

# **An investigation of a suitable change management strategy to ensure the adoption of a developmental culture by the workforce: The case of Theewaterskloof Municipality**

by  
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## **Declaration**

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## Abstract

Change management is a topic that has been widely discussed in the academic field over many years. This concept is gaining more importance by the day and there are several organisations searching for the most important change management principles and change models to ensure maximum success.

The concept of developmental local government has been on everyone's lips for a couple of decades and many municipalities are still battling to achieve the desired state of being a developmentally-focused municipality. The main focus of local government is to ensure sustainable service delivery for its community. It is, furthermore, important to ensure that the objectives in terms of the Constitution of the Republic of South Africa, 1996, are achieved to ensure a better quality of life for all. It has therefore become necessary for municipalities to change their current culture to a developmentally-focused culture. It has also become clear that if a municipality is serious to change the way that it currently functions, a change management process should be adopted and implemented.

The purpose of the study is to identify the most important change management principles, change models and requirements for a change management strategy that will be relevant to municipalities. This study therefore focused on understanding the concepts of change management and developmental local government. It also explored different change management principles and change models. Theewaterskloof Municipality was used as a case study. It is faced by specific challenges and certain objectives been identified in the municipality with a view to change the culture of the organisation to a developmentally-focused culture. A wide variety of literature was considered and were individual interviews held with internal and external participants with ample knowledge of local government and change within municipalities. The information gathered was considered and recommendations were made by the researcher specifically relevant for Theewaterskloof Municipality. Other rural municipalities will also be able to benefit from these recommendations. The researcher identified specific policies and processes that will also need to be reviewed.

This study will assist other municipalities by using the recommendations with regard to important principles, change models, requirements for a change management strategy and policies that should possibly be reviewed as a basis for change. It is however important to understand that there does not exist a 'one size fits all' change management process and one should be cautious in applying this suggested change management process as it will depend on the unique challenges and objectives of the relevant organisations.

## Opsomming

Veranderingsbestuur is 'n onderwerp wat wyd bespreek word in die akademiese veld. Die konsep is besig om daaglik meer belangrikheid te verwerf en is daar verskeie organisasies op soek na die belangrikste veranderingsbestuur beginsels en veranderingsmodelle om maksimum sukses te verseker.

Die konsep van ontwikkelende plaaslike regering is reeds vir die laaste paar dekades op almal se lippe en sukkel verskeie munisipaliteite steeds om die gewenste status van ontwikkelende plaaslike regering te bereik. Die hoof fokus van plaaslike regering is verder om volhoubare dienslewering vir die gemeenskap te verseker. Dit is verder belangrik om te verseker dat die doelwitte van die Grondwet van die Republiek van Suid Afrika, 1996 bereik word om sodoende 'n beter lewe vir almal te verseker. Dit het daarom nodig geword vir munisipaliteite om die huidige kultuur te verander na 'n ontwikkelende-gefokusde kultuur. Dit het ook verder duidelik geword dat indien munisipaliteite ernstig daarvoor is om die manier hoe daar huidiglik gefunksioneer word te verander, sal daar 'n veranderingsbestuur proses aanvaar en geïmplimenter moet word.

Die doel van die studie is om die mees belangrikste veranderingsbestuur beginsels, veranderingsmodelle en vereistes vir 'n veranderingsbestuur strategie te bepaal relevant tot munisipaliteite. Die fokus van hierdie studie was om die konsepte van veranderingsbestuur en ontwikkelende plaaslike regering te verstaan. Verskillende veranderingsbestuurs beginsels en modelle was ook verken. Theewaterskloof Munisipaliteit was as 'n gevallestudie gebruik. Spesifieke uitdagings en doelwitte was geïdentifiseer in die munisipaliteit met die doel om die kultuur van die organisasie na 'n ontwikkelende-gefokusde kultuur te verander. 'n Wye verskeidenheid literatuur was oorweeg en was individuele onderhoude met interne en eksterne deelnemers gehou met genoegsame kennis van plaaslike regering en verandering in munisipaliteite. Die versamelde inligting was oorweeg en was aanbevelings gemaak deur die navorser spesifiek relevant tot Theewaterskloof Munisipaliteit, maar sal ander landelike munisipaliteite ook kan baat vind by die aanbevelings. Die navorser het spesifieke beleide en prosesse geïdentifiseer wat hersien moet word.

Hierdie studie sal 'n munisipaliteit help deur die aanbevelings ten opsigte van belangrike beginsels, veranderingsmodelle, vereistes vir 'n veranderingsbestuur strategie en beleide wat moontlik hersien moet word as 'n basis vir verandering te gebruik. Dit is egter belangrik om te verstaan dat daar nie 'n 'one size fits all' veranderingsbestuur proses bestaan nie en moet die voorgestelde veranderingsbestuur proses met die nodige versigtigheid toegepas word afhangende van die unieke uitdagings en doelwitte van die relevante organisasies.

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In loving memory of Gizmo 9/03/2013- 25/06/18 ∞RIP∞



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# **CHAPTER 1:**

## **Introduction and Problem Statement**

### **1.1 Background and introduction**

Ten years ago, the Theewaterskloof Municipality was faced by a turn-around challenge. Several aspects in the organisation had to be turned around simultaneously to focus on the sustainability of the threatening financial position of the municipality. The intention was for some directorates to focus on corporate governance, establishing a sound day-to-day service delivery operation, stabilising the financial sustainability of the municipality and the planning and design of the infrastructure and bulk service capacity of the municipality.

However, such an approach also had a downside and gradually caused the development of a silo effect and mentality within the organisation that meant that departments worked against each other and that the internal communication and cooperation were compromised. There was no joint and collective focus and each directorate and function was focusing on its own mandate, role and functions only. This eventually became one of the most important impediments and obstacles towards creating and sustaining teamwork and a collective attempt in growing and developing the municipality and the Theewaterskloof area by attracting investors and property developers. The leadership of Theewaterskloof Municipality adopted a revised Macro Structure and a developmental culture to assist in achieving the main objectives and managing the challenges identified by Council (Theewaterskloof Municipality, 2017a).

The municipality identified the following objectives that they wished to achieve to ensure survival of the organisation and to provide the best possible service delivery to the people:

- Sustainability;
- All of its people and stakeholders working together;
- All of its people living in dignity;
- All of its people living in harmony;

- All of its people living in peace; and
- Developing and growing an economy able to offer employment and wealth creation opportunities to all of its people.

The municipality also identified the most critical challenges unique to its area which needed urgent intervention and monitoring and which should form part of their strategic objectives moving forward:

- The migration phenomenon;
- Its ageing infra-structure and bulk service capacity;
- The financial sustainability of the Municipality;
- The limited institutional capacity of the Municipality and its impact on day-to-day service delivery and the gap between such institutional capacity and a growing expectation ; and
- political and administrative stability

If the municipality is serious in becoming a developmental municipality and to attend to the abovementioned objectives and challenges the municipality will have to ensure that the culture is adopted and that the necessary changes materialise. Changes will have to be made with regard to the development of the community, the development of the economy and very importantly the development of the organisation, with its available resources and thus ensuring that the institutional capacity of the organisation is sustainable. The next logical step for the organisation will be to implement the vision of Council to start moving in a developmental direction. All areas of the municipality will have to change to establish a developmental culture and the three main focus areas will be organisational development, community development and economic development, which are all co-dependent on each other. A formal change management process will have to be implemented and this will be the focus of this research project to establish the requirements of a change management strategy. The emphasis will be on the workforce to ensure that the necessary buy-in and adoption of this culture is possible and to assist in changing the way of thinking of employees in the organisation. The developmental culture will require that each and every employee should perform

their functions in such a way that they will all play the role of a change agent in the organisation and that they will encourage change in their daily tasks.

The focus of the study will further be to identify the most important change management principles and the most effective change management model. The focus of the study will also be to identify which current employee-related policies should be revised and which policies and processes need to be developed to ensure the necessary changes through the change management process to achieve the adoption of a developmental culture in the organisation.

## **1.2 Explaining the main concepts and theory**

Concepts and theories will play an important role in this study, as will most of the information used here. There is a wide variety of articles, papers and books on this topic which will be important to identify the most relevant information. The information will be explored and analysed to establish which principles and requirements will best fit the organisation. There are two main concepts that will be explored and unpacked.

### **1.2.1 The main concepts applicable to the study**

The first concept is the meaning of a developmental culture. The White Paper on Local Government (Republic of South Africa, 1998:23) refers to the importance of developmental local government and states the following with regard to the characteristics: “Developmental local government is local government committed to working with citizens and groups within the community to find sustainable ways to meet their social, economic and material needs and improve the quality of their lives”.

In this context, it is a culture and a way of looking at things differently that was adopted by the Theewaterskloof Municipality. It has become necessary for the organisation to change the way that things were done in the past because of a combination of challenges that are unique to this municipality. These changes will have an impact, as the area is not seen as development friendly enough to convince developers to invest in the area. Some areas have been identified as requiring intervention all of which motivates this change to make the Theewaterskloof Municipality developmental. The problems facing

the municipality are the following: lack of community pride, harmony, peace, ownership and lawlessness and is the development of the community necessary, based on the challenges identified by Council. The organisation itself needs development and it needs to change to ensure that the institutional capacity is sustainable. This includes elements such as poor morale and attitudes, lack of knowledge of employees, critical vacancies, a shortage of staff and poor and outdated processes and policies. Other elements, which also have an impact on the development of the organisation are, amongst others, outdated technology and the lack of maintenance of buildings. The last above-mentioned issues hamper much needed economic development in the area and as a result, investors are not interested to invest in the area of the municipality. There is often violent protest action. The area is known for high poverty and an undisciplined community, which leads to high crime statistics and the risk of unaffordable municipal services and the absence of proper service delivery. The internal processes and policies, attitude of staff, high fees, long and complex planning and approval processes and high bulk contributions, also discourage investors and developers to stay in this area. The only option for this municipality is to become more developmental and to adopt and implement a developmentally-focused culture (Theewaterskloof Municipality, 2017a).

The second important concept is change management. This is a widely discussed topic and there is a large number of theories available on this concept. Change management is an important concept as it is a critical tool, process and technique to use to ensure that the requirements identified to bring the necessary changes in an organisation are managed in such a way that change occur in the workforce of the organisation. According to Mento, Jones and Dirndorfer (2002: 45-59) there are a number of change models that organisations can use to assist them where there are major changes which are necessary in an organisation. Three well-known models are identified; namely Kotter's eight-stage process for transforming organisations, Jick's tactical ten-step model for implementing change, and General Electric (GE)'s seven-step change acceleration process. There are several main change management models available and there are different views on the positive and negative traits of each model and which model will be best for an organisation. It will therefore be important to explore the different elements of each model to find the best requirements for a change management strategy. Smith, Evans and Westerbeek (2005:98) makes the following statement with regard to the developed change models: "Change theorists have developed a range of

sophisticated conceptual models to explain the nature of change both with industries and organisations. One way of understanding the complexities of each approach is to consider them against two dimensions: mode and level, as suggested by Meyer et al. (1993)”. The bulk of literature refers to eight well-known models and the study will mainly focus on some of these models: Lewin’s change management model, The McKinsey 7-S model, Kotter’s theory, Nudge theory, ADKAR model, Bridges’ transition model, Kübler-Ross’ change curve and the Satir change management model. The purpose of the research project is to assist the coordinator of a change management process to identify the most suitable model for the circumstances.

Todnem (2005:370) states that although there are currently theories and approaches available on change management, that they often contradict each other and sometimes lack empirical evidence. The purpose of the research project is to critically look at some of the main theories and approaches when considering a new change strategy for Theewaterskloof Municipality. It is therefore clear that although there is a large amount of theoretical information, careful consideration should be given to ensure that the correct models and principles are used to implement change management. There is also literature that focuses on the reason why change management fails and this is also important to consider in order to identify the requirements for a change management strategy. Griffith (2001:300) indicates that inadequate change management competence is one of the reasons for the failure of change management. The article looks at change management solutions based on tailor-made programmes where all relevant aspects are taken into consideration. According to Flower (1998:52), it was found that 80% of the reasons for the failure of change in organisations can be traced to thirteen common mistakes made in the change process. These common mistakes will be discussed in chapter 2.

Another concept that needs to be explained and to be understood in the context of this research project is the workforce element. Change management will be the first important step that the municipality will have to take to implement a developmental culture to assist with the identified objectives and challenges. Although change will have to take place in the community, given the approach to the economy and development in the area, change will first have to occur inside the organisation. The focus of this research project is therefore to explore the requirements of change

management focusing on the workforce to ensure there is buy in and the adoption of the developmental culture, to become a successful developmental municipality.

### **1.2.2 Legislative framework**

Local government is a highly legislated environment and it is very important to ensure alignment between the statutory provisions applicable to local government and specific guidelines, strategies, new directions and changes in the way of approaching matters in this sphere of government. The most relevant legislation providing a framework when focusing on becoming more developmental, will be the Constitution, 1996 of the Republic of South Africa, Local Government: Municipal Financial Management Act, 2003, Local Government: Municipal Systems Act, 2000, Labour Relations Act, 1995 and municipal policies. The most important policies will be human resource-related policies that might have an impact on the developmental culture that must be adopted. The White Paper on Local Government, 1998 also has a chapter dedicated to developmental local government and emphasise the importance of the concept. The Constitution of the Republic of South Africa (Republic of South Africa, 1996) (hereafter referred to as the Constitution, 1996) gives guidance in terms of section 152. Although all objectives as stated in this section are important for developmental local government section (1)(c) is especially relevant to this study where it states that “The objects of local government are to promote social and economic development.” There are however several challenges for municipalities to become more developmental. These are, in some instances, brought about by the fact that some national and provincial functions are often assigned to municipalities without proper consideration on the impact on development of the municipality. Housing projects funded by the Department Human Settlements deliver houses to people who cannot afford to maintain them and do not understand the obligations of a property owner. It has been established in recent times that the community rather prefer serviced sites and would prefer more opportunities be created for the community to live in dignity; this will assist the municipality in becoming more developmental. According to a report issued by the South African Local Government Association (SALGA) in 2015 municipalities will have to rethink their powers and functions and is the following statement made: “There is the need to urgently develop a rational division of powers and functions for supporting and promoting developmental local government. A framework needs to be

adopted at national level for ensuring the appropriate alignment of functions in support of the overall mandates of provinces, districts, local and metropolitan municipalities. The principal of subsidiarity must be applied in the assignment of functions” (Ovens & associates, 2015:114).

### **1.3 Research problem and objectives**

#### **1.3.1 Research problem**

The leadership of Theewaterskloof Municipality has identified main objectives and challenges specifically relevant to the organisation and the area which needs to be addressed by adopting a developmental culture. The focus of this study is on the change management requirements that will be critical to ensure that the necessary changes in the workforce of the organisation will be implemented to adopt a developmental culture in the Municipality. The research project will also focus on different change management models available and identifying relevant policies related to employees that should be reviewed to achieve a developmental culture.

The outcome of the project will have a practical implication for the Theewaterskloof Municipality to assist in developing a change management strategy, focusing on the workforce and can assist other smaller rural municipalities with similar challenges, in their change process to become more developmental. There might be a gap in the academic research environment specifically with regard to the approach and model that will best fit rural municipalities.

There is previous research available on the concept of change management and there are many different ideas and opinions on which model and principles are most appropriate. Most of these studies are however focused on big organisations or Metro municipalities and not necessarily on smaller rural municipalities. It will however be necessary to add further information from the local government environment on lessons learned and information to assist to identify important requirements for change management.

The aim of the research project is to explore what the change management requirements are in terms of the most appropriate change model and theories, to give effect to the adoption of a developmental culture in the workforce of the Theewaterskloof Municipality to enable the organisation to achieve their objectives and manage the identified challenges.

### **1.3.2 Objectives**

The main focus of this study will be to explore different change management models and principles and to identify important concepts and theories on change management. In the second part of the study, the researcher will identify requirements for a change management strategy fit for the organisation and identify policies that need to change. In order to address the research problem the following objectives should be dealt with:

- 1.3.2.1 Theoretical unpacking of the concept of developmental culture and change management and exploring different change management models and principles available, to determine the requirements for a change management strategy for Theewaterskloof Municipality.
- 1.3.2.2 The change management measures that need to be taken, to ensure the buy-in of the workforce of Theewaterskloof Municipality and to create a mind-set promoting a developmental culture (Management and staff).
- 1.3.2.3 Determine the most suitable change management model and principles for Theewaterskloof Municipality to enable the organisation to implement a developmental culture.
- 1.3.2.4 Identify the policies and processes that need to be developed or reviewed to ensure change in the workforce and to enable the organisation to adopt a developmental culture.

## 1.4 Research design

This study will be a mixture between a non-empirical study and an empirical study to be able to collect relevant data to answer the research questions and elements related thereto properly. The non-empirical study will focus on the literature available to identify important requirements for a change management model or strategy, best practices and lessons learned in the process. The work of a wide variety of authoritative authors and change management, organisational change and the fundamentals will be reviewed in chapter 2. There are also various articles available in journals which deal with the different aspects of change management.

A case study will be used for the empirical study to create new information relevant to the specific organisation to understand the required changes and the policies and processes that should be aligned to implement a developmental culture.

Primary data will be created by individual interviews with Directors and specialists in the relevant directorates. Further primary data will be created by conducting expert interviews with experts in the field of change management, specifically related to local government and possibly the driver/s of a change management process in smaller municipalities if such municipalities can be identified. Content analysis of the primary data generated from the interviews will be done and will assist in making recommendations on the requirements for a change management strategy.

It will be important to obtain final approval from Theewaterskloof Municipality to allow the researcher to obtain the information specifically relevant to the organisation and to interview individuals within the organisation to obtain inputs related to change management, identify necessary changes and possible challenges which can delay the change process. This information will be used to identify the requirements and scope for a formal change management process and strategy and will the recommendations from this research project be able to add value to the organisation.

## 1.5 Research methodology

The process that will be followed to collect data will be of a qualitative nature. Secondary data will be the bulk of the information needed for the study, but primary data will also be used. The secondary data is already available in the academic domain and so no sampling will be applicable. With regard to the primary data non-probability sampling will be used which will be of a purposive nature. This data will be collected by conducting expert interviews with professionals specialising in change management in the local government environment. These experts will be identified by looking at their experience and presence in the municipal environment a list of questions will be send to them electronically to answer. Change agents from other municipalities will also be identified considering recent change processes completed in other municipalities and a set of questions will be send to them electronically. Specific officials and specialists will be interviewed within the organisation to collect information on the necessary changes, employee-related policies and possible challenges with regard to the workforce in the change management process in the attempt to adopt a developmental culture. A set of questions will be put to them to collect information related to the organisation. A total of approximately fifteen individuals will be interviewed.

## 1.6 Overview of the thesis

### **Chapter 1:** Proposal and introduction

This chapter will consist of the proposal and the introduction explaining the purpose of the research study and explaining the research problem focusing on the strategic objectives and direction that the municipality adopted to achieve a developmental culture. It will also explain the need to identify requirements for a change management strategy and identifying the most suitable change management model and principles that can be applied to the municipality.

## **Chapter 2:** Literature review

This chapter will attempt to explain the main concepts applicable to the research project and the important theories. It will also focus on the main change management models and principles available to be able to identify the requirements of a change management strategy which can be used by the municipality.

## **Chapter 3:** Policy and Regulative framework

This chapter will consist of the relevant legislation and documents including White Papers, strategies and other official documents which set a framework for the concepts of a developmental local government and the concept of change management.

## **Chapter 4:** Case Study: Theewaterskloof Municipality

This chapter will focus on the state of affairs of Theewaterskloof Municipality with reference to the strategic objectives adopted by Council driven by the unique challenges of the organisation and the need to adopt a developmental culture. It will also focus on the specific elements of change management needed in the organisation and possible challenges and obstacles which might hamper the adoption of the culture by the workforce to ensure the change of their mind-set in becoming more developmental. A further focus will be to identify policies and processes within the organisation that will need to be developed and reviewed to enhance a developmental culture and ensure change.

## **Chapter 5:** Research design and methodology

This chapter will explain the type of study that will be used and will explain in detail the different elements of the study and type of data that will be collected that will be used to achieve the objectives of this study. The methods that will be used to collect the relevant data will also be explained in detail and will the collection of both primary and secondary data be dealt with in this chapter.

## **Chapter 6: Present and interpret results**

This chapter will deal with the research findings, interpretation and analysis of the relevant information in great detail. The meaning and understanding of the main concepts will be discussed and interpreted. The different change management models and principles will be discussed and explored. In this chapter the relevant policies will also be identified and presented together with possible requirements for a change management strategy that would enable the municipality to adopt a developmental culture will also be discussed. The possible challenges and obstacles which might have an influence on the workforce of the organisation, and changing their way of thinking will be presented.

## **Chapter 7: Conclusions and recommendations**

This is the final chapter and will present specific recommendations and conclusions focusing on the requirements of a change management strategy to enable Theewaterskloof Municipality to adopt a developmental culture as well as identifying the best change management model for the organisation. Recommendations will also be made with regard to possible policies and processes that should be reviewed to enhance a developmental culture. The use of the change management strategy to assist other municipalities to become more developmental will also be discussed.

This chapter dealt with the introduction and background of the research problem and the purpose of this study. The main concepts change and a developmental culture were briefly discussed in context with the motivation to adopt a developmental culture in Theewaterskloof Municipality. The research design and methodology were also briefly dealt with in this chapter, but will be discussed in more detail in chapter 5. The next chapter will provide a literature review on the important concepts of developmental culture and change management. Chapter 2 provides the context on the elements and the meaning of a developmental culture in local government. The meaning of change management is explored and the main change management models and concepts are considered and explored. This chapter will give context and an understanding to the research objectives to identify the requirements of a change management strategy, determine the change measures that will have to be taken and to identify the most

suitable change management model and principles to enable Theewaterskloof Municipality to adopt a developmental culture.

## **CHAPTER 2:**

### **Literature review**

#### **2.1 Introduction**

The previous chapter focused on the problem statement and the objectives of this study. The chapter also briefly focused on the research design and methodology that will be used in the study. The chapter lastly focused on an overview of the different chapters that will form part of this study. The purpose of this chapter is to give theoretical context to the main concepts relevant to this study and to explore the theory and principles on change management and developmental culture in local government. This chapter will also focus on the most important change management models and principles and will focus on the conclusions of different authors on the positive and negative traits of these models, as will be discussed. The reasons for the high failure rate of change management in organisations will also be attended to and will be the main reasons for failure to be explored. Lastly, this chapter explores elements such as culture, change readiness and leadership that might impact on successful change management in an organisation. The theory explored in this chapter will be used by the researcher to identify important requirements for a change management strategy to assist Theewaterskloof Municipality to adopt a developmental culture through a change management process.

The researcher has found that there are not many books available which explore the different change management models and compare them to each other to identify the positive and negative traits of each model. Most of the literature available only explains the elements of the main models and can these models be used for that purpose. Therefore, articles in journals and magazines will be used to identify the differences and criticisms on the models and change management principles, as several authors have explored this research environment.

## **2.2 Concept and meaning of developmental local government and developmental culture**

It can be argued that local government is the most important sphere of government, due to the fact that this sphere is the closest to the community and is responsible for service delivery in its area. The functions of local government contributes to the community living in dignity and ensuring that the people of South Africa have access to basic services. The pressure on municipalities has always been very high and often the unrealistic expectations from national and provincial government and the community created a need for municipalities to become more developmental to be able to survive and achieve the objectives of local government. It is therefore important that municipalities should adopt a developmental culture to ensure the development of its community and area.

To understand the concept of a developmental local government it is important to have a short overview of the history of local government. According to Koma (2012:105) apartheid had a big impact on municipalities and especially on human settlements in South Africa. He explains that legislation such as the Group Areas Act, 1966 instituted spatial separation by excluding non-white areas to minimise the financial burden on municipalities. As time passed several management committees and advisory bodies were established which continued to remove the responsibility from white municipalities. In the past 60 years, it was noted that more Africans started to move from rural areas into towns for better work opportunities. During the 1980`s the majority of Africans was urban-born and the new generation demanded inclusion in democracy. It became necessary to develop a stronger local government system to achieve a successful democracy in South Africa (Koma, 2012:105). Cloete (1995:4) explains that the crisis in local government to provide services for a diverse growing community, lead to the national reform process in 1990. A framework was provided for municipalities in the Local Government Transition Act, 1993 and introduced three phases for the transition of local government. The author explains further that the first two phases were the pre-interim phase which guided the period from the implementation of the act up to the first local government elections. The interim phase started after the elections until the finalisation of the first constitutional model. The last

phase started after the adoption of the first constitutional model after the elections, with the Constitution, 1996 making provision for each sphere of government to exercise exclusive powers. The main objectives for the newly established municipalities were to focus on the socio-political needs of the community and to ensure that the working and living conditions of the communities were improved. One of the objectives of local government in terms of section 152(1)(c) of the Constitution, 1996 was for municipalities to be developmental. This was the vision for municipalities moving forward and ensuring that the needs of its community, specifically the poor and vulnerable people were met (Cloete, 1995:4). The White Paper on Local Government (Republic of South Africa, 1998:17) explains the concept of developmental local government and states that sustainable ways should be found, to ensure that the social, economic and material needs of the community will be met. It is further stated that municipalities will have to play a vital role to protect the human rights of its community and ensure access to basic services. Developmental local government is described as follows: “Developmental local government has four characteristics: maximising social development and economic growth; integrating and coordinating; democratising development and leading and learning” (Republic of South Africa, 1998:17). The White Paper on Local Government is an important guideline for municipalities on how to implement its developmental mandate. Chapter 3 will however focus on the legislative framework, which will be explained in detail.

Bagchi (2000:398) defines a developmental state that should be present in an organisation to achieve a developmental culture as follow: “It is a state that puts economic development as the top priority of governmental policy and is able to design effective instruments to promote such a goal”. Mayimele (2011:2) states in his article that local government does not fulfil its entire mandate and is pre-occupied with only delivering services and is not incorporating a development approach with service delivery. He argues that the effect is that local government does not play its developmental role to its full potential and that it is visible in the Integrated Development Plan`s (IDP) of municipalities, where social and human development issues does not receive the attention needed. It is important to realise that the purpose of local government is not only service delivery, but that it should be used as a strategic enabler for a development state in a municipality. De Visser (2009:23) agrees with this argument and states that the capacity to do integrated development planning in

municipalities is not sufficient. He states that: “The IDP has become a tightly regulated process that absorbs the input of a multitude of development actors towards the adoption of a document within tight deadlines. This process has thus become a ‘pressure cooker’, which is incompatible with unwieldy community input which tends to disrupt intergovernmental cohesion and adherence to the intergovernmental deadlines”. He recommends that government should rather identify national key priorities to ensure that all municipalities align these priorities with its community’s less important needs. Koma (2014:24) is of the opinion that a proper IDP document should include local economic development plans that provide guidance to ensure that poverty, work opportunities and local economic growth are focused on. The White Paper on Local Government (Republic of South Africa, 1998:26) states further that the outcomes of a successful developmental municipality should include the provision of infrastructure and basic services, creation of acceptable living conditions, local economic development and empowerment of the people in the area of the municipality.

There are however authors who are of the opinion that although there are several views that municipalities are not delivering its developmental mandate, that municipalities have indeed made remarkable progress. One of these authors De Visser (2009:7) makes the following statement: “The progress made by South African municipalities towards realising the vision of developmental local government is remarkable and unprecedented. Over the last 13 years, municipalities have embarked on the extension of infrastructure and development, whilst absorbing fundamental changes to their internal governance and management arrangements, financial management systems and intergovernmental responsibilities”. The author further argues that one of the key instruments to assist municipalities in fulfilling its developmental mandate are its IDP documents. This planning process should be used to do proper planning and development by all three spheres of government, to ensure integrated development in the municipal area. It is very important to ensure that the items prioritised in the IDP of a municipality will promote development and that all needs irrespective if it is a local, provincial or national function will be included in the document to ensure access to services and a better life for the community.

De Visser (2009:15-17) states that although there are significant progress made by municipalities there are a number of challenges identified over the last decade, which

might have a negative impact on municipalities fulfilling its developmental mandate and hampering the full adoption of a developmental culture. The most pertinent challenges such as the size of municipalities, executive leadership, role definitions, Council appointees and community participation were identified in the majority of municipalities. It is argued that the first challenge the size of the municipality, is a challenge in the sense that it creates a bigger challenge for the municipality to achieve effective participation. This is even a bigger challenge in municipalities with large rural areas and a diverse community. A second challenge identified is the fact that municipalities who have an executive mayor might experience the challenge, that all executive powers are concentrated in one councillor alone. It is stated that this system can create the impression that the relationship between a handpicked mayoral committee and the other councillors are not based on democratic values and that this can have an impact on an effective municipality. A third challenge is the roles and responsibilities of the political office bearers in a municipality, with specific reference to the speaker and the executive mayor of a municipality. The argument is based on the fact that a Council have a legislative and executive function and this can cause conflict between the positions of mayor and speaker, because of the functions of each of these positions. A further challenge identified by De Visser (2009:18) in the majority of municipalities is the appointment of members of the management team by Council. Although there are specific reasons for these political appointments, for example to ensure that management and the political structure have the same goals and vision, there are possible challenges created by this relationship. The challenge for municipalities are that as soon as political leadership change, the management leadership will most probably also change. This causes administrative instability and will have a negative impact on the developmental state and culture of a municipality. The last challenge identified is the improvement of community participation. The involvement of communities in important decisions by a municipality, including the finalisation of the budget and IDP document is one of the key objectives of local government and is a critical element to ensure development. The platforms created for public participation are often hijacked by communities, to address other issues because of a lack of communication on other matters important for the community. Communities often choose to rather take their grievances to the streets in the form of protest actions as they often feel that they were not part of the decision-making process and often confuse the different mandates of the spheres of government (De Visser, 2009:18-19). It is argued

by the author that these challenges explained above, together with financial and administrative capacity constraints, hampers service delivery and creating a developmental local government. The lack of connectivity and communication between the municipality and the community are inconsistent with the purpose and intent of a developmental local government and the correct balance will have to be established (De Visser, 2009:17-19).

Further challenges are identified by Meyer (2014) such as a skewed picture created by the placement of human settlements, disproportionate division of economic and social activities, financial and capacity constraints of municipalities. Although there are many challenges for municipalities identified over the last century and still relevant today to truly become developmental, authors have over time identified several important principles and key factors, which are necessary to create an enabling developmental environment. These principles identified by authors such as Meyer (2014) and Koma (2014:25) will be discussed in the next section.

### **2.3 Principles and characteristics of developmental local government**

Meyer (2014) identified a number of factors which are required to create a developmental environment, to ensure that a municipality are able to achieve the developmental objectives assigned to them. The main driver in most of the principles discussed are local economic development and will the importance of this concept and the role it plays be explored briefly. The first factor is the importance of partnership formation and to ensure that all stakeholders are included in the team promoting local economic development, such as the public sector, the formal and informal business sector of the area and most importantly the community. It is expected of municipalities to ensure effective public participation and to establish healthy and sound stakeholder relations. The next factor required is the importance of policies to be integrated and complementing the principles of good governance. The assurance of institutional capacity of a municipality is of exceptional importance, because of the fact that a municipality will not be able to ensure development in its area if there are threats with regard to the sustainability of the institutional capacity of the municipality. The

municipality will have to ensure that its processes, policies and initiatives are of such a nature that it will not discourage development and are investment friendly. Meyer (2014) argues that another important factor is that local leaders should be the drivers of the local development process, and political stability will also be of critical importance. He explains that spatial planning in municipalities should be integrated with economic development planning to ensure that spatial imbalances are something of the past. It is also important to create a safe, secure and attractive environment to ensure economic development in an area. The lack of resources and strict labour legislation, also impacts on the workforce and the competency and skills of employees to play their part in a developmental environment (Stimulating sustainable economic growth, 2009:2). When taking the above factors into consideration, it is evident that it is non-negotiable that the integrated development plan, spatial development framework and local economic strategies and policies should be integrated and aligned and that strong relationships and communication should be established between stakeholders (Meyer 2014).

Although local economic development has been identified as a factor and linked to most of the points identified, is it important to focus on what this concept really means in local government to complete the full picture of developmental local government. Helmsing (2001:69) defines local economic development as the establishment of a relationship between stakeholders, to govern the available resources and opportunities in an area and to work together to stimulate the economy and grow the available resources. It is important for a municipality to manage, drive and invest in the local economy and to ensure that its policies and strategies are aligned and supporting national economic growth and development. A municipality together with its partners must ensure that necessary interventions are made to stimulate local economic development in the area. It is therefore clear that local economic development is a key ingredient in creating a successful development local government. Koma (2014:25) states that local economic development is not a negotiable function of local government and is it rather a stipulated obligation in terms of legislation. He argues that it should not be seen as a once-off project, but rather as a continuous process to manage challenges in a community which may hamper economic development. It is however important to realise that the success of local economic development is also dependent on the cooperation between the municipality, provincial, national government and other local stakeholders (Koma 2014:124). This argument is supported by Nel (2001:1019)

that national and provincial departments should accept joint responsibility to ensure local economic development, as this cannot be done by municipalities alone. Odendaal (2000:224) argues that local government should play the following roles in local economic development: the role of facilitator, the role of coordinator and a stimulating role.

## **2.4 Concept and meaning of change management**

The second important concept to explore is the concept of change management. The study will focus on change management in general and principles and elements related thereto. The chapter will also focus on possible principles that might affect successful change management and the outcomes thereof. Change management is a concept that has been thoroughly researched and many opinions and theories been formed on what the term really means. It is also important to realise that the concept of change is understood differently today than in previous eras. The main differences are the nature, speed, complexity, the need for immediate communication and the need for employees to take part in the decision-making process (Pryor, Tenja, Humphreys, Anderson & Singleton, 2008:1). Todnem (2005:370) adds that although there is not a standard framework for change, the pace of change should be considered and the fact that it comes in different shapes and forms.

The first step will therefore be to consider some definitions of change management. Looking at the meaning of change from a different perspective, Selivanoff (2018:8) states that the Chinese word for change consists of two symbols which mean threat and the 'other' opportunity. Bringing it back to change for our purposes; it is important that the aspect of threat should be minimised as far as possible and the aspect of opportunity should be maximised.

According to Al-Khoury (2010:108-111) the only constant in life and in business is change and an organisation should constantly monitor and anticipate the possibility of change. There are several definitions of change available in the literature and although they focus on different elements of change, most of the definitions have some similarities. It is important to distinguish between the definition of individual change

and organisational change and the context in which the definition is used. Connelly (2018) defines change management as follows: “Change management is the process, tools and techniques to manage the people-side of business change to achieve the required business outcome, and to realize that business change effectively within the social infrastructure of the workplace”. Another definition is as follows: “Change management is a structured approach to transitioning individuals, teams and organisations from a current state to a desired future state. The current definition of change management includes both organisational change management processes and individual change management models, which together are used to manage the people side of change” (Connelly, 2018). Green (2016:236) states that the concept of change derives from two different disciplines the one is evaluation which clarifies links between inputs and outcomes and social action which encourage a specific group of people to work together to achieve a specific outcome. A further explanation of change is provided by Passenheim (2010:7) and is defined as a change in an organisation’s strategies, culture or any other element because of internal or external changes. Baker (2007:15) defines change management as follows: “Change management is the process, tools and techniques to manage the people-side of the change process, to achieve the required outcomes, and to realise the change effectively within the individual change agent, the inner team, and the wider system”.

