

# CHANGE MANAGEMENT IN THE BOTSWANA WATER SECTOR

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## DECLARATION

I Tshenolo Ntau do hereby declare that this dissertation is the result of my own investigation and research, except to the extent indicated in the acknowledgements and references and by comments included in the body of the report, and that it has not been submitted in part or in full for any other degree to any university

11<sup>th</sup> October 2013

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Tshenolo Ntau

Date

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## **ABSTRACT**

The purpose of this thesis has been to assess how change management interventions during the Water Sector Reform Process were perceived by the employees in efforts to help them to understand and embrace change. A questionnaire was designed and distributed to 342 respondents. The respondents involved in the study consisted of Water Utilities employees from Gaborone, Lobatse, Palapye, Selebi-Phikwe and Francistown. The analysis demonstrates several key findings: data analysis reveals that management interventions during the Water Sector Reform Process were negatively perceived by the employees in understanding and embracing change. The findings reveal that communication, leadership and employee participation all have a direct impact on how employees are able to embrace change. Training and development were found to also have an impact on employees' support for change. The motivations for organizational change are significant and vital to the long-term survival and competitive ability of any firm. The research is subject to the normal limitations of survey research. The study used data provided by all categories of employees at Water Utilities Corporation which may provide perceived and subjective measures. However, this can be overcome by using multiple methods to collect data in future studies. Interestingly, the findings here may be generalizable outside Botswana, i.e. a similar country to Botswana such as Middle-Income Countries. Management should ensure clear communication, effective leadership; encourage employee participation and effect training and development for up skilling of staff. The findings suggest that change was found to be important to employees because of its effect on the survival of an organisation and its development or transformation due the integration of the entity after a substantial merger process. The study integrates unintentional resistance to organisational change perception constructs. Very few studies have been performed in Botswana to investigate and understand this issue. Therefore, the research can make a useful contribution.

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## **LIST OF ACRONYMS**

DCs: District Councils

DWA: Department of Water Affairs

WSRP: Water Sector Reform Process (The Change Process)

WUC: Water Utilities Corporation

## **CHAPTER ONE BACKGROUND AND OVERVIEW OF THE STUDY**

### **1.1 INTRODUCTION**

Organisations are part of social systems and as such their existence and operation are not immune to internal and external forces and influences in society. From a passive point of view, organisations change by reacting to an ever-changing environment or as a response to a current crisis situation. On the other hand, a more proactive viewpoint is that it can be initiated by the leadership of an organisation. According to Pryor, Taneja Humphreys, Anderson and Singleton (2008:1) organisational leaders who anticipate and invent the future are even more successful because those who invent the game are the leaders in their industry. Pryor et al. (2008:1) further explain that other organizations are followers that adapt to change. Winners respond to the pace and complexity of change. The complexity leadership theory is useful and very relevant to understanding change. In this context, leaders adapt, learn and act quickly. Losers try to control and master change in the environment.

According to Lofquist Greve and Olsson (2011:534) organisations that do not change in response to changes in environmental demands risk facing degrading performance over time or even sudden, and often unexpected, life-threatening crises that can lead to early extinction. Much of this change happens naturally and comes in the form of evolutionary change that takes place without conscious thought or effort within the organisation, and its model is algorithmic in nature in that outcomes occur if certain conditions are met (Aldrich, 1999; Lofquist 2011:534). However, evolutionary change can also be problematic in that, due to its insidious nature, it often goes unnoticed and can interact with deliberate change processes in unexpected ways (Turner, 1997; Lofquist et al., 2011:535). Deliberate change, in contrast, is a conscious change effort in which decisions are made and implemented in response to perceived threats or challenges (Lofquist et al., 2011:531).

Change in any business is perceived to be inevitable, and businesses are perceived to flourish amid successful change initiatives (Brits, 2006). According to Lüscher (2008:221) organisational change is essential for short-term



competitiveness and long-term survival, but it poses daunting managerial challenges. It was estimated in the *Harvard Business School Review* that, between 1980 and 1995, change implementation costs for Fortune 100 companies came to an average of 1 billion US dollars (Jacobs, 1998; Ijaz & Vitalis 2011:113). The reported prevalence and the associated cost of organisational change have made the success of change initiatives a major concern for organisations.

According to Boohene and Williams (2012:135), even though change is implemented for positive reasons (to adapt to changing environmental conditions and remain competitive); employees often respond negatively toward change and resist change efforts. This negative reaction is largely because change brings with it increased pressure, stress and uncertainty for employees (Armenakis & Bedeian, 1999; Boohene & Williams 2012:135).

According to Kanter, Stein, and Jick (1992) and Lüscher and Lewis (2008:221), managing change has become the ultimate managerial responsibility as firms continuously engage in some form of change — from shifting organisational boundaries to altering firms' structures, to revising decision-making processes. Despite endless studies to find the formula for successful change initiatives, it has been observed that organisational change has a tendency to produce failure (Sorge & van Witteloostuijn, 2004:1212). It is believed that 70 percent of all change programmes fail (Balogun & Hailey, 2004:576).

Therefore, change management is one of the important functions in an organisation. Most planned organisational change is triggered by the need to respond to new challenges or opportunities by the external environment, or in anticipation of the need to cope with potential future problems. "Essentially there are two goals of planned change, firstly, it seeks to improve the ability of the organisation to adapt to changes in its environment, and secondly it seeks to change employee behaviour" (Robbins, Judge, Odendaal & Roodt, 2009:570).

## **1.2 BACKGROUND AND CONTEXT**

The search for efficiency and effectiveness within public organisations has without any doubt resulted in countries throughout the world embarking on various forms



of public or civil service reforms (Mothusi, 2008). Over the last decade, Botswana's population growth has been increasing and there has been more demand for services like water and sanitation provision. Water and sanitation provision has been handled by different stakeholders, among them public enterprises, government departments and private sector for their industrial needs like in the mining sector. Recognizing that many of its existing policies and organisational structures for the water and sanitation sector may no longer meet the needs of its current citizens, the government undertook a review of its water and sanitation master plan with the assistance of World Bank. Recommendations from the assessment brought about Water Sector Reforms.

Why reform? There are three reasons necessitating a major reform of the water and sanitation sector. These are:

Firstly, water and sanitation services are currently provided by a variety of entities. This division of responsibility has led to an uneven level of service provision (ranging from very good to almost non-existent), a lack of transparency for government subsidies, and a lack of accountability.

Secondly, the Government of Botswana has committed itself to providing piped water supply to all of its citizens by the year 2016. Consistent with world best practice, the only way to achieve this commitment was to have a clear separation and responsibility between: i) the delivery of water and sanitation services; and ii) the management of water resources.

Finally, finances in the water and sanitation sector are not currently sustainable. In order to achieve financial sustainability, the sector needed to be reorganized with an emphasis on improved and more efficient management, clearly targeted subsidies and a modern regime for setting and regulating tariffs (World Bank, 31 January 2009).

With such recommendations the government had to embark on a project of restructuring and merging water sector service providers, namely, the Water Utilities Corporation (WUC), the only water provision corporation in the country and the Department of Water Affairs (DWA) a government body, spread across



the nation, in order to have efficiency of water and sanitation service provision which was not achievable under the previous set-up.

To demonstrate the need for change, according to the report; neither DWA nor the District Councils (DCs) are recovering their costs from consumer tariffs. On the other hand, Water Utilities Corporation is more than covering its total costs. Water Utilities Corporation achieves this result through: (i) a combination of rigorous collection efforts; (ii) efficient operations; and (iii) substantial Government of Botswana subsidies built into its government and wholesale tariffs, which at P17/m<sup>3</sup> is about 55 percent above its cost (World Bank, 2009).

The change implemented in phases was very complex and massive, involving employees who had been in the public sector throughout the country, used to the culture and working environment in the public sector and employees who had been in public private enterprise and more used to "corporate culture". The Water Sector Reforms brought the two groups of people under one organisation incorporated into the Water Utilities Corporation. The change management process was a very critical component of the reforms that even the Minister of Minerals, Energy and Water Resources acknowledged in the 2009/2010 Budget speech: "Ordinarily, a project of this magnitude is bound to present a number of plausible challenges but we are committed to the welfare of our employees and they remain atop the list of our priorities (Ministry of Minerals, Energy & Water Affairs, 2009).

### **1.3 PROBLEM STATEMENT**

In a bid to survive competition and deal with changing economic realities both locally and globally, the government of Botswana adopted Water Sector Reforms as recommended by the World Bank. The key element involved merging the Department of Water Affairs (a government department) with the Water Utilities Corporation (a public enterprise). The underlying reasons for the change were, firstly, to improve levels of service delivery, transparency and accountability; secondly to have a clear management structure that will enhance service delivery; and thirdly to attract finances to run these corporations for purposes of sustainability as a single water and sanitation service provider.



Robbins et al. (2009:570) argue that one of the primary causes of failure is the lack of proper change management practices. Public uproar through newspaper articles and local radio talk shows displayed discomfort with the Water Sector reforms, leading to several statements released by the Ministry of Mineral, Energy and Water Resource in rebuttal of the arguments of lack of consultation and job losses.

Based on the magnitude and sensitivity of the project, change management was very critical, as otherwise the government of Botswana would be running a high risk of resistance to change, commonly referred to as “resistance to organisational change” by the employees and indeed other stakeholders. Resistance to change is often cited as a reason for difficulties in implementing and failure of change initiatives (Erwin & Garman, 2010:39). This is summarized by Lines (2005) who states that ‘a key challenge for managing change is to control the attitude formation processes in the organisation so that positive attitudes toward change are formed early in the change process, and the formation of negative attitudes toward change is avoided’. According to Ntombana (2004:1), the successful charting of organisations through major changes relies heavily on managing the remaining employees. Ntombana (2004:1) further posits that it is increasingly being acknowledged that survivors often experience the effects of major changes as deeply as those who have been made redundant.

#### **1.4 RESEARCH OBJECTIVES**

The specific objectives of the study are to assess how change management interventions during the Water Sector Reform Process (WSRP) were perceived by the employees in helping them to understand and embrace change. The following research objectives have been developed for the study:

- To assess the impact of *communication* on how employees embraced change;
- To assess the impact of the role of *leadership* on how employees embraced change;
- To assess the impact of how *employee participation* enabled employees to embrace change; and



- To determine the impact of *training and development* on employees' support for change.

## **1.5 RESEARCH PROPOSITIONS**

The following research propositions have been developed for the study:

- P1. Communication has an impact on embracing change
- P2. The role of Leadership has an impact on embracing change
- P3. Employee Participation has an impact on their embracing of change
- P4. Training and Development have an impact on employees' support for change

## **1.6 ASSUMPTIONS**

The following assumptions have been made regarding the study:

- 1.6.1 The sample will be able to share information on the Water Sector Reform change management due to the concentration of the Water Utilities Corporation and the Department of Water Affairs Botswana.
- 1.6.2 The total number of respondents used will be sufficient to obtain adequate data.
- 1.6.3 Change management information and experiences will be given honestly by the respondents.
- 1.6.4 The main constructs involved are communication; leadership; engagement; training and development.
- 1.6.5 The scope of the literature relied on by the study shall predominantly be of post 2000 period based on the relatively 'new' scholars of change management. Literature shall cover causes, type and extent of change; including the change management process, key factors, barriers and theories.

## 1.7 IMPORTANCE OF THE STUDY

The study fills a gap in that change management studies have been carried out mostly in single case studies involving a government body or private company or public-private enterprise on its own.

The study will provide insights on change management processes involving employees who originally belonged to two distinct organisations with different cultures and structures now restructuring and merging at the same time.

The study will further give insights of the experiences of WUC employees in relation to four proposed areas of communication, leadership, employee participation as well as training and development and their influence on embracing change.

It will further seek to provide guidance on how to manage change especially of such a high magnitude of a national policy. In addition, the study will identify the impact of training and development in being a building block for individual employee contribution in successfully implemented change initiatives.

## 1.8 CHAPTER OUTLINE

**Chapter 1** deals with the general introduction and background to the study. It clearly states the objectives, research questions, assumptions and limitations of the study. **Chapter 2** reviews literature related to the topic, highlighting the gaps that exist and presenting different perspectives on the subject matter. In **Chapter 3**, the methodological approaches used in the study are clearly highlighted, including research design, methodology, target population, sample size, sampling procedure, and demographic factors that will be considered. The chapter also highlights the ethical considerations that guide the study. Emphasis in **Chapter 4** is on the results and their interpretations against the objectives of the study. **Chapter 5** deals with conclusions and recommendations based on the findings of the study.



## **1.9 CONCLUSION**

This chapter has outlined the basis of the research, objectives and the research methodology to be used. Change management has become part and parcel of everyday challenges as organisations are faced with "change" and strive for survival. Therefore, it has generated a lot of interest that initiatives of such a high magnitude like Water Sector Reforms in Botswana cannot go without being put under a microscope and made to provide valuable insights and learning ultimately sought from research by both practitioners and academics, hence the present study. The next chapter is a discussion of literature on change management as a field of study and how it gives insights into managing organizational change.

## CHAPTER TWO LITERATURE REVIEW

### 2.1 INTRODUCTION

According to Burnes and Oswick (2011: 2), the roots of change management can be traced back to the pioneering work of the National Training Laboratories in the late 1940s and 1950s. Organisational change has come to be a very important discourse. It is an important issue because proper change management significantly increases the survival of an organisation in today's hyper-competitive global business environment, yet all too often transformational change programmes fail due to a variety of reasons (Stadtländer, 2006:17). Organisational change has also been referred to as organisational development and organisational transformation (Pryor, Taneja, Humphreys, Anderson & Singleton 2008:1; Cummings & Worley, 2005; Newhouse & Chapman, 1996). With globalisation, the recent financial crisis, environmental challenges and a ravenous desire for new management fads, all organisation employees are equally exhorted to actively participate in organisational change (Ijaz & Vitalis 2011:113). But what is organisational change?

Organisational change refers to a "relatively enduring alternation of the present state of an organisation or its components or interrelationships amongst the components, and their differential and integrated functions totally or partially, in order to attain greater viability in the context of the present and anticipated future environment" (Ott, 1996; Burnes & Oswick, 2011:30). In other words, organisational change can be defined as a reconfiguration of components of an organisation to increase efficiency and effectiveness.

It can be conceptualized as 'the process of continually renewing an organization's direction, structure, and capabilities to serve the ever-changing needs of external and internal customers' (Moran & Brightman, 2001:111; Todnem, 2005:369). For instance, some organisations initiate radical change that results in structural transformation through which organisations attempt to revitalize business orientations (Pryor et al., 2008:5) through changing the reporting structure. Keifer (2005:876), presupposes that other changes such as mergers and acquisitions, new top management teams and changing company dynamics because of



reorganization and restructuring require organisations to make significant changes not only in strategy and structure, but also in organisational culture and processes.

Regardless of its speed, organisational change is the movement of an organisation from the existing plateau toward a desired future state. It aims at increasing organisational efficiency and effectiveness (George & Jones, 2002; Cummings & Worley, 2005; Pryor et al., 2008:1).

According to Stadtländer (2006), organisational change has evolved over time in terms of how it is perceived.

*Earlier* studies were mainly directed at understanding the basics and importance of change in organisations and at attempts to overcome resistance to change.

*Later*, the emphasis shifted toward seeing change as something that can be actively planned, created, and influenced; behavioural scientists became an important part of change programs by acting as consultants or change agents who could facilitate the change process;

*In more recent years*, extensive research has been done on multiple aspects of organisational change, including on the effects of change on the organisational culture, structure, communication, performance and survival;

*Today*, change has become an important part of strategic management in many organisations because leaders have realized that we live in a 'temporary society' and that constantly introducing change can give an organisation a competitive advantage in both the domestic and the international business environments.

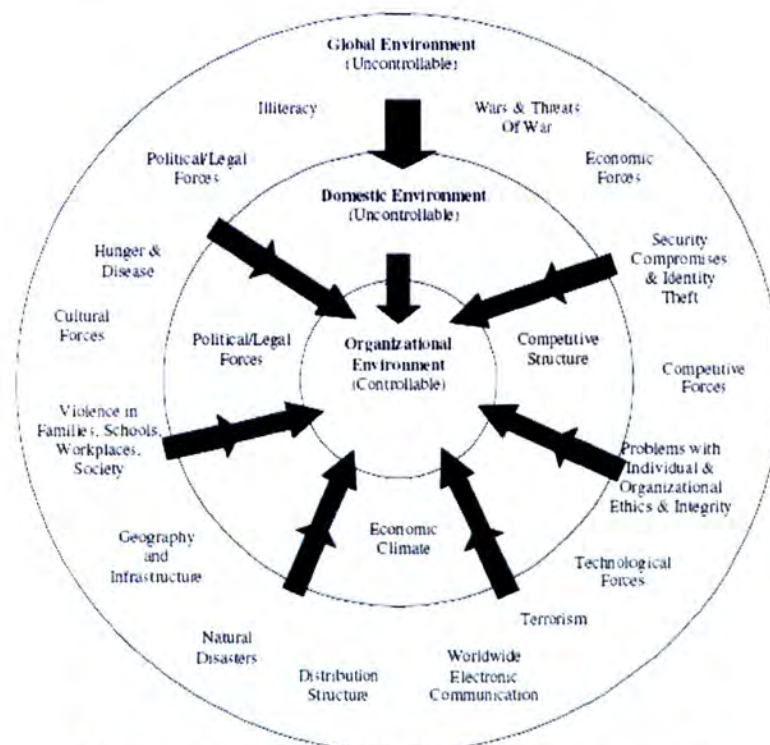
According to Pryor et al. (2008:1), major differences in changes today and those of previous eras are:

- (1) The simultaneous nature of the changes;
- (2) The speed at which the different types of change occur;
- (3) The complexity of changes;
- (4) the immediate communication and impact of the changes throughout the world;

- (5) the need for individuals as well as leaders of organisations and nations to step up and immediately make decisions and address problems, issues and resolutions.

## 2.2 CAUSES OF CHANGE

Organisations operate within an ever-evolving environment. The pressure to change stems from a variety of internal and external sources such as political, economic, social and technological factors (Boojihawon & Segal-Horn, 2006; Boohene & Williams, 135). Leana and Barry (2000) argue that organisational change is aimed at adapting to the environment, improvement in performance and changes in employees behavioural patterns at the work place.



**Figure 1: Adapting Organization Responding to Change**

*Source: Adapted from Cateora and Graham (2002, p.9) and Pryor and Cullen (1993, p.10-14)*

### Figure 2.1 Adapting Organisation Responding to Change

**Source: Adapted from Cateora and Graham (2002:9) and Pryor and Cullen (1993:10-14)**



Pryor et al. (2008:1) posit that earlier research examined environmental factors that motivated organisations to change in response to external environmental threats and opportunities and focus on environmental factors that may motivate organisations to change showing that there are many driving forces that trigger the need for change. According to George and Jones (2002), the most widely-stated causes come from macro-environmental factors such as major economic and political changes, technological advances, rapid expansion in the global marketplace and altering demographic and social structures.

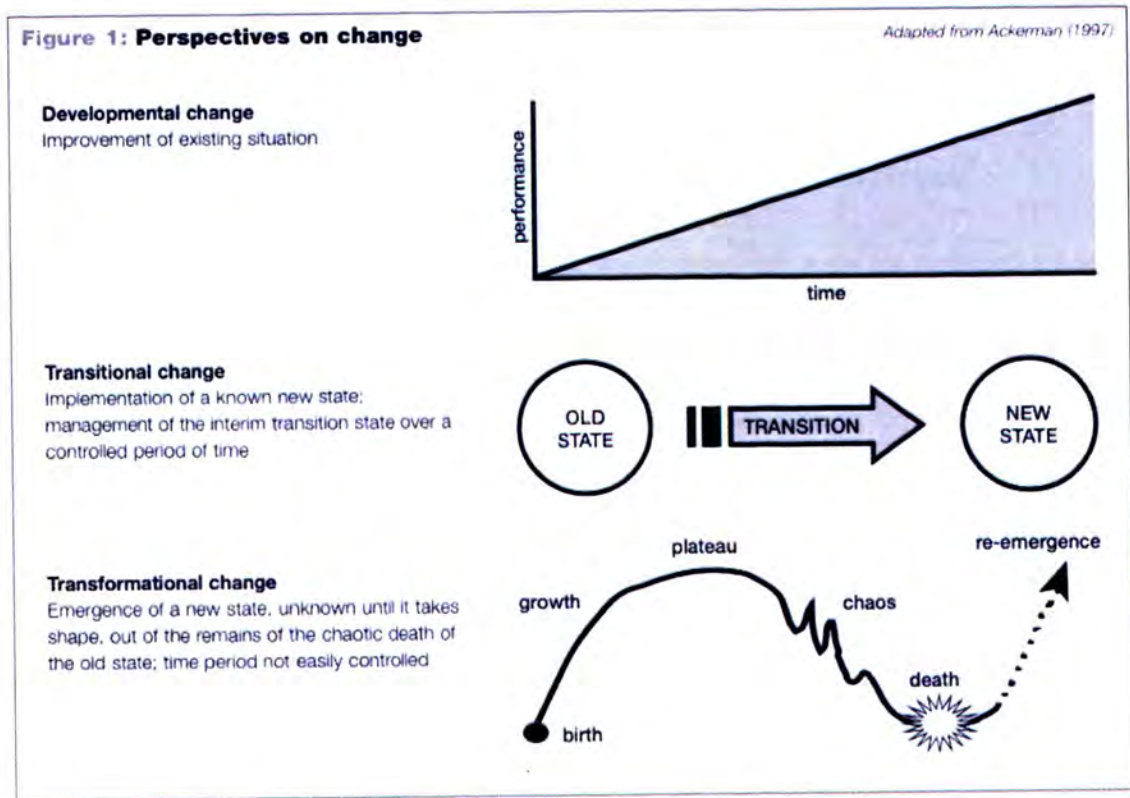
McNamara (2001:3) states that organisational change is provoked by a major outside driving force that will cause an evolution to the next level in the organisation. In broad terms, either inspiration or desperation in the face of globalization, consolidation, technology, or legislation, forces an organisation to change in order to survive (McNamara, 2001; Mowat, 2002:3).

