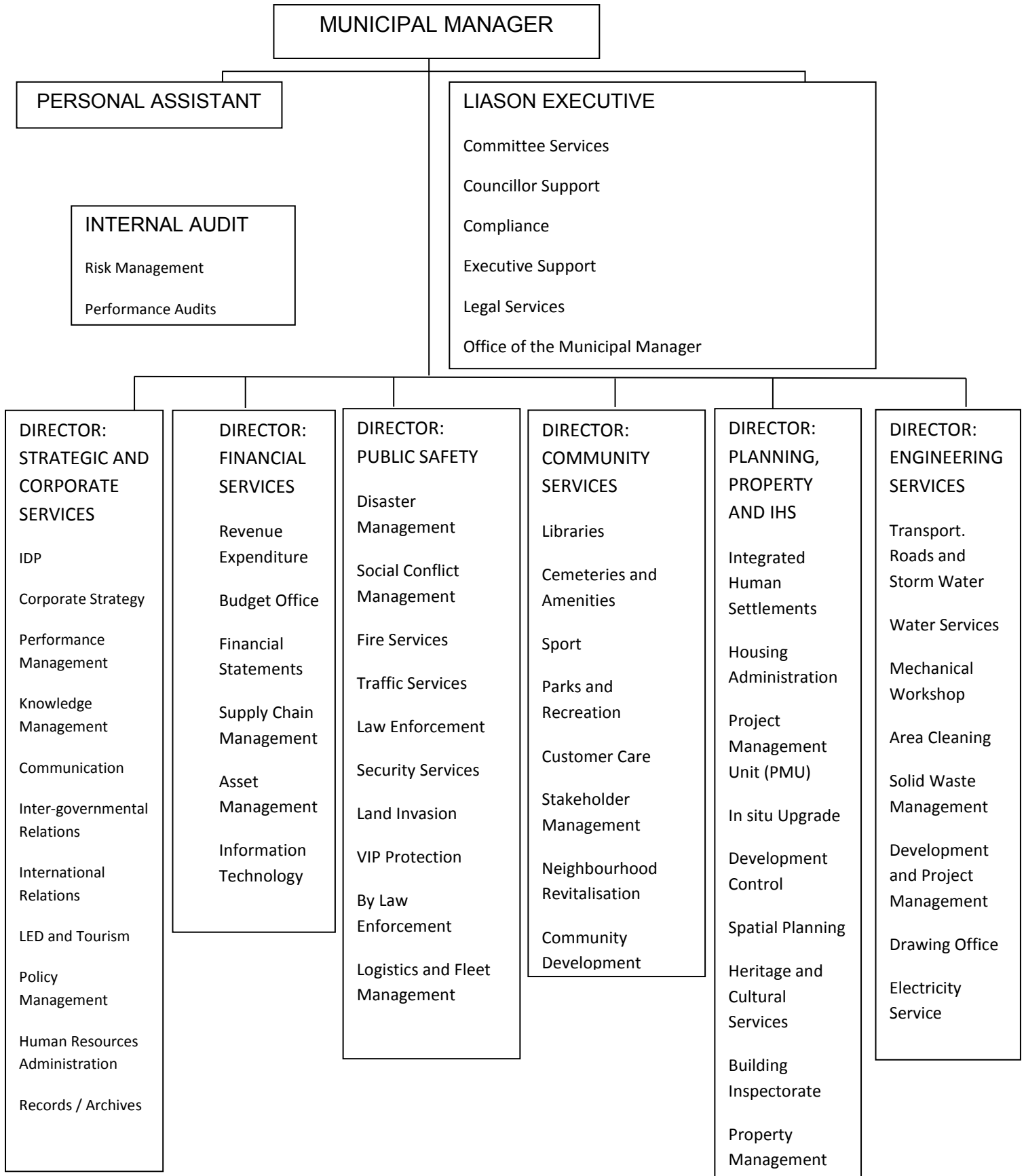
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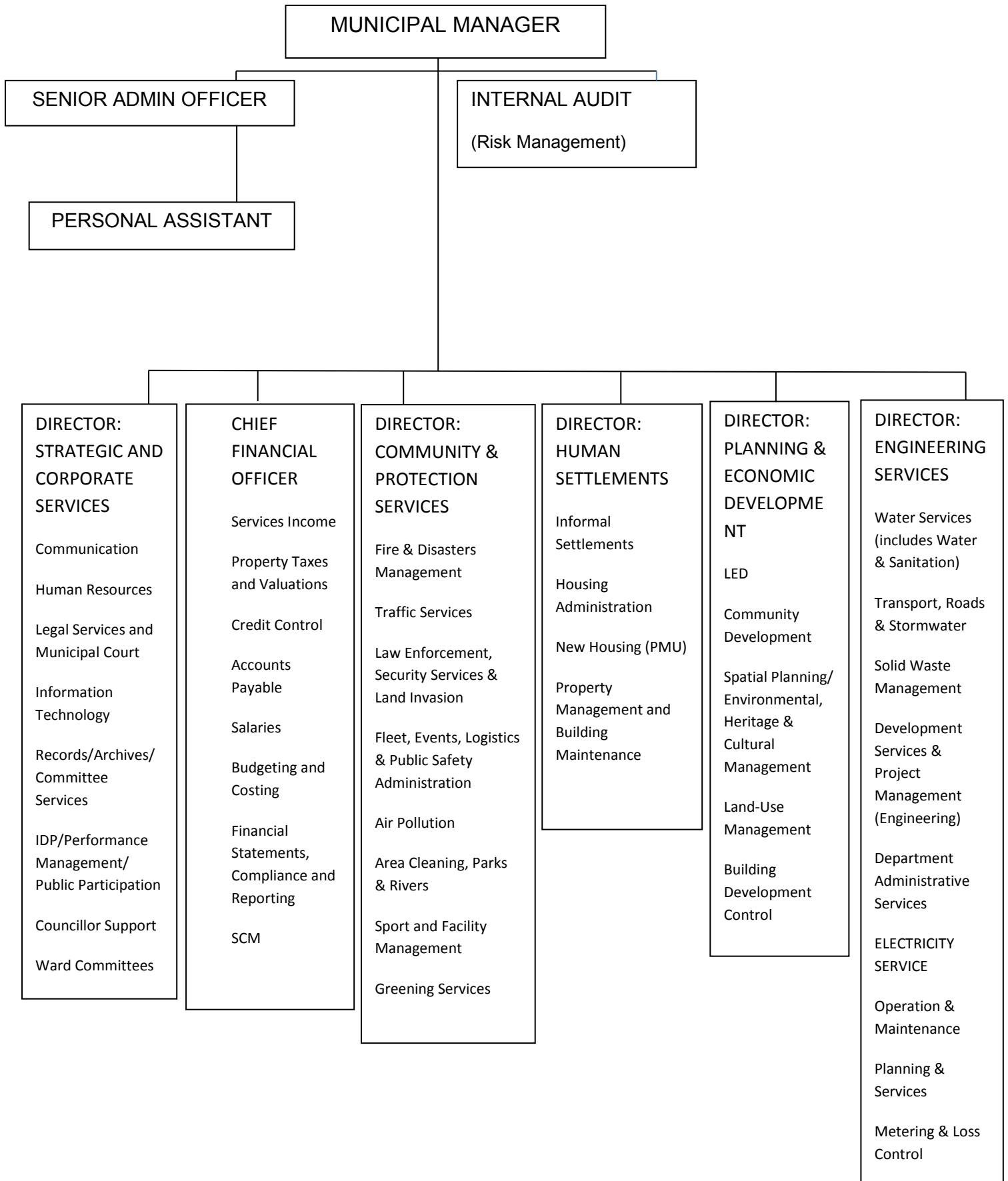
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Addendum A: Macro Organisation Structure: August 2010