Dunbar (2012) emphasises that change management should not only be seen as a measure used for large-scale change, but should become a day-to-day process that should be applied to all minor actions of change. He argues that change should be implemented by leadership and that it cannot simply be outsourced and will need guidance from within the organisation. Baker (2007:2) states that change happens through a transformation process and that it either happens as a planned intervention or that it happens through a natural process and is then adopted by the organisation. He adds that elements such as a clear mission and vision, resources, personnel working together and having direction should be present. He emphasises that both soft elements such as culture and the impact of leadership should be present, as well as hard elements such as time lines and other practical requirements, which are also important (Baker, 2007: 246).

When looking at the research available Kane (2007:30) indicates that there exist five broad types of change that can be implemented by an organisation:

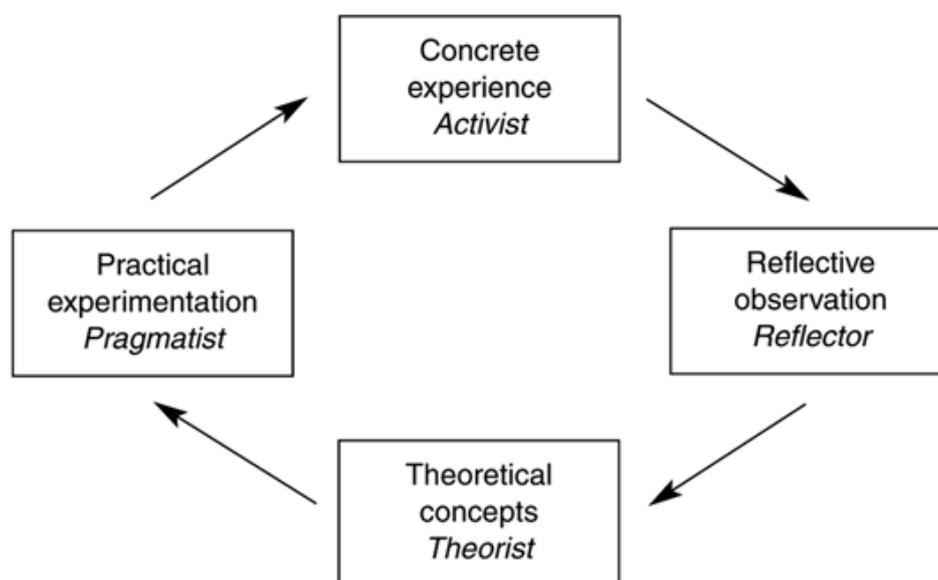
- The first type is logistical change, which is straightforward and simple and can happen from day-to-day.
- The second type of change is improvement change and will mean that a specific aspect of an organisation will be revised and will introduce the development of a new way of thinking.
- The third type is overcoming change and will focus on a specific or problematic challenge or behaviour in an organisation, which should change for the benefit of the organisation. An example of this type of change will occur where a negative attitude towards a new culture in the organisation must be changed.
- The fourth type of change is where the culture, morals or beliefs of an organisation are changed and a new way of looking at certain aspects is created.
- The last type of change is unwanted change and is the type of change that the organisation does not have any control over and is influenced by external factors

Hayes (2014:56-57) adds four further types of change that can be implemented by an organisation such as:

- tuning where there are not an immediate need for change and different options are considered;
- adaption where changes are implemented to respond to a specific issue;
- reorientation where the organisation is redefined looking at the needs in the future and
- re-creation, which is re-active change where the organisation will be transformed through a process where the basic elements are changed.

Buono and Kerber (2010:7-8) also look at different types of change that can be implemented in an organisation and distinguish between them as follows: there is directed change which is driven from the top and is usually quick and specific. There is also planned change which can arise from any level of the organisation as long as it is sponsored from the top. The last type of change discussed by them is a very different approach called guided change, which can emerge from any level of the organisation and is based on the expertise and creativity of the employees themselves.

It is also important to distinguish between individual change and organisational change. Cameron and Green (2012:19-24) explain that a model was developed by David Kolb in 1994, which shows how learning and change in an individual transpires through doing and thinking. Change in an individual happens when they obtain knowledge through a specific experience and it leads to a change in the behaviour of the individual. Kolb's learning cycle starts with a concrete experience and the question is will the individual reflect on the experience and try to make sense of the experience by making conclusions relevant to the experience. The individual will then decide to do things differently in the future and will experiment with the experience, which will bring about change. They explain that change in an individual can also happen when the individual's behaviour is changed and should managers focus on behaviour to understand which aspect of their behaviour leads to success and which elements to failure. The individual should then be encouraged to behave in a positive way to ensure change. The following steps are important when the behaviour of an individual is under the magnifying glass: identification of behaviour that might impact change, measurement of the presence of the behaviour, analysis of the components of the behaviour, creating a strategy for intervention and evaluation to establish if successful change in behaviour happened. Another approach relevant to individuals in the change process is the cognitive approach and is focused on an individual's emotions and problems, which affect the way they think and act. If their way of thinking is changed, they will respond differently to situations where they need to change.

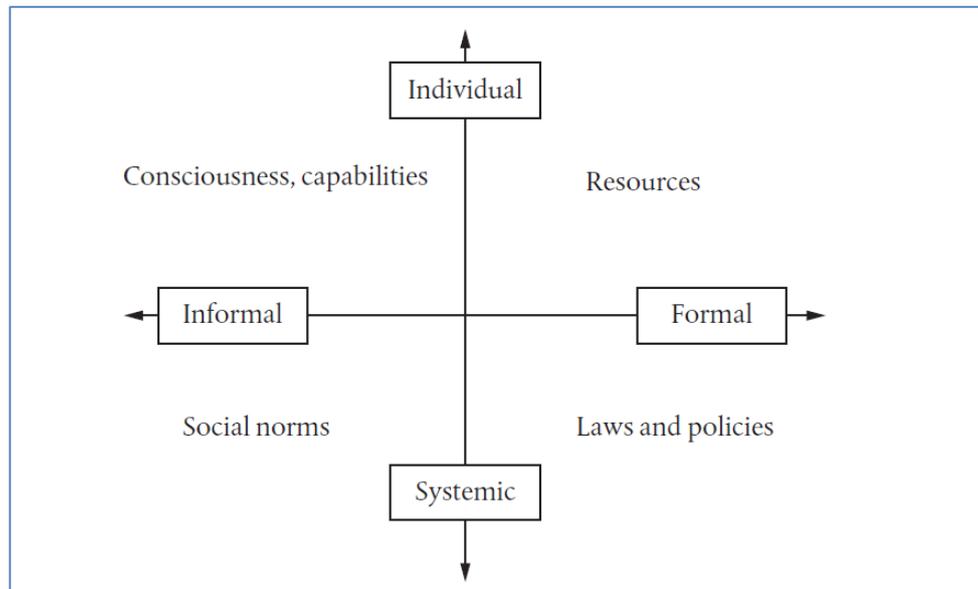


**Figure 1:** Kolb's learning cycle (Source: Cameron & Green, 2012:20)

Cameron and Green (2012:109-111) state that when looking at organisational change it is argued that the use of a metaphor is necessary to indicate how the concept of organisational change is understood. The most used metaphors by managers are that an organisation is a machine, that it is a political system, that it is an organism and that organisations are seen as flux and transformation. The assumptions when looking at organisations as machines are that the organisation can change to a specific end state and that it can be done if it is planned and controlled. When looking at organisations as political systems the assumptions are that change will only happen if the support of a powerful person or group are provided and is it important to understand the political dynamics in the organisation. Assumptions made when using the metaphor that an organisation is seen as an organism, are that only changes in the external environment will trigger change within the organisation and that change can be designed and should be supported by participation in the organisation and psychological support for employees. The last metaphor where the organisation is seen as flux and transformation, initiates that the organisation is part of the environment and does not stand alone. The assumptions that flow from this metaphor, indicates that change cannot be managed that managers do not have control and should act as enablers and lastly that conflict plays an important role in the change process (Cameron & Green, 2012:111-118).

Ancona, Backman and Isaacs (2015:245-246) add that the process of change is slow and that there are certain key points that should be considered. The first is that a proper analysis needs to be made to understand how change will have to be implemented in a specific organisation. Secondly, it is important to understand that any form of change must be incorporated in the whole system of an organisation and that organisations with older approaches will be harder to change. Lastly, it is important to understand that several other smaller processes will form part of the bigger process and effort for change. Green (2016:241-242) indicates that the concept of change can be divided into four elements; namely individual, community, politics, formal and informal aspects. He argues that it is important to ensure that work is done with regard to all of these aspects and the necessary effort and attention should be invested in all the elements. Green (2016:244-248) further argues that the approach to change should be kept simple, but that it should always be kept in mind that all elements are of importance. In the case of a more complex change process, he is of the opinion that control over the process should be kept to the minimum unless it is truly necessary to intervene. He further argues that

employees should be provided the opportunity to adapt to the change. It is therefore clear that the concept of change has many dimensions to and many forms and the most appropriate and applicable form should be identified. Figure 2 indicates the different domains of the concept of change.



**Figure 2:** Domains of change (Source: Rao, Sandler, Kelleher and Miller, 2016)

## 2.5 Approaches to change and important change theories

Wanner (2013) makes the statement that one of the most important principles of any change management process is that integrated change management should be applied during the change process in an organisation. He argues that the organisation and individual process of change should be integrated from the start. He argues further that this process should consist of the following four phases; namely, preparing for change, planning change, managing change and lastly reinforcing, and most importantly sustaining change. Al-Khouri (2010:111) agrees and states that a change management process should emerge from the following stages: recognition, clarification, planning, transition and maintenance. Hughes (2010:22) argues that any organisation that is subject to change should be studied from a complexity perspective. When looking at an organisation from this perspective, it is realised that organisations are dynamic, non-linear and unpredictable. He argues that the following elements are present: ordered

unpredictability, strange attractors, small changes with large effects and self-organisation. Greenwood, Jennings and Hinings (2015:327-329) state that the starting point for any theory of change, is to indicate the process that should be followed to move outside of the normal principles known to the organisation to consider alternative options. The authors explain that theorisation (also refer to Figure 2) is another important element of change, which will include the identification of issues in the organisation that need change and also acceptance and justification of the solution and the suggested change. It is important that a proper evaluation must be done to identify which techniques and approaches will be appropriate and ensure successful change (Baker, 2007:254). According to Green (2016:236) theories of change should be flexible and the change process should be seen as a compass rather than a planned map. He further argues that it should be seen as a dynamic process and not a fixed static activity and changes to the planned direction of change should be possible.

Van de Ven and Poole (1995:511-513) identifies four ideal types of theory, including teleological, dialectical, life-cycle and evolutionary theories. Teleological theory adopt the stance that an organisation is purposeful and adaptive and will change be done by goal formulation, implementation, evaluation and learning as part of the process. The dialectical theory on the other hand, focus on conflicting goals between groups within the organisation and establish change by ensuring a balance between the opposing groups. The third theory is the life-cycle theory and is change seen as a process that is implemented through different stages, which all add to the success of the change process. The last theory is the evolutionary theory which is based on a process cycle of variation, selection and retention. All of these theories focus on a number of actions that are all connected to each other which brings about change in the end. Hayes (2014:91) argues that it is critical that when a specific theory is used in a change process, the theory must be able to identify the kind of change, develop a clear process and identify the needs that should be attended to by using goal setting.

Cameron and Green (2012:259-260) have identified characteristics which they argue are crucial for a change process to be successful. They argue that alignment is important and that all the elements of a change management process should be linked to one another and also be linked to the organisational system as a whole. It is also important that the planned organisational culture should be established and it must be ensured that

all the aspects of change is achieved, while keeping the human side of change in mind. Another characteristic of change is that momentum and sustainability should be created and that enough individuals should be aligned to support the suggested changes. A very important aspect is that organisational capacity, capability and readiness should be created within the organisation for change to be successful. A further characteristic is linked to training, learning and coaching and is it important that mentoring, feedback and the building of change capacity should form part of the process. Lastly, the characteristic to develop a specific mind-set for change is identified to create the environment in which the change process will operate. Wilson (2014:39) argues that a successful change process includes elements and principles such as a change strategy and communication plan, the execution of the elements of change implementation, the acknowledgement of employees who support the change and support for those who have not accepted the change and the ongoing assessment of progress and changing the aspects of the process that do not work.

Greenwood et al. (2015: 323) state that there are two approaches available to change, one of them focuses on organisational change and the other on institutional change. The first approach, focusing on the organisation, will consider aspects such as the structure, available resources, processes, systems and possible political influence. Leaders are seen as important role-players in this approach. The second approach, which focuses on institutional change, takes the contextual circumstances into consideration which can have a positive or negative impact on change. Sociocultural factors such as political views, cultural beliefs, education, economic status and governance will influence organisational ideas and beliefs which will enable institutional change. Green (2016:239-241) identifies a change approach which he calls the power and systems approach (PSA), which states that unpredictable events in a change process should be taken into consideration, for example the change of leadership, new change agents and possible external changes. It is also important to be comfortable with possible chaos and uncertainty during the change process and to include role-players in decision-making. Smith, Evans and Westerbeek (2005:115) on the other hand argue, that organisations are in constant states of chaos and that stability is only a temporary state. Kellogg (2011:482-483) explains a further approach, where the process is driven by less powerful employees by using the culture of the organisation as a toolkit and elements from the field in which they function to bring about change. She argues that

there are political and cultural tools that can be used in this change process. Cultural tools can be described as symbolic elements, such as identities and tactics of an individual which is brought into the organisation. Political tools on the other hand are more material elements such as systems of accountability, evaluation and staff systems which are created by the formal authority in an organisation.

There are different theories and opinions of which the bottom-up or top-down approaches are the most appropriate and most successful in change management processes. Passenheim (2010:10-11) argues that the advantage of the bottom-up approach is that the rhythm and speed of the change process can easily be adapted. He states that small changes can happen fast and that bigger changes will last longer using this approach. The negative aspect of this approach is, however, that formal long-term changes might not happen easily because of the fact that there is no clear guidance from the top of the organisation. Juneja (2008) argues that many authors have found that the bottom-up approach is more effective for change management. Looking at the top-down approach, he argues that the organisational culture is often misread and underestimated and that there is not enough time allowed for the change process to be implemented. The benefit of this approach is however the fact that the instruction and plan to change is clear and straight forward and everyone knows what is expected of them. He explains that change can therefore be seen as the overall understanding of the change expected, including the understanding of both the organisation and the people and that change can be effectively fulfilled. He warns that organisations should not refer to the term mind-set change or expect that employees should change their attitudes. This can create the perception that the organisation is of the opinion that the employees have a wrong mind-set or that their behaviour is wrong and can be seen that change is forced on the employees (Passenheim, 2010:21). According to Baker (2007:74-75) the balance between a top-down and bottom-up approach is very important to achieve successful change. He argues that even if a top-down approach is adopted, it will not be possible to force the change on employees in lower levels and that a type of bottom-up change will have to shape the change and ensure acceptance.

There are important principles that should always be considered in a change management process to ensure the successful implementation of change. It is argued by Greenwood et al. (2015:334) that an organisation should not only get buy-in from the

top structures of an organisation to make certain changes, but should also ensure buy-in throughout the entire organisation. The principle of proper communication plays a vital role in the process and the planned changes should be communicated thoroughly on all levels. Simoes and Esposito (2014:325-326) state that communication is critical to ensure change readiness, manage uncertainty and to ensure commitment to the process. It is argued by the authors that communication and change are inextricably linked to each other. Communication between management and employees should happen on a continuous basis and should information be communicated in more than one form, to ensure that employees understand what it is about (Anderson & Anderson, 2010:50). It is also important that change managers should manage all available information and ensure that special care is taken when information is communicated to employees (Hayes, 2014:229).

McLagan (2002:46-52) states that when an organisation makes a decision to make certain changes, it should ensure that the change will add value and that the right process is matched to the nature of the change that is planned to take place. The type of change should be identified. The organisation should decide if it will be a transactional change, where only minor changes will be made. The alternative is that it can be a transitional change where the change is complex and more attention and time will be needed. The last option can be a transformational change where a redesign of everything in the organisation is expected. It is further necessary to not only transform the organisation, but to also transform the management component to ensure that the necessary support is provided on all levels and that the resources needed for change are provided. Management should ensure that all sections of the organisation are ready for change and that the systems and processes will allow change to be implemented. The author emphasises that the people element of the organisation should be aligned to the more technical elements of change and that employees should be an integral part of the process and should be equipped to be able to implement the planned change. Wilson (2014:40) is of the opinion that employees will be more likely to accept change when they believe that they will benefit from the suggested change and if they can find some similarities between their current situation and the changes that will be made. He further argues that employees will even support complex change if they understand the reasoning and if it is communicated and explained to them. Employees will also accept change more easily, if the effect of change is tested first and if they get the assurance

of the success and benefit of change from other individuals who have gone through similar change. According to Cook, Macaulay and Coldicott (2004:142-143) employees can influence other employees positively or negatively in the following forms: either as a change terrorist, a 'yes man' or a victim. An employee who has become a change terrorist has been in the organisation for a while and resents any change. "Yes man" individuals on the other hand makes promises which cannot always be fulfilled and can influence the process of change negatively. The last group has probably been victims of change failure in the past and it is important to change their mind-set to stop them from influencing other employees.

It is lastly very important that change, either in the form of new methods and principles, or in the form of new outcomes or performance improvements, must be sustainable. Hayes (2014:465-466) explains that change becomes sustainable when the new way of doing things becomes the norm and this way of thinking is supported by the employees. It is therefore clear that although there are a wide variety of principles applicable to change management, there are also well-tested ideas and rules that will most definitely ensure a successful change management process.

## **2.6 Change readiness**

The readiness of an organisation is a very important aspect that should be considered before any change process is started. The importance of readiness and the impact that it might have on the process of change will be explored in this section. It is important to focus on the internal environment of an organisation and establish the extent of the change. It is further important to establish how it will affect the employees, what the impact of the change will be and to determine the readiness of the organisation to change (Anderson & Anderson, 2010:48). Buono and Kerber (2010:4-6) adds that change readiness of an organisation should be established before change is implemented and that the success of implementation will be determined by the extent to which the beliefs and attitudes of an organisation are ready to accept and support the change. The authors indicate that the factors needed to enhance change readiness in an organisation include the assurance that the need for change should be clear; there should be overall support, and participation should be encouraged. They argue further that

change readiness should be determined on a continuous basis and should be managed and analysed throughout the entire process. The concept of organisational change capacity should also be taken into consideration when determining change readiness. The focus will be on organisational members, the structure and the culture of the organisations to determine capacity. It is argued that when considering which approach should be used to enhance the capacity of an organisation, the focus should be on the complexity and the number of components in which change will be implemented and also on the extent of information and decision that will have to be taken during the process (Buono & Kerber, 2010:8-9). Baker (2007:14) adds that an organisation will either have formal structures that will accept and support suggested change or have sub-systems that will not necessarily work together and might influence the readiness of an organisation to change. It is important to identify the type of scenario present in the organisation where change is planned.

Organisational readiness is described as the commitment and positive attitude of employees towards suggested change in an organisation. It is suggested that the complexity of change will indicate the level of support and commitment of employees (Arif, Zahid, Kashif & Sindhu, 2017:33). A further explanation of this concept is that it is a shared commitment of employees to implement change and that they should believe that change is necessary (Weiner, 2009:1). Bordia, Restubog, Jimmieson and Irmer (2011:192) add that the change history of an organisation has an impact on the readiness of an organisation to change. They further state that past events will influence the beliefs, attitudes and behaviour of employees. It is therefore important to realise that bad change experience can have a negative effect on future change processes. It is also important that the focus of the organisation should not only be on the new direction, but previous experience and challenges with regard to past change interventions should also be taken into consideration (Bordia et al., 2011:215).

Weiner (2009:2-3) suggests that the principles of Lewin's three-stage model can be applied to change readiness and that the unfreezing of the existing mind-sets are important and that a new mind-set should be created. Change readiness consists of two facets: commitment to change and change efficiency. The author however argues that this process has not been tested and that there is not much research available on how to change organisational readiness or which method will be most suitable. It is important

that specific circumstances should be created to ensure organisational readiness. Leadership will play an important role and communication will also add value to the change process. It is further important to take past experiences into consideration which could influence the mind-set of individuals. The author further argues that factors such as learning, innovation and flexible policies and processes support the readiness of the organisation (Weiner, 2009:3-4). It is therefore clear that change readiness is an important element that should be considered when looking at change in an organisation and should be incorporated in the planning process.

## **2.7 Culture change**

Culture in an organisation is an important aspect that is often overlooked when organisations start a change management process. The reality is that if the culture is not taken into consideration, it can have a negative impact on the success of the process. It is argued that traditional approaches are more appropriate when looking at the culture of an organisation, as a shared framework, for thinking about the change that is developed through these approaches (Buono & Kerber, 2010:11). It is argued by Arif et al. (2017:33-35) that the success of any change management process is not only dependant on resources and strategies, but that the culture of an organisation is also a main contributor to successful implementation. The authors describe organisational culture as follows: “Organizational culture is a set of traits and behaviours of internal stakeholders through which they can not only perceive and think about their internal environment but also cope with the externally interconnected issues”. They add that organisational culture plays a very important part as mediator between leadership and the performance of the organisation. Another definition of culture is provided by Rivera (1999:26) who defines culture as follows: “Culture is a pattern of beliefs, values and expectations shared by members of an organisation that powerfully shapes the behaviours of individual groups within the organisation”. Hughes (2010:179) adds that the sub-cultures of an organisation, including beliefs, values and assumptions should also be taken into consideration when considering the main culture of an organisation.

It is argued by Baker (2007:31-32) that the culture of an organisation should be taken into consideration when change is planned and that the suggested changes should be

introduced slowly while acknowledging the old way that things were done. He describes organisational change as a set of values that are widely accepted within the organisation. There are several types of cultures present in organisations that should be considered. One of these types of cultures is related to process and role, which is a bureaucratic type of change. The hierarchy with its leaders in the structure plays an important role to guide the process of change. Change within such a culture will be slow and difficult, especially if the suggested change is not supported. The second type of culture is related to power, where it can be described as a strong centrally-based culture. This type of culture can be more rapid, but is usually linked to a small group of people and can lose momentum if the entire organisation is not influenced to accept the change. The third type of culture is project- and goal-orientated and is focused to achieve the objectives or goals that were set. The last type of culture is related to reward and is linked to personal achievements and success, which goes hand-in-hand with reward for achievements (Baker, 2007:33-34).

It is argued by Baker (2007:37-40) that there are several challenges to changing the culture of an organisation successfully. He states that it is important that the culture of an organisation should not be only change for the sake of changing, but that the consequences should be considered. He states further that the social, strategic, people and political elements should be taken into consideration when change is suggested, because of the fact that all these elements are interrelated. It is suggested that it is critical to identify beforehand if the entire culture of the organisation should be changed or only parts of the culture. He argues that there is not a specific approach available to change the culture and it will be dependent on the focus and structure of each organisation`s culture. Culture change should be a continuous and steady process and should be managed properly. It is also important that the desired culture which is to be achieved- should be clear and specific and the reasons for the needed change should be understood by the members of the organisation. It is further argued that the element of people change is just as important, when considering cultural change. The ideas and behaviour of employees and management should be integrated and should fit into the suggested organisational culture (Baker, 2007:42). The statement is made that organisational culture can be changed by a change in leadership and that these elements are closely linked to each other and can influence each other throughout the process

(Mash, De Sa and Christodoulou, 2016:1184). It is therefore important to integrate the different elements related to change which might impact the process.

## 2.8 Role of leadership in change

It is argued by some authors that there is a direct relationship between leadership and organisational culture and that both can have a positive or negative impact on the change process. It has also been stated above that there is a relationship between leadership and organisational culture and organisational readiness. Belias and Koustelios (2014:456-457) state that strategic leadership must be transformational to ensure change. According to Ancona et al. (2015:227-228) the traditional form of bureaucratic organisational structures has changed to facilitate a better distribution of leadership within the organisation over the past few years. The authors argue that the change was affected due to four trends that were followed, namely:

- a decline in formal job descriptions;
- adopting a flatter structure;
- bigger teams and
- boundaries that have shifted within organisations.

Kotter (2001:85) states the following with regard to the importance of leadership in organisations: “They don’t make plans; they don’t solve problems; they don’t even organize people. What leaders really do is prepare organisations for change and help them cope as they struggle through it”. He identifies three important aspects and focus points that leaders should adhere to; namely, that they set direction in an organisation; that they align employees and they motivate people to make the necessary changes. Van der Voet (2014:375) states that leadership is one of the key drivers of change and is mainly focused on the motivational and influence aspect of the change process. He explains that the theory of transformational leadership is an important principle and that by providing support, accepting employees` goals and their vision, the values, beliefs and attitudes of employees can be changed through leadership.

The role of transformational leaders will normally start at the beginning of the process of change. It will be expected of them to create a vision for the organisation and by

providing guidance to employees to create and develop a new way of thinking. It is also emphasised that different leadership roles will be necessary to match different types of change to ensure success of the process. Van der Voet (2014:378) is of the opinion that the effectiveness of a planned change process is based on the leadership style. He argues that a higher degree of transformational leadership is necessary in a process where there is a small factor of planned change. He further argues that where there are many elements of planned change, a lower level of leadership is applicable. He adds that transformational leadership plays an important role in influencing the willingness of employees to change, specifically where emergent change is applicable (Van der Voet, 2014:378-379). Transformational leadership is further described by Levasseur (2004:147), who lists three functions of leaders:

- The first is to create a shared vision for the organisation;
- Secondly, to be able to share responsibility to fulfil the function and
- Lastly to develop the skills set in the organisation to perform.

This model is called the modern leadership model and is based on the elements of articulation, discussions, enhancement and a shared vision and goal. Kotter (2012:28-33) adds that 70 to 90 percent of success in implementing change comes about because of leaders and only 10 to 30 percent of success can be attributed to the role that management plays. He further argues that only leadership will be able to change the behaviour of people and ensure that change will form part of the culture of the organisation.

According to Cameron and Green (2012:166-168) the role that leaders play with regard to the four metaphors namely that an organisation is a machine, a political system, an organism and is seen as flux and transformation as discussed above, differs depending on the metaphor applicable. In the case of the machine metaphor a leader will be on top and will act as a driver of change. Looking at the political system metaphor the leader will be the leader of the political body and in the case of the organism metaphor the leader will play the role of a coach. However, in the instance of the flux and transformation metaphor, the leader will only play the role of a facilitator. O'Neill in Cameron and Green (2012:171-173) indicates that there are four important roles through which leadership can influence the change process, namely:

- sponsor;

- implementer;
- advocate and
- agent.

A sponsor has authority and is able to authorise the change as leader and will also be in charge of resources needed for the change process. The role that an implementer leader will have to play, will be that they will have specific responsibilities to make change happen and will be accountable to the sponsor. Another leadership role will be that of the change agent and will the important role be to act as a facilitator to ensure that the change processes are aligned. The last role identified by O'Neill is the role of an advocate, this individual has the idea of change and will need a sponsor as discussed above to actually be able to implement the change. Garber (2013:50) supports the stance that leadership roles are divided. He indicates that the different leadership roles that will be involved in the change process will be the initiators who are the decision makers on the necessity of change; the implementers who will be responsible to ensure that change is implemented and then the group that will be most subjected and affected by the planned change.

Baker (2007:104-108) states that the characteristics that should be present in leaders will differ and will depend on the organisation in which they function. He however argues that every leader must focus on the people aspect of change as a basis and should create an environment in which the organisation can change. It is important that a leader should be able to persuade other employees to follow. He/she will also be responsible to set the balance between a top-down and bottom-up approach of change management. Belias and Koustelios (2014:458) however argue that leaders should realise that they cannot change the behaviour of individuals by merely changing the culture of the organisation. Cameron and Green (2012:182-185) identify five important qualities that a leader should possess to make a positive impact on the change management process. The qualities that a leader should develop are the ability to create discomfort to persuade individuals to change, to communicate and get the buy-in from individuals; create a sense of purpose within the organisation, keep the focus on deadlines to achieve the planned results and to ensure that a sound basis is created for change. They argue that leadership is very important in the change process phase when the necessary change has been announced, but the changes are not yet in place. There is a lot of anxiety and

a lack of motivation in an organisation during this stage and leadership will play an important role to manage this stage to ensure that chaos is not created (Cameron & Green, 2012:191-192). Ancona et al. (2015:228) adds that a leader has the following important functions to fulfil; namely, relating, sense-making, visioning and inventing. It is further important to realise that Human Resource managers also have a role to play as leaders in an organisation and they should have the correct attitude and understand the context of change and develop a network and connection with fellow employees. These leaders should also have the necessary skills and experience and ensure that the change remains “on the radar” during the transition process. It is also important that these leaders have stable partnerships with management and can ensure that they transfer their expertise to fellow leaders in the organisation for them to become change agents. They also play an important role to measure progress during the process to be able to indicate when additional resources are necessary to support the change management process (Dunbar, 2012).

Baker (2007:108-109) emphasises that leadership should also be balanced with management; otherwise, it can cause the leadership role to work outside the organisation and unrealistic expectations can easily be created. Pryor et al. (2008:6) agree with this and states that management should initiate the correct behaviour to demonstrate what is expected from employees during the change process. Management should also clearly understand what the new culture that is introduced must look like, to support the cultural change that the organisational strategy will establish (Belias & Koustelios, 2014:460). It is therefore important that management also be an important element to be incorporated in the change management process together with other important elements.

## **2.9 Different change models**

According to Passenheim (2010:22) the most effective change management processes consist of three phases: preparing for change; managing change, and reinforcing change. This is a useful tool to ensure that all elements are covered, when considering the wide variety change models available in literature. Hayes (2014:142) adds that a good change management model should contain the following elements: relevance to

the change issues; assist to recognise relationships between elements and influence other elements. Raineri (2011:266-267) argues that change management models contain a variety of interventions and although most models have similarities, an organisation should carefully consider the characteristics of the organisation and the change management plan to choose the right model. The author is of the opinion that although many models have been explored, there are still significant gaps in the understanding of many of these models which might have an impact on the successful implementation of the model (Raineri, 2011:270). According to Du Toit (2010) the model that an organisation chooses will indicate much about the dynamics of that organisation. He further emphasises the importance of not muddling models together and to ensure that the chosen model fits the circumstances in the organisation. The author explains that models will fall in two categories. The first category will be top-down, the model will focus on structure and systems, be programmatic, have incentives and will be knowledge-driven. The second category will have a participative approach, the model will focus on the culture, be emergent, incentives will be absent and will the approach be process driven. Stewart and Kringas (2003:676) on the other hand divide the models into a rational group focusing on planning, solving problems and the execution thereof. The second group is sociological and is focused on the process of changing rather than change itself.

Slack and Hinings (1992:128-129) make an interesting statement that different models should be explored to find a combination which will construct a more complete picture. This will ensure that the needed change will be understood more effectively and the focus should therefore not only be on one specific theory. It is therefore necessary to look at a few well-known models and investigate the content and focus of these models. The focus will be on individual change models, organisational change models and a model used in the public service.

### **2.9.1 Individual and organisational change models**

It has become clear that the business world changed in such a way that it became necessary to relook and reconsider the content and guidance of traditional change management models when considering change in modern organisations (Horney, Eckenrod, McKinney & Prescott, 2014:41). Although models developed for individual

change can be applied to organisations, it is important to also look at models developed specifically for change in organisations.

### **2.9.1.1 Kotter`s eight-stage process**

One of the most popular change management models identified over time is Kotter`s eight-stage process (hereafter referred to as Kotter`s model). Lawler and Sillitoe (2010:46) explain that this model was developed from Senge`s systems learning concept, which mainly emphasised the fact that if something changes in one part of the organisation, it will influence the other parts of the organisation. The authors support Kotter`s model which is described as comprehensive and elaborate. According to Kotter (2012:22-25), the basis of a successful change management process is the realisation that there are several factors that can influence the end result. He argues that most change models oversimplify the process, which is problematic. He suggests a change process for successful change by employing eight steps, where each step is based on a fundamental error that is usually made in practice:

- The first four steps are focused on softening the current status and state of mind and include steps such as establishing a sense of urgency, creating a coalition and identifying the group that will take the lead and develop a vision and strategy. This is used to provide guidance on where they would like to go and then communicating the vision and the way forward.
- Steps five to seven suggest new practices to allow change to happen. It includes empowering broad-based action by changing problematic processes and overcoming obstacles. It further includes creating and identifying short-term wins and awarding it and consolidating wins. It also creates further change processes focusing on systems, policies, structures and developing the people to adapt to the change.
- The last step in the process is to anchor the approaches and culture that have been created and identifying the connection between the newly-adopted behaviour and the organisation`s success that will be achieved. This step also assists to develop leadership and to drive the needed change.

He emphasises that any change process should include all eight steps and that the suggested sequence should be used as far as possible, otherwise several problems can

arise during the process. The eight steps of this model will be discussed in detail in the next paragraph.

#### Step 1: Establishing a sense of urgency

Kotter (2012:37-38) explains that it is very important to create a sense of urgency to ensure that employees will cooperate in the change process. He suggests that it is necessary to remove any obstacles such as perceptions, fear of the unknown, poor communication and ineffective leadership that might have an influence on urgency and could create the impression that issues are under control and that everything is in order. It is therefore necessary that bold steps will have to be taken where leadership will be critical to achieve these goals. He suggests that visible crises are very helpful to ensure that employees realise the urgency to make necessary changes in the organisation; unfortunately it is not always possible to wait until these situations occur. The task to create a feeling of urgency is usually that of senior management, but leaders in lower levels of the organisation can also play an important part (Kotter, 2012:44-50).

#### Step 2: Creating the guiding coalition

In the process of creating a coalition to lead the change process, it is necessary to identify a strong force to drive the change which cannot be left to one individual (Kotter, 2012:54). He states that there are four important characteristics that such a group must have in order to play an effective guiding role. The characteristics include position power, expertise, credibility and leadership. He emphasises that the element of leadership is critical and that both management and leadership skills are necessary to be successful. He further emphasises that the element of trust must be present within the coalition, to ensure that there is teamwork to achieve the mutual goals and objectives (Kotter, 2012: 59-63).

#### Step 3: Developing a vision and strategy

It is very important to create a clear picture on the way ahead and what the end goal of the suggested change will be. According to Kotter (2012:71) the purpose of a clear vision is to clarify the direction of change, to motivate people to adopt the direction and change in line with it and to coordinate the actions of individuals to add value to the mutual goals and objectives of the organisation. He adds that the characteristics of a clear vision will mean that it will have to be imaginable, desirable, feasible, focused, flexible and communicable (Kotter, 2012:74).

#### Step 4: Communicating the change vision

It is critical that the chosen vision should be communicated as far as possible within the organisation to ensure that it is fully understood. It often happens that the message is either under-communicated, over-communicated or communicated inconsistently, which all can have a negative effect on creating a general understanding (Kotter, 2012:87). He adds that the communication should be as simple and clear as possible to make the necessary impact and to ensure that the message is understood. It is further suggested that the message should be communicated in as many as possible forums, and repeated often, to improve the probability of employees accepting and understanding the message. It is also important that the behaviour of the leadership should be in line with the vision that they communicate. It is also important that communication should be two-way so that the concerns and uncertainties can be addressed before-hand (Kotter, 2012:93-99).

