

**VARIABLES INFLUENCING CHANGE LEADERSHIP COMPETENCIES TO
STRATEGICALLY MANAGE TRANSFORMATION IN THE SOUTH AFRICAN
PUBLIC SECTOR**

by

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Declaration:

I, Dawchund Bugwandeem Jarbandhan, do hereby declare that this thesis is my own original work and that all the sources contained in this thesis have been accurately reported and acknowledged, and that this document has not previously, either in its entirety or in part, been submitted at any University in order to obtain academic qualification.

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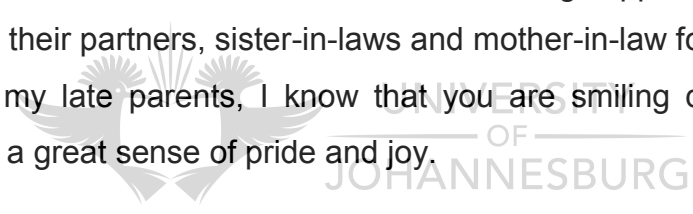


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SUMMARY

This study focused on the variables that influence change leadership competencies to strategically manage transformation within the South African public sector. One of the key aims was to develop a competency framework for transformational leaders in senior public management positions.

The thesis provided a conceptual description and explanation of appropriate and adequate leadership concepts, theories, approaches and phenomena that influence leadership role competencies for change management. It also contributed to a specific level of understanding of appropriate and adequate change concepts, theories and phenomena regarding the problem of change leadership role competencies. Furthermore, the study also investigated strategic leadership concepts, theories and approaches for addressing the problem of strategic leadership role competencies. A modernist qualitative research methodology was followed, where grounded theory was applied as the research strategy. Furthermore, a qualitative coding paradigm was established to develop an integrated model of strategic and transformational leadership competencies in order to manage organisational change. Importantly, the qualitative coding paradigm was developed to enable public sector employers to develop a competency framework that encompass the key leadership skills, behaviours, attributes and knowledge for senior public managers who have to cope effectively with organisational change within a public sector environment.

The study contributed to the development of a substantive theory of the organisational change process. Furthermore, on a practical level, it contributed to the disciplinary and methodological fields of Public Management, Public Leadership and Public Governance.

KEY WORDS

Change; Competency; Grounded Theory; Leadership Theory; Leadership Development; Leadership Traits; Public Management; Skills; Strategic Leadership; Transformational Leadership.



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CHAPTER ONE

SCIENTIFIC AND METHODOLOGICAL ORIENTATION TO THE RESEARCH

1.1 Introduction

This study focuses on the variables that influence change leadership competencies to strategically manage transformation within the South African public sector.

The introductory chapter highlights the scientific and methodological orientation to the research and provides a background and rationale to put the problem within its proper context. The guiding research question; significance of the research; research questions; and the research objectives are also presented. The qualitative approach to the methodology is also discussed. To clarify the approach, it was also necessary to explain the research method that was chosen. In this regard, the concepts, conceptual analysis, content analysis, model, categorising, coding, theoretical sampling, as well as the difference between qualitative and quantitative research are also briefly discussed.

The chapter explains the theory underpinning grounded theory as the chosen application for the qualitative design. Furthermore, the grounded theory techniques – open, axial and selective coding are highlighted. The chapter also pays attention to the triangulation of research data collection in terms of the literature study, documentation, as well as structured and unstructured interviews. Terms that are “frequently used in the thesis are concisely defined in order to avoid misinterpretation or misunderstanding. The chapter concludes with an overview of the chapters contained in the thesis” (Jarbandhan 2012, 2011, 2009, 2007). This thesis is also an adaptation of parts of several publications by the author (Jarbandhan 2012, Jarbandhan 2011, Jarbandhan 2009, Jarbandhan 2007, Auriacombe, Jarbandhan and Van der Waldt 2007 and 2011 and Van der Waldt, Auriacombe and Jarbandhan 2012), a joint conference paper (Auriacombe and Jarbandhan 2010) and a doctoral defence lecture (Jarbandhan 2012 b0 that served as preliminary and post research

for this thesis. Additional double quotation marks in the text were used to indicate the adaptations from these articles in order to comply with the UJ Turnitin policies.

1.2 Background, rationale and problem statement

The “study of leadership has become quite intense and diversified in recent years” (Northouse 2001:1-2). “Literally thousands of empirical investigations of leaders have been conducted over the past 75 years and there is no clarity as to what distinguishes leaders from non-leaders, or even effective leaders from ineffective leaders” (Bennis and Nanus 1985:4). “Thus, many questions on the concept remain unanswered and problems remain unsolved. What is intriguing, though, is that effective leadership has become a *sine-qua-non* in modern-day organisations” (Yukl 1998:438). Therefore, “without effective leadership, the organisation's survival in times of turbulence and change is almost unthinkable. Therefore, it is imperative for organisations to ensure that effective, and for that matter better, leadership is in place to provide direction and enable organisations to deal with change effectively and efficiently” (cf. Jarbandhan 2011:39).

Improved service delivery remains a key challenge for the South African Government. It was the post-apartheid Government's intention to foster a creative public service that was innovative, people-centred and one that could primarily improve ordinary South Africans' lives. However, Government's effort has been thwarted by a lack of management and leadership capacity. This has resulted in service delivery protests and general dissatisfaction with government services.

“Organisations are constantly in a state of change – although in varying magnitudes – since change is itself a dynamic and ongoing process” (Van Rooyen 2000:65). “Change is one such a variable that can provide the context within which leadership can be studied” (File 2000:22). However, the “important issue is that change must be managed. In order to do so effectively and efficiently, certain types of leadership-based behaviour becomes a prerequisite” (Van Rooyen 2000:65).

Jarbandhan wrote in his article (2011:39) that “Albertyn (2001:20) reported that in 2000, out of 41 countries assessed, the *World Competitiveness Report* ranked South Africa last in terms of effective human resource management. She claims that the authoritative management structures of the South African workforce resulted in organisations with disempowered members” who do not take initiative”. He also added that “Authoritative management structures imply a particular leadership style, i.e. an autocratic style” (Jarbandhan 2011:40). According to Jarbandhan (2011:41) “Albertyn also added that the changes brought about by globalisation, politics, economics and the growth in technology result in vulnerable individuals. Her statement on authoritative South African organisations may be debatable”. “However, many authors, such as Rossouw and Bews (2002), Msomi (2001), Kriek (2002), and Fontyn (2001) seem to support her claim on the demands that these multi-faceted changes make” (Jarbandhan 2011:44). “In the 2001 edition of the *World Competitiveness Report*, South Africa was ranked 46 out of the 49 countries that were rated” (in International Management Development (IMD) 2001:303). “Although some improvements were cited, human resource is still on IMD's list of the twenty weakest areas in South Africa” (IMD 2001:303).

According to Jarbandhan, Msomi (2001:2 in Jarbandhan 2011:45) “reiterated that South Africa, like the rest of the world, is undergoing perpetual transformation”. Furthermore, Rossouw and Bews (2002:26 in Jarbandhan 2011:5) “construed that contemporary organisations will always face the issue of change and that they need to deal with this phenomenon on a continuous rather than an intermittent basis”. According to Kriek (2002:28) “during the last few decades of the previous century the speed of change picked up at a tremendous pace. Subsequently, the environment poses even more challenging demands on organisations and leaders alike”. Kriek (2002:28) also notes that “the impact of globalisation, digitisation and e-commerce as additional demanding factors on leaders”.

Organisational “change is a constant that requires adjustment and action. Because senior managers need to initiate, implement and evaluate change, leadership takes a central position amidst the changes” (Jarbandhan 2011:47). According to Tizard (2001:62), “those that manage change well ensure that techniques are put in place to move individuals through these stages as part of normal business. They give

individuals no other choice than change although they go to some length to explain why it is necessary, its impact and benefits. They also ensure that the change produces a tangible impact on the bottom line”.

“The *World Competitiveness Report* (in International Management Development (IMD) 2001:303) reflected negatively on South Africa regarding management issues. South Africa was ranked between the 43rd and 48th position on the following factors in the ‘business efficiency’ cluster: skilled labour (49); labour relations are generally hostile (48); customer satisfaction is not emphasised (46); industrial disputes (44); employees do not identify with company objectives (44); managers generally lack a sense of entrepreneurship (43)” (Jarbandhan 2007:38).

Fontyn also echoed “Albertyn's (2001) comments above on authoritative structures in South Africa” (Fontyn 2001:20) According to Fontyn (2001:40) “Due to a shortage of talent at the top of organisations, there is not enough leadership competency in South Africa. Many business leaders run their companies purely on numbers, reverting to old models of leadership – like the autocratic model, where authority comes with the position rather than through true leadership” (Fontyn 2001:40). Fontyn (2001:20) “adds that leadership qualities seem to be the underlying problem (autocratic managers) resulting in autocratic organisations and structures”.

“It is evident that change management and leadership are current issues within the South African public sector organisational context” (Tizard 2001:62). Due to insufficient leadership qualities, public sector “organisations lack employee initiative, adjustment, empowerment and experience a high turnover” (Tizard 2001:62). Tizard stated that (2001:62) “the effect of change has the greatest impact on individual performance and that the loss of individual performance is due to their resistance to change” (Tizard 2001:62).

Tizard's (2001:62) “concern over change elsewhere in the world and the need to deal with it” is also shared by other authors. According to Pettigrew, Woodman and Cameron (2001:697) there are “a host of researchers who investigated this matter over the years”. “These include Van de Ven and Poole (1995); Weick and Quinn

(1999); Kahn (1974); Greenwood and Hinings (1996); Gersick (1994); and others” (Pettigrew et al. 2001: 697).

Pettigrew et al. (2001: 698) propose “the need for more research on leadership and change management and that there are six key issues that need to be studied in depth regarding organisational change”. They also state that, “the organisational change literature remains underdeveloped regarding these six interconnected analytical issues: (1) the examination of multiple contexts and levels of analysis in studying organisational change, (2) the inclusion of time, history, process, and action, (3) the link between change processes and organisational performance outcomes, (4) the investigation of international and cross-cultural comparisons in research on organisational change, (5) the study of receptivity, customisation, sequencing, pace, and episodic versus continuous change processes, and (6) the partnership between scholars and practitioners in studying organisational change” (Pettigrew et al. 2001:698).

These authors above highlight that a lack of leadership is not only a “universal problem, but also a particular issue for South Africa” (Pettigrew et al. 2001:698). Kriek (2002:29) “specifically calls for the need for leaders to simultaneously play a variety of roles, in particular that of manager, leader, facilitator and what he calls ‘meaningor’”. He (2002:29) relates “to ‘meaningor’ as the leader's ability to create and enhance meaning by being congruent”.

Schermerhorn (1995:32) stated that there is “a need for research on organisational change inputs as far back as 1995”. Schermerhorn (1995:32) argues that “change inputs deserve research attention because they are under managers' control”. According to Schermerhorn (1995), “the more we learn about which inputs are associated with successful change, the easier it will be for managers to make the right decisions with regard to these inputs when implementing change. If managers then “choose well”, this should help enhance the chances for successful organisational change”.

This issue “pertains to an investigation into the apparent lack of a model for transformational strategic leadership requirements among leaders in the South

African public sector. In particular, the research investigates the perception that a lack of transformational leadership compromises leaders' ability to manage change successfully" (cf. Daft in Jarbandhan 2012:7).

Burns (in Shriberg, Shriberg and Lloyd 2002:207), "conceptualised leadership as occurring in two forms: transactional and transformational. Transactional leadership, on the one hand, involves exchanges/transactions between the leader and the follower in terms of an exchange of needs between the two parties". Transformational leadership, on the other hand, "occurs when leaders broaden and elevate the interest of their employees, when they generate awareness and acceptance of the purpose and mission of the group, and when they steer their employees to look beyond their self-interest for the good of the group" (Bass 1995:629). "Transformational leaders are change agents" (Tichy and Devanna 1990 cited in Northouse 2001:143). Therefore, it is important to pursue change transformational leadership further.

According to Jarbandhan (2009:39) "Effective transformational leadership behaviour for managing change will be viewed within the changing organisational landscape in SA wherein public sector institutions are democratised. One of the potential consequences of the democratisation of the public sector is that the institutions may be challenged by a lack of appropriate leadership. Scholars and role-players in the public sector support the view that a lack of leadership is one of the root causes why institutions are currently finding themselves in a precarious situation". Cloete, Bunting and Kulati (2000:9) state that: "Owing to a lack of leadership and management capacity, these institutions find it difficult to establish a new direction for themselves and to attract new funds".

"The apparent lack of leadership behaviour is not completely unfounded in the public sector, as the concept of leadership is itself a novel concept to this sector. Instead, the sector has been characterised by a tradition of administration rather than that of leadership" (Cloete et al. 2000:10). "It is thus understandable, from this point of view, why leadership is perceived as being *ad hoc*; bringing about panic in times of change" (Cloete et al. 2000:10).

“The apparent leadership problem should be viewed within the appropriate context: The post-1994 era has been characterised by the promulgation of various pieces of legislation in all public spheres” (Strydom and Hay 2001:82). “The purpose of legislation is to overhaul the social, political, cultural and economic institutions in order to align them with the new democratic dispensation. Government has played its part in enacting legislation and providing policies for transforming the public sector. However, it remains a question on how the public institutions should be led and the role that leadership should play in the change process – let alone articulating the kind of behaviour needed in leading the transformation agenda” (Strydom and Hay 2001:82). “There is hardly any mention, either in legislation or in government pronouncements, of the role the government would like to see institutional leaders playing, in driving or initiating change” (Cloete et al. 2000:12). “Perhaps, as legislation states, Government does not wish to micro-manage public sector institutions. Therefore institutions are given the liberty to manage their own affairs” (Cloete et al. 2000:12).

According to Brunyee (2001:11) “the public sector is experiencing discontinuous change and that this does not accommodate sustainable learning”. He quotes Limerick and Cunnington (1993:50 in Brunyee 2001:11), who suggest “that an institution is experiencing discontinuous change when its past does not prepare it for the future. As a result, traditional management and leadership approaches cannot be applied successfully”. “What these scholars say has some element of truth. To date, public sector leadership has been perceived as haphazard and the approaches followed quite antiquated. In other words, leadership has not been on a par with the rapid developments that have been taking place in the sector over the past decade or so. With the mammoth change process taking place, the apparently failed leadership practices cannot be brought on board to tackle this change process” (Brunyee (2001:12).

Furthermore, “the sector has developed a culture and tradition of administration – rather than management. During the apartheid era, for instance, historically white institutions were characterised by weak supervision, whereas historically black institutions were characterised by authoritarian state-related control. Therefore, these institutions were managed through an administrative process, where

institutional managers' roles were limited to day-to-day administrative operations – instead of the strategic leadership of institutions. From a strategic leadership point of view, this thesis will also examine the strategic role that leaders play in transforming organisations. Organisational change cannot simply take place without being strategically managed” (Cloete et al. 2000:10).

“The two approaches to leadership threw many institutions into disarray. Given this state of affairs, how would such seemingly *ad hoc* leadership behaviour and actions lead the process of change? Notably, the Government's good intentions of transforming the sector would result in chaos, rather than the envisaged effectiveness and efficiency of the system. This research will provide a significant departure from this practice and provide a more serious and focused approach to the question of leadership in the public sector” (Cloete et al. 2000:10).

“Leaders are change agents especially when they apply transformational leadership competencies” (Van Maurik Internet source 2009). This is “exactly what public sector leaders need to become – effective change agents. Their role as effective change agents will be moderated by factors that are largely beyond their control” (Van Maurik Internet source 2009). This includes pieces of legislation that was implemented after 1994 in post-democratic South Africa.

“The following negative consequences of a lack in leadership qualities were identified (Jarbandhan 2009:40):

- A lack of skilled labour.
- Hostile labour relations” and industrial disputes.
- Employees” who do not identify with organisational objectives.
- Managers who lack a sense of entrepreneurship.
- Organisations that lack employee initiative, adjustment and empowerment.
- High turnover rate.
- Loss of individual performance.
- Employees’ resistance to change” (Jarbandhan 2009:40).

Due to the above challenges, the “public service requires leaders with an array of skills [and competencies], both hard and soft, in order to manage competing policy priorities and mandates, in complex organisational environments inhabited by people who bring with them a wide range of backgrounds, cultures and experiences” (Senior Management Service (SMS) Public Service Handbook 2003: Foreword). Notably, this SMS Handbook identifies five core competencies that senior managers as leaders require within the public service. These include:

- “strategic capability and leadership;
- financial management;
- people management and empowerment;
- change management; and
- programme and project management” (Leadership Development Management Strategic Framework (LDMSF) 2007:61).

Based on the five core competencies listed above, the theory, relating to leadership competence with a focus on transformational leadership; change management and strategic management capability, will feature prominently in this thesis. These competencies will be positioned within a particular South African public sector context.

“One of the key criteria for research success is whether a set of clear conclusions can be drawn from the data collected. The extent to which this can be done will be determined largely by the clarity of the research question” (in Jarbandhan 2011 and cf. also Saunders et al. 2000:23).

In view of the above account that captures the central problem of this research, the following overarching research questions encapsulate the dual problem at hand:

- 1) “What are the strategic transformational leadership competencies that are applicable, important and relevant to the effective and efficient functioning of the role of a South African senior public manager in managing change**

2) Which competencies can be highlighted according to a strategic leadership competency model in order to influence the outcome of competent public sector leaders in public organisations”?

“Although the research focused on what appears to be the critical independent variables or contextual factors of transformational and change leadership, it must be noted that all other leadership contextual factors received attention during the research process. The analysis of the literature and documentary survey attempted to determine all of the important factors that relate to transformational leadership competencies. Once these specific change leadership competencies to strategically manage transformation have been identified, a model – which is defined as a carefully devised plan of action to achieve a goal – can be developed for implementation” (cf .Jarbandhan 2011:46).

1.3 Significance of the research

This study is important “due to the negative perception pertaining to leadership in the public sector, which has always been taken for granted. In some cases, leaders have been appointed to leadership positions without being developed, coached or trained in the necessary leadership behaviour and skills that would have enabled them to tackle leadership issues with relative ease. With regard to many of the top echelons within public sector institutions, leadership positions are filled by politically expedient decision-making. Some leaders are appointed based on political patronage, and as a result public sector institutions have become ‘political animals’. No specific leadership training, expertise or competence is required as a prerequisite to fill these positions. Notably, managers are appointed in leadership positions due to political clout rather than competency. That is why leadership in these institutions has been perceived to be such a disappointing failure” (Jarbandhan 2011:44 and Jarbandhan 2009).

Notably, the literature at hand indicates that extensive research has been conducted in the field of leadership. However, no study has been undertaken to collate all the findings and the results of previous research into a single conceptual framework of

competencies to determine managerial leaders' roles in order to strategically manage transformation in the South African public sector.

The research can contribute to “a positive climate for introducing a common competency framework” (Bolden, Gosling, Marturano and Dennison 2007 at www.leadership-studies.com). As such, according to Bolden et al. at www.leadership-studies.com) it identifies “many strong arguments for adopting competency frameworks for leaders” who have to cope “with a range of drivers” such as:

- “restructuring into larger units”;
- “the [impact] of information technology and globalization”;
- “triple bottom line' and 'quadruple bottom line' accounting”;
- “increased expectations of elected members and more informed communities”;
- “more complex legislative, policy and governance requirements”;
- “greater transparency [with regard to]operations and decision-making”;
- “greater demands on services without [corresponding resource-based] increases”;
- an “increased need for entrepreneurship, innovation and forecasting”;
- “increased involvement of elected members in management processes”;
- “increased out-sourcing and [public-private partnership] collaboration” with regard to service delivery;
- “increased competitiveness in the [job] market for entry-level managers”;
- “greater pressure to retain staff through career planning and development”;
and
- “increased emphasis on accountability and responsiveness” (Bolden et al. at www.leadership-studies.com in Jarbandhan 2009”46).

The importance of this study includes the following:

- It provides an integrated view of the leadership/management competencies.

- The research findings are based on worldwide literature studies, official documentary studies as well as real-time interview results.
- As the South African public sector is undergoing different phases of transformation, the study results will assist the public sector service delivery environment in identifying appropriate transformational leadership competencies for their specific environments. This will hopefully result in focused and sustainable strategic management of change”.

1.4 Secondary research questions

The following secondary questions attempt to provide answers to the above rationale, problem statement and guiding research questions. The researcher will attempt to answer these questions by implementing primary and secondary sources.

- What are the variables influencing the meanings and foundations of the appropriate leadership theories and concepts in order to address the problem of leadership role competencies?
- What is the nature and essence of the variables influencing organisational change and which theories and concepts are appropriate and adequate in order to address the problem of change leadership role competencies?
- What is the nature of the interaction between the variables influencing strategic leadership and which theories and concepts are appropriate and adequate in order to address the problem of strategic leadership role competencies?
- Which transformational leadership competencies are important for South African senior public sector managers to excel as strategic leaders towards real and sustained organisational change?

1.5 Research objectives

In order to achieve the goal of the study, the following objectives need to be addressed:

- To provide a conceptual description and explanation of appropriate and adequate leadership concepts, theories, approaches and phenomena that influence leadership role competencies for change management by conducting a literature study.
- To provide a specific level of understanding of appropriate and adequate change concepts, theories and phenomena regarding the problem of change leadership role competencies.
- To provide a conceptual analysis of appropriate and adequate strategic leadership concepts, theories and approaches for addressing the problem of strategic leadership role competencies.
- To provide a description of the methodology and the data collection process utilised in this study, as well as to do a factual analysis and evaluation of the data and findings of the study in order to answer the research questions(s) and to fulfil the study objectives.
- To develop an integrated model of strategic and transformational leadership competencies to manage organisational change.

1.6 Qualitative research approach to the methodology

The term “qualitative research usually means any kind of research that produces findings that are not based on statistical procedures, or other means of quantification” (Cresswell in Auriacombe 2007:89). “Qualitative research is an inquiry of understanding that is based on distinct methodological traditions of inquiry that explore social or human problems. The researcher builds a complex, holistic picture;

analyses words or concepts; reports detailed views of informants; and conducts the study in a natural setting” (Cresswell 1998 in Auriacombe 2007:98).

Notably, qualitative researchers’ perceptions of how to best understand the subjective meanings and interpretations of the ‘actors’ and the researchers’ beliefs of how knowledge should be generated are, to say the least, not uniform. Qualitative researchers differ in their ontological, epistemological, methodological beliefs and in their choice of specific methods. Denzin and Lincoln (2005: xv) write: “There is no one way to do interpretive, qualitative inquiry because we are all interpretive bricolage stuck in the present working against the past as we move into a politically charged and challenging future”. Therefore, one of the main ongoing issues in qualitative research is the ethical dilemma that researchers face concerning the question of how the ‘other’, or subjects, should best be represented to provide the most truthful picture of their reality.

Therefore, a discussion to understand and learn about qualitative methods requires a clarification and explication of the respective qualitative-methodological models of knowledge production (Internet source <http://www.qualitative-research.net/index.php/fqs/article/view/216/477>). In fact, the same phenomena are “investigated, analysed and interpreted differently depending on the researcher’s beliefs of what social reality is (ontology), as well as how social phenomena can best be known (epistemology)” (Internet source <http://www.qualitative-research.net/index.php/fqs/article/view/216/477>).

Contrary to quantitative researchers’ approach, qualitative researchers believe that data can only be interpreted effectively when he/she maintains a close relationship with the object of study and comes as close as possible to it (Mouton in Auriacombe and Webb 2006:597). Qualitative research refers to an approach to the study of the world, which seeks to describe and analyse the behaviour of humans from the point of view of those being studied. Rather than observe the behaviour of an object during experimental research, and thus attempting to control all factors and variables that might distort the validity of the research findings, the qualitative researcher seeks to become immersed with the object of study (Webb and Auriacombe 2006:597).

In light of the above, it therefore comes as no surprise that there is no uniform definition for qualitative research. As Denzin and Lincoln (2005: xv) state: “The open-ended nature of the qualitative research project leads to a perpetual resistance against attempts to impose a single, umbrella paradigm over the entire project”. Denzin and Lincoln (2005:xv) further stated that, “Qualitative research is an interdisciplinary, trans-disciplinary, and sometimes counter-disciplinary field, it crosscuts the humanities, social sciences and physical sciences and is many things simultaneously”. Qualitative research “is multi-paradigmatic in focus and its practitioners are sensitive to the value of the multi-method approach and they are committed to the naturalistic perspective and to the interpretive understanding of human experience “(Denzin and Lincoln (2005: xv). “At the same time, the field is inherently political and shaped by multiple ethical and political allegiances” (Denzin and Lincoln (2005: xv).