### **2.3 TYPES OF ORGANISATIONAL CHANGE**

A renowned author in change management, Ackerman, in an article in the *Organisation Development Practitioner*, defined the three most prevalent types of change occurring in organisations as *developmental change*, *transitional change*, and *transformational change*. According to Chiang (2012:157), various authors have recognized different types of change: revolutionary and evolutionary change (Tushman & Romanelli, 1985), convergent and radical change (Greenwood & Hinings, 1988 & 1996), first-order change and transformational change (second-order change) (Mink et al., 1993), continuity and radical change (Huy, 2002), episodic change, continuous change, and disruptive change (McCann, 2004).

The types of change are in a way similar to Ackerman's classification of change because Ackerman's classification is generic whereas the types of change are specific to a particular circumstance resulting in a particular action. Developmental change involves new changes occurring as a result of internal and external stimuli. Transitional change includes revolutionary and evolutionary change. Transformational change includes convergent and radical change; second order change; continuity change, episodic change, continuous change, and disruptive change. Ackerman's classification is a simplification of specific types of change.

For simplicity sake, Ackerman's classification is still relevant hence further explanation on her classification in pictorial form;



**Figure 2.2 Three Types of Organisational Change**  
(Ackerman McCann, 2004)

Ackerman (1997) has distinguished among the three types of change: developmental, transitional and transformational.

### 2.3.1 Developmental change

This may be either planned or emergent; it is first order, or incremental. It is change that enhances or corrects existing aspects of an organisation, often focusing on the improvement of a skill or process.

### 2.3.2 Transitional change

This change seeks to achieve a known desired state that is different from the existing one. It is episodic, planned and second order, or radical. The model of transitional change is the basis of much of organisational change literature



### **2.3.3 Transformational change**

This is radical or second order in nature. It requires a shift in assumptions made by the organisation and its members. Transformation can result in an organisation that differs significantly in terms of structure, processes, culture and strategy. It may, therefore, result in the creation of an organisation that operates in developmental mode one that continuously learns, adapts and improves.

According to Flesch (2003), transformational change can also be referred to as quantum change and it involves fundamental change which makes a noticeable impact on the organisation and is also regarded as “strategic”, “visionary” or “transformational” change. Flesch (2003) posits that quantum change is better suited to situations where incremental change may be inadequate as companies face extreme environmental uncertainty, and where it requires that companies create a totally different configuration of systems. A radical change involves a comprehensive examination of an organization's culture, core process structures, management, decision-making, performance management, missions, goals, and strategies (Mink et al., 1993; Chiang, 2012).

Thus “while developmental change leads to improvements of the currently existing status quo (the aim is to do more or to do things better), transitional change leads to the implementation of a known new state and requires rearranging or dismantling old operating methods. Transformational change goes much further in that it leads to the emergence of a new state, unknown until it takes shape” (Stadtländer, 2006:18).

**Table 2.1 Matrix of the Three Types of Organisational Change**

| Type                    | Degree of Pain felt | Primary Motivation                                                                 | Degree of Threat to Survival | Gap Between Env'tal Needs and Operations | Clarity of Outcome                                                                                             | Impact on Mindset                                                      | Focus of Change                                                                                       | Orientation                                                                    | Level of Personal Development Required | How Change Occurs                                                             |
|-------------------------|---------------------|------------------------------------------------------------------------------------|------------------------------|------------------------------------------|----------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------|
| Developmental Change    |                     |                                                                                    |                              |                                          |                                                                                                                |                                                                        |                                                                                                       | To do better in a certain area: project oriented                               | 1                                      | Through training, skill, development, communications, process improvement     |
| Transitional Change     | 2                   | Fix a problem                                                                      | Fix a problem                | 2                                        | 4 It is designed against a criteria                                                                            | 1 Little if any                                                        | Redesign of strategy, structures, systems, processes, technology or work practices (not culture)      | Project oriented ; largely focused on structure, technology, or work practices | 2                                      | Controlled process, support structures, timeline                              |
| Transformational Change | 3-4                 | Survival change or die; or Thrival breakthrough needed to pursue new opportunities | 1-4                          | 3-4                                      | 1 It is not initially known; it emerges or is created through trial and error and continuous course correction | 2-4 Forced to shift: old mindsets and/or business paradigm must change | Overhaul of strategy, structure, systems, processes, technology, work, culture, behaviour and mindset | Process-oriented require shift in mindset, behaviour and culture               | 3-4                                    | Conscious process design and facilitation; high involvement; emergent process |

Rating Scale: 1 is low, 4 is high

**Source:** Anderson & Anderson: 2001: 33



## **2.4 MERGER AND ACQUISITION**

Mergers can be a form of organisational change involving combinations of two or more organisations brought together. Gaughan (1999) in Flesch (2003) suggests that mergers can be grouped into three main categories, defined by the types of companies that come together to form the merged organisation. These categories include;

- Horizontal mergers take place when two companies in the same line of business combine into one single organisation.
- Vertical mergers take place between two companies that have a buyer-seller relationship.
- Conglomerate mergers take place when two companies in different lines of business combine into one single organisation. There is no buyer-seller relationship.

### **2.4.1 Reasons for Merging**

In the quest for competitiveness organisational leaders have increasingly turned to transitions like mergers and acquisitions to increase productivity and improve technological enhancements (Hoskisson & Hitt, 2004). This has become relevant even in government set-ups like in the case of the Botswana water sector reforms.

According to Devine (2002), there are several reasons behind company mergers that can be outlined as follows:

- i. Economies of scale: two new companies attempt to broaden their activities while lowering their cost structures.
- ii. Expansion: acquiring a company in line with the business or geographic area into which the company may want to expand.
- iii. Consolidation: regrouping into smaller numbers of big companies to help fight back against newly-formed giants.

## 2.4.2 Change Processes in Mergers

Mergers have become highly complex events representing a very difficult organisational change process and change management challenge (Kavanagh & Ashkanasy, 2006). According to Barchan (2006), the most difficult part of leading a company through a merger is managing the people side of the business. Mergers mean that the 'micro-structure' of the organisation changes in some of its parts as new teams are formed, old ones terminated and people moved between teams.

According to Spicer (2011:248), this places the onus upon managers in new organisations to be sensitive to cultural issues from the outset. DiGeorgio (2003), suggests that a genuine merger (seeking the 'best of both') can aid attempts to manage cultural change, as it provides a number of opportunities that enhance the potential and speed of cultural change. These can be summarized thus:

- Differences in culture can force management to take this issue seriously and focus their attention upon it.
- In bringing together the best from each partner you have people on each side who know how to make this happen.
- Selection of managers and leaders for the new organisation can reinforce the nature and direction of a desired culture.
- Opportunities exist to change and remodel systems and procedures that would have reinforced old cultures.

Furthermore, DiGeorgio (2002) suggests that, in the case of mergers rather than acquisitions, cultural compatibility is critical to success, as a genuine merger requires integration of two cultures, rather than dominance of one organization's culture over the other. Evidence nonetheless suggests that such integration is highly problematic, and cultural problems and clashes are often a cause of mergers failing (Cartwright & Cooper, 1993; Galpin & Herndon, 2000; Spicer, 2011:248).

Spicer (2011:248) argues that mergers therefore represent situations in which the potential for cultural change is high, but for this to occur effectively, organisations need ways of identifying and understanding cultural differences and articulating



the new desired culture. Of crucial significance therefore is a means through which existing understandings of culture can be unearthed. According to Samuels (2005) the process of integrating the employees of the two companies thus becomes the key to delivering the synergies required for the post-merged organisation, synergies that are critical in sustaining the business for the future.

## **2.5 BARRIERS TO ORGANISATIONAL CHANGE**

Having highlighted the challenges that are faced by organisations as they grapple with change, it is evident that there are barriers experienced in managing organisational change.

Bolman and Deal (2003), define the barriers with a classification in four different frames;

- In the human resource frame, barriers to change include anxiety, uncertainty, and feelings of incompetence and neediness;
- in the structural frame, barriers include loss of clarity and stability, confusion, and chaos;
- in the political frame, barriers of change include disempowerment, and conflict between winners and losers caused by the perception of all stakeholders and perceived loser/winner contest; and
- In the symbolic frame, barriers include loss of meaning and purpose, and clinging to the past.

The failure of organisational change may occur for a variety of reasons, including overreaching in the change ideas, inadequate communication of the change to the change or flawed execution (Zoller & Fairhurst, 2007; Ijaz & Vitalis 2011:113). Resistance through employees' behaviours, attitudes or emotions has been found to significantly stem change efforts (Dent & Goldberg, 1999; Ijaz & Vitalis, 2011:113).

According to Judge and Douglas (2009), the reasons for the failure range from a lack of understanding surrounding an organization's capacity for change to other



human factors, such as employee resistance toward organisational change (Martin, Jones & Callan, 2006).

One reason for failure of many change initiatives is the lack of understanding of the overwhelming impact that organisational cultures have on the change process (Wilkins, 1983; Lofquist, 2011:35). According to Chiang (2010), some barriers and resistance to organisational change are as follows: high cost of change, financial difficulties, time limitations, other business priorities, technical difficulties, fear of insecurity, losing something valuable, lack of skills and resources, unpleasant previous experiences, commitment to current practices, strong organisational culture, internal politics, powerful trade unions, and government regulations.

According to Thomas and Hardy (2011), more recently, a different conceptualization of resistance has emerged which, rather than seeing resistance to change as something to be avoided or eradicated, views it as part of successful change. This work proposes that the demonizing of resistance has not provided sustainable ways of managing change and argues that this mindset can interfere with successful change (Dent & Goldberg, 1999; Furst & Cable, 2008). Further, negative reactions to change may be motivated by positive intentions (Piderit, 2000; Thomas & Hardy 2011), and middle managers, in particular, can make an important contribution to change through their questioning of the claims and understandings of change agents (Lüscher & Lewis, 2008; Wooldridge, Schmid, & Floyd, 2008). Similarly, participation by employees and other stakeholders can enhance change initiatives by challenging taken for granted assumptions (van Dam et al., 2008). In this way, it is argued, resistance can, despite challenging change agents, lead to better change and, consequently, is to be encouraged, even celebrated (Dobosz-Bourne & Jankowicz, 2006; Ford & Ford, 2009).

Issues such as "fear of the unknown" and "the inability to see the need for change" are common in resistance to change research (Hickins, 1998; Wienbach, 1994). Without valid and reliable information, employees will resist change in an effort to maintain their commonality and familiarity.

Atkinson (2005), suggested that most change programmes fail due to a lack of energy devoted to internal public relations to help those affected by change to



better understand it. Lofquist (2011:229), argues that, most notably, it is assumed that a mismatch between organisational culture type and organisational change method will increase organisational resistance to change and decrease organisational support for the change initiative. It can be argued that even the simplest of organisational changes is complex and dynamic requiring a well thought-out plan for successful change implementation (Lofquist, 2011:227).

## **2.6 HOW TO MANAGE THE PROCESS OF ORGANISATIONAL CHANGE**

Chiang (2010:158) posits that most organisations recognize that on-going change is essential for organisational survival, and therefore strive to break the barriers and resistance to change. In planned change processes, organisational members are likely to interpret the changes in various ways (Isabella, 1990; Weick, 1995 Lofquist, 2011:228). An important task for managers is, therefore, to be attentive to how changes are interpreted at different levels and divisions in the organisation, and to continuously communicate the rationale behind the change effort and how it will affect each particular group or level in the organisation (Meyer & Stensaker, 2005; Lofquist, 2011:228).

Cultural matching has been argued to produce better change outcomes, although most studies have focused either on clearly defined culture types or paradigms or change types, such as participative or unilateral change (Meyerson & Martin, 1987; Lofquist, 2011:226). However, Lofquist (2011:226) cautions that just matching implementation strategy to culture is not enough to ensure success. For example, other important factors in change implementation, such as how to engage organisational participation in change (Lines, 2004; Lofquist, 2011:226), participation of change recipients (Armenakis & Harris, 2009; Lofquist, 2011:226), creating internal change capacity and pacing or how varying the speed of change can effect implementation (Meyer & Stensaker, 2005; Lofquist, 2011:226, are all key elements in ensuring successful change strategy implementation (Lofquist, 2011:226).

Lines (2005) states that 'a key challenge for managing change is to control the attitude formation processes in the organisation so that positive attitudes towards change are formed early in the change process, and the formation of negative



attitudes toward change is avoided'. Therefore, change managers should bear in mind how the situation of change is likely to impact employee's organizational identification, which in turn has an effect on supportive attitudes, values and behaviours (Michel, Stegmaier & Sonntag, 2010:56). Others claim that forming positive attitudes early in a change process, when organisational members are first exposed to information about a pending change, improves an organization's capability of implementing the change in such a way that important objectives are met (Isabella, 1990; Armenakis et al., 1993; Lofquist, 2011:227).

### **2.6.1 Change Leadership**

The term "change leadership" was developed by Higgs & Rowland, 2000; 2005; Caldwell, 2003; Herold et al., 2008. Change leadership (Lewin, 1947; Kotter, 1996; Armenakis et al. 1999; Herold et al. 2008) is a relatively new area of OB having developed during the last 60 years, therefore the amount of theoretical development and empirical investigation in this area is seriously lacking (Pettigrew et al., 2001). Consequentially, the bulk of change leadership research originates from change implementation literature (Woodman, 1989; Porras & Robertson, 1992; Armenakis & Bedeian, 1999). Change implementation literature is regarded as a highly developed area in the field of organizational change and development (Martins, 2008) with roots deeply embedded in Lewin's (1947) seminal framework, Porras and Robertson (1987; 1992) typology, Judson's (1991) 5-phase model, Kotter's (1995) 8-step model, and Galpin's (1996) wheel of 9 wedges (Armenakis & Bedeian, 1999). (Lui, 2010:17-19). Change leadership is viewed as a task specific and relational construct. Change leadership is defined by the traits of the leader and the environment (Turner, 1991; Hogg & van Knippenberg, 2003) while it is also a relational construct where the leader constantly leads by obtaining subordinates cooperation to ensure positive outcomes (Hollander, 1995; Hogg & van Knippenberg, 2003).

#### **2.6.1.1 Change Leadership Theory**

Several change leadership theories were developed in response to the need for a framework for employee guidance before, during and after the change process



#### **2.6.1.2 Herold's Model**

Herold et al. (2008) created a change leadership measure based on Kotter's (1990; 1996) stage model that encompasses visioning, enlisting, empowering, and monitoring, and tested it in conjunction with transformational leadership. Herold, Fedor, Caldwell & Liu (2008) developed a construct of change -specific leadership behaviours that captures key aspects of change leadership and its relationship to transformational leadership. Herold et al. (2008) developed a change-specific leadership measure that included such actions as creating a vision of the change; enlisting, empowering and monitoring employee participation in the change; helping with individual adaptation to the change; and providing feedback (Lui, 2010:2). In addition, Herold and colleagues did not find the expected relationship between change leadership and commitment to change. However, Herold et al. (2008) suggested that change leadership and transformational leadership interact to influence employee reactions to change

#### **2.6.1.3 Change Leadership Behaviour (Higgs Model)**

The concept of change leadership behaviour has been researched widely by Higgs and Rowland (2005); Caldwell et al., 2009) and Porras and Robertson (1992). change leadership behaviors can be grouped into three broad categories: shaping, framing, and creating capacity (Higgs and Rowland, 2005). Lui (2010:21) state that specific change leadership behaviors include visioning, making others accountable, establishing starting points for the change, designing a change journey, communication, and creating individual and organizational capabilities to embrace the change, elicitation of participation monitoring, and consolidation are central (Amenakis and Bedeian, 1999; Higgs and Rowland, 2005).

#### **2.6.1.4 Change Leadership and Change Management**

Literature demonstrates that change leadership is necessary in achieving successful and effective change implementation (Konovsky & Folger, 1991; Greenberg, 1994; Brockner, Konovsky, Cooper-Schneider, Folger, Martin, & Bies, 1994; Caldwell et al., 2004). Lui (2010:22) posits that the use of specific strategies by leaders can bridge the gap between promoting change, reducing resistance to change and ensuring a smooth implementation of change such as management



support (Amenakis et al., 1999; Caldwell et al., 2004); leader-member exchange (LMX) (Furst & Cable, 2006; Self et al., 2008); perceived organizational support (Self et al., 2008); managerial influence tactics such as sanction, legitimization and ingratiation (Furst & Cable, 2006); and employee participation (Wanberg & Banas, 2000). Change leadership is relevant when assessing leader-member exchange and efforts to realise intended change initiatives. In terms of the study which looks at causes, factors, resources and human element change management is the preferred approach as it is holistic and encompasses the overall dynamics of change without a specific focus on leaders and employees.

## **2.7 CHANGE MANAGEMENT THEORIES**

According to Pryor et al. (2008), change management models and research are still relevant for the twenty-first century. They further attest that problems are not with their relevancy or their worth, the problems and challenges facing organizational leaders, organizational development experts and researchers relate to the speed and complexity of change required today. Lofquist (2011:223) posits that managerial choices for change implementation methods have a direct impact on strategic change outcomes. Pryor et al. advise that it is important for organizational leaders to identify and use a model for transformation that will help their organizations survive and flourish in the next century and beyond.

### **2.7.1 Lewin's Theory**

Boohene and Williams (2012:136) indicate that the force-field theory was constructed by Lewin (1958). Lewin defined a field as 'a totality of coexisting facts which are conceived of as mutually interdependent.' "An issue is held in balance by the interaction of two opposing sets of forces - those seeking to promote change (driving forces) and those attempting to maintain the status quo (restraining forces)". According to Boohene and Williams (2012:136), the situation in which drivers for the change and resistance forces are in balance in the organisation is called state of 'inertia' or 'equilibrium' and at this stage, no change takes place. For an organisation to experience change the force for change should be more than the force for resistance to change. Change managers or agents



should therefore concentrate on decreasing the resistance forces and increase the forces for change.

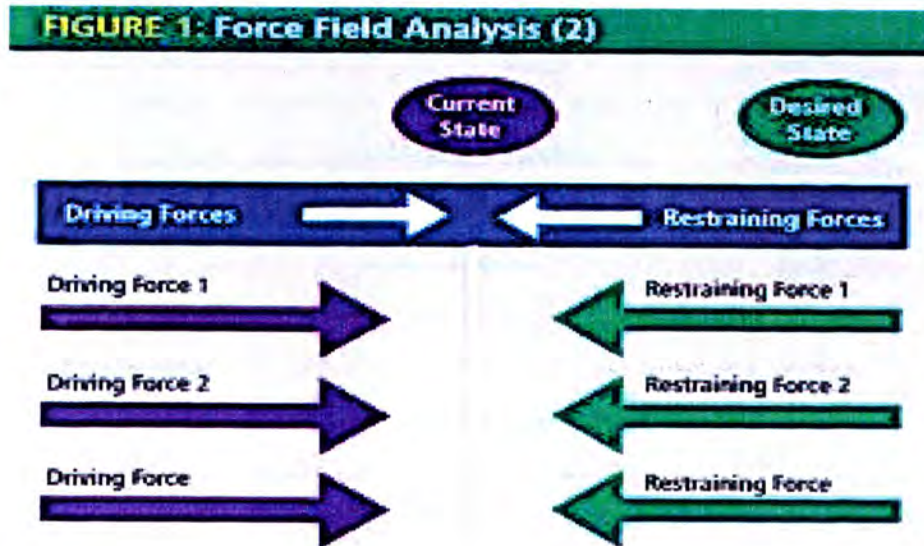


Figure 2.3 Diagram for Lewin's Change Forces

Source: Adapted from emerald.com.