#### Step 5: Empowering employees for broad-based action

It is critical that the organisational culture will change to ensure that the rest of the organisation will change. The main purpose of this step is to move any possible barriers from the environment and there are four common barriers that might hamper change. The first possible barrier is the organisational structure and it can result in a new vision that cannot be implemented if the structure does not fit into the new way of thinking. A second possible barrier is the available skills set in the organisation. It is important that the correct training should be provided at the correct time. A third possible barrier is the possibility that systems are not aligned with the proposed vision and it is therefore necessary that the way that things were done in the past should change to accommodate the new direction and vision. The last possible general barrier is supervisors. It often happens that there are one or two individuals in an organisation who absolutely resist any form of change and influence several other employees within the organisation. It is suggested that extra effort should be made to discuss the situation with the individual and if consensus cannot be reached, necessary processes will have to be followed to discipline the person (Kotter, 2012:105-118).

#### Step 6: Generating short-term wins

Kotter (2012:123-128) states that it is important to realise that the process of change takes time and it is therefore important that necessary attention should be focused on short-term wins. The results of short-term wins can also be used to give assurance that the organisation is going in the right direction and to reward individuals along the way.

It is argued that a good short-term win will have three characteristics; namely, that it is visible, unambiguous and related to the suggested change. It is argued that short-term wins have an important role to play and that it helps to show that there is progress and that the vision is appropriate and achievable. It also helps to retain the support from the different role-players throughout the process and also helps to keep momentum.

#### Step 7: Consolidating gains and producing more change

The reality is that resistance never completely disappears and it is therefore important to monitor the situation throughout the change process. It is very much possible that one incident of resistance can negatively influence progress on the road to change and it is therefore important to incorporate current change into the organisational culture as the process progresses (Kotter, 2012:138-140). Lawler and Sillitoe (2010:47) add that this step is especially important, because of the fact that this model recognises that there are not a specific break in organisational change to allow for the refreezing step where a new culture will be formed used by the Lewin model.

#### Step 8: Anchoring new approaches in the culture

Kotter (2012:156-158) states that culture in an organisation is of great importance and that it refers to behaviour and shared values within an organisation. It is critical that any new approaches adopted should be in line with the culture in the organisation. There are two general scenarios possible when considering the important role that culture plays in an organisation. The first scenario is where the basis of the culture stays the same and only certain elements are changed. It is then important to ensure that those changed elements are incorporated with the old culture that will still exist. The other scenario is where new practices will replace the current culture in the organisation and this will only happen at the end of the process, after new experiences and beliefs have been developed. Although attitude and behaviour can change throughout the process, it will only become part of the culture in the end (Kotter, 2012:160-165).



**Figure 3:** Kotter's eight-stage process (Source: Kotter's 8 step change model: Implementing change powerfully and successfully, 2018)

Pryor et al. (2008:10) state that this model is very relevant to strategic change and will assist with changing its vision and ultimately transforming the organisation. There is however also criticism on the Kotter model and it is argued that there is not sufficient evidence available to back the basis of this model. It is further argued that there is also not enough evidence available in practice where the model brought success in the change management environment and that the model is mostly based on academic perspectives (Hughes, 2010:143-144). Although it has been argued that the first few stages of this model are very effective to enhance change under employees, this model can very quickly alienate employees if extra effort is not made to listen to their ideas.

### 2.9.1.2 Kübler-Ross Model

The change model introduced by Elizabeth Kübler-Ross was originally based on death and dying experiences and has been used over many years in the environment of change management and is still just as relevant today. The change model consists of five stages; namely, denial and isolation, anger, bargaining, depression and acceptance.

#### Stage 1: Denial and isolation

The first stage of this change process is denial. It is stated that denial is used as a buffer to give the individual the opportunity to sit back and try to collect himself/herself, and then to move forward in the process. It is further stated that denial is only a temporary defence and that it will eventually be replaced by another stage. The need to be isolated,

is usually part of the denial stage and it is an individual's way to go through the denial stage. It is argued that denial is an important stage that many individuals have to go through to stay focused on the changes that are planned for (Kübler-Ross, 1969:35-40).

#### Stage 2: Anger

After the stage of denial has come to an end, it is replaced by a feeling of anger and resentment. Kübler-Ross (1969:44-48) states that the second stage is a very difficult stage, especially for other people because of the fact that the anger is often projected in several different directions. She argues that it is important to try and understand where the anger of an individual is coming from. It is important to understand that it is often not personal where the anger is projected at certain individuals and we should listen to their concerns. It is argued that the reason for the anger is often based on other deeper issues that emerge, because of the unplanned change that is expected (Kübler-Ross, 1969:70).

#### Stage 3: Bargaining

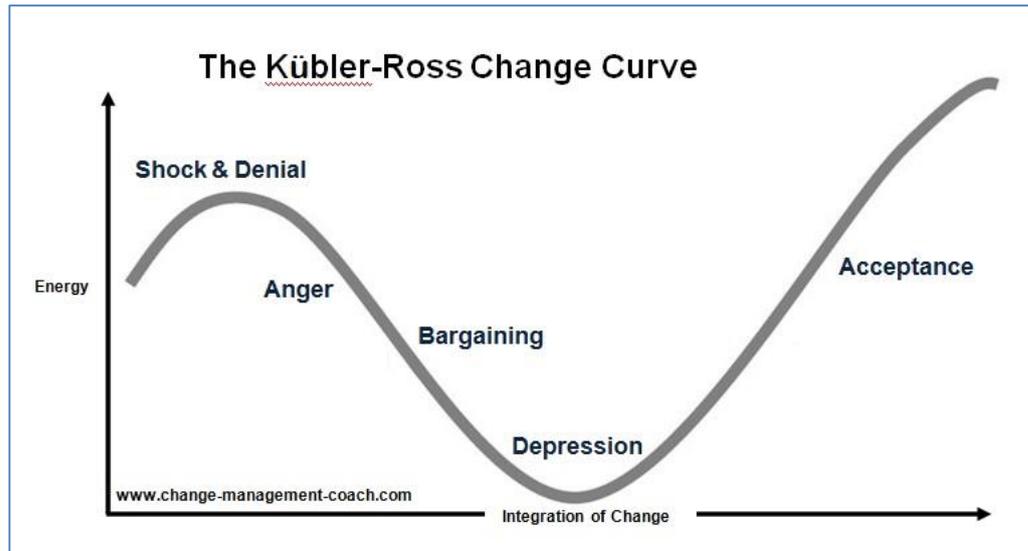
Kübler-Ross (1969: 72-73) suggests that this is a very helpful stage, but usually of a shorter duration and one that the individual goes through and is used to try to postpone the inevitable. In the stage of bargaining, the individual usually makes his/her own deadlines and indicates that if one last wish will be granted he/she will abide to the change thereafter.

#### Stage 4: Depression

After some time has passed and the individual has realised that the change that has crossed their path is going to happen, the feeling of anger is replaced by a sense of loss. There are different phases of depression that can occur and will differ from the one situation to the other. It is stated that the stage of depression is necessary and beneficial if the end result is acceptance and it is an important environment for an individual to work through their anxieties (Kübler-Ross, 1969:75-78).

#### Stage 5: Acceptance

The last stage of the change process is acceptance. According to Kübler-Ross (1969:99-100) the stage of acceptance will occur if the individual was allowed enough time to work through the different stages and was given some guidance and understanding of his/her situation. She further states that that this is not a stage of happiness; it should rather be seen as a stage of rest before the journey of change is started.

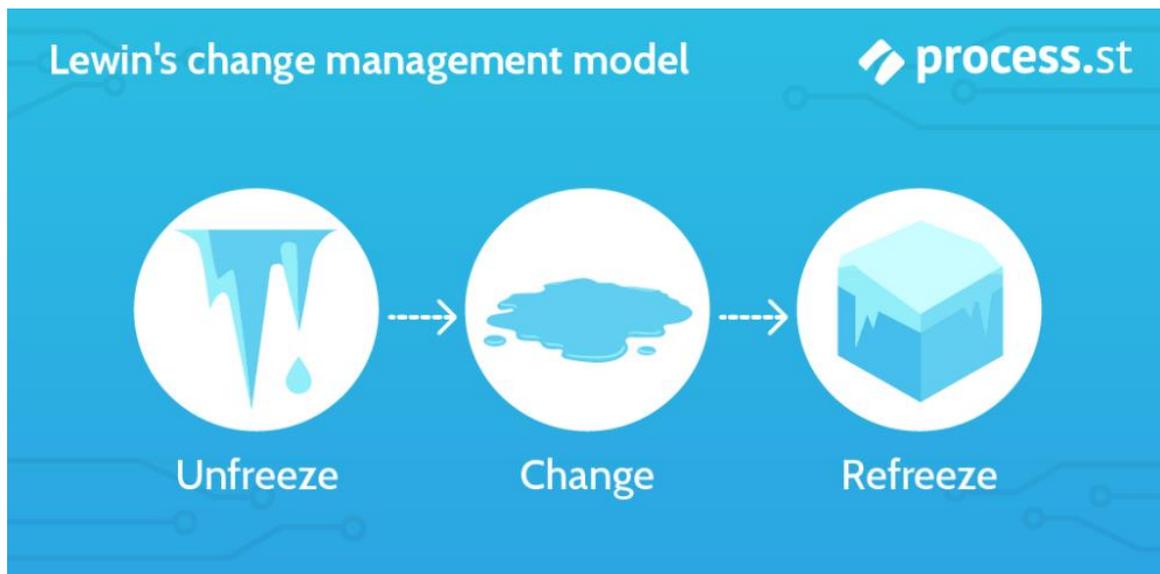


**Figure 4:** The Kübler-Ross model (Source: Kübler-Ross, 1969)

Hughes (2010:120) states that the Kübler-Ross model is very useful for individual change in a change management process. Connor (1998:viii) based his model on the Kübler-Ross model and identified eight phases that people go through as part of the change process, including stability, immobilisation, denial, anger, bargaining, depression, testing and in the end acceptance. The author also adds five positive phases to the model, including optimism, informed pessimism, realism, optimism and in the end completion. Boerner (2008:37) adds that this model can assist greatly to understand the changing culture of an organisation and can provide hope in a change management process. Mulholland (2017) adds that this model is a very good choice to manage the emotional reaction of the employees to suggested change and can influence their productivity. This model will also indicate where the most resistance will be and whether this can be managed during the change process. The author however also states that this model will not be appropriate for all individuals because of the fact that different emotions are part of the process. It may also happen that the stages will be done in a different order depending on each individual and can this make the process hard to manage. This model also does not provide information on how employees should be guided and assisted through each stage of the process and is it possible that the change agent might use their own knowledge and experience. This flaw can bring new challenges to the change agent and can be seen as a subjective process.

### 2.9.1.3 Lewin`s three-stage model

Hayes (2014:22-24) explains that Lewin`s three-stage model (hereafter referred to as Lewin`s model) was developed in 1951, which is based on a balance between driving forces and restraining forces. The author describes the model as a ‘stable quasi-stationary equilibrium’ and is the condition in an organisation that can be compared to the flow of a river. He explains that any form of behaviour in an organisation is driven by a balance of forces pushing for change on the one hand and resisting change on the other hand. Change in the organisation will occur when the organisation either adds to forces pushing for change or the forces resisting change and the equilibrium will stabilise again. The model has three stages which include unfreezing, moving and refreezing. The first stage is unfreezing the current situation and achieving balance in the organisation. It is important to ensure that employees realise that it is necessary for change and that they understand the suggested change and feel the need for urgency. Calder (2013:6-7) adds that there are specific tactics available to ensure that this step will be successful; for example, communication, training, involvement of employees, stress management, negotiation and coercion. The second stage is where the balance between restraining and driving forces is changed and the equilibrium is transformed. At this stage the behaviours and attitudes are changed and the systems, structures and processes of the organisation are reviewed. The last stage is the refreezing stage during which the new behaviour and change will be incorporated and adopted in the organisation. Schein (1992:121) adds that this stage is twofold and that a refreezing process should happen for the individual for himself, but also in relation to fellow employees. Cork (2005:40) adds that the Lewin Model suggests that it is easier to manage resisting forces, than to generate driving forces. The reason for this statement is that resisting forces will get stronger to resist the change and will it be better to rather focus on managing the resistance than to add new driving forces.



**Figure 5:** Lewin's three-stage model (Source: Mulholland, 2017)

There has however been some criticism of this model. Todnem (2005:374) explains that this model is very broad and that several authors have developed and refined this model to focus on the change management issues and to make it more practical. One of the challenges of this model is that it focuses on small-scale change and that it is not ideal for rapid change. This model is further based on the assumption that organisations will change in an orderly manner, which is often not the case. It is also stated that change should not be a top-down approach, but should rather move upwards from the workforce. It is lastly argued that this model is vague and lacks detail when looking at major change processes and does not take external factors into consideration (Mathews, 2009:8). Ford and Greer (2006:425-428) state that according to Lewin, the old ways of doing things should be discarded during the change phase. The next step will be to replace it with new behaviours complementing the direction of change to ensure successful change. Only then can the phase of refreeze begin. They however argue that if the sequence of the steps is correct, factors linked to the different phases should also change in the implementation of the change. They argue further that during implementation, higher levels of movement and unfreezing will be visible and the degree of implementation success will influence the level of unfreezing, movement and refreezing. They developed further factors that can be linked to Lewin's model to make it more appropriate. The first important factor is goal-setting, which is relevant to the phase of unfreezing and is used to challenge the current way of thinking and assist to analyse what should change in an organisation. The second factor is skills-

development, which assist in the movement phase to change behaviour and to help develop a new skills-set. Another factor that was identified is feedback and control, which form part of the refreezing phase and which is used to give feedback and reward to adopt the new behaviours and to monitor the implementation of change (Ford and Greer, 2006:442-443).

Three further models which elaborate on Lewin's model are identified by Hayes (2014:25-26). In the first instance, the model was expanded by Lippitt in 1958 and it divided the moving phase into three sub-stages. The alternative stages include identifying the problem, searching for alternatives and the transformation of intentions into planned change actions. Two further stages were identified, which include the establishment and the termination of a relationship throughout the process. According to Hayes (2014:26), Egan developed another addition to Lewin's model in 1996 which focuses mainly on the unfreezing and movement stages. This model is divided into the following elements: assessment of the current situation, identification of the preferred scenario and planning on how the changes will be implemented. The third model was developed by Beckhard and Harris in 1987 (Hayes, 2014:26) and focuses on considering the present circumstances and needed change for the future, managing the movement and maintaining the change in the organisation. Important elements of this model are the development of relationships, considering where the organisation is now and where they want to go; developing strategies and plans to make the change; translating ideas into actions and maintaining the change. Hughes (2010:120) states that the three-stage model of Lewin is one of the most followed models and often has the effect that things will get worse before they get better. Pryor et al. (2008:9) confirms this statement and argues that although Lewin's model is a good basis for planned change, it is not as appropriate for unplanned change.

Levasseur (2010:162) describes this model as the most simple and elegant model which addresses the three most important phases of change. The author states that this combination of phases will ensure successful change in an organisation. Al-Khoury (2010:118-119) agrees with this and explains that this model is very practical as it is easily understood, sets milestones, states clearly where in the process the organisation finds itself and allows for discussion. Mulholland (2017) states that this model is very

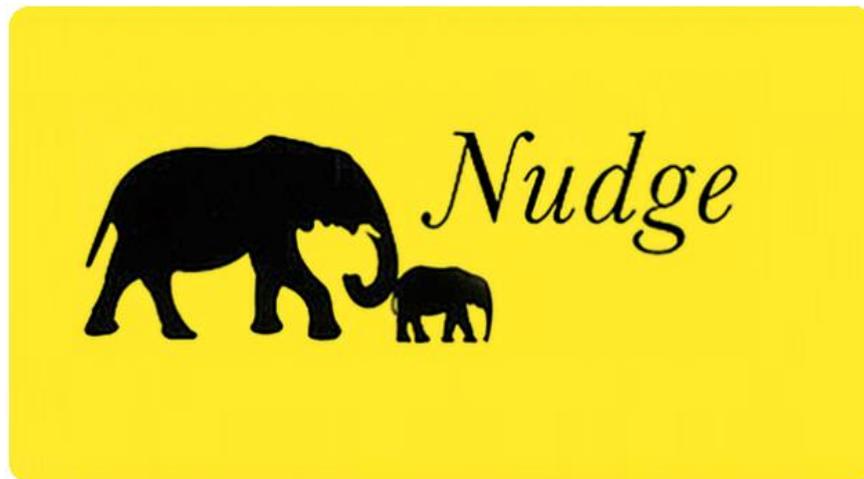
good when drastic change is necessary in an organisation. He therefore suggests that the unfreezing stage takes time and should only be used for in-depth change.

#### **2.9.1.4 The Nudge theory**

The Nudge theory is based on behaviour specifically used in the fields of science, economics and political theories. According to Thaler & Sunstein (2009:8-10) the definition of nudge is as follows: "... a nudge is any factor that significantly alters the behaviour of humans, even though it would be ignored by Econs. Econs respond primarily to incentives. Humans respond to incentives too, but are also influenced by nudges". The word Econs is an abbreviation of the word economy and is used in the context to illustrate how the human aspect of change is influenced versus the impact of change on the economy. The authors state that the power of inertia should not be underestimated, especially where humans are part of the equation. They argue that an organisation should set a default option to influence policy outcomes. This is one way of using the Nudge theory, which still allows individuals the freedom to make their own choices. It however often happens that certain organisational choices have to be made and choices of individuals will be influenced in some way or another by using the Nudge theory. It is argued that individuals will often need a nudge in cases where change or the decision to change is difficult, unclear or sometimes where individuals do not understand the aspects of change (Thaler and Sunstein, 2009:74). Mulholland (2017) states that specific aspects are important when using the Nudge theory. He explains that the necessary change should be clearly defined and that it should be considered what should change from an employee perspective. He further explains that the proposed option should be evidence based; employees must have a choice; employees should have a chance to provide feedback and short-term gains are important. He emphasises that this theory can assist to motivate people and will focus directly on change on the part of the employees, instead of only focusing on the organisation.

It is however important to also consider possible objections to this theory. Thaler & Sunstein (2009:242-246) state that the change agent, because of his/her agenda, can sometimes nudge individuals into a specific direction. They argue that although nudges are usually unavoidable, it is important to allow individuals to choose between options

where possible. Mulholland (2017) criticises the theory by stating that the model cannot be used on its own, because of the fact that it does not consist of a fixed structure to guide change. He argues that the theory is rather based on a mind-set and tactic. He argues that the model does not assist to analyse, manage or maintain change, but can be used best as a supplement to another model. Another problem is that there can be a lot of uncertainty because of the fact that the choice still lies with the employee.



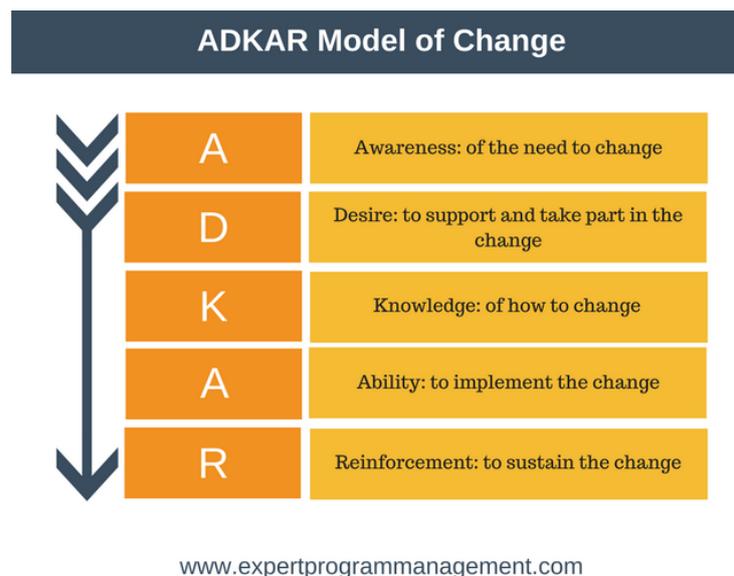
**Figure 6:** The Nudge theory (Source: Lumio, 2018)

#### **2.9.1.5 ADKAR model**

Lock (2017) states that the ADKAR model represents the five milestones that must be achieved, before a change process will be successful. The milestones are awareness, desire, knowledge, ability and reinforcement. This model is focused on individual change and provides structure to ensure successful change. It is explained that the model is goal-orientated and guides the individual in the goals that he/she should achieve to ensure successful change. The model focuses on ensuring change in each individual based on the five milestones to ensure organisational change as a result. It is important that an individual should achieve all the milestones in the prescribed sequence. It is argued that the model can be used as an effective tool to assist the change agent to plan change activities and to support the employees in the change process. This model was originally developed by the founder of Prosci Jeff Hyatt. The model is focused on the individual to assist him/her to move through the stages of changes to enable the organisation to change. Prosci is a well-known company that was founded in 1994 and specialises in change management, focusing on ensuring success in the

change management environment (The Prosci ADKAR Model, 2018). It is therefore important for each employee to understand what must be changed and to have the desire to change. The employees should further be enabled to know how to change and possess the necessary skills. It is also critical that the processes and systems should support the change and should it be adjusted where necessary to fit the direction of the organisation (Lock, 2017). Calder (2013:2) adds that this model mainly focuses on people and how to change them. Mulholland (2017) explains further that this model focuses on individual goal reaching to ensure change in the end.

Lawler and Sillitoe (2010:47) argue that this model is more suitable for managing a specific project. They further state that, because of the specific focus on project details; it will not be suitable for change in an entire organisation. It is however argued that this model can be beneficial to an organisation to identify gaps in the change process and can the specific obstacle in the process be addressed (The Prosci ADKAR Model, 2018). Mulholland (2017) argues that this model is a good bottom-up approach and can speed up the change process. The fact that this model is flexible, makes it applicable to most change management processes. The author however adds that this model is not appropriate for large-scale changes in an organisation and should it be clear what an organisation would like to change.



**Figure 7:** ADKAR model (Source: EPM, 2018)

## 2.9.2 Public sector specific change models

There is extensive research available on change management in the private sector, but questions have recently been raised by researchers on the applicability of these models and techniques in the public sector. Stewart and Kringas (2003:675) confirm this statement and add that researchers in the public environment have focused more on specific kinds of change. Researchers argue that the difference between the two sectors can have an impact on the effectiveness of the models and techniques (Van der Voet, 2014:373). According to Kuipers, Higgs, Kickert, Tummers, Grandia and Van der Voet (2014:30) most studies focus on the context and content of change and not on the implementation of the process. They argue that there is little evidence available on how change should be managed in the public sector. Baker (2007:165) adds that certain tools and techniques are more effective in the public sector, but emphasises that there is no single tool available in practice. He argues that the use of a proper tool in the public sector will lead to better quality of decision-making and that obstacles could be managed effectively. He further argues that the broader scope of possible issues can be considered and the performance indicators will be relevant. This will lead to the possibility of better comparison of change elements and evaluation will be more effective.

According to Fernandez and Rainey (2006:169) there are eight factors that should be taken into consideration to ensure successful change in the public sector. These factors include ensuring that there is a need for change and that there is a plan to guide the change. Others factors include the importance of managing resistance, that management must support the change and that there must be support from stakeholders outside the organisation. It is also important that sufficient resources be available and the question must lastly be asked whether the change should be institutionalised and pursued. The authors explain that each factor influence the other to ensure change in the organisation (Fernandez & Rainey, 2006:170-172). Fattore, Iacovone and Steccolini (2018:600) confirm that these factors are very relevant and are still applicable to modern change management in the public sector. The authors add that a rational, top-down approach is crucial in this environment to ensure successful change.

### 2.9.2.1 McKinsey 7S model

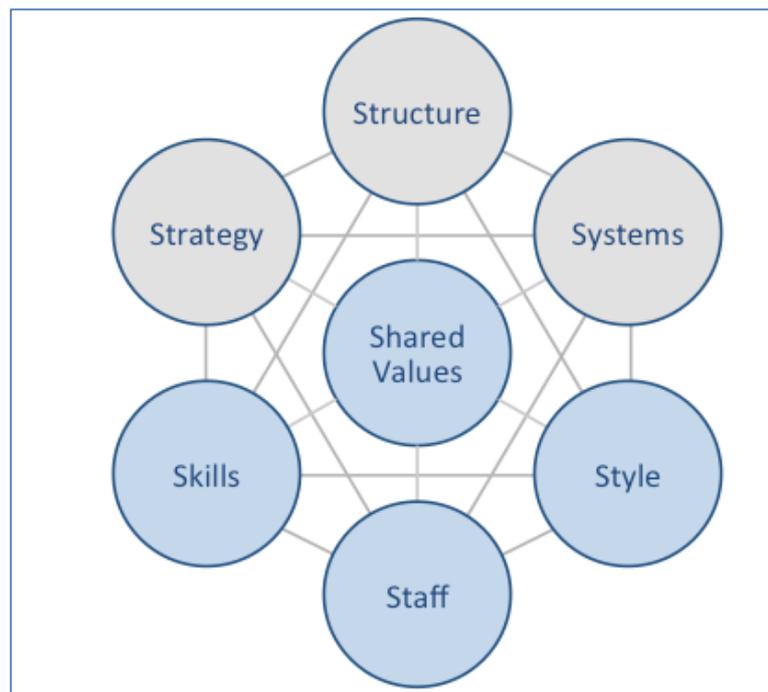
The McKinsey 7S model is a good example of a change management process in the public sector. The McKinsey 7S model was developed in 1980 and consist of seven elements of the organisation which should be integrated and related to each other. The seven elements include the following:

- structure
- systems
- style
- staff
- skills
- strategy
- shared value

This model can be used to indicate weak and strong points within the organisation, indicating which elements do not support each other sufficiently. The model is used to indicate the impact that one element will have on other elements and if change will occur in that element of the organisation (Baker, 2007:184-185). Mulholland (2017) explains that this model is specifically of great use when you know that change must happen, but you are not sure what should be done to affect change. Dudoyskiy (2017) explains that these seven elements can be aligned to increase the effectiveness of the planned change. The elements can be grouped into hard and soft elements and structure, strategy and systems are part of the hard elements. The soft elements on the other hand are shared values, skills, style and staff. The shared value element is placed in the centre of the model which will guide and influence the behaviour of employees. Hayes (2014:137) adds that the change manager can use the seven elements to gather information on how well they align and can then decide which models will be best to manage the problem areas.

As in the case of all models, there are benefits and disadvantages. Some of the benefits are that employees are able to understand the way that the organisation functions. Another important benefit is also that all elements are seen as important and both practical and emotional elements are taken into consideration. One of the disadvantages is however, that if one of the elements is unsuccessful it will mean that the entire change

process will fail. It is also stated that the success rate for organisations that made use of this model was very low (Major approaches & models of change management, 2015). Mulholland (2017) adds further advantages such as the fact that the model indicates the weaknesses in the organisation and focuses on the areas that need change and looks at every aspect of the organisation as a whole. On the other hand this model cannot be applied in the short term and expert resources will have to be invested to look at every aspect of the organisation. Juneja (2008) argues that this model ignores external factors that might influence the change process as it is seen as a more static model.



**Figure 8:** The McKinsey 7S model (Source: Dudoykiy, 2017)

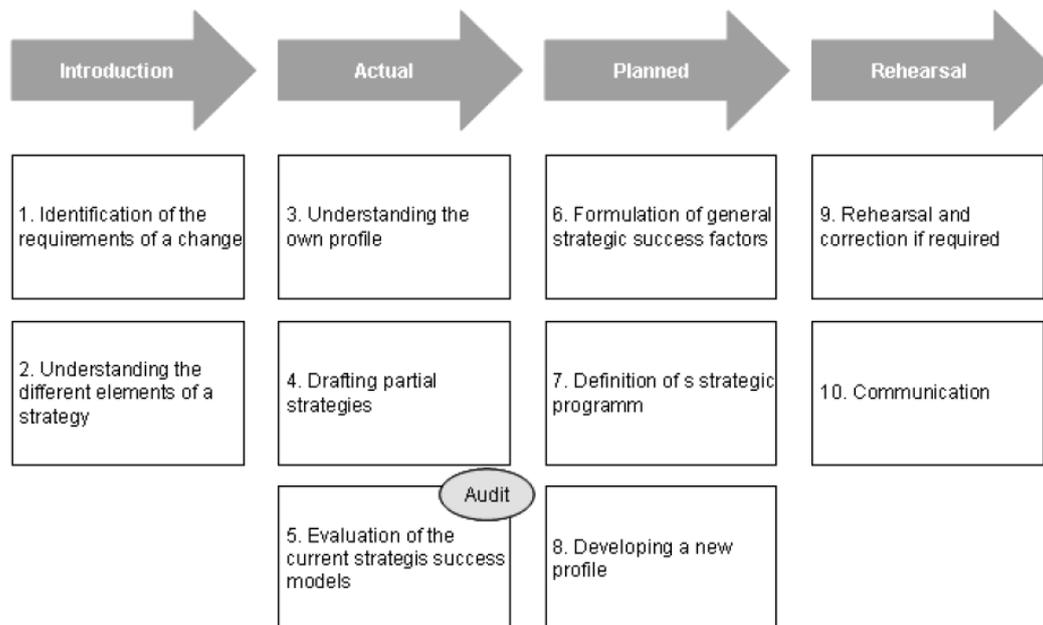
## 2.10 Change requirements for change strategy

It is important to keep all the theories and principles and lessons learned by the different change models in mind when considering the requirements of a change management strategy. Marshall (1999:13) states that if employees are aligned by a change strategy which gives strategic direction and if they trust each other, it will have a positive impact on the speed of the change process. According to Baker (2007:17-18) a change strategy is critical for change to be implemented successfully and to ensure that it will have a long-term advantage. He argues that a proper strategy will include a systematic, well-

planned 'route map' that will indicate the planned changes, how the change should be implemented, the key focus areas and the possible obstacles that could cause failure of the process. A strategy is described as the outcome of planning that was done to implement change in an organisation and is used to implement the changes in future. He emphasises that it is critical that the strategy should be in line with the day-to-day operations of the change process to ensure that the two elements of the process are aligned. It is important that a strategy should be flexible to be able to adjust to unforeseen circumstances during the change process. The contents of a strategy will include the following: vision, mission, aims, objectives, how to achieve the objectives and documents relevant to the organisation that sets guidelines for the process (Baker, 2007:150-152). Hughes (2010:98) adds that a change strategy needs to be credible, consistent and legitimate to be successful in order to change. He argues that the strategy is not about change, but is rather focused on continuity to achieve a specific purpose. Crawford (1991:17) states that there are four reasons why a strategy should be adopted to ensure successful change in an organisation. It includes the following:

- a strategy provides a mutual focus for all role-players,
- it ensures integration,
- it provides a framework in which the organisation has to operate
- it enables the leadership in an organisation to make proactive decisions.

Passenheim (2010:19) indicates that a change management strategy should be drafted and finalised at the start of a change management process and that specific steps should be followed to identify the correct strategy. He argues that in the first instance the requirements of change should be established and that the elements of the strategy should be understood. The organisation should also focus on the profile of the organisation and consider successful models. The next step will be that a strategy audit should be done and general success factors should be identified. A new profile should be developed; thereafter, possible corrections should be done and then it can be communicated.



**Figure 9:** Steps to finding the right strategy (Source: Passenheim, 2010:18)

Passenheim (2010:34-36) identified five strategies that an organisations should consider adopting when starting a change process. The strategies are as follows:

- The first strategy is a directive strategy and is the use of authority as the basis of this strategy and is there usually little involvement by employees. The advantage of this type of strategy is that change can happen quickly. The disadvantage on the other hand is that the views and feelings of employees are not considered and can cause resentment to the suggested change.
- The second strategy is called an expert strategy and sees change as a problem solving process which needs to be managed by an expert of change. The advantage of this strategy is that change can happen quickly because of the involvement of an expert. The disadvantages are that there is little involvement from stakeholders and there is a possibility that the outcomes of the process will not be accepted.
- The third strategy is a negotiating strategy and involves the willingness of management to negotiate and bargain to ensure that change will happen and this is the basis of this strategy. The advantage is that the employees who are affected by the planned change have an opportunity to give their inputs and put forward their ideas. The disadvantage is that the change process can take longer than expected and that the outcomes and changes might not be in line with the expectations of management regarding what the change should include.

- The fourth strategy is the educative strategy and is based on changing the employee`s values and beliefs to convince them to support the suggested changes and a new set of organisational values. The advantage of this strategy is that employees will have a positive feeling about the process and will support the change. The disadvantage will be that change will take longer.
- The last strategy is a participative strategy which requires the full involvement of all stakeholders possibly affected by the suggested change. The advantages of this strategy are that changes will probably be supported; that employees will take ownership and will they obtain skills and knowledge in the process. The disadvantages of this strategy are the time that the change process will take and the fact that it can be costly.

According to Anderson and Anderson (2010:1-5), change strategies usually have three focus areas, namely content, people and process. The people component of the strategy specifically focuses on the elements of change such as mind-set, behaviour and the culture of the organisation and how these elements should be managed throughout the process. The content component comprises the focus of the change and the end goal that should be achieved. The process component of the strategy is the part of the strategy that involves planning, design and implementation. There are ten core elements that are contained in a good change strategy. These elements include the following:

- guiding principles and values that set the basis for the change;
- how the planned change will be governed;
- change initiatives that provide guidance on the planned changes;
- priority of effort with regard to change versus other changes;
- integration between initiatives;
- identification of bold actions necessary;
- engagement with stakeholders and communications;
- need to accelerate change process;
- resources that are required and a roadmap with identified milestones
- the phases of the change process.