Addendum B: Macro Organisation Structure: April 2012



Addendum C: Functions of Directorates: 2009

Strategic and Corporate Services

- Integrated Development Plan (IDP)
- Corporate Strategy
- Performance Management
- Knowledge Management
- Communication
- Inter-governmental Relations
- International Relations
- Local Economic Development (LED) and Tourism
- Policy Management
- Human Resources
- Administration
- Records and Archives

Public Safety

- Disaster Management
- Social Conflict Management
- Fire Services
- Traffic Services
- Law Enforcement, including Security Services, Land Invasion, VIP Protection, By-Law Enforcement, Control Room, Logistics and Fleet Management

Planning, Property and IHS

- Integrated Human Settlements
- Housing Administration
- Project Management Unit (PMU)
- In Situ Upgrade
- Development Control
- Spatial Planning
- Heritage and Cultural Services
- Building Inspectorate
- Property Management
- Building Maintenance

Financial Services

Revenue
Expenditure
Budget Office
Financial Statements
Supply Chain Management
Asset Management
Information Technology

Community Services

Libraries
Cemeteries and Amenities
Customer Care
Sport
Parks and Recreation
Stakeholder Management
Neighbourhood revitalisation
Community Development

Engineering Services

Transport, Roads and Storm Water
Water Services
Mechanical Workshop
Area Cleaning
Solid Waste Management
Development and Project Management
Drawing Office
Electricity Service

Addendum D: Survey Alak Municipality



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Thank you for taking time to complete the following questionnaire as it will assist me in writing my thesis for a Master’s Degree in Public Management. Your contribution is greatly appreciated. Maintaining the confidentiality of your personal information is of utmost concern.

The obtained information will be held in confidence and will only be used for the purpose of fulfilling a Master’s Thesis, titled: **Sustaining Administrative Effectiveness After Municipal Elections through Change Management**

- a. Please indicate your position with regards to the Stellenbosch Municipality

Municipal Official:

Category A: Mission and Goals of Alak Municipality

1. What do you think is the mission of the Municipality?

.....

2. How often are you informed of the goals of the Municipality?

- a. Weekly b. Monthly c. Quarterly d. Annually

Category B: Communication and Feedback

3. In which format does most communication from Management occur? Please indicate the relevant source in the list.

| | | |
|---|-------------------------------|--|
| a | E-mail | |
| b | Electronically (Collaborator) | |
| c | SMS | |
| d | Notices | |
| e | Telephone calls | |
| f | Via your direct manager | |

The following section mainly focuses on the period **before and after** the municipal elections.

4. *Is/was there a contact person for you with regards to any concerns experienced regarding your job, role or position pertaining to municipal elections -*

a. *Before the municipal election? Yes/No If yes, then whom?.....*

b. *After the Municipal election? Yes/No If yes, then whom?.....*

5. *Do you feel that any concerns or uncertainties you experienced were addressed by this person? Yes/No If not, why?.....*

.....

.....

Category C: Experience of Municipal Election Time-Period

6. *Please indicate on the following scale your experience regarding municipal election periods*

(Scale= 1 (Strongly Disagree) to 5 (Strongly Agree))

| Question | 1 (Strongly Disagree) | 2 (Disagree) | 3 (Neutral) | 4 (Agree) | 5 (Strongly Agree) |
|--|--------------------------|-----------------|----------------|--------------|-----------------------|
| I believe the municipality was more efficient than usual in the months BEFORE the municipal elections | | | | | |
| I believe the municipality was more efficient than usual in the months AFTER the municipal elections | | | | | |
| I experienced the municipal election time-period as positive overall | | | | | |
| I was informed of the possible effects of a regime change | | | | | |
| I was prepared for a regime change and knew what to do within my job if it were to occur | | | | | |
| My productiveness INCREASED in the months BEFORE the municipal elections | | | | | |
| My productiveness INCREASED in the months AFTER the municipal elections | | | | | |

Thank you for completing this survey.

Marleen Engelbrecht

Student: Mcomm (Public Management)