However there have been several criticisms of Lewin's model. The key ones are that his work has assumed that organisations operate in a stable state and thus ignored organisational power and politics; and was top-down approach or management-driven (Dunphy & Stace, 1993; Boohene & William 2012:137). Again, others argued that Lewin's planned approach is too simplistic and mechanistic for a world where organisational change is a continuous and open-ended process (Garvin, 1993; Boohene & William, 2012:137).

### 2.7.2 Lippitt's Phases of Change Theory

Lippitt, Watson and Westley's work is an expansion of Lewin's Three-Step Change Theory. Lippitt, Watson and Westley created a seven-step theory that focuses more on the role and responsibility of the change agent than on the evolution of the change itself. Information is continuously exchanged throughout the process.

The seven steps are:

1. Diagnose the problem.
2. Assess the motivation and capacity for change.
3. Assess the resources and motivation of the change agent. This includes the change agent's commitment to change, power, and stamina.
4. Choose progressive change objects. In this step, action plans are developed and strategies are established.
5. The role of the change agents should be selected and clearly understood by all parties so that expectations are clear. Examples of roles are: cheerleader, facilitator and expert.
6. Maintain the change. Communication, feedback, and group coordination are essential elements in this step of the change process.
7. Gradually terminate the helping relationship. The change agent should gradually withdraw from their role over time. This will occur when the change becomes part of the organisational culture (Lippitt, Watson & Westley, 1958:58-59; Kritsonis, 2004:3).

### **2.7.3 Jick's Model**

Jick's model is said to be geared more towards a tactical level of change. According to Pryor et al. (2008:3) the model can be used as a step-by-step guide to managing a change process because it shows that change is an ongoing process and that questions asked at each step should be ongoing and often overlap. The ten steps in the Jick Model are:

1. Analyse the organisational need for change.
2. Create a shared vision and common direction.
3. Separate from the past.
4. Create a sense of urgency.
5. Support a strong leader role.
6. Line up political sponsorship.
7. Craft an implementation plan.
8. Develop enabling structures.
9. Communicate, involve people and be honest.
10. Reinforce and institutionalize the change.



#### 2.7.4 Burke-Litwin model

After both field testing and an extensive review of organisational change literature, the Burke and Litwin model was developed - which basically comprises 12 inter-related components. The model is based on systems theory. The hierarchy of the chart reflects their desire to create a model which is “causal” in nature – for example, indicating that organisational change is driven primarily from changes in the external environment. In addition leadership, mission and strategy drive change more than the factors lower down in the chart.

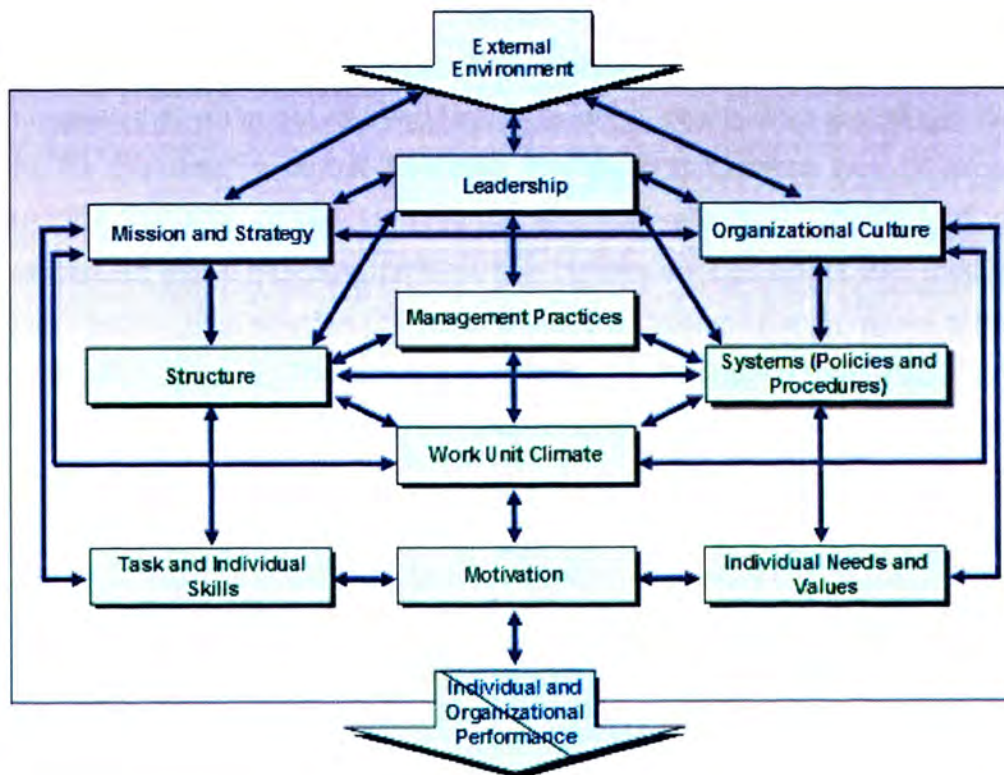


Figure 2.4 Burke-Litwin Model

Source: Burke (2008); Lynch (2010)

- Top variables are external environment, mission and strategy, leadership, and organization culture, thus areas in which alteration is likely caused by interaction with environmental forces, both within and without, and will require entirely new sets of behaviour from organizational members.
- Bottom variables; the lower half of the Model contains transactional variables, the primary alteration associated with these variables is via relatively short-term reciprocity among people and groups (Kevin & Lynch, 2010).

#### **2.7.5 Kotter's model**

According to Jeffress (2003:3) John P. Kotter's 1996 book, *Leading Change* emphasizes the critical need for quality leadership in the process of transforming business organizations. Kotter studied over a hundred organisations having carried out a planned change effort and came up with eight most common mistakes that when not avoided lead to failure in organizational change. Based on the "8 mistakes" a model of 8-step change management was developed. He justifies the step model by first claiming that all useful changes tend to be associated with a multistep process that creates enough power and motivation for overwhelming the sources of inertia. Kotter's eight step change model is described in detail in Table 2. The steps are illustrated in sequence from step one to step eight with a brief explanation of the actions that need to be implemented by leaders and change agents during each of the eight steps.



**Table 2.2 Kotter's Eight Step Change Model**

| <b>STEP</b>                                                  | <b>CHECKLIST</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|--------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>STEP 1: Establishing a sense of urgency</b>               | <p>Help others see the need for change and the importance of acting immediately</p> <p>Identify and discuss crises, potential crises or major opportunities</p>                                                                                                                                                                                                                                                                                                                                                   |
| <b>Step 2: Creating the guiding coalition</b>                | <p>Make sure there is a powerful group guiding the change, one with leadership skills, bias for action, credibility, communication skills and authority and analytical skills.</p> <p>Assemble a group powerful enough to lead and influence the change</p> <p>Show people what is needed through modelling behaviours</p> <p>Getting the group to work together like a team</p> <p>Act in a way that hits the emotions</p> <p>When a "moment of truth" event occurs grab it and turn it into a story to tell</p> |
| <b>Step 3: Developing a vision and strategy</b>              | <p>Clarify how the future will be different from the past, and how you will make the future a reality</p> <p>Creating a vision to help direct the change effort</p> <p>Getting the vision and strategy right</p> <p>Developing strategies to achieve the vision</p>                                                                                                                                                                                                                                               |
| <b>Step 4: Communicating the change vision</b>               | <p>Make sure as many others as possible understand and accept the vision and the strategy</p> <p>Using every vehicle possible to constantly communicate the new vision and strategies</p> <p>Have the guiding coalition role model the behaviour expected of staff</p>                                                                                                                                                                                                                                            |
| <b>Step 5: Empowering broad based action</b>                 | <p>Enable others to act on the vision by getting rid of the obstacles, encourage risk taking</p> <p>Altering systems or structures that undermine the change vision</p>                                                                                                                                                                                                                                                                                                                                           |
| <b>Step 6: Generating short term wins</b>                    | <p>Plan for and generate short term wins /improvements in performance</p> <p>Creating those wins</p> <p>Recognize and reward people who make those wins possible</p>                                                                                                                                                                                                                                                                                                                                              |
| <b>Step 7: Consolidating gains and producing more change</b> | <p>Press harder and faster after the first success</p> <p>Not letting up, consolidating improvements and sustain the momentum for change</p> <p>Use increasing credibility to change all systems, structures and policies that don't fit together and don't fit the transformation effort</p> <p>Reinvigorate the process with new projects, themes and change agents</p>                                                                                                                                         |
| <b>Step8: Anchoring new approaches in the culture</b>        | <p>Hold on to the new ways of behaving, and make sure they succeed until they become a part of the very culture of the group</p> <p>Articulate the connections between the new behaviours and organisational success (Kotter &amp; Cohan, 2002)</p>                                                                                                                                                                                                                                                               |

## **2.8 ORGANISATIONAL DEVELOPMENT (OD)**

Bradford and Burke (2005) define OD as a system-wide process of planned change aimed at improving overall organizational effectiveness, OD has provided valuable contributions to – among other things – the psychology of organizational behaviour, group dynamics, process consultation and process facilitation. The field of organization development (OD) has traditionally devoted much attention to stagnation and resistance to change, its causes and how resistance can be overcome (Werkman, 2010:422). OD has underlying assumptions in managing organisational change.

- First, it makes some strong psychological assumptions about human beings as inherently good and full of potential. In order to make organizations more effective, this potential needs to be addressed and developed.
- Secondly, 'aspects' such as organization structures, systems, group processes, culture, or management tend to hinder people from developing this potential and therefore need to be fundamentally changed.
- Thirdly, OD practitioners assume that change is an event that can be orchestrated and managed (OD provides a variety of different tools and methods to manage change and deal with barriers, such as team-building, re-engineering, total quality management, goal-setting, and strategic change).
- Fourth, OD practitioners consider employee participation crucial to the creation of shared perspectives and the success of organisational change: involvement leads to commitment (Bradford & Burke, 2005; Werkman, 2010:422).

### **2.8.1 Summary of Change Management Theories**

Henderson (2002) in his study of organisational change summarized various change theories and highlighted the key concepts and processes for transformation associated with each theory. For the purpose of comparison, six of the main change management theories are represented in Table 3 below.



**Table 2.3 Organisational Change Management Theories**

| <b>THEORIST</b>                                           | <b>KEY CONCEPTS</b>                                                                                                                                                        | <b>PROCESS FOR TRANSFORMATION</b>                                                                                                                                                                                                       |
|-----------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Kurt Lewin (1951)<br/>(elaborated by Schein, 1992)</b> | <u>3 step change model</u><br>Unfreezing, change and freezing<br>environmental forces (force-field analysis)<br>Organisation as social system                              | Unfreeze current level of behaviour<br>Movement to change the social system<br>Refreezing to establish behaviour that is secure against change                                                                                          |
| <b>Lippitt, Watson, and Westley (1958)</b>                | <u>7 step phases of change</u><br>Role of the change agent<br>Institutionalizing the change<br>Development of internal change<br>Management of expertise                   | Development of the need for change<br>Establishment of a change relationship<br>Working toward change<br>Generalization and stabilization of change<br>Achieving a terminal relationship                                                |
| <b>Burke and Litwin (1992)</b>                            | <u>Transformational and transactional dynamics</u><br>Organisational climate<br>Systems view                                                                               | Assess level of change required<br>Redefine mission and strategy<br>Leadership commitment<br>Communication; training; integration                                                                                                       |
| <b>Beckhard and Pritchard (1992)</b>                      | <u>Creating and Leading change</u><br>Systems Thinking Theory<br>Fundamental change<br>Vision-driven change<br>Resistance formula<br>Lewin's unfreeze movement<br>refreeze | Diagnosis<br>Create vision<br>Create new structures and processes<br>Move to learning mode<br>Reward learning and commitment<br>Build commitment through education, role modelling and reward                                           |
| <b>John P. Kotter (1996)</b>                              | <u>8 step model</u><br>Guiding coalitions<br>Vision and strategy<br>Anchoring new approaches in the culture<br>Short-term wins                                             | Create a guiding coalition,<br>Develop vision and strategy<br>Communicate change vision,<br>Empower broad based action<br>Generate short term wins<br>Consolidate gains and produce more change<br>Anchor new approaches in the culture |
| <b>David A Nadler (1998)</b>                              | <u>Integrated change</u><br>Systems thinking<br>Discontinuous change<br>Congruence model                                                                                   | Recognizing the change imperative<br>Developing a shared direction<br>Implementing change<br>Consolidating change<br>Sustaining change                                                                                                  |

**Source:** Henderson(2002:201)

According to Barnard and Stoll (2010) The emergent approach is itself not free from critics who question the usefulness of broad-natured action sequences, and their application to unique organisational contexts. Others have suggested a more “situational” or “contingency” approach, arguing that the performance of an organisation depends heavily on situational variables. As variables will vary from organisation to organisation, managers’ responses and strategies for change will also have to vary (Dunphy and Stace, 1993)

## 2.9 KEY FACTORS IN ORGANISATIONAL CHANGE PROCESSES

In order to ensure that the changes instituted by organisations succeed, the following key factors are very important:

**Table 2.4 Critical Success Factors**

| TQM frameworks              | Critical success factors |   |   |   |   |   |   |   |   |    |    |    |    |
|-----------------------------|--------------------------|---|---|---|---|---|---|---|---|----|----|----|----|
|                             | 1                        | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 |
| Saraph <i>et al.</i> (1989) | X                        | X | X | X | X | X | X | X |   |    | X  | X  |    |
| Flynn <i>et al.</i> (1994)  | X                        | X | X | X | X | X |   |   |   | X  |    |    |    |
| Tamimi (1995)               | X                        | X | X |   | X |   |   |   |   |    |    |    |    |
| Ahire <i>et al.</i> (1996)  | X                        | X | X | X | X | X | X | X |   | X  | X  |    |    |
| Black and Porter (1996)     |                          | X | X | X | X | X | X | X | X |    |    |    | X  |
| Quazi <i>et al.</i> (1998)  | X                        |   | X |   |   |   |   | X | X | X  |    |    |    |
| Rao <i>et al.</i> (1999)    | X                        | X | X | X |   | X |   | X |   | X  | X  |    |    |
| Zhang (2000)                | X                        |   | X | X | X | X | X | X |   | X  |    | X  |    |
| Motwani (2001)              | X                        |   | X | X | X |   | X |   |   |    | X  |    |    |
| Antony <i>et al.</i> (2002) | X                        | X |   |   | X |   | X |   |   | X  |    |    |    |
| Das <i>et al.</i> (2008)    | X                        |   | X |   | X | X |   | X |   |    | X  |    |    |
| Gaddene and Sharma (2009)   | X                        |   |   |   | X |   |   | X |   |    | X  |    |    |
| Salahedin (2009)            |                          |   |   |   |   |   |   |   |   |    |    |    |    |
| Koh and Low (2010)          | X                        |   | X |   |   | X | X |   |   | X  |    |    |    |

**Notes:** 1, top management commitment; 2, role of quality department; 3, process quality management; 4, product/service design; 5, education and training; 6, supplier quality management; 7, customer satisfaction; 8, employee empowerment and involvement; 9, business/quality results; 10, information and analysis; 11, benchmarking; 12, quality citizenship; 13, quality culture

**Source:** Adapted from emerald.com

From the table above, leadership (management commitment), education and training, purposeful participation and effective communication are regarded as the top four factors that contribute to organisational change success.



### 2.9.1 Leadership

Leadership is defined as a process of social influence by which an individual enlists the aid and support of others in the accomplishment of a task or mission (Chemers, 1997). A leader is a person that influences, motivates, inspires employees to accomplish set tasks (Chemers, 1997).

According to Riaz and Haider (2010:29) leadership is one of the critical elements in enhancing organisational performance hence critical in organisational change management

Leaders and employees view change differently. Leaders at the top level in public services see change as an opportunity to strengthen and renew the organisation. They also see change as a way to take on new professional challenges and risks, and to advance their careers. For many employees (including middle managers), change is neither sought nor welcomed. It is disruptive and it upsets the organisational balance (Karp & Helgo, 2008:88).

Being responsible for the development and execution of strategic organisational decisions, leaders have to acquire, develop and deploy organisational resources optimally in order to bring out the best products and services in the best interest of stakeholders (Riaz & Haider, 2010:29). In short, effective leadership is the main cause of competitive advantage for any kind of organisation (Zhu et al., 2005; Avolio, 1999; Lado et al., 1992; Rowe, 2001). Leaders struggle to hold on to a sense of order which is linked to a wish to reduce anxieties associated with disorder and unpredictability (Karp & Helgo, 2008:91). According to (Griffin 2002) in their anxieties, leaders and employees in organisations want to believe that someone, somewhere, is in control.

In the 'world' of order, designs, plans, structures, management tools, rationality, linearity and predictability govern, and leaders have a sense of being in control. Yet in the 'world' of chaos, complex interaction processes between people dominate the stage – these are self-governing, non-linear, dynamic and emergent – and leaders are not in control (Karp & Helgo, 2008:88).



This is hard because the human organism normally cannot tolerate too much uncertainty and stimulus (Schein, 1992; Karp & Helgo, 2008:90). Past research also supports the utility of change leadership behaviours as researchers have outlined a lack of visioning, lack of leadership support, lack of commitment to change for the right reasons, and lack of a guiding coalition as major barriers to successful change (Kotter, 1996; Winum et al., 1997; Ostroff, 2006; Eby, Adams, Russell & Gaby 2000; Lyons, Swindler & Offner, 2009:460). Further, change readiness may be facilitated by organisational leaders rewarding what is in the best interests of the organisation, adopting and committing to change for the right reasons, and enabling both top-down and bottom's up empowerment strategies (Eby et al., 2008; Lyons et al., 2009:463). Anecdotally, leadership will clearly impact on the success of organisational change initiatives.

According to Lyons et al. (2009) the concept of change leadership was derived through contemporary perspectives of leadership during organisational transition and emphasizes a change management perspective (Kotter, 1996) while including behaviours such as visioning, creating a sense of urgency around the change, and showing support for the change.

Organisational change may indeed beget environmental change and organisational leadership is instrumental in this process (Schneider, 2002:210). Leaders need to inspire, sell, mobilize, enable and navigate effectively to make change happen, but leadership is increasingly seen as a team as well as an individual responsibility (Audit Commission, 2001; Stoker, 2009:15). The ultimate leadership challenge here is to engage all relevant stakeholders in a coalition for responsible change, thereby creating a social network of stakeholders who are connected through a common purpose: contributing to shaping a business that is obliged to balanced values creation and aspires to be recognized as responsible and sustainable and thus a legitimate part of society (Maak, 2007:335). Maak (2007:335) further attests that being embedded in and central to a network of stakeholder relationships a leader is key in engaging stakeholders, in co-opting them to realize a mutually desirable vision and in connecting them for the purpose of responsible change.



### 2.9.2 Participation

According to Burns (2009) successful change is less dependent on detailed plans and projections but is dependent on the active participation of stakeholders. Participatory approaches invite input, using involving and empowering methods to gain the insights of various stakeholders to shape the change program and not merely to "receive it." Participatory approaches involve stakeholders in the change process through the solicitation of their input (Burns, 2009) hence the need to see how participatory communication model assumptions apply to communicating change in organisations.

Participatory approaches are grounded in the basic assumption that employees should be active participants in the change process. The logic driving this approach is that employees' participation is perceived as the catalyst for implementing sustained organisation change (Burnes, 2008; Johanson, & Heide, 2008; Russ, 2007). Caldwell (2011:603) argues that when change in one's work environment is imposed, workers may change their attitudes concerning the new environment or focus on some other aspect of their workplace experience that justifies their continued participation. According to McClellan (2011:472) organisational change is no longer directly related to how successfully managers communicate information, but to a practice of enabling creative conversations among organisational participants. In this way, change is transformed from the strategic practice of persuasion into a collaborative practice of conversation aimed at generating new ways to organize.

When participation is effective, it produces beneficial outcomes for individuals and organisations, but authentic participation is needed and individuals need to be prepared adequately to be competent to participate (Pasmore & Fagans, 1992; Stoker, 2009:16). Participation has been found to have different forms and the appropriateness of a given form depends on which outcomes are sought, as well as the context in which participation is to be implemented (Miller & Monge, 1986; Cotton et al., 1988; Lofquist, 2011:228). Great care needs to be taken in designing the social architecture of participation in large groups to effect change so as to prevent splits into a small, active minority and a passive, dependent majority (Gilmore, Barney, & Axelrod, 1992; Stoker, 2009:16). This is also an area where



Lines (2004:193) would argue that 'participation is believed to have a number of positive effects on the strategy process, most notably in that it is assumed that involvement of those affected by a change in strategy will reduce organisational resistance, and will create a higher level of psychological commitment among employees towards the proposed changes.