Hayes (2014:286) states that traditional strategies, such as economic and organisational design strategies will be a good basis to guide the development of a strategy for an

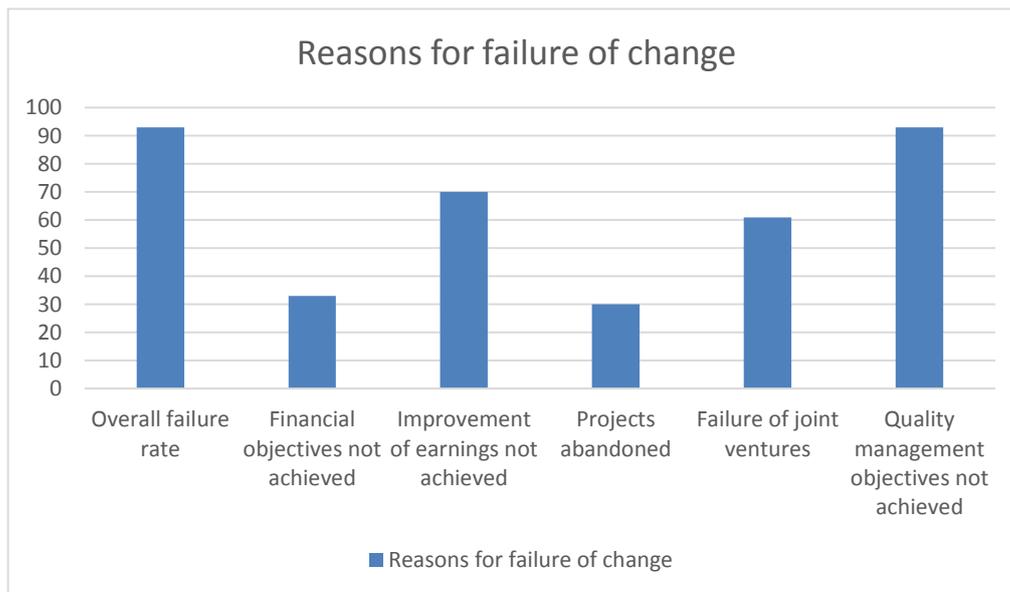
organisation. He argues that a successful strategy should contain the following elements: focusing on a business and organisation direction; proper management of stakeholders and the development of managers lower in the reporting line to assist with the change process. Nickols (2016:13-14) argues that the following factors should be taken into consideration, when a strategy is selected:

- The scope and the scale of the planned change will influence the choice of strategy and will include a combination of strategies that are applicable if the scope of change is large.
- The degree of resistance by employees will influence the type of strategy that will work best to ensure change.
- The number of different stakeholders will influence the choice of the most appropriate strategy and might include a combination of strategies if deemed necessary to cater for all stakeholders.
- If the stakes are high in a change process, all the elements of change should be managed and the strategy should make provision for this, therefore.
- The allowable timeframe that the organisation needs to change, will guide the content of the strategy.
- The availability of expertise will provide guidance if a more complex combination of strategies should be required or a less complex strategy.
- The dependency of the organisation on its employees will guide which strategy will be most appropriate. If the organisation is very dependent on the people element, there will be less provision in the strategy for specific demands from management. If the employees however are more dependent on the organisation the strategy can allow for less resistance.

## **2.11 Challenges to change and why change fails**

The other side of the coin is just as important and it is necessary to explore research done by several authors on why change fails and the reason for a poor success rate in change management. The findings of these authors will be discussed in this section. Although implementation of successful change rates vary from study to study, Decker, Durand, Mayfield, McCormack, Skinner and Perdue (2012:39-40) state that failure rates for successful change can be as high as 93% in organisations. Further statistics

show that about 30% of projects are abandoned; 33% fail because financial objectives are not achieved; 61% of joint ventures fail; 55% to 70% fail because of improvement earnings objectives not achieved; and 41% to 93% of projects fail due to quality management objectives not achieved. They state that there are different inconsistent reasons identified by different authors why change fails and that no clear model exists on how change can be avoided.



**Figure 10:** Reasons for failure of change (Skinner & Perdue, 2012:40)

According to Passenheim (2010:37) approximately 60 to 80 % of change management processes fail. He states that the main reasons for a low success rate are factors such as strategic and operative challenges and obstacles that are not properly analysed. He states that further factors are a lack of communication, insufficient problem awareness, poor management of stakeholders and the organisation taking on too much at a time. Incorrect models and methods used, poor control and bad attitudes of management also add to a low success rate. Green (2016:41-43) states that a combination of challenges related to the institution, ideas and personal interest of employees are often the reason why change management efforts fail. He argues that many obstacles often lie in the organisation itself and it is not always the resistance by individuals that impact change, but aspects like management systems and corporate culture that are the biggest threats. A further challenge is related to ideas of employees and the need to keep things as they are. Employees will feel that as little as possible should change and might have a big

impact on the organisation's failure in such instances. Individuals often have certain perceptions and prejudice which are very hard to change. It will take special planning and focus to change these ideas incrementally. The last reason for failure is the fact that most employees have personal interests that are affected by proposed change and might cause resentment. This is especially true when money or the status of individuals are at stake and if they are in the minority and have a lot to lose they will try to block or at any rate resent the change. It is therefore important to take the above-mentioned factors into consideration when planning for change. Rivera (1999:26-29) adds that success in a change process will only be possible if sufficient money and effort are invested in the process and the process of change will fail if enough resources are not invested in the process. Change will fail if the management team is unwilling to change and the commitment is not sincere. It is critical that sufficient effort be put into the process. In addition change agents should be aware that change takes time; that it can be costly and that a lot of patience is needed.

According to Lock (2013) it is important to understand what can go wrong in a change management process and to manage these obstacles in advance before they impact negatively on the change process. He explains that the lack of clarity and vague information can create aversion due to ambiguity. This means that individuals would rather prefer that their circumstances stay the same, where the risks are known. They would resist circumstances where an unclear path lies ahead and employees will resist future change. It is therefore very important that managers ensure that all plans related to change are specific and concrete to ensure that the necessary changes will occur. It is also important to ensure that the plan for change in an organisation is broken down into smaller, digestible pieces to ensure that the suggested change is not over-whelming. It is the responsibility of management to identify clear solutions, boundaries, relationships and processes that will be necessary to ensure a successful change management process. He also indicates that management should look out for the fundamental attribution error, where the actions and behaviour of employees are interpreted wrongly and are often mistaken as resentment. The necessary support and understanding of employees should be developed. The next obstacle is the tendency for people to prefer circumstances that are familiar to them. It is therefore important that an environment should be created which will enable employees to explore the planned change and to become comfortable with what is expected of them. Cook et al. (2004:25)

add that further pitfalls can be factors such as a lack of planning; a lack of ongoing sponsorship from management, and unrealistic timescales. Another challenge mentioned by Lock (2013) is that people often respond better to informal leadership, and individuals should be identified to provide this guidance and act as change agents.

The important principle of communication is also identified as a challenge if it is not done properly. Communication is a key principle for successful change and as it should form part of the centre of the change management process. According to McKenna (2017:7-8) competence is also a challenge that can easily stand in the way of change. The reason for the existence of this challenge is the fact that employees might resist change because they are used to behaviour that was proven successful over a period of time and are now scared that they might lose the ability to do their job. He argues that the employer often makes the mistake of overwhelming employees with information and expect that they will accept the suggested organisational change within a short period of time. Govender, Moodley and Parumasur (2005:84) confirm the importance of communication and further state that poor communication can have a negative impact on the change process. It can cause results such as an unacceptable level of understanding of the reason for change and a misunderstanding of the effect that change will have on the organisation and employees. A lack of communication can also have the effect that change is seen as a threat and that it will have a negative impact on the individual. It can further have the effect that there is no correlation between communication, behaviour, knowledge and participation in the process. He also supports the view that the lack of leadership could result in the failure of the process of change. It is further argued that employers sometimes over-communicate information and that the right balance of communication must be found. McKenna (2017:9) states that the success rate will be higher if employees get the opportunity to support a process where they are able to give their input. It happens that employers make decisions and expect employees to buy in without providing them with the opportunity to give their input. It is also important to realise that any change process is a numbers game and that it is impossible to always get everyone on board and this should always be kept in mind. Juneja (2008) states that employees often resent the outcomes of change and not change itself and create the following incorrect assumptions: that the workload will be increased, that their job security is at stake, that the social networking between employees will be compromised; that there are not sufficient resources to affect change

and that the need for the suggested change is not that important. Al-Khouri (2010:111) adds that change often fails because of the fact that management tries to 'sell' change to employees to fast track the change process, instead of giving employees the opportunity to really understand the change that is expected.

Flower (1998:52-54) indicates that the 'McKinsey Change Centre' did a study in 1996 on why change management fails and identified thirteen common errors that organisations made. He indicates that every organisation should have a strategy to indicate what they want to change and where they want to go, without which a change strategy will fail. An organisation should ensure that the urgency of the change filters down to the lowest level of employees and stays urgent, otherwise people will not feel the need to change. It is critical to provide specific outcomes which are linked to the change efforts. He states that organisations should understand the difference between behaviour change and decision-driven change. If it is expected of employees to do things differently and to change the organisational culture, the necessary leadership skills should be applied and the resources should be provided to assist the employees in changing. The necessary skills, time, know-how and resources should be committed to support the change process and to make it successful and should the employees be given the opportunity to change from deep within. Organisations should not expect that the change of structures and systems will automatically change the employees. If the necessary support and guidance are not provided employees might get confused and change efforts will fail. Flower (1998:53) warns that organisations should not only have a linear approach and that they should be open-minded, otherwise the possibility exists that they will get stuck in their way of thinking and might limit the possibilities of change. Another error that organisations make is that some of the leaders` are unwilling to change the roles and certain aspects of the organisation which rubs off on the employees. This can cause that the necessary changes will not happen if the leaders do not believe that it is possible. It is also important that an organisation ensures that all partners and stakeholders understand the need for change in the organisation and support this change. Flower (1998:53) adds that the reality is that change is not a quick process and can take at least three to five years to be successful. One of the biggest errors organisations make is that managers lose interest and focus on the change process. It is important that each process should have a definite start and an end so as to ensure that the change process is structured. He emphasises, as previous authors

have, the importance of communication. He further argues that people need more than communication and opportunities should be provided for them to engage in constructive dialogue on the process of change.

Lawler and Sillitoe (2010:44) identify organisational silence as a further reason for failure. Organisational silence is created when employees feel that their input and opinions do not matter and feel that they do not have control over their work circumstances. This also happens when their beliefs differ from the newly-created beliefs that form part of the change process. According to Levasseur (2010:159-160) almost two thirds of projects fail and explains that 35 % of failed projects are because of technical factors and 65 % of failed projects are because of people issues. He emphasises that change leaders should address these elements of project failure and use change management principles to overcome it from an early stage. Ten factors that contribute to unsuccessful change are identified. It includes the following factors:

- lack of support,
- failure to get user commitment,
- poor guidance by leaders,
- lack of control of change,
- stakeholders are not involved,
- poor management of expectations,
- weak commitment from the rest of the team,
- poor stakeholder communication and participation,
- conflict between user departments.

The possible solutions for the above-mentioned challenges are twofold. Firstly, it is critical that management understands the principles and models of change management and which challenges can be expected and can cause project failure. Secondly, it is important that management develops soft skills and simple approaches that they can apply to facilitate the change process. He adds that principles such as understanding that implementation should start from the outset; the importance of two-way communication and the need to involve people in the process who are affected by change. These factors, can be used to minimise the percentage of failure (Levasseur, 2010:161-162).

Decker et al. (2012:40-44) are of the opinion that the reason for the persistence of failure is that there is currently no model on how to avoid failure available for organisations. The authors state that there are six research and operational perspectives that can be used to predict failure and success in a change management process. The principles are as follows:

- The principle of decision analysis is recommended in decision making and this principle will ensure that a systematic, quantitative and interactive approach will be employed when important decisions related to the change process are to be made.
- They also recommend that a risk analysis of possible factors that may cause failure should be done before any process is commenced with, to ensure that all risks are mitigated where necessary.
- The authors state that there are several different opinions available on the impact of organisational culture on change management and how it is linked to a successful or failed process. Organisational culture should therefore be considered as argued in a previous section.
- A further argument of the authors is that organisational alignment is an important aspect that should be taken into consideration. This means that an organisation should ensure that the relationship between internal processes and systems are aligned with the opportunities and possibilities created within the organisation.
- It is also confirmed as in the previous section that the readiness of an organisation and its employees to change is a critical principle that should be kept in mind and managers should ensure that individuals are psychologically and behaviourally prepared to make the expected changes.
- The last principle is the use of change management initiatives and where, how and when it should be used in the change process. It is argued that the ability of leaders to timely target change management in the implementation process will increase the likelihood of success.

Todnem (2005:370) states that the poor success rate of a change management programme can be due to the fact that there is not an appropriate framework available to truly guide organisations in a change management process. He argues that the change

management models currently available contradict each other, while some of the models and theories are very complex and confusing. Heckmann, Steger and Dowling (2016:777-778) confirm this conclusion and state that most of the old approaches suggest that change is based on equilibrium assumptions. The authors explain that an organisation will exist in an equilibrium before change will occur. They further argue that organisational change should be clear cut and organisational change does not often succeed in organisations.

When taking the above arguments, factors and principles into consideration, it is clear that sufficient planning, evaluation and communication of all elements of the process should be done by an organisation before undertaking any change process. Possible risks and challenges should be identified beforehand to ensure that the organisation does not become part of the high statistics of project failure. Rivera (1999:29) summarises the importance of making sure that change is the right decision when the time is right, as follows: “Initiating change merely because it seemed like a good idea at the time is foolish, especially if your only goal is to ‘reengineer’ something, rather than making a difference in how you do business. If you are not serious about change, don’t do anything. Save your money, your breath and your employees’ time. They may not thank you for it, but they will respect your honesty”.

This chapter dealt with the meaning of a developmental culture in local government and the meaning of change management. Several change management approaches and principles were considered as well. Different change management models were also considered, focusing on individual, organisational and public sector change models. Possible requirements and principles related to a change management strategy were also considered and what the available strategies are that can be used. Chapter 3 will focus on the policy and regulative framework applicable to developmental local government and change management where applicable.

## **CHAPTER 3:**

### **Policy and Regulative framework**

#### **3.1 Introduction**

The previous chapter focused on unpacking and explaining the concepts of developmental local government and change management. The chapter also focused on approaches and principles applicable to change management. The chapter further looked at the relationship between change management and important elements such as change readiness, organisational culture and leadership. The chapter also focused on important requirements for a change management strategy and reasons that should be considered which might cause unsuccessful change. This chapter will focus on the legislative framework that guides the main concepts that form part of this research project. It is always important to consider relevant legislation, frameworks and documents, which will be relevant when analysing a concept. The focus will mainly be on legislation and documents applicable to local government and guiding the concepts of developmental local government and change management.

It is important that any recommendations, principles and processes should be in line with the legislative framework applicable. It is also useful to look at relevant legislation to better understand the concepts. The focus will be mainly on the Constitution of the Republic of South Africa, Local Government: Municipal Systems Act, 2000, Local Government: Municipal Financial Management Act, 2003 and the White Paper on Local Government, 1998. In the case of the concept of change management the focus will mainly be on available strategies and documents focusing on transformation of government.

## **3.2 Developmental Local Government Regulative Framework**

### **3.2.1 History of developmental local government**

The apartheid era had a negative influence on the development of areas in South Africa. The Group Areas Act, 1966 (Republic of South Africa, 1966) regulated that black people were not allowed to live in certain designated areas and was the main purpose in lowering the financial burden on white municipalities. Koma (2012:105) explains that the effect was that municipalities did not have to take the responsibility for basic service delivery to these groups at that stage and a viable revenue base was ensured. Committees were established to advise the municipalities while administration boards were established to manage townships. The Black Local Authorities replaced the community committees, but were not supported by the communities. Over the past 60 years more black people moved to the towns in search of work opportunities and many black people flocked to the urban areas. This movement put severe pressure on municipalities for the delivery of basic services (Koma, 2012:105-106). The younger generation was raised in urban areas and resented the effects of apartheid on their lifestyles and demanded their inclusion in the political system. It was argued that a strong local government would support the principle of democracy and it was therefore critical for municipalities to become more developmental. It became the responsibility of municipalities to manage urbanisation and to ensure the establishment of sustainable planning which placed even more pressure on already struggling municipalities. Government was moving in the direction to include black people in the economy, but there were still attempts to restrict black people by not allowing them to live in certain areas. These actions however did not stop black people from moving to the urban areas and the municipalities responsible for them had to provide basic services (Koma, 2012:106-107). Binza (2005:77) adds that the attempts by government to limit access to services for black people were met by increasing protests against the inequality created by government. Reddy (2016:3) explains further that the protest actions were used to express dissatisfaction and to form social structures to fight inequality.

Koma (2012: 108) states that local government in general fell into a crisis mode, unable to fulfil the responsibility placed on the sphere. This was one of the forces that led to the national reform process which started in 1990. The Local Government Transitions

Act, 1993 (Republic of South Africa, 1993) was passed and focused on providing a framework to change the local government environment, the focus of which was on non-racial local government. The Act made provision for the period until the first democratic election, the interim phase from the election to the implementation of the first Constitution and the last phase after the adoption of the Constitution of the Republic of South Africa. The Constitution, 1996 provided the basis for a strong local government, with different spheres with different functions (Koma, 2012:108). Sithole and Mathonsi (2015:13) explain that the first local government elections were held in 1995/1996 when integrated municipalities were established. The authors further explain that these municipalities were however not fully democratic at that stage. Madumo (2015:155) adds that the adoption of the Constitution, 1996 contributed to the attempt to correct the impact that Apartheid had on human settlements and municipalities in South Africa. He explains that the focus of municipalities started to move to a more people-orientated one and municipalities were structured in such a way that they would be more accountable and democratic. The concept of developmental local government was implemented on 5 December 2000, when municipalities were incorporated and elected in the new system of local government. The Local Government: Municipal Structures Act, 1998 (Republic of South Africa, 1998) made provision for the establishment of metropolitan municipalities in urban areas. The act made further provision for district and local municipalities in more rural areas. The Local Government: Municipal Demarcation Act, 1998 (Republic of South Africa, 1998) was adopted which allowed for the demarcation of municipal boundaries. The Local Government: Municipal Systems Act, 2000 (Republic of South Africa, 2000) was adopted and followed the concept of developmental local government as defined in the act, as advocated by the White Paper on Local Government, 1998. The new era of wall-to-wall municipalities had the responsibility to deliver the vision of developmental local government in terms of the Constitution, 1996 (De Visser, 2009:10).

### **3.2.2 The Constitution, 1996**

It is always a good starting point to look at the supreme law of South Africa when researching a topic. Sections 40 and 41 of the Constitution, 1996 state the importance of intergovernmental relations. It also states that the different spheres of government must work together in co-operation to achieve mutual goals, which include

development and the provisions of services to the community. Chapter 7 of the Constitution, 1996 is specifically relevant to local government. This chapter focuses on the status, objectives, developmental duties, powers and functions, internal procedures and other matters related to municipalities. The chapter further focuses on the establishment, composition, election, term and membership of municipal councils. In terms of section 152 of the Constitution, 1996, one of the main objectives of a municipality is to promote economic development in its area. Section 153 states that it is a duty of the municipality to budget, plan and manage the administration, to ensure that basic services are delivered to the community and that social and economic development occurs in the area. It is another important aspect that municipalities should participate in developmental programmes rolled out by provincial and national government.

### **3.2.3 The White Paper on Local Government, 1998**

The White Paper on Local Government, 1998 (Republic of South Africa, 1998) (hereafter referred to as the White Paper on Local Government) lays an important path for developmental local government. Section B of the document specifically focuses on the characteristics of developmental local government. It further recommends tools and techniques for municipalities to become more developmental and to achieve the objectives in terms of the Constitution, 1996. Section 1 of the document refers to characteristics of developmental local government. The concept is defined as follows “...local government committed to working with citizens and groups within the community to find sustainable ways to meet their social, economic and material needs and improve the quality of their lives”. It is important that developmental local government should focus on enhancing the lives of the community and this should be the basis of the concept. There are four important characteristics identified in the White Paper on Local Government, which are important and interrelated to the concept:

- The first characteristic is that social development and the growth of the economy should be maximised as far as possible. It is important that municipalities should work with businesses to develop the economy and to create as many jobs as possible for the community, but more importantly to create an environment for a sustainable economy. Municipalities also play an

important role with regard to social development to empower and uplift the community.

- The second characteristic is integration and co-ordination. The different role players responsible for development must work together and collaborate to ensure that the mutual goals are achieved. Municipalities should provide the necessary guidance to ensure a developmental local government. The Integrated development Plan (IDP) of a municipality is crucial to provide guidance to become more developmental.
- The third characteristic is democratising development. It is important that municipalities should promote democracy on all levels. Councillors play an important role to ensure that the community is involved and participate in the development of municipal programmes. Public participation processes and ward committees play an important part in hearing the voices of the community.
- The last characteristic is leading and learning. The environment is quickly changing and it has become necessary for government departments to think differently to become more sustainable, save the environment and to ensure a better life for their communities. Leadership plays a critical role and can add to development and change in the municipality. Municipalities will have to do proper planning to ensure sufficient resources are available and to develop policies and strategies that will ensure developmental local government (Theewaterskloof Municipality, 2017a).

The White Paper on Local Government further sets out ways to indicate if a municipality is developmentally-focused and describes the outcomes that developmental local government will be able to achieve. Section 2 of the document states that there exists four outcomes of developmental local government. It is explained that the provision of services and infrastructure is an indication if a municipality is developmental or not. Another important element is the environment where the community lives should be spatially integrated. The integration of communities is important to ensure economic development in a community when looking at the provision of services and enhancing social development. It is lastly confirmed that local economic development is critical to ensure a developmental municipality in which a safe and attractive environment is created. The document states in section 1.4 that a

municipality will have to think differently to become more developmental. There are several useful tools that a municipality can use, listed in section 3 of the White Paper on Local Government. Tools such as the Integrated Development Plan (IDP); performance management; and working together with all stakeholders are mentioned. The IDP plays an important role to assist municipalities to identify future needs and plans and to coordinate development in the area. It is important that a vision be created and that all stakeholders will take hands to ensure development in the municipal area. There are a couple of instruments that can be used to achieve developmental planning, such as a strategy, clear objectives, action plans, institutional plans and financial plans. Performance management is an important tool to help the municipality to ensure that the goals and visions that were identified will be achieved; that plans are implemented and that there are sufficient resources available to ensure development. Another important tool is collaboration and coordination among stakeholders and is explained in section 3.3 of the White Paper on Local Government. It is therefore important that there should be an appropriate platform where citizens, community and organisations can be consulted and involved. Public participation can be enhanced through ward committees, public meetings, forums and IDP and Budget processes. The document states further that integrated development planning is also a critical tool to ensure a developmental local government and its principles, established in terms of legislation, should be used to enhance development.

De Visser (2009:15) states that the transformation in local government can be described as fundamental. He explains that the legislative framework for developmental local government has ensured that there is a rational system available for municipalities to assist them in the process. He further explains that the relevant legislation is based on modern public management principles and that this contributes to the success of transformation. He argues that principles such as strategic planning, performance management and sound financial principles all contribute to the success. The author however also argues that challenges such as capacity and a lack of communication between the community and municipality hamper the delivery of services. He states that the search for achieving the right balance in becoming developmental has only begun (De Visser, 2009:24). Sithole and Mathonsi (2015:6) argue that although more than twenty years have passed since democracy has started are there still several challenges that government will have to overcome. The authors further argue that

although service delivery has improved in general there are still inequalities when considering the economy and the high rate of unemployment. Madumo (2015:162-163) agrees that there has been a lot of progress in the transformation of local government and that municipalities are moving closer to achieving the developmental goals that were set. He however emphasises that although there has been improvement in the quality of life of communities, there are still several challenges for municipalities to overcome. He further explains that although most municipalities are committed to become more developmentally-focused it will take time to overcome the imbalances that were caused over a very long period of time. He states that the biggest challenges that will have to be overcome will be unemployment, poverty and inequality.

### **3.2.4 The Local Government: Municipal Systems Act, 2000**

The Local Government: Municipal Systems Act, Act 32 of 2000 (Republic of South Africa, 2000) (hereafter referred to as the Systems Act, 2000) is one of the most important pieces of legislation regulating the administrative component of municipalities. Section 4(2)(g) states the following: “The council of a municipality, within the municipality’s financial and administrative capacity and having regard to practical considerations, has the duty to promote and undertake development in the municipality”. Municipalities are further guided with regard to their strategic planning function by section 23. This section states that a municipality’s planning must be developmental-orientated to enable the municipality to fulfil its duties in terms of the Constitution, 1996. Section 24 further states that the planning of a municipality must be aligned and in co-operation with plans and strategies of other government bodies. The IDP of a municipality is very important to ensure that development will be realised within a municipality. Section 25 of the Systems Act, 2000 (Republic of South Africa, 2000) states that an IDP should be adopted and this strategic plan should take all plans and proposal into account to ensure development. This strategic plan will also include the municipality’s development priorities, strategies and objectives, which will guide development in the area. It is stated in section 35 of the Act that the IDP is the principal strategic document, which guides planning, management and development in a municipality. Section 51 deals with how the administration of the municipality should be managed and that it should be structured in such a way that the objectives and duties in terms of the Constitution, 1996 can be achieved, including being developmental.

### 3.2.5 National Development Plan, 2011

The National Development Plan, 2011 (National Planning Commission, Department: The Presidency, 2011:1) was developed to ensure that all spheres of government will work in collaboration to eliminate poverty and inequality by 2030. The objective of this plan is to unite all South Africans to grow an inclusive economy and to work together to fix complex problems. Some of the problems facing the citizens of South Africa include poverty, unemployment and the inequality of education. The result of these major problems is that the nation is still divided in many ways. The plan is therefore focused to enhance the development of all the people in South Africa to ensure that they will be able to live in dignity and that inequality will be something of the past. The plan emphasises the importance of working together as communities to build a better economy. Chapter 13 of the National Development Plan, 2011 (National Planning Commission, Department: The Presidency, 2011:408-409) focuses specifically on creating a capable and developmental state, which includes municipalities. It is stated that social and economic development will not be possible if the state is not developmental and able to support development by infrastructure and structures to ensure transformation. It is important that the government's effectiveness should be enhanced and that the government should be able to create and implement policy and be developmental to overcome obstacles and to enable the spheres of government to achieve its objectives. It is emphasised that a government with sufficient capacity will be able to drive the development of the country. This will ensure social and economic development in the communities and will ensure transformation. The document identifies eight focus areas to ensure a developmental government. The first area is to ensure political and administrative stability and secondly to encourage professionals to work for government. It is thirdly necessary to develop necessary skills in government. The fourth area is to ensure accountability and oversight, especially with regard to service delivery. A further area is to improve interdepartmental coordination. The sixth and seventh areas are to ensure coordination within government, improve intergovernmental relations and to improve local government. It is lastly important that state-owned enterprises should be developed (National Planning Commission, Department: The Presidency, 2011:410).

### **3.2.6 Other legislation**

There are several other pieces of legislation that promote development, specifically in local government. The Development Facilitation Act, 1995 (Republic of South Africa, 1995) was promulgated to change some of the old apartheid planning legislation and was development principles established in chapter 2 of this Act. An important act that was recently promulgated, is the Spatial Planning and Land Use Management Act (SPLUMA), Act 16 of 2013 (Republic of South Africa, 2013). This act focuses on spatial planning in a municipal area to enhance development and ensure a better environment for the community. Although this act does not necessarily directly speak to developmental local government, it states the principles of spatial planning and should be integrated in such a way that it will enhance local economic development in an area. Section 3 states the objectives of this act and emphasise that one of the objectives is to provide for development principles and standards that must be adhered to. It is also stated that this Act will enhance intergovernmental relations and co-operation between the different spheres of government. The Labour Relations Act, Act 66 of 1995 (Republic of South Africa, 1995) states in the preamble that the purpose of the act is to give effect to fair labour relations and to promote and facilitate collective bargaining in the workplace. The act further makes provision for procedures for the resolution of disputes in the workplace. Section 1 states further that economic development must be enhanced to ensure social justice and to ensure that all employees are treated equal. The provision of this act is therefore important as it applies to municipal employees as well.

## **3.3 Change Management Regulatory Framework**

### **3.3.1 Introduction**

The concept of change management is guided by several models and approaches. Chapter 10 of the Constitution, 1996 focuses on the public administration of the different spheres of government. It is stated in section 195 that public administration should be governed by the democratic values and principles stipulated in the Constitution, 1996. Although the concept is used to implement and guide objectives in

terms of the Constitution, 1996 and other legislation, there is not specific legislation regulating the concept of change management. It is however important to decide which change model or combination of models should be used. The elements of the specific model guide the process. There are also specific principles that should be considered; for example, the influence of leadership, organisational culture, change readiness which might influence the success of the change process. This section will focus on using the concept of change management to implement and achieve the objective of developmental local government and transformation in the public sector.

### **3.3.2. The White Paper on Transformation of the Public Service, 1995**

The document was compiled to create a framework to introduce policies and legislation, which will assist to transform the public service administration. The White Paper states the following with regard to change and transformation of government: “In forging ahead with the process of reconciliation, reconstruction and development, the South African Public Service will have a major role to play as the executive arm of government. To fulfil this role effectively, the public service will need to be transformed into a coherent, representative, competent and democratic instrument for implementing government policies and meeting the needs of all South Africans” (Republic of South Africa, 1995). It is therefore necessary that the administration of the public sector will have to undergo change to be able to enhance development in the three spheres of government. The scope of this document is explained in section 1.4 and it is stated that the White Paper covers the national and provincial departments which is regulated by the Public Services Act. The scope however also includes local government and parastatals although not regulated by the same legislation.

Part of the new vision for government is to be more developmental and to reduce poverty and it is necessary to transform the public service. The White Paper states that there are several change management models and principles available but that the transformation process should be done according to the Strategic Change Management Approach. This approach focuses on the establishment of leadership, the building of internal processes and the incorporation of other stakeholders in the government process. It is however recognised that other change management models might bring different approaches and principles that can be applied to the different spheres of

government (Republic of South Africa, 1995). Sokhela (2014:101) explains that the document focuses in the long term on transformation, but that the short term focus is to transform the administration in Government. He emphasises that change will be the basis of the transformation that is driven by this document.

### **3.3.3 Local Government Strategic Agenda, 2007**

The Local Government Strategic Agenda, 2007 (LGSA) was implemented in 2007, which was a result of collaboration between national departments, provincial departments and a number of individual municipalities moving towards transformation of local government. The main objective of the document was to provide support to municipalities to improve governance, performance and accountability. The focus was also to improve intergovernmental relationships between the different spheres of government and to strengthen policies within municipalities. The initiative had a positive impact in enhancing the transformation of local government. In 2009 the Local Government Turnaround Strategy was implemented. The strategy was based on the fact that most municipalities struggled with service delivery backlogs, lack of resources, political instability and increasing protests. The main objective of this strategy was to restore the confidence in local government (Ovens and associates, 2015:104-105).

### **3.3.4 Change Management Strategy Framework, 2013**

The Change Management Strategy Framework, 2013 (Department of Public Service and Administration, 2013) developed by the Department of Public Service and Administration was compiled after an analysis done by the National Planning Commission. The Commission made the following finding as stated in the Diagnostic Overview report, 2011 (National Planning Commission, Department: The Presidency, 2011:5): “Significant progress has been made since 1994, notably through the introduction of a democratic system, constitutional and legal provisions that promise people equal rights and provide protection against discrimination, and extended access to basic services. Yet the process of transformation is far from complete. In some areas, constitutional and legal provisions have not been fully implemented; in others, there has been a lack of sustained process forward”.

The Change Management Strategy Framework, 2013 (Department of Public Service and Administration, 2013) (hereafter referred to as the Change Management Strategy Framework, 2013) focuses on the change process that South Africa will have to go through which be critical to build a stable and developmental country to ensure transformation. The purpose of the strategy is to provide a shared and consistent approach on how change should be implemented and managed in the different spheres of government. The document was further compiled to create a best practice and to enable management to manage change in the public sector. The main focus is on transformation in general and is described as several fundamental changes over time to achieve long term goals and objectives of government. The goal is therefore to bring transitional change and change the current status of government. To achieve this objective it will be necessary for all government departments to work in collaboration and to ensure that good governmental relations are maintained. The reality is that change management in the public sector is challenging in order to achieve a well-structured and consistent approach which can be used to manage change as part of the bigger picture. The change management process will have to be followed to ensure that the objectives of government will be achieved through ensuring change at the management level of the public service in all spheres. The strategy will be an important guide to bring about change in the transformation process of the administration of the public service. Further documents will prove to be important, for example the White Paper on Transforming Public Service Delivery, 1997 “also known as the Batho Pele White Paper” (Republic of South Africa, 1997) (Department of Public Service and Administration, 2013:4-7).

The strategy states that a department or municipality should draft a change management plan and this plan should be included in the strategic plan of the organisation or department. The Department of Public Service and Administration will facilitate the implementation of the strategy and will establish specific principles in the process. Firstly, it is important that the responsibility and accountability should lie with the leadership component of an organisation and it should stay their responsibility throughout the process. It is secondly important that the nature of the change be established to ensure that suggested interventions are in line with the proposed changes and incorporated into the change plan. It is lastly important that the Change Management Strategy Framework, 2013 should be used to guide the process and to

ensure consistency in all government departments and organisations. The strategy can be used for several aspects of change and includes the following: leadership, organisational architecture, resource deployment, human capital, policy regulation, provision of services and shifting of functions (Department of Public Service and Administration, 2013:8-11).

It is important that the current direction and culture of the organisation should be established and that it should be measured against the objectives that the organisation would like to achieve. It is then important to identify which aspects of the organisation should be changed so as to ensure that the planned change and objectives will be achieved. The strategy identifies five dimensions which should be included in a change management plan to ensure successful change:

- The first dimension is to envision change and to ensure that the change drivers and the nature of change are identified. It is further important that a clear direction should be established and that it be communicated and should be established as a matter of urgency.
- The second dimension is stakeholder management. It is stated that the correct climate should be created to include stakeholders in the change management process. It is further important that the relevant stakeholders be identified and their perceptions about the suggested change be tested and managed.
- The third dimension is to identify the capacity for change. It is important to assess the capacity of the organisation and to identify and develop champions and change agents within the organisation to assist with the change process. The fourth dimension is to develop and implement a change management plan which should include deliverables, timelines, risks, actions and other traditional elements.
- The last dimension is sustaining the change. It is important that skills be transferred. The process should be monitored and the actions should be strategically reviewed and managed (Department of Public Service and Administration, 2013:13-16).

It is suggested that because many years have passed since the changes in public service were initiated, there are several change agents in practice who will be able to use the

framework. These change agents have gained experience in change management and they will be able to provide guidance in the four phases identified in the document. The first phase is the ready phase and it is important that all stakeholders understand the reason for change; what should be changed and how it will be done. It is also critical that structures, systems and processes should be in place which will support the needed change. The second phase is the willing phase where the change is supported and are the employees inspired to make the necessary changes and work together in collaboration. The third phase is the able phase and should an enabling environment be created and should employees and management be provided with the necessary skills and competence to manage change. The last phase is the sustain phase and is the impact on the organisation in line with the effectiveness of change. It is important that the organisational culture be changed and sustained. The document emphasises that the change readiness index will indicate in which phase the organisation is currently and will the change agent guide the process further (Department of Public Service and Administration, 2013:18-20). Sokhela (2014:103-104) explains that there have been several plans and initiatives which attempt to guide change in the public sector over the last couple of years. He however emphasises that these plans and initiatives should comply with the Change Management Strategy Framework, 2013 to ensure that instability in policies and structures are not created. He further advises that the Change Management Strategy Framework, 2013 should be used to develop a change management plan in an organisation to ensure consistency in change management approaches in the public sector.

It is also important to explore the progress of the fundamental need of change in local government from an outside perspective. According to the document drafted on behalf of SALGA by Ovens and Associates, (2015:14) the transformation of local government was a long and challenging process. The authors state that although there have been several challenges when looking back at the past few years there has also been success in the transformation of local government. De Visser (2009:23-24) agrees that municipalities did makes progress in the transformation to achieve the objectives of developmental local government. Van der Waldt (2007:246-248) states that the current transformation in local government is in line with global trends and that it is focused on community-focused service delivery. He further states that local government is slowly moving in the direction of becoming more innovative to be able to deliver the

basic services. The author explains that initiatives for service delivery such as public private partnerships, outsourcing and privatisation are examples of innovative service delivery. He urges that project management be used in local government to ensure the successful implementation of alternatives. Subban and Wissink (2015:52) add that although there have been signs of progress in the transformation of local government, the backlogs in service delivery in many municipalities have become a big concern and obstacle in becoming developmental. The authors further argue that the stability of communities is still a major concern and will be critical in the transformation process.