Qualitative research displays a number of characteristics. Firstly, this research method is dedicated to viewing events, norms and values from the point of view of the people who are being studied. Secondly, such researchers provide detailed descriptions of the social settings they explore. This enables them to understand the subject’s interpretation of what is going on. Thirdly, as a participant-observer, the researcher follows a holistic approach as he/she attempts to understand events and behaviour in the context in which they occur. This is a significantly different standpoint from the natural scientist that attempts to isolate the subject from undue interference. Fourthly, qualitative research views life as streams of interconnecting events; an interlocking series of events; and as a process of constant change (Bryman in Auriacombe and Webb 2006:599).

Therefore, qualitative research could be seen as an umbrella term for different approaches. Notably, each approach has its own theoretical background, methodological principles and aims (Flick 2007:6 in Auriacombe 2011:36). The manner in which qualitative research methods and methodology are understood is closely linked to the ways in which qualitative researchers conceptualise the research they are conducting. In this respect, qualitative research can be arranged along a continuum, with the one dimension marked by a “holistic – somewhat paradigm-like – conception and the other by situational pragmatic and opportunistic

methodological practices” (Internet source <http://www.qualitative-research.net/index.php/fqs/article/view/216/477>).

Qualitative research has seen something short of an explosion the last couple of decades. Taylor and Bogdan (1998) emphasise the re-emergence of qualitative research methods since the 1960s in the following words: "So many powerful, insightful and influential studies have been published based on these methods ... that they have been impossible to discount". Swanson and Holton (1997:94) remark that, "... interest in qualitative research has been growing steadily. Many social scientists believe in an objective world where researchers can develop and test hypotheses that yield a body of theory that represents truth". Furthermore, the authors state "that qualitative researchers study things in their natural settings, attempting to make sense of, or interpret, phenomena in terms of the meanings people bring to them". It appears as if there is a difference in the two research approaches mentioned above in as far as objectivity is concerned. The 'truth' is researched by studying and developing hypotheses in objective ways, as opposed to discovering the 'truth' where subjective interpretations are allowed.

The researcher opted for a modernist research approach, and particularly as approached by Patton (in Swanson and Holton 1997); Taylor and Bogdan (1998); and Schurink (2005a). Patton (in Swanson and Hofton 1997) lists the following nine themes that form part of a qualitative research strategy:

- Inductive analysis: Begins with the collection of data that leads to generalisation.
- Holistic perspective: Phenomena are understood in terms of a complex system.
- Qualitative information: Detailed descriptions are made.
- Personal contact: The researcher has personal discussions with participants and gets insight.
- Dynamic systems: Views the research participants and the study as dynamic objects that can change during the course of the study.
- Unique case orientation: Each research case is unique and special.

- Contextual alignment: Aligns findings to the social, historical and temporal context.
- Empathetic neutrality: Although the researcher cannot be completely objective, he/she should not use the process to advance a personal agenda.
- Design flexibility: The enquiry process is adaptive, potentially changing as the research process is conducted.

Taylor and Bogdan (1998:200) confirm most of what Patton outlines, but add that qualitative research is more than just a set of data-gathering techniques. They express their notion of qualitative research as follows:

- It is “concerned with the meanings people attach to things in their lives”.
- It is inductive.
- It views research settings holistically and views people, settings or groups as part of the whole and not as variables.
- It is important how people think and act in their daily lives.
- It considers all variables as worthy of the research.
- It emphasises the meaningfulness of the study.
- It emphasises that there is something to learn in all settings.
- It is a craft.

Schurink (2005a) explains that there are four principal features that distinguish qualitative research from quantitative research, namely:

- Description of data: He quotes Bogdan and Biklen (2003:5): "The written results of the research contain quotations from the data to illustrate and substantiate the presentation", and, "qualitative researchers do not reduce the pages upon pages of narration and other data to numerical symbols".
- Process: Qualitative researchers focus on the social process and sequence and answer questions such as: “How do people negotiate meaning?”.
- Context and holism: The author quotes Babbie and Mouton (2001:272): "It is not surprising that the qualitative researcher has a preference of understanding events, actions and processes in their context. Some writers

refer to this as... holistic strategy... the aim is to describe and understand events within the concrete natural context in which they occur".

- Flexibility: Striving for optimal discovery, capturing, describing and obtaining insight into and understanding of social reality, qualitative research designs need to remain largely open-ended, by not prescribing their approach and methods before the inquiry starts.

The researcher is convinced that the preceding features of qualitative research, as reflected in its modernist tradition, are broadly in line with his social science beliefs.

1.7 Research method and techniques

The first step in any research process involves a careful examination of the problem, what is known about the problem and what other scholars studying it have learned, in order to unearth different answers, conflicting results and multiple opinions (Auriacombe 2007:82). As noted before, the research approach in this study is qualitative in nature and will therefore require a careful description, analysis, interpretation and evaluation of data, as well as draw on a variety of sources in order to obtain information and relevant data.

The purpose of this section is to present a brief introductory discussion of the research method used in the thesis. Qualitative research mainly focuses on meaning, experience and understanding. The ultimate aim is to ensure a clear in-depth understanding of a research topic. Qualitative data can allow for a greater degree of non-sequential data that results in a cyclical and open-ended research process. Therefore, this thesis makes use of a qualitative design to study the "properties, values, needs or characteristics that distinguish individuals, groups, communities, organisations, events, settings or messages" (Du Plooy 2001:83).

Deciding to follow either a quantitative or qualitative approach during the research design, determines which research methods will be chosen (Mouton in Auriacombe and Webb 2006:599). When a social scientist decides to follow a qualitative approach, he/she is most likely to make use of methods and techniques that are associated with it. This includes ethnographic studies, grounded theory, case studies

or a qualitative mixed method (triangulation). As noted before, the qualitative research method was chosen for this thesis. This approach will be explained in the following paragraphs to help clarify the key concepts.

Design decisions (see Chapter Five) were also made in order to get answers to important leadership questions. For the purposes of this thesis, it was decided to use a theoretical sampling technique as the appropriate research method. A conceptual qualitative analysis was implemented, which resulted in a grounded theory coding framework in order to develop a model of strategic leadership competencies to manage change successfully. Therefore, data is holistically presented through theoretical analysis in a context-sensitive manner.

From a paradigmatic viewpoint, qualitative research methods and methodology “conceptualised as craft, art or bricolage has also been widely prevalent” (Internet source <http://www.qualitative-research.net/index.php/fqs/article/view/216/477>). According to this perspective, the appropriate selection of research methods should form part of a researcher’s philosophical “concerns, as well as his/her conception of knowledge-building” (<http://www.qualitative-research.net/index.php/fqs/article/view/216/477>). The craft of qualitative research involves a holistic approach, where “qualitative research is conceptualised as a reflexive and process driven approach, ultimately producing culturally situated and theory-enmeshed knowledge through an ongoing interplay between theory and methods, researcher and researched” (Hesse Biber and Leavy in Auriacombe 2011:68).

The way in which knowledge is generated within the paradigmatic approach implies a chosen methodological conceptualisation within an appropriate approach. Furthermore, a suitable research strategy is used to achieve the goals of the scientific endeavour. For example, objectivists are driven by the belief that the meaning that the ‘other’ gives to his/her life world could best be represented through an approximation of ‘objective reality’. Constructivists, in turn, believe that there is no truth ‘out there’ and that the innermost experiences of the ‘other’ could best be represented through a narrative reality that changes continuously. Epistemology is

therefore embedded within ontology, and more specifically, the researcher's perspective (Hesse Biber and Leavy in Auriacombe 2011:89).

According to Hesse Biber and Leavy (in Auriacombe 2011:89), "More than a concept or a series of techniques that can simply be employed, qualitative research is an intellectual, creative, and rigorous craft that the practitioner not only learns but also develops".

1.7.1 Conceptual analysis

A conceptual analysis refers to the process of developing the empirical study's conceptual framework. It encompasses the "system of concepts, assumptions, expectations, beliefs and theories informing the research and is generally regarded as an explanation proposed to reach a better understanding of the social reality/phenomena that is being investigated" (Maxwell 2005 in Auriacombe 2011:96). The conceptual framework's "assumption is to assess and refine the goals; develop realistic and relevant research questions; substantiate arguments; clarify the theoretical framework and logic or reasoning used; define concepts; justify decisions; and direct data collection and analysis. The conceptual framework is the operationalisation of the theoretical framework of a study and therefore forms an intricate part of the research design. Qualitative researchers utilise a conceptual framework to develop typologies, models and theories from the bottom up" (Eriksson and Kovalainen in Auriacombe 2011:97).

1.7.2 Model

Simply defined, a model is a pattern or a system of postulation (*Longman New Universal Dictionary* 1982:630). De Coning, Cloete and Wissink (2011:32) provide a more comprehensive discussion of the term. According to the authors, a model is "a representation of a more complex reality that has been oversimplified in order to describe and explain the relationship among variables, and even sometimes to prescribe how something should happen". In its most simplistic connotation, a model is a mental image or a description used to help understand phenomena.

1.7.3 Categorising

This analytic process in grounded theory research is used to select certain codes. Its overriding significance lies in the fact that “common themes and patterns are abstracted into several codes and an analytic concept. During the categorising process, the researcher raises the conceptual level of the analysis from description to a more abstract and theoretical level. The researcher then tries to define the properties of the category; the conditions wherein it operates; the conditions under which it changes; and its relation to other categories. Grounded theorists include their most significant theoretical categories in the concepts of their theory” (Charmaz 2007:187).

1.7.4 Coding

Coding is the process of “defining the content of the data. Unlike the quantitative researcher who applies preconceived categories or codes to the data, a grounded theorist creates qualitative codes by defining what he/she sees in the data. Thus, the codes are emergent – they develop as the researcher studies his/her data. The coding process may take the researcher to unforeseen areas of the research question. Grounded theory proponents follow such leads and they do not pursue previously designed research problems that lead to dead-ends (Charmaz 2007:187).

1.7.5 Theoretical sampling

With this type of grounded theory sampling, the researcher aims to develop the properties of his/her developing categories or theory. When engaging in theoretical sampling, the researcher seeks information to illuminate and define the boundaries and relevance of the categories. As the theoretical sampling’s purpose is to sample in order to develop the theoretical categories, conducting it can take the researcher across substantive areas of research” (Charmaz 2007:189).

1.7.6 Content analysis

For the purposes of this thesis, content analysis can be described as a method of

analysing documents. When conducting a content analysis, the researcher attempts to be objective and systematic by using a quantitative coding scheme. In this regard, it was used to develop the properties of the grounded theory coding framework. Content analysis is a technique for making references by systematically and objectively identifying and describing specified characteristics in the text. The term is often used interchangeably with coding (Auriacombe 2011:134).

1.7.7 Difference between qualitative and quantitative study

According to Auriacombe (Methodology Class Notes 2007:69), the key difference between qualitative and quantitative use of methods is “that researchers using qualitative methods strive to understand situations as a whole, i.e. the totality and the unifying nature of particular settings. This holistic approach assumes that the whole is greater than the sum of the parts; it also assumes that a description and understanding of a programme or strategy’s context is essential for understanding the strategy or programme”. Hence, “a qualitative research strategy is inductive in that the researcher attempts to make sense of the situation without imposing pre-existing expectations on the research setting. Qualitative designs begin with specific observations and build towards general patterns. Dimensions of analysis emerge for open-ended observations as the researcher comes to understand patterns that exist in the empirical world under study” (Methodology Class Notes 2007:69).

Quantitative research predominantly seeks explanations and an “in-depth description. Notably, quantitative “research measures what it assumes to be a static reality in the hope of developing generalisations and is an exploration of what is assumed to be a dynamic reality” (Methodology Class Notes 2007:69). Quantitative research also “does not claim that what is discovered in the process is universal and, thus, replicable”. (Cresswell 1998 in Auriacombe Methodology Class Notes 2007:69).

Although there is increasing evidence of multi-method approaches, in most cases social researchers have a preference to work within one of these traditions. Weinreich (1996 in Auriacombe 2011:44) has provided a good summary of the

strengths and weaknesses of quantitative and qualitative paradigms and how their “divergent approaches can complement each other”.

“Quantitative research uses methods adopted from the natural sciences that are designed to ensure objectivity, [generalisability] and reliability” (Cresswell 1998:78). Quantitative research methods are concerned with how “research participants are selected randomly from the study population in an unbiased manner; the standardised questionnaire or intervention they receive; and the statistical methods used to test predetermined hypotheses regarding the relationships between the specified independent and dependent variables” (Cresswell 1998:78). In quantitative research, the researcher is considered to be external to the subjects (an ‘outsider’), “and results are expected to be replicable – no matter who conducts the research” (Cresswell 1998 in Auriacombe 2011:44).

An advantage of a “quantitative paradigm are that its methods produce quantifiable, reliable data that are usually generalisable to the target population and quantitative measures are often most appropriate for conducting needs assessments or for evaluations that compare outcomes with baseline data” (Cresswell 1998 in Auriacombe 2007:79). However, “this paradigm breaks down when the phenomenon under study is difficult to measure or quantify” (Cresswell 1998 in Auriacombe 2007:79). “A major weakness of the quantitative approach is that it tends to decontextualise human behaviour in a way that removes the event from its real world setting” (Cresswell 1998 in Auriacombe 2007:79). Furthermore, it disregards “the effects of variables that have not been included in the model” (Cresswell 1998 in Auriacombe 2011:44).

Conversely, the qualitative research paradigm introduces researcher to target audience members’ perspectives. Importantly, researchers are immersed “in a culture or situation and directly interact with the people under study (an ‘insider’ view)” (Anfara and Mertz 2006:133). Qualitative research methods that are used in social research “include observations, in-depth interviews, focus groups” and the analysis of personal documents (Anfara and Mertz 2006:134). “These methods are designed to help researchers understand the meanings people assign to social phenomena and to elucidate the mental processes of underlying behaviours” (Anfara

and Mertz 2006:134). Notably, “hypotheses are generated during data collection and analysis. In the qualitative paradigm, the researcher becomes the data collection instrument and results may vary greatly depending upon who conducts the research” (Anfara and Mertz 2006:134).

An “advantage of using qualitative methods is that they generate rich, detailed data that leave the participants’ perspectives intact and provide a context for understanding behaviour. The focus on processes and ‘reasons why’ differ from that of quantitative research, which addresses correlations between variables and explanations thereof. A disadvantage is that data collection and analysis may be labour-intensive and time-consuming” (Anfara and Mertz 2006:135).

1.7.8 Grounded theory

“Grounded theory marries contrasting (and competing) traditions” in social sciences research – positivism, pragmatism and field research in order to build useful ‘middle-range’ theories. These theories consist of “abstract renderings of specific social phenomena that are grounded in data. Such middle-range theories contrast with the ‘grand’ theories of disciplines that sweep across societies, but have no foundation in systematically analysed data” (Charmaz 2006:7). Strauss (in Charmaz 2006:7) views human beings as active agents in their worlds. The author assumes that “process, not structure, is fundamental to the study of human existence”. He also believes that human beings create structures through engaging in processes. “The construction of action is the central problem to address. In short, Strauss brings notions of human agency, emergent processes, social and subjective meanings, problem-solving practices and the open-ended study of action to grounded theory” (Charmaz 2006:7).

“The phrase ‘grounded theory’ refers to theory that is developed inductively for a corpus of data. If done well, this means that the resulting theory at least fits one dataset perfectly. This contrasts with theory derived deductively from grand theory, without the help of data, and which could therefore turn out to fit no data at all” (Auriacombe 2009:67). Grounded theory takes a competency theory in terms of a “variable perspective, although the distinction is equally impossible to draw” (Charmaz 2006:8). “This means in part that the researcher can take specific theory

as a whole, in which the variables interact as a unit to produce certain competencies” (Charmaz 2006:8). This type of analysis “tends to assume that the variables interact in complex ways and is suspicious of simple additive models with main effects only. The basic idea of the grounded theory approach is to read (and re-read) a textual database (such as a corpus of literature or documents) and ‘discover’ or label variables (also called categories, concepts and properties) and their interrelationships. The ability to perceive variables and relationships is termed ‘theoretical sensitivity’ and is affected by a number of things, such as one’s reading of the literature and one’s use of techniques designed to enhance sensitivity” (Charmaz in Auriacombe 2007).

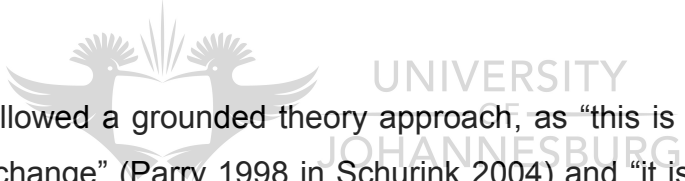
“Grounded theory is a qualitative research method that uses a systematic set of procedures to develop an inductively grounded theory about a phenomenon” (cf. Webb and Auriacombe 2006:599). “The theory only materialises after data concerning a particular phenomenon has been collected and the variables have been analysed. However, not all data collection and analysis exercises develop into a theory; some eventually only describe phenomena or a core concept” (Webb and Auriacombe 2006:599).

The aim “of grounded theory is to build theory that is truthful to highlight the variables that influence the area or core concept under study. Grounded theory should represent the everyday reality of a particular substantive area accurately; be understood by those who practiced and researched it; and be abstract enough to be applicable to many different contexts related to that phenomenon” (Webb and Auriacombe 2006:599).

As mentioned before, “the self-defined purpose of grounded theory is to develop insights into theory about phenomena of interest” (Webb and Auriacombe 2006:599). The researcher tries to develop “a theory by using multiple stages of data collection, as well as refining, and the interrelationship between variables and information categories. The grounded theory researcher needs to recognise that the primary outcome of this study is a theory with specific components, a central phenomenon, causal conditions, strategies, conditions and context, as well as consequences.

These are prescribed categories of information in the theory” (Webb and Auriacombe 2006:599).

The grounded theory researcher starts by raising “generative questions that help to guide the research, but are not intended to be either static or confining. As the researcher begins to collect data, core theoretical concept(s) are identified” (Webb and Auriacombe 2006:599). Provisional “linkages are developed between theoretical core concepts, the intervening variables and the data and the effort tends to evolve toward one central core category. Eventually, one approaches conceptually dense theory as new observation leads to new linkages. This, in turn, leads to revisions in the theory and more data collection. The core concept or category is identified and fleshed out in detail” (Webb and Auriacombe 2006:599). For the purposes of this study, the core concept or category focuses on leadership. “This process is continuous and does not have a clearly defined demarcated ending. The research project ends when the researcher decides to end it” (Webb and Auriacombe 2006:599).



The researcher followed a grounded theory approach, as “this is ideal for studying” transformational “change” (Parry 1998 in Schurink 2004) and “it is also regarded as the most influential approach in qualitative research today” (Denzin and Lincoln 2003) when it comes to organisational and management sciences (Goulding 2002). The original architects, “Glaser and Strauss (1967), do not regard the procedures of grounded theory as discipline specific. Instead, they encourage researchers to use grounded theory for their own disciplinary purposes” (Haig 1995 in Schurink 2004).

The researcher agrees with Locke (2001:3) that qualitative research “has many viewpoints and styles”. Notably, this argument also pertains to grounded theory. “Since its introduction in the 1960s, the approach has been developed progressively in a way that is consistent with its original formulation. Grounded theory methodology was first systematically formulated in Glaser and Strauss' *The Discovery of Grounded Theory* (1967). The general approach was developed progressively in more detail in Glaser's *Theoretical Sensitivity* (1978) and in Strauss' *Qualitative Analysis for Social Scientists* (1987). However, the most detailed specification of grounded theory procedures is presented in Strauss and Corbin's *Basics of*

Qualitative Research: Grounded Theory and Procedures and Techniques” (in Auriacombe 2009).

Haig (in Schurink 2004) and Glaser and Strauss (1978, 1987, 1992) argue for “constant comparative methods. Strauss (1987) also calls for comparisons at every level of analysis. It was to be expected that not all developments would be accepted without criticism. Strauss and Corbin's view, which clearly deviates from that of Glaser's” (in Auriacombe 2009), is at the centre of the debate. Strauss and Corbin (1990) “introduced new procedures, namely dimensionalising, axial coding and the conditional matrix to make emerging theories ... denser, more complex, and more precise” (Denzin and Lincoln 2003:515).

Haig (in Schurink 2004:17) “summarises grounded theory as a problem-solving endeavour concerned with understanding action from the perspective of the human agent that is typically presented as an approach to doing qualitative research, in that its procedures are neither statistical, nor quantitative in some other way and begins by focusing on an area of study and gathers data from a variety of sources, including interviews and field observations” (Haig in Schurink 2004:17). “Once gathered, the data are analysed using coding and theoretical sampling procedures and theories are generated, with the help of interpretive procedures, before being finally written up and presented” (Haig in Schurink 2004:17). “In this regard, Glaser and Strauss advise the researcher to be constantly on the lookout for new perspectives that might help them develop their grounded theory, although they do not explore the point in detail” ” (Haig in Schurink 2004:17).

It was this simplification of grounded theory that served as confirmation that the researcher was on the right track. Strauss (in Strauss and Corbin 1994:52) added to his understanding of grounded theory and described it as: “a style of doing qualitative analysis that includes features, such as theoretical sampling, and certain methodological guidelines, such as the making of constant comparisons and the use of a coding paradigm, to ensure conceptual development and density”.

Strauss and Corbin (1990:158) went further by developing “a systematic coding process to compare data in a variety of ways”. As mentioned earlier, “their

developments provided for a strict application of a process of open, axial and selective coding” (Strauss and Corbin 1990:158). These specifications deviated from Glaser's point of view that theory would emerge by itself if one worked hard enough with the data. The researcher followed this approach of systematic data coding approach, as applied by Strauss and Corbin (1994).

Data collection, observation, coding, categorising and theory development indeed occur simultaneously. At this point, the researcher needs to highlight what grounded theory is not. Suddaby (2006 in Auriacombe 2007:27) clearly points out serious misperceptions about grounded theory. Notably, it is not:

- an excuse to ignore the literature;
- a presentation of raw data;
- theory-testing, content analysis or word count;
- simply a routine application of formulaic technique to data;
- perfect;
- easy; and
- an excuse for absent methodology.



Next, the different phases of grounded theory coding are applied in an attempt to make sense of the important competencies that leaders in a senior management position in the public sector need. This includes the following phases:

1.7.8.1 Open coding

Open coding is the starting point of the coding process, which is applied in the analysis of data (see section 5.3.4.3). The aim of coding is to identify data concepts or categories and the properties or characteristics of data that belong to these categories (Strauss and Corbin 1990).

Open coding takes place “when data is broken down and conceptualised” (Holloway and Wheeler 2002:199). “Sentences are taken apart in order to find similarities and differences. This, in turn, will facilitate the identification of central ideas (mostly

referred to as discrete concepts)” (Holloway and Wheeler 2002:199) These central ideas are labelled with a particular name to become a concrete concept. It also serves as the basic unit of analysis (Strauss and Corbin 1990). Re-occurrences of particular concepts are identified and grouped together to form a category, which relates to a specific phenomenon.

The end-result of open coding is categories of naturally re-occurring data. Different data categories are labelled with their own unique names. Data that is associated with a specific category becomes the property of the category. This process continues until no new properties of data can be added to a specific category. The category of data is then regarded as being saturated.

1.7.8.2 Axial coding

Axial coding (see section 5.3.4.4) “is done by means of a coding paradigm involving conditions, context, action and/or interactional strategies and consequences” (Strauss and Corbin 1990:56). “It is a process where connections are made in new ways between the formulated categories and their sub-categories” (Strauss and Corbin 1990:56). Through axial coding, the researcher also aims to make “connections between a category and its subcategories” (Strauss and Corbin 1990:56). During axial coding, the question posed is related to the circumstances or the occurrence it had taken place in, and what actually led to the participants' responses. This is in order to understand the context in which participants experienced their work environment. All these conditions give rise to a category (Denzin and Lincoln 2003).

During the axial coding process, certain links between categories begin to appear. This may be a core category or a main theme disclosing or highlighting a pattern of behaviour that gathers together identified concepts that are related to each other in some way or another (Goulding 2002).

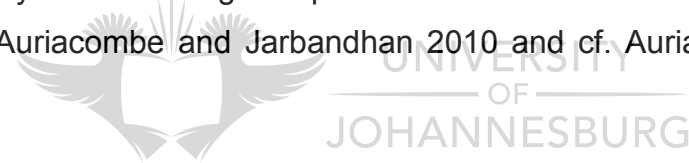
Firstly, axial coding is “applied by purposefully reducing the number of categories that were identified during open coding. This is done by reconsidering each property and category and by re-evaluating the terminology that is used to describe the

researcher's understanding of the data" (Strauss and Corbin 1990:57). Phrases with the same meaning are grouped together to avoid duplication of issues.