### **2.9.3 Training and development**

According to Soosay and Sloan (2005:16) education or training is the best way to initially create awareness among management, supervisors and employees. Stoker (2009) too identifies training and development as key parts of any change project. This may be in relation to new skills, attitudes and behaviours required, but it may also aim to give staff the understanding and confidence to empower them to pursue continuous improvement (Burnes, 2004 & Kotter, 1996; Stoker 2009). Training may be needed to help employees take on new assignments. Day et al. (2012:17) attest that if merging tasks or assigning new activities to employees is necessary, it is important that each decision is thought out and planned. If valued employees are performing unnecessary tasks, transferring, training or eliminating such activities might be appropriate (Day et al., 2012:170). From research Sooslay and Sloan (2005) have found that employees are able to accept changes with adequate communication and proper training. In order for training to be effective, management support is essential and a formal activity that conceives training and development activities including review and control to ensure the proficiency of employees. The inclusion and cooperation of employees is also essential in ensuring the effectiveness of training and development. Finally, the relevance of training and development also is a vital condition to ensure the applicability and benefits accruing from training and development for specific skill sets, abilities, knowledge and behaviours.

### **2.9.4 Effective communication**

According to Kitchen and Daly (2002) communication is regarded as highly important in the successful implementation of the change processes, because it is used as a tool for announcing, explaining and preparing the change. Communication is a critical tool in enabling change because it helps to overcome



ambiguity and uncertainty and provides information and power to those who are the subject of the change (Boohene & Williams, 2012:139). The change message and its communication can serve to coordinate the three change phases by providing the organizing framework for creating readiness and the motivation to adopt and institutionalize the change (Armenakis & Harris, 2001:169). The change message should address the need for change, the appropriateness of the change, and confidence in the capacity of individuals and the organisation to undertake the change (Boohene & Williams, 2012:139).

Chiang (2010:159) suggested that communicating with employees, determining employee expectations about what will happen, reducing uncertainty and ambiguity by providing relevant and timely information, and addressing the issue of job security can mitigate the negative effects caused by mergers. However, from a social exchange perspective, it is still necessary to inform employees about progress in a timely manner, clarify how employees will be treated after the changes are implemented, and then build and maintain employee commitment to the new organisation (Chiang, 2010:159). Communicating with employees, keeping them informed about the progress of the changes, and providing adequate training will give people both the confidence and skills necessary to smoothly make the transition (Davy et al., 1988; Petchers et al., 1988; Koonce, 1991; Newman & Krzystofiak, 1993; Fairfield, Ogilvie & Del Vecchio, 2002.). Open communication also provides management with feedback during the change process. This, in turn, reduces the level of resistance to change (Boohene & Williams, 2012:139).

## **2.10 CONCLUSION**

Organisational change has come to be a very important discourse. Scholars and practitioners alike have been much interested in the discourse so as to understand it and assist in trying to give prescription to organisations on how to “deal” with change. Organisations have embarked on change in order to attain greater viability in the context of the present and anticipated future environment. It is an important issue because proper change management significantly increases the survival of an organisation in today's hyper-competitive global business environment. Different scholars have come up with ways of managing organisational

change, ranging from Lewin's model of understanding the change process to Kotter's recommendations of what to avoid in managing change. Some like Burke-Litwin model and have prescribed a holistic appreciation of the internal and external drivers of change in an organisation and how it should be understood. In addition to the theories and models of change management the literature review has indicated that there are critical success factors in change management or implementation, these among others being communication, participation of stakeholders and leadership. All the different models or theories have been used by scholars to assess their effectiveness in understanding and managing organisational change including in merging of previously distinct organisations. The next chapter deals with the research methodology adopted for the study.



## **CHAPTER THREE: RESEARCH METHODOLOGY**

### **3.1 INTRODUCTION**

Chapter two presented the literature review covering critical issues relating to theoretical concepts and empirical insights in change management. Chapter three focuses on the research methodology and its applications to the research objectives as outlined in chapter one. Specifically the study aims at evaluating the change management programmes and interventions that were used during the Water Sector Reform project, with a view to determining perceptions of the employees and establishing problems encountered during the process if any. The first section deals with the concept of research, research approaches and research strategies. The second section covers secondary and primary data-collection methods. The last part covers ethical issues as well as timelines for the research project.

### **3.2 RESEARCH METHODOLOGIES**

According to Grinnell, Margret and Yvonne (2009) research is the study and investigation in some field of knowledge which is done to establish facts. Saunders, Lewis and Thornhill (2006) describe a research methodology as a development of knowledge and the nature of that knowledge. The authors state that when you undertake a research project you are building knowledge based on that particular field. The philosophy that was adopted as part of the research was the positivist approach because of the level of uncertainty surrounding the phenomenon under consideration.

### **3.3 RESEARCH STRATEGY**

In empirical research the two most dominant research strategies used are case study research and large-scale research (Saunders et al., 2007). Each one of these methodologies has its own adaptations in terms of research design, population sample, data-collecting and analysing techniques.

Saunders et al. (2007) describe large-scale research as a study that does not limit its findings to one particular segment of the population. A large-scale survey

collects massive volumes of data and takes longer to conduct. For example, large-scale research can be done to find out the effects of recession on developing countries. This study will not focus on a particular country but covers various countries. This kind of survey takes longer than case study research.

A case study is an empirical inquiry that “investigates a contemporary phenomenon within its real-life context especially when the boundaries between phenomenon and context are not clearly evident” (Yin, 2003:3). A case study is a research strategy which involves detailed investigation of phenomena where the aim is to understand how behaviour and/or processes are influenced by and influence context, and where context is deliberately part of the design (Hartley, 2004).

For this study the researcher has used the Botswana water sector as a case study. However, data-collection was not limited to the Botswana water sector but also covers other relevant sources.

### **3.4 RESEARCH APPROACH**

According to Saunders et al. (2006) a research approach varies depending on what is being researched. A scientific method would be fit for a scientific project while a social policy would require a survey of some sort. It is essential for a researcher to find out what their area of research entails and then determine the most appropriate method for the research.

#### **3.4.1 The Deductive Approach**

Gibson (2006) states that a research approach theory can either be inductive or deductive. According to Gibson (2006) a deductive approach is an approach where the researcher develops an idea and develops a method of testing the theory. Under the deductive theory the researcher collects data and performs an analysis to prove his theory (Gibson, 2006). According to Lancaster and Crowther (2009), the deductive approach revolves around the idea of engaging with a specific situation and it is linked to positivism. The Positivist principle, according to



Saunders et al. (2006) is that researchers can only draw conclusions from what they can see or calculate. This approach is more suitable for scientific research.

#### **3.4.2 The Inductive Approach**

Mertens (2008) stated that inductive research focuses more on the use of observatory data and established facts to support a theory or a hypothesis. This approach supports subjective reasoning with the help of real life cases (Ridenour, Benz & Newman, 2008). Saunders et al. (2006) link the inductive approach with interpretivist philosophy which characterises human beings as being capable of interpreting their surroundings as opposed to being observers of what happens around them.

As the main objective of the research is to assess change management in the Botswana water sector, the author found it appropriate to adopt the deductive approach for the survey questionnaires. According to Sekaran (2003:42), 'deduction is the process by which we arrive at a reasoned conclusion by logical generalization of a known fact, while induction on the other hand, is a process where we observe a phenomenon and on the basis arrive at a conclusion.' Deduction was applicable in this case because a change initiative that changed the status quo to produce a 'new' organisation and the testing of a hypothesis including the use of observation in the face of reality allows for a deduction to be made.

### **3.5 RESEARCH DESIGN**

The research design provides an overall guidance for the collection and analysis of data of a study (Bailey, 2007). It details what strategies will be used for data collections and from which source these will be collected as well as the methods of collection. From the above statement the researcher depicts the research design as an important blueprint of the research which will guide decisions regarding sampling procedures, sources and procedures for data-collection as well as the plan for analysing and interpreting the collected data.

### **3.5.1 The Casual-Comparative Design**

Casual comparative research attempts to investigate reasons for existing conditions. The casual-comparative approach is descriptive in nature; it describes conditions that already exist. In adopting a casual-comparative approach, the attempt is to determine the cause for the existing conditions. The researcher starts by investigating the cause and effect relationship between two or more variables.

The major advantage of a casual-comparative relationship is that casual patterns cannot be manipulated because they pre-exist. The major disadvantage is that the effect of the relationship can be bi-effecting. For example, variable A can cause an effect on variable B and vice versa.

### **3.5.2 The Exploratory Research Design**

The exploratory research design is conducted to clarify and define the major cause of the problem. It helps the researcher to have a better understanding of the dimensions of a problem and to aid analysis. A primary objective of the exploratory research design is that it provides insightful information of the problem. The researcher adopted an exploratory research design in line with the view to determining perceptions of the employees and establishes problems encountered during the change process.

### **3.5.3 Qualitative and Quantitative Research Approach**

This research design includes two approaches which are the qualitative research approach and the quantitative research approach.

According to Saunders et al. (2007) research types can be classified into either quantitative or qualitative. The authors describe quantitative research as a method which uses statistical model to analyse collected data. Quantitative analysis uses scientific methods to analyse collected data. They further added that qualitative research is based on people's opinions, attitudes and experiences. This type of research usually generates descriptive conversations as opposed to giving numerical data.



In this study the researcher has adopted the quantitative approach as it was considered suitable for this research. The backbone of quantitative research is the collection of information in the form of figures. As such, statistical techniques become a valuable tool to summarise data, making it easy for quantitative comparisons. Questionnaires were used as a primary data collection method, while books, journals, past researches, and internet were used to collect secondary data.

### 3.6 TARGET POPULATION

Gibson (2006) defines the target population as a specified group of elements that one wishes to focus the research on. Zikmund (2003) stated that in most instances the target population can be overwhelming to researchers and hence they have to resort to sampling.

The Botswana water sector as the subject case for this study has many players and participants. The target population is the employees of Water Utilities Corporation which has employees who have always been Water Utilities Corporation employees and those who were redeployed to Water Utilities Corporation from Water Affairs Department in the central government and those from councils in the local government. Included in the target population is the whole spectrum from general workers to management of the Water Utilities Corporation.

**Table 3.1 Population**

| AREA                       | STAFF COMPLEMENT             | TOTAL       |
|----------------------------|------------------------------|-------------|
| Gaborone Management Centre | 434 - 4 Fixed-Term Contract  | 430         |
| Lobatse                    | 226- 8 Fixed-Term Contracts  | 218         |
| Palapye                    | 185- 0 Fixed-Term Contracts  | 185         |
| Selebi-Phikwe              | 241 - 0 Fixed-Term Contracts | 241         |
| Francistown                | 404- 0 Fixed-Term Contracts  | 211         |
| <b>Total</b>               |                              | <b>1285</b> |

It would have been costly and time-consuming for the researcher to target the entire population of water sector and other relevant sources of information. The researcher has resorted to the sampling technique.

### **3.7 SAMPLING**

Zikmund (2003) described the main functions of sampling as a means to conduct a study by working with a small sample. In order to derive a conclusion that will apply to the entire population the sample must be an unbiased estimator. He further added that for sampling to be effective it must be a true representative of the population from which it has been drawn as well as being of a proportionate as well as a reflective size to give a true statistical analysis. Saunders et al. (2006) distinguished between two sampling techniques as follows:

**Probability Sampling** – This method utilizes random selection in a way that ensures that anyone has the equal chance of being picked.

**Non-Probability Sampling** – This method utilizes a process that does not give all the individuals in the population equal chances of being selected.

This research has used a probability sampling method where anyone in the Botswana water sector, based in Botswana, irrespective of gender, age, and department stood a chance of being picked. The sampling procedure was chosen on the premise that everyone in the water sector had been affected by the reforms but in different ways. Therefore every staff member is a source of information to the current study.

#### **3.7.1 Sampling in the Water Sector**

This research has used a probability sampling method where anyone in Water Utilities Corporation, irrespective of the gender, age, and department stood a chance of being picked. Currently it may prove difficult to separate Water Utilities Corporation and Water Affairs Department employees as all are now Water Utilities Corporation employees because the transferred service/reforms led to the closure of offices that were there before so the population is Water Utilities Corporation only. This impacted the study's findings and the validity of testing



perceptions of the impact of the merger as only a generic view was able to be obtained.

### 3.7.2 Sample Size Determination

The sample size determination was based on the procedure developed by Krejcie and Morgan (1970).

#### Population Size Known:

$$\frac{X^2 NP(1 - P)}{d^2(N - 1) + X^2 P(1 - P)}$$

$X^2$  = table value of Chi-Square @ d.f. = 1 for desired confidence level

(0.10 = 2.71; 0.05 = 3.84; 0.01 = 6.64; 0.001 = 10.83)

N=population size

P=population proportion (assumed to be 0.50)

d= degree of accuracy (expressed as a proportion)

$$\frac{2.71^2 (1285) (0.5) (1-0.5)}{(0.05)^2 (1285-1) + 3.84^2 (0.5) (1-0.5)}$$

$$2359.292125/6.8964=342$$

Therefore, Sample Size =342

Only 1% of the sample shall be the minimum number of respondents for allowable errors.

### 3.8 DATA COLLECTION

In order to carry out this research, given the fact that both primary and secondary data are needed, the researcher collected data through three data-collection methods as discussed below

### **3.8.1 Secondary data collections**

Zikmund (2003) described secondary data as data which had been previously collected for some other projects other than the one being carried out. Secondary data are often found in the organisation, in libraries as well as the internet and include among others, company profile, minutes of meetings, company financial statements, journals and many more. Saunders et al. (2006) categorise three types of secondary data as follows:

#### **3.8.1.1 Documentaries**

These include organisational reports, newsletters, E-mails and memorandums, video and sound recordings.

#### **3.8.1.2 Multiple sources**

These are either area-based or time-series based. It will cover books, journal publications and statistical reports.

#### **3.8.1.3 Surveys**

These include censuses, regular surveys and ad-hoc surveys. Even though secondary data are readily available and can save time and money the data collected may be outdated and may not necessarily meet the need of the current research being undertaken (Zikmund, 2003).

### **3.8.2 Primary data collections**

According to Zikmund (2003) primary research is done through a survey with the aim to collect new data specifically for the research at hand. He described a survey as a research technique in which information is gathered from a sample by using interviews, administration of questionnaires or by observation. Even though surveys provide quick, inexpensive and accurate means of analysing the current situation, Saunders et al. (2006) have argued that it is prone to errors if the sampling was not appropriately done. There can also be bias on the part of the respondents which could distort the findings.



In order to carry out this research there was a need for the researcher to obtain information from different levels of staff in the water utilities organisations. The researcher focused mainly on primary data, as it gave first-hand information from the participants of the change process.

### **3.9 INTERVIEWS**

Strauss and Cobin (2006) describe an interview as “a conversation with a purpose”. Qualitative and in-depth interviews typically are much more like conversations than formal events with predetermined response categories. The researcher explores a few general topics to help uncover the participant’s views but otherwise respects how the participant frames and structures the responses. The interview session is performed to obtain information on a particular research topic under investigation.

Burges (2006) describes two categories of interviews as formal and informal interviews. Formal interviews are structured while informal interviews are unstructured. As for the unstructured interviews, the researcher is free to conduct the interview in a manner he sees fit as opposed to following a predefined structure. The advantage of this type of interview is that the interviewee is given the opportunity to talk freely in relation to the topic being researched. There is a downside to this type of interview technique in that it produces a wide range of responses which can be time consuming to analyse (Burges, 2006).

The structured interview, according to Burges (2006), is based on a predetermined set of questions. The interviewer reads out the questions to the interviewee and as and when they answer the interviewer records the answers. Ghauri et al. (2005) argued that this type of interview gives little or no flexibility due to the nature of the sequential question order. There is uniformity in that each person is given the same set of questions. The advantages over unstructured interviews are that information is easily quantifiable. It also provides for easy comparability of responses (Ghauri et al., 2005). The drawback of this type of interview is that because of its inflexibility it fails to cater for unexpected responses (Saunders et al., 2007). The authors list face-to-face and telephone interviews as being among

the most popular ways of conducting interviews. No interviews were conducted as questionnaires were considered adequate for collecting information for the study.

### **3.10 QUESTIONNAIRE**

One other proven method of collecting primary data is through the use of questionnaires. Robert, Thomas and Li (2011) define a questionnaire as an investment for observing data beyond the physical reach of the observer. The authors distinguish between three types of survey:

- Factual survey - which is used to collect mainly descriptive information, for example a population census;
- Attitude survey - which he describes as collecting data from an opinion poll; and
- Explanatory survey - which is used for testing theories.

The researcher used the factual and explanatory survey to obtain facts surrounding opinions, perceptions and explanations of employees concerning the change initiatives. Saunders et al. (2006) distinguish between two types of questionnaires as self-administered and interviewer based questionnaires. Self-administered questionnaires are completed by the respondents in their own time without pressure from the interviewer. The interview-based questionnaire is administered by the interviewer to the respondent. This method puts the respondent on the spot to produce a right away answer.

#### **3.10.1 Advantages of Questionnaires**

There are several benefits that can be derived from using questionnaires compared to other methods (Robert, Thomas & Li, 2011). The authors state that questionnaires are practical and give the researchers the opportunity to cover a large number of people to give a more meaningful finding. They further argue that questionnaires give the researcher the ability to use software to analyse the result which can be time consuming.



### **3.10.2 Disadvantages of questionnaires**

The downside to questionnaires according to Robert, Thomas and Li (2011) is that data collected can be overwhelming. The authors condemned the questionnaires for inability to capture human emotions of the respondent. Respondents may have different understandings and interpretations of the same set of questions.

### **3.11 QUESTIONNAIRE DESIGN**

The researcher designed the questionnaires in such a way that they would reveal the opinions regarding change management in Botswana water sector. Questions were designed using the academic literature on previous studies conducted on the subject matter and identified the four propositions as key in change management process. Questions further focused upon individual experiences, attitudes and undersatning of the Water Sector Reforms. The questionnaires were revised a few times after a pilot test on a few participants. In this regard the questionnaires gave respondents the chance to express their views in terms of each question asked. The researcher used a Likert scale system which rated the respondents according to how well they agreed or disagreed with the statements. Ulf Jakobsson (2004) explained the Likert scale system as scale system mostly widely used in research. The Likert scale descriptions are as follows

- Strongly agree – indicates that the respondents agree without any doubt with the statement.
- Agree - the respondents relatively agree.
- Strongly disagree – indicates that the respondents strongly agree and expect something to be done.
- Disagree – indicates that the respondents do not agree with the statement.
- Neutral – indicates that the respondents neither agree nor disagree withthe statement

The researcher self-administered the questionnaires to the respondents and gave them four weeks to respond to the questionnaires. This method gave respondents time to focus on the questions without much pressure from the

researcher. Time allowed them to reflect on the whole change process and to answer the questions in their own time.

### 3.12 ANALYSIS OF DATA

All data collected were analysed using the SPSS statistical data analysis tool. Data generated from this study being quantitative in nature were analysed principally using the **Statistical Package for Social Sciences (SPSS)** software together with **EXCEL** for graphical data presentation. The following steps were followed in the data analysis process

- (i) **Questionnaire programming:** this involved capturing of the questionnaire variables in the SPSS programme together with their codes.
- (ii) **Questionnaire coding;** Using codes, observations made of the data collected were then summarised, synthesized, and sorted according to category schemes that are mutually exclusive. Coding was the fundamental means by which analysis of the data was developed.
- (iii) **Questionnaire editing:** this involved checking whether all the relevant questions had been answered and the assigned codes done correctly in accordance with the designed codes. It involved checking of ranges, structure, and other sets of checks for internal consistency. All errors detected during editing were corrected.
- (iv) **Data entry:** this involved the actual punching of the codes in the coded questionnaires into the programmed SPSS data sheet. Double punching of data into the data sheet was done to eliminate errors that might arise from single punching of the codes.
- (v) **Data cleaning:** the entered data were cleaned before preliminary analysis was done. This involved cross-checking for wrong entries, double entries, missed entries and non-required entries.
- (vi) **Preliminary data analysis:** the cleaned data were then used for preliminary data analysis. This involved generation of frequency tables and the use of EXCEL to produce graphs to be used to present data. Graphical presentation of data allows for easy and quick comparisons, associations and helps in summarizing large data sets.



**Statistical analysis:** this involved the use of various statistical methods for analysing the data. Specifically, it involves cross-tabulation of the various variables in the data set to determine relationships/associations or lack of between them. The use of frequency tables, pie charts, graphs as a form of data presentation makes data analysis easy to interpret using trend analysis.

### 3.13 DATA RELIABILITY

Reliability refers to consistency where the characteristics include that of the instrument and the conditions under which it is administered (Cooper and Schindler, 2001:43). It focuses on whether the process of the study is consistent and reasonably stable over time and across researchers and methods (Miles and Huberman, 1994:67). The researcher worked under the assumption that the data collected through questionnaires and oral interviews would be correct and reliable.