This chapter focused on the legislation and documents guiding the legislative framework of the main concepts of developmental local government and change management in this context. The legislation defining the objective of developmental local government was discussed, as well as the general principles of change management as stipulated in the strategy used for transformation of the public services and the transformation into a developmental focused government. The next chapter will focus on the case study of Theewaterskloof Municipality and why change is necessary to transform the current culture into a more developmentally-focused culture.

## **CHAPTER 4:**

### **Case study: Theewaterskloof Municipality**

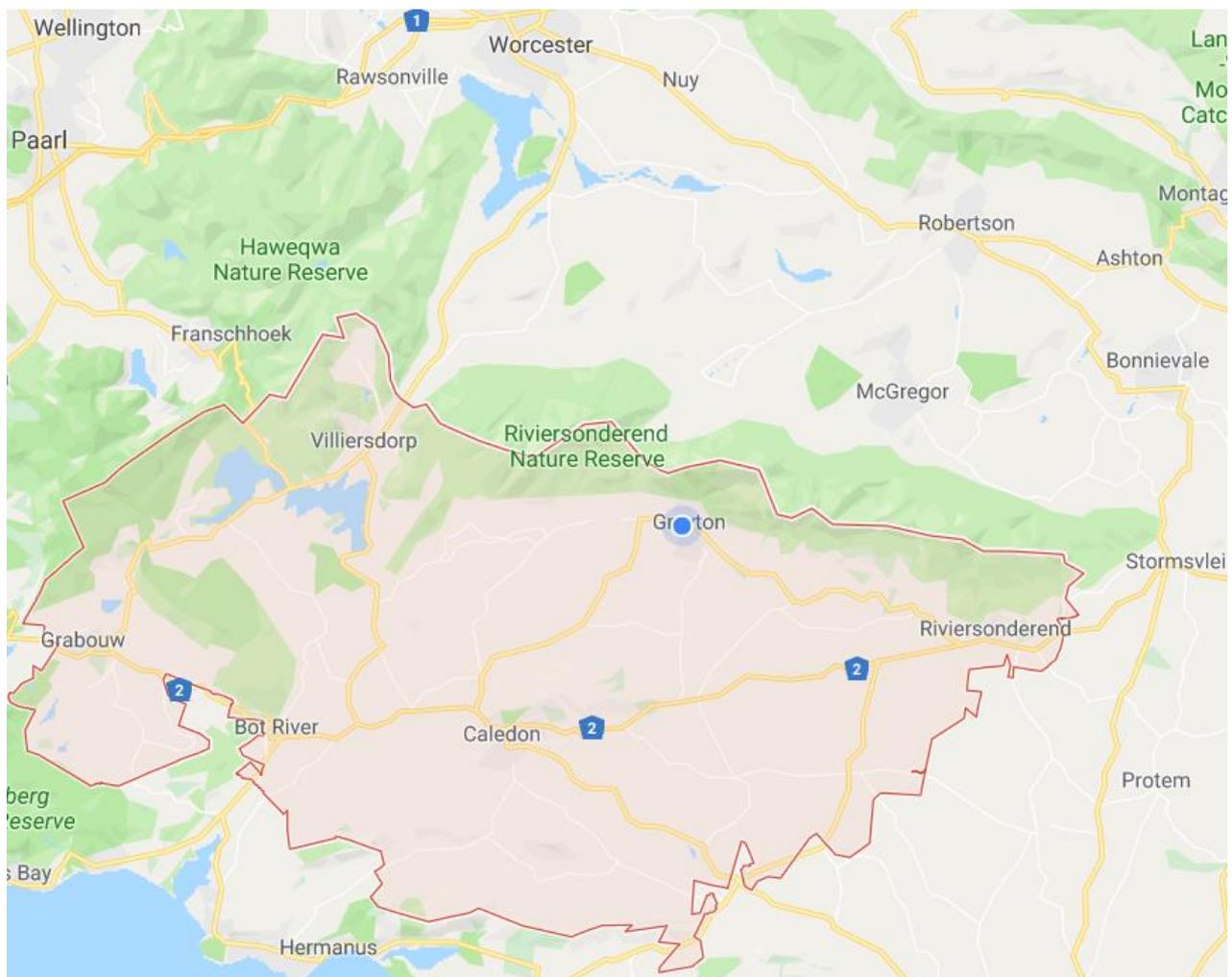
#### **4.1 Introduction**

The previous chapter focused on the relevant legislation and documents guiding the legislative framework of the main concepts; namely, developmental local government and change management. The relevance of the different documents was also discussed in the previous chapter. This chapter will focus on Theewaterskloof Municipality which will be used as a case study to investigate challenges and objectives that should be attended to, to enable the organisation to become more developmental focused. The challenges and objectives identified will be unpacked to understand the need and reasoning of Council to change the culture of the organisation to become more developmental.

##### **4.1.1 Geographical profile of municipality**

Theewaterskloof Municipality is a grade B municipality, situated in the Overberg district. The municipal area covers approximately 3231km<sup>2</sup> and includes Caledon, which is the main office, Grabouw, Villiersdorp, Botriver, Tesselaarsdal, Riviersonderend, Greyton and Genadendal. There are approximately 117 109 people living in this area of whom almost 51% are indigent and dependent on grants for basic services. The effect is that only 49% of the community are able to pay rates and taxes which has a massive effect on the available rates base and financial sustainability of this municipality. It is also a well-known fact that there have not been major developments in the area over the last couple of years. This is the case despite the fact that the location of the area is a convenient pass-through between Cape Town, the Overstrand area and the well-known Garden Route area. The N2 highway also conveniently runs through the largest part of the area (Theewaterskloof Municipality, 2018a:32).

The area is dominated by agriculture and has a large farming community, especially in the Caledon, Villiersdorp and Grabouw areas. The most popular products are pome fruit such as apples and pears in the Grabouw, Elgin and Villiersdorp areas. This area is known as the biggest apple growing area in South Africa and includes two of the biggest pack houses for exporting fruit situated in this area. Many farmers also focus on grain, canola, barley, dairy and sheep in the Caledon, Greyton and Riviersonderend areas. There are a number of large manufacturing companies in the area which contribute 41 % to the sector, of which Appletiser and South African Breweries (SAB) contributes the major percentage to the manufacturing sector. A further contribution to the manufacturing sector is canned fruit and vegetables which amounts to 37% to the sector. The clothing sector was also recently established in the area, of which Prestige Clothing is the biggest contributor (Theewaterskloof Municipality, 2009:20-21).

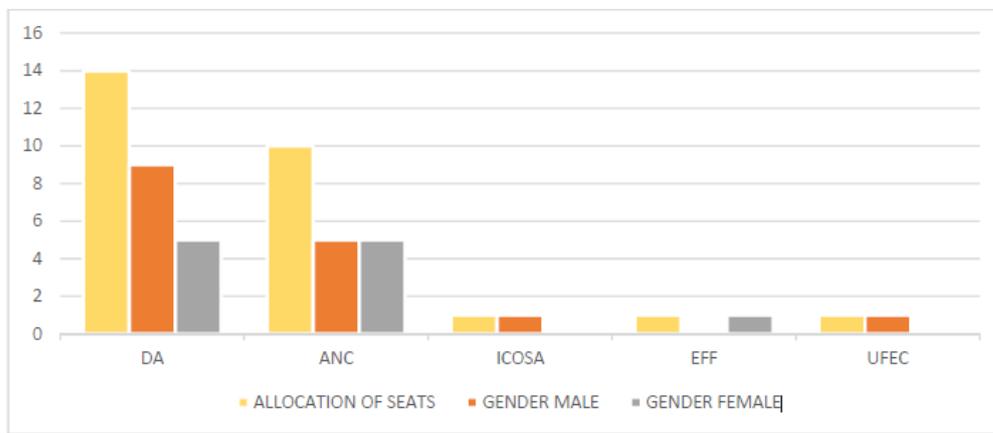


**Figure 11:** Map of the Theewaterskloof area:

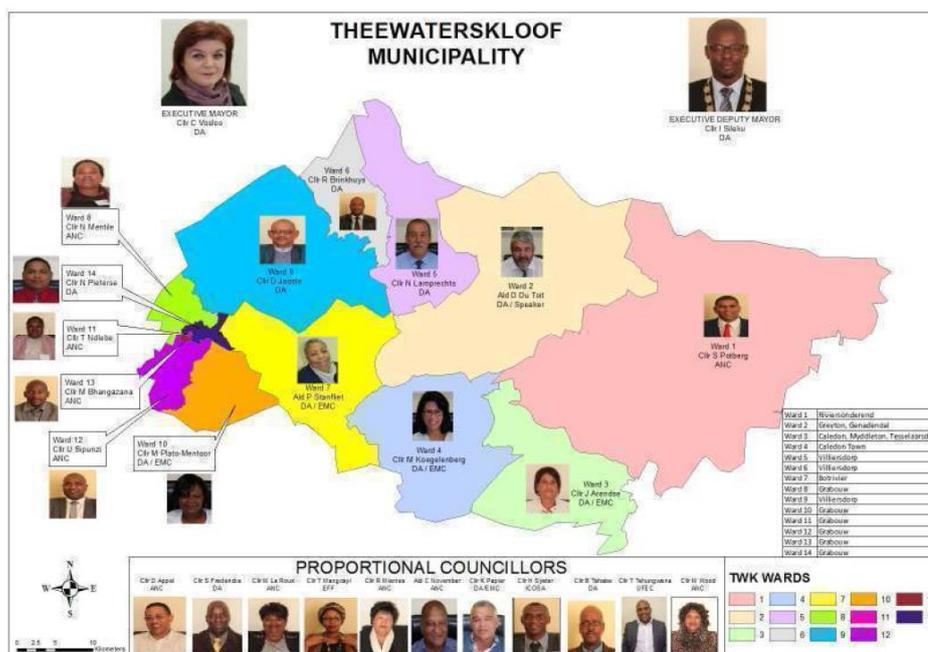
Source: (<https://www.google.co.za/maps/place/Caledon>)

### 4.1.2 Political and administrative profile

Thewaterskloof Municipality has 27 councillors and is divided into 14 wards and have 13 proportional councillors. The municipality is governed by an executive mayoral system and which comprises of a mayoral committee consisting of the executive mayor and five members. The ruling party is the Democratic Alliance (DA), followed by the African National Congress (ANC) and the EFF and UFEC. The area is divided into 14 wards as indicated below in figure 12.

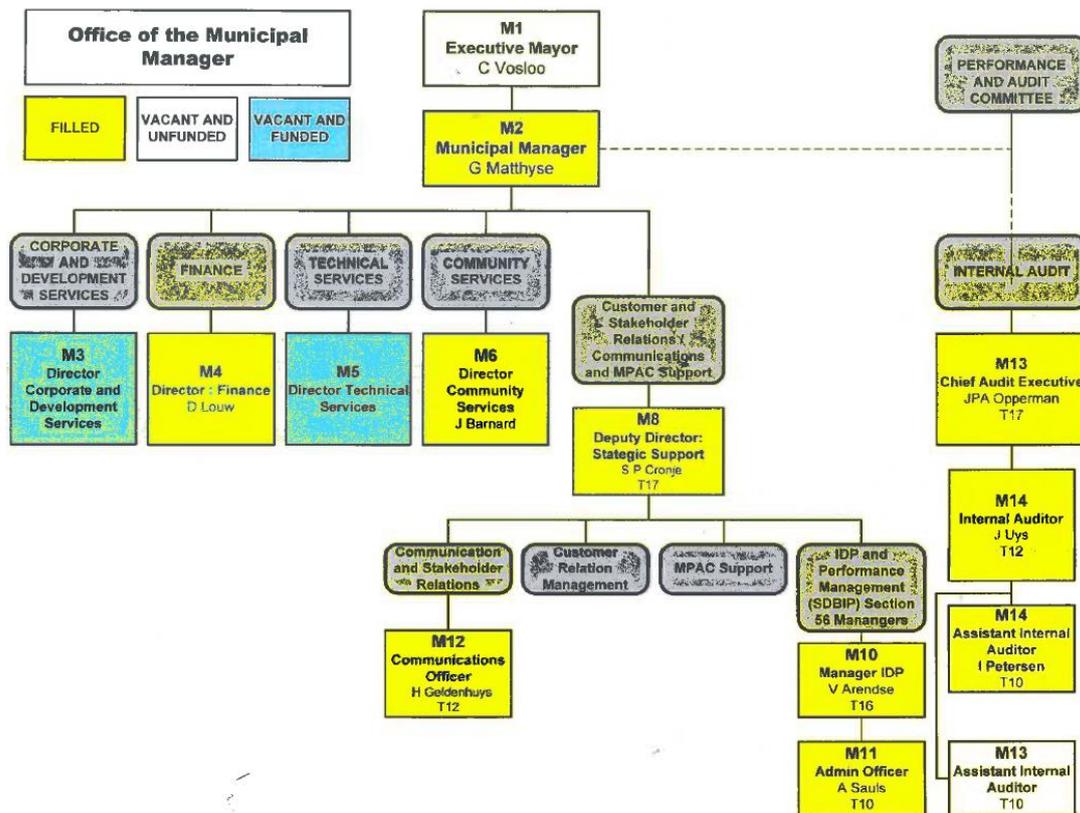


**Figure 12:** Allocation of seats: Source: (Thewaterskloof Municipality, 2018a:43)



**Figure 13:** Council representation per ward: Source: (Thewaterskloof Municipality, 2018a:44)

The leadership of the administration of Theewaterskloof Municipality consists of a municipal manager, chief financial officer, Director Community Services, Director Technical Services and a Director Corporate and Development. The municipality makes use of a town office system. The system is developed in such a way that each town is equipped with a town manager with a small team of operational staff, who is responsible for the operational functions in each town. The macro organogram in figure 14 was reviewed and approved by Council on 30 June 2017. The organisation has a total of 820 approved positions on the organogram of which 642 are funded and filled. There are currently 36 vacancies in the organisation.



**Figure 14:** Theewaterskloof Municipality Macro Organogram: Source: (Theewaterskloof Municipality, 2017)

### 4.1.3 Direction of municipality

The municipality has adopted a turn-around strategy and has changed direction over the last 10 years to ensure financial sustainability. The municipality has come a long way and reached a level of political and administrative stability. The leadership component

has however realised that stability is not enough, considering the specific challenges that this municipality faces. The municipality has been challenged by an increase in the migration of people into the area, looking for better job opportunities. The effect of this is that the pressure on the municipality increases exponentially to provide basic services. This challenge further triggers other problems such as more pressure on the infrastructure, tension between communities and higher expectations by the community (Theewaterskloof Municipality, 2017a). The tension within communities has led to several violent protest actions and the looting of municipal infrastructure since May 2016. The largest land invasion in the history of the municipality occurred during 2016 and the Grabouw area grew by more than 800 households over a couple of months. The last violent protest occurred in June 2018 and these protests occurring are continuing (Theewaterskloof Municipality, 2017a). These challenges are all a threat to the financial sustainability of the municipality in general and is it therefore necessary to start a process of change. The challenges identified by the Council will be explained in more detail in the next paragraph. It has therefore become necessary to change the current culture of “survival mode” of the municipality into a more developmental culture. The main motivation behind this decision is to ensure that developers invest in the area and that the area becomes more attractive to be able to build a bigger rates base. This change of direction will contribute to the financial sustainability of the municipality. The motivation for the change in culture is to ensure that the living conditions of the community will be uplifted and that objectives in terms of the Constitution, 1996 will be achieved (Theewaterskloof Municipality, 2017a).

## **4.2 Challenges and need for change**

The new Council of Theewaterskloof Municipality, elected in August 2016, considered the current state of the municipality and looked into previous strategic objectives of which the main focus was on the financial stability of the municipality (Theewaterskloof Municipality, 2017a). Council found that the municipality faces many social and developmental challenges which threaten the sustainability of the municipality. As explained in the previous section, the municipality was challenged by unruly, violent communities and an increase in people migrating into the area. It was clear that the communities were not living in peace, harmony and dignity and that it

had a negative impact on the opportunities for development in the area. The fact that developers were not interested to invest in the area, contributed even further to poverty and the fact that more members of the community were not able to pay rates and taxes to the municipality. It has therefore become necessary that urgent attention be given to these challenges (Theewaterskloof Municipality, 2017a). One of the main general challenges in the Theewaterskloof area is that the area is not developmental friendly and must compete for development opportunities with areas such as Overstrand Municipality (Hermanus), Stellenbosch Municipality and Breede Valley Municipality (Worcester). Although the area is very central in relation to the distance from Cape Town and Hermanus and provides several development opportunities, there are several social challenges because of a high poverty and unemployment rate. The area is for example known for several violent protests and as a result the N2 highway is often closed; municipal and private property damaged and infrastructure destroyed. There have been three major protest actions over the last two years, along with smaller protests from time to time (Theewaterskloof Municipality, 2017a). The first major protest action was in May 2016 when thousands of individuals protested over housing. The entire Grabouw area was forced to a stand still for almost two weeks and many road users were forced to use alternative routes because of the closure of the N2 (Anthony, 2016:4). The local traffic station was burned down to the ground and saw several municipal, South African Police Services (SAPS), private vehicles and private property damaged (Hendricks, 2016). The second major protest action was in February 2017 in the Greyton/Genadendal area, where individuals protested about housing opportunities and the provision of basic services for backyard dwellers. The root of the protest action was further based on racial clashes between residents (Vosloo, 2017). The protesters damaged private property and municipal vehicles, waste bins and roads. The protestors also burned down the community marketplace during the early hours of 7 June 2018 and eight protestors were arrested and charged with assault and arson (Adriaanse, 2017:2). The third major protest action was in June 2018 in the Botriver area, where the community took action after illegal structures were broken down by the municipality. The N2 was closed for almost a week and the municipal offices and post office were burned down by the protestors (Fischer, 2018). A number of residents requested the municipality to break down illegal structures the protest action was driven by unhappy shack owners demanding land and basic services. The municipality suffered a loss of thousands of rand due to municipal infrastructure and two municipal

vehicles that were set alight. The office was closed to the public for almost three months (Meyer, 2018:4). There have also been smaller, unrelated protests in 2017 and 2018 in Villiersdorp and Grabouw, mostly about the provision of electricity, basic services and housing opportunities. These protest could fortunately be contained at an early stage and there was no damage to municipal infrastructure (Theewaterskloof Municipality, 2018a:66-67). It has been pointed out by the leadership that there exists a lack of ownership, pride, peace, dignity, harmony and a general feeling of lawlessness within the community (Theewaterskloof Municipality, 2017a).



**Figure 15:** Municipal office in Botriver burned down in June 2018: Source: (<https://www.groundup.org.za/article/riots-break-out-grabouw-over-housing/>)

Several challenges, such as a shortage of staff, unfunded critical positions, lack of leadership, limited resources and an ageing fleet of municipal vehicles have also been identified by Council. The unavailability and condition of the fleet has recently been identified as one of the main risks in the organisation and influences service delivery negatively. The replacement and maintenance of these vehicles poses a major challenge to the municipality, because of the lack of financial resources. The report further indicates that basic operational procedures such as routine checks on the vehicles and

the reporting of mechanical problems are not done by the different towns (Theewaterskloof Municipality, 2018b:2-4). The municipality is also challenged by the non-compliance to the licence conditions of waste water treatment works and solid waste facilities. The lack of resources puts the municipality at risk to for example to ensure that these sites are not accessible to the public, that pollution is prevented and to ensure that the delivery of the service can proceed. The majority of the solid waste facilities have reached full capacity and must be rehabilitated, which will cost the municipality millions of rand (Theewaterskloof Municipality, 2018a:64-65). A number of waste water treatment works also do not comply with license conditions and the municipality does not have the available resources to appoint process controllers to run the facility on a 24 hour basis to ensure that the plant functions optimally. The result of this is that pollution can occur from time to time and poses an environmental risk to the area (Theewaterskloof Municipality, 2018a:63). The ongoing drought in the Western Cape has also impacted negatively on the ability of the municipality to provide water to some of the towns in the area in the long term. The municipality will have to find alternatives water sources for Greyton, Genadendal, Villiersdorp, Caledon and Riviersonderend to ensure that the municipality is able to meet the demand in future (Theewaterskloof Municipality, 2018a:58-61). These challenges influence the ability of the organisation to operate and function developmentally and to deliver basic services to the community. A poor morale and negative attitude has developed over time, mainly based on a lack of resources leading to a shortage of staff, and critical vacancies not filled timeously, old and outdated processes, policies and technology. The position of municipal manager for example was vacant from September 2016 and was only filled in March 2018. Another example is the position of Director Development that has been vacant since June 2017 and has not been filled yet. The rural location of the municipality has also lead to a challenge to attract and appoint competent and skilled professionals. It has further become clear that the social problems of the community and the challenges as mentioned above within the organisation negatively influences the economic development potential within the area. The last general challenge is the fact that the area is known for high property rates and service charges and lengthy development and planning processes, which makes the area more unattractive for developers and investors (Theewaterskloof Municipality, 2017a). The property rates in towns such as Greyton, Villiersdorp and Caledon are much higher than neighbouring towns like Hermanus and Worcester. These communities are currently

subsidising less fortunate areas such as Grabouw and Rivieronderend (Theewaterskloof Municipality, 2017a). A strategic workshop was held in September 2017, which was attended by all councillors and management. The purpose of the strategic session was to look back at achievements in the previous financial year, identify current challenges and obstacles. The relevance of the previous main objective of financial sustainability was reviewed and new main objectives of the new Council were identified based on the biggest challenges in the area. Council made the decision that the culture of the organisation will have to change to be able to take the municipality forward and in the process becoming more developmental as envisaged in the Constitution, 1996. Council adopted 11 strategic objectives/challenges in June 2017 which include objectives based on specific challenges that were identified. The following objectives have been identified: sustainability; stakeholders working together; the community living in dignity, harmony and peace; developing a growing economy and creating wealth. The challenges identified includes the following: the migration phenomenon; ageing infrastructure, financial sustainability, limited institutional capacity and political and administrative stability. The six objectives and five challenges will be discussed in the next paragraphs (Theewaterskloof Municipality, 2017a).

Council identified six objectives that were necessary to achieve the development focus of the municipality. These objectives are critical to ensure continuous service delivery and creating an area that can compete with other tourism and development destinations in the district and surrounding areas. The reasoning and motivation explaining the importance of these objectives are as follows (Theewaterskloof Municipality, 2017a):

- Sustainability:

This is the most critical objective for any municipality, to be able to function and provide services in a sustainable and viable manner to the benefit of the community. This objective includes financial sustainability, economic sustainability, social sustainability, environmental sustainability and human sustainability, which all ensure that the living conditions and provisions of services to the community will be sustainable. If this objective cannot be achieved it will be very difficult for the municipality to be more developmental focused, as the continuous provision of services and maintenance of bulk infrastructure will not be guaranteed. This objective is

therefore the basis of the new direction and culture that this municipality will have to implement.

- All of its people and stakeholders working together:

The second objective is to ensure sound intergovernmental relations between the three spheres of government and other stakeholders. It is critical that national and provincial departments assist the municipality with much needed resources, co-operation, guidance and assistance where necessary. It is especially important where these departments are the owners of vacant property in the area. It is furthermore important that they should act timeously to protect the property against illegal land invaders or where the property is needed for housing opportunities or developments.

It has been realised over recent years that a municipality cannot alone be responsible for the development and upliftment of the community and that complex problems should be managed in collaboration with other stakeholders, such as the community, businesses, welfare organisations and other relevant role-players. It is further important to involve the community and other role-players in government processes and policy-making from the start, to find better solutions. This objective is therefore very important to enable the municipality to achieve the identified objectives and goals.

- All of its people living in dignity:

The third objective is to ensure that the community will live in dignity and that the living conditions of the people will be enhanced. This objective is not only focused on people receiving basic services, but also living and functioning under such circumstances that young and old will live a dignified life, despite of the high rate of poverty and unemployment. It is therefore critical that members of the community take ownership of the area that they live in and work together to minimise vandalism of their communal assets and infrastructure.

- All of its people living in harmony:

This objective is also very important to ensure that a very diverse community, from different cultures and nationalities will be able to live together in harmony, despite

factors such as xenophobia, gangs, drugs and other social evils. It is therefore necessary that a social balance be created to ensure a stable community living in harmony.

- All of its people living in peace:

The fifth objective is based on peace in the community. The main issue causing unrest and unstable conditions is the way that discontentment in communities is managed. It is important that communities be developed to understand that violence is not the solution and that it only causes a bigger divide within communities. It is therefore necessary to educate the people on how to solve problems and to let them understand the impact that violent behaviour can have on the bigger area and the possibility of more job opportunities and a better life for all. The community should stand together against lawlessness among them and help government departments to fight against these social ills.

- Developing and growing an economy able to offer employment and wealth creation opportunities to all of its people:

The last objective is basically the outcome to achieve a developmental focus, if the above mentioned objectives are successfully achieved. This objective is in the interest of all stakeholders in the Theewaterskloof Municipal area and it will need a collaborative effort to achieve this objective. It is in the interest of government in general, businesses, NGO`s and each and every member of the community to ensure that the economy is developed and keeps on growing. More employment opportunities and the creation of wealth will only be possible if the economy in the area is stable and growing stronger. This will only be possible if the institutional capacity of the municipality can assist developers to invest in the area (Theewaterskloof Municipality, 2018a:72).

Council has also identified five specific challenges that are unique to the area and impact and threaten the sustainability of the municipality. It is critical that the municipality focus on these challenges and manage them as far as possible to minimise the negative impact on becoming more developmental. The challenges are explained as follows (Theewaterskloof Municipality, 2017a):

- The migration phenomenon:

This is a major challenge for Theewaterskloof Municipality, mostly due to the fact that the area borders Cape Town and that living conditions are still relatively affordable in this area. A further contribution to migration is based on temporary employment opportunities and labour intensive farming practices. The towns of Grabouw and Villiersdorp are mostly affected by migration because of these opportunities. Other factors such as a spillover from the areas of Overstrand, City of Cape Town and Breede Valley area further contribute to this migration phenomenon. This is a huge challenge for the municipality, as the housing backlog and waiting list grows by the day and the living conditions of many of these people are not up to standard. The growing communities become the responsibility of the municipality with regard to the provision of basic services. Illegal land invasions on property reserved for housing developments is also a great risk. This challenge also negatively influences the poverty and unemployment rate and contributes to an already poor debt collection rate. This factor puts additional strain on the rates base and the sustainability of the municipality (Theewaterskloof Municipality, 2018a:66-67).

- The ageing infrastructure and bulk service capacity:

A further challenge of Theewaterskloof Municipality is the inability to maintain the ageing infrastructure and to ensure that the bulk service capacity in all towns is sufficient. Factors such as limited resources and income are mainly to blame for this challenge. Although proper long-term plans are in place, there are not sufficient funds available to properly maintain ageing infrastructure. This obviously poses a major challenge for a developmentally-focused municipality, as developers will not invest in an area where the infrastructure is collapsing. A further challenge related to the collapsing infrastructure is very high bulk contributions that potential developers will have to pay. The reason for these high fees is because of the inability of the municipality to maintain and develop sufficient bulk capacity for services such as water, electricity and sewage (Theewaterskloof Municipality, 2018a:62-63).

- The financial sustainability of the Municipality:

This is one of the most important challenges of Theewaterskloof Municipality and contributes to the objective of general sustainability, as discussed above. There are

several factors influencing the financial sustainability of the municipality, such as a low collection rate, a high amount of indigent households, ageing infrastructure, a small rates base and limited available resources. Although the financial sustainability of the municipality has been turned around in the last ten years, there are still several challenges to keep it stable and to be able to move forward. It is therefore critical to manage this challenge and to do proper planning to minimise the risk and impact as far as possible (Theewaterskloof Municipality, 2018a:75-76).

- The limited institutional capacity of the Municipality and its impact on day-to-day service delivery and the gap between such institutional capacity and a growing expectation:

Another important challenge is the expectation of the community with regard to service delivery, while considering the limited resources and capacity of the municipality to achieve set objectives. The municipality struggles with a shortage of staff in critical posts such as process controllers, LED officials, senior housing officials and operational staff in the town offices. The municipality also struggles with outdated processes and technology, ageing fleet of vehicles and a lack of skills in expert areas such as town planners, ICT security administrators, engineers and financial managers with costing experience (Theewaterskloof Municipality, 2018a:92). The impact of this challenge is that the high demands and expectations of the community cannot always be met. The effect is that developers are discouraged to invest in the area because of obvious signs of poor service delivery, such as potholes, poor water quality in some areas, continuous pipe breaks and non-compliance issues with regard to sewage plants and landfill sites (Theewaterskloof Municipality, 2018a:64-65). It is therefore critical that the capacity of the municipality should be developed to ensure that service delivery can be assured and that the needs of the community are met.

- The political and administrative stability:

Theewaterskloof Municipality has struggled with administrative stability since September 2016, when the previous municipal manager was forced to retire when he reached the retirement age in terms of legislation. The contracts of two of the directors lapsed in the same year and the municipality was left without senior managers. This situation led to uncertainty within the organisation and middle management was tasked

to keep the ship afloat. The threat with regard to stability had a knock-on effect on the morale of staff and it was a matter of survival to get the day-to-day tasks done. The ripple effect was that there was not sufficient time and capacity for strategic planning to move the organisation forward. A municipal manager was appointed early 2018, but the directors` positions have not been filled yet. There is still a feeling of instability and uncertainty within the organisation, because of this vacant position. The reality is that it will take some time to get everything back to normal and to implement a stable leadership within the administration (Theewaterskloof Municipality, 2017b).

There has also been a glimpse of instability in the political leadership after the elections in 2016. The majority of councillors were first-time councillors and had to undergo training and develop themselves to understand the dynamics of local government. The mayoral committee also consisted of mostly new members and it was necessary to first understand each other to ensure that all members had the same political understanding of what was expected of them. Although Council has decided that a new developmentally-focused direction and culture will be necessary, there has been a lack of political will and leadership to take the new direction seriously. It seemed as if all councillors did not truly understand the necessary changes that should occur and did not have the same passion and will to ensure successful change. As a consequence, the leadership has put the new developmental culture on the back burner. Council has however now had enough time to find stability within Council and to prioritise the objectives of Council. It is therefore critical that the political and administrative leadership reach stability to be able to support and drive the change process to change the way of thinking of the organisation into a more developmental culture (Theewaterskloof Municipality, 2017a).

### **4.3 New culture and direction**

The Council considered the above-mentioned challenges and critical objectives during the strategic workshop in September 2017 and decided that the way of thinking and doing business must change to enable the organisation to become more developmental. Council identified three elements that were seen as game-changers and which must be changed in the municipality. The first is that the community will have to be developed

to ensure that they live in peace, harmony and dignity and that they take ownership and work together with the municipality for a better life. This will also have an effect on the migration phenomenon, as the community will work together to protect vacant land from illegal land invasions, which might influence the possibility of housing developments. The second element will be that economic development will have to be encouraged. This is critical for the municipality to become more sustainable and to ensure better work opportunities and the growth of wealth. The last element is the development of the organisation to ensure that the necessary institutional capacity is achieved and that critical skills are developed and sufficient resources made available to enable the municipality to function properly. This will assist with the maintenance of ageing infrastructure and vehicle fleet and enable the municipality to meet the needs of the community with regard to service delivery. The focus of this study will however only investigate the necessary changes with regard to the way of thinking of the workforce element and how to change the mind-set of employees to think more developmentally. If this change management process is successful, it will all contribute to creating a more developmentally-friendly municipal area (Theewaterskloof Municipality, 2017a).

#### **4.4 Aspects that should be changed with regard to the human capital element and the way forward**

It is important that the mind-set of employees within the organisation be changed and that their focus should be on becoming more developmental. It is clear that the challenges identified should be managed and monitored to ensure that the organisation will be able to function effectively. The culture of the organisation is the main element that will have to be changed. The culture will have to be transformed from a “survival mode” type, to a developmental culture. This will be critical for the organisation to be able to achieve the objectives which all contributes to a developmental state. The mind-set of the workforce is a critical element in a successful change management process necessary to ensure change in the organisation. It will also be important to identify policies that will have to be reviewed to ensure that the implementation of these policies will support the suggested changes and contribute to creating a developmentally-focused culture. These changes will assist with the development of the organisation

which will be the first step in achieving the constitutional objectives for municipalities. This study will only focus on the most appropriate change management model and principles that will be applied to the workforce to ensure a developmental culture.

This chapter focused on the specific challenges and obstacles that Theewaterskloof Municipality is faced with. The challenges were explained and the objectives identified by Council were also discussed in detail. The chapter further discussed the new culture and way forward that Council adopted and identified aspects in the organisation which will need change. The next chapter will focus on the research design and methodology used in this study. The chapter will also focus on the method used to collect data and the ethical considerations where applicable.

## **CHAPTER 5:**

### **Research design and methodology**

#### **5.1 Introduction**

The previous chapter explored the case study used in the research. In addition the relevant challenges and circumstances that were present in the organisation were also discussed. The new direction and possible changes within the organisation to enhance change and adopt a new culture were also discussed in the previous chapter. This chapter will focus on the research process used by the researcher to investigate the research problem stated in chapter 1 and to achieve the research objectives. When looking at the research process, it is important to firstly identify the most appropriate research design and to choose which methodology to use to collect data. The type of instrument used is very important and should be relevant and useful in order to answer the research problem. It is further important that an appropriate approach be selected to interpret and analyse the data collected. This chapter will further focus on the methodological approach to explore the case study of Theewaterskloof Municipality to identify challenges that should be managed to ensure that the organisation adopt a developmental culture. The chapter will further focus on the methodology used to identify the most appropriate change management model and principles to establish which elements are important for a successful change management strategy. The chapter also focuses on the reasoning for choosing interviews to collect data from internal and external change agents.

#### **5.2 Research design**

Babbie and Mouton (2001:75) explains the concept of research design as follows: “It is a plan or blueprint of how you intend conducting the research”. The blueprint will include the methods and processes that were used to gather data.

The research design for this study was a combination of a non-empirical study and an empirical study to enable the researcher to collect relevant data to answer the research questions. The non-empirical element of the study was used to look at available literature in books, journals, theses, conference papers and relevant legislation. This data was used to explore different change management models, strategies, change principles, concepts and legislation relevant to the concepts of developmental local government and change management. There is a large amount of literature available, exploring a vast variety of change management models and principles. The researcher limited the number of change management models to the six most popular models. The empirical part of the study was conducted by using Theewaterskloof Municipality as a case study. Primary data was collected to understand the specific challenges and objectives of the municipality. The focus was on specific challenges and elements that needed change within the organisation to ensure that a developmental culture will be adopted within the organisation.

Primary data was created by means of the collection of data in the form of personal interviews. Individuals were clustered into two groups, namely internal change agents, working in Theewaterskloof Municipality and external change agents working either in private practice as consultants for municipalities or change agents in other municipalities. The data collected from the individual interviews was analysed and will be discussed and presented in chapter six. This data will be used to make recommendations on important requirements for a change management model and strategy that should be implemented in Theewaterskloof Municipality and possibly in other rural municipalities.