Each theme and its properties must be researched in order to examine the situation, as well as why it takes place. Concepts will quickly reveal the circumstances that cause the phenomenon.

1.7.8.3 Selective coding

The next step entails "tying these main themes or core categories together in one central theme" (Strauss and Corbin 1990:59). Selective coding takes place "when all other inferred themes are integrated into one theme" (Strauss and Corbin 1990:59) (see section 5.3.4.5). "A conceptual framework of themes builds up to a single storyline that covers all inferred themes" (Strauss and Corbin 1990:60). Denzin and Lincoln (2003) explain that "selective or focused coding uses initial codes that reappear frequently to sort a large corpus of data". This enables a better selected coding process (Auriacombe and Jarbandhan 2010 and cf. Auriacombe 2009:824-848).



1.8 Triangulation of research data collection methods

This section focuses on the triangulation process of the research data collection methods and subsequently, the collection of information. Using various information sources enabled triangulation, which in turn ensured validity. The researcher's "own experiences and perspectives serve[d] as an additional information source because in inter-subjective research, the researchers themselves may serve as research instruments" (Auriacombe 2009: 87).

In an effort to gather information and knowledge relevant to the field of study and research methods, the researcher relied on both primary and secondary data sources. In this regard, three main research instruments were employed, namely the literature study, a document analysis and interviews.

1.8.1 Literature study

Scholars disagree about when the relevant literature should be reviewed and how it should be incorporated into a qualitative data collection method. The research design may dictate whether a literature review should be used to ground the study's problem statement, as in many quantitative designs; or whether the literature should not be carried out until after data are collected, as in a grounded theory or a phenomenological study. In the latter case, the literature is used to add depth of understanding to the themes elicited by those interviewed about the phenomenon.

The literature is used differently in content analysis, where the aim is to apply theoretical sampling depending on the study's questions and research design. However, in most grounded theory research, the literature review should be used to establish the rationale for the research and questions to be asked. The literature review helps identify what is known about the context and focus of the study from research and, sometimes, from practice. Prior research, plus theory, helps the researcher to identify what information he/she should gather because others have found it to be important. Therefore, the literature review shapes the study's design (Creswell 1994, 1998, 2003; Merriam 1998; Merriam and Simpson 1995).

Once the findings have been identified, the literature can help the researcher understand patterns in the data and therefore theorise about dynamics, relationships, and links in the data. Once conclusions have been drawn, the literature helps compare the study's findings to other studies. Furthermore, it helps to identify how this study builds the field's knowledge base by adding to, confirming, or contradicting prior findings. As conceptual analysis focuses on context, the literature review can point to studies in similar or different contexts to help the researcher understand the limits of his/her study findings. This helps the reader to understand how to use findings in a different setting" (Creswell 1994, 1998, 2003; Merriam 1998; Merriam and Simpson 1995).

"During the literature search, the researcher's particular best practices focus was on theories on leadership with a specific focus on transformational leadership; change management and leadership; and strategic leadership and management. These

included a host of publications related to the historical and management-based interpretation and related debates on leadership theories in South Africa (SA) and elsewhere. Descriptive works that attempted to describe and outline leadership and management theories were mostly academic. However, it also included publications of a more popular nature. The researcher specifically concentrated on the conceptualisation, theories and models that were applicable to these concepts.

From a paradigm perspective, leadership cannot be studied in isolation where different skills, competencies, styles and behaviours are examined. It is studied within particular contexts, or in relation to some other constructs/variables. For example, some studies have involved an investigation of to what extent transformational leadership affects organisational culture (Van Tonder 1998); essential transformational leadership skills to mobilise people; the relationship between certain personality traits and transformational leadership (Van Rensburg and Crous 2000); and locus of control and transformational leadership (Van Staden, Scheepers and Rieger 2000).

This research focuses on the post-industrial leadership, or 'new leadership' paradigm (Bryman 1992 cited in Northouse 2001:131). Notably, this is an embodiment of several models of leadership, such as the servant, transformational and critical leadership models (Shriberg et al. 2002: 219). As such, there has been a paradigm shift in leadership from an industrial to a post-industrial paradigm.

The research is primarily based on transformational leadership, which belongs to the post-industrial leadership paradigm. Rost and Smith (1992 cited in Swanepoel, Erasmus, van Wyk and Schenk 2000:388) propose that to ensure a better understanding of the concept of leadership, leadership theory must move away from the industrial leadership paradigm, which emphasises what is peripheral to the nature and content of leadership, to the post-industrial leadership paradigm. The peripheral aspects would include aspects such as traits, personality characteristics, as well as nature versus nurture. In this case, the research did not focus on these peripheral aspects. Instead, it focused on transformational leadership as a change process.

The transformational leadership approach describes how leaders can initiate, develop and carry out significant changes in organisations (Northouse 2001:144) and how transformational leaders are change agents (Tichy and Devanna 1990 cited in Northouse 2001:143). They set out to empower followers and nurture them to change and also to become strong role-models for their followers. It would seem that transformational leadership and organisational change are mutually intertwined. For efficient organisational change to take place, transformational leadership behaviour is required. Importantly, for transformational leadership behaviour to be exhibited effectively there has to be a need for organisational change.

Central to the transformational leadership theory is Bass and Avolio's (1994) Full Range of Leadership Styles (FRL), which measures three leadership styles – transformational, transactional and laissez-faire leadership (Northouse 2001:156). A fundamental cornerstone of the Full Range of Leadership Model is that every leader exhibits each style to some extent. Furthermore, the model represents how frequently a leader exhibits a particular leadership style (Bass 1998:7).

The transformational leadership theories and research that emanate from this paradigm and to which reference will be made throughout this research include: Burns (1978), Bass (1985), Bennis and Nanus (1985), and Tichy and Devanna (1986).

The literature survey was conducted to achieve a threefold objective:

Firstly, a survey of five behaviour-oriented organisational change models was conducted. The aim was to ascertain their appropriateness and adequacy in explaining organisational change within the South African public sector. Various models, namely Lewin's Three-phase Change Model, the Bureaucratic approach, the Behaviourist approach, the Action Research Model, the Contingency Model and contemporary approaches were critically reviewed. The review revealed that the Contingency models are inappropriate and inadequate when it comes to addressing the question of large-scale organisational change within the public sector, as they are a-historical and a-contextual in character. An argument is presented that the

contextualist model is appropriate and adequate when it comes to addressing the problem, as it takes into account the historical and contextual nature of change. A paradigm shift is recommended, where there should be some significant departure from relying on Lewin's Three-phase Change Model in particular, as well as contingency models, to a contextualist and/or a contemporary model.

Secondly, two theories on transformational and transactional leadership were surveyed, namely Burns (1996), as well as Bass and Avolio (1993). The survey was conducted to their appropriateness and adequacy when it comes to addressing the problem of leadership in the public sector. Bass' theory was deemed appropriate and adequate for addressing the research problem, as it focused primarily on the transformational- transactional continuum, which could be central to the developments within the South African Public Service.

Thirdly, three descriptive research projects on transformational leadership were surveyed, namely Bennis and Nanus (1985), Tichy and Devanna (1986) and Ngobese (2004). The survey was conducted to ascertain their appropriateness and adequacy when it comes to addressing the problem of leadership within the public sector" (Jarbandhan 2012, 2011, 2009, 2007).

The personal qualities of an effective leader need to be specific and are highlighted in the *Senior Management Service (SMS): Resource Pack Part 2* (in Department of Public Service and Administration (DPSA) 2003). The resource pack reflects the following four key elements that are central to effective leadership: personal character, emotional intelligence, social intelligence and cultural intelligence.

The Draft Competence Dictionary for Local Government (Version 5) (2012) and the *Senior Management Service Public Service Handbook* (2003) provided valuable insights into the job and skill requirements of senior managers within the public sector.

1.8.2 Documentation

The importance of the use of a literature study and a documentary analysis is to corroborate and argue evidence from various sources. Documentation is used to construct interviews, clarify facts and make inferences from specific arguments or facts (Yin 1994:81). As noted before, “various sources of documentation were used in this research design to understand the role of leaders and managers in the public sector. Literature and documentary sources from which secondary data were obtained included:

- relevant published textbooks and other literature;
- unpublished dissertations and theses;
- published and unpublished research reports;
- articles from scientific journals, reference works, newspaper articles, media statements, as well as magazine reports;
- official and unofficial Government publications and reports;
- speeches and papers, where appropriate;
- unpublished lectures, documented interviews, periodic reports and documentation of the cases;
- national and international conference papers; and
- internet sources.

These specific information sources tend to be unobtrusive, stable and relatively exact. Furthermore, they cover a broad category of information. Some of the weaknesses included access, retrievability, incomplete collection or reporting bias (Yin 1994:80). The document analysis of secondary data complements the primary data that were generated by the interviews. Document analysis helped to verify the claims that the SMS competency framework serves as an important human resource mechanism. However, it is important to note that these research instruments are not mutually exclusive. Rather, they serve to complement each other.

1.8.3 Structured and unstructured interviews

In most cases, interviews complement other information sources. There are also advantages and disadvantages. Some of the advantages include flexibility in clarifying or probing for information; the response rates are effective; the presenter can observe nonverbal behaviour; the researcher has better control over the environment; respondents tend to be more spontaneous; and the questions can be more complex. Due to their strengths, interviews have a high reliability and validity. The disadvantages of this form of research are interview bias; no opportunity to consult records; cost; and a lack of access to respondents or refusals. Validity and reliability errors are not impossible – especially considering that the strongest weakness here is interviewee bias. Interviewees tend to answer the questions in a socially acceptable manner (Bailey 1994:173-175, 194, 212).

Interviews were used as a source of information in both structured and unstructured formats. For this study, interviews were conducted on a one-on-one basis, as part of field research (informal discussions) and written correspondence (the research posed questions ahead of time which the respondents answered).

The study's deductive manner is largely uncharted terrain and the definitive role that particular points of departure played in developing the various measures or guidelines and criteria, called for selecting information as a supplementary and secondary means towards an end. The supplementary data were obtained from discussions with senior officials, specialists and experts from state institutions, academics, as well as persons and associates of persons from other sectors. Based on the study objectives, the purpose of the open-ended interviews and discussions was to generate primary data from the participants. The aim was to gain insight into their perceptions of the effects of the various identified issues with regard to promoting best practices in terms of public sector leadership competencies and behaviour, as well as the relative importance they attach to these issues" (cf. also Jarbandhan 2011 and 2009).

Furthermore, the supplementary data were interpreted and clarified during in-depth interviews or informal discussions with key informants. These informants are senior

officials in the Department of Cooperative Governance (DCoG) and the Public Administration Leadership and Management Academy (Palama) that are/were at some stage involved directly with the process of developing SMS competency frameworks for the national and local government sector.

1.9 Terminological clarification and conceptual analysis

The appropriate chapters contain a comprehensive conceptual clarification of research-specific terms. However, in order to avoid uncertainty and ambiguity in the interpretation of concepts, certain terms that are central to this thesis are concisely defined in the section below. This section will also endeavour to provide an analysis of the concepts that are central to this thesis”.

1.9.1 Change and change management

Change refers to the movement away from the present situation (*status quo*) to a situation that embraces a state of equilibrium within the organisation. Change can be sudden or planned. When change is planned, proactive and deliberate, the process has to be managed.

Nickols (2006:1) “defines change management as a structured approach to change in individuals, teams, and organisations that enables the transition from a current state to a desired future state. The aim is to more effectively implement new methods and systems in an ongoing organisation”.

Accenture (2007b:4) contends that work needs to be done to prepare an organisation and its people for this change in order to ensure that individuals obtain the support and development they require to understand and accept the change. It involves preparing the workforce to respond positively to change and fulfill their roles and responsibilities once the change is complete.

Organisations are changing rapidly (Hellreigel, Jackson, Slocum, Staude, Amos. Klopper, Louw and Oosthuizen 2010:239). It is therefore important for managers to manage these changes. The changes could be internal or external. As “Jack Welch,

a former chief executive officer (CEO) of General Electric noted (in Hellreigel et al. 2010:239): “When the rate of change outside exceeds the rate of change inside, the end is in sight” (in Hellreigel et al. 2010:239).

1.9.2 Competence/y

Competency is a term used in society to express adequacy. It “can be traced back to medieval times, where apprentices learned skills by working with a master. Apprentices were awarded credentials when they reached the standards or workmanship associated with, and set by, the requirements of the trade” (Bolden, Gosling, Marturano and Dennison (2003:15). Therefore, how a staff member should do what he/she is expected to do relates to ability based on behaviour. It relates to the ability to perform a task by integrating knowledge, skills and attitudes. This will lead to the appropriate behaviour that is required to complete a task according to a predetermined and desired performance level. Hence, it denotes a staff member having the necessary knowledge, skills and attitudes needed to apply in appropriate ways to achieve fully-successful or exemplary performance in the job at hand (*Draft Competence Dictionary for Local Government* [Version 4] 2010:71).

1.9.3 Competency area

Creating competence topics to cluster competencies in (so that the number of competencies is limited and the dictionary does not become too extensive) (*Draft Competence Dictionary for Local Government* [Version 4] 2010:71).

1.9.4 Competence category

For example leadership, managerial, generic, functional, technical and professional.

1.9.5 Core leadership competence

Critical competencies will enable public sector/service leaders to fulfill their mandates, which will ensure a competitive advantage. Core competencies cut across all public sector leadership areas. Notably, they apply to all leaders though

variations occur in terms of authority levels and complexities.

1.9.6 Functional, technical and professional competencies

Technical or professional competencies are the foundational building blocks that relate to specific roles. They are specific to the main divisions of the organisation and are also described in relation to requirements of the relevant division or department. It is a competence that focuses on the essence of the job or task of which the job is composed and is inherent to the roles contained in the job. There may be some overlap of technical competencies across business units. The technical/professional competencies major 'differentiating power' is that they differentiate between competencies required in specific functions such as Human Resources as opposed to Finance and Technical services (*Draft Competence Dictionary for Local Government* [Version 4] 2010: 71).

1.9.7 Generic competence/y

A competency is general in nature and cannot be defined as either a leadership/managerial or functional competence (*Draft Competence Dictionary for Local Government* [Version 4] 2010:71).

1.9.8 Job/Role

A role is a set of responsibilities or expected results that constitute the job. A job is "a set of tasks and work-related responsibilities designed to be performed by an individual in return for remuneration. The staff member is appointed in a specific position/post" (*Draft Competence Dictionary for Local Government* [Version 4] 2010: 71).

1.9.9 Leadership

Leadership as a construct has been diligently studied since the beginning of civilisation. This is evident when one surveys the literature that is available on the

subject. Kanji and Moura (2001:701) indicate the frustration of defining the term 'leadership', by suggesting that there are "almost as many different definitions of leadership as there are researchers who have attempted to define the concept". Leadership, according to Hellriegel et al. (2010:295) involves "influencing others to act towards the attainment of a goal. It is based on interpersonal relationships, not administrative activities and directives". A leader has to be influential and effective. Notably, a leader should have the requisite competencies to influence the behaviour of others.

For Bennis in Jooste (2003: 25), leadership is seen as a "complex process by which a person influences others to accomplish a mission, task or objective and directs the organisation in a way that makes it more cohesive and coherent".

1.9.10 Leadership/managerial competence/y

This competency focuses on executing a leadership/managerial role or task (*Draft Competence Dictionary for Local Government* [Version 4] 2010: 71).

1.9.11 Manager

A manager is involved in the process of completing the job with the help of other people. Notably, a manager "plans, organises, directs and controls the allocation of human, material, financial and information resources in pursuit of the organisation's goals. There is a school of thought that believes that leading forms a crucial element in planning and organizing" (*Draft Competence Dictionary for Local Government* [Version 5] 2012: 4).

1.9.12 Properties

For the purposes of this thesis, in terms of grounded theory, properties are similar to characteristics or features.

1.9.13 Public managerial leadership

Public managerial leadership could be defined as that part of a management function that examines the relationship between a manager and his/her subordinates within a public sector context. According to Northouse (2001:8) the source of authority with regard to public managerial leadership is the management position itself.

1.9.14 Public sector

The “public sector can be defined as a collective term that refers to the public service, as well as local government, statutory bodies, quasi-government institutions, parastatals and similar bodies” (Auriacombe, Jarbandhan and Van der Waldt 2007:18).

1.9.15 Public Service

Civil Service and Public Service are used interchangeably in the literature. Within the public administration domain, there is a “Public Service for the Republic. Notably, the Public Service must function and be structured in terms of national legislation and must loyally execute the lawful policies of the government of the day” (*The Constitution of the Republic of South Africa of 1996* in Auriacombe, Jarbandhan and Van der Waldt 2007:18).

1.9.16 Strategic leadership

Nutt and Backoff (1993:17) views strategic leadership as “the process of guidance that sets a new strategy in place” (see Chapter Four). In addition, the aim of strategic leadership should be to realise change of a significant and enduring nature. With the changing global landscape it is important for leaders in the public sector to adopt a more strategic approach to handling the challenges that lie ahead of them. Therefore, the strategic leader has to “enrol others (creating a partnership with all relevant stakeholders, for example the community) in transforming the organisation by changing it in some significant way” (Joyce 2012:5). Jooste (2003:39) is of the opinion “that strategic-level leaders occupy senior positions, such as ministers within

government departments”. Hitt, Ireland and Hoskin (in Ehlers and Lazenby 2007:217) further stress that strategic leaders “anticipate, envision, maintain flexibility and empower others to create strategic change as necessary”.

It is evident that strategic leaders are responsible for developing and communicating a compelling vision for public sector organisations, so that they can function effectively and efficiently under uncertain environmental conditions.

1.9.17 Theory

A theory can be described as a scientifically acceptable body of principles offered to explain a phenomenon. While a model has a descriptive underpinning, a theory is much more complex in that it is a “comprehensive, systematic, and reliable explanation and prediction of relationships among variables” (De Coning et al. 2011:32). Although theories can also be used descriptively, they are a synthesis of a well-tested hypothesis.

1.10 Chapter outline



Chapter One of the thesis provides a scientific orientation to the entire research process. Furthermore, it justifies the choice of the theoretical framework that was adopted in the thesis. It includes a background and rationale to place the problem in proper context. The guiding research questions; significance of the research; secondary research questions; the research objectives; the qualitative approach to the methodology; and the research method and techniques are provided. The chapter also describes the triangulation of research data collection methods in terms of the literature study, documentation, as well as structured and unstructured interviews. Terms that are frequently used in the thesis are concisely defined, in order to avoid misinterpretation or misunderstanding. Finally, the chapter concludes with an overview of the chapters contained in the thesis.

Chapter Two contextualises the leadership phenomenon and identifies the variables that influence leadership as a phenomenon. The chapter focuses on the difficulties that exist with regard to defining the leadership phenomenon. However, a conceptual

analysis of the various definitions of leadership reveals the following commonalities: leadership focuses on the 'position of the leader'; the leader provides 'guidance and direction', leadership involves the leader's 'ability to lead'; and includes the 'power to induce compliance'. In addition, leadership includes the following elements, namely 'influence', 'followers', 'organisational objectives' and 'people and change'.

Furthermore, the chapter identifies and analyses the theories of leadership. The discussion of the Great Man, Traits, Behaviourist, Contingency (or situational), Influence, Relational, Servant-leadership and Stewardship theories attempted to describe and predict the leader-follower relationship accurately within a given organisational context. The chapter also discusses leadership styles, traits and attributes. Finally, the chapter identifies and concludes with a discussion of the relationship between leadership and management, as leadership enriches the management role.

Chapter Three focuses on the variables that influence organisational change and the theories and concepts that address the problem of change leadership role competencies. Public organisations operate in a constantly changing environment. A successful way to manage change is to introduce leadership as a critical variable in order to address the dynamics of change and transformation. The chapter reviews the concepts and phenomena related to organisational change. These phenomena range from, *inter alia*, organising as a process, organisational behaviour, change, organisational change and transition management. The chapter then proceeds to analyse the variables that influence formal organisations.

A general theoretical overview of organisations indicates that scholars often divide organisational theory into two separate fields or approaches. The first field or approach is the 'structures of organisations'; the second is 'human behaviour within organisations'. Early organisational theory was shaped around the Classical approach, which encompassed Taylor's Scientific Management Theory, Fayol's Administrative Theory and Weber's Theory of Bureaucracy. The Neo-Classical approaches are divided into human relations and contemporary theories. More specifically, theories of organisational change within public institutions focus on the functionalist/systems and contingency models of change, complexity theory and

change, as well as the Post-Modernist and discourse theory of public organisational change. These theories provide background in order to understand the complexities of change in organisations in general, and change in public organisations in particular. It is central to this thesis to discuss the change process in order to gain an understanding of how change influences organisations. Lewin's 1947 Change Model is used to understand the change process. Furthermore, effective leadership is required to manage change. Notably, leaders require skills to manage change. These include communication, strategising, as well as gaining support from followers, external actors and the community.

Chapter Four addresses the role of strategic leadership in order to develop strategic leadership role competencies to promote and maintain organisational change. The chapter analyses the nature of the interaction between the variables that influence strategic leadership. The theories, concepts and approaches that are appropriate and adequate to address the problem of strategic leadership role competencies are also discussed. The chapter outlines and analyses the role of strategic leadership within government institutions. The South African strategic leadership framework is underpinned by, and aligned to, the Government's Medium-Term Strategic Framework (MTSF), Medium-Term Expenditure Framework (MTEF) and more recently the National Planning Commission's mandate. Finally, the chapter discusses the link between strategic planning and strategic leadership in order to gain a better understanding of how these phenomena enrich senior managers' strategic role competencies.

Chapter Five analyses leadership competencies and behaviours in order to develop a model for strategic, change-focused transformational leadership competencies. A process is followed to link the leadership competencies to generic transformational (change) leadership competencies. This exercise is based on a review of some of the most current thinking around strategic and transformational leadership theories and approaches. This qualitative and interpretive approach does not only assist in contextualising the research within the South African arena, but also broadens the identification of competencies that are related to the various functions of public sector managers and leaders. In this way, the generic competencies are validated and improved upon. This part of the research process requires a qualitative

approach that uses a coding paradigm as a checklist. This is used to build a basic set of strategic transformational leadership competencies that are applicable to change within the context of the South African public sector.

Chapter Six provides a synthesis of the study, by providing a summary of the research objectives. Certain observations are made in terms of the study objectives, the findings presented and conclusions drawn. Finally, proposals are made for possible future research arising from this thesis.



CHAPTER TWO

VARIABLES INFLUENCING THE LEADERSHIP PHENOMENON

2.1 Introduction

This chapter attempts to provide an answer for the first research question posed in Chapter One (see section 1.4): **“What are the variables influencing the meanings and foundations of the appropriate leadership theories and concepts in order to address the problem of leadership role competencies?”** The chapter aims to clarify the first objective set in Chapter One. To provide (see section 1.5) **“a conceptual description and explanation of appropriate and adequate leadership concepts, theories, approaches and phenomena that influence leadership role competencies for change management by conducting a literature study”**, in order to establish a clear and meaningful basis for its interpretation and utilisation within the text of the following chapters of the thesis. The aim is to prevent confusion in terms of the various leadership-related concepts, theories, approaches, processes, phenomena and variables that have an impact on the nature and challenges of managing transformation in the South African public sector, before the focus is shifted to strategic leadership.

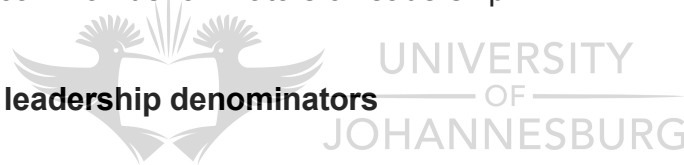
The purpose of this chapter is to determine the general denominators of the leadership phenomenon in order to find a workable definition for leadership; to explore the conceptual commonalities in terms of leadership phenomena; highlight relevant leadership research and theories; and to identify the variables that influence leadership. The development of the studies of leaders and authoritative views on leaders and leadership theories, in particular those variables that influence change management and transformational leaders will be explored. Leadership studies have a number of over-arching theories that underpin the concept. These include Great Man, Traits, and Behaviourist. The chapter also discusses the contingency or situational theories, and the influence theories. Following this the relational theories are also provided. Attention is also given to other leadership theories.

The chapter also highlights the different leadership styles (autocratic, democratic, *laissez-faire*, transactional, transformational and inspirational). Certain traits and attributes are identified and the relationship between leadership and management is discussed. Finally, the chapter provides a brief overview of generic management categories and functions including planning, organising, leading, controlling and coordinating.