In this research, reliability was strengthened in several ways; including:-

- Pretesting to eliminate errors in question items
- Scale rated questions on a 1-5 likert scale - minimised inferences.
- Language for the questionnaire was in English and this did not affect responses as respondents were able to speak, write and read the language.

### 3.14 ETHICAL ISSUES

The researcher considered ethical issues. The issue of privacy, voluntary participations was taken into consideration. There is protection of participants. Authority has been given through the Water Utilities Corporation and Department of Water Affairs for the researcher to have access to information at the company.

#### *Reporting results and plagiarism*

Ethical researchers do not *fabricate* or *falsify data* in their publications. Every time the researcher discovers that the data published are erroneous, it is the experimenter's responsibility to correct the error through retraction, an addendum, or any other appropriate means. In addition, as an ethical researcher, I do not

present the work of others as my own, and made sure that I did not fail to give appropriate credit for the work of others through citations.

#### *Inducement to participate*

The researcher shall abstain from any form of inducement to participants in order to obtain favours from them. The full disclosure policy regarding the purpose and nature of the study was implemented and the use of deception was totally avoided as it is highly unethical in research. The consent to participate was voluntary and without pressure of any kind. The researcher informed the participants about the nature of the study, including any risks or harm that the study may create.

#### *Seeking consent*

It is considered unethical to collect information without the knowledge of participants and informed consents. Participants must be aware of the type of information the researcher wants from them, why the information is being sought, what purpose it will be put to, how they are expected to participate in the study and how it will affect them. The researcher had to ensure that the key participants of the study are fully aware of the activities pertaining to the research.

### **3.15 LIMITATIONS**

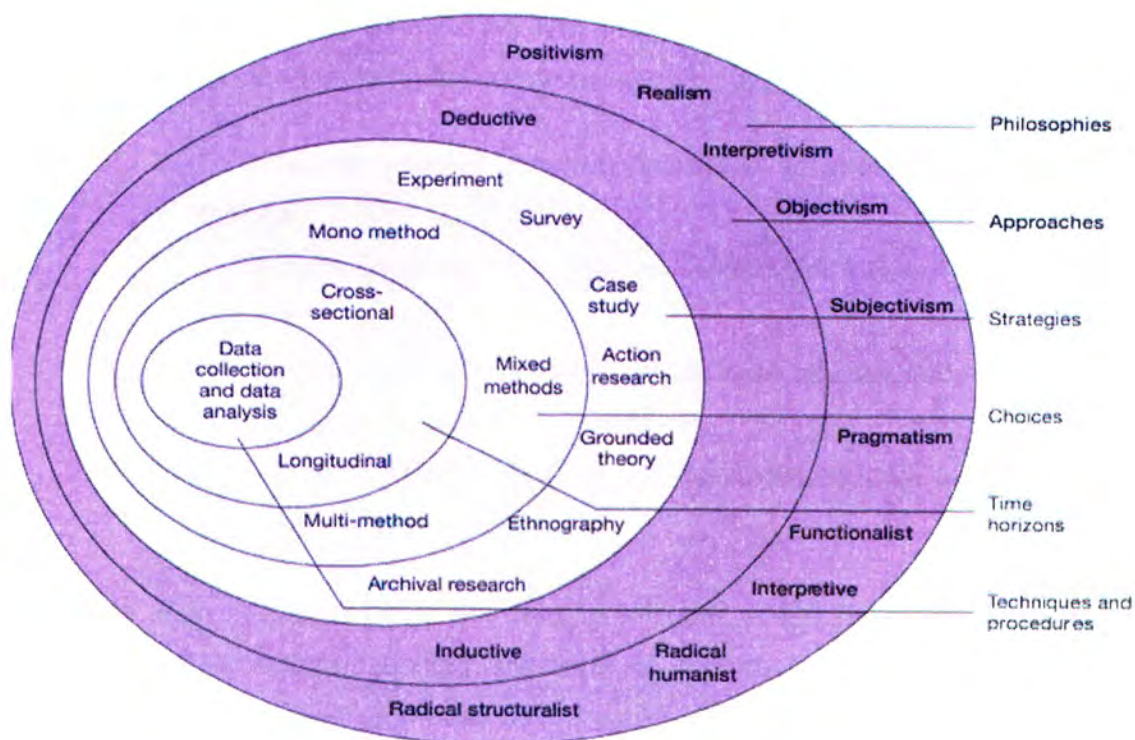
Although the research has achieved its aims there were some limitations due to time constraints. The researcher is a full-time worker and conducting this research on a part-time basis was a challenging task. A more comprehensive study into the process of organisational change to cover the Water Sector Reform the whole country as it was a national strategy requires a lot of time and resources, which unfortunately could not be afforded in the present study.

Limitations are matters and occurrences that arise in a study that are out of the researcher's control.



### 3.16 CONCLUSION

From what can be deduced from the above, the researcher adopted the use of the “onion” model adapted from Saunders et al. (2006). The onion contains six constructs. The researcher chose the most appropriate sub construct in line with the nature of the study. This model illustrates the entire gamut of research methods, philosophies, approaches and strategies that have been adopted for this study. The research method adopted for the study was the deductive approach based on a quantitative positivist philosophy. An exploratory research design was also adopted in this study.



**Figure 3.1 The Onion**

**Source:** Mark Saunders, Philip Lewis and Adrian Thornhill (2006:102)

The next chapter is a discussion of the results which involves systematic analysis and interpretation of the data from the research carried out.

## CHAPTER FOUR: RESULTS, DISCUSSION AND INTERPRETATION OF RESULTS

### 4.1 INTRODUCTION

Following the research purpose, methodology and research framework presented in the previous chapter, this chapter presents the results of the statistical analysis of the data, in relation to the objectives and research propositions in chapters one and three. The main aim of the research was to assess how change management interventions during the Water Sector Reform Process were perceived by the employees in helping them to understand and embrace change. The themes reflected upon have been established from Chapter one and the Literature Review for the purposes of addressing the following research objectives:

1. To establish whether *communication* has an impact on embracing change;
2. To assess whether the role of *leadership* has an impact on embracing change;
3. To assess whether *employee participation* has an impact on their embracing of change;
4. To determine whether *training and development* have an impact on employees support for change.

The data analysis presented in this chapter includes a description of the means and standard deviations, ranking and level of importance for study questions. Finally, simple and multiple modes of regression analysis were used to test the four propositions in determining the perception of employees on the Water Sector Reform Process change management interventions which will shed light on how change was understood and embraced.

### 4.2 POPULATION, THE SAMPLE AND THE RESPONSE RATE

Out of 1293 staff members, a sample total of 342 employees were randomly selected. The study covered five water utility centres that were visited; those are the Gaborone Management Centre, Lobatse, Palapye, Selebi-Phikwe and



Francistown. Table 4.1 shows the proportional sampling distribution that was achieved in this research.

**Table 4.1 Population and Sampling**

| AREA                       | TOTAL POPULATION | SAMPLE PROPORTION | SAMPLE     |
|----------------------------|------------------|-------------------|------------|
| Gaborone Management Centre | 430              | 0.33              | 114        |
| Lobatse                    | 218              | 0.16              | 58         |
| Palapye                    | 185              | 0.14              | 49         |
| Selebi-Phikwe              | 241              | 0.18              | 64         |
| Francistown                | 211              | 0.19              | 57         |
| <b>Total</b>               | <b>1285</b>      | <b>1</b>          | <b>342</b> |

Three hundred and forty-two questionnaires (342) were distributed and three hundred and forty-two questionnaires (342) were collected. Two (2) questionnaires of the total received were spoilt and therefore excluded from the analysis. The effective response rate is 99%. Change management and organisational change appear to be very important to employees as evidenced by the high rate of responses and their consistency.

#### **4.3 DEMOGRAPHIC VARIABLES OF SAMPLE**

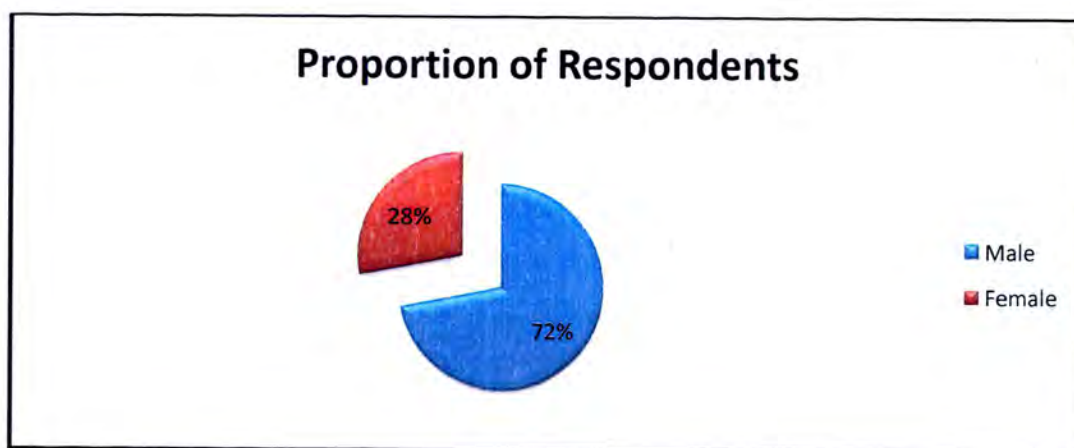
The questionnaire began with factual questions regarding gender, age, job position and change role. The results in table (4.2) illustrate the composition of the sample individuals according to gender (Question 1):

**Table 4.2 Gender Distribution**

| Variable | Frequency | Valid Percent |
|----------|-----------|---------------|
| Male     | 244       | 71.8          |
| Female   | 96        | 28.2          |
| Total    | 340       | 100.0         |

**S.Dev=0.451**

As the table indicates 244 (72%) male respondents in relation to 96 (28%) female respondents.



**Figure 4.1 Gender Distributions**

Figure 4.12 shows that almost 72% of the responding employees were male. In the Water sector in Botswana; male employees predominantly occupy medium to top level management positions. However, it is not the purpose of the study to determine the effect of gender-related issues and the impact on perception of employees due to gender issues, and therefore the huge difference (88%:12%) in the size of the two gender groups, is seen as inconsequential. Table 4.3 illustrates the composition of the sample individuals according to age (Question 2):

**Table 4.3 Age Distribution**

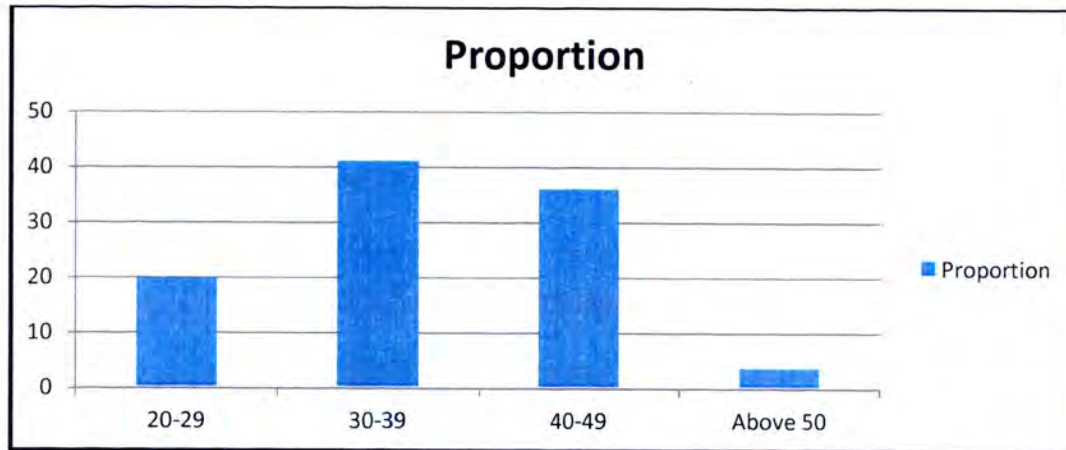
| Age Categories | Frequency  | Valid Percent |
|----------------|------------|---------------|
| 20-29          | 67         | 19.7          |
| 30-39          | 139        | 40.9          |
| 40-49          | 122        | 35.9          |
| 50+            | 12         | 3.5           |
| <b>Total</b>   | <b>340</b> | <b>100</b>    |

**S.Dev =0.803**

Approximately three-quarters of the responding employees were middle-aged, ranging between 30-39 (41%) and 40-49 (36%). It was also found that young employees of 20-29 years of age constituted 20% of the responding employees.



The age distribution reveals that the employees employed at Water Utilities Corporation are predominantly young to middle-aged individuals.



**Figure 4.2 Age Distribution**

According to Figure 4.2 the predominant age group for the respondents was 30-39 years of age, followed by 40-49, 20-29 and above 50 years of age categories. The age representation will aid the quality of the research by presenting perceptions of young, middle-aged and elderly employees and their ability to understand and embrace change. Table 4.4 shows the job position distribution of the results (Question 3):

**Table 4.4 Position Distribution**

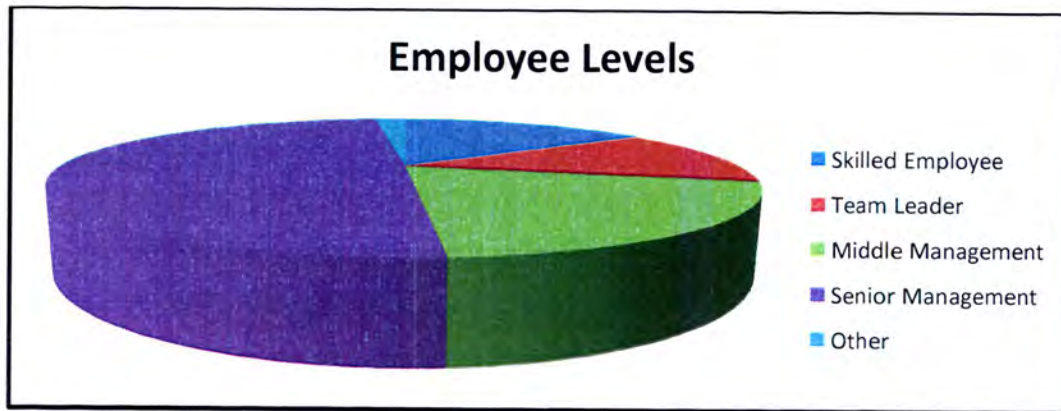
| Job Categories    | Position | Frequency | Valid Percent |
|-------------------|----------|-----------|---------------|
| Skilled Employee  |          | 51        | 15.1          |
| Team Leader       |          | 44        | 13            |
| Middle Management |          | 69        | 20.4          |
| Senior Management |          | 168       | 49.7          |
| Other             |          | 6         | 1.8           |
| Total             |          | 338       | 100           |
|                   |          | 340       |               |

S.Dev =1.138

Table 4.4 illustrates the distribution of the respondents according to job position in Water Utilities Corporation. All the perceptions of employee categories of Water Utilities Corporation at the visited centres were inherent in the data. It appears

that senior management constituted approximately half (49.7%) of the respondents, while middle management constituted about one-fifth (20.4%) of the respondents. Skilled Employees and Team leaders constituted 15% and 13% respectively. Other staff members that is; experts were 1.8%. (see Figure 4.3 below).

**Figure 4.3 Job Position Distributions**



In terms of the job position, senior management had a higher proportion (49.7%) in the study than other groups of employees. Table 4.5 below reveals the distribution of the respondents who played various roles in the change process including change strategist, change manager, change agent, change recipient, none and other (Question 4).

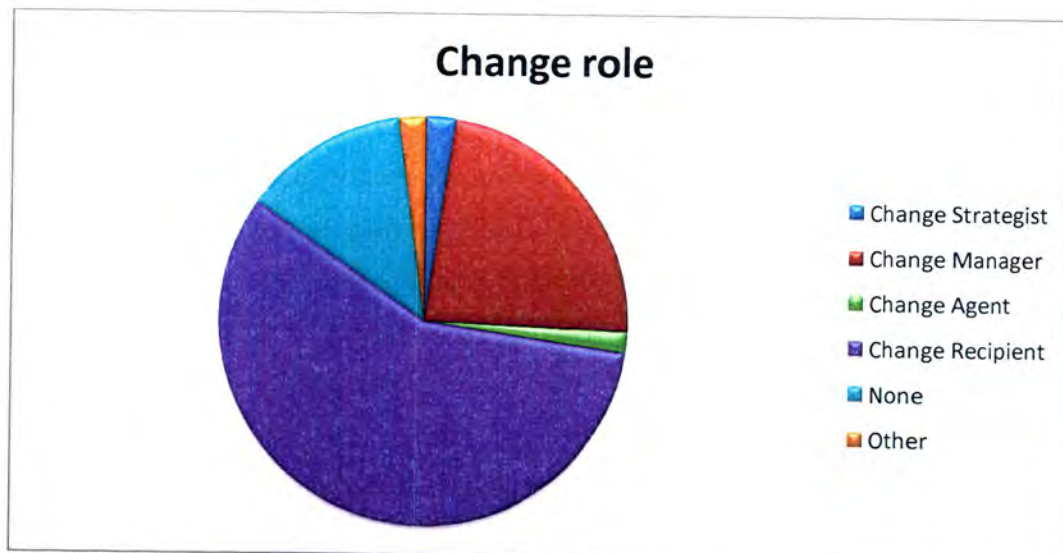


**Table 4.5    Change Role**

| Change role       | Frequency | Percent | Valid Percent | Cumulative Percent |
|-------------------|-----------|---------|---------------|--------------------|
| Change Strategist | 7         | 2.1     | 2.1           | 2.1                |
| Change Manager    | 69        | 20.3    | 20.3          | 22.4               |
| Change Agent      | 5         | 1.5     | 1.5           | 23.9               |
| Change Recipient  | 170       | 50      | 50            | 86.8               |
| None              | 39        | 11.5    | 11.5          | 98.2               |
| Other             | 6         | 1.8     | 1.8           | 100                |
| Total             | 340       | 100     | 100           |                    |

S.Dev =1.057

According to Table 4.5 50% (170) of the respondents were change recipients followed by 20% (69) who represented change managers; 11.5% (39) none, the least group being of change agents 1.5% (5) (see Figure 4.4).



**Figure 4.4    Distributions of Change Roles**

The distribution of change roles is interesting in that the results represent majorly change recipients followed by change managers who managed the change process, the least being change agents who are responsible for influencing the change implementation process.

#### **4.4 ANALYSIS OF THE RESPONSES**

This section presents a comprehensive analysis of the responses taken from the questionnaires collected. This section is divided into four sub-sections that are descriptive statistics, the frequency tables as per the questionnaire, correlation and regression analysis.

##### **4.4.1 Descriptive statistics on means score and standard deviations**

This section illustrates the descriptive statistics for four factors measuring perceptions of change initiatives during the Water Sector Reform Process as mean, standard deviation and variance and the rank beside the level of importance.

In order to measure employees' perceptions concerning Water Sector Reform (a particular change) each change measure was measured by five sub-constructs whose descriptive statistics were averaged to establish the valid descriptive for each change measure. The descriptive statistics of the change measures are shown in Table 4.6 below.

Table 4.6 shows descriptive data concerning employees' perceptions on change reforms implemented at water utilities. The distribution of scores for the sample contained reasonable variance and normality for use in subsequent analyses. All four variables hold a sample size of 340, indicating that there are no visible inconsistencies in the capturing of the data. The mean values for the four change vehicles or constructs (viz. communication, leadership, engagement and training and development) are relatively centred between 2.74 and 3.21 indicating a level of consistency and similarity in their perception. The spread of scores of the change vehicles confirms this as the range slightly varies between 1.2 and 1.4.



**Table 4.6 Descriptive Statistics**

| Item | Dimension              | Grand Mean* | Grand Std. Deviation* | Grand Variance* |
|------|------------------------|-------------|-----------------------|-----------------|
| 1    | Communication          | 2.74        | 1.3282                | 1.7648          |
| 2    | Leadership             | 2.82        | 1.2796                | 1.6384          |
| 3    | Engagement             | 3.00        | 1.3834                | 1.9312          |
| 4    | Training & Development | 3.21        | 1.4086                | 1.9936          |

\*averages obtained from total of sub-construct scale/number of variables

The grand means of 3.00 for engagement and 3.21 for training and development; indicate in this research the importance of training and development and employee engagement mechanisms to reinforce an understanding and help prepare employees to embrace change in its entirety. The high values above 3.00 indicate that this is a very important variable. As shown in the above Table 5.6, of the four variables listed for respondents to rate, respondents considered training and development of employees (mean value of 3.21) as the most important factor perceived as necessary to cause understanding and enable embracement of change by employees followed by engagement (mean value of 3.00). These findings are also supported by the theories discussed in the literature review part (chapter two). Employees who are trained and developed to anticipate and prepare for the change are able to understand and embrace it than ones who have not undergone some form of training and development.