### **5.3 Research methodology**

The process that was followed in this study to collect data was of a qualitative nature. The largest part of the data collected was secondary data. This data was already available in the academic literature and legislation and it was not necessary to make use of sampling. The second part of the data collected was of a primary nature and was non-probability sampling used and was the data of a purposive nature.

The primary data was collected by conducting personal interviews with a number of participants. According to Babbie and Mouton (2001:288) the criteria to select appropriate participants should be based on the following questions: if the individuals have appropriate experience; if they are currently involved in the field and if they have adequate time to take part in the process. The authors indicated that individual interviews are one of the most popular methods used to collect qualitative data. The semi-structured interview questions were sent out electronically to 30 identified change agents. The external change agents were selected from a group of experienced Western Cape based municipal managers, senior managers/directors, human resource managers and legal services managers, who were either still working in or retired from the local government sphere. The internal change agents were selected from a group who either have been employed for many years in Theewaterskloof Municipality or who are currently employed in a senior management position, local economic development, municipal planning or human resources environment within Theewaterskloof Municipality. The participants were requested to indicate if they would be willing to participate in an interview. The request was sent to nine internal individuals and five indicated that they would take part in the research. In the case of the external change agents, mostly from other municipalities and the private practice, 21 individuals were contacted and nine indicated that they would take part in the study in the form of interviews. A total of 14 participants were interviewed. The participants were identified based on their experience in local government and specifically in some form of change management. The involvement of the participants ranged from a Human Resource practitioner, a member of management, a change agent in senior or middle management or as a consultant with personal experience in local government. Change leaders within other category B municipalities situated in the Western Cape, similar in size to Theewaterskloof Municipality, were selected to explore their experiences on change management. Individuals were identified within Theewaterskloof Municipality who experienced transformation within the organisation. Most of the participants acted as a change agent or experienced change within the organisation in some or other stage of their career. The focus of the interviews was to identify specific challenges and experiences with regard to change management within Theewaterskloof Municipality and which elements needed to change.

### **5.3.1 Research instrument: Interviews and design of questions**

Interviews were used to collect the primary data. The researcher used non-probability sampling and selected individuals within the organisation who either had professional experience in the nature of their functions or personal experience as change agent in their experience of change management. These individuals were identified by the researcher either because of personal knowledge about the backgrounds of these individuals or by word of mouth from other academic colleagues. The participants were divided into two groups, with the questions designed for each group. The first group were employees of Theewaterskloof Municipality and is referred to as the internal group. The questions of the interview focused on challenges that they experienced within the organisations and elements that they thought needed to change. The nature of the questions was also based on change management principles and theories which they thought were most important and should be taken into account when considering an appropriate change management model. The second group comprised change agents from other municipalities in the Western Cape, of a similar size to Theewaterskloof Municipality and a few change agents from the private practice. These participants all had sufficient experience in local government throughout their careers. The questions of the interviews for these participants were mainly based on key change management principles, theories and why change management processes fail. The focus was therefore more on the general principles and important aspects of the change management process.

### **5.3.2 Data gathering**

The data was gathered through the conduct of personal interviews and were the responses on the questions recorded and the results confirmed with the participants. One or two of the participants answered the questions via email, because of unavailability of the individuals to attend a personal interview.

## 5.4 Data analysis

Babbie and Mouton (2001:490-491) state that there is not one specific approach to analyse qualitative data available in the academic environment. According to the authors there are around 20 approaches used in South Africa to analyse qualitative data. The method of content analysis will be the most appropriate approach in this study, to especially look at the available literature applicable to change management models and the principles of change management processes.

An in-depth discussion will be provided analysing the data collected and considering the aspects and elements of the identified change management models and the most important principles available in the field. The primary data collected from the participants will also be analysed to understand which principles and models are most applicable and relevant in practice and especially with regard to local government. The data collected from internal participants will be analysed to understand the challenges and elements in the organisation that should be changed to ensure a developmental culture.

## 5.5 Ethical consideration

According to Babbie and Mouton (2001:520) several ethical issues can arise when individuals are part of a research process. They argue that the first important aspect of ethics is the ethical issue that might arise during the process. They advise that a researcher should understand that the participation of individuals should always be voluntary and that the participants should be aware of that. The authors further argue that the participant's interest should be protected at all times. The authors explain that confidentiality and anonymity can be used in circumstances where the participant needs protection with regard to specific statements or information that were provided (Babbie & Mouton, 2001:520-524). The second important aspect is the consideration of politics and power relations and the ethical issues that they might cause. The authors explain that the domains of science and politics can influence the social understanding of the way that principles and outcomes are understood in a specific research field. They argue that a balance between the two domains are critical to ensure that the results of a

research project will be based on science, but that individual self-reflection will also be allowed (Babbie & Mouton, 2001:546). Mouton (2001:244) adds that the aim of the research should always be communicated to the participants to allow them to decide if they are willing to be part of it. .

The methodology used in this research to overcome ethical obstacles was guided by the principles laid down by the authors Babbie and Mouton. It was important to protect the internal participants from the political environment that they work in and to ensure that they do not feel pressured or uncomfortable to answer questions honestly. This was specifically relevant where they had to look critically at leadership and challenges within the organisation. It was also important to obtain the necessary approval from the organisation. This was necessary because of the fact that the researcher is employed in a senior position within the organisation and the nature of the research was based on interviews with identified employees.

The approval of this study was done through the formal processes of Stellenbosch University and ethical clearance was granted to proceed with this study. The study was characterised as low risk. A consent form was developed and approved by the panel and the form was signed by all participants. The consent form explained the relevance and focus of the research and indicated all the rights of the participants. In addition, the consent form provided the option that they could indicate that they would like to be anonymous. The researcher selected a group of internal and external change agents and advised that they could indicate if they would like to participate or withdraw at any stage. Personal interviews were held, during which the participants could indicate if they would prefer specific answers to some of the questions to be noted as anonymous. Consent was also requested from Theewaterskloof Municipality to use the municipality as case study and to request internal change agents to take part in individual interviews. The management team of the municipality considered the request and granted approval on 9 March 2018. It was agreed that the organisation may be used as a case study and that interviews may be conducted with employees. The approval of the management team is attached as Annexure 1.

## 5.6 Conclusion

This chapter focused on the research and research methodology used for this study. The chapter further explained that a qualitative method was used and that both secondary and primary data was collected. The chapter also explained that interviews were used as the collection method and what the focus of the interviews was. The method used for data analysis was also briefly explained. The chapter lastly focused on the ethical considerations and the necessary consent that was necessary to obtain in this study. The next chapter will focus on the analysis of the data collected in the study. The results will be presented, discussed and interpreted.

## **CHAPTER 6:**

### **Present and interpret results**

#### **6.1 Introduction**

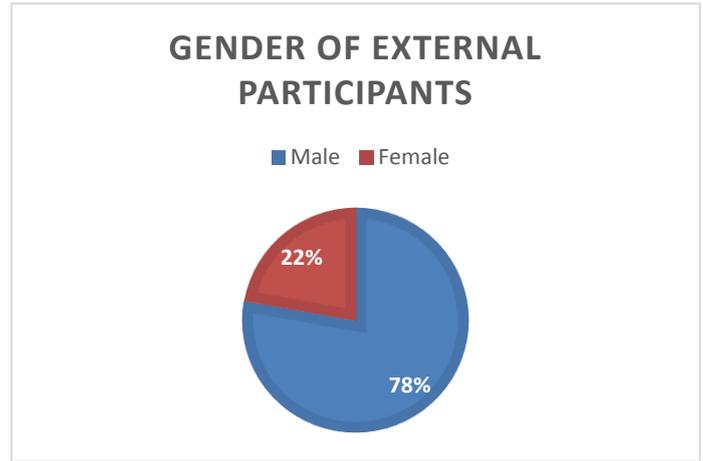
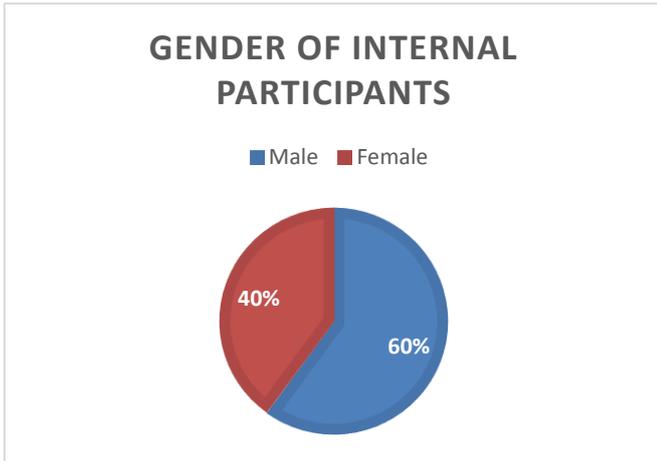
The previous chapter focused on the research design and methodology that was followed in this study. The chapter also focused on ethical considerations that were relevant to this study. This chapter will present the results of the data collected through interviews and available literature. The results of the research will be interpreted and discussed. The chapter will also present the profile of the internal and external participants that took part in the study. A summary will also be provided of the main findings and information collected in the research conducted. The questions posed to the internal and external groups will be analysed and the data collected will be considered to make recommendations in chapter 7.

#### **6.2 Profile of participants**

The profiles of all 14 participants, both internal and external change agents are presented below. The gender, age, educational level, field of experience and the years` experience in change management related to local government are taken into consideration.

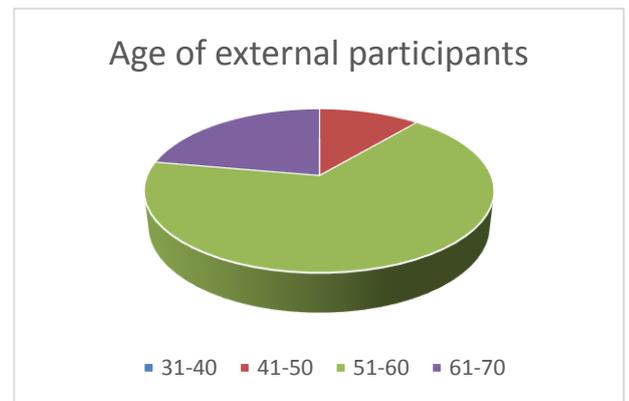
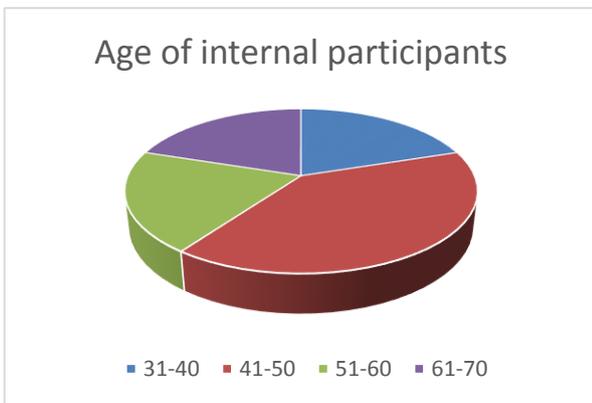
##### **6.2.1 Gender of participants**

In the case of the internal change agents there were 60% males and 40% females that took part in the study. In the case of the external change agents, there were 78% males and 22% females that contributed to the research.



## 6.2.2 Age of participants

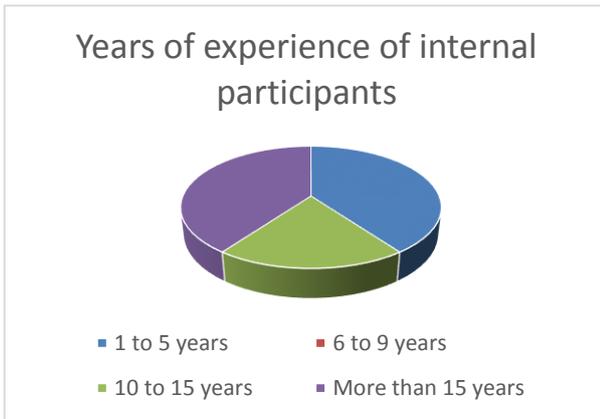
In the case of the internal change agents the age of the participants ranged mostly from between 41 and 50 years of age. The second most responses were received from the age group between 51 and 60 years of age. In the case of the external change agents the age bracket presented predominantly was between 51 and 60 years of age. The second most responses were received from the age group between 61 and 70 years of age.



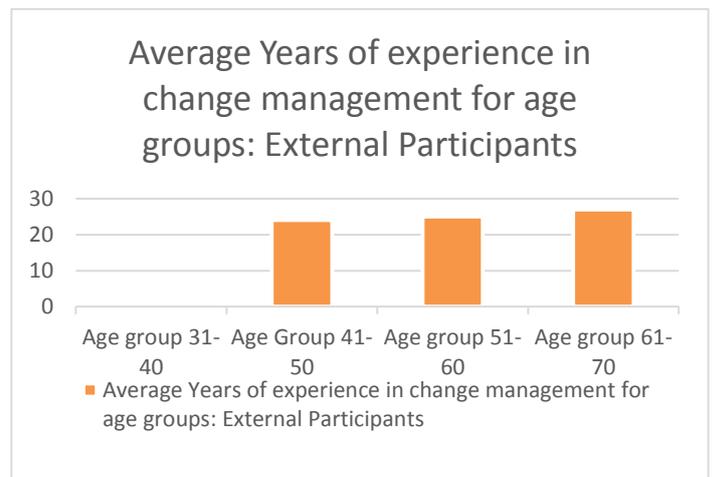
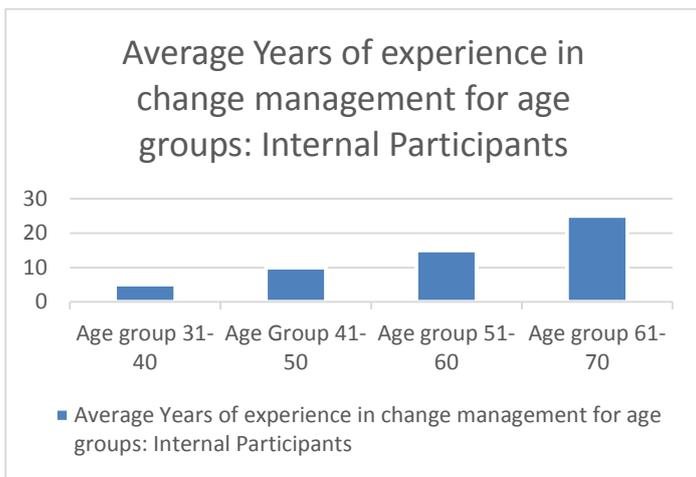
## 6.2.3 Years of experience in change management related to local government

In the case of the internal change agents, more than half of the participants have more than 15 years` experience in local government. The second largest group of participants have between 10 and 15 years` experience in local government. In the case of the external change agents the vast majority of the participants have more than 15 years` experience. The majority of individuals in the external group of participants have

between 25 and 35 years` experience in local government and have been employed as municipal managers and directors in various municipalities.

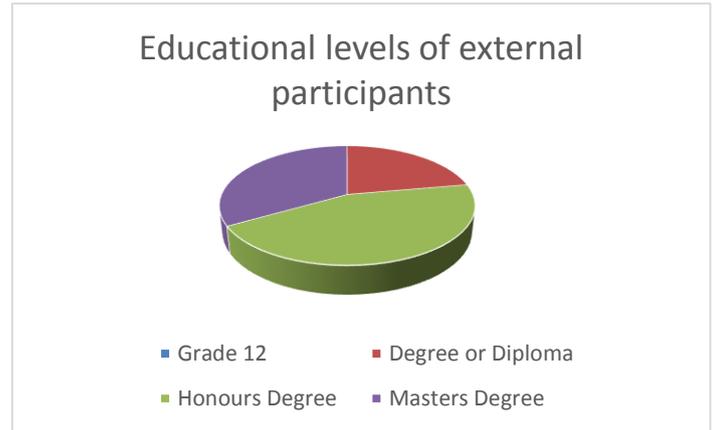
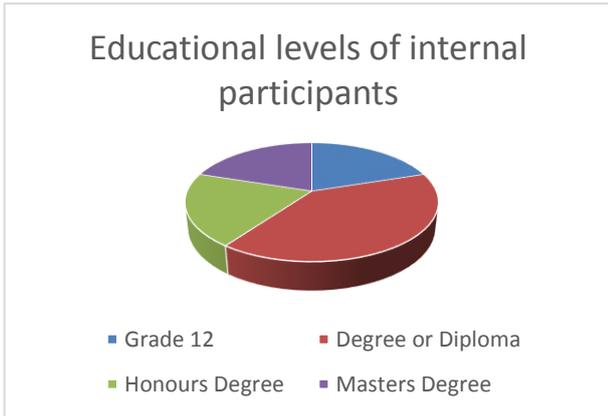


A comparison has also been done to indicate how the year of experience in change management link to the respective age groups of the internal and external change agents



### 6.2.4 Educational levels of participants

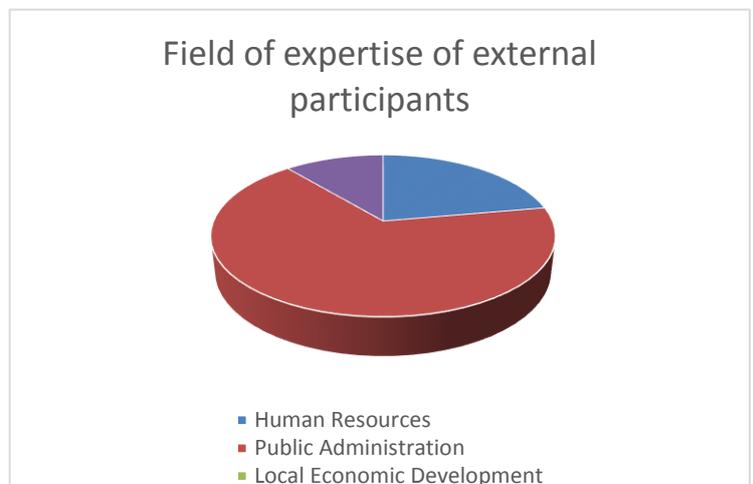
In the case of the internal change agents 50% of the participants have either a degree or a diploma. The other participants have either grade 12 or an Honours degree. In the case of the external change agents, the majority (44%) have an Honours degree and 33% have a Master`s degree. The remainder of the participants have either a degree or a diploma.



### 6.2.5 Field of expertise of participants

In the case of the internal change agents, 40% of the participants currently function in the local economic development environment or have experience in that field.

The number of participants that have expertise in public administration in different positions also constitute 40%. There are a further 20% of the internal participants who are employed as a professional (town planner) within the municipality. In the case of the external change agents, 67% of the participants have expertise in public administration, either as senior managers or municipal managers. A number of the participants are currently working as consultants in the private sector. The remainder of the group of the participants have expertise in human resources or are employed as a professional in a specific area of expertise.



## **6.3 Data analysis and interpretation**

### **6.3.1 Internal change agents**

The profiles of the internal participants were presented in the above section. Individual interviews were held with five participants and 20 questions were posed to them. The questions were based on the current culture and challenges in Theewaterskloof Municipality and their understanding of change management principles and models. All of the participants requested to remain anonymous in the study, mainly because of the possibility that the organisation might use this document in future. The participants explained that they would not like be in a situation where the political leadership might have the perception that they are critical of previous decisions of the political structures. In many of the questions all of the participants or a majority agreed on a specific argument or statement. The information will be presented indicating that the majority agreed and general comments will be noted where applicable. In cases where a specific individual or unique contribution was made, reference will be made to the specific participant by indicating his/her participant number. As explained above the anonymity of the participants are protected and they will be referred to as participant 1 to 5 where applicable.

The contributions made by the participants on the different questions posed to them are presented below.

#### **6.3.1.1 Understanding of the culture and circumstances of Theewaterskloof Municipality**

A number of change agents have been identified who are employed within the organisation to indicate their experience with regard to challenges and the needed change in the organisation. They have also been requested to list important change management principles which they believe will be critical for successful change within the organisation.

The following challenges and concerns were raised by the five internal participants employed by the organisation. All of the participants are employed on middle or senior

management level. Their functions are mainly related to human resources, community development, local economic development and customer relations.

#### **6.3.1.1.1 Theewaterskloof Municipality as a developmental municipality**

The participants were asked if they were of the opinion that Theewaterskloof Municipality can be seen as a developmental municipality. The majority of the participants felt that the organisation is currently not developmental and that the direction that Council adopted in 2017 has reached a “stalemate” situation. One of the participants also indicated that the lack of economic opportunities and challenges in the different towns within the municipality pose further challenges for the municipality to be developmental. The majority of the participants also indicated that they feel that both the administrative and political leadership are not aligned to steer the organisation in the adopted direction. Only one of the participants indicated that they believe that the municipality can be seen as developmental, mostly based on current local economic development initiatives.

#### **6.3.1.1.2 Needed change in the organisation**

The majority of the participants felt that change is definitely necessary in the organisation, especially to ensure that the services provided to the community meet the expectations of the community. They indicated that it is important that the structure and business model of any organisation should be reviewed from time to time. The participants also indicated that the mind-set of the employees needs to change. They explained that employees should be more focused on the clients and potential developers and should be willing to go the extra mile. One of the participants made an important comment indicating that municipalities are sometimes too busy to solve other issues so that they forget to deliver their constitutional mandate.

#### **6.3.1.1.3 Main challenges in the organisation and understanding of all role-players**

All the participants mentioned the challenge of financial sustainability and are of the opinion that all stakeholders are aware of this challenge. The small rates base of the municipality was mentioned as a contributor to this challenge. Another challenge mentioned is stability in leadership and creating a relationship of trust and co-operation among each other. The majority of participants further indicated that the organisation should first ensure that “its house is in order” before they will be able to become more

developmentally-focused. The challenge of sustainability in general was also listed by the participants. The concern was also raised that, although Council adopted a new direction, the structure and resources to support it are problematic. One of the participants added that productivity and pride among employees are problematic and that the organisation should be developed by enabling employees to change their mind-set and attitude. This will ensure that the municipality is able to move forward.

#### **6.3.1.1.4 Benefits of change and the impact on the objectives of the organisation**

The majority of the participants indicated that if stability of the leadership is achieved it will set a tone for the rest of the employees to be more developmentally-focused. They argued that it is a matter of leading by example. The suggested change will further influence all employees to walk the extra mile to ensure that developers are encouraged to invest in the area. All of the participants mentioned that employees will have to realise and accept that the organisation cannot continue with “business as usual” attitude. One of the participants indicated that the focus of the organisation and the community will have to be changed. It is further mentioned that the principles of working together as stakeholders will be a further result of change and this will create an environment for a developmental culture.

#### **6.3.1.1.5 Hardest element to change in the current way of thinking of employees**

Most of the participants indicated that the most difficult element of change will be to convince the management team that they should lead by example. They explained that management should realise that they can play an important role in changing the situation. They indicated further that it will be difficult to change established habits and attitudes of employees. One of the participants also mentioned that it will be difficult to change the mind-set of the political leadership, but that there are sufficient skills and knowledge within the organisation to add value to the new direction.

#### **6.3.1.1.6 Current organisational culture of the organisation**

The participants described the current culture of the organisation as problematic, using words such as hierarchical, depressing, negative, and toxic. It is further indicated that there is a lack of accountability and trust within the organisation and that employees are unproductive. There is also a feeling that the staff morale is very low.

#### **6.3.1.1.7 What should not change in the organisation**

The majority of the participants indicated that the current commitment and dedication of some of the individuals within the organisation who supports change and work together to ensure that change will be possible should not change. It is also mentioned by the participants that the current intellectual capacity that exists within the organisation should not be changed. It is argued that the skills and expertise available within the organisation should be used to the benefit of change. One of the participants mentioned that understanding each other within the organisation and the overall culture of working together and supporting each other through difficult times should not change.

#### **6.3.1.1.8 Biggest challenges and obstacles in the change process**

Most of the participants mentioned the challenge of agreeing on the best way to achieve the change in culture in the organisation and to ensure that the implementation will be realistic and possible. Obtaining the buy-in from all stakeholders was also indicated as a challenge. One of the participants also mentioned the challenge of resistance and that employees might be scared of what lies ahead.

#### **6.3.1.1.9 Main objective or goal of this change process**

The majority of the participants felt that the main objective of change is to achieve sustainability in delivering services and to create a bigger rates base. They further mentioned that the ultimate goal is to develop the community and the economy within the area. One of the participants made the comment that the goal however cannot only be to achieve the objectives of Council, but to build the staff morale and ensure effective and efficient day-to-day delivery.

#### **6.3.1.1.10 New values, goals and integration within the organisation**

The participants had different ideas of the most important values and goals that should be adopted by the organisation. The most prominent values mentioned include mutual respect, integrity, professionalism, commitment to service excellence, excellent client care and the need to be investment-friendly. The majority of the participants were of the opinion that the objectives set by Council in 2017 (see chapter 4) will form a good basis to guide the organisation in a new direction. All of the participants however agree that it will take time to integrate the new values and goals.

#### **6.3.1.1.11 Policies to be reviewed to enable change in the organisation**

The majority of the participants indicated that policies should not be changed just for the sake of change. One of the participants stated that the majority of policies will stay the same because of the fact that most functions of municipalities are regulated by legislation. He however argued that the way that policies are implemented should be developmentally-focused. He suggested that the municipality should review all policies and strategies focused on developing the community and the municipal area. He suggested that the following documents should be reviewed: Community Development Strategy, Client Care Strategy, Communication Strategy and the Local Economic Development Strategy. Another participant argued that policies focused on the training of employees should be reviewed. She explained that it is important to ensure that the focus of these policies contribute to the development of individuals to contribute to a developmentally-focused culture. She indicated that policies such as the Recruitment and Selection Policy, Study Bursary Policy and the Succession Planning Policy should be reviewed. It was further added by one of the participants that all policies of the municipality should be reviewed to ensure that none of the policies will negatively impact the change in culture. Another participant added that policies related to financial management and the creation of economic opportunities should also be reviewed. She suggested that policies such as the Tariff Policy, Developer Contribution Policy and the Rates and Taxes Policy should be considered to ensure more development-friendly circumstance for potential developers. She further suggested that the revision of policies such as the Informal Trading Policy, Events Policy and the Guesthouse Policy can contribute to the development of businesses within the municipal area.

#### **6.3.1.2 Understanding of change management principles**

The identified internal change agents were chosen because of their experience in some form of change during their careers. The questions posed to them were based on the importance of different change management principles, models and lessons learned. They were also provided the opportunity to share personal change management experiences with regard to the change process with the researcher. The responses of the participants are stated below.

#### **6.3.1.2.1 Role-players impacted by change**

The majority of the participants indicated that the entire organisation will benefit from a change process. All the participants referred to the benefit for employees and the political leadership. Two of the participants also indicated that the community and also local government as a whole will benefit. One of the participants also indicated that the change process will be beneficial for the financial position of the municipality and might also have a positive impact on unemployment in the area.

#### **6.3.1.2.2 Reaction and contribution to change process by role-players**

Most of the participants were of the opinion that there will be resistance within the organisation to embrace the change. All of the participants indicated that good leadership will be able to change the mind-set of internal stakeholders. One of the participants felt that external stakeholders will support change within the organisation to ensure better service delivery in the area. One of the participants however argued that the majority of external stakeholders distrust the municipality. He argued that it will be important for the organisation to ensure that change is implemented before external stakeholders are consulted. The majority of the stakeholders indicated that both internal and external stakeholders will have to change their mind-set and support the change within the organisation.

#### **6.3.1.2.3 Mitigation of resistance by stakeholders**

All of the participants mentioned communication as the key mitigating factor for resistance to change. They stated that it should be clear what aspects should change in the organisation and that a well-structured strategy should be communicated to all stakeholders. A few of the participants mentioned that employees should be part of the process from the start and that they should be provided the opportunity to familiarise themselves with the suggested change. One of the participants argued that the dedication of management to implement change will also mitigate resistance and that employees will realise that change will be beneficial for the organisation.

#### **6.3.1.2.4 Contributions and role of change agents in the change process**

The participants had several different ideas on the role of a change agent and what and how they can contribute to enhance change. The input from each participant was clearly guided by their current position and functions within the organisation. Participant 1

indicated that she sees her role as change agent as the link between businesses and the municipality. She argued that she can contribute by being accessible to future developers and identifying opportunities within the area. The participant further argued that she can encourage the internal stakeholders to become more developmental by showing the benefits for the organisation from a local economic development perspective. Participant 2 indicated that he will be able to contribute to the process with clear and continuous communication within the organisation and to external stakeholders. He further argued that he will be able to add value to the process by ensuring that the change strategy will be communicated to all stakeholders. Participant 3 indicated that her current functions to be creative and innovative could contribute to successful change. She argued that her position should be seen as a connector to ensure that all stakeholders work to a more sustainable future for the organisation. Participant 4 argued that he does not have any direct influence on stakeholders and therefore does not contribute directly to the change process. He however added that he could set an example of being positive and that it hopefully would influence other employees. Participant 5 indicated that he contributes to change by ensuring that each individual reporting to him understands the nature of the change and receives information on an ongoing basis. He further indicated that he could be more innovative in the performance of his functions to create a more developmental focus. He explained that each manager should be the link between the employees and management and should communicate any inputs and concerns to the top management.

#### **6.3.1.2.5 Aligning the vision of employees with the organisation`s vision**

All of the participants confirmed that their vision is aligned with the vision of the organisation. The participants confirmed that they are ready to execute and implement the vision of the organisation and that they will work hard to influence all employees to adopt the same vision. One of the participants mentioned that success stories of change will play an important part to convince other employees that change can be beneficial for all. One of the participants however indicated that he does not entirely agree with the vision especially where the organisation takes responsibility for mandates that are the responsibility of other spheres of government.

#### **6.3.1.2.6 Experience of change management**

The participants all indicated that factors such as a lack of communication, poor leadership and uncertainty of employees can make or break successful change. One of the participants argued that it is critical to change the attitude of employees before any change within the organisation can be expected. Another participant stated that he experienced several unsuccessful attempts of change in his career and the main reason for the lack of success was that support from leadership and decision makers was not maintained.

#### **6.3.1.2.7 Experience in specific standards, best practices or methodologies for change management**

The majority of the participants indicated that they did not have any specific experience with formal change management principles, standards or methodology. They explained that although they had personal experience in different change management processes, it was not based on a formal methodology. They however did indicate that the importance of communication and leadership should always be kept in mind. The one participant however indicated that she experienced that the best practice of change management is that individual change should be first achieved before successful organisational change can be ensured. She further argued that there must be a specific reason for change and that it should be formulated and communicated clearly.

#### **6.3.1.2.8 Best approach for change management process to ensure adoption and reduce resistance**

The participants all agreed that the best approach should be identified and agreed upon by the main stakeholders. They also agreed that the approach should be communicated to employees before it is implemented. One of the participants explained that the correct approach will be to look back at previous failed attempts of change and identify the reasons why they failed. He further explained that change should be monitored and evaluated throughout the process. Another participant added that management should adopt the approach to prioritise the change process and to appoint change agents on the different levels within the organisation.

#### **6.3.1.2.9 Techniques to manage political obstacles**

All of the participants agreed that any plans for change should be communicated to the political leadership to ensure maximum buy-in. One of the participants added that politicians should be persuaded that they will benefit as leaders and that their political party will also benefit from the suggested change. Another participant indicated that success stories and case studies should be used to persuade councillors to buy into and support the change process.

#### **6.3.1.2.10 Importance of communication and techniques used**

All of the participants emphasised the importance of communication and indicated that it is a key element in a change management process. One of the participants added that a formal communication plan should be drafted and adopted by the organisation and that the plan should guide the methods of communication. He further added that a platform should be created for employees to provide inputs on the most appropriate methods of communication. Another participant emphasised that communication should be on a continuous basis and that the change agents should ensure that the correct message is communicated to all levels of the organisation. The participants mentioned different methods of communication such as strategic workshops, newsletters, social media and weekly meetings to update staff on the progress of change.

#### **6.3.1.2.11 Elements of successful change**

The participants all had different ideas of the meaning of successful change. Participant 1 indicated that change can be seen as successful when all stakeholders accept the suggested change and support the process. Participant 2 explained that change will be successful when the vision and objectives of the organisation have been achieved. Participant 3 was of the opinion that attracting new skilled staff, retaining current staff, better discipline and a positive staff morale will be the signs of successful change within an organisation. Participant 4 added that a change in the organisational culture will indicate successful change. Participant 5 agreed that successful change will mean buy-in from all stakeholders and that success will be insured by continuous monitoring of the process.

#### **6.3.1.2.12 Role of leadership and management in the change process**

All of the participants indicated that both leadership and management play a critical role in any change management process. They emphasised that the leadership should set the direction of the organisation. They explained that management on the other hand must develop strategies and implement the planned change. One of the participants mentioned that the leaders in an organisation should support the change throughout the process. He further explained that they should provide the necessary assurance that there exists an urgency for change. Another participant emphasised that leadership and management should be “on the same page” and that they should ensure that the same message is communicated to the rest of the organisation.

#### **6.3.1.2.13 Important resources**

The majority of the participants indicated that external expertise should be used to ensure that the change process will be done correctly. The participants added that resources such as time, financial support and clear processes will be critical. One of the participants mentioned that commitment on all levels of the organisation will also be necessary and that a ‘safe space’ should be created which will allow employees to accept the planned change.

#### **6.3.1.2.14 Skills needed to implement and adopt the change and possible training**

The majority of the participants felt that the organisation does not currently have the necessary skills to implement planned change. They argued that it is critical to procure the services of an expert on change management to drive the process. One of the participants indicated that the organisation does have limited skills but that it should be developed. All of the participants argued that training will not necessarily influence the ability of employees to accept and implement change. They added that behaviour and attitudes would rather support the implementation of change. They however did suggest that the development of soft skills, for example leadership courses, negotiating skills and personal development, would be beneficial to support change.

#### **6.3.1.2.15 Single piece of advice on change management**

Participant 1 advised that a single end-goal should be identified during a change process to ensure that all stakeholders will be 100% sure of what is expected of them. Participant 2 stated that when an organisation considers change, a specific decision should be made

and that all levels of the organisation should stick to the decision and ensure that the planned change will be implemented. Participant 3 also stated that the organisation should make a decision on a direction and stick to it. She added that change should always start small and that further objectives can be added during the process. Participant 4 advised that a change process should always have one dedicated change-driver who will champion the process. Participant 5 emphasised the importance of communication in a change process and argued that it is the one critical tool that will ensure success.

#### **6.3.1.2.16 Importance of a change strategy as part of a change process**

All of the participants agreed that a change strategy will be critical in a change process. They emphasised that it is critical for an organisation to have a structured plan of action which will guide the change management process. One of the participants however warned that too much time should not be spent on drawing up strategies. He explained that organisations often lose momentum if they only focus on the plan on paper and that the implementation of change gets lost in the process.

### **6.3.2 External change agents**

The profile of the external participants was also discussed in the previous section. Individual interviews were held with nine participants. The participants had to answer 20 questions that were posed to them relating to change management. The questions were mostly based on change management challenges, principles and change models. All of the external participants that were selected have many years of experience in local government and change management throughout their career. To most of the questions all of the participants or the majority of participants agreed on a specific principle or argument. In these instances reference will be made to further contributions made by the participants in general. Reference will however be made to specific individuals where the questions are based on personal experiences or opinions.