2.2. What are the main leadership denominators?

When perusing the many definitions of leadership, one will in all probability formulate a variety of different definitions. There are, however, common denominators that run through most of these definitions. “There is no universal definition of leadership because the leadership phenomenon is complex, and leadership is studied in different ways that require different definitions” (Maxwell 1999 in Jarbandhan 2007:54). Therefore, the task of defining it becomes all the more onerous. Table 2.1 below lists some of the most common denominators of leadership.

Table 2.1: The leadership denominators



Theorist(s)	Definition(s)
Hellriegel et al. (2010:295)	Leadership “involves influencing others to act towards attaining a goal. It is based on goals, not administrative activities and directives”.
Stark and Flaherty (1999:221)	“Leadership, unlike management, is not a formal position – it is a relationship; the power base comes voluntarily from the followers”.

Maxwell (1999:1)	“Leadership is the capacity and will to rally men and women to a common purpose and the character that inspires confidence”.
Van Rensburg (2007:2)	“Leadership is about will and influence; an individual’s will to improve the circumstances on any situation as a service to others; to influence people and circumstances”.
Lee (2005:7)	Leadership “shape and realise success, drawing on their ability to influence, inspire, collaborate and coach”.
Schuitema (1998:21)	Leadership is seen to be about achieving a result through people.
Cooper (2005:17)	Leadership “is about being charismatic, transformational, vision, change, commitment, extra effort and pro-action”.
Lussier and Achua (2007:6)	“Leadership is the influencing process of leaders and followers to achieve organisational objectives through change”.
O’Toole (1999:3)	“Leaders are admirable in their behaviour, noble in their goals, and have the compelling desire to help their followers and organisation achieve their highest potential”.
Scott (1981:87)	Leadership “can be defined as the ability to influence the behaviour of others”.
Ehlers and Lazenby (2007:220)	Leadership is about guiding, encouraging and facilitating others in pursuit of goals.

2.3 Conceptual analysis of ‘leadership’

In an attempt “to get a better understanding of the concept of leadership, various authors’ definitions of the term will be discussed in an attempt to further formulate an enriched description of leadership. The plethora of information that is available on the subject and the varied views on the subject make it difficult to define. A word analysis of the concept may illicit the following ideas around the definitions of leadership” (Jarbandhan 2007:54).

Morse, Buss and Kinghorn (2007:3) “are quick to point-out that the literature on public sector leadership is limited in comparison to the literature that is available from the business school perspective and that of political leadership”. Morse et al. (2007:5) state “that public sector leadership focuses on creating public value within and outside government, and at all levels of the organisation, in order to bring about transformational change”.

The *American Heritage Dictionary of the English Language* (Online: Internet source <http://education.yahoo.com/reference/dictionary>), defines leadership as follows:

- “The position or office of a leader.
- Capacity or ability to lead.
- Guidance and direction” (Online: Internet source <http://education.yahoo.com/reference/dictionary>).

These short definitions of leadership are similar to the definitions in Word-net (Online: Internet source <http://dictionary.die.net/>), for example:

- “The activity of leading.
- The status of a leader.
- The ability to lead” (Online: Internet source <http://dictionary.die.net/>).

According to Van Wart (2003:221) leadership entails:

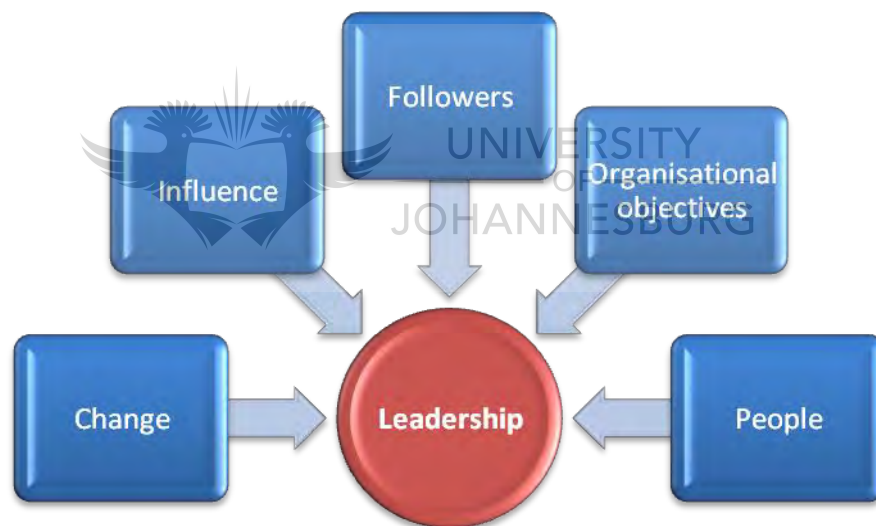
- “The process of providing the results required by authorised processes in an efficient, effective and legal manner.
- The process of developing/supporting followers who provide the results.
- The process of aligning the organisation with its environment – especially the necessary macro-level changes – and realigning the culture, as appropriate.
- Having the key element of service delivery focus.

- A composite of providing technical performance, internal direction to followers, external organisational direction – all with a public service orientation” (Van Wart (2003:221).

Wren (in Stone and Patterson Internet source 2005) makes a pertinent observation when he says that, “there are numerous definitions and theories of leadership; however, there are enough similarities in the definitions to conclude that leadership is an effort of influence and the power to induce compliance”.

An overview of the definitions of leadership as provided above reveals that leadership has the following five key elements (See Figure 2.1 below).

Figure 2.1: Elements of leadership



A brief overview of each of the elements is listed below.

- **Followers**

“The influencing process is between leaders and followers, not just a leader influencing followers. Followers are people who are being influenced by a leader. Interestingly, the qualities needed for effective leadership are the same as those needed to be an effective follower. Good followers are not ‘yes people’ who simply follow the leader without giving input that influences the leader. Good followers give

input and influence leaders. If you want to be an effective follower, you need to share your ideas. Also, as a leader you need to listen to others and implement their ideas to be effective” (Lussier and Achua 2007:7).

- **Influence**

Influence “is the process of a leader communicating ideas, gaining acceptance of them and motivating followers to support and implement the ideas through change” (Lussier and Achua (2007:8). According to Lussier and Achua (2007:8), “influence is the essence of leadership” (Lussier and Achua 2007:8). “People in official managerial positions have more power to influence others” (Lussier and Achua 2007:9). “A leader in an organisation, however, may not have a formal position or level of authority (such as a manager)” (Lussier and Achua 2007:10).

“Effective followers also influence others. Thus, influence is about the relationship between leaders and followers. Managers may coerce subordinates to influence their behaviour, but leaders do not. Leaders gain the commitment and enthusiasm of followers who are willing to be influenced” (Lussier and Achua 2007 in Jarbandhan 2011:26).

- **Organisational objectives**

Leadership also “occurs within a particular organisational setting. Effective leaders influence followers to not only think of their own interests, but also of the organisation’s interests. Leadership takes place “when followers are influenced to do what is ethical and beneficial for the organisation and themselves” (Lussier and Achua 2007:10).

Employees in an organisation “need to work together [towards] an outcome that the leader and followers both want; a desired future or shared purpose that motivates them towards this more preferable outcome. Leaders need to provide direction, set challenging objectives and lead effectively to achieve them. Setting specific, difficult objectives usually leads to higher levels of performance” and the successful

accomplishment of organisational objectives (Lussier and Achua 2007 in Jarbandhan 2011:29).

- **Change**

“Influencing and setting objectives are about change. Organisations need to continually adapt to the rapidly changing global environment. Leadership involves influencing followers to bring about change toward a desired future for the organisation. The people who advance in organisations are those who are willing to take risks and try new things” Lussier and Achua 2007:11).

- **People**

According to Lussier and Achua (2007:9), “although the term ‘people’ is not specifically mentioned in definitions of leadership”, one should realise that leadership is about leading people. Therefore, leaders have “to get along with people, have good interpersonal relationships and help them to succeed”

“One of the major challenges that scholars find in defining leadership lies in its complexity (Charlton 1993:32). He (Charlton 1993:32) argues “that authors find it easier to define and recognise what leadership is not”. The following definitions on leadership will be offered.

Bennis (in Jooste et al. 2003:25) “defines leadership as a complex process by which a person influences others to accomplish a mission, task or objective and directs the organisation in a way that makes it more coherent and cohesive”. Tom Peters (in Charlton 1993:32) “defines leadership as a unique alliance between managers and workers that fully engages the talents and potential in everyone in the organisation”. Daft (1999:5) proposes the view of “leadership as an influence relationship among leaders and followers who intend real changes that reflect their shared purposes”. Spears (1996:22) sees leaders as being visionaries. Van Rensburg (2007:2) provides a further definition that is considered as apt for this thesis, where leadership is seen as “not the function of a position a person holds. It has its foundation in the

will of an individual to improve the circumstances of any situation as a service to others.”

The complexity in defining leadership is succinctly pointed out by Weiss (1999 in Jarbandhan 2007:60), “who proposes the following definition of leadership: Leadership manifests itself anytime you try to influence the behaviour of an individual or group, regardless of the reason. It may be for your own goals or those of others, and the goals may or may not agree with organisational goals” (Weiss 1999 in Jarbandhan 2007:60).

According to Abzug and Phelps (1998:208) “a lot of the ‘new’ insights regarding leadership theory and practice were already known and acknowledged as far back as 200 years ago”. They (Abzug and Phelps 1998:208) also refer “to the works of Adam Smith, Frederick Taylor and Chester I Barnard (Abzug and Phelps 1998:208). They stated that (Abzug and Phelps 1998:208), “Barnard set the stage for moving beyond Taylor’s control notion of management by offering a theoretical ground for participative leadership. These authors research is consistent with today’s paradigmatic shifts towards empowerment and nonlinear thinking that cause us to re-evaluate the role of guiding values versus work rules and routinisation in the workplace” (Abzug and Phelps 1998).

For Cairns (2000:3) “leadership does not come from without, but from within. Leaders take initiative, challenge the status quo and encourage followers”. He (Cairns 2003:3) adds “that this is a frightening prospect for many institutions. In terms of her view, leadership is change focused”. Cross (2001:49), suggests: “An organisation takes its cues from its leaders; if the leaders embrace change, the organisation will change.”

“In their effort to compile a complete (or as they prefer to call it, hyper-dimensional) taxonomy for managerial competence” (Jarbandhan 2007:67), Tett, Guterman, Bleier and Murphy (2000) investigated various views on leadership. From twelve earlier models they studied, they found “that eight of them referred to leadership as motivation by persuasion. In more recent studies, they found that the term ‘leadership’ had been conceptualised in terms of dichotomous behavioural

categories. These categories include, amongst others: “task and person orientation, autocratic and participative style, and transactional and transformational leadership” (Tett, Guterman, Bleier and Murphy 2000 in Jarbandhan 2007:70).

“Some leadership competencies were identified as being applicable to all these categories, while others were linked to a particular ‘type’ of leadership. They eventually grouped leadership into two clusters. The first cluster included ‘Initiating Structure’ (task orientation), ‘Autocratic Style’, and ‘Transactional Leadership’. In the second cluster they grouped ‘Consideration’ (person orientation), ‘Participative Style’ and ‘Transformational Leadership’. The researchers note that, in the literature analysed, different authors conceptualise the same ‘leadership type’ differently. As an example they refer to transformational leadership and note that researchers like Bass (1985); Burns (1978); Conger and Kanungo (1987); and House (1977) define it in different ways, although referring to the same concept” (Jarbandhan 2007:64).

Kanji and Moura (2001:701) share “the same frustration with leadership definitions”. They surveyed the literature and “suggests that there are almost as many different definitions of leadership as there are researchers who have attempted to define the concept”. However, they (Kanji and Moura 2001:701) stated “that every leadership definition inevitably includes an influential component”, which adds value to the concept.

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

According to Parsell and Bligh (2000) “leadership involves the possession and use of power and authority to bring about change in terms of influencing people’s thoughts and actions” (Parsell and Bligh in Jarbandhan 2007:71). They also add that the idea of leaders who “are ‘born’ and ‘not made’ and who possess innate abilities appropriate to leadership, is less accepted among leadership authors” (Parsell and Bligh in Jarbandhan 2007:71).

Zenger et al. (2000:27) support the “link between leadership and change”. For them (Zenger et al. 2007:27) “Ultimately, leadership is about change; it's usually not required for maintaining the status quo”. Kerfoot (1999:64) shares this view and defines leadership “as the art and science of leading change effectively”.

“From the above definitions it is evident that leadership encompasses the following values” (Jarbandhan 2007:71):

- “It is a relationship or ‘alliance’ between leaders (managers/supervisors) and followers (workers/subordinates).
- Its main goal is to bring about meaningful change.
- It is the ability to change others’ behaviour.
- It is the ability to move others towards taking action in line with a goal or objective.
- Leaders are visionaries.
- Leaders should serve others” (Jarbandhan 2007:71).

On the basis of the above discussions, “the term ‘leadership’ can be defined as the ability to lead and to give guidance and direction. In addition, leadership within an administrative context emphasises the administrator’s role, a role that requires efficiency, effectiveness and legality” (Jarbandhan 2007:71). Leadership also strives to bring about lasting organisational change.

2.4 Literature on public leadership theory and research

There has been a dearth of literature focusing on public sector leadership. Morse and Buss (in Morse et al. 2007:3) point out that, “the study of leadership from a public-sector perspective, is very small”. According to Van Wart (2003:218), approximately 110 articles have been written on the *topic* of leadership over a period of sixty years (1940-2000) in the influential *Public Administration Review* (PAR) on specific public sector leadership issues.

Table 2.2 below illustrates the availability of public sector leadership literature found in PAR.

Table 2.2: Public leadership research in the Public Administration Review (1940-2000)

YEAR	AUTHOR/S	TOPIC/ SUBJECT
1940 and 1943	Finer (1940); Leys (1943)	“Administrative-discretion debate: How much discretion should public administrators have and under what conditions?”
1945	Stone (1945)	“Notes on the Government Executive: Role and method”.
1954 and 1958	Lawton (1954); Dimcock (1958)	Leadership development.
1960	Fesler (1960)	“Editorial comment on the importance of leadership study in various contexts”.
1962	Guyot (1962)	“Variation in the motivation of public and private leaders”.
1962	Fisher (1962)	Federal managers and the lack of management training.

1965	Altshular (1965); Lundstedt (1965)	Influence of leaders and social power on leadership.
1981-1987	Likert (1981); Flanders and Utterback (1985); Faerman, Quinn and Thompson (1987); Dimcock (1986)	Training and development of leaders. Innovation and creativity in leadership.
1989	Dilulio (1989)	Importance of leadership and management components.
1992	Bellone and Goerl (1992)	"Reconciling public entrepreneurship and democracy".
1992	Terry (1992)	"Administrative leadership, neo-managerialism, and the Public Management movement".
1998-2000	Hennessey (1998); Moon (1999); Considine and Lewis (1999); Borins (2000)	Articles published in PAR based on leadership empirical studies.

Source: (Adapted from Van Wart 2003)

2.5 Evolving theories of leadership

As noted earlier, leadership has been extensively studied for centuries and any attempt to define leadership is flawed unless one understands the different theories that developed over time to study leadership. "A review of the leadership literature reveals a series of evolving "schools of thought" from the Great Man to the

Transformational theories of leadership. The early theories of leadership focus on characteristics and behaviours of successful leaders, while the later theories of leadership” focus on the role of followers and the context of leadership” (Jarbandhan 2011:30).

There is an extensive “list of traits or qualities associated with leadership and it continues to expand” (Daft in Jarbandhan 2011:30). “They draw on virtually all the adjectives in the dictionary, which describe some positive or virtuous human attributes – from ambition to zest for life” (Daft in Jarbandhan 2011:30).

“For years researchers and writers in the behavioural sciences have tried to discern why some people are successful leaders and others are not. If there was a simple answer, all leaders would be successful. However, there is not a simple answer. To appreciate the multi-dimensional nature of leadership it is important to recognise that the concept of leadership has evolved over time. Leadership typically reflects the larger context and society” (Jarbandhan 2011:30).

Each theory uses a different set of determinants to describe and predict what styles of leadership are most effective. “In reality, leadership situations are very complex. Each of the three main theories of leadership seems to contain some elements of truth. However, in the final analysis, they have failed to explain the difference between effective and ineffective leadership sufficiently enough to be useful in a variety of situations” (Jarbandhan 2011:30).

The various leadership theories, according to Daft (2005:23), can be categorised into “**six basic approaches**”, each of which will be briefly described below in the context of these specific theories/approaches. Many of these approaches are still applicable to current leadership studies. However, it must be noted that for the purpose of this section the words ‘approach’ and ‘theory’ will be used interchangeably.

2.5.1 'Great Man' theories

The 'Great Man' theory of leadership is regarded as a foundational theory of leadership. This theory "was practiced in a stable environment, and focused on leaders who were 'born' to lead. This theory of leadership dated back to ancient Greek and Roman mythology" (Wehrich and Koontz 1993:493). "The leader was seen as a 'hero', with historical examples such as Julius Caesar, Napoleon and political leaders such as George Washington, or even social leaders such as Mahatma Gandhi and Martin Luther King Junior. With much thought surrounding these 'great men', research was propelled into looking at the traits that made these men great. A criticism of the 'Great Man' theory was that 'great women' were overlooked" (Wehrich and Koontz 1993:493). "Joan of Arc, Elizabeth I and Clara Barton" were seen as 'handmaidens' to men (Van Wart 2003:216). The 'Great Man' theory propelled researchers in the early twentieth century to ask: What traits do "great men" possess? "This led to the concept of leadership, which came to be known as the 'Traits' approach to leadership" (Jarbandhan 2007:70).

2.5.2 Traits theories



The Traits theories, which were "prominent in the 1940s, attempted to focus on the traits, qualities and attributes that distinguished effective leaders from followers (SALGA 2003-2004:5). Traits could for example include appearance, values and self-confidence. The Traits approach revolves around the notion that leaders need to have the 'right stuff'. The Traits approach gained momentum in the 1940s and 1950s with the onset of research in the field of psychology, which analysed traits of effective leader" (Jarbandhan 2007:70). Ralph Stogdill (in SALGA 2003-2004:5) examined in 1948 over "100 studies based on the Traits approach". Stogdill (1974:89) highlighted "the following traits that are consistently applicable to good leadership":

- "Five physical traits (for example, energy, height, appearance).
- Four ability and intelligence traits.
- Sixteen personality traits (for example, adaptability and aggressiveness).

- Six task-related traits (for example, persistence).
- Nine social characteristics (for example, interpersonal skills and cooperativeness)” (Stogdill 1974:89).

“The orientation was that the more traits one possessed, the better the chances were of the person succeeding as a leader” (Stogdill 1974:89). Even though Stogdill’s (1974) conclusions were criticised, authors added more traits to the list of traits.

Khoza and Adams (2005:53-54) “argue that the traits approach is too simplistic in its analysis of leadership development”. Wehrich and Koontz (1993:493) support this view and conclude “that studies based on the Traits approach are not useful in understanding leadership, as not all leaders possess all the leadership traits”. In fact, “many non-leaders may possess most or all of the traits. Furthermore, the Traits approach can be limited in that it may fail to take situational factors into account” (Robbins in LOGOLA/ICMS 2004:23).

Several studies on “these traits made many researchers realise that, although the traits are evident among many people ‘genetically’, they could also be learnt, and the behaviour of people could be changed to include such traits. This led to the next generation of leadership theories that complemented rather than did away with the Trait theories. Furthermore, the Traits approach to leadership could also be criticised in that this approach does not quantify how many of the traits a successful leader should have” (Jarbandhan 2007:72).

2.5.3 Behaviourist theories

The Behaviourist theory of leadership not only focuses “on the qualities that a person has, but also what a person actually does within a leadership context – more precisely, how the person behaves as a leader. Behaviourist theories took over from the Traits approach/theories in the 1940s and remained the popular paradigm until the 1960s” (LOGOLA/ICMS 2004:23). Behaviourist “theories of leadership are based on the belief that good leaders are made, not born” (LOGOLA/ICMS 2004:23). “This leadership approach focuses on the actions of leaders, not on mental qualities or

internal states. According to this approach, people can learn to become leaders through teaching and observation. Hence, everyone's leadership qualities can be honed, which could lead to an infinite number of effective leaders" (LOGOLA/ICMS 2004:23).

In this period theories were developed "by people who have become common household names among researchers. These include McGregor's (X and Y Theories), Maslow's (Hierarchy of Needs) and Hertzberg's (Hygiene Factors)" (LOGOLA/ICMS 2004:23).

In discussing the various behaviourist theories, Reddin (Internet source 2000 <http://www.worldcat.org/identities>) "developed a 'rationalised' view, called Theory Z, in which he lists the following factors that affect behavior" (Internet source 2000 <http://www.worldcat.org/identities>):

- "Humans have a will.
- Humans are open to good and evil.
- Situation drives humans.
- Reason motivates humans.
- Interdependence is humankind's basic mode of interaction.
- Interaction is humankind's social unit of importance.
- Objective best describes humankind's view itself" (Internet source 2000 <http://www.worldcat.org/identities>).

A common misunderstanding from the Behaviourist approach is that it is premised on the basic understanding "that a leader should always follow a certain style, affected one way or another by the factors, such as those listed in Theory Z" (Internet source 2000 <http://www.worldcat.org/identities>).

2.5.3.1 Likert's four systems of management

The theory of four systems of management "is based on the work of Professor Rensis Likert and his team of researchers at the University of Michigan. These

researchers studied the patterns and styles of leaders over three decades” (Wehrich and Koontz 1993:495). “Based on the findings a ‘four system’ model of leadership management was suggested. Table 2.3 below highlights the ‘four systems’ model, which was adapted from Wehrich and Koontz (1993)” (in Jarbandhan 2007:78).

Table 2.3: Four system leadership model

SYSTEM ONE	SYSTEM TWO	SYSTEM THREE	SYSTEM FOUR
Managers are described as ‘exploitative/authoritative’. Managers are highly authoritarian. Little trust in subordinates. Motivate subordinates through fear and punishment. Downward communication. Limited decision-making.	Managers called ‘benevolent/authoritative’. Patronising, confidence and trust in subordinates. Rewards, fear and punishment. Permits some upward communication. Allows limited decision-making.	Managers referred to as ‘consultative’. Managers have substantial but not complete trust in subordinates. Uses rewards for motivation with limited punishment. Allow low level communication.	Manager referred to as ‘participative group’. Have complete trust and confidence in employees. Use opinions of subordinates constructively. Gives economic rewards. Encourages decision-making.

Source: (Wehrich and Koontz 1993:497)

“Likert described ‘system one’ managers as ‘exploitative/authoritative’; ‘system two managers are viewed as ‘benevolent-authoritative’; ‘system three’ managers are viewed as ‘consultative’; and ‘system four’ managers are ‘participatory’ towards subordinates. Likert found that managers who adopted ‘system four’ had the greatest success as leaders. They were effective in setting and achieving goals, and in essence productivity was high. Success was ascribed to participation and the extent to which subordinates were supported and maintained” (Wehrich and Koontz 1993:497). “Likert’s theory also had its own critics. One of the major criticisms is that these studies were carried out on small groups and that the results were applied to the entire organisation. Furthermore, data were gathered at the lower levels of the organisation’s management, which could not be supported at the higher levels of

management. In addition, environmental factors are not taken into account in this theory” (Wehrich and Koontz 1993:497).

2.5.3.2 The leadership (managerial) grid

According to (Wehrich and Koontz 1993:501), “Robert Blake and Jane Mouton of the University of Texas proposed this two-dimensional leadership theory. The first of the two dimensions is a concern for people, which could include factors such as personal commitment towards goal achievement, maintenance of worker self-esteem and good working conditions. The second dimension is the concern for productivity, which could include factors such as a supervisor’s attitude towards policy dimensions, procedures and processes, as well as creativeness of research. Researchers rated leaders on a scale of one to nine. Managers who scored close to 1.1 were referred to as ‘impoverished managers’; while those who scored 9.9 were referred to as ‘extreme’ managers who displayed dedication to production and people”.

Wehrich and Koontz (1993:501) also stated that the “leadership/management grid can be used as a device to classify management styles. However, it does not indicate why managers fall into a certain part of the grid and not another” (Wehrich and Koontz 1993:501). To “determine the reasons one has to look at underlying causes, such as personality characteristics of leaders and followers; the ability and training of managers; environmental factors; and other situational factors” (Wehrich and Koontz 1993:501).