From the responses collected, it seems that the employees in Water Utilities Corporation lack proper training programmes and employee engagement initiatives. This could probably be the reason behind the rating given to training and development as the most important variable followed by employee engagement. This finding is in agreement with the current conditions of the Water Sector Reform process discussed in chapter two of this study, which discussed the prevailing lack of skilled manpower and employee engagement in the industry.



**Table 4.7 Descriptive Statistics: Communication**

| Variable                                      | N   | Minimum | Maximum | Mean | Std. Deviation | Level of Importance |
|-----------------------------------------------|-----|---------|---------|------|----------------|---------------------|
| Clear Structured communication                | 340 | 1       | 5       | 2.75 | 1.313          | Medium              |
| Relied more on Rumours                        | 340 | 1       | 5       | 2.67 | 1.307          | Medium              |
| Participated in Consultative Meetings         | 340 | 1       | 5       | 2.74 | 1.407          | Medium              |
| Had an Opportunity to Voice Personal Opinions | 340 | 1       | 5       | 2.53 | 1.318          | Medium              |
| Supervisor Willing To Share information       | 340 | 1       | 5       | 3.00 | 1.296          | High                |
| Valid N (list wise)                           | 340 |         |         |      |                |                     |

From Table 4.6 the communication construct scale had a high level of importance with mean (2.74) and standard deviation (1.33). According to Table 4.4, most of its items had a "Medium" level of importance, the highest mean of its items was (3.00) with standard deviation (1.30) that is; "Supervisor Willing to Share information" variable. Supervisors were perceived as unwilling to share information concerning the change process, what was happening on the change front, which will be affected and not were all issues shrouded in secrecy. Therefore, respondents perceived that the change process was a secret even to them and this made it difficult to understand and embrace the impending change.

The second and third highest mean (that is, "Clear Structured communication" variable and "participated in consultative meetings" variable) had relatively similar means indicative of the extent to which the variable is perceived as vital in enabling employees to understand change from a managements perspective and their subsequent involvement in the process in order to embrace it. Change was perceived as a hurried process that lacked clarity due to the apparent poor preparation by management of process guidance. Most of the respondents perceived that there was no clear plan on the implementation of change in Water Utilities and hence failed to understand and embrace change; given that a majority disagreed that they participated in consultative meetings. In testament to the above, there was a general perception that there was a non-inclusiveness of the change process as about three-quarters of the respondents did not have a chance



or opportunity to voice personal concerns. The second last variable of "Relied more on rumours" was a coping mechanism employees resort to when formal communication channels fail to communicate vital information on in house corporate processes. The majority of respondents actually relied on formal communication channels and not the rumour mill (see the descriptive statistics of "Leadership" items in Table 4.8).

**Table 4.8 Descriptive Statistics: Leadership**

| Variable                                           | N   | Minimum | Maximum | Mean | Std. Deviation | Level of importance |
|----------------------------------------------------|-----|---------|---------|------|----------------|---------------------|
| Leadership Created a Vision                        | 340 | 1       | 5       | 2.47 | 1.286          | Medium              |
| Supervisor Helped to Understand Reasons for Reform | 340 | 1       | 5       | 2.78 | 1.32           | Medium              |
| Leadership Supported New structures                | 340 | 1       | 5       | 2.98 | 1.29           | Medium              |
| Leadership Showed Commitment                       | 340 | 1       | 5       | 2.97 | 1.299          | Medium              |
| Leadership Spoke in One Voice                      | 340 | 1       | 5       | 2.9  | 1.203          | Medium              |
| Valid N (list wise)                                | 340 |         |         |      |                |                     |

From Table 4.6 the leadership construct scale had a high level of importance with mean (2.82) and standard deviation (1.28). According to Table 4.8, all its items had a "Medium" level of importance, the highest mean of its items was (2.98) with standard deviation (1.29) that is "Leadership Supported New structures" made the first rank when compared with others items. Leaders were perceived as unsupportive in the establishment of new structures to match and align employees to meet the change expectations and demands. The second highest mean, "Leadership Showed Commitment", was equal to (2.97) and had a standard deviation of 1.29.

Leaders were perceived to be uncommitted to ensuring the attainment of change goals via employee cooperation and compliance. The third highest mean, "Leadership Spoke in One Voice", was equal to (2.90) and had a standard

deviation of 1.20. In this category, a slightly less important variable compared to the precursors, however, leaders were perceived to be divided as to the intentions, aims, motives and outcomes of the change process. Leaders, instead of speaking in one voice, spoke in many voices and this appears to have had a negating effect on employees in understanding and embracing change. The fourth important variable that indicated respondents' perceptions concerning leadership was the "Supervisor Helped to Understand Reasons for Reform" variable with a mean of 2.78 and standard deviation of 1.32 and "Leadership Created a Vision" with a mean of 2.47 and a standard deviation of 1.29 indicated its lesser importance to understanding and embracement of change. The descriptive statistics of "Engagement" items in the Table 4.9.

**Table 4.9 Descriptive Statistics: Engagement**

| Variable                                         | N   | Minimum | Maximum | Mean | Std. Deviation | Level of Importance |
|--------------------------------------------------|-----|---------|---------|------|----------------|---------------------|
| Consultation on Changes which Impacted on My Job | 340 | 1       | 5       | 2.99 | 1.454          | Medium              |
| Awareness on Different Stages of Change Process  | 340 | 1       | 5       | 3.12 | 1.402          | High                |
| My Ideas Were valued                             | 340 | 1       | 5       | 2.44 | 1.131          | Medium              |
| I Contributed to the Success of the Process      | 338 | 1       | 5       | 3.17 | 1.516          | High                |
| If Change fails, I would have failed             | 340 | 1       | 5       | 3.29 | 1.414          | High                |
| Valid N (list wise)                              | 338 |         |         |      |                |                     |

From Table 4.6 the engagement construct scale had a high level of importance with mean (3.00) and standard deviation (1.38). according to Table 4.9, three variables were considered the most important in reinforcing understanding and encouraging employees to embrace the change; that is firstly "If change fails, I would have failed", "I contributed to the success of the process", "Awareness of different stages of the change process" and "Consultation on Changes which Impacted My Job." Respondents' perceptions were reflective of the relatively small



spread of data (1.4-1.5) about the mean. The least important variable in this construct was "My Ideas Were valued". The results reveal that the respondents understood the extent of the failure of the change process as a reflection of their personal failure including their value in contributing to the success of the change process. The need to be aware of the different stages of the change process and being included and consulted on changes specific to employee's jobs also featured as a vital link between progressing from one stage of change to another. The least important variable that induced understanding and embracement of change in this construct was the appreciation of the employee's ideas. The descriptive statistics of "Training and Development" items are shown below in Table 4.10.

**Table 4.10 Descriptive Statistics: Training and Development**

| Variable                                                  | N   | Minimum | Maximum | Mean | Std. Deviation | Level of importance |
|-----------------------------------------------------------|-----|---------|---------|------|----------------|---------------------|
| Had Requisite Skills To Take up The new Role After Change | 340 | 1       | 5       | 3.77 | 1.224          | High                |
| Training and Development Enhanced My Career Path          | 340 | 1       | 5       | 3.49 | 1.496          | High                |
| I Received Training and development                       | 340 | 1       | 5       | 2.89 | 1.434          | Medium              |
| Training and Development helped with Stress management    | 340 | 1       | 5       | 2.92 | 1.441          | Medium              |
| There was Sufficient Skills Transfer                      | 340 | 1       | 5       | 3.00 | 1.448          | High                |
| Valid N (list wise)                                       | 340 |         |         |      |                |                     |

From Table 4.6 it can be seen that the training and development construct scale had a high level of importance with a mean of 3.21 and a standard deviation of 1.41. According to Table 4.10, three perceptions were dominant suggesting that issues regarding skills development during and after the change implementation process and the effect of training and development on career enhancement were viewed by the respondents as critical in enabling the understanding and embracement of change by employees. The next section presents the frequency tables as per the questionnaires' progression, that is; Section B to Section D.

#### 4.4.2 Frequency tables per question

This section illustrates the frequency tables per each question stated as four factors measuring employee perception of change initiatives during the water sector reform.

##### 4.4.2.1 Communication

The questionnaire required of respondents to indicate how they perceived the impact of communication in enabling them to understand and embrace the ushered change initiatives at Water Utilities Corporation. Five communication tools were used to evaluate their inherent perceptions regarding the existence of clear and structured communication, whether organisational communication during change initiatives relied more on rumours than formal processes, whether employees participated in consultative meetings during change initiatives, whether employees had an opportunity to voice personal opinions during the reform process and whether their immediate boss for many employees were willing to share information concerning the change. Figure 4.5 shows the perception of respondents concerning the five sub-constructs of communication.

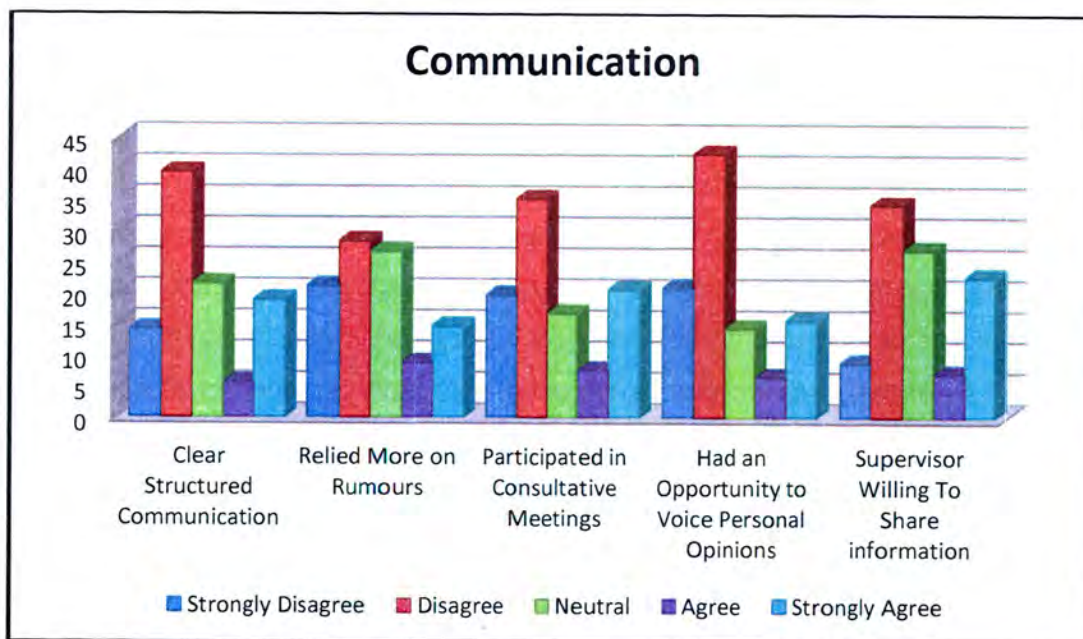


Figure 4.5 Communication Perception Sub-Constructs



Figure 4.5 above shows the variability of the predominantly negative perceptions of the Water Utilities Corporation employees concerning their opinions on communication during the change process. Table 4.11 shows the perception of respondents concerning the five sub-constructs.

**Table 4.11 Communication Perception Sub Constructs**

| Dimension                                     | Disagree  |                | Agree     |            |
|-----------------------------------------------|-----------|----------------|-----------|------------|
|                                               | Frequency | Percentage (%) | Frequency | Percentage |
| Clear Structured communication                | 255       | 75.4           | 85        | 24.6       |
| Relied more on Rumours                        | 260       | 76.5           | 80        | 23.5       |
| Participation in consultative meetings        | 244       | 71.8           | 96        | 28.2       |
| Had an Opportunity to Voice Personal Opinions | 265       | 77.9           | 75        | 22.1       |
| Supervisor Willing to Share information       | 239       | 70.3           | 101       | 29.7       |

From Table 4.11 above it can be seen that eighty-five (85) Water Utilities Corporation staff respondents (27.5%) believe that communication was clear and structured during the reform process, while the majority 75.4% disagreed. Eighty (80) Water Utilities Corporation staff respondents (23.5%) actually relied more on rumours than the formal communication system during the reform process, while the majority (76.5%) relied more on the formal channels of communication in understanding and embracing the ushered change. The ages and roles of the respondents varied. In general, this implies that there was no formal guidance for communication regarding the change process, management was perceived silent via formal communication channels to such an extent that employees relied on the grape vine to understand what was going on and try to make sense of it all. The lack of a clear communication plan that could achieve systematic and effective communication on the change process was a hindrance to employees being able to understand and embrace change.

From Table 4.11 above it emerges that ninety-six (96) Water Utilities Corporation staff respondents (28.2%) actually participated in the consultative meetings held before and during the change reform process at Water Utilities Corporation, while

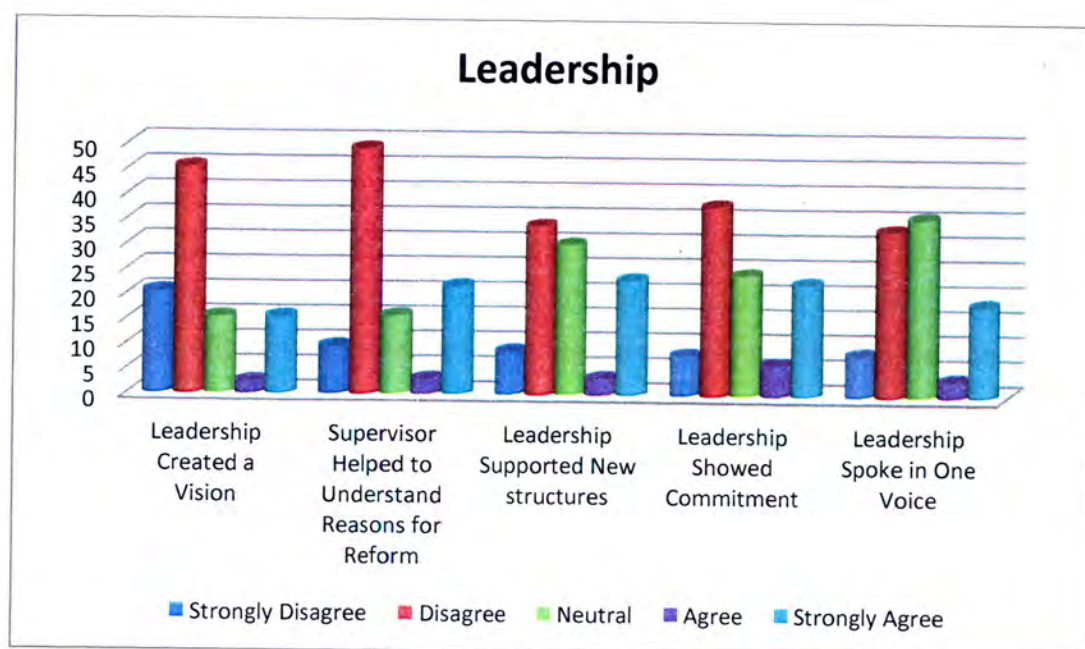
a huge majority 71.8% did not. Seventy-seven percent (77.9%) of the respondents did not have the opportunity to express their personal opinions while a marginal 22.1% did express their personal concerns on the change process. Seventy percent (70.3%) of the respondents indicated that their supervisors were not willing to share information, while 29.7% (101/340) appeared to have better rapport with their supervisors. In general, change was imposed on employees as the majority did not provide their input in consultative meetings nor had an opportunity to express their concerns, fears, aims, aspirations, goals and other vital information concerning the change process and its implications.

On the basis of these findings it can be deduced that majority respondents perceived communication to be ineffective and thus posing more risks of confusion than understanding which made it even more difficult to embrace the change. The results further reveal that there were poor announcements, explanations and preparations for change.

#### **4.4.2.2 Leadership**

The questionnaire required of respondents to indicate how they perceived the impact of leadership in enabling them to understand and embrace the ushered change initiatives at Water Utilities Corporation. Five leadership constructs or variables were used to measure whether leadership was instrumental in enabling employees embrace change, that is whether leadership created a vision for the Water Sector Reform changes, whether supervisors helped employees understand the underlying reasons for the reforms, whether leadership supported the new structures and processes that were brought by the Water sector Reforms, whether leadership showed commitment to change by reinforcing the end-results of the water sector reforms and whether leadership spoke in one voice throughout the change implementation. Figure 4.2 shows the respondents' perception of leadership and its impact on the change process at water Utilities Corporation.





**Figure 4.6 Leadership Perception Construct**

Figure 4.6 shows the variability of the predominantly negative perceptions of Water Utilities Corporation employees concerning their opinions on the leadership during the change process of respondents concerning the five sub-constructs.

**Table 4.12 Leadership Perception Sub-Construct**

| Dimension                                          | Disagree  |                | Agree     |            |
|----------------------------------------------------|-----------|----------------|-----------|------------|
|                                                    | Frequency | Percentage (%) | Frequency | Percentage |
| Leadership Created a Vision                        | 278       | 81.8           | 62        | 18.2       |
| Supervisor Helped to Understand Reasons for Reform | 255       | 75.0           | 85        | 25.0       |
| Leadership Supported New structures                | 249       | 73.2           | 91        | 26.8       |
| Leadership Showed Commitment                       | 241       | 70.9           | 99        | 22.1       |
| Leadership Spoke in One Voice                      | 265       | 77.9           | 75        | 22.1       |

All 278 respondents indicated that the leadership of the water utilities corporation did not have a vision for the change reforms being implemented which questions whether leaders actually acted in the best interest of the firm when integrating the two entities. A small proportion of respondents, though, concurred that leadership created a vision for the reform of the sector. Most respondents (75%) working in middle and senior management as change agents and recipients disagreed that Supervisors helped to understand the reasons for reform, while skilled employees and team leaders working as change strategists and managers results were relative. A majority of respondents (73%) below 50 years of age working as skilled employees, team leaders, in middle and senior management and responsible change management, agency and recipients disagreed that Water Utilities leadership supported new structures. This is in line with Pryor et al (2008:5) who emphasized the importance of changing the reporting structure as a result of structural transformation through which organisations revitalize business orientations. On the other hand, seventy percent (70%) of the respondents felt that leadership commitment was lacking in the change process at Water Utilities Corporation. Similarly, 77% (265/340) did not subscribe to the idea that Leadership Spoke in One Voice during the change process at Water Utilities Corporation.

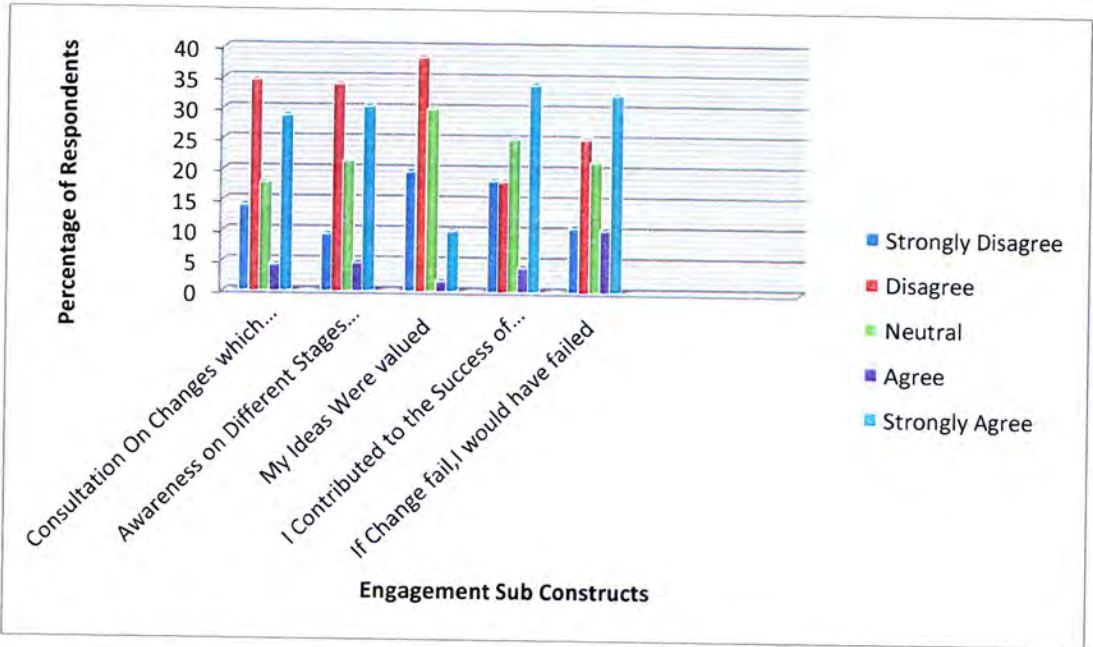
The poor performance of leadership in the change reform category best explains why water sector reforms were met with so much apathy because the critical role of leadership as defined by Riaz and Haider (2010:29), Zhu et al. (2005), Avolio (1999), Lado et al. (1992), Rowe (2001), Karp and Helgo (2008:91), Griffin (2002), Karp and Helgo (2008:88), Schein (1992), Karp and Helgo (2008:90), Kotter (1996), Winum et al. (1997), Ostroff (2006), Eby, Adams, Russell and Gaby (2000), Lyons, Swindler and Offner (2009:460) who identified leadership as critical in enhancing organisational performance - hence the critical element in organisational change management was lacking.