#### **6.3.2.1 Concept of change**

The participants all had different interpretations of change. The focus of each participant with regard to change was based on his/her background. The first participant is currently employed as Senior Manager: Community Development at Saldanha Bay

Municipality. The participant defined change as something that is constant and changes every day. He explained that there are several factors influencing change in local government such as legislation, politics and the demands of the community (Du Plessis, 2018). The second participant is currently employed as Manager: Human Resources at Hessequa Municipality. He described change as moving from a known state to an unknown state. He explained that in the case of an organisation change will be based on a new direction and objectives (Oelofse, 2018). Participant 3 is currently employed as Director: Corporate Services at Swellendam Municipality. He explained the concept of change as moving from a comfortable situation to an unknown situation. The participant added that it is necessary to move away from the old way of doing things and to adapt to a new way of thinking (Du Plessis, 2018). Participant 4 is currently employed as Manager: Legal Services at Saldanha Bay Municipality. The participant described change as a situation where employees constantly have to adapt to ever changing circumstances (Bell, 2018). Participant 5 is currently employed as Municipal Manager at Bergrivier Municipality. The participant described the concept of change as a natural process of growth and the need to adapt to changing circumstances (Linde, 2018). Participant 6 is currently employed as Director: Corporate Management at Hessequa Municipality. The participant described change as innovation through a consultation process to achieve better results (Griesel, 2018). Participant 6 is currently retired and was employed as the Principal Officer of the Consolidated Retirement Fund and is a former Municipal Manager of Overstrand Municipality. He described change as different circumstances from the *status quo* and the ability of individuals to adapt to the different circumstances (Koekemoer, 2018). Participant 7 is currently employed as a financial adviser at Old Mutual. He was previously employed as Municipal Manager of Langeberg Municipality and Swellendam Municipality. He described change as an intentional change of the way that things are currently done in order to achieve different objectives (Nel, 2018). Participant 9 is currently a consultant in private practice. He was employed as Municipal Manager of Theewaterskloof Municipality. He stated that change can be seen as a process where the organisation is guided and supported to move away from an undesired situation. He further stated that the need for change should be clearly defined and it should be indicated what should change in the circumstances of the organisation. He further explained that a change strategy will guide the change process and that the gap between the current situation and the suggested change must be overcome.

### 6.3.2.2 Three most important aspects of change

The participants mostly listed similar aspects of change that they believe are important. The basis and the reasoning behind the different aspects listed by the participants had a similar basis although the ranking of the most important aspects differed a bit. Du Plessis (2018) stated that change will have a ripple effect throughout the organisation and that change is often resisted by employees. He emphasised that leadership is critical in a change process. Oelofse (2018) explained that a change process should establish a new vision, outcomes and objectives. He further explained that the necessary capacity should be created to sustain the suggested change. Du Plessis (2018) added that a proper change management plan should be drafted and communicated to ensure that the planned objectives will be achieved. He further added that any form of resistance should be managed from the beginning of the process. Bell (2018) emphasised that the most important aspects of change are the ability to move from your comfort zone, accepting the suggested changes and adapting to the new circumstances. Linde (2018) stated that the right attitude and strong leadership are important in a change process. She further stated that it should be accepted that there will always be resistance in a change process and that it is part of human nature. Griesel (2018) agreed with the above aspects and added that an organisation should be ready to change and that the process should be inclusive. She further added that the appropriate technology should be available to support the suggested change in the organisation. Koekemoer (2018) also agreed with the above aspects and emphasised that the *status quo* should be identified, the goals should be clear and it should be stated how the goals will be achieved. Nel (2018) supported the suggestions of the other participants and confirmed that the current situation within the organisation should be established before the change process starts. He further explained that new objectives should be set and that the necessary changes should be implemented to achieve the objectives. Wallace (2018) stated that the most important aspects of change cannot be limited to three aspects and that a change agent should focus on four important aspects. He explained that the undesired state should first be identified and the desire should be created to change the current state. He further explained that a solution should be found to overcome the gap between the current state and the suggested changes. He also stated that all possible risks should be managed and mitigated during the change process.

### **6.3.2.3 Most efficient and preferred approach, theory or change management model**

The majority of the participants indicated that they do not have experience with a formal change management approach or theory. They however indicated that there are several elements that they believe should be part of such an approach. The participants experienced these elements in their career and through day-to-day change in their work environment. Du Plessis (2018) stated that the unfreezing, changing and refreezing approach is the most efficient approach. He explained that the current state of the organisation should be “unfrozen”, the necessary changes should be made and the new direction should be frozen to be implemented. He further explained that a good model should make provision for the management of both restraining forces as well as supporting forces to ensure successful change. He further explained that restraining forces which might be an obstacle for change such as a lack of skills, resentment and general feeling of fear should be managed from the start of the process. He further argued that it is also important to list supporting forces such as strong leadership, innovation, a willingness to change and a positive organisational culture which can all contribute and support change. Oelofse (2018) was of the opinion that formal change models sometimes focus too much on managing the process and that the suggested changes are often not achieved. He argued that change processes in the public sector are often over-theorised and that political buy-in and the will to change are usually lacking. He stated that there is not a specific model or approach that can be seen as being most efficient and that each organisation should establish which approach will fit its circumstances the best. Du Plessis (2018) explained that it is important that an organisation should ensure that the approach that they adopt will assist them to achieve their objectives. He further explained that an approach should be inclusive, credible, achievable, supported by stakeholders and that risks are managed. He emphasised that a change model should also be goal-focused and that management should support the identified model to achieve maximum success. One of the participants stated that the Prosci ADKAR model is the most efficient model, because of the fact that it is clear on what should be achieved. He explained that the model considers the current stage, the transition and the future state (Bell, 2018). Linde (2018) indicated that she did not have any experience with a specific approach or model, but that a model should focus on behaviour of employees and that outcomes should be sustainable. It was also indicated by Griesel (2018) that she did not have experience of a specific approach, but that she

was of the opinion that an approach should be proactive to be effective. Koekemoer (2018) added that without referring to any specific approach, the model should be able to clearly identify what should be changed in an organisation. He further argued that a model should emphasise the use of change agents on all levels of an organisation. Nel (2018) stated that a change management approach should always be systematic and that the objectives should be clearly defined. He further stated that the approach should make provision for continuous communication and should have specific timeframes. He also added that a change model should be systematic, focus on communication, enhancing participation, deliberation and mentorship. Wallace (2018) indicated that although there are many theories and models available, a combination of models and principles will be the most efficient. He stated that the model should clearly identify a discomfort with the current situation in the organisation. He explained that all stakeholders should realise that the *status quo* is not beneficial for the organisation and that there are specific challenges that would make it impossible for the organisation to develop and grow. The realisation of the current situation will create a discomfort and an urge for change. The model should allow a participative process and should focus on all aspects and elements of an organisation to ensure that change is sustainable. He emphasised that a change model should contain the elements of evaluation and continuous monitoring of the change process to be successful. He indicated that Lewin's three-stage model is, according to him, one of the most effective change management models. He argued that this model includes the most important elements to ensure successful change.

#### **6.3.2.4 Importance of change readiness, organisational culture and leadership**

All of the participants indicated that the aspects of change readiness, the organisational culture and leadership should always be taken into consideration in a change management process. They emphasised that these elements contribute to the success of such a process. Du Plessis (2018) added that it is critical for an organisation to be change-ready to be able to accept that the *status quo* cannot continue and that new objectives should be adopted. Bell (2018) further added that the culture of the organisation will impact the success of the change process. He explained that the culture can support or manage the possible resentment to the suggested change. He also added that leadership is critical throughout the process to ensure that the urgency of the suggested change is communicated. Du Plessis (2018) agreed with the importance of

the elements as stated above. Linde (2018) however argued that although change readiness is important, it is not always possible to wait for the organisation to be change-ready. She explained that in some instances the readiness of the organisation will develop over time and that leadership will be pivotal to drive the change in times of uncertainty. Koekemoer (2018) added that if an organisation is not ready to change it can still happen but will be at a much slower pace. Nel (2018) emphasised that if an organisation is not ready to change it will have to be forced and there will be a great risk of failure. He further added that if a negative culture exists in an organisation the possibility of resentment will be greater. Wallace (2018) explained that organisational readiness will only be established if the change agents take the entire organisation through the process. He further explained that stakeholders should realise that change is needed within an organisation. He stated that the leaders in the organisation should play a facilitative role, but should provide support and guidance throughout the process. Oelofse (2018) however made an interesting contribution with regard to the effect of change readiness. He argued that although change readiness can have a positive effect on the success of the process it could also have a negative impact. He explained that it can also lead to a narrow understanding of change and that it can have the effect that little contribution or discussion will be allowed to get the inputs from the employees. He also agreed that organisational culture can make or break a change management process. He however emphasised that a negative culture should rather be managed or changed and should not be at the cost of much needed change in an organisation. He also agreed with the other participants that leadership is very important. He added that political leadership, executive leadership and the guidance of a change management steering committee are all of great importance.

### **6.3.2.5 Three main reasons why change fails**

The participants all indicated that there are several reasons why change can fail in an organisation. The majority of the participants however identified a lack of leadership, poor communication and the lack of resources as the most important reasons for failure. Most of the participants added reasons related to capacity such as insufficient skills to manage change, financial constraints and a lack of buy-in from important stakeholders. Du Plessis (2018) added that all change processes should have a champion driving the process and ensuring that the objectives of the suggested change are always clear. Oelofse (2018) further added that the political and economic impact of change is often

not managed from the start and can cause failure later in the process. Du Plessis (2018) argued that a change process without a plan and not taking the organisational culture into consideration will definitely fail. Nel (2018) agreed with the reasons stated above and emphasised that a lack of readiness in the organisation can also add to the possibility of failure. Linde (2018) warned that the people aspect of change should not be forgotten and argued that if the people element is not taken into consideration change will definitely fail. It was also stated that the platform should be created for employees to provide inputs and if this is not done the possibility of failure of change will be higher (Koekemoer, 2018). Wallace (2018) added that poor risk management is often one of the main reasons for failure and that inevitable disruptions should be managed.

#### **6.3.2.6 One single piece of advice on change management**

The concept of change management has several important aspects that should be considered in a change process. The participants therefore all had a different focus on which their advice was based. Du Plessis (2018) stated that he would advise that a clear rationale should be created indicating why change is necessary in an organisation. Oelofse (2018) advised that the leadership of an organisation should determine the need for change, communicate it, believe in it, plan for it and implement the plan. Du Plessis (2018) was of the opinion that change should not be forced, but that it should be communicated on a continuous basis and that it should not lose momentum. Bell (2018) advised that the employees should understand the suggested change and accept the needed change. Linde (2018) emphasised that commitment by management is the key to successful change and that the vision for the organisation should be communicated on all possible occasions. Griesel (2018) advised that a change agent should realise that there is no guarantee that the organisation will accept his/her ideas on the process that should be followed to ensure successful change. Koekemoer (2018) advised that the approach to change should always be transparent and that everyone should know what is expected of them. Nel (2018) emphasised that change should never be driven by politicians and that a champion should be appointed with the necessary skills and knowhow to drive the change process. Wallace (2018) on the other hand argued that from a change agent perspective the accountability for the success of the process should be shared by both the political leadership and management. He argued that all levels of leadership should take ownership of what is expected.

### **6.3.2.7 Importance of communication and important techniques**

All of the participants confirmed that communication is critical in a change management process and that it contributes directly to the success of the process. Du Plessis (2018) added that the rationale and benefits of the suggested change should be communicated to all stakeholders. He suggested that communication can be done through several platforms such as weekly meetings, emails, change management forums and labour forum meetings. Oelofse (2018) added that a sound business case should be communicated to all stakeholders and communication should continue throughout the process. He also suggested that platforms such as social media, newsletters and steering committee meetings can be used. He however emphasised that face-to-face meetings should also be used to ensure that employees understand the change that is communicated. It is stated that a lack of communication will lead to unsuccessful change (Du Plessis, 2018). He explained that there also should be communication about uncertainties and perceptions of the employees and communication should not be one-sided. Bell (2018) emphasised the importance of a communication plan which fits the needs of the organisation. Linde (2018) agreed that a communication plan is critical and all communication should be as clear and honest as possible. She added that the focus of the communication will depend on the specific needs of the organisation. She explained that it will sometimes be necessary to focus on the bad circumstances that need to change and sometimes it will be necessary to focus on the benefits that change will bring. Griesel (2018) advised that communication should always be in both directions and that employees should get the opportunity to communicate uncertainties. Koekemoer (2018) agreed with the inputs above and added that communication lines should be open to all stakeholders. He explained that in the case of local government, the Council, the community and employees should stay informed. Nel (2018) added that any combination of ways to communicate can be used, but that a face-to-face platform should always be included to ensure that employees will feel part of the process. Wallace (2018) confirmed the points made by the other participants and added that workshops should be held and that a two-way communication structure should be established. He also emphasised the importance of a steering committee who will monitor and guide the change management process and ensure that all communication is uniform.

### **6.3.2.8 Change management methodology and important elements**

All of the participants agreed that a change management methodology is very important and that people cannot be managed without a methodology. Du Plessis (2018) stated that a rationale and reason for change should be established before a change process can start. He further stated that the following elements should be taken into consideration: a change team should be identified, a framework should be drafted, change champions should be identified, the process should be discussed and should the plan be implemented. He explained that the steps should be communicated and that change leadership should be provided during the entire process. Oelofse (2018) stated that his methodology consists of three stages. The first stage is focused on identifying outcomes and processes which should form part of the change management plan. The second stage is to determine the long-term benefits and to do a cost analysis. The third stage is to obtain support and commitment from management and ensuring that they will support the change process. Du Plessis (2018) explained that his methodology is based on determining the needed changes and identifying objectives that should be achieved. He added that a SWOT analysis should be done and that all relevant risks should be identified. He further added that a business plan should be drawn up indicating all key performance areas. Bell (2018) indicated that the methodology used should be structured and that sufficient attention should be provided to manage the people side of change. He also indicated that a methodology should always be flexible and should be reviewed when necessary. Linde (2018) explained that different methodologies will be applicable to different situations. She stated that Kotter's eight-step process can be used as a good basis and the necessary adjustments can be made according to the suggested changes of each organisation. Griesel (2018) argued that a methodology should allow a platform for innovation. She further argued that the relevant technology and principles should guide the content of the methodology. Koekemoer (2018) explained that the methodology that he prefers includes the identification of objectives, obtaining the buy-in from management, establishing a steering committee, communicating the way forward with employees and to continue on communicating the progress. Nel (2018) supported the methodology of the participants as explained above. He added that the organisation must be ready for change and that specific timelines should be linked to the achievement of specific goals. He emphasised that the methodology should be adapted as time passes and lessons are learned. Wallace (2018) also supported the methodology of the previous two

participants and added that the change agent should focus on the causes of the undesired state instead of the symptoms.

#### **6.3.2.9 Linkage between individual and organisational change management**

All of the participants agreed that there is a definite and important link between organisational and individual change. They emphasised that before an organisation can be successfully changed, the mind and heart of the employees will also have to change. Du Plessis (2018) added that the beliefs and behaviour of individuals form the organisational culture. He explained that it will therefore be necessary for those beliefs and behaviour to change to achieve successful change. Linde (2018) agreed with the arguments above and added that individual change is often more difficult to manage than organisational change. The reasoning behind this argument is that human elements are often hard to manage. Koekemoer (2018) stated that individual change will also be more difficult in cases where the organisational culture is negative and there will be greater resentment from individuals. Nel (2018) agreed that both individual and organisational change are of great importance and added that the main difference in focus is the change of processes versus the change of behaviour. Wallace (2018) explained that the main focus should be on individual change as it is critical to enable the individual to understand what change management is about and exactly what is expected of them.

#### **6.3.2.10 Resistance to change**

The majority of the participants indicated that the reason for resistance to change in an organisation is based on perceptions and emotions of employees. They all agreed that resistance is inherent to the functioning of a human being. Du Plessis (2018) added that some of the reasons often include vested interests of individuals and the perception that they will have to do extra work. Oelofse (2018) added further that change is sometimes seen as uncomfortable and that employees will be forced out of their comfort zone. Griesel (2018) added that change is often resisted because of the fact that a shared set of beliefs and behaviour often have to replace individual beliefs. Koekemoer (2018) made an important contribution and argued that people often resist change because of the fact that they believe good processes are only changed for the sake of changing something. He further argued that interest is often lost during the process before it is finalised. Wallace (2018) added that resistance is often the result of individuals who

only focus on short term objectives and do not consider the long-term needs of the organisation. He further added that organisations sometimes fall back into their old ways when change is not implemented correctly resulting in resentment towards future change.

#### **6.3.2.11 The need and urgency for change**

All of the participants agreed that it is important to ensure that all stakeholders should understand the need for change and that the urgency to change should be communicated throughout the process. They all agreed that stakeholders should understand why it is necessary to implement the suggested changes in the organisation. Du Plessis (2018) explained that the rationale and benefits of the suggested change should be communicated to establish the need and urgency thereof. Oelofse (2018) agreed with the statement above and added that a sense of urgency can be created by identifying the risks if the organisation does not change. Du Plessis (2018) stated that stakeholders will only understand the need for change if they truly believe that it will be beneficial to the organisation. Kotter's eight-stage process was suggested as a useful model to establish urgency in a change process. It was argued that this model ensures that the urgent need of change in day-to-day actions of the organisation is established (Linde, 2018). Griesel (2018) added that innovation and keeping up with the newest technology should be used to show the urgency of change in an organisation. Wallace (2018) emphasised the importance to establish a change management team who can provide continuous guidance to ensure successful change. Nel (2018) however argued that urgency will not always be necessary or applicable in all change situations and that change should not be forced in situations where change can be implemented gradually. He further argued that change is often rushed because of poor planning and bad leadership. Wallace (2018) indicated that a discomfort with the current situation within an organisation should be established to ensure that stakeholders understand the need for change.

#### **6.3.2.12 Approach to risk management**

All of the participants indicated that risk management plays an important part in a change management process and that a risk register should be compiled and monitored. Oelofse (2018) added that it is important to plan for a back-up process if an identified risk cannot be mitigated or managed further. Du Plessis (2018) added that the identified risks should also be communicated and that all possible financial risks should be listed.

Bell (2018) agreed that risk management is very important and that the risk of not achieving the planned objectives should also be listed and monitored. Linde (2018) argued that all interventions will have risks linked to them and that the process should not be slowed down because of possible factors that might influence the process negatively. Griesel (2018) agreed with the statement made by the previous participant and added that risks should be taken in a responsible way. Koekemoer (2018) further added that the risk of no change should also be added and emphasised in the risk register. [The risk that suggested change will be unsuccessful is possible and should an organisation be realistic in the planning of change. The risks that will be applicable if change is not successful should therefore be listed and the question asked: Should action plans be developed to mitigate these risks? It is further important that alternatives be identified to ensure that the change process is not terminated if some of the identified risks do occur.] Wallace (2018) advised that risks should be identified on more than one level in the organisation and that a risk management plan should be drafted to ensure that the risks identified by all stakeholders are managed.

#### **6.3.2.13 Removing obstacles and amplifying wins**

The participants all agreed that the necessary capacity and resources should be available to be able to identify obstacles and wins from the start of the process. They further agreed that both wins and obstacles should be communicated to all stakeholders. Du Plessis (2018) emphasised that enough time and financial resources should be available to finalise the process. Oelofse (2018) added that after obstacles are identified, plans should be drafted to manage the obstacles. Du Plessis (2018) indicated that obstacles should be visualised from the beginning and should be part of the change management plan. Bell (2018) agreed with the above principles and added that progress should be constantly evaluated and milestones that were achieved should be recognised. Koekemoer (2018) agreed that employees should be rewarded and that the achievement of goals should be celebrated throughout the process. Linde (2018) stated that commitment will be key to amplify wins and overcome obstacles. It was stated that tools such as performance management and risk management should be used to overcome obstacles and amplify and celebrate success (Wallace, 2018).

#### **6.3.2.14 Motivation and support**

The participants agreed that employees can be supported and motivated by being part of the process and being informed of what is expected of them. Du Plessis (2018) added that a safe space should be created for employees where they can share their concerns and fears. Oelofse (2018) emphasised that the entire change management process should be mapped out and that employees should always be aware when milestones are achieved. Linde (2018) indicated that even small milestones should be celebrated to ensure that employees will feel that there are some progress. Du Plessis (2018) agreed that concerns of employees should be addressed and that communication should always be honest and decisive. Nel (2018) also agreed that management should always be honest when communicating to employees about the success of change. He emphasised that both positive and negative aspects should be communicated. Bell (2018) agreed that progress should be monitored and that employees should be motivated not to fall back into their old way of doing things. Wallace (2018) explained that employees are often scared that they will not be able to cope with requirements that change will bring about in an organisation. He stated that employees should therefore be developed and equipped with the necessary skills and capacity to fit into the suggested change.

#### **6.3.2.15 Completion and review of the change management process**

All participants indicated that the change process will be seen as finalised when all the objectives have been achieved. They also indicated that the behaviour and culture of employees should be in line with the adopted direction of the organisation. Linde (2018) added that the new changes will be cemented in the minds of the employees and will become part of the day-to-day actions of all employees. There are however differing ideas on the review of the process and how it should be done. Oelofse (2018) indicated that the original plan of change should be checked against the final achievements of the organisation and it should be reviewed if there are any outstanding objectives. Du Plessis (2018) agreed with the above statement and added that stakeholder satisfaction surveys can be done to review if the needed change did occur. Bell (2018) also agreed with the other participants that the objectives identified at the start of the process should be reviewed against the final achieved objectives. Koekemoer (2018) emphasised that feedback should be requested from all stakeholders on the achievement of the objectives and if change was successful or not. He also emphasised that change never ends and that it will definitely happen again in the future. Nel (2018) stated that

performance management should be used as a tool to review the change management process and determine if all milestones had been achieved. Wallace (2018) agreed that performance management will be the best tool to review if all performance areas have been achieved and if the process indeed is finalised.

#### **6.3.2.16 Action if change management objectives were not achieved**

All of the participants agreed that the risk does exist that all objectives are not achievable throughout the process. They however had different suggestions on what should be done if the change process is declared unsuccessful. Du Plessis (2018) advised that in the case of unsuccessful change, an independent person with the necessary change management skills should be contracted to take over the change process. Oelofse (2018) stated that an assessment should be made on the unachieved objectives and the reasons for failure. He further stated that solutions should be found to address the identified issues and that the needed resources should be identified. Du Plessis (2018) added that if there are signs of a failed change process, it should be stopped immediately and a new plan should be adopted and implemented. Bell (2018) emphasised that the reasons for unsuccessful change should always be communicated to all stakeholders to ensure that future change processes will not be hampered by the failure of the past. Linde (2018) argued that consequence management should also be used to determine how the non-achievement of objectives should be addressed. Griesel (2018) advised that failure should not be the reason to stop the entire change process and that the plan should be adjusted depending on the nature of the objectives that were not achieved. Koekemoer (2018) agreed that the plan of action should be reassessed and that necessary amendments should be made to the original plan. Nel (2018) agreed with the previous statement and emphasised that the original plan should be re-designed and re-implemented. Wallace (2018) advised that time is of the essence and that change agents should not wait too long to continue with the process after failure. He further advised that management should be honest about the negative outcomes and that an organisation should never stop trying to achieve its objectives.

## 6.4 Summary of findings from the interviews

The participants agreed on most of the general aspects of change management. There was a golden thread throughout the interview process which indicated that there are a couple of critical elements that all contribute to the success of change. This was clear in the case of both the internal and external participants.

The internal participants all indicated that the need for change in Theewaterskloof Municipality definitely exists and that the culture of the organisation should become more developmental. It was confirmed by the majority that the municipality is currently not developmental and that this should be changed. The participants also indicated that the municipality is challenged by financial sustainability and that the organisation should first be developed internally before community and economic development will be possible. They agreed that the main objective of the organisation should be to become sustainable in all aspects to be able to create a developmental area. It was also indicated that the stability of leadership was problematic and that commitment from the top of the organisation would support the suggested change. It was also stated that the culture in the organisation is currently very negative and that it is critical to change the mind-set of the employees to ensure that change is possible. The participants indicated that it is also important that all stakeholders in the organisation should be included in the change process and should have the opportunity to provide inputs. The majority of the participants argued that if policies are reviewed it should be necessary and relevant and should contribute to the change in culture within the organisation. The participants indicated that policies that are focused on the development of the community, the development and training of employees, financial management and the development of the economy should be taken into consideration. The participants argued that the following policies and processes in the form of strategies should be considered:

- Community Development Strategy,
- Client Care Strategy,
- Communication Strategy,
- Local Economic Development Strategy,
- Recruitment and Selection Policy,
- Study Bursary Policy,

- Succession Planning Policy,
- Tariff Policy,
- Developer Contribution Policy,
- Rates and Taxes Policy,
- Informal Trading Policy,
- Events Policy, and
- Guesthouse Policy

The internal participants agreed on the majority of general change management principles that should be considered in a change process. They agreed that resistance to change will be present and that it should be managed and evaluated from the start of the process. It was further emphasised that each level of leadership and all individuals will play an important role as a change agent. The participants also explained that the specific function within the organisation of each employee will guide the value that can be added. The participants confirmed that a proper methodology is key to the success of a change process. It was explained that although there are several methodologies available, the elements of leadership, communication and a focus on individual change should always be included. It was stated by the participants that political obstacles should be identified and managed, especially in a local government environment. The importance of communication throughout the entire change process was highlighted and it was suggested that a communication plan should be adopted by the organisation. The concept of successful change was analysed by the participants and they found that success will be achieved when all of the stakeholders are included in the process and the objectives are achieved. All of the participants agreed that leadership plays a critical role in a change process and that leaders on all levels within the organisation should take ownership and responsibility to ensure success. The issue of resources was also discussed and it was indicated that change management skills from outside the organisation will be most beneficial. It was also emphasised that the skills set within the organisation should be developed to ensure that employees are capacitated to implement the necessary changes. The different participants provided advice on aspects that change agents should take into consideration. The importance of a change management strategy was also highlighted by all the participants.

The external participants agreed on the main concepts of change, similar to the change concepts highlighted by the internal participants. The golden thread on the concept of change that was present in the explanations of all the participants was that the need is identified to move from a current undesired state to achieving new objectives. The participants all listed different elements that should be present in a change management approach and change model. They emphasised that it is important that a methodology should fit the needs of the specific organisation and that there not be a “one size fits all” approach available. Reference was made to specific change management models such as Lewin`s three-stage model; Kotter`s eight step process, and the ADKAR model. The participants all confirmed that the concepts of change readiness, organisational culture and leadership are pivotal to the success of a change process and should always be taken into consideration. The participants were also requested to identify the main reasons why change fails in an organisation. The majority of the participants agreed that sufficient resources, leadership and continuous communication would ensure that a change process will not fail. The participants provided advice on what the focus of change agents should be to ensure success. The advice of each participants was mainly based on his/her background and current job in their respective organisations. All of the participants, as in the case of the internal participants confirmed and agreed that communication is a critical element of the change process. They provided several pieces of advice on the aspects that should be communicated to stakeholders. The participants confirmed the importance of a clear and structured methodology and that employees cannot be managed without a plan with clear objectives. The participants also confirmed that resistance to change will always be present where there is a people element present in the process. They warned that resistance should be identified, managed and monitored from the start of the process. It was further confirmed by the participants that the need and the urgency of the suggested change should be identified and communicated to all stakeholders. The importance of risk management was also highlighted and explained by the participants and it was emphasised that all risks should be managed and mitigated. They explained that possible obstacles and identified wins should be managed by risk management and performance management tools. The participants alluded to the fact that employees should be motivated and supported throughout the entire process and that a platform should be created for them to provide inputs and concerns. It was also suggested that the change process should be reviewed from time to time to ensure that the objectives originally identified were achieved in

the end. The participants also added that if objectives were not achieved, the organisation should rethink the suggested change and re-design the process. They argued that the process should never be stopped because of temporary failure.

The results from the interviews will be used in chapter 7 to make specific conclusions and recommendations. The results from the research done on available literature on change management principles and models will be presented in the next section.

## **6.5 Summary**

In this chapter the results of the interviews were presented, discussed and interpreted. The principles and elements of change management models that were suggested by the internal and external participants were also summarised in this chapter. The opinions and statements of the authors in the literature had several linkages to the opinions and statements of the participants that were presented in this chapter. The importance of change management strategies and the most important reasons for unsuccessful change were also discussed in this chapter. The next chapter will discuss the conclusions on the research done and make specific recommendation that should be implemented. The recommendations will be focused on the most important principles that should be applied, the best change management model or a combination thereof, possible policies of Theewaterskloof Municipality that will have to be reviewed and important requirements for a change management strategy that should be considered by an organisation.

## **CHAPTER 7:**

### **Conclusions and recommendations**

#### **7.1 Introduction**

The research problem that was stated in chapter 1 was based on a decision made by the leadership of Theewaterskloof Municipality to change the current culture of the organisation to a developmentally-focused culture. The municipality identified specific challenges that should be overcome to achieve the objectives of the organisation. It was therefore necessary to determine the requirements and principles that should be applied for a change management process to achieve these objectives. The study focused on four objectives that should be achieved and attended to in this study. The first objective was to explore the theory on the concepts of developmental culture and change management and to determine the requirements for a change management strategy. The information gathered from literature and interviews were used to determine the requirements for such a strategy. The second objective was to establish elements in Theewaterskloof Municipality that should change to enable the organisation to change the mind-set of the employees to adopt a developmental culture. The third objective was to determine which change management model or combination of models and change management principles would be most appropriate to use in the case of Theewaterskloof Municipality to implement a developmental culture in the organisation. The fourth objective was to identify which policies and processes in Theewaterskloof Municipality should be reviewed to enhance the change to a developmentally-focused culture.

Chapter 2 set the theoretical background on developmental local government and the most important change management models and principles. The chapter also explained possible reasons why a change management process might fail. In chapter 3 the legislative framework for the concept of developmental local government, which is the basis of a developmental culture and the concept of change management, was discussed. Chapter 4 focused on the challenges and motivation of Theewaterskloof

Municipality and why it has become necessary to adopt a developmental culture. Chapter 5 explained the research design and methodology that was followed in this study. Chapter 6 focused on the outcome of interviews conducted with internal and external participants on the challenges of the organisation and change management principles and theories. This chapter will focus on a brief analysis of the change management principles and theories found in literature. This chapter will also focus on conclusions and recommendation with regard to the theory and information collected through interviews. The conclusions made will be applied to the case study to answer the research questions, achieve the objectives of the study and to make recommendations on the way forward.

## **7.2 Analysis of change management models and change principles from available literature**

There are several literature sources available which discuss and explain important change management principles and the most popular change management models. These principles and models were discussed in chapter 2 in detail. This section will only focus on the most important principles highlighted by these authors. The main change management models as presented and discussed in chapter 2 will also be presented and analysed in this section.

### **7.2.1 Change management principles and important elements**

The authors indicated that change management should be integrated and that the organisation should first prepare for the change and that sufficient planning should be done. They further explained that thereafter change should be managed and implemented to achieve the suggested objectives that should be achieved. Another important principle that was highlighted by the authors is that a change process should be flexible and that necessary changes should be made throughout the process. The authors further indicated that there are different types of theories and approaches available in the literature. They explained that an organisation should identify which theory will fit the circumstances and the needs of the organisation the best. The authors have identified different characteristics that should be present in a change process to

ensure success. They indicated that the process should focus on establishing the organisational culture and should make specific provision for the human side of change. The authors further indicated that sufficient capacity, including change management skills, should be available to support the change process. The authors emphasised that a change strategy and communication plan should be adopted which should be linked to change a specific mind-set. They added that this plan must be monitored and evaluated on a continuous basis. Both the top-down and bottom-up approaches were discussed by the different authors and it was indicated that both approaches had positive and negative traits. The majority of authors argued that the bottom-up approach is more effective and that change will be more sustainable and more easily accepted by employees. Some of the authors however warned that the bottom-up approach will not always be successful, especially in circumstances where specific changes are identified for the benefit of the entire organisation. These authors argued that it is sometimes necessary that change should be clear, simple and very specific and the top-down approach will be best suited to these circumstances.

The importance of communication was emphasised by the authors and they argued that communication is interlinked in the change process. The authors also emphasised that the entire organisation on all levels should accept, support and understand the suggested change. The opinions of authors of other elements that are possibly interlinked with the change process were also presented in great detail. The focus was mainly on elements such as change readiness, organisational culture and leadership. The importance of change readiness was the first element that was investigated. The authors argued that the readiness of an organisation will definitely add to the success of a change process. The majority of the authors indicated that change readiness should be established at the start of the process and that it should be monitored on a continuous basis. The authors advised that there are a couple of elements that can influence the readiness of an organisation such as the organisational culture and the understanding of employees of what is expected of them. The authors further advised that the history of change of an organisation can influence the readiness of the organisation to change in the future. It is argued that if employees had bad experiences of unsuccessful change they would be likely to resent change. One of the authors argued that the principles of Lewin's three-stage model takes change readiness into consideration and to ensure that the organisation is ready to change when the process starts.

The second element that was discussed was the influence that the organisational culture of an organisation might have on the process. The authors argued that organisational culture is definitely a main contributor to the success of any change process. It was further argued that there is an important link between the culture of an organisation, the leadership and the performance of an organisation and is it therefore critical to always establish the current culture. The authors however warned that it should always be established exactly what should change with regard to the culture and that the consequences of change should be considered. They further added that the behaviour and ideas of employees are directly linked to the culture of the organisation and that there should also be provision for individual change in the process. The third element that was investigated was the role of leadership in change. Some of the authors stated that the relationship between leadership and change is important, but that leaders further directly influence the organisational culture. One of the authors stated that leadership influences the organisation to be change ready and is it critical to guide employees through the process. The authors advised that the approach adopted by an organisation will often be influenced by the type of leadership in the organisation. Several functions of leadership were listed but three main functions were identified that should be part of the change management plan. The functions that should be performed by the leaders include creating a vision, sharing responsibility and developing the skills of employees. The authors emphasised that there should always be a balance and understanding between leadership and management. It is further emphasised that there should be agreement about the expected behaviour and objectives that should be achieved and how the organisational culture should change.