“The introduction of the ‘Behavioural School of Leadership’ helped to advance the notion of leadership to a new level. The focus was to move from leadership qualities (traits) to how leaders behave in a situation. This leadership model has been criticised for making the assumption that behaviour has everything to do with the leader – if the leader displays the ‘correct’ behavior, then it could be used to explain effectiveness. Authors such as Ivancevich et al. (1994) showed that leaders could not be seen to be effective consistently – despite adopting either of the behaviour leadership styles (Schwella and Rossouw 1996:53) also indicate the lack of empirical

validity of the behavioural theories. With the limitations of the behavioural model, there was a move to the next leadership approach, namely the Contingency approach” (Jarbandhan 2007:78).

Van Maurik (<http://www.infed.org/leadership>) “realised that a specific situation would demand a certain style from a leader”. Consequently this resulted in developing the next generation of leadership theories, namely the Contingency or Situational theories.

2.5.4 Contingency or situational theories

Contingency theories (also referred to as situational theories) “became popular from the 1960s onwards. The theory proposed that leadership depends on the leader matching his or her style to the demands of the situation that he/she is placed in” (Wehrich and Koontz (1993:503). According to Tappen (in Jooste 2003:69) “the importance of different situations has led to the formulation of situational theories” (Jarbandhan 2007:79). Wehrich and Koontz (1993:503) stated “that these leadership models recognise that there are relationships between groups and the leader”.

2.5.4.1 Fiedler’s contingency theory of leadership

“Fred E Fiedler and his team of associates from the University of Illinois attempted to link leadership styles with organisational situations” (Wehrich and Koontz 1993:504). Robins (in LOGOLA/ICMS 2004-2005:23) adds “that effective group performance depends on the proper match between the leader’s style when interacting with the subordinates, and the degree to which the leader controls and influences situations”.

“The mainstay of Fiedler’s theory is underpinned by the extent of the relationship between leadership style and situational favourability, which is linked to group task performance. Based on this the following assumptions can be made” (Jooste 2003:70).

“Task-oriented leaders are more effective in situations that are highly favourable or unfavourable. In favourable conditions, the task is clear and everybody gets along. The leader takes charge and simply plots the organisational direction. On the other hand, if the task is unclear, leader-member relations are highly unfavourable. Thus the situation is unfavourable, as the leader needs a large amount of structure and authority over followers” (Wehrich and Koontz 1993:505).

“Relationship-oriented leaders are more effective in situations that are moderately favourable” (Wehrich and Koontz 1993:505). “Here, the leader performs well because human relations skills are needed to achieve high group performance – the human relations-oriented leader will be more effective in situations that are moderately unfavourable or favourable. Scholars have criticised Fiedler’s model of leadership as he failed to include additional contingency variables” (Wehrich and Koontz 1993:505).

2.5.4.2 Hersey and Blanchard’s situational theory

According to Daft (1999:99) “Paul Hersey and Ken Blanchard progressed to develop arguably the most popular and influential approaches to leadership” (Daft 1999:99). They are of the opinion that the readiness level of followers is central to this theory. Jooste (2003:71) adds “readiness or maturity not as age or emotional stability, but as a desire to achieve, to accept responsibility, and task-related ability or experience”.

This leadership “model presupposes that” the maturity of subordinates determine an effective leadership style (Jarbandhan 2007:78). “For example, if a follower has a low level of maturity (readiness), the leader has to be specific in his/her directives” (Daft 1999:101). In the case of a follower with “a high maturity (readiness), the leader provides sufficient goals and authority to carry-out the task” (Daft 1999:101).

2.5.5 Influence theories (charismatic and visionary leadership)

“Influence theories examine the influence-based processes between leaders and followers. One primary topic of study is charismatic leadership. This refers to leadership influence that is not based on position or formal authority, but rather on the leader’s qualities and charismatic personality” (Daft 2005:24). These “theories of charismatic leadership attempt to identify how charismatic leaders behave; how they differ from other people; and the conditions that typically give rise to charismatic leadership. Leadership vision is a related area of study. Leaders influence people to change by providing an inspiring vision of the future” (Daft 2005:24).

2.5.5.1 Charismatic leadership

According to Wright (1996 in Gerth and Mills 1991:51), “charisma is, literally, a gift of grace or of God. Max Weber, more than anyone, brought this idea into the realm of leadership. He used ‘charisma’ to talk about self-appointed leaders who are followed by those in distress. Such leaders gain influence because they are seen as having special talents or gifts that can help people escape from the pain they are in” (Gerth and Mills 1991:51).

These leaders “will seek to convince followers of their special gifts and of their solution to the crisis or problem. When these things come together something very powerful can happen. It does not necessarily mean that the problem is dealt with. However, followers can come to believe that it is. Such leaders are regarded with awe. They inspire followers in different ways. In essence, followers can begin to feel safer and directed. This can be a great resource. Someone like Martin Luther King used the belief that people had in him to improve civil rights in the US. He was able to contain a lot of the stress his supporters felt and give hope of renewal. Moreover, he articulated a vision of what was possible and worked with people to develop strategies. But there are also considerable dangers” (Gerth and Mills 1991 in Jarbandhan 2011:30).

“Charisma involves dependency. It can mean giving up our responsibilities. Sadly, it is all too easy to allow others who seem to know what they are doing to deal with

difficult matters” (Gerth and Mills 1991 in Jarbandhan 2011:30). The distance between ‘us’ and ‘them’ widens when people are placed on a pedestal. “They seem so much more able or in control. Rather than facing up to situations and making their own solutions, people tend to remain followers when charismatic leaders form part of the picture” (Gerth and Mills 1991:55).

2.5.5.2 Visionary leadership

- Charlton (1993) (in Jarbandhan 2007:79) “is of the opinion that a visionary leader creates hope for the future and instills a sense of purpose in others. In essence, visionary leaders have the capability to seek future opportunities, and additionally turn those opportunities into deliverables”. “These types of leaders do things unconventionally and refocus the institution into profitable entities” (SALGA 2003-2004:16). Richardson (in SALGA 2003-2004:16) suggests “that visionary leaders have the following characteristics” (Richardson in SALGA 2003-2004:16). These leaders:

- “are comfortable in situations of relative unease;
- find solutions that are tangible and out of the ordinary;
- seek excellence;
- are action-oriented;
- have good communication and inter-personal skills;
- take calculated risks;
- are independent;
- are achievement oriented;
- seek to find futuristic solutions for everyday problems;
- are reward oriented; and
- are eternally optimistic” (Richardson in SALGA 2003-2004:16).

Minnaar and Bekker (2005:154) “are of the opinion that visionary leaders are needed in the 21st century in order to make a true contribution to institutions and to society at large”.

2.6 Relational theories

“Since the late 1970s, many ideas of leadership have focused on the relational aspects. That is, how leaders and followers interact and influence one another. Rather than being seen as something a leader does to a follower, leadership is viewed as a relational process that meaningfully engages all participants and enables each person to contribute to achieving the vision. Interpersonal relationships are seen as the most important facet of effective leadership” (Northouse 2001:130). Transformational and Transactional leadership theories are central to the relational theories.

2.6.1 Transformational leadership theories

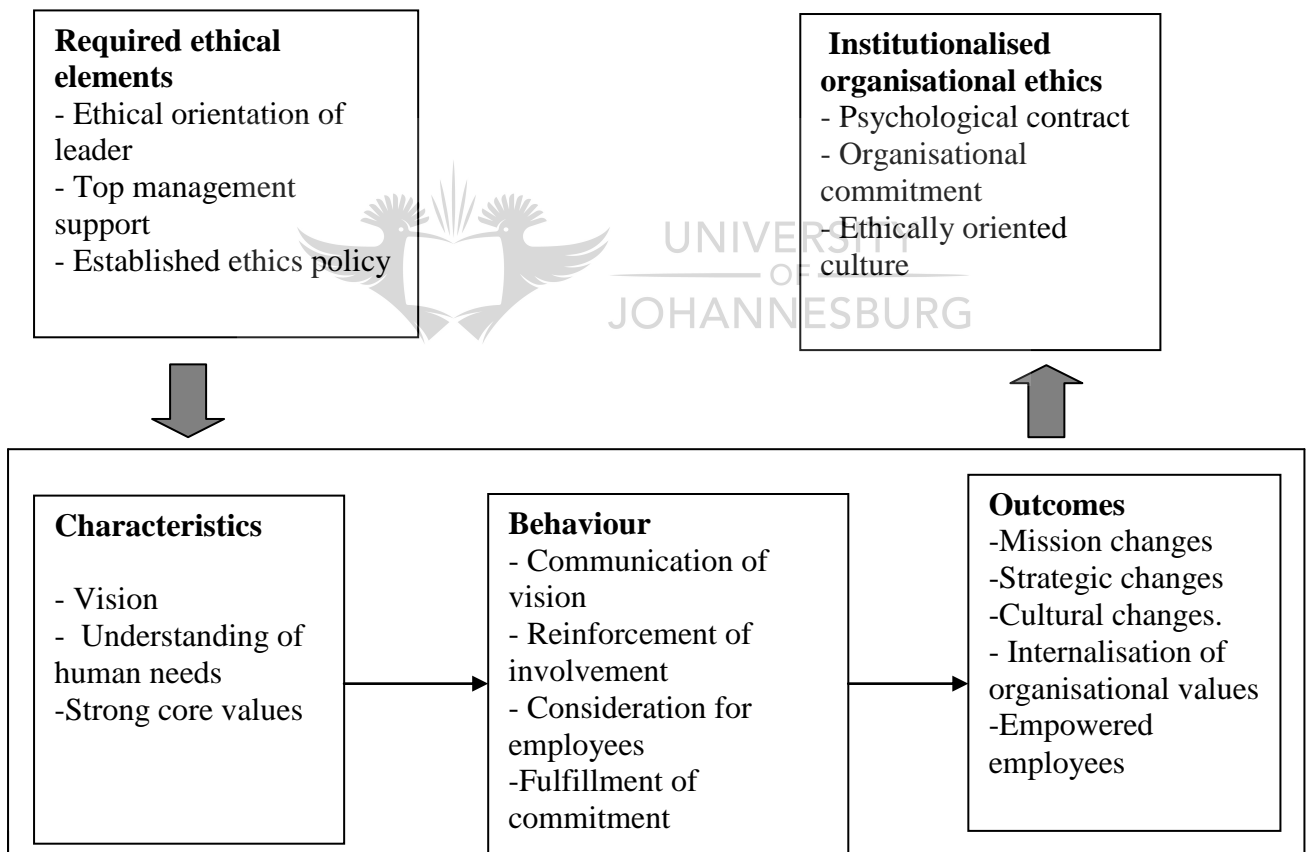
In the “1970s leadership theories moved away from merely looking solely at situational factors. The complexity of the global world, fluctuating foreign policy and international competitiveness forced scholars to investigate alternative models of leadership” (Van Maurik <http://www.infed.org/leadership>. Van Maurik (<http://www.infed.org/leadership> 2001:15) identifies transformational leadership theories as the “fourth generation of leadership theory”.

The term “transformational leadership was first coined by Downton in 1973 in *Rebel Leadership*” (Bass and Avolio 1994:2). “It is a relatively new approach to leadership, as it emerged as part of the post-industrial leadership paradigm” (Northouse 2001:132). “It subsequently emerged as an important approach to leadership as seen in the classic work of the political sociologist James MacGregor Burns in 1978 entitled *Leadership*” (Hughes, Ginnet and Curphy 1999: 290). “Since the early 1970s, the transformational leadership approach has become the most popular way of thinking” (Northouse 2001:132). Notably, “most leadership scholars have relied on this approach and they have spent a lot of time explaining leadership phenomena” (Northouse 2001:132).within this paradigm.

According to Yukl (1998:324) “transformational leadership as the process of building commitment to the organisation's objectives and empowering followers to accomplish these objectives”. According to Northouse (2001:132) “transformational

leadership is the process whereby an individual engages with others and creates a connection that raises the level of motivation and morality in both the leader and the follower”. “The two definitions approach this phenomenon from the perspective of process leadership against that of trait leadership” (Northouse 2001:140). “The trait perspective contends that certain individuals have innate qualities that make them leaders, such as height, intelligence, an outgoing personality and the ability to be articulate. The process perspective contends that leadership can be observed in leader behaviours and can thus be learned” (Northouse 2001:140). For the purposes of this thesis, “transformational leadership is viewed from the process perspective” (Jarbandhan 2012b:8). This process is encapsulated in Figure 2.2 below.

Figure 2.2: Transformational leadership process



Source: (Adapted from Carlson and Perrewé in Stone and Patterson 2005:9)

“Transformational leadership is therefore essentially about instilling a sense of purpose in the followers; encouraging emotional identification or commitment with

the organisation and its goals; empowering employees through growth and development; and giving them the opportunity to achieve these goals” (Coetsee 2002:33). According to Coetsee (2002:33), it involves creating a motivating climate that enhances “growth, development, commitment, goal achievement and enjoyment and which encourages behaviour based on a set of shared values and beliefs (Coetsee 2002:33).

“Transformational leadership has been widely researched, presumably more than any other type of leadership. Research on transformational leadership has been undertaken from different perspectives. This includes administering different forms of the Multifactor Leadership Questionnaire (MLQ) to leaders” (Bass 1998: 8) “and undertaking a series of qualitative studies of prominent leaders and chief executives in well-known organisations since this type of leadership was introduced in the 1970s” (Northouse 2001:143). Thus, “the transformational leadership approach is a broad-based perspective on leadership, which describes how leaders can initiate, develop and carry out significant changes in organisations” (Northouse 2001:144). “Transformational leaders empower their followers to attain organisational objectives and nurture them in change” (Yukl 1998:324). According to Northouse (2001;135) “They raise the consciousness in individuals and allow them to transcend their own self-interest for the sake of others”.

Transformational leaders “possess a ‘special’ ability to bring about significant change within institutions” (Daft 1999:427). “A transformational leader’s task is to ensure that not every decision resides with him/her, but with the organisation or institution as a whole. There is a sense of interdependency in decision-making between leader and subordinates. Transformational leaders strive to share information and experiences, empower others and share a common mission and vision” (SALGA 2003-2004:15). “Transformational leaders aim to influence the value and belief systems of their followers, and by so doing influence their behaviour in order to bring about change” (SALGA 2003-2004:15).

Evers et al. are of the view that (in LOGOLA/ICMS 2004:27) “transformational leadership is characterised by the following factors”. They are:

- “charismatic;
- inspiring and motivating;
- intellectually stimulating;
- willing to provide followers with individualised attention” (LOGOLA/ICMS 2004:27).

According to SALGA 2003-2004:15) “these leaders are:

- agents of change;
- courageous; and are
- optimistic” (SALGA 2003-2004:15).

Table 2.4: Key elements of Transformational and Transactional leadership

TRANSFORMATIONAL LEADER
<p>“Idealised influence (charisma): Provides vision and a sense of mission; instils pride; gains respect and trust.</p> <p>Inspiration: Communicates high expectations; uses symbols to focus efforts; expresses important purposes in simple ways.</p> <p>Intellectual stimulation: Promotes intelligence, rationality and careful problem-solving.</p> <p>Individualised consideration: Gives personal attention, treats each employee individually, coaches and advises”.</p>

TRANSACTIONAL LEADER

“Contingent reward:

Contracts exchange or rewards for effort; promises rewards for good performance; recognises accomplishments.

Management-by-exception (active):

Watches and searches for deviations from rules and standards; takes corrective action.

Management-by-exception (passive):

Intervenes only if standards are not met”.

Source: (Bass and Avolio in Jarbandhan 2012:38)

2.6.2 Transactional leadership theories

Transactional leadership can be seen as “a barter – an exchange of wants between the leader and the follower” (Burns 1979 in Shriberg et al. 2002:208). “In this exchange relationship, the leader and the follower both have something to offer each other” (Conger and Kanungo 1998:9). This “exchange could be economic, political or psychological in nature” (Burns 1978:19). This can include exchanging work for money, votes for votes, and loyalty for consideration (Hughes et al. 1999:290). Burns (1978) (in Bass 1985:11) stated “that the transactional political leader would motivate followers by actually exchanging rewards for services rendered” (Burns 1978 in Bass 1985:11). Here “the leader endeavours to satisfy followers' needs by building the kind of relationship where there is a mutual dependence on one another and the contributions of both parties are recognised and rewarded” (Shriberg et al. 2002: 208).

“Transactional leadership motivates followers by appealing to their self-interest” (Yukl 1998:325). “People will remain in a transactional relationship as long as it benefits both parties and the moral values surrounding the exchange process – those of honesty, fairness and fulfilling commitments – are being met” (Burns 1978:426). “While transactional leadership could be very effective, it does not lead to

organisational or societal change, but tends to perpetuate the status quo” (Hughes et al. 1999: 290).

2.6.3 Bass’s theory of transformational and transactional leadership

According to Conger and Kanungo 1998:10) “Bass's (1985) theory of transformational and transactional leadership is an extension of Burns's theory. As a result, Burns laid a solid foundation for other scholarly research – particularly those in the organisational leadership field, including Bass’s perspective of leadership theory” (Conger and Kanungo 1998:10). “Although his theory is not necessarily consistent with Burns's” (Northouse 2001:135), Bass builds on Burns’s earlier ideas (Conger and Kanungo 1998:10; Engelbrecht 2002:591; Yukl 1998:325).

“Bass also stresses the transformational/transactional continuum. In addition, he distinguishes between transformational and charismatic leadership, as proposed by House in 197” (in Northouse 2001:133). However, “the phenomenon of charismatic leadership is not given much attention in this research, as it is perceived to be of little significance to organisational change compared to transformational leadership. Nevertheless, reference is made to it in a rather rudimentary fashion, as it is synonymous with idealised influence, which is one of the transformational leadership behaviours” (Northouse 2001:133).

2.6.4 The transformational/transactional continuum

“Transformational leadership enhances followers’ motivation and performance more than transactional leadership” (Yukl 1998:325). “For Bass, transformational leadership could apply to situations where the outcomes are not necessarily positive, as well as where the transformational and transactional leadership should be viewed as a single continuum – rather than mutually independent continua” (Yammarino 1993 in Northouse 2001:135). “Transformational leadership does not necessarily detract from transactional leadership, but rather builds on it, thereby broadening the leader’s influence on effort and performance” (Bass and Avolio 1992:22). “Bass is of the opinion that “transformational and transactional leadership are distinct entities, but not mutually exclusive processes. Moreover, the same leader may use both

types of leadership at different times in different situations” (Yukl 1998:325), “or in different amounts and intensities” (Bass 1985: 26). “The leader can thus be both transformational and transactional” (Conger and Kanungo 1998:13).

The intention to develop individual followers plays a key role in transformational leadership. “Transactional leadership, however, departs from this intent in that the transactional leader does not individualise followers’ needs or even focus on their personal development” (Northouse 2001:140). “The transactional leader is unconcerned with developing followers to their full potential, but focuses on satisfying the requirements of the exchange relationship between them and their followers” (Bass and Avolio 1992:21-22). These leaders pursue “the cost-benefit economic exchange that would enable him/her to meet followers’ current material as well as emotional needs in return for the ‘contracted’ services that the followers render” (Bass 1985:14). Therefore, “transactional leadership focuses on exchanges or transactions based on leaders discussing their role requirements with followers, and then specifying the rewards the latter will receive if they achieve those requirements” (Bass and Avolio 1994 in Engelbrecht 2002:591). “Leaders are also very influential; as it is in followers’ best interests to do what the leader wants” (Kuhnert in Northouse 2001:140). Table 2.5 below differentiates between transactional and transformational leadership.

Table 2.5: Transactional versus Transformational leadership

Transactional Leadership	Transformational Leadership
Clarifies goals and objectives to obtain immediate results.	Establishes a “long-term vision”.
Creates “structures and processes for control”.	Creates a “climate of trust”.
Solves problems	Empowers “people to control themselves; manages problem-solving”.
Maintains and improves “the current situation”.	“Changes the current situation”.
Plans, organises and controls.	Coaches and develops people.
Guards and defends the culture.	Challenges and changes the culture
“Power comes from position and authority in the organization”.	“Power comes from influencing a network” of relationships.

Source: Adapted from (Jarbandhan 2012:34-53)



2.6.5 Other leadership theories

“Characteristics of each of the approaches or theories that have been discussed are still applicable to current leadership studies. New ideas are emerging continuously and are tested. The understanding of a dynamic world “is being translated into new concepts of what it means to be a leader. In this view, facilitating change is the key aspect of being a leader. Leading change has always been an essential part of leadership” (Bass and Avolio 1994 in Jarbandhan 2012:15). However, “many of the earliest theories paid little attention to changing behaviour. To adapt to a turbulent environment, leaders strive to create learning organisations where each person is intimately involved in identifying and solving problems, so that the organisation can grow and change to meet new challenges. Rather than relying on hierarchical control, leaders build entire organisations as communities of shared purpose and direction” (Bass and Avolio 1994 in Jarbandhan 2012:15).

2.6.5.1 The social learning approach to leadership

“This approach, which is linked to the recycling step in the transformational approach, requires that organisations continuously learn and experiment in order to improve capacity and performance. Leaders should therefore not be directive and authoritarian. They should rather be facilitators who allow space for experimentation and learning” (Bass and Avolio 1994 in Jarbandhan 2012:16).

2.6.5.2 Servant leadership

The “first major publication on this style of leadership was the book *Servant Leadership* by Robert Greenleaf in 1977. However, the book did not receive much attention in the public domain. The subject of servant leadership sprung to prominence in the writings of Burns, who added ethical value to the topic” (Jarbandhan 2007:56).

The “explosion of interest in servant leadership gained momentum in the 1990s” (Spears 1996:1). “The concept of servant leadership was popularised by Robert Greenleaf in his book entitled *Servant Leadership*” (Jarbandhan 2007:56). According to Daft (1999:374) “servant leadership as ‘leadership upside-down”. “The basic tenets of servant leadership, as espoused by Greenleaf (1977)” (in Jarbandhan 2007:57), include:

- “Putting service over self-interest – the desire to help others, without obtaining power and control over others.
- Listen first to affirm others – the skill of listening to others and not imposing his/her will on others.
- Inspire trust by being trustworthy, by being totally trustworthy and focusing on the others’ well-being.
- Nourish others and help them become whole; the willingness to share in others’ pain and suffering by showing humanity” (Greenleaf in Jarbandhan 2007:57).

Bass (in Stone and Patterson Internet source 2005:11) “indicates that servant leadership is close to the transformational components of inspiration and individualised consideration.” However, the servant leader aims to serve”. Spears (1996),”stipulates “that servant leadership is a long-term approach to life and work. It is a way of being and has long-term potential to transform society” (Spears 1996 in Stone and Patterson Internet source 2005:11).

2.6.5.3 Stewardship

The notion of “stewardship is simple; yet it is difficult to implement. The concept ‘stewardship’ has gained currency in a wide range of governance debates over the roles and responsibilities of industry, government and citizens in various economic and partnership governance processes. On the one hand, the term is simply used to signify choosing service over self-interest” (Block 1996:6). It represents “a leadership philosophy that shows a willingness to be accountable for results without using control as a means of achieving them. Broadly, the term is used to denote a leadership philosophy towards the good governance process. Stewardship forces an institution to accept accountability for its own outcome” (Block 1996:6). It is evident that “stewardship leaders equip subordinates with the power to influence institutional goals; systems and structures; and to become leaders themselves” (Daft 1999:373).

Block (1996:7) also “suggests the stewardship philosophy as an alternative to leadership, which expects people to be accountable for the outcomes of the institution that they serve, without acting to define other people’s purpose or even controlling them. It can be described as a way of giving order to the dispersion of power”.

Daft (1999:374) stated that “the following four principles guide the concept of stewardship”:

- **Reorient toward a partnership assumption**

“Leaders and subordinates form a transparent partnership with one another. Leaders and followers are jointly responsible for defining vision and purpose and are jointly accountable for the outcomes” (Daft 1999:374) of the institution. “For example,

service delivery has to be 'customer-focused'. There has to be a commitment to quality, as perceived by consumers making use of the service" (Daft 1999:374).

- **Localise decision-making and power to those closest to the work and the customer**

"Decision-making and power should reside at the point of service delivery. Here, everyone is seen to be doing the institution's core work. Nobody gets paid to simply plan and manage – the focus is on doing" (Daft 1999:374).

- **Recognise and reward the value of labour**

"When essential workers make meaningful contributions, they should be rewarded for their efforts – all people earn their reward by adding value" (Daft 1999:374).

- **Expect core work teams to build the organisation/institution**

"The staff in a division, for example, sets the goals, maintain control, create a nurturing environment, and respond to change in that environment as well as in the clientele they serve" (Daft 1999:374).

Servant leadership and stewardship has forced public sector leaders to re-look the way they lead. Servant leadership forces leaders to put service above self-interest, and stewardship begs of leaders to be deeply accountable of the power entrusted to them. Stewardship helps to garner leaders with role-model behaviour and to create leaders who do not lose sight of their moral compass" (Daft 1999:375).

These "leadership theories are by no means exhaustive. However, they provide an explanation of the development and the construct of a leadership philosophy" (Jarbandhan 2007:65).

2.7 Leadership styles

A literature review on leadership theories indicates that leadership may involve a variety of styles that a leader could adopt in order to influence followers in a particular situation. "In the continuous quest to find the one best leadership style in

all situations, researchers attempted to identify the differences in the behaviour of effective versus ineffective leaders. Although the behavioural leadership theory made major contributions to leadership research, it never achieved its goal of finding a single best style. Although the behavioural theorists focus on behaviour, it is important to note that leaders' behaviour is based on their traits and skills" (Daft 1999 in Jarbandhan 2012).

2.7.1 What is a 'style' of leadership?

As noted before, the "trait approach refers to what a leader is. Another approach to understanding leadership success concentrates on what the leader does – his/her style" (Daft 1999 in Jarbandhan 2012).

"Leadership style is the combination of traits, skills, and behavior that leaders use when they interact with followers" (Lussier and Achua 2007:65). "Although a leadership style is based on traits and skills, behavior forms an important component. It is safe to say that a relatively consistent pattern of behaviour characterises a leader. A precursor to the behaviour approach recognised autocratic and democratic leadership styles" (Daft 1999 in Jarbandhan 2012).

One can broadly classify the various styles of leaders into task orientation and employee (follower) orientation. One style cannot be considered better than the other. "Leadership style is how you behave when you are trying to influence someone else's performance. Style is a combination of directive and supportive" (Daft 1999 in Jarbandhan 2012). behaviour. This implies:

- "Directive behaviour – Clearly telling people what to do; how to do it; where to do it; and when to do it; and then closely supervising their performance.
- Supportive behaviour – Listening to people; providing support and encouragement for their efforts; and then facilitating their involvement in problem-solving and decision making" (Daft 1999 in Jarbandhan 2012).

The following section will focus on the various leadership styles.

2.7.2 Autocratic leadership style versus a democratic leadership style

Daft (1999:69) states that “an autocratic leader is one who tends to centralise authority and derive power from position, control of rewards, and coercion, while a democratic leader, delegates authority to others, encourages participation, relies on subordinates’ knowledge for completion of tasks, and depends on subordinate respect for influence”. “This leadership style focuses on how leaders use their authority” (Jarbandhan 2007:67). “Kurt Lewin and his team of researchers from the Iowa State University in the US were the first to conduct this type of study” (Daft 1999:69). “The research included children who chose their own adult leader” (Jarbandhan 2007:67). The leader “was asked to act either in an autocratic or democratic style. When analysed, the results proved interesting. The group assigned to the autocratic leaders performed highly in the presence of the leader, but they were unhappy with the leader’s ever-present supervision. Feelings of hostility were often present. On the contrary, the group that was assigned the democratic leader performed just as well as the group led by the autocratic leader. However, feelings of positivity replaced feelings of hostility. Interestingly enough, even when the democratic leader was absent, the group performed all given tasks. Furthermore, the democratic-led group also encouraged participation and majority-rule decision-making” (Jarbandhan 2007:68).

Daft stated (1999 in Jarbandhan 2007:68) stated that “this may be the reason why empowerment of employees is still a current leadership practice”. Wehrich and Koontz (1993:494) use the “term ‘participative leader’ for the above category of leadership, where leaders encourage subordinates to participate in the decision-making process”. Wehrich and Koontz (1993:494) stated that “the ‘free-rein’ leadership style, where a leader uses his/her power in a limited fashion and allows employees to exercise a high degree of autonomy to fulfill their obligations”.

A further literature survey “on leadership behavioural styles focuses on the ‘task-centered’ and ‘employee-centered’ styles of leadership. A ‘task-centered’ leader is interested in completing tasks, with close supervision where the work must be done and results realized” (Jarbandhan 2012b:18). Daft (1999 in Jarbandhan 2012b:18), “refer to this leadership style as autocratic. An ‘employee-centered’ leader is

concerned with the employee's needs. The leader motivates the employees, so that a high degree of performance and organisational goals are realized".

2.7.3 *Laissez-faire* leadership style

This leadership style "refers to leaders who can be characterised as indecisive, uninvolved, withdrawn when followers need them, and reluctant to take a stand" (Bass and Avolio 1992:22). Furthermore, they do not monitor performance, nor do they respond to problems. Generally, they show passive indifference about the task and followers (Yukl 1998:326).

This style of leader generally gives the "group complete freedom, provides necessary materials, participates only to answer questions and avoids giving feedback. This style is usually appropriate to lead experts, such as expert researchers in their fields. Members have complete freedom with the minimum participation by the leader. There is little or no attempt to appraise or regulate the course of events" (Bass and Avolio 1992:22).

2.7.4 Transactional leadership style

Bass (1985) identified a number of behaviour characteristics of transactional leadership (see also section 2.6.2). "Originally the theory included two types of transactional behaviours – contingent reward and passive management by exception" (Bass and Avolio 1992:22). "Later revisions of the theory included two additional behavioural traits – active management by exception and laissez-faire leadership" (Yukl 1998:326).

"Contingent reward behaviour, as the name suggests, includes clarifying what is required to obtain rewards, as well as using incentives and contingent rewards to influence motivation" (Yukl 1998:326). "It is virtually an exchange process between leaders and followers where specific rewards are exchanged for followers' efforts. Thus the leader endeavours to secure agreement from followers on what should be

done, accompanied by appropriate payoff” (Northouse 2001:140) or avoiding “punishment” (Bass 1985:121).

“Active management-by-exception refers to the transactional leader's actions of monitoring “followers and taking corrective action to ensure that the work is carried out effectively” (Bass 1998:7). “The leader keeps a watchful eye on followers for mistakes or the violation of rules, and subsequently takes corrective action” (Northouse 2001:140).

“Passive management-by-exception is when a leader only intervenes if standards are not met or if something goes wrong” (Bass and Avolio 1992:22) “or if problems have arisen” (Northouse 2001:140). Hence, “leaders who intervene only when something goes wrong practise (either primarily or exclusively) management-by-exception, negative feedback, or contingent aversive reinforcement” (Yukl 1998: 326). “The leader uses contingent punishment and other corrective action in response to followers' obvious deviations from acceptable performance standards” (Bass 1998:6).



The 21st century is characterised by continuous change. As a result, leaders face the following expectations and demands:

- “To change organisations and the systems from within.
- To empower others and create organisational cultures that support this alteration in stance.
- To work within and through teams in de-layered and increasingly technological environments.
- To change people’s mindsets and to give them clarity of purpose and direction by “managing the meaning” of situations.
- To drive adventurous, visionary strategies” (Jarbandhan 2007:71).

Furthermore, according to “Jones (1996 in Jarbandhan 2007:72) because transactional leadership is built on reciprocity, the relationship between leader and follower develops from the exchange of some reward, such as performance ratings,

remuneration, recognition and praise”. Jones (1996) also explained “that such a relationship depends on hierarchy and the ability to work through modes of exchange and is thus called transactional style” (Jones 1996 in Jarbandhan 2007:72).

In his *One Minute Manager* series, Blanchard (in Van Maurik <http://www.infed.org/leadership> 2001:21) stated that “transactional leadership styles during transactions depend on three factors”, viz:

- “characteristics of the leader;
- characteristics of the follower; and
- the situation” (<http://www.infed.org/leadership> 2001:21).

Blanchard et al. (in Van Maurik <http://www.infed.org/leadership> 2001) “proposed four basic styles”. They are:

- “A directive approach – high direction, low support.
- A coaching approach – high direction, high support.
- A supportive approach – low direction, high support.
- A delegating approach – low direction, low support” (Blanchard et al. in Van Maurik <http://www.infed.org/leadership> 2001).

2.7.5 Transformational leadership style

Transformational leaders (see also section 2.6.1) “motivate individuals (groups) to perform optimally beyond expectations by inspiring them to focus on broader missions and to have confidence in their abilities to achieve the extraordinary missions that the leader articulates. Consequently, transformational leadership occurs when leaders broaden and elevate the interests of their subordinates (followers) and generate awareness and acceptance of the organisation’s purpose and mission” (Daft 1999 in Jarbandhan 2012:17). They achieve the above through, amongst other things, being charismatic, inspirational, meeting their individual subordinates’ emotional needs and stimulating them intellectually.

2.7.6 Employee-centered leadership style

Lussier and Achua (2007:68) added the “employee-centered leadership style to this list. The employee-centered leadership style has scales that measure two employee-oriented types of behavior – supportive leadership and interaction facilitation”. Employee-centered behaviour “refers to the extent to which leaders focus on meeting employees’ human needs, while developing relationships. The leader is sensitive to subordinates and communicates to develop trust, support, and respect while looking out for their welfare” (Lussier and Achua 2007:68).

2.7.7 Inspirational leadership style (charismatic)

Charisma “is a Greek word that means ‘gift” (LOGOLA/ICMS 2004:25). Charismatic leaders possess a “combination of charm and personal magnetism that gets other people to endorse the leader’s vision and promote it passionately” (LOGOLA/ICMS 2004 in Jarbandhan 2011). Terms such as inspirational, charismatic and visionary leadership are in fact synonyms (Stoffels 1999:67). The term charismatic leadership (see also section 2.5.5.1 and 2.5.5.2) has a magical sound; is associated with a particular person; and depends on exceptional gifts. Max Weber (in Eisenstadt 1968:209) also ascribes this type of leadership, besides the other two “which he distinguishes (depending respectively on inherited authority and democratic choice) to personal ability and a certain quality of an individual’s personality by virtue of which he is set apart from ordinary men and treated as endowed with superhuman or at least exceptional powers or qualities” (Max Weber in Eisenstadt 1968:209).

Robins (in LOGOLA/ICMS 2004:25) lists the following personal characteristics of charismatic leaders:

- “They possess a high level of confidence.
- They are very obedient and possess a high level of conviction.
- They have a strong sense of purpose and vision.
- They communicate this vision clearly so that followers can identify with it.
- They capitalise on their own strengths” (Robins in LOGOLA/ICMS 2004:25).

Locke (in Hendriks 1990:66), on the other hand, distinguishes the following characteristics. Inspirational leaders:

- have particular personal characteristics. They are driven, energetic, take initiative and have perseverance. Inspirational leaders also have the necessary “knowledge and skills”.
- are able to set goals, identify problems, analyse situations, solve difficulties and take decisions. Their approach is pre-eminently relational and they are good communicators. Inspirational leaders also have a vision.
- are able to design a perspective for the future. These leaders also demonstrate convincingly where the organisation or the social context of which they form part is headed. Leaders who inspire have a mission, a message.
- show (co-operative) leadership style, which also demands a competent leader. He/she must have intellectual and emotional intelligence. Such leaders also require a creative approach to conflict and problem-solving. People have to see that the leader is capable of visionary thought and action. Stimulating leadership embraces intention, competence and transparency (Hendriks 1990:66).

Charismatic leaders can play an important role in promoting community togetherness. This leadership style increases the level of motivation, and in turn results in followers who want to impress the leader.

2.8 Leadership traits and attributes

This section of the thesis will focus on the traits that are central to successful leadership. According to Daft (1999:65), “traits are the distinguishing personal characteristics of a leader, such as intelligence, values, self-confidence and appearance”. This approach to leadership arose from the ‘Great Man’ theory (see section 2.5.1). It was believed that individuals who showed successful leadership “traits could be recruited, selected and placed into leadership positions. The problem

with the traits approach was that there were almost as many traits identified than studies undertaken to investigate leadership” (Daft in Jarbandhan 2012:19). This made it almost impossible to get the ideal leader. For example, various authors identified various attributes or traits that successful leaders should have. Below is a list of these attributes.

Table 2.6: Leadership traits/attributes

<p>A willingness to be held accountable.</p> <p>Achievement-oriented.</p> <p>Adaptable, open and flexible.</p> <p>Assertive and initiating.</p> <p>Commitment to the common good.</p> <p>Confident and self-accepting.</p> <p>Courageous, resolute and persistent.</p> <p>Creative, original and visionary.</p> <p>Decision-making abilities.</p> <p>Emotionally balanced.</p> <p>Energetic with stamina.</p> <p>Enthusiastic and optimistic</p> <p>Insightful.</p> <p>Problem-solving abilities.</p> <p>Tolerant of ambiguity and complexity.</p> <p>Tolerant of frustration</p> <p>Trustworthy, dependable and reliable.</p> <p>Team-building.</p> <p>Venturesome and a risk-taker.</p> <p>Willing to accept responsibility.</p>	<p>Appropriate use of leadership styles.</p> <p>Coaching.</p> <p>Communication (listening, oral, written).</p> <p>Conflict management.</p> <p>Delegating.</p> <p>High ethical standards.</p> <p>Ideological beliefs that is appropriate to the group.</p> <p>Information gathering and managing abilities.</p> <p>Intelligent with practical judgment.</p> <p>Motivating others.</p> <p>Networking.</p> <p>Organising.</p> <p>Personal integrity.</p> <p>Planning.</p> <p>Sensitivity and respect.</p> <p>Stress management.</p> <p>Time management and personal organization</p>
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Source: (Adapted from Daft 1999 in Jarbandhan 2007:78)

The traits approach was criticised because many of the “results were inconclusive. Some leaders could have possessed certain traits. However, the fact that they were

absent did not necessarily mean that the person was a poor leader” (Daft 1999 in Jarbandhan 2012: 19).

2.9 The relationship between leadership and management

The leadership and management terms “are seen as synergistically connected by the relationship between managing the people, systems, processes effectively and efficiently” (Department of Public Service Administration 2005:8). Lemay (2009:2) states “that leadership and management are reciprocal concepts, where one needs the other to function”. Svara 1998; Lynn 2001 (in Lemay 2009); Nollenberger (in Morse et al. 2007:271) “see the concepts as being synonymous; for the purpose of this thesis the concepts of leadership and management will be used as synonyms” (Jarbandhan 2007:79). The Leadership Development Strategic Management Framework (LDSMF) (Department of Public Service Administration 2005) “further adds that effective managers are generally influential leaders” (Jarbandhan 2007:79). This is indicated in the table below.

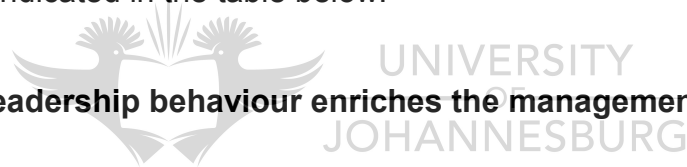


Table 2.7: How leadership behaviour enriches the management role

“Management role involves	“Leadership behaviour adds value by”
“Developing and communicating vision and strategy”.	“Communicating the vision in ways that generate motivation, enthusiasm and commitment. Linking the contribution of individuals to the vision or bigger picture”.
“Shaping an organisation’s culture to give effect to the vision”.	“Modelling and finding other creative ways to champion all aspects of the desired culture and value system”.
“Building a high-performance workforce and recognising the aims, aspirations and employment requirements of all staff”.	Treating staff ethically, promoting ethical standards “throughout the organization”.

Enabling diversity among the workforce and stakeholders.	“Actively promoting diversity”.
“Applying sound general management practices to ensure that the organisation works effectively and efficiently”.	“Using systems, processes and practices in ways that reflect the style and intent of the desired values and culture”.
“Managing multiple working relationships with clients and stakeholders to enhance understanding and co-operation”.	“Connecting with people in ways that builds a network of constructive external relationships”.
Gathering the “functional and technical knowledge required to achieve set goals”.	“Encouraging and empowering others to lead in technical areas”.

Source: (Department of Public Service and Administration 2005 in Jarbandhan 2012b:19)



2.9.1 An overview of the generic management functions

Public institutions “exist to achieve certain objectives aimed primarily at providing services and/or products to improve the general welfare of the community. However, they do not achieve these objectives of their own accord. A trained and experienced management corps is needed to convert (operationalise) objectives into activities” (Daft 1999 in Jarbandhan 2012:20). “Management's task is therefore to combine, allocate, co-ordinate and use resources or inputs productively, so that the objectives are achieved as economically as possible. Public managers do this by carrying out certain functions” (Bryman 2001 in Jarbandhan 2012:20).

A public manager is “exposed to a unique managerial environment in virtually all aspects of life” (Bryman 2001 in Jarbandhan 2012:20). This will inevitably determine his/her role and functions.

A manager's function within a public environment can be divided into various categories, namely:

- **Administrative** – This includes the enabling functions to provide the means that are essential for rendering public services and products in order to promote general welfare. The manager initiates these functions and they should carry the approval of the political representatives.
- **Managerial** – This always involves people and includes functions that the manager must undertake to ensure that public resources are utilised efficiently and effectively.
- **Operational** – Also referred to as functional activities, this relates to specific services, such as building houses, which operational workers must undertake under the manager's supervision.
- **Governing** – Political representatives determine the community's needs and desires with the assistance of, among others, the manager.
- **Support** – Also referred to as auxiliary functions, these initiatives are undertaken to help ensure that the above-mentioned categories of functions are implemented easier and more effectively (Auriacombe, Jarbandhan and Van der Waldt 2012:74)

A number of authors have proposed various categories of managers' primary activities. An analysis of contemporary literature indicates that managers' functions can be classified into the following five basic management 'actions' or functions. These functions are what managers do to realise institutional and departmental objectives. "The most important elements of management planning are "the objectives and the resources needed to achieve the institution's goals, organising the resources, taking the lead to facilitate and start the process and keeping it going; and controlling the resources to establish whether the objectives were achieved as effectively and productively as possible" (Bryman 2001 in Jarbandhan 2012:20). The various management functions will now be discussed.

2.9.1.1 Planning

Changes in the environment cause a “constant degree of instability. Public institutions should be proactive towards these changes by minimising threats and using opportunities optimally. Planning is a basic management function that helps institutions to keep up with change. Furthermore, management can use planning to determine what they should achieve in advance. Plans are usually prepared to give guidelines to managers about what they are going to do in their departments” (in Van der Waldt, Auriacombe and Jarbandhan 2012:79).

Planning is a process that focuses on formulating future objectives for the institution, as well as the means and methods to reach these identified objectives. Simply put, planning is a predetermined decision on what to do; how to do it; when to do it; and who is responsible for implementing the plan. Therefore, “planning bridges the gap from where we are to where we want to go. This management instrument allows proactive public managers to identify potential problems and opportunities within and outside the institution timeously, and consequently formulate and operationalise related actions” (Burns 1996 in Van der Waldt et al. 2012:80).

- **Planning hierarchy**

The “higher the position in the management hierarchy, the more significant the extent of planning and the greater its impact. Planning takes place at all levels of the hierarchy and eventually the responsibility rests with top management (departmental heads, the chief executive etc.). Top management’s main responsibility is to draw up departmental **strategic plans**. Planning enables top management to see the institution as a whole system where the objectives of the different functions are reconcilable with one another, as well as with the main goals and objectives of the entire institution” (Byars, Rue and Zahara 1996 in Jarbandhan 2012:26).

“Middle management focuses on the **operational plans** to achieve the strategic objectives. It expands on the sketch plans for the functional area that top management has delegated to it” (Byars, Rue and Zahara 1996 in Jarbandhan 2012:26). They usually make medium-term plans (3, 6 or 12 months). The amount

of money is less and the number of individuals involved is fewer than in the case of top management. Moreover, middle management works with fewer uncertainties and possible changes.

Middle management, in turn, gives guidelines to line management for its detailed plans. These guidelines are the tactics that are to be implemented to achieve functional objectives. This is why middle management planning is also called tactical planning. “Line managers and supervisors are responsible for the **day-to-day operational planning** of their departments or divisions” (Burns 1978 in Van der Waldt et al. 2012:102). Notably, according to Burns (1978 in Van der Waldt et al. 2012:102) “there are important differences in planning between the various levels of management”. These include:

- “the amount of planning.
- the time spent on planning.
- the importance (impact) and complexity of planning.
- the periods (scope) planned for” (Burns 1978 in Van der Waldt et al. 2012:102).

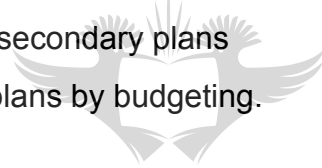
According to Burns (Burns 1978 in Van der Waldt et al. 2012:102) “to evaluate the thoroughness of a plan, the following essential elements should be easily identifiable”:

- “who is responsible for the implementation of activities?
- what activities should be performed?
- how should they be performed in order to ensure that the plan succeeds?
- when should the scheduled activities take place?
- where should the various activities take place?
- why must these activities take place?
- how do they fit into the broader organisational plan”? (Burns 1978 in Van der Waldt et al. 2012:108).

Basic steps in the planning process

The planning process that is followed may differ considerably from person to person and from institution to institution. Yet, “it is still important that managers be familiar with the basic steps in the planning process since it enables them to create order in achieving objectives” (Burns 1978 in Van der Waldt 2012:109) in a systematic, logical way. A number of steps include the following:

- Be aware of the opportunity.
- Set a goal or a number of goals.
- Define the current situation.
- Identify aids and obstacles to planning.
- Determine alternative action plans.
- Evaluate alternative action plans.
- Choose the best action plan.
- Formulate secondary plans
- Calculate plans by budgeting.



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Planning: challenges and remedies

Public managers within a local authority face certain challenges when they start planning for their departments. These typically include the following:

- Internal and external circumstances that influence the initial drawing-up and implementation of a plan (such as non-participation of key role-players; a lack of training and skills; and political versus practical considerations).
- Human factors can cause plans to fail (such as conflict among top and middle managers; and tension between the department and the financial section).
- Ineffective organisational systems (such as lack of information; outdated procedures; impractical policies; inflexible structures).
- Management's attitude towards planning (such as “...just to please my boss”; “it looks nice on my office wall...”).

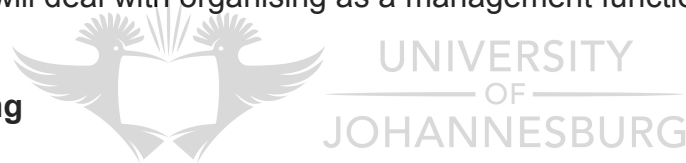
The following **remedies** are necessary to overcome these challenges or stumbling blocks, and to ensure effective planning:

- “Sufficient, correct, reliable and relevant information.
- Planning must be started long before implementation.
- Planning must always begin at top management level.
- Planning must be within the framework of the main objectives and policy of the local authority” (Burns 1978 in Van der Waldt et al. 2012:110).

Planning is done as a management function in order to give managers guidelines on what they will do in their departments in future. From the discussion above, it seems that local authorities may only plan ahead for twelve months. This is mainly due to the rapid changes in the socio-political environment.

The next section will deal with organising as a management function.

2.9.1.2 Organising



To execute a comprehensive task involving a large number of people, it is essential to have clear indications of who must do what and if something goes wrong to whom it must be reported. This is applied to various situations, from an office situation where various administrative functions are performed, to a civil engineering project involving various departments.

The organisational structure should be clear to all employees. It should indicate what their responsibilities are; what authority they have; and who they report to. Without this basic form of organisation, it will be impossible for a public institution to achieve its objectives.

The “organising function deals with all those activities that result in the formal assignment of tasks, authority, and coordinating efforts. The supervisor staffs the work unit; trains employees; secures resources; and empowers the work group to

become a productive team. The steps in the organising process include to review plans; to list all tasks to be accomplished; to divide tasks into groups one person can; to assign work to individuals and to delegate authority to establish relationships between jobs and job clusters” (Flynn 1997 in Van der Waldt et al. 2012:119).

“The nature and scope of the work needed to accomplish the organisation's objectives are needed to determine work classification and work unit design. Division of labour, or work specialisation, is the degree to which tasks in an organisation are divided into separate jobs. Work process requirements and employee skill levels determine the degree of specialisation. Placing capable people in each job is directly related to improved productivity. In order to maximise productivity, supervisors match employee skill levels with task requirements” (Flynn 1997 in Van der Waldt et al. 2012:119).

Supervisors “should perform workflow analysis to examine how work creates or adds value to the ongoing processes in an organisation. Workflow analysis looks at how work moves from the customer (or the demand source) through the organisation, to the point at which the work leaves the organisation as a product or service to meet customer demand. Thus, workflow analysis can be used to tighten the connection between employees' work and customers' needs” (Flynn 1997 in Van der Waldt et al. 2012:119).

Also, according to Flynn (in Van der Waldt et al. 2012:119) “it can help to make major performance breakthroughs throughout business process reengineering (BPR). This entails a fundamental rethinking and radical redesign of business processes to achieve dramatic improvements in costs, quality, service and speed. BPR uses workflow analysis to identify jobs that can be eliminated or recombined to improve company performance”.

Organisational structure helps achieve organisational objectives. “Such structures are not static, but dynamic. They reorganise in response to changing conditions that occur in the environment, new technology, or organisational growth. Organisational structures are dependent upon the employees whose activities they guide.

Supervisors rely on power and authority to ensure that employees get things done” (Evan 1993 in Auriacombe et al. 2012:78).

The organising process within a local authority refers to the division of functions and their allocation to employees. This “includes arranging and grouping jobs; allocating resources; and assigning work within a department, so that activities can be accomplished as planned” (Evan 1993 in Auriacombe et al. 2012:77).

Various methods can be applied in this process. The following aspects can be used as a basis for organising:

- Functions.
- Services and/or products that are rendered.
- Geographical considerations (decentralisation, devolution etc.).
- Clients (community) that must be served.
- Processes to follow.
- Span of control, job specialisation and coordinating activities.
- Formal legal requirements (Evan 1993 in Auriacombe et al. 2012:74).

Typical organisational structures include line or functional structures, as well as matrix or project management structures.

2.9.1.3 Leading

Leading is viewed as a primary function of management. Some people “are of the opinion that leadership is an innate trait, while others believe that managers can learn the most essential leadership qualities during the course of their careers” (Cummings and Worley 1993:149). It is important to bear in mind that public institutions consist of people – not organograms, or carefully worked out plans. Although this thesis is based primarily on leadership (as the unit of analysis) leading will also be discussed as part of the management functions because it is as this narrow managerial context of leading that prompted the researcher to investigate the

phenomenon in terms of all its variables related to the leadership/management continuum in order to determine the competencies for change leadership.

Leading involves *inter alia* “communicating with and motivating subordinate employees to perform tasks that are necessary to achieve the organisation’s objectives” (Cummings and Worley 1993:149). Leading therefore is the ability to influence others to carry out tasks. Some managers are regarded as authoritarian, while others seem more open to suggestions from their personnel. Whatever methods managers may use, they “create the work environment and determine whether the personnel are happy, productive and motivated” (Henry 1980 in Auriacombe et al. 2012:78). The success or failure of a government institution’s functions start with the chief executive officer’s vision and leadership skills. This trickles down to heads of departments, middle managers and junior managers and supervisors (Auriacombe et al. 2012:79). It is therefore important that managers strive to motivate their followers.

There are many models for leaders on how to motivate followers, including the traditional approach, the human relations model and McGregor’s human resources model (Theory X and Y). Though it is not a purpose of this thesis to discuss the above motivational approaches of models, it is worth mentioning that Stoner and Freeman (in Auriacombe et al. 2012:80) suggest that the various models be divided into three groups:

- Individual characteristics (interest, attitudes, needs etc.).
- Work characteristics (degree of responsibility, variety of task, aspects of satisfaction, etc.).
- Work situation characteristics (support offered by superiors, policy, administration, salary, security etc.).

In addition to the above approach to motivating personnel, there are also approaches that establish comprehensive, integrated models, namely the expectation approach, the reasonableness and unreasonableness approach and the objectivity theory.

Public managers should not underestimate the importance of motivating employees. They must obtain a thorough understanding of staff members, as well as the various motivation techniques that can be used. Institutions such as local authorities need strong leadership in order to survive and grow. Middle managers must therefore do everything in their power to train those employees who reveal potential in this area. The shortage of effective public leaders (managers) in South Africa is well known and must be addressed urgently in order to improve the country's economy.

2.9.1.4 Controlling

All public sector activities must be directed at realising policy objectives. This necessitates proper and stringent control over such activities. The aim of control in the public sector is to enable community members to determine what action has been taken to promote and protect their interests. Control in the public sector is therefore aimed at ensuring public accountability for utilising financial resources. The voting public should be able to establish whether the purposes for which the available resources have been used, have contributed to government objectives. Public managers play an important role in control.

When the planning is complete, the employees know what to do and how to do it. Moreover, they have received the necessary support and motivation. Importantly, a mechanism is needed that enables management to establish whether the work is progressing according to requirements. This mechanism is known as control (Henry 1980 in Auriacombe et al. 2012:85).

“Control can be defined as the process that ensures that the actual activities that are performed align with the planned activities. It is an ongoing process that follows the planning and organising stages. Actual results obtained are compared with planned results and corrective steps are taken where necessary” (Henry 1980 in Auriacombe et al. 2012:85).

Below are some of the reasons for instituting effective control systems:

- They result in standardised actions to increase efficiency.
- They evaluate the effectiveness of top management regarding planning.
- They help prevent malpractices and waste.
- They encourage delegation since subordinates to whom work has been delegated can be monitored more effectively.
- They lead to performance appraisal of all employees.

Control should not be regarded as a negative measure, but rather as an unbroken monitoring process for comparing the planned results with what has actually been achieved. If the standards are too high, they can be a counter-incentive to working harder and performance can decline. Personnel who are affected by the standards must accept them and regard them as attainable.

It is also useful to know when the institution's goals/objectives are achieved. Early warning signs or result forecasters are necessary to establish what events indicate improvements or a deteriorated situation. When the work starts, the actual results must be monitored. These can be obtained from job cards, clerks' work reports or from income statements. Measures should have a logical relation to the organisation's objectives and focus on the critical points in order to contribute to achieving the institution's objectives. People's whose work is evaluated should be given regular feedback on the results of their efforts. Once the investigation mentioned has taken place, steps can be taken to correct any deviation from the original plan. During this final step, one can ask what went wrong and how it can be corrected. Corrective action may also mean that the original plan must be adjusted. This is done if it is clear that the original plan or standards are undoubtedly incorrect (Auriacombe et al. 2012:90).

The control process supplements the planning process. Planned (projected or budgeted) results are monitored and action is taken to take corrective action when the actual results deviate from the planned results. The employees whose work is

controlled should help to develop monitoring systems. This will help reduce resistance and encourage involvement in the all-inclusive objectives.

2.9.1.5 Coordinating

As public institutions grow and expand their services, so do their organisational and departmental structures. Public managers of every directorate, unit or section must make a determined effort to let their directorates function as an integral and interdependent segment of the institution as a whole. For this reason, coordination is indispensable. In order to attain joint objectives, every division or department's plans, objectives and activities must tie in with those of the other departments (Auriacombe et al. 2012:92).

Coordination can be defined as “a process which ensures that the activities of public managers and departments across the spectrum of the institution do not overlap and that all departments work together to achieve the objectives that have been set by legislation” (Handy 1993 in Van der Walddt et al. 2012:135).

At middle “management level, coordination refers to the integration of the departments or divisions’ activities, so that the objectives can be achieved efficiently and effectively” (Handy 1993 in Van der Walddt et al. 2012:135). Where managers do not exercise control or authority over other divisions, interdepartmental cooperation and communication methods are used to coordinate the activities of the various divisions within the local authority.

Governmental institutions are complex and “include individuals” with divergent “preferences and dislikes” (Handy 1993 in Van der Walddt et al. 2012:135). “The following are typical factors that may cause coordination problems in such institutions” (Handy 1993 in Van der Walddt et al. 2012:135):

- “Low employee morale with poor motivation.
- A lack of cooperation.
- Poor relations between individuals and departments.

- Exaggerated importance or urgency of one task. This could mean that individuals or departments focus on completing that task and consequently regard other tasks or activities as less important (prioritisation).
- Poor planning.
- Ineffective communication” (Handy 1993 in Van der Waldt et al. 2012:141).

When coordinating structures are established, members are more prone to working together to ensure that the institution’s overall objectives are met. All members of management are responsible for establishing coordinating structures and demand the following:

- Mutual cooperation between individuals and departments.
- An awareness in all departments of their share in the joint task.
- All departments should adjust their work schedules to the current circumstances (Auriacombe et al. 2012:101).

Middle management must be fully aware of coordination and communication techniques. Notably, they must be able to use these to achieve the institution’s objectives as part of managers’ responsibilities.

Public sector managers have an important role to play in promoting organisational goals and administrative actions. Public sector managers should act as leaders in order to promote planning, organising, leading, control and co-ordination in their departments.

2.10 Conclusion

In order to support the above stated (see section 2.1) research objective the main leadership denominators were examined. These denominators are indicators of the complexity of finding a conclusive definition of the leadership phenomenon. In addition, a survey of theorists and their resultant definitions of leadership underpinned the complexity in terms of arriving at a universal definition of the leadership phenomenon.

The chapter further proceeded to analyse leadership from a conceptual perspective. Leadership as a phenomenon “has been the subject of literally thousands of books, papers and other publications” (Jarbandhan 2007:67). Notably, “leadership thinking has been around since Biblical times, but started to be formalised from around the 1940s” (Jarbandhan 2007:67). Some of the literature on the subject is bold enough to pronounce that leadership has its roots from the beginning of civilization (Stone and Patterson Internet source 2005).

Furthermore, “leadership as a construct has been studied diligently over the past decades. This is evident by the body of evidence that is available on the subject. The topic continues to receive overwhelming attention in the modern era, as academics and commentators refocus and reshape their understanding of leadership in an evolving, yet globally challenging world” (Jarbandhan 2007:67).

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

From the definitions surveyed, it became evident that the concept of leadership was the most observed yet the least understood phenomenon. It was argued “that any definition of leadership should include results; not just a method or process of human interaction” (Daft 1999:39). It was also highlighted that leadership involved power relationships between a leader and his/her followers. In addition, the literature surveyed also indicated that leaders ought to bring about effective change. Based on the wide view of the concept of leadership, the researcher opted to view leadership “as the ability to lead and to give guidance and direction. In addition, leadership within an administrative context emphasises the administrator’s role, a role that requires efficiency, effectiveness and legality” (Jarbandhan 2007:67) in order to bring about lasting organisational change.

The chapter further proceeded to analyse the evolving theories of leadership. The Great Man theory viewed the leader as a hero. This theory has been largely discredited because it was male focused and ignored the fact that women also can

be great leaders. Researchers became interested in finding out what traits great individuals possess. This resulted in the Traits theories of leadership. Traits included appearance, values and self-confidence as examples. It was argued that the more traits a person possessed, the better the chances were that he/she would succeed as a leader. The Traits theories had their fair share of critics who indicated “that the approach did not quantify how many traits a successful leader should have” (Jarbandhan 2007:67). Consequently, Behaviourist theories emerged. These theories focused on how a person behaved as a leader. The theorists who were popular in the Behaviourist school included McGregor (Theory X and Y); Maslow (Hierarchy of Needs), Herzberg (Hygiene Factors), Likert (Four systems of management) and Blake and Mouton (Managerial Grid). Although the ‘Behavioural School of Leadership’ advanced the leadership debate, it was criticised for lacking empirical validity and making the assumption that behaviour was the sole denominator for determining whether someone would be a good leader. Thus, if the leader displayed the ‘correct’ behavior, he/she would be effective.

Due to the limitations of the Behavioural theories, Contingency or Situational theories came into focus. These theories (Fiedler’s, Hersey and Blanchard’s) posited that leadership depended on how a person reacted in a given situation. Fiedler’s Contingency theory differentiated between task-oriented and relational leaders. Furthermore, Hersey and Blanchard’s Situational theory was built around followers. For example, if followers showed “a low level of maturity (readiness), the leader had to be specific in his/her directives” (Jarbandhan 2007:67).

The chapter went on to explore the Influence theories, which examined the influence process between leaders and followers. Central to Influence theories, is charismatic and visionary leaders. Charismatic leaders “seek to convince followers of their special gifts and their ability to solve a crisis situation or problem” (Jarbandhan 2007:67). Charismatic leaders are held in awe by followers. Critics of charismatic leaders indicate that this type of leadership fosters a sense of dependency, where the followers become too dependent on the leader. Visionary leaders, on the other hand, create hope for the future and instill a sense of purpose in followers. Furthermore, they seek future opportunities and turn them into tangible deliverables.

The literature review highlights that visionary leaders are needed to solve 21st century dilemmas.

The literature surveyed also highlighted the relational aspects between leaders and followers. Relational theories, of which Transformational and Transactional theories are central, highlight how leaders and followers interact and influence one another. Transformational leaders instill a sense of purpose in followers. They encourage followers to identify with the institutional goals, and empower followers through growth and development. Transactional leadership theory is viewed as an exchange between the leader and the follower, where the leader and follower both have something to offer to each other for an exchange relationship. The exchange could for example be work for money, loyalty or consideration. The chapter also explored the emerging leadership theories such as the social learning approach to leadership, servant leadership and stewardship.

There are many different views about leaders (cf. Abzug and Phelps 1998; Gaughan 2001; Dering 1998; Trofino 2000; Bergman 1999 and Terry and Levin 1998; Bass 2008; and Northouse 2010), and it becomes clear that there are “multiple and diverse views”, and that these views on leadership often oppose and contradict one another.

The chapter also examined the different leadership styles. A “style is the combination of traits, skills, and behaviours that leaders use to interact with followers” (Burns 1978:69). Among the styles are autocratic, democratic, *laissez-faire*, transactional, transformational and inspirational leadership styles. Leadership styles help to understand the leader’s orientation to the follower. Specific traits and attributes were listed and the relationship between leadership and management were also discussed. The literature points to the fact that leadership behaviour enriches the management role. Finally, a brief overview of the generic management functions and categories were provided with the focus on planning, leading, organising, control and co-ordination.

CHAPTER THREE

ORGANISATIONAL CHANGE VARIABLES INFLUENCING TRANSFORMATIONAL LEADERSHIP

3.1 Introduction

The key focus of this chapter is to address the issues that answer the following research question: **What is the nature and essence of the variables influencing organisational change and which theories and concepts are appropriate and adequate in order to address the problem of change leadership role competencies?**

Public institutions operate within an ever-changing landscape. Leaders need to be aware of change so that they can manage it. Change not only emanates from the external environment, but also from the internal environment. Kruger (2005:6) identifies two drivers of change, namely environmental changes and a performance gap. Firstly, organisations change because their environments – both internally and externally – change. Executive/senior management could decide to change the strategic direction of the organisation in order to improve its productivity and profitability. As mentioned above, the pressure from the external environment and global competition could force the organisation to change.

A performance gap can also lead to change. This can either refer to the difference between an organisation's actual performance and its envisioned performance, or identifying an opportunity to enhance the current good performance. In the latter case, the beginning is positive where the organisation sees an opportune gap to either improve performance or to seize new opportunities.

Change will become more complex and will influence everyone. A number of “social and technological revolutions, as well as rapid developments in information technology lead to drastic changes” (Daft in Jarbandhan 2012: 38). “These have caused a problem with regard to the baseline operational options that managers and organisations have become accustomed to. Future managers will have to be

equipped to manage change within a turbulent environment. The speed and complexity of change will increase” (Daft in Jarbandhan 2012: 38). No organisation can expect to have a certain future. The primary reason for this uncertainty is the fact that scientific and technological developments, as well as the basis on which each organisation has learnt to operate can change quickly and drastically (Daft in Jarbandhan 2012: 38).

If public institutions are not adequately led, they become obsolete and irrelevant. Transformation and organisational change within public institutions has to be centered on senior managers who play a leadership role. Some of the critical aspects that public sector leaders need to take into account in a changing world include:

- Setting an organisational vision and mission statement.
- Developing attitudes and skills to anticipate development.
- Developing future-oriented mentality to meet challenges in an active way.
- Ensuring effective management.
- Ensuring that there is a strategic plan.
- Monitoring public sector transformation and reform.

As there are certain drivers of change, the necessary preparations need to be made to ensure that the transition to the desired state is managed effectively. It is critical that the process is handled carefully and followed thoroughly.

This chapter contextualises the concepts and phenomena that are applicable to change in organisations. This includes the process of organising; organisation; institution; organisational behaviour; theory of organisation; change; organisational change; organisational transformation; transition management; organisational development; innovation; and repositioning.

The chapter also highlights the variables that influence formal organisation in terms of open and closed systems of organisation. This discussion is followed by a discussion of the most important variables that influence organisational structures.

These include span of control; work specialisation and division of labour; chain of command; line and staff functions; organisational design; establishing organisational specifications and typical organisational structures (functional or hierarchical structures, matrix structures, virtual, networked or cluster structures and quantum organisations).

Theorists accept the need for expanding theoretical perspectives. They particularly realise the importance of reflecting on classical ideas and problems in order to expand the theoretical knowledge of change in organisations. In order to search for leadership solutions and alternatives, the theoretical orientation needs to encompass a wide variety of perspectives to understand the complexities and challenges associated with change and transformation in organisations.

In this regard, the main characteristics of the classical approaches with specific reference to the theory of scientific management; administrative theories; the theory of bureaucracy; the neo-classical approaches, with specific reference to the human relations approach; and the contemporary organisational theories, with specific reference to systems theory and related modern structural organisation theories are discussed. The latter includes contingency, complexity, transaction cost and agency theories.

The chapter also highlights the theories of organisational change in public institutions. Attention is paid to the functionalist systems and contingency models of change; complexity theory and change; and the post-modernist and discourse theories of public organisations and change.

Organisations “operating within the 21st century increasingly face dynamic, complex environments where decisions must be made quickly, often in the face of an uncertain political climate and unreliable information. Increasing environmental and organisational dynamics and complexities make it almost impossible to predict all likely events. Therefore, there is an increasing need for organisations to be very efficient at ‘expecting the unexpected’, while at the same time remaining flexible, adaptive and able to adjust to rapidly changing conditions” (Burke in Auriacombe, Jarbandhan and Van der Waldt 2011:29).

“Public managers need to show a keen interest in change and organisational development and transformation. Notably, many state departments have resorted to modifying their strategies, structures and processes in order to remain in touch with their constitutional mandates, statutory obligations and community needs. Issues such as rapid technological changes, globalisation and legislative adjustments require a constant strategic orientation towards the environment” (Auriacombe et al. 2011).

In this chapter emphasis will be placed on managing these dynamics in organisations by applying principles and processes associated with transformation and change management. In this regard, the change process, change management and the steps needed to create an adaptive and nimble organisation are discussed.

The phenomenon of public leadership and change in public organisations is closely related. Therefore, the role of leadership and managing change is discussed in the context of the public sector. A discussion of leaders’ resistance to change; transformational leadership for public service transformation; and the competence clusters for leadership change roles is also provided.

3.2 Concepts and phenomena applicable to change in organisations

The section below will provide a contextualisation of the concepts and phenomena related to organisations and organisational change in general and transformational change management and leadership in particular. The meaning of these concepts will be discussed below (Auriacombe et al. 2011:27).

3.2.1 The process of organising

Organising is a process whereby an interrelated network of authority, communication, functions and positions are formally and deliberately created and maintained so that individuals and groups can take purposeful action. Organising, therefore, means to establish an orderly structure (Auriacombe et al. 2011).

3.2.2 Organisation

An organisation is the result of organising. It is the infrastructure that allows an institution to be recognised as a formal, orderly interrelated network of authority, communication, functions and positions. An organisation is therefore a formally arranged structure. It consists of the employees of an institution who are arranged to ensure the division of labour, so that stated objectives may be realised. The objectives that are pursued may be prescribed by legislation. An organisation is formed when two or more employees work together in pursuit of a common objective (Auriacombe et al. 2011).

3.2.3 Institution

An institution represents a formally arranged and contractually regulated grouping of employees and functions that pursue the stated objectives through organised operations. This means that each institution has an organisation, which is the way in which the employees are arranged to realise the group's stated objectives. As each group realises its objectives, it should contribute to realising the objective(s) of the institution as a whole. Therefore, each institution has an organisation. However, an organisation is not an institution – organisation and institution are not synonyms (Auriacombe et al. 2011).

Contract workers, temporary employees or consultants also perform duties for the institution, which are of equal or sometimes greater importance to realising the institution's objective(s) than other employees' activities.

3.2.4 Organisational behaviour

Organisational behaviour relates to the behaviour of individuals and groups within, and between, institutions. The primary focus of the study of organisational behaviour is on the informal and formal actions of individuals and groups in institutions. These aspects are described in more detail below.

3.2.5 Theory of organisation

The theory of organisation covers the scientifically researched field of knowledge of the process of organising and of organisations, which enhances our understanding through description and explanation. The field of knowledge consists of all related aspects of organisations, as well as the process of organisation that meets the requirements for concept-building (Daft 1998).

3.2.6 Change

Change simply refers to movement away from the present situation and in the process changing the status quo. Institutions that are consistently efficient in delivering services have the ability to adapt to changing circumstances. Changes may either be sudden, or they may be planned.

The aim of planned change is to allow institutions to remain viable. Current products and services have a limited 'shelf life' and can become obsolete. Competitors may release new goods or services to the market. Institutions that do not change will be left with products and services for which there is no longer a market. For example, typewriter manufacturers had to switch to manufacturing personal computers in order to remain viable. There are many examples of institutions that did not survive because they were unable to adapt to changing circumstances. Because institutions are open systems and are not static, they need to develop mechanisms to make provision for planned changes. The process of managing change comes into play where changes have been planned and are proactive and deliberate.

3.2.7 Organisational change

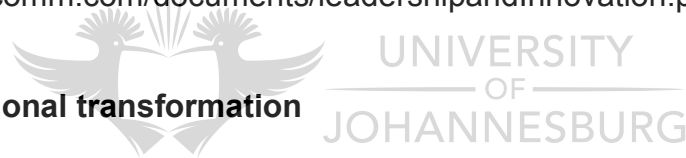
Canter, Stein and Jick (in Van der Waldt and Du Toit 1999:253), and March (in Sergiovanni and Corbally 1986:20) "are of the view that public institutions survive because they adapt to changing circumstances that arise from the environment". Christensen et al. (2007:122) state "that the concept of organisational change is by no means new". According to Corbalyy (1986:20) "change is often a gradual process

in organisations, taking place in the course of routine activities and in small increments, but sometimes it can take the form of abrupt and powerful upheavals, the potential for which has built up over a long period of time”.

March (in Sergiovanni and Corbally 1986), Christensen et al. (2007:122) and Selman (Internet source <http://paracomm.com/documents/leadershipandInnovation.pdf> 2004) “are all of the opinion that individuals, including leaders, can relate to change in six different ways” (in Jarbandhan 2011:50) viz:

- “resisting change;
- coping with change;
- responding to change;
- accepting change;
- bringing forth change (increased creativity in changing circumstances); and
- mastering change (innovative)” (Internet source <http://paracomm.com/documents/leadershipandInnovation.pdf> 2004).

3.2.8 Organisational transformation



In an organisational context, transformation constitutes fundamental change. This affects the organisation’s strategy, culture and employee behaviour. It is multidimensional and focuses on discovering something new to increase efficiency and effectiveness. Since it involves the unknown, the transformation process is characterized by high levels of complexity and uncertainty. Often organisational “transformation leads to the redefinition of core systems, functions and processes” (Internet source <http://paracomm.com/documents/leadershipandInnovation.pdf> 2004).

To move from an ‘old’ to a ‘new’ paradigm requires a transformation process. “Transformation consists of rapid and radical change in all facets of an organisation. These changes may be so significant that they result in a new organisational culture” (Drucker 1985:71). Transformation creates new relationships between an

organisation and its environment. These new relationships may in turn alter both the organisation and its environment (see Senge 1990).

Transformation culminates in the modification of organisational activities, such as “core values and beliefs, distribution of power, structure, control systems”, modifications in work systems and relationships. Notably, it requires planned interventions to be accomplished (Senge 1990 in Auriacombe et al. 2011:101).

Harvey and Brown (1996:407) characterise organisational transformation “as drastic, abrupt changes to total structures, management processes and corporate cultures”. It is applied to effect large-scale, paradigm-shifting organisational change. The result “of the transformation process is the establishment of completely new models for organising activities and work performance” (Harvey and Brown 1996:407).

Ideally, transformation should follow an incremental, evolutionary path. However, often it “takes place in a revolutionary fashion that involves rapid, simultaneous major changes” (Tushman and Romanelli 1985). If the pace of revolutionary transformation is too fast it could seriously jeopardise organisational performance. “Theories that portray organisational transformation as a revolutionary process posit that the requirements for internal and external fit” (synergy between the organisation and environmental pressures) “are achieved by simultaneous changes in several” organisational areas (Wischnevsky et al. in Auriacombe et al. 2011: 123).

Research has that directive rather than participative approaches are more often used to achieve transformational change (Harvey and Brown 1996:407). This kind of change tends to “be shaped more directly or coercively by using power rather than by using more collaborative, participative approaches” (Harvey and Brown 1996:407).

According to Harvey and Brown (1996:408), “there are several approaches to large-scale change, depending on the existing conditions. Two of these approaches are the incremental approach, which refers to long-term planned change and relies on collaboration and participation from the organisation’s members; and transformative

change, which refers to immediate, drastic change that is accomplished by directive methods”.

Dunphy and Stace’s (1988) “model of large-scale change strategies are based on three key dimensions, namely the time frame of change (long or short); the level of support within the organisational culture; and the degree of discontinuity with the environment” (Dunphy and Stace 1988 in Auriacombe et al. 2011:128).

“Four process change strategies have been identified” from the above-mentioned three dimensions (Dunphy and Stace 1988 in Auriacombe et al. 2011).

- **“Participative evolution** – This is an incremental strategy used to keep an organisation in touch with its environment in anticipation of changes. Only minor adjustments are needed and there is sufficient time to adjust” (Dunphy and Stace 1988 in Auriacombe et al. 2011:130). Changes are implemented collaboratively “with the support and participation” of the organisation’s employees (Harvey and Brown 1996:410).
- **“Charismatic transformation** – Radical changes have to be accomplished in a very short time frame with the support of the organisational culture” (Dunphy and Stace 1988 in Auriacombe et al. 2011).
- **“Forced evolution** – Minor adjustments have to be made over longer periods without the support of the organisational culture” (Dunphy and Stace 1988 in Auriacombe et al. 2011).
- **“Dictatorial transformation** – This strategy is used in times of crisis when major restructuring is required”, which may be contrary to the internal organisational culture’s interests. Authoritative direction may be required to ensure that the organisation survives” (Dunphy and Stace 1988 in Auriacombe et al. 2011).

3.2.9 Transition management

“Until recently, transition management was narrowly defined as when elected or appointed executives leave a position and how those left behind manage in the interim. Also, much has been written on how a manager transitions from one position to another. In this narrow context, however, transitions of this nature [cannot] reflect the true value of change as an opportunity for [organisational] growth and development” (Luthy 1993 in Jarbandhan 2012 b:5).

“Transition management provides a forum for change – the planned, thoughtful renewal of [organizations] at all levels. It opens new avenues for development and growth in all [organizations] at all levels, whether public or private. Transitions provide a period when insight is at its deepest, when energies flow and when creativity [is generated] at all levels” (Luthy 1993 in Jarbandhan 2012 b:5) .

“Transitions are merely changes from one thing to another. New planning methods, management, information systems, executive or senior managers, rules, policies or laws all require transitions. The more systematised the transition, the more positive its impact on the organization” (Luthy 1993 in Jarbandhan 2012 b:5).

“Transition management is a process of managing change, rather than a programme. It is a method, much like zero-based budgeting, or the Programme Evaluation and Review Technique (PERT). As such, managers can learn this approach as a principal tool in contemporary public management. Transition management brings both a philosophical understanding of what we are about and the methodology for compartmentalising change into manageable increments. With it, continuous change is systematised, thus fostering planned growth and organisational renewal. This distinction makes managing transitions a critically important element of public sector management. Notably, it has become particularly valuable for management teams in our cities and counties. This is truly where the buck stops – where change immediately influences people’s lives” (Luthy 1993:17).

“Research and experience equally support the identification of three basic types of transition. With each comes the opportunity to analyse the current status; strengthen

management leadership; determine new goals and objectives; and develop implementation strategies that will help ensure success” (Luthy 1993:17).

3.2.9.1 Leadership change

“Whenever a manager assumes a new position, he or she has the opportunity to create significant transitions. However, new managers [rarely] know how to do [this effectively]. Instead, they address the most apparent elements of the job, rather than the aspects of the [organization] that will bring about the most valuable and lasting contributions” (Luthy 1993 in Jarbandhan 2012 b:5).

“When implemented properly, transitioning from one manager or management team to another provides an opportunity for the entire organisation to examine itself and assess its strengths, weaknesses, goals, mission, and values. During this type of transition, the organisation can refocus on how it meets its vision – how it accomplishes its purpose” (Luthy 1993 in Jarbandhan 2012 b:5).

“Turnover among governmental officials, whether elected or appointed, is a natural transition that offers new levels of internal and external development. Unfortunately, most transitions of this nature have very little substantive guidance. New managers often find that the most important elements of the job are unrelated to the activities that capture most of their time” (Luthy 1993 in Jarbandhan 2012 b:6).

Incoming managers should “assess the organisation’s current status – its latent power, values, collective will to cooperate and collaborate, and dedication to its mission” (Luthy 1993 in Jarbandhan 2012 b:7). This type of assessment is the only way to establish “a starting point for a planned transition and such a stake in the ground delineates the current position. In doing so, it energises the organisation and its members to redefine the position to which it aspires” (Luthy 1993 in Jarbandhan 2012b:7). “Based on both external and internal needs and expectations, transition can then be defined, planned and implemented as a potent contribution of the new administration, responding directly to the needs of its clients” (Luthy 1993 in Jarbandhan 2012 b:7).

3.2.9.2 Crisis – internal and external

“It could be argued that most change – not all of it good – occurs as a result of crisis. Whether internal or external to the organisation, crisis demands our attention, and consequently our limited resources. Although it could be considered a cliché, every problem does indeed offer opportunities. Not all difficult conflicts or crises have significant benefits. But in the researcher’s view conflict/crisis management represents a transition that ought to be managed to benefit the community” (Luthy 1993 in Jarbandhan 2012 b:8).

Crisis serves as a catalyst for change. It seems too simplistic but a crisis:

- “offers an opportunity to explore existing values, goals, mission statements, priorities and strategies;
- opens lines of communication and negotiation that would perhaps have been closed or unknown;
- serves as a reality check for managers and clients and elected officials and constituents.
- highlights points of view, loyalties, belief systems and latent constituencies; and
- gives well-prepared managers and administrative teams an opportunity to turn a crisis or conflict into a chance to create totally new options for the community” (Luthy 1993 in Jarbandhan 2012 b:9).

“Crisis management must become a proactive process when transitioning from one status to another, and not simply a case of being driven helplessly by an imposing conflict or difficult circumstance. Regardless of the catalyst, proper diagnosis provides the cornerstones for prudent decisions. Skillful public managers must master the art of assessing, analysing, planning, and implementing reform strategies that target various forms of crisis to achieve positive programme and organisational development” (Luthy 1993 in Jarbandhan 2012 b:10).

3.2.9.3 Planned change

“Private and public managers are being asked more frequently to transition to new methods, procedures, materials, codes and locations” (Luthy 1993 in Jarbandhan 2012 b:11). “This often allows very little time for advanced planning. Moreover powerful forces are converging to challenge current systems, procedures, rules, regulations, policies and beliefs. This has led more enlightened senior managers to empower departmental and programme managers with the skills to make changes that are based on new information or circumstances and to follow more progressive thinking” (Luthy 1993 in Jarbandhan 2012 b:11). “Importantly, the underlying question central to total quality management, how can we do it better?” (Luthy 1993 in Jarbandhan 2012 b:11) has an impact on planning for change. “This basic tenet of total quality management is one of the most important by-products of properly conducted transition planning. And, like total quality programmes, it is defined by dynamism, collaboration, open communication, and proactive thinking” (Luthy 1993 in Jarbandhan 2012 b:11).

Drucker (in Luthy 1993:5) emphasises “that every organisation must devote itself to creating new functionalities”. To accomplish this, Luthy 1993:6) “suggests that the following three practices become part of any organisation’s cultural fiber”:

- “Continuously improve everything the organisation does” (Luthy 1993:6).
- “Learn to exploit the organisation’s knowledge in order to develop the next generation of applicants from its own successes” (Luthy 1993:6).
- “Learn to innovate – but follow an organised systematic process” (Luthy 1993:6).

“In today’s complex society, organisations cannot function simply with boss and subordinate roles. They must operate as a team. Certainly, management must retain overall authority. However, its role is not simply to command; it is also to inspire and facilitate. While this is in keeping with contemporary theory, few elected or appointed managers transitioning to new positions ever seek assistance to create a

communicative, collaborative, loyal team at the outset. Without guidance, this process usually takes months or even years, and often is fraught with considerable disharmony” (Luthy 1993:8).

3.2.10 Organisational development

In relation to individuals, development refers to the progress they make following training. Individuals cannot develop unless they feel the need to. Individual development is not a once-off occurrence; it is an ongoing process. Individuals need to be self-motivated and focused on continuous development to adapt to changing circumstances. Therefore, development is based on continuous education and training. The key aim is to maintain a satisfactory level of experience and skills, as well as the desired attitude to advance to the upper levels in the hierarchy of management.

Development can also be explained as a state of growth or progress, relating to both individuals and institutions. Organisational development refers to an institution’s long-term efforts to resolve its problems, improve and deal with change (Handy 1993).

3.2.11 Innovation

Following the discussion above, it may be asked whether innovation and change are one and the same. The answer will be discussed below.

Most of the activities found in an institution are not innovative, but are controlled by existing programmes. A distinction needs to be made between decisions made regularly and repeatedly during the daily activities of an institution and new, unusual and non-repetitive decisions. In the former situation, decisions are based on standardised procedures, and this is known as programmed decision-making. In the latter case, standardised procedures make little or no provision for the decisions. This is known as non-programmed decision making. Management’s duty is to ensure that standardised procedures are laid down for each new task; to adapt the

organisational structure to allow for such innovation; and to substantiate decisions made in that regard (Hodge and Gales 1996).

Actions may be regarded as innovative if they meet the following two criteria:

- Actions should firstly involve decision-making on how to approach a new problem. In other words, a solution to the problem should be found, which means that those involved need to undergo a learning process.
- A new programme should be introduced to overcome the problem. The motivation to do so may come mainly from the institution itself after it has investigated the environment systematically and carefully considered environmental implications (Hodge and Gales 1996).

The need for innovation is present at all levels of the hierarchy, but it does increase as the individuals involved move up in the hierarchy. One of the main features of innovation is that the individual takes the initiative to introduce programmes and activities to resolve problems. It is an important milestone in an individual's career when he or she reaches the level where innovative responsibilities become critical. The skills that the individual have displayed up to that point are no longer adequate. He or she needs to learn new techniques and procedures.

The classical theory of rational decision-making is not of much use when it comes to innovative decisions. A new theory is needed to introduce the obvious characteristics of creative problem-solving (Jones 1995). Such a theory should relate to a decision-making process that includes the following characteristics of non-programmed decision-making (Jones 1995):

- Alternative actions are no longer laid down, but have to be found.
- A main component in the decision-making process is to weigh the consequences of each alternative.
- It often involves a search for an acceptable alternative rather than the best alternative. Classical decision-making theory is aimed at 'optimisation', whereas an innovation theory would be aimed at finding a 'satisfactory' solution.

- Problem-solving is not only aimed at searching for alternatives, but also searching for problems.

Anything that differs from the existing situation represents change. In contrast, innovation represents a particular institution's acceptance of new ideas. By definition, any innovation is change, but not all changes can be regarded as innovative. When innovative change occurs, the particular institution enters a new field, and represents a greater threat to members of the institution. Clearly, employees will be more opposed to the implementation of innovations than to the implementation of change.

Innovation has both a technological and an administrative dimension. The first, as noted in the above example, consists of new machinery, techniques, equipment or systems to bring about change in products or services, or in the manufacturing or delivery of such products or services (Luthans 1998).

Administrative innovation consists of changes to an institution's organisational structure or to its administrative processes. One such an example is introducing flexi-time for the employees of an institution. The strategy of an institution will determine the importance of innovation (Luthans 1998).

In other words, innovation refers to the introduction of novelties, mainly new approaches to goal-realisation and the subsequent actions aimed at realising the (governmental) objectives.

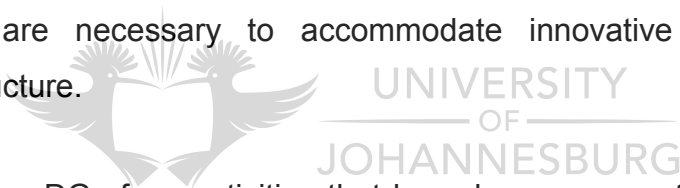
There are two approaches to innovation in organisational arrangements within the public sector. The one is a change in circumstances that includes the entire environment, as determined by the place and time in which governmental activities take place. Examples include technological development (referred to above), population growth and urbanisation. The second approach demands that innovation contribute to adapting organisational arrangements in accordance with changing circumstances. This means that such arrangements have to contribute to a change in the environment in which the institution operates (Pfeffer 1982).

3.2.12 Repositioning

The concept of repositioning is often used in the media to refer to planned changes to the way in which institutions operate. Strategies, formal structures and organisational cultures in institutions may have to be modified or changed completely. One example is the socio-political changes that have taken place in the Republic of South Africa since 10 May 1994 and the consequent structural changes to all three spheres of Government and its institutions.

The discussion below will focus on the people who are responsible for creating an environment for change.

It is the CEO or DG and the management of any institution's responsibility to create an environment where creative problem-solving can take place efficiently. For this to happen, there are two requirements - management's own time budget and the techniques that are necessary to accommodate innovative activities in the organisational structure.



In time, all CEOs or DGs face activities that have become a matter of routine, and they should use a process of delegation to rid themselves of such activities. Initially, it may not be possible to delegate an activity because it is new and the CEO or DG has to deal with it personally. However, as soon as it becomes a routine task, it should be delegated to subordinates. Unless they deliberately do this, CEOs or DGs could find it difficult to free themselves of routine activities so that they can concentrate on non-programmed activities. In addition, they have to be mindful of 'Gresham's Law', which states that performing routine activities dissipates creative thinking (Auriacombe et al. 2011). If CEOs or DGs do not deliberately allow time for innovation, they will spend all their available time on performing routine tasks.

CEOs may facilitate their innovative response to stimuli from the environment by:

- setting aside members of staff in the institution to serve as 'radar networks' for receiving impulses from the environment;

- appointing individuals and creating units in institutions to undertake long-term planning; and
- ensuring that adequate technical skills are available in institutions for developing new programmes where this proves necessary (Auriacombe et al. 2011).

The nature and suitability of the information, planning and facilities of institutions for developing new programmes are important aspects in deciding the direction in which the institution will develop, as well as the way in which it will respond to environmental stimuli.

Controlling the above is the most powerful tool that CEOs have at their disposal to influence the development of their institutions and acting innovatively. The success of their actions will be determined by the way in which they introduce the tasks, objectives and aspirations of their institutions to their subordinates at all levels of the hierarchy.



3.3 Variables influencing formal organisation

The primary aim of organisations that exist within institutions is to ensure that they function efficiently and effectively in pursuit of their stated objectives. For this reason, and with regard to their interdependence with the environment, organisations are regarded as systems. The building blocks of such systems are the people (employees). The behaviour of people (employees) is central to organisations. This explains why theories of organisations centre on the nature of people's actions in organisations.

Studies of organisational theories reveal two categories or types of systems, namely closed and open systems. According to Henry (1980:57), the following features are characteristic of closed systems:

- Routine tasks take place under particular circumstances.
- Specialisation of labour is a common feature.

- Conflict within the institution is dealt with at the “upper levels of the hierarchy”.
- Responsibility and accountability are emphasised.
- Loyalty to the particular unit or institution is paramount.
- The organisation represents the formal hierarchy-based actions or structural frameworks.
- The hierarchical “structure is characterised by particular interactions, for example communication, delegation and unity of action” (Henry 1980:58).

Henry (1980:14) “identified the following characteristics of closed systems”:

- “Closed systems are responsible for their own survival, as they receive no input from their external environments in the form of energy or resources.
- Consequently, there is no need for interaction with their external environments.
- Closed systems will gradually consume their energy and resources” and then lapse into disorganisation or collapse (a state known in the natural sciences as entropy)” (Henry 1980:14).

Organisations are created to realise stated objectives. The characteristics of a particular organisational model or school of thought will determine whether an organisation may be typified as a closed or open system.


An important advance in the study of organisations came with the realisation that organisations are not, and cannot be, closed systems as described above. In order to survive, they depend on their external environments for energy and resources. Open systems avoid collapse through a process of negative disorganisation. This is where they could “obtain energy from their external environments in the form of physical, human and financial resources” (Henry 1980:62).

In contrast with the above, Burns and Stalker (in Henry 1980:63-64) have highlighted the following characteristics of open organisations:

- The “structure of open organisations is flexible and adjustable and can therefore adapt more easily to changing circumstances”.

- Non-routine matters occur in conditions of change.
- Specialised knowledge contributes to the development of ordinary, everyday tasks.
- Knowledge is distributed evenly.
- The emphasis is on the institution's objectives.
- "Interaction takes place both horizontally and vertically and is based on interpersonal relationships – rather than on formal relationships".
- The emphasis is on loyalty towards the Government and not towards individual institutions.
- Everyone resolves conflict themselves in collaboration with management.
- Everyone assumes responsibility and accountability.
- Status is attached to both ability and prestige.

Katz and Kahn (1966:28 in Smith 1999) highlight the following characteristics of open organisational systems:

- 
- Proponents of open-system organisations are of the opinion that they have more dynamic relationships with their external environments than closed systems.
 - They survive and maintain their internal compositions only for as long as more energy (in the form of inputs such as support, demands and resources) is received from the external environment than is consumed in the process of conversion and outputs in the form of goods and services.

Henry (1980:75) emphasises the following characteristics of the open model:

- The "key concepts of the open model refer to organisational inputs from the environment; organisational processing by the organisation, organisational output and feedback to the environment, accompanied by new input from the environment, which provide support or place new demands on the organisation" (Henry 1980:75).
- "Interaction with other organisational systems in their environments is ongoing" (Henry 1980:75).

The points made above clearly show that proponents of the open system approach assume that important resource inputs from the external environments are essential. The inputs and outputs in open systems are essential, as they represent the link between the organisation and its external environments.

It is important to distinguish between negative and positive feedback. The concept of negative feedback refers to the process whereby departures from a stated objective may be reduced, while positive feedback refers to the process whereby departures from a stated objective are increased. It is obvious that designers of organisations and the decision-makers will strive to incorporate mechanisms for receiving positive and negative feedback. This can be achieved by obtaining information from the environment timeously; obtaining the necessary organisational inputs; creating appropriate organisational processing by adapting structures, processes and technology; and by paying attention to delivering organisational outputs to the environment. This means that the extent to which organisations change should correspond with the extent to which their environments change. It also means that organisations should be sensitive to changes in their environments.

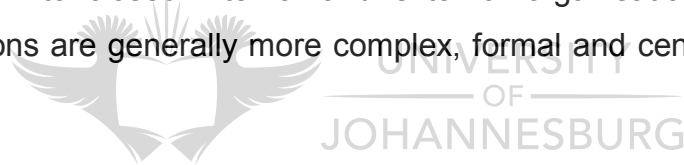
The main differences between open and closed organisational systems can be summarised as follows:

In broad terms, the characteristics of open systems may be regarded as being the opposite of closed systems. This implies that closed organisations are more formal and therefore more rigid. Open organisations are more informal and therefore more adaptable to changing circumstances. A closed system can be observed in practice as formal and hierarchic structural entities, with clear networks of relationships that are strictly authoritarian. The networks of relationships in open organisations are based on informal and interpersonal free association, which contributes to characteristically non-authoritarian networks of association. Closed organisations tend to be introverted. Subsequently, they are more cut off from their (external) environments and less dependent on their environments and environmental influence. In contrast, open systems are more closely related to and dependent on their environments (Evan 1993).

Measured by the characteristics of, and differences between, open and closed systems, it appears that there may be good reason for the existence of both these systems, depending on the type of environment within which they find themselves. Nevertheless, it remains an impossible task to determine which type of organisation would be the ideal system under certain circumstances (Evan 1993).

Bearing in mind the characteristics of organisations mentioned above, three primary characteristics can be singled out to identify organisations as open or closed systems, as well as for organising a network of relationships within an organisation (Auriacombe et al. 2011).

These primary characteristics make it possible to arrange, identify, create and maintain a formal organisation under certain circumstances. Its internal and external objectives can also be categorised in terms of the concepts of 'complexity', 'formalisation' and 'centralisation'. When considering the spectrum of organisations ranging from open to closed internal and external organisational arrangements, closed organisations are generally more complex, formal and centralised than open organisations.



Complexity refers to the nature and scope of the networks of power and communication, as well as the nature and scope of an institution's functional structural networks. Formalisation refers to the extent to which the organisation (network of relationships) of an institution has been formalised, whereas centralisation refers to the extent to which an institution has been centralized (Bidwell 1986).

3.4 Variables influencing organisational structures

An organisation's structure is represented by its organisational chart, or organogram. This diagram of a reporting hierarchy is commonly used to show relationships among employees and functional areas. The organogram thus illustrates the organisational design; lines of responsibility; chain of command; and communication and coordination channels between units within an organisation (Cummings and Worley

1993). These structural dimensions, which ultimately culminate in its organogram, are highlighted below.

3.4.1 Span of control, work specialisation and division of labour

In the post-World War II era, organisational theorists found that these three structural dimensions conflicted with each other – even in less-complicated organisations. According to theorists, these structural dimensions could not help achieve absolute clarity and efficiency. Instead, they proposed that organisations seek a balance between span of control, unity of command and specialisation. Furthermore, theorists also searched for ways to move beyond structure and formal control to generate performance. This led to growth in the field of human resources. Organisations began to formulate structures that were less rigid, less bureaucratic and more flexible to changing governance conditions (Auriacombe et al. 2011).

“One of the most important management functions is control. The span of control in management includes all the activities the manager undertakes in an attempt to ensure that actual results conform to planned results. Managerial control is effective when standards can be established for the variables that are to be controlled; information is available to measure the established standards, and managers can take corrective action whenever the variable deviates from the desired standard” (Henry 1980:87).

“Span of control refers to the amount of subordinates under a superior. Ideally, superiors should be responsible for a manageable amount of subordinates. Unity of command refers to the amount of superiors above subordinates. Early structural designers recommended a minimum number of superiors in order to avoid confusing subordinates. Specialisation refers to a sub-unit or individual’s tasks in an organisation. The primary reason for establishing structure is to clarify the division of labour. Early structural designers said that due attention to the three structural elements would lead to ideal structures for organizations” (Henry 1980:87).

Organisational designers advise managers to “enhance collaboration, so that conflict does not become too overwhelming. Managers can enhance collaboration through integration devices; confrontation and negotiation; inter-group consultation; member rotation; a shared mission and superordinate goals” (Daft in Auriacombe et al. 2011:45).

Organisational structure “further defines reporting relationships between different positions within the organisation. Delegation of authority and employee reporting frameworks are some of the factors that determine organisational structures. Organisational structures should never be rigid or permanent. They need to be altered according to environmental factors, or a change in an organisation’s mandate or strategy. It further indicates how tasks are divided; resources are allocated; and activities are planned among an organisation’s employees” (Auriacombe et al. 2011).

Work specialisation is best described as the “degree to which tasks in an organisation are divided into separate jobs. Another term for this would be division of labour” (Galbraith 1977).



Work specialisation is still “seen as a way to make the most efficient use of workers’ skills, since workers are placed in jobs according to their skills, and they are paid accordingly. Job specialisation is a hierarchical reporting structure through a tightly-knit chain-of-command. The subordination of individual interests is combined with the superordinate goals of the organisation. This results in organisations that are arranged by functional departments, where rules, regulations and standard operating procedures maintain order and discipline” (Hall 1987:119).

Other advantages of division of labour include improving employees’ skills to perform tasks more effectively. It presents “a less costly, easier and more efficient approach to employee training, as well as inventing innovative equipment for mass production. Up to a certain point, work specialisation presents a source of unlimited productivity. Disadvantages include boredom, fatigue, stress, lowered productivity, poor quality of work, increased absenteeism and higher job turnover” (Hicks and Gullett 1975 in Auriacombe et al. 2011:40-48).

3.4.2 Chain of command

“The chain of command, sometimes called the ‘scalar chain’, is the formal line of authority, communication and responsibility within an organisation. It is the continuous line of authority that extends from the upper organisational levels to the lowest levels and clarifies who reports to whom. Factors to consider in chain of command include authority levels. Authority clarifies who has the authority to make decisions and who is expected to supervise which subordinates” (Auriacombe et al. 2011). The two types of authority are (Daft in Auriacombe et al. 2011:56):

- *“Advisory authority* (Line authority): The expectation that line managers will consult with staff managers before making decisions.
- *Functional authority* (Staff authority): Staff managers’ authority to make decisions and issue directives within their area of expertise”.

Early management movements believed that “the authority and rights inherent in one’s formal position were the sole source of influence. Thus, managers were regarded as all