#### **4.4.2.3 Engagement**

The questionnaire required of respondents to indicate how their engagement in the change process as a result of communication and leadership efforts in enabling them to understand and embrace the ushered in change initiatives at



Water Utilities Corporation. Five engagement constructs or variables were used to measure whether leadership was instrumental in enabling employees embrace change. Figure 4.7 shows the respondents perception of leadership and its impact on the change process at the Water Utilities Corporation.



**Figure 4.7 Engagement Perception Construct**

Figure 4.7 shows the variability of the predominantly negative perceptions of Water Utilities Corporation employees concerning their opinions on engagement during the change process perception of respondents concerning the five subs constructs of engagement.

**Table 4.13 Engagement Perception Sub-Construct**

| Dimension                                       | Disagree  |                | Agree     |            |
|-------------------------------------------------|-----------|----------------|-----------|------------|
|                                                 | Frequency | Percentage (%) | Frequency | Percentage |
| Consultation on the Changes Impacting on my Job | 227       | 66.7           | 113       | 33.2       |
| Awareness on Different Stages of Change Process | 221       | 65.0           | 119       | 35.0       |
| My ideas were valued                            | 300       | 88.0           | 40        | 22.0       |
| I contributed to the Success of the Process     | 209       | 61             | 131       | 39         |
| If change fails, I also fail                    | 265       | 77.9           | 75        | 22.1       |

According to Table 4.13, two hundred and twenty-seven (227) respondents disagreed that there was ever consultation On the Changes which Impacted on Employees' Jobs, as only approximately half (113) had been consulted. The results are consistent with the low number of employees in the study who participated in consultative meetings under the communication construct. The study established that there is a correlation between the respondents who "frequently agreed" and their change role and their age.

According to Table 4.13, 65% (221/340) of the respondents disagreed on their awareness on different stages of Change Process, only 35% of the respondents were aware of the different stages of the change process. The results are consisted with the high number of employees who perceived poor and unstructured communication during the reform process under the communication construct and the fact that supervisors were not that willing to share information concerning the change process.

The perceptions of employees concerning whether their ideas were valued within the change reform process were similar to other results with 22% (40/340) of the respondents' ideas were valued, leaving out a huge 88%. The results are consistent with the high number of employees who felt that leaders did not support new structures, and those who did not have an opportunity to voice their personal opinions.

Almost two-thirds of the respondents (61%, or 209/340) felt that they had not contributed to the Success of the Process which is a relatively big margin for a process that is meant to be company-wide.

Even though employees were relatively excluded from the change process, they still believed in their ability to transform the organisation by being a mere change to being an instrumental element in the organisation. Fifty-seven (57%) percent of the respondents disagreed with the notion that if the change process failed individually they would have also failed. This is in line with Stadtländer (2006:17) that transformational change programmes fail due to a variety of reasons related to employee engagement and poor individual performance and goal congruency.



4.4.2.4 Training and Development

The questionnaire required of respondents to indicate how training and development enabled employees to understand and embrace the ushered change initiatives at Water Utilities Corporation. Five engagement constructs or variables were used to measure whether training and development was instrumental in enabling employees embrace change. Figure 4.8 shows the respondents' perception of leadership and its impact on the change process at the Water Utilities Corporation.



Figure 4.8 Training and Development Perception Construct

Figure 4.8 shows the variability of the predominantly negative perceptions of Water Utilities Corporation employees concerning their opinions on training and development during the change process perception of respondents concerning the five sub-constructs of engagement. Table 4.14 shows the perception of respondents concerning the five sub-constructs.

**Table 4.14 Training and Development Perception Constructs**

| Dimension                                                 | Disagree  |                | Agree     |            |
|-----------------------------------------------------------|-----------|----------------|-----------|------------|
|                                                           | Frequency | Percentage (%) | Frequency | Percentage |
| Had Requisite Skills To Take up The new Role After Change | 129       | 37.9           | 211       | 62.1       |
| Training and Development Enhanced My Career Path          | 163       | 47.9           | 177       | 52.1       |
| I Received Training and development                       | 229       | 67.4           | 111       | 32.6       |
| Training and Development helped with Stress management    | 230       | 67.6           | 110       | 32.4       |
| There was Sufficient Skill Transfer                       | 224       | 65.9           | 116       | 34.1       |

From Table 4.14 above, 129 Water Utilities Corporation staff respondents (37.9%) did not ascribe to the view that they had the requisite skills to be able to take up the new role after the change process. training and development was not instrumental (47.9%) in enhancing career changes which ultimately enabled employee understanding and buy into the change reform process, while a marginal 52.1% agreed that it was instrumental. Two hundred and twenty-nine (229) Water Utilities Corporation staff respondents (67.4%) did not receive training and development before and during the change process, therefore were not fully equipped to comprehend and deal with the dynamics of change as change occurred.

From Table 4.14 above, 230 Water Utilities Corporation staff respondents (67%) actually believed that training and development during the change process had not helped with stress management as a result of the reform process, while a relative proportion 33% did. Sixty-six percent (224/340) of the respondents believed that there was insufficient skills transfer, while a marginal 34% did perceive a sufficient skills transfer.



On the basis of these findings it can be deduced that the respondents disagreed on most aspects as communication was ineffective, leadership was uninspiring. The engagement of employees was relative and questionable during the change process. The state of training and development was also ineffective as perceptions were rather mixed as to its intended objectives. The study established that there is a correlation between the respondents who “frequently agreed” and their change role and their age.

#### **4.4.3 Correlation analyses**

In order to understand the inherent causal relationships based on the underlying perceptions of employees; the following correlations were investigated;

- Participation in consultative meetings and consultation on the changes which impact on my job (Consultation).
- Leadership showed commitment and the supervisor was willing to share information and supervisor helped to understand reasons for reform (Resistance to Change).
- Clear and structured communications and leaders spoke in one voice and awareness on different stages of the change process (Communication).
- Had opportunity to voice personal information and my ideas were valued (Inclusion & Recognition).
- If change fails I also fail and had requisite skills to take up the new role after change and there was sufficient skills transfer (Performance).
- Leadership supported new structures and training and development enhanced my career path (Flexibility and adaptability).
- Leadership created a vision and I received training and development (Foresight & Development).
- I contributed to the success of the process and training and development helped with stress management (Success Identification)

Table 4.15 shows the grand correlations of the four constructs and the highest correlation coefficient was training and development, followed by leadership, engagement and communication.

**Table 4.15      Grand Correlations**

| Dimension              | Correlation (r) |
|------------------------|-----------------|
| Communication          | 0.37224         |
| Leadership             | 0.54984         |
| Engagement             | 0.47272         |
| Training & Development | 0.58536         |

The association between the participation in consultative meetings and consultation on the changes which impact on my job (Consultation) is significant ( $r=0.241$ ) at 0.01 level (Table A1). Fifty-one percent (51.2%) of male responses did not participate in consultative meetings while 48.8% of males did as opposed to 20.7% of female respondents who did not participate against 79.3% who did. Females appear to have participated in the consultative meetings more than their male counterparts. This can be attributed to the inept need for gender disparities to be absolved and the fact that females are dedicated employees. Forty-nine percent (48.5%) of males were not consulted on the changes which Impacted their Job comprised majorly (70.7%) by young and middle aged employees (30-49); while 18.3% of females were also not consulted. The results are in contrast to Ijaz and Vitalis (2011:113) in that not all employees participated in organisational change. The proportion of change recipients was half to those responsible for initiating or managing organisational change. Table 4.16 shows the role played in implementing organisational change.

**Table 4.16      Change Roles**

| Variable           | Frequency  | Percent    | Valid Percent | Cumulative Percent |
|--------------------|------------|------------|---------------|--------------------|
| Change Strategist  | 7          | 2.1        | 2.1           | 2.1                |
| Change Manager     | 69         | 20.3       | 20.3          | 22.4               |
| Change Agent       | 5          | 1.5        | 1.5           | 23.9               |
| Change Recipient   | 170        | 50         | 50            | 86.8               |
| None               | 39         | 11.5       | 11.5          | 98.2               |
| Other i.e. experts | 6          | 1.8        | 1.8           | 100                |
| <b>Total</b>       | <b>340</b> | <b>100</b> | <b>100</b>    |                    |

Participation of all staff in the change process is essential because organisational change such as pursued by water utilities in integrating the water affairs department into the corporation had the potential to change strategy, structure,



culture and processes. Keifer (2005:876) supports this view. The association between the three sub constructs; leadership showed commitment and the supervisor was willing to share information and the supervisor helped to understand reasons for reform (Resistance to Change) was found to be significant ( $r=0.421; 0.392; 0.442$ ) (Table A2). The role of leadership is to ensure change readiness through visioning and creating a sense of urgency around the change, and showing support for the change (Eby et al., 2008; Lyons et al., 2009:463). All stakeholders need to be engaged by leadership. The engagement process was ineffective as evidenced by the negative perceptions that employees from Water Utilities Corporation carry due to the reform process (Maak, 2007:335).

The association between "Clear and structured communications" and "leaders spoke in one voice" and "awareness on different stages of the change process" (Communication) was insignificant ( $r=0.181; 0.141; .296$ ) (Table A3). This is consistent with Judge and Douglas (2009), Martin, Jones and Callan (2006), Wilkins (1983) and Lofquist (2011:35). Communication is seen as a critical component for ensuring employees and stakeholders

The association between "Had opportunity to voice personal information" and "my ideas were valued" (Inclusion & Recognition) were significant ( $r=0.455$ ) at 0.01 level. (Table A4). The association between "If change fails I also fail" and "had requisite skills to take up the new role after change" and "there was sufficient skills transfer" (performance) were found to be significant ( $r=0.261; 0.215; 0.342$ ) (Table A5). The results are consistent with the study by Leana and Barry (2000) that argues that organisational change is aimed at adapting to the environment, improvement in performance and changes in employees behavioural patterns at the work place. Similarly, participation by employees and other stakeholders can enhance change initiatives by challenging taken for granted assumptions (Van Dam et al., 2008).

The association between "Leadership supported new structures" and "training and development enhanced my career path" (Flexibility and adaptability) was found to be significant ( $r=0.120$ ) at the 0.05 level. (Table A6). The association between "Leadership created a vision" and "I received training and development" (Foresight & Development) was found to be significant ( $r=0.295$ ) at the 0.01 level. (Table A7).



This is consistent with Soosay and Sloan (2005:16); Stoker (2009); Burnes (2004) Kotter (1996) and Stoker (2009). Soosay and Sloan (2005) found that employees are able to accept changes with adequate communication and proper training. The association between “I contributed to the success of the process” and “training and development helped with stress management” (Success Identification) was found to be significant ( $r=0.266$ ) at the 0.01 level (Table A8). Research was lacking to support this fundamental association.

Communication helps to overcome ambiguity and uncertainty and provides information and power to those who are the subject of the change. Communication serves to coordinate the stages of change though determining employee expectations about what will happen, reducing uncertainty and ambiguity by providing relevant and timely information, and addressing the issue of job security can mitigate the negative effects caused by mergers.

#### 4.4.4 Regression analysis

The water utilities operate in a dynamic industry driven by the growing industrial and domestic demand for water. The pressure to change although justifiable within the context of the study required a concerted effort to manage the variety of internal and external sources of change pressure that had the potential to build up resistance to change. This is in line with studies conducted by Pryor et al. (2008: 1); George and Jones (2002); McNamara (2001:3) and Mowat (2002:3). Table 4.17 shows the Regression Model of the study.

**Table 4.17 Regression Model Summary**

| Model                    | R                 | R Square | Adjusted R Square | Std. Error of the Estimate |
|--------------------------|-------------------|----------|-------------------|----------------------------|
| Communication            | .524 <sup>a</sup> | 0.274    | 0.263             | 0.906                      |
| Leadership               | .578 <sup>b</sup> | 0.334    | 0.314             | 0.875                      |
| Engagement               | .611 <sup>c</sup> | 0.374    | 0.344             | 0.855                      |
| Training and Development | .632 <sup>d</sup> | 0.399    | 0.361             | 0.844                      |

Simple regression is a good fit to the relationship between an independent variable (Change) and a dependent variable (Employee Perceptions) according to



the line of best fit which is significant for all four constructs (0.524-0.632) which is significant when comparing with level (sig = 0.000 < 0.05), coefficient of determination  $R^2$ . This is the positive effect of organisational change on employee perceptions regarding the change process.

The architects of water sector reform did not pay particular attention to the re-integration challenges faced by employees coming from the department of water affairs. According to Barchan (2006), the people side of the business is the most critical change element requiring effective management. Due to the fact that work design, team structures and team crossing changed as people moved between teams. Management was not sensitive to cultural issues from the outset as proposed by Spicer (2011:248) and DiGeorgio (2003). According to *Business and Management Review* (Vol 2012), successful change is dependent on the active participation of stakeholders. Participatory approaches such as inviting input, using involving and empowering methods to gain the insights of various stakeholders to shape the change program and not merely to "receive it are all methods that could have been used. It is vital that Employees should be active participants in the change process (Burnes, 2008; Johanson & Heide, 2008; Russ, 2007; Caldwell, 2011:603; McClellan, 2011:472).

#### **4.5 CONCLUSION**

The chapter presented the results of the study. Change management interventions during the Water Sector Reform Process were perceived by the employees in a negative light as support structures necessary to reinforce understanding and enable the acceptance of change were lacking. It was established that Communication has an impact on embracing change if it is clear and structured. Secondly, the role of Leadership has an impact on embracing change for employees only if the leadership is instrumental, visionary, transformational and effective in inspiring, influencing and motivating employees to accept the new state of change in the organisation. Thirdly, employee participation has an impact on them embracing change based on the social inclusiveness and ownership of company programmes. Finally, the study established that training and development have an impact on employees' support for change in equipping them with the requisite skills, attitudes, behaviours and knowledge to manage

change and its complexities. The next chapter presents the conclusions and recommendations, and provide an overview of the study.



## **CHAPTER FIVE: CONCLUSIONS AND RECOMMENDATIONS**

### **5.1 INTRODUCTION**

Chapter five presents a summary of the findings of the research, and draws conclusions based on interpretation of the evidence. This chapter attempts to present an assessment of how change management interventions during the Water Sector Reform Process were perceived by the employees in helping them to understand and embrace change.

### **5.2 SUMMARY OF THE STUDY**

The following is a summary of the study sub-divided into two sub-sections, viz. a restatement of research objectives and insights into how each research objective was realized.

#### **5.2 (i) Restatement of research objectives**

The specific objectives of the study were to assess how change management interventions during the Water Sector Reform Process were perceived by the employees in helping them to understand and embrace change. The following research objectives were developed for the study:

1. To assess the impact of *Communication* on how employees embrace change;
2. To assess the impact of the role of *Leadership* on how employees embrace change;
3. To assess the impact of how *Employee participation* enables employees to embrace change; and
4. To determine the impact of *Training and Development* on employees' support for change.

#### **5.2(ii) Findings based on objectives**

The findings of the research have been presented in this section together with a discussion on their implications as well as their relation to previous research. It was the main purpose of this study to assess how change management

interventions during the Water Sector Reform Process were perceived by the employees in helping them to understand and embrace change.

The first research objective entailed the assessment of the impact of Communication on how employees embraced change. The study established that communication has an impact on how employees embrace change. Respondents exhibited several negative perceptions towards the nature of organisational communication, the extent of the employee participation, inclusiveness and poor provision of information by supervisors concerning organisational change. Communication was perceived to be unclear and unstructured. Although it appears employees relied on formal means of communication to understand and embrace change, supervisors were unwilling to provide information on the change process. The study established that most employees did not participate in consultative meetings nor did they have an opportunity to voice personal concerns.

The second research objective entailed the assessment of the impact of the role of Leadership on how employees embrace change. The study established that leadership has an adverse impact on how employees embraced change. Respondents exhibited several negative reflections concerning the role of leadership in the reform process. A majority of the respondents felt that leaders did not have a vision of the actual change outcomes which revealed a visionless leadership perception. It was further established that supervisors did not play an instrumental role in helping employees understand the reasons for organisational change. Supervisors were perceived to be unhelpful. A handful of employees actually got assistance from their supervisors. The results revealed that leadership did not support the development of new structures to facilitate a smooth transition between the 'old' and the 'new'. Leadership commitment was found to be lacking in the majority of cases. Finally, it was established that leadership did not speak with one voice. It would appear that messages were often disconcerted and different. The respondents perceived that the role of leaders before, during and after the change could have been effective and enhanced employee readiness for organisational change. Leaders were perceived by the majority to be visionless, ineffective, unsupportive and uncommitted.



The third research objective entailed the assessment of the impact of how employee participation enabled employees to embrace change. The study established that employee participation had an adverse impact on how employees embraced change because the majority of employees were disengaged due anxiety, confusion and a general lack of understanding concerning management's aims and objectives. Respondents exhibited several negative reflections concerning the role of leadership in the reform process. Respondents indicated that in a majority of cases they were not consulted regarding changes which affected their jobs. The study established that the change was 'sold' to a few employees while the majority of employees perceived that their input was irrelevant and inconsequential; hence they felt excluded from the change programme. Almost two-thirds of the respondents were unaware of the different stages of change process which meant that preparation for change and anticipation of change dynamics were below par. Almost eight-tenths of the study felt that their ideas were not valued. The findings illustrate that employee participation impacts on the level of engagement in the organisation and employees' contribution towards apprehension of all change programmes. The general perception was that management was uninterested in their input; their ideas were not valued and as such they were unaware of the progression of the change process due to ineffective communication and leadership which ultimately affected employee engagement and participation. Respondents were found to perceive their input as not being crucial to the success of change and towards the responsibility for failure.

The fourth research objective entailed the determination of the impact of training and development on employees' support for change. The study established that training and development were critical and instrumental in garnering employee support for change. The study established that employees had requisite skills to take over their new roles after the change. Perceptions were positive in terms of skills development and adequacy for acclimatization after the change. The study further established that there were mixed results with respect to the career path enhancement due to training and development. It would appear that training and development did some good and in other cases did more harm than good for career development for some sections of employees as a direct result of the



change process. This was confirmed by the fact that many respondents felt that they did not receive training. Training and development were found not to have aided in stress management nor did it result in sufficient skills transfer. Training and development were therefore perceived as partly instrumental in attaining successful change outcomes. However, training and development objectives were compromised in terms of career path enhancement, incorporation of training and skills transfer.

### **5.3 EMPIRICAL FINDINGS**

#### **5.3.1 Communication has an impact on embracing change**

The study established that communication has an impact on how employees embrace change. Several negative perceptions were identified and point towards the abrupt and radical nature of the organisational change which was seen as a result of poor planning on the part of management as evidenced by the poor unstructured communication of change reforms, the failure of formal communication channels to provide adequate, sufficient and timely notice of the impending change, the change process itself, the elements of the change and what is necessary to be achieved in order to successfully prepare for the change through a series of action designed to reinforce understanding and embracement of organisational change.

In general communication before, during and after the change implementation process was ineffective. This finding confirms its importance to Kitchen and Daly (2002) who regard communication as highly important in the successful implementation of the change processes, because it is used as a tool for announcing, explaining and preparing the change.

Other negative perceptions emanated from the fact that the change programme excluded a majority of workers in principle. This explains why resistance to change was prevalent, because they could not understand it, therefore could not embrace it. Boohene and Williams (2012:139) explain that open communication provides management with feedback during the change process which in turn reduces the level of resistance to change. Other studies by Davy et al. (1988); Petchers et al.,



(1988); Koonce (1991); Newman and Krzystofiak (1993); Fairfield, Ogilvie and Del Vecchio (2002) emphasize the impact of communication in giving people both the confidence and skills necessary to smoothly make the transition during active change. Resistance through employees' behaviours, attitudes or emotions has been found to significantly stem change efforts (Dent & Goldberg, 1999; Ijaz & Vitalis, 2011:113). According to Chiang (2010), some barriers and resistance to organisational change are as follows: high cost of change, financial difficulties, time limitations, other business priorities, technical difficulties, fear of insecurity, losing something valuable, lack of skills and resources, unpleasant previous experiences, commitment to current practices, strong organisational culture, internal politics, powerful trade unions, and government regulations.

The study also discovered the presence of organisational barriers to change. These results are consistent with findings by Bolman and Deal (2003). Some of the factors identified in the study as contributing towards the near failure of the change process such as human resource, structural, and symbolic related barriers to change. Zoller and Fairhurst (2007) and Ijaz and Vitalis (2011:113) found that the failure of organisational change may occur for a variety of reasons, including overreaching in the change ideas, inadequate communication of the change to the change or flawed execution

The study also established that role-playing was ineffective based on the perceptions of role players. Communication was found to be poor because those responsible for change formulation and implementation did not understand their actual responsibilities. Furthermore, no opportunities were created by management for employees to voice their concerns concerning the change itself. Supervisors who should be a source of leadership and guidance were also found by the study to have been unwilling to provide much-needed information that employees required to understand and make sense of what was happening to their water affairs department and how they would fit in into water utilities on the one hand. On the other hand, the manner in which essentially the original water utilities employees would be willing to integrate with the new comers on an organisational level. An organisational alignment in line with culture, processes, systems and practices was required. Communication aids in overcoming



ambiguity and uncertainty and provides information and power to those who are the subject of the change Boohene and Williams (2012:139). One reason put forward for failure of many change initiatives is the lack of understanding of the overwhelming impact that organisational cultures have on the change process (Wilkins, 1983; Lofquist, 2011:35). This explains why change at Water Utilities Corporation was such a lengthy process.

### **5.3.2 Impact of Leadership in enabling employees to embrace change**

Leadership was found to be not instrumental in enabling employees to embrace change. Leadership is viewed by Zhu et al. (2005), Avolio (1999), Lado et al. (1992), Rowe (2001) as the main cause of competitive advantage for any kind of organisation. In the study the results reflected a Leadership that was ineffective in the execution of the roles of leadership being to influence, motivate, inspire and direct staff towards the accomplishment of organisational objectives. Employees perceived leadership as having no vision of the change process. This is partly true because the change was externally influenced by the World Bank. It would appear, therefore, that the change initiated by the government of Botswana may simply have been an effort to meet the World Bank requirements for change in the Water Reform Sector. According to Riaz and Haider (2010:29) leadership is one of the critical elements in enhancing organisational performance hence critical in organisational change management, however, leaders were found wanting in this regard as the respondents perceived supervisors as unhelpful in enabling them to understand the reasons for reform.

Leadership was found to have not been very supportive of new structures and to have shown very little commitment (to 29.3% of the respondents) while the bulk of 70.9% perceived leadership's intentions differently. According to Karp and Helgo (2008:88) this could be attributed to the notion that change is neither sought nor welcomed as it is disruptive and upsets the organisational balance. This is consistent with past research (Kotter, 1996; Winum et al., 1997; Ostroff, 2006; Eby, Adams, Russell & Gaby 2000; Lyons, Swindler & Offner, 2009: 460) supporting the utility of change leadership reminiscent of a lack of visioning, lack of leadership support, lack of commitment to change for the right reasons, and lack of a guiding coalition as major barriers to successful change. Eby et al. (2008)



and Lyons et al. (2009:463) believe that leadership impacts on the success of organisational change initiatives only if they ensure organisational change readiness through empowerment strategies. Respondents perceived leadership as uncommitted and divided in their resolve. Seventy-eight percent (77.9%) disagreed that leadership spoke with one voice. Leaders failed their role of developing and executing strategic decisions. The Audit Commission (2001) and Stoker (2009:15) argued that leadership is a team as well as an individual responsibility.

### **5.3.3 Employee Participation has an impact on them embracing change**

Employee participation was found to have an impact on an employee's ability to embrace change. According to the *Business and Management Review* (Vol 2012), successful change is dependent on the active participation of stakeholders.

Based on the results of the data analysis employee participation was found to be low and it would appear that management did not consult employees on the change initiatives to seek their input and voice their concerns. A majority of respondents perceived consultation as predominantly excluding the majority of employees even though change directly affected their jobs. Management's failure to recognise this important relationship may have contributed to prevalent resistance to change.

A majority of respondents perceived consultation as excluding the majority of employees even though change directly affected their jobs. Management's failure to recognise this important relationship may have contributed to the prevalent resistance to change.

Respondents perceived that their ideas were not valued and felt that they did not contribute to the success of the process. This is primarily because their input was not sought initially and subsequently during the change programme. These negative perceptions emanating from the respondents are highly indicative of poor employee participation in the change process. McClellan (2011:472) believes that organisational change is not related to how successfully managers communicate information but to the extent to which participation is encouraged.



Approximately half of the population felt that if change failed, they would have failed. This recognizes the impact of change management as a direct result of managerial action and not due to employee action and dedication to the job. This implies that employee engagement may have been at a low level. The study proves that employees should be active participants in the change process and not back benchers. Employees' participation is a catalyst for implementing sustained organisation change (Burnes, 2008; Johanson, & Heide, 2008; Russ, 2007).

#### **5.3.4 Training and Development impact**

Training and development were found to have a positive impact on employees' support for change in so far as training and development outcomes are designed, aligned to change requirements and implemented effectively. In stark contrast to previous negative perceptions concerning communications, leadership and participation, training and development appeared to have been handled fairly well by the management of the enterprise. According to Soosay and Sloan (2005:16) education or training is the best way to initially create awareness among management, supervisors and employees. This view is supported by Burnes (2004), Kotter (1996) and Stoker (2009).

A majority (62.1%) of employees agreed that they had received the requisite training skills in taking up their new roles after the implementation of change mechanisms. In line with these results, 52.1% agreed that training enhanced their career-pathing. Training and development were perceived as contributing to employee's ability to cope with change initiatives. Respondents perceived training and development as insufficient to help with stress management. It would appear that other measures may have been more effective in dealing with stress management as a result of the change programmes implemented. A majority of the respondents also concurred as to the sufficiency of the skills transfer initiated during the change programme.

Restructuring and reorganization are vital in order to make significant changes to strategy, structure, organisational culture and processes such as communication, leadership, engagement, training and development (Keifer, 2005:876). The



inherently negative perceptions of employees were as a result of management failing to integrate employees who were part of the Department of Water Affairs culture into being effectively integrated into Water Utilities Corporation. The reasons for the resistance to change by employees was the main issue for the difficulties in implementing the change initiatives due to the poor attempt to involve employees in the change process so that they could have understood why change was necessary and how they could embrace it so that all change aims could be attained. The events surrounding Botswana's water sector reform demonstrate that poor management practices can cause failure in change management initiatives (this is in line with Robbins et al., 2009:570).

Mergers are increasingly complex events representing a very difficult organisational change process and change management challenge (Kavanagh & Ashkanasy, 2006). The study established that the most difficult part of leading a company through a merger is managing the people side of the business. This is in line with Barchan's (2006) study; furthermore, DiGeorgio (2002), suggests that cultural compatibility is critical to success. In the change process, there was poor cultural integration of Department of Water Affairs employees into Water Utilities Corporation. Employee integration is highly problematic, and cultural problems and clashes are a constant reality. This is in line with the views of Cartwright and Cooper (1993); Galpin and Herndon (2000) and Spicer (2011:248).

#### **5.4 CONCLUSION**

Communication is vital, necessary and consequential to effective understanding and empowerment. Regular, timely and purposeful communications are basic rudimentary elements of a thriving and successful change process. Employees are ex officio members of the organisation and as such their input, participation and inclusion concerning change processes should be a non-negotiable aspect of change management implementation. Employees view the change process differently. A successful change programme requires that employees understand why the need for change is crucial. By providing specific information to everyone at the same time, rumours can be minimized. Communication lowers stress and anxiety.



When restructuring jobs or refocusing the organization's direction, it is very important to clarify roles and how they support each other. Role clarification helps raise issues in a neutral manner and avoids confusion when change is in process. The first goal of organisational communication should be to inform the employees about their tasks and about the policy and other issues of the organisation. The second goal is communication with a mean to create a community within the organisation.

Uncertainty of employees during change processes will reflect on the implications for the individual employee, or the environment in which that employee is doing his or her work. Effective participation produces beneficial outcomes for individuals and organisations. Participation is necessary, however; great care in designing the social architecture of participation in large groups needs to be taken in order to effect positive change. While leaders and employees view change differently, it is important that leaders view change from the affected's viewpoint in terms of strengthening and renewing the organisation and as a way of taking on new professional challenges and risks, and to advance their careers.

The most common reasons for stagnated or failed change programmes include a lack of commitment from the top, change overload, lack of incentives tied to the change initiative and a lack of training. Commitment from senior management is required if the change programme is to succeed. People reveal their values through their actions, not their words. Employees infer what is important from management's behaviour. Another cause of failure is that too little attention is given to developing the skills people require to make a new technology work. The organization must develop experiential training that provides real time hands-on experience with new processes and procedures. The physical environment must also reinforce these changes. Creating the vision and leadership will drive successful change. Training and development aim to give staff the understanding and confidence to empower them to pursue continuous improvement. Training can help employees take on new assignments.



## **5.5 LIMITATIONS OF THE STUDY**

Communication, leadership, engagement, training and development are not the only key factors of successful organisational change. The actual design of the change and the strategic choices made within the design are of course precursors of effective changes. The aim of this dissertation is more empirical in the sense that it could guide future empirical research with respect to the impact of managerial (internal) factors. The study was limited in that structural differences between perceptions of employees from the Department of Water Affairs and Water Utilities Corporation employees were not distinct and expounded on. A cross-sectional study was necessary to accomplish this. The study also focused only on one aspect of change and may not necessarily reflect objectively the overall effects of total change.

- 5.5.1 In order to fully understand the process of organisational transformation, there is a need to use a statistically representative sample for the study. However, due to cost factors, this study only involved interviews with a limited number of employees who may not offer a full picture of the transformation process, nevertheless; it does offer an insight into the transformation process.
- 5.5.2 A more comprehensive study into the process of organisational transformation requires a lot of time, which unfortunately cannot be afforded with the time limits of this study.

## **5.6 RECOMMENDATIONS**

### **5.6.1 Communication**

- 5.6.1.1 Management should use communication to create readiness and motivation to adopt and institutionalize much-needed changes.
- 5.6.1.2 Management can initiate regular communication to determine their employee expectations concerning what will happen.
- 5.6.1.3 Management must reduce uncertainty and ambiguity by providing relevant and timely information.

- 5.6.1.4 Management can also address underlying issues of job security by being clear on who would be affected and who would remain.
- 5.6.1.5 Management must mitigate the negative effects caused by mergers by using communication as a link to progress and development before, during and after the change has been implemented.
- 5.6.1.6 Management must inform employees about the change progress, employee treatment, and training

## **5.7.2 Leadership**

- 5.7.2.1 Leaders should adopt a systematic response to organisation change through a plan detailing capable vision statements and creating a sense of urgency around the change, and showing support for the change. Basically, leaders need to inspire, sell, mobilize, enable and navigate effectively to make change happen.
- 5.7.2.2 Leadership should become instrumental in enabling employees to embrace change by being supportive of new structures and by being committed to mandates of leadership and seeing the change process through to completion.
- 5.7.2.3 Leadership should engage all relevant stakeholders to create a social network of stakeholders connected through a common purpose.
- 5.7.2.4 Managers must also control the attitude formation processes in the organisation so that positive attitudes toward change are formed early in the change process, and the formation of negative attitudes toward change is avoided.
- 5.7.2.5 Management could be sensitive to cultural issues from the outset. Managers should identify and understand cultural differences and articulate the new desired culture of Water Utilities Corporation.



- 5.7.2.6 Management should strive to break the barriers and resistance to change. Managers must be attentive to how changes are interpreted at different levels and divisions in the organisation.
- 5.7.2.7 Management can practise cultural matching in order to produce better change outcomes.

### **5.7.3 Participation**

- 5.7.3.1 All organisational employees must be equally exhorted to actively participate in organisational change.
- 5.7.3.2 Management should employ participatory approaches from all stakeholders including employees by inviting their input to shape the change programme.
- 5.7.3.3 Managers must value employees' ideas through brainstorming and focus groups so as to incorporate initial expectations, concerns and views.
- 5.7.3.4 Management needs to incorporate employees' views in the change process by consulting and involvement strategies.
- 5.7.3.5 Engaging organisational participation in change by encouraging the participation of change recipients, creating internal change capacity and pacing and varying the rate of change.
- 5.7.3.6 Change managers or agents should therefore concentrate on decreasing the resistance forces and increase the forces for change.

### **5.7.4 Training and development**

- 5.7.4.1 Management should employ the use of contemporary means in ensuring that employees deal with stress management at work such as counselling, inclusion, participation, focus groups and one-on-one sessions with affected employees in an attempt to address employee related concerns regarding the change initiatives.

- 5.7.4.2 An overall examination of the skills need gap should be conducted in order to determine the alignment necessary to ensure that sufficient skills transfer occurs before, during and after the change programmes have been implemented.

## **5.8 SUGGESTIONS FOR FURTHER RESEARCH**

The areas recommended for future research are extensions of the current work. Further testing and revision of the Lewin model of organisational change are required. It is necessary to test its descriptive and analytical capabilities across a number of different situations instead of just one aspect of organisational change. There is also the potential for a cross-sectional or longitudinal study to test the impact of both internal and external drivers of change on employee readiness, preparedness and acceptance of change initiatives. To conclude, it is important for change managers to understand how both the internal and external environments can influence organisational change strategies and activities. As the research has demonstrated, the impact of communication, leadership, engagement, training and development are incremental and may provide guidance and insight for managers attempting such reconfigurations.

## **5.9 FINAL CONCLUSION**

Change management interventions during the Water Sector Reform Process were perceived differently by employees. From the findings it could be deduced that the change management interventions adopted during the Water Sector Reform Process were negatively perceived by the employees as being contrary to helping them to understand and embrace change. Communication was found to have an impact on how employees embrace change. Leadership was found to have an adverse impact on how employees embraced change. Similar results were established for employee participation. The study established that the change was understood by a few employees while the majority of employees were either ignorant or excluded. The study also established that training and development was critical in the support for change. However, not all aspects of the change management interventions were perceived as positive such as training and development. Change was found to be important to employees because of its



effect on the survival of an organisation and its development or transformation due the integration of the entity after a substantial merger process. Change is pursued in order to attain greater viability in the context of the present and anticipated future environment. Organisational change is basically a reconfiguration of components of an organisation to increase efficiency and effectiveness.

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## **APPENDIX A: COVER LETTER**

P O Box 504051

Gaborone

30<sup>th</sup> November 2012

The Human Resources Director  
Water Utilities Corporation  
Private Bag 00267  
Gaborone  
Botswana

Dear Sir/Madam

### **REF: REQUEST TO CARRY OUT A RESEARCH STUDY IN WATER UTILITIES CORPORATION GABORONE**

I am a bona fide student of North-West University (Mafikeng Campus) studying for a Masters' in Business Administration (specializing in Human Resources Management). As part of the fulfilment of the programme requirements I am expected to carry out a Research study.

In light of the requirement, I would like to request to carry out a research project on Change Management regarding major changes that occurred in your organization specifically the Water Sector Reforms in Gaborone. My data collection methods may include some or all of the following: interviews, questionnaires and secondary data on the organization concerning the topic.

Good ethical conduct will be maintained and the research will be done with intellectual honesty and rigour both in carrying out the research and in presenting the results in dissertation format. The dissertation will be available for your organizational use in any way deemed fit.

I would be grateful if you could give me the opportunity to carry out the research study.

Yours faithfully

Tshenolo Ntau



## **APPENDIX B: QUESTIONNAIRE**

Dear Respondent

I would like to thank you very much for your anticipated cooperation in this research work.

Please note that this is purely an academic study and information provided would not be used in any way detrimental to the respondent(s). Therefore your response is anonymous.

This questionnaire is for gathering information to be used in addressing the topic;

***Change Management in the Botswana Water Sector.*** The research is done in partial fulfilment of the requirements the Masters' in Business Administration.

Yours faithfully, **Tshenolo Ntau**

Email: ntshenontsheno@gmail.com

Cell: 00267 71665641

## Instructions

1. All the information you provide will be treated in the strictest confidence
2. Questions should be answered in a fair and consistent manner
3. Use a tick ✓ to select your best choice answer

## **SECTION A: Demographics**

Sex

1. Male ☐
2. Female ☐

1. Age group

1. 18-19 ☐
2. 20-29 ☐
3. 30-39 ☐
4. 40-49 ☐
5. 50+ ☐

**Please indicate your level/position within the organization**

General Employee ☐

Skilled Employee (Do not have any direct reports) ☐

Team Leader ☐

Middle Management ☐

Senior Management ☐

Other (Please specify)



**What role do you feel you have played in the implementation of change in the organisation?**

Change strategist (Responsible for deciding what and how to change) ☐

Change manager (Responsible for implementing the required changes) ☐

Change agent (Not responsible for implementing change but in a position to influence its implementation) ☐

Change recipient (Impacted on by the changes implemented, no input into the process of change) ☐

None ☐

Other (Please specify): ☐

**SECTION B**

**Communication**

| No | Question                                                                                 | Strongly Disagree | Disagree | Neutral | Strongly Agree | Agree |
|----|------------------------------------------------------------------------------------------|-------------------|----------|---------|----------------|-------|
|    | There was a clear, structured communication plan for the change process implemented      |                   |          |         |                |       |
|    | I relied more on rumours than formal communication to have updates of the change process |                   |          |         |                |       |
|    | I participated in consultative forums/meetings during the change process                 |                   |          |         |                |       |
|    | I was given opportunity to voice my opinions during the change process                   |                   |          |         |                |       |
|    | My supervisor was willing to share information on the change process when appropriate    |                   |          |         |                |       |

## Leadership

| No | Question                                                                                              | Strongly Disagree | Disagree | Neutral | Strongly Agree | Agree |
|----|-------------------------------------------------------------------------------------------------------|-------------------|----------|---------|----------------|-------|
|    | Leadership created a vision for the Water Sector Reform changes                                       |                   |          |         |                |       |
|    | My supervisor helped me understand the underlying reasons for the reforms                             |                   |          |         |                |       |
|    | Leadership supported new structures and processes that were brought about by the Water sector Reforms |                   |          |         |                |       |
|    | Leadership showed commitment to change by reinforcing the end-results of the water sector reforms     |                   |          |         |                |       |
|    | Leadership spoke in one voice throughout the change implementation.                                   |                   |          |         |                |       |

## Engagement

| No | Question                                                                  | Strongly Disagree | Disagree | Neutral | Strongly Agree | Agree |
|----|---------------------------------------------------------------------------|-------------------|----------|---------|----------------|-------|
|    | I was consulted/informed on the specific changes which impacted on my job |                   |          |         |                |       |
|    | I was aware of different stages of the change process                     |                   |          |         |                |       |
|    | My ideas were valued during the consultative process                      |                   |          |         |                |       |
|    | I did not receive any ideas I had to make the process a success           |                   |          |         |                |       |
|    | If the change process failed I would have failed                          |                   |          |         |                |       |

## Training & Development

| No | Question                                                                                                 | Strongly Disagree | Disagree | Neutral | Strongly Agree | Agree |
|----|----------------------------------------------------------------------------------------------------------|-------------------|----------|---------|----------------|-------|
|    | With my skills and competencies I was ready to take up the role assigned to me after the change process. |                   |          |         |                |       |
|    | The training and development I received enhance my future career within the organisation                 |                   |          |         |                |       |
|    | I received Training & Development to prepare me for the change process                                   |                   |          |         |                |       |
|    | The training and development helped me with counselling and stress management                            |                   |          |         |                |       |
|    | There was sufficient skills transfer from those that left to me                                          |                   |          |         |                |       |



## **APPENDIX C: RESEARCH REQUEST APPROVAL LETTER FROM WUC**



*We keep it flowing, for you.*

GABORONE HEAD OFFICE  
Sedibeng House,  
Lot 17530 Luthuli Road

PRIVATE BAG 00276,  
Gaborone, Botswana  
Te: (0267) 360 4400  
Fax: (0267) 397 3852  
Email: metsi@wuc.bw

**Our ref 11/9/6**

14<sup>th</sup> May 2013

Ms Tshenolo Ntau  
P O Box 504051  
**GABORONE**

Dear Madam

**REQUEST FOR AUTHORITY TO USE WUC DATA FOR DESSERTATION -YOURSELF**

Your letter dated 10<sup>th</sup> April 2013 regarding the captioned matter refers.

Approval is hereby granted for you to carry out the research in the Corporation for purposes of learning, in pursuit of your MBA-(Human Resources) with North West University (South Africa).

Permission given is for the purpose of learning only and the information gathered in the process should not be used for anything else or handed to any party for any purpose other than learning.

As a requirement, you will be expected to submit a copy to Water Utilities Corporation upon completion of the research. You are further informed that the report will not be published without the Corporation's consent. Any breach of the conditions stated herein could attract consequences in accordance with the Laws of Botswana.

We wish you success in your studies.

Yours Faithfully

  
G W Mudanga  
**CHIEF EXECUTIVE OFFICER**