### **7.2.2 Change management models**

Looking at available literature it became clear that there are a great number of change management models available. Chapter 2 focused on five change management models that are used for individual and organisational change. The following five models were presented and discussed in this chapter: Kotter's eight-stage process, Kübler-Ross Model, Lewin's three-stage model, Nudge theory and the ADKAR Model. One model was also discussed that is specifically relevant to the public sector namely the McKinsey 7S Model. The authors indicated that Kotter's eight-stage process is one of the most popular models used over many years. This model is described as

comprehensive and elaborate. The model is focused on identifying the current status of the organisation, developing a structure and identifying possible obstacles. The model is further focused on suggestions to ensure that change will happen and also to ensure that change is sustainable. Some authors however warned that this model does not sufficiently include employees through the entire process and that there is not sufficient evidence available that this model actually works. The authors indicated that the Kübler-Ross model is also an old model that has been used often in the change management environment. The authors stated that this model is based on the different phases that an individual will go through as in the case of the death of a loved one. It was stated by the authors that this model is appropriate for individual change, but that it lacks the elements to be successful for organisational change. The authors advised that this model has been expanded over the years to include additional phases which is the result of the full grieving process on which this model is based. The authors added that this model will also be appropriate to change the culture of an organisation, because of the fact that it is based on behaviour and emotions of individuals. The authors however warned that this model does not provide guidance and support to change agents on how employees should be guided through the different phases and this can be problematic for continuity. The Lewin's three-stage process was also indicated as a popular change management tool. The authors explained that this model focuses on changing the current status of the organisation, bringing about the needed changes and insuring that the changes are sustainable and implementable. Some of the authors however argued that this model is too broad and that it is only focused on small-scale change. It is therefore argued that this model is not appropriate for major change in an organisation and that it can over-simplify the process of change. The authors further argued that this model can only be used with a top-down approach and that it cannot be used in all circumstances. The authors indicated that further elements have been added to this model over time and that elements such as goal-setting, skills-development and feedback should be included in this model. The authors further indicated that several attempts have been made to develop this model further, but that there have always been critique on the basis of this model.

The authors also suggested a couple of less popular models. Another change management model that was suggested by the authors is the Nudge theory. The authors indicated that this model is also useful for individual change and is based on nudging individuals to make a decision. The authors warned that this theory can be problematic

if specific changes that individuals should make are not defined clearly. It was suggested by some of the authors that this theory can be misused where the change agents can nudge employees to rather accept his/her own subjective beliefs. It was also stated that this model should not be used on its own and that it should rather be used as a supplement or technique to support individual change. Another model suggested by the authors is the ADKAR model. This model is based on milestones that must be achieved before the change process can be successful. The authors again advised that this model is more focused on individual change and is goal-based. It was argued by the authors that this model will be most appropriate for specific smaller projects and will not be effective for change through the entire organisation. It was suggested by the authors that this model can be used as a supplement with another model to identify gaps and obstacles in the process. The authors added that this model can be used with a bottom-up approach. The McKinsey 7S model was suggested by authors as a model that can be used in the public sector. This model is based on the integration of several elements within an organisation and requires that all change in the process. It was argued by the authors that this model also be used to identify strong and weak points in the organisation. It was further argued that it can be used to determine the relationship between different elements. It was suggested by the authors that this model would be very useful were change agents are not sure which elements in an organisation should change. The authors however warned that the success rate of this model is currently very low and that there are not many success stories available.

### **7.2.3 Change management strategies and reasons for failure**

All of the authors (Marshall, Baker, Hughes, Crawford, Passenheim, Anderson & Anderson, Hayes and Nickols) came to the conclusion that a change management strategy is critical in a change process. They argued that a strategy will contain the different objectives, plan of action, key performance areas and risks that should be managed. The authors emphasised that a strategy should be systematic and very specific, identifying the objectives one by one. One of the authors stated that the type of strategy that should be used by an organisation will depend on the circumstances and the nature of the suggested change. The authors also advised that a proper strategy should focus on content, processes and people. Several reasons for the failure of change was presented and discussed in chapter 2. The main reasons for failure of change as

stated by the authors were the following: objectives that are not properly defined, lack of communication and poor management of stakeholders. The authors also emphasised that the unwillingness of individuals can lead to the failure of change and an organisation should ensure that individual change is managed. There are however several other reasons stated by the authors of which a change agent should be aware.

The information gathered in literature will be used in this chapter to make specific recommendations on the most important change management principles and change models.

### **7.3 Final analysis and conclusion on the theory and case study**

The results of the internal and external interviews were presented, analysed and discussed in chapter 6. The information gathered from the available literature was presented and discussed in chapter 2 and was analysed in the previous section. The following conclusions have been made with regard to the main research questions after taking the results of the interviews and the information found in literature into consideration.

#### **7.3.1 Most important change management principles to consider**

After consideration of a wide variety of change management principles that should be taken into consideration to ensure successful change the researcher identified three critical elements. These elements are interrelated with the concept of change and should always be taken into consideration. The three elements are the following:

- The researcher found that the organisational culture of an organisation will have an influence on the success or failure of change in an organisation. It is therefore critical that the nature of the current culture should be established and that the necessary changes that are needed with regard to the culture should be taken into consideration from the start. It should also be borne in mind that the culture of the organisation will also directly impact on individual change and the suggested changes with regard to the culture should be clearly defined.

- It was also found that an organisation has to be change-ready to ensure successful change. If this is not the case, unnecessary resentment can manifest itself and this can cause the failure of change. It is however also important to understand that if it is found that the organisation is not change-ready the process does not have to be stopped. It is however important that this fact, that the organisation is not change-ready, should be managed from the start.
- It was also found by the researcher that leadership plays an important role in the change process. It is therefore important that the leaders of change should be identified at the start of the process and that they should understand and support the suggested change. Leadership together with management will play an important role throughout the process to ensure that the necessary guidance and support is provided to the employees.

The researcher further found that communication is key to the success of change and the progress, obstacles, achievements and way forward should be communicated on a continuous basis. It is also important to ensure as previously mentioned that the suggested change be clearly defined and that the objectives that should be achieved are understood by internal as well as external stakeholders. It is further important that a platform be created for employees to raise concerns and provide inputs throughout the process to ensure that all stakeholders support and drive the suggested change. It is therefore clear that there are a number of main principles that should always be applied in a change process to ensure a successful change. There are however several other principles available that might be applicable depending on the circumstance of the organisation and the nature of the change. The approach adopted by the organisation in the end will therefore be guided by the specific need for change.

### **7.3.2 Most appropriate change management model/s**

After careful consideration of the elements, advantages and disadvantages of the six models that was suggested and discussed in chapter 2, it became clear that there is not a 'one size fits all' model available. The researcher came to the conclusion that this is especially true with regard to change in the local government environment and it will depend on the nature and the impact of the change in an organisation. After considering

the circumstances, challenges and identified objectives that needed to be achieved in Theewaterskloof Municipality to change to a developmentally-focused culture, it became clear that a combination of models will have to be used.

The researcher found that Kotter`s eight-stage process will be a good basis for Theewaterskloof Municipality to use in its change management process. This model is comprehensive and makes provision for different stages in the process which covers the most important change management principles. The model includes the consideration of current circumstances, to establish new changes that should be made and lastly ensures that the changes made are sustainable. This model addresses the important issue of establishing a sense of urgency regarding the need for the municipality to change. The model also speaks to the importance of a dedicated person or group who should lead the process and ensure that the principles referred to in the previous section are applied throughout the process. The model further makes provision for an organisation to develop a vision and strategy which is very important to ensure that all stakeholders know exactly what is expected of them. The model also makes provision for communication, which was found through the literature and interviews to be critical in a change process. It was also alluded to by the internal participants that communication will be critical in the scenario of Theewaterskloof Municipality. One of the stages that forms part of the model also makes provision for employees to be empowered to change and is it very important that all possible obstacles within the organisation be removed or managed. Another important element of this model is to ensure that objectives are clearly identified and that the benefits of change for the organisation are also highlighted. The model not only focuses on long-term changes, but also makes provision for the identification of quick wins which will motivate stakeholders. One of the most important aspects of this model which makes it a good basis, is the fact that the model contributes to anchor the changes in the organisation and to integrate it with the organisational culture. All of the elements of this model will therefore be beneficial and necessary for change in Theewaterskloof Municipality.

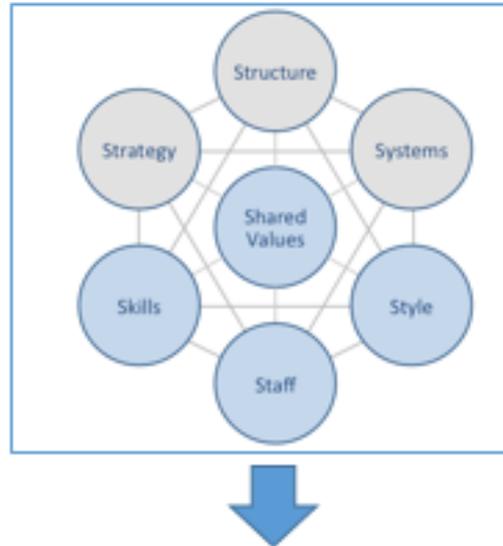
The researcher however found that Kotter`s eight-stage process cannot be used on its own and it is necessary that it should be combined with an additional model. The additional model will have to substitute for the shortcomings of this model with specific reference to the opportunity of employees to contribute to the process and raise their concerns. After careful consideration of the other available models the researcher found

that the ADKAR model will be an effective addition to the basis set by Kotter's eight-stage process. This model is focused on individual change and is goal-orientated allowing an individual to achieve specific milestones in their journey of change. It was indicated in the literature and the respective interviews that individual change is interlinked with organisational change and that the one cannot be successful without the other. The elements of this model ensure that an individual will understand the urgency of the suggested change and that they will have the desire to be part of the change. The most important element is however that individuals should be enabled and capacitated to be able to change. In the case of Theewaterskloof Municipality, individual change will play a pivotal role in the planned change of the organisation and this model will be used to change the mind-set of employees. The change in the organisational culture will only be successful if the mind-set of the employees can be changed to accept and adopt a developmentally-focused culture in the organisation.

In the case of Theewaterskloof Municipality it has also been found that although the challenges and objectives that were identified by the participants are aligned and mostly the same, there is uncertainty of what exactly should change to contribute to the objectives. The researcher therefore suggests that the McKinsey 7S model be used as a model to predetermine the weak and strong points in the municipality which will assist to determine the exact changes that will have to occur. This model can be used in a pre-phase of the change process. The identified changes can then be included in the combined change management model and listed in the change strategy. It was also found by the researcher that there might be a number of individuals in the organisation that might not be willing to change or believe that a change in mind-set will not be necessary. The Nudge theory can be used in these instances to guide the employee to adopt the direction adopted by Council (Refer to Figure 16).

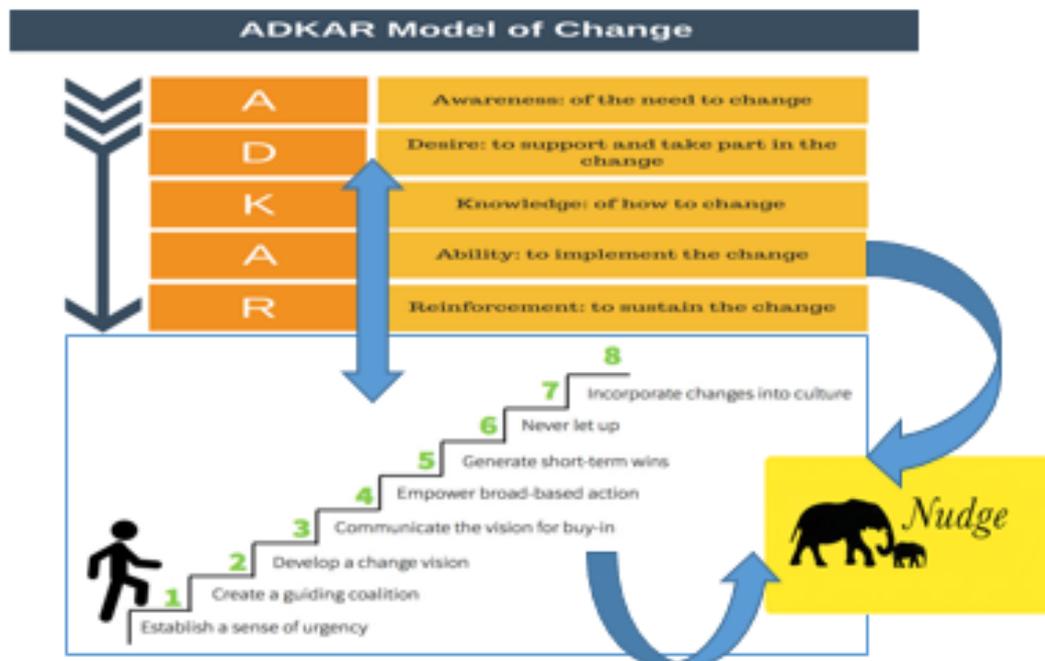
It should however be kept in mind that the recommended combination of change management models will not necessarily be applicable in all change processes in future in Theewaterskloof Municipality. It will therefore be necessary that the relevant change agent should always consider the nature and need for change and only thereafter decide on the best combination of change management models. It is further important to realise that the suggested combination of models will not necessarily ensure the best outcome in other municipalities as their circumstance and need of change might differ.

**Step 1:** McKinsey 7S Model used in Pre-phase to establish strong and weak points and where change is needed in the organisation.



**Step 2 and 3:** Kotter's eight-stage process used as basis. The ADKAR model used in addition to ensure individual change and will be used simultaneously with Kotter's model.

**Step 4:** The Nudge Theory should be used to guide the employee to adopt the direction of the organisation where necessary.



**Figure 16:** Illustration of how the three models interlinks (Step 1-4): Kotter's eight-stage process- ADKAR model- McKinsey 7S model- Nudge Theory

### **7.3.3 Elements in Theewaterskloof Municipality that should change to ensure a developmental culture**

The Council of Theewaterskloof Municipality adopted six objectives that will have to be achieved by the municipality to become more developmentally-focused: sustainability, working together, living in harmony, living in peace, living in dignity and developing the economy. The objectives were discussed in great detail in chapter 4. The municipality however also identified five challenges that were unique to the municipality and which had to be overcome to ensure the successful change of the culture of the organisation: migration phenomenon, ageing infra-structure, financial sustainability, limited institutional capacity and the gap between such institutional capacity and a growing expectation and political and administrative stability.

After consideration of the findings from the interviews, the researcher found that the overall sustainability of Theewaterskloof Municipality and lack of development inside the organisation will have to change. The municipality will have to overcome these challenges before the municipality will be able to become more developmental and the organisation will first have to be developed internally. The researcher further found that the culture of Theewaterskloof Municipality is currently very negative and the culture will have to change to ensure change within the rest of the organisation. It was also found that individual change within the organisation and changing the mind-set of employees will be critical because of the current culture and specific individuals that might hamper and influence the process.

It is therefore clear that Theewaterskloof Municipality cannot be seen as a developmentally-focused organisation and is it critical for the organisation to change its culture to be able to achieve the objectives adopted by the organisation.

### **7.3.4 Requirements for an appropriate change management strategy**

After consideration of the findings from the interviews and the available literature, the researcher found that the development of a change management strategy is critical to ensure successful change. It was found that the content of the strategy will depend on the nature of the change and the objectives identified by the organisation. It is again

important to note that there does not exist a 'one size fits all' strategy and that the contents of the strategy will depend on the specific organisation.

The researcher found that a strategy should at least focus on the aspects of content, people and processes to ensure that all aspects of an organisation are taken into consideration. It is therefore important that a strategy be based on a systematic process where the planned objectives that should be achieved are clearly defined. A strategy should also be very clear on the steps that should be taken throughout the process to achieve the objectives. The researcher also found that specific key performance areas should be listed that should be measured and monitored throughout the entire process. It was also found after considering the inputs from specific participants in the interviews that a change management strategy should be flexible and that the strategy should allow the review of progress. It was clear from the interviews that in reality the change process can fail and that the process needs to be reviewed from time to time. It was also found by the researcher that possible obstacles and quick wins should be identified at the start of the process and the management of the obstacles should be included in the strategy. It is further critical to identify potential risks that might influence or hamper the change management process and to include a risk register in the strategy with action plans to mitigate possible risks. It is also very important to use tools such as performance management and risk management together with the strategy to ensure successful change. The importance of communication was also emphasised and a communication plan should be included in the change management strategy.

The researcher came to the conclusion that the above requirements should be contained in a change management strategy that will be most effective in the case of Theewaterskloof Municipality. The requirements as stated will ensure that the stakeholders will be aware of what is expected of them and the process that will be followed to achieve the objective of the organisation to become more developmentally-focused.

### **7.3.5 Policies and processes that need to be developed or reviewed to enable the organisation to adopt a developmental culture.**

After consideration of the inputs provided by the internal participants the researcher came to the conclusion that policies and processes applicable in Theewaterskloof Municipality should be carefully selected before it is decided that it should be reviewed. The researcher agrees with the participants that policies and processes which are focused on the development of employees, the development of the community, related to financial management and policies that will enhance economic development should be reviewed. It is however important to start the review process by identifying policies and processes that will directly impact on the changed culture of the organisation. Although a number of policies and processes in terms of strategies have been identified by the participants, the researcher found that the main focus of the organisation should be on employee-related policies. The researcher came to the conclusion that policies such as the Recruitment and Selection Policy, Study Bursary Policy, Succession Planning Policy, Training Policy, Managing of vehicle fleet Policy and all policies related to the internal capacity of the organisation should be reviewed. The researcher came to a further conclusion that processes in terms of strategies that can contribute to changing the mind-set of employees and encouraging them to become more developmentally-focused should also be reviewed. These strategies would include the Community Development Strategy, Client Care Strategy, Communication Strategy, Local Economic Development Strategy, Informal Trading Strategy and the Information Communication Technology Governance Strategy. The researcher further identified policies where current processes in terms of the policy might negatively influence the change in culture. These policies include the Tariff Policy, Developer Contribution Policy, Rates and Taxes Policy and the Holding of Events Policy.

It is therefore clear that a list of current policies and strategies applicable to the organisation should be compiled and that policies and processes which might directly influence the change to a developmentally-focused culture should be reviewed. It is however critical that policies and processes should not be changed for the sake of change.

## 7.4 Recommendations

The aim of the research was to explore and identify the most important requirements for a change management process, by considering the best theories and models to ensure the adoption of a developmental culture in Theewaterskloof Municipality. Recommendations will also be made on policies and processes that should be considered to be reviewed. This section focuses on recommendations based on the literature review, the challenges identified in the case study and the findings from the interviews.

### 7.4.1 Critical changes in Theewaterskloof Municipality

It is recommended that the municipality should as a starting point focus on the internal development of the organisation to overcome the obstacle of institutional capacity versus the expectations of the community. It will not be possible for the organisation to become developmental and create a development-friendly area if the minimum services, bulk infrastructure and skills-base cannot be guaranteed. The organisational culture and negative attitudes of employees will have to be changed to ensure individual change which will enhance organisational change. Another critical challenge that will have to be overcome by the organisation is sustainability and this should be one of the main objectives of the change management process.

It is further recommended that the municipality list the above aspects that were identified to change as objectives in the change management strategy, which the organisation should adopt and implement.

### 7.4.2 Suggested change management models and principles

It is recommended that the following steps be followed by Theewaterskloof Municipality and should be included in the change management process:

**Step 1:** The McKinsey 7S model should be used as a tool in the pre-change stage of the change process to determine the strong and weak elements in Theewaterskloof Municipality. It is recommended that this process be followed because of the fact that

there are not certainty on the exact additional elements that should also change to support the change in the culture of the municipality. It should be determined what the linkages between the different elements are and how each element will impact the other. The additional changes that will be identified through this process should be included as objectives in the strategy. The focus of the model will be on structure, systems, style, staff, skills, strategy and shared value and should it be determined which of these elements are problematic and should be changed. The basis of this model is that all of the above elements are interrelated and the municipality should keep this in mind if a specific element is identified that is seen as a weak element. The fact that these elements are interrelated will mean that it will influence other elements and it will ultimately influence the shared values of the organisation. It is therefore important that these elements also be identified and managed by the municipality. The municipality should also use the model to identify strong elements which can be used to influence weaker elements and these elements should be included in the strategy to enhance the change management process.

**Step 2:** It is further recommended that Kotter`s eight- stage process be used as a basis for the formal change management process and the stages of this model should be applied to the organisation. Kotter`s model contains the basic elements of a good change management model and is it recommended that the municipality should base the first phase of its change management process on this comprehensive model. It is important that the municipality keep in mind that the stages should be followed in the suggested sequence. The first four stages of the model should be used by the municipality to focus on the current status of the municipality. The first stage of the model should be used to establish a sense of urgency within the organisation on why change is needed. The second stage of the model is that the municipality should identify the individuals or a formal structure that will guide the process. The third stage will be that the organisation should develop a very clear and concise strategy which will include the objectives that should be achieved. The fourth stage that the municipality should follow is to communicate the objectives and vision to all relevant stakeholders.

The purpose of stages five to seven are mainly to identify and suggest new practices, principles and changes within the organisation to ensure that change will happen. The fifth stage that the municipality should follow is to empower and develop employees to

be able to change. It is important that the municipality identify any obstacles during this stage which might be an obstacle for change such as a lack of skills, organisational structure, non-alignment of systems and the possibility of bad leadership. The sixth stage of the model is to identify quick wins and the municipality should include it in the change management strategy. The principle of quick wins is very important to keep stakeholders motivated and positive that there are progress in the change process. The seventh stage is to consolidate gains throughout the process in the organisational culture of the municipality. It is important that the municipality realise that the process of change be monitored continuously and changes should be incorporated in the culture over time. The purpose of the last stage of the model is to anchor the changes within the organisation and integrate it in the culture of the organisation to ensure sustainability. The municipality should therefore ensure that all changes fit into the culture of the organisation and it should be integrated and implemented in such a way. It should further be kept in mind that the change of behaviours and attitudes should also be incorporated in the organisational culture.

It is therefore recommended that the municipality follow the above mentioned eight stages carefully as the first phase of its change management process to ensure maximum success.

**Step 3:** It is further recommended that the ADKAR model be used as a supplement model and it should be the basis of the second phase of the municipality's change management process. Some of the authors argued that Kotter's model does not ensure that employees are included throughout the entire process. It is therefore recommended that the municipality use this model to ensure that its employees are part of the entire change management process and that they will have the opportunity to provide inputs and concerns. This model focuses on five milestones that are set for employees to achieve during the change management process. The milestones include awareness, desire, knowledge, ability and reinforcement. It is therefore recommended that the municipality use this model to ensure that the employees are made aware of the suggested change and that they develop a desire to support the suggested change. It is further important that the municipality ensure that the employees have the necessary knowledge, skills and the ability to be able to change. It is lastly important that the

municipality ensure that the necessary resources and reinforcements are available to support employees to complete the process of individual change.

The researcher recommends that this model be used as the second phase of the change management process to ensure that the individual change process will be finalised before organisational change will be possible. It is therefore recommended that these five milestones are also included in the change management strategy.

**Step 4:** It is recommended by the researcher that an additional step should be included depending on the circumstances in the municipality with regard to possible resentment. The Nudge theory should be used as a tool to encourage individual change where necessary to enhance the organisational change process. It has become clear through the interviews with internal participants that there exists a possibility that there could be individuals that might resist the change management process. It is therefore important that the municipality manage this possible obstacle and include it in the change management strategy. The Nudge theory should be used to nudge the individuals in the right direction to ensure that they understand and make a decision to accept the suggested change. This theory is important to ensure individual change which will ultimately support and enhance organisational change.

**Step 5:** It is also recommended that the organisation be change ready as it can influence the success of the change process. It has been argued by most participants that an organisation should be change ready otherwise it can influence the success of the suggested change. The municipality should therefore ensure that the organisation is ready to change and if it is not the case it should be listed as a possible obstacle in the change management strategy and it should be managed from the start.

**Step 6:** It is also recommended that the organisational culture of the organisation should be taken into consideration and it should be ensured that there is strong leadership present. The municipality should therefore carefully consider the current culture of the organisation. All of the internal participants have made it clear that the current culture of the organisation is negative and problematic. It will therefore be critical for this municipality to add the change of the organisational culture as an objective in the

change management strategy and to ensure that a strong leadership is established to drive the process.

**Step 7:** The researcher further advises that the concept of communication is of great importance and the progress, failures and success should be communicated to all stakeholders on a continuous basis. It is therefore recommended that the municipality develop a communication strategy and that it be included in the change management strategy to ensure that all stakeholders are always aware and informed of the progress of the change process.

**Step 8:** It is recommended by the researcher that the last step should be the development of a change management strategy and that it is key to a successful change process. The requirements of a change management strategy will be discussed in the next recommendation.

#### **7.4.3 Suggested requirements for change management strategy**

It is recommended as previously mentioned that a change management strategy should be adopted by Theewaterskloof Municipality. The municipality should carefully consider the circumstances and challenges of the organisation. This strategy should clearly identify the current circumstances in the organisation and the suggested changes that should be made. The objectives which the organisation would like to achieve should also be clearly listed. It is also recommended that a communication strategy be included in the strategy. It is further important that the strategy include a risk register with action plans to mitigate possible risks and all obstacles and quick wins should also be included. It is also suggested that tools such as performance management and risk management be used to monitor, evaluate and review the strategy throughout the process.

The researcher strongly recommends that the municipality include the above-mentioned elements in the change management strategy and this will support successful change.

#### **7.4.4 Policies and processes that need to be developed or reviewed to enable the organisation to adopt a developmental culture**

The researcher recommends that the municipality should list all policies and strategies applicable to the organisation and identify which policies and process might directly affect the suggested change to a developmentally-focused culture. It is further recommended that processes which might influence the behaviour or mind-set of employees to become more developmentally-focused, should also be identified and listed. The researcher recommends that the municipality should start by reviewing policies that might capacitate and develop employees to contribute to the new culture of the organisation. Some of these policies might include the following:

- Recruitment and Selection Policy,
- Study Bursary Policy,
- Succession Planning Policy,
- Training Policy,
- Managing of fleet Policy

The researcher further recommends that there are certain processes in terms of strategies that can assist employees to become more developmentally-focused such as:

- Community Development Strategy,
- Client Care Strategy,
- Communication Strategy,
- Local Economic Development Strategy,
- Informal Trading Strategy, and
- ICT Governance Strategy.

The researcher lastly recommends that policies that might have a negative impact on the organisation to become developmentally-focused must also be listed by the municipality and reviewed to be in line with the newly adopted culture. These policies might include the following:

- Tariff Policy,
- Developer Contribution Policy,
- Rates and Taxes Policy, and

- Holding of Events Policy.

It is however important that the municipality do retrospection and follow a thorough process where all policies and strategies are considered and all critical policies and strategies should be identified, reviewed and amended. This process should however be followed on a regular basis and it should be ensured that all new policies and strategies support a developmentally-focused culture.

## **7.5 Contribution to the local government environment**

The findings on the most important change management principles that should be taken into consideration in a change management process can contribute greatly to the elements that a change agent in a municipality should consider. The findings on the appropriateness of the most popular change models in organisational change will also be very useful when municipalities are looking for a model to use in practice. It is however important that an organisation first determine the needs and the necessary change that is needed before considering a specific model or combination of models. The results of this study will assist a municipality in identifying principles that should be applied and elements that should be present in a change management model and change management strategy. Although these findings will guide change in local government, it is still necessary that a change management model specific to relevant municipalities be developed in future.

## **7.6 Limitations of this study and further research**

There are various theories available on change management and this study has only focused on the main change management models and principles available. There are a number of elements referred to in theory which might influence the change management process and this study has only focused on a small number of them. There are therefore many elements that can be focused on in future studies which are directly related to the change management process which can influence the success of change management. It will be important for future studies to establish exactly what the links between these elements are and how they influence each other in a change process.

There are also several models available and different models can be combined, depending on the needs of the specific organisation. These models are however mostly developed for private sector organisations. Future research can possibly be done to develop a model specifically for local government, as this study has focused only on the main elements and principles for such a model and the combination of models that can be used.

A further limitation is the fact that the specific challenges of only one municipality was taken into consideration and there will be different aspects and elements in other municipalities, which may influence the process negatively or positively. The focus of the research was also only on rural municipalities and the principles and challenges will differ with regard to bigger municipalities. The participants who took part in the study were all from a local government background and participants with a national or provincial background might have a different opinion and understanding of what is needed in municipalities to become more developmental. There are several other angles and focus points that future researchers can take to make further contributions to the academic field, especially with regard to change management in local government.

## **7.7 Conclusion**

This study was done to look at change management in the local government environment. The study determined the most important change management principles that should be applied in a change process to ensure successful change. The study also determined and investigated the most popular change management models applicable to individual and organisation change. The study determined that there is not a 'one size fits all' model available and that there exists several gaps and concerns in the available models. It was therefore found that models should be combined specifically in the case of change management in the local government environment. The study further determined that a change management strategy plays an important role in change management in all sectors.

Theewaterskloof Municipality was used as a case study in the research and the above principles and models were applied to the circumstances and need for change in the

organisation. Specific recommendations were made that should be applied in this organisation to ensure change and specific changes were identified that the organisations should focus on. The main objective of the municipality was to become more sustainable and change the current culture to a more developmentally-focused culture to ensure that the area will attract more developers. The study was focused on changing the mind-set of the employees to adopt the suggested change and this will be done by changing the organisational culture of the organisation. Although the concept of developmental local government has been around for several years, there are still several municipalities that were not able to achieve this goal. It will therefore be necessary in future to develop a change management model focused on changing to a developmental status specifically applicable to municipalities in rural areas. This study is only the beginning for rural municipalities to fulfil their developmental mandate and ensure viable and sustainable service delivery to their communities.

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# ADDENDUMS

## Addendum 1: Approval of Theewaterskloof Municipality

7
<i>Me Nel-Gagiano verlaat die Raadsaal vir die bespreking van die Agenda-item</i>
<b><u>ITEM TITEL</u></b>
<b>B54/2018    DIREKTORAAT    ONTWIKKELING    :    DEPARTEMENT ORGANISATORIESE ONTWIKKELING : MENSLIKE HULPBRONNE : AANSOEK OM THEEWATERSKLOOF MUNISIPALITEIT AS GEVALLE STUDIE TE GEBRUIK VIR THESIS: MEESTERSGRAAD - ME Z NEL-GAGIANO</b>
<i>[Afrikaanse weergawe van die verslag is die oorspronklike]</i>
<b><u>LêER NOMMER</u></b>
4/6/R
<b><u>DOEL VAN VERSLAG</u></b>
Om Me Nel-Gagiano se aansoek om Theewaterskloof Munisipaliteit te gebruik as gevalle studie in haar thesis vir haar meestersgraad.
<b><u>AGTERGROND</u></b>
Gagiano is tans besig om te studeer vir haar Meestersgraad.
As deel van haar prakties wil sy graag Theewaterskloof Munisipaliteit, en spesifiek die Change Management Model gebruik as deel van haar thesis vir haar meestersgraad.
Me Nel-Gagiano se aansoek word hierby aangeheg.
<b><u>BESPREKING</u></b>
Die gevalle studie sal ook insluit die voer van onderhoude met personeel ten einde te gesels oor die unieke uitdagings van change management.
Me Nel-Gagiano onderneem ook om die uitkoms van die studie aan die organisasie beskikbaar te stel.
<b><u>KOMMENTAAR: DEPARTEMENT TEGNIESE DIENSTE</u></b>
Geen kommentaar.
<b><u>KOMMENTAAR: DEPARTEMENT ONTWIKKELINGSDIENSTE</u></b>
Support recommendation.
<b><u>KOMMENTAAR: DEPARTMENT OPERASIES</u></b>
Die aansoek word ondersteun en kan 'n positiewe bydrae tot TWK lewer.

**KOMMENTAAR HOOF UITVOERENDE OUDITEUR**

8

No comments.

**WETLIKE VERANTWOORDELIKHEID**

Geen

**FINANSIËLE IMPLIKASIES**

Geen

**KLIËNTESORG IMPLIKASIE**

Geen

**RISIKO BESTUUR IMPLIKASIE**

Geen

**AANBEVELING DEUR ITEM OUTEUR :**

**Daar word aanbeveel :**

**Dat goedkeuring verleen word aan Me Nel-Gagiano om Theewaterskloof Munisipaliteit as gevalle studie te gebruik om in haar thesis vir haar meestergraad op voorwaarde dat inligting van 'n sensitiewe of vertroulike aard nie gebruik word nie.**

**BESLUIT VAN BESTUUR : 09 MAART 2018**

- 1. Bestuur verleen goedkeuring aan Me Nel-Gagiano om Theewaterskloof Munisipaliteit as gevalle studie te gebruik om in haar thesis vir haar meestergraad op voorwaarde dat inligting van 'n sensitiewe of vertroulike aard nie gebruik word nie.**
- 2. Dat die studie gemaak word deur middel van die uitstuur van e-pos vraelyste en indien onderhoude en/of gesprekvoering moet plaasvind, dat dit beperk moet word tot die onderwerp en reaksie op die vrae.**
- 3. Dat die onderhoude/gesprekvoerings vrywilliglik sal plaasvind.**

*Vir affhandeling deur die Wnde Adjunk-Direkteur : Institusionele Ontwikkeling, Mnr. J Amansure.*

*Me Nel-Gagiano keer terug na die Raadsaal*

## Addendum 2: Semi-structured Interview Questions

### **Semi-Structured Interviews: Group 1: Change Management Experts and change agents in other municipalities (10)**

1. How would you define the concept of change?
2. Please explain the most efficient approach or theory of the concept of change and why you prefer this theory?
3. How important is change readiness in an organisation?
4. Will the current culture in an organisation have an impact on the change process?
5. How do you see the role of leadership in the change process?
6. What is the best change model or combination of models to ensure successful change according to you and why?
7. Please explain the three main reasons why change fails?
8. If you can give one piece of advice on change management to a change manager what will it be?
9. How important is communication in the change management process and what are the best communication tools?
10. Please describe your change management methodology?
11. Can the people side of change be managed without a methodology and what are the risks?
12. How does your approach address the hard and soft sides of organizational change management?
13. Why do organisations tend to resist change?
14. How do you sell the need to change to an organisation?
15. What is the best way to establish a sense of urgency?
16. How can we paint a picture of what success will be like for relevant role-players?
17. How can we remove obstacles and amplify wins in the process of change?

18. How can we motivate and support people during this change?
19. How do we review the change that was implemented?
20. What should be done if it becomes clear after evaluating the outcomes of the process and the objectives were not achieved?

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**Semi-structured Questions: Group 2: Change agents in  
Theewaterskloof Municipality (5)**

1. Would you describe Theewaterskloof Municipality as a developmental municipality? Why or why not?
2. Do you think change is necessary in the organisation and why?
3. How will the change help to achieve the objectives of the organisation and what are the benefits?
4. How do you think will the different stakeholders react and what is the contribution needed from them?
5. What do you think will be the hardest element to change in the current way of thinking of employees?
6. What do you currently do to support the change in your position and what should you do differently to align with the change?
7. How would you describe the organisational culture of the organisation?
8. What do you think shouldn't change in the organisation?
9. Are you familiar with any specific standards, best practices or methodologies for change management?
10. What techniques will you use to manage political obstacles that might influence the change process?
11. How should the need for change be communicated in the organisation and what is the importance of communication?
12. How will you describe successful change, specifically relevant to this organisation?
13. How do you see the role of leadership and management in the change process and what is the difference between these two aspects?
14. What type of support/ resources will be needed to ensure success?
15. Do the stakeholders currently have the skills needed to implement and adopt the change and if not how can this be obtained?

16. If you could give one piece of advice on change management what would it be?
17. What do you think will be the biggest challenges and obstacles in the change process?
18. How is the proposed change aligned with the strategy of the organisation?
19. What will the new values and goals be and how will it be integrated with the organisational culture and will it easily fit in the culture?
20. What policies will have to be developed and reviewed to ensure change in the workforce and to enable the organisation to adopt a developmental culture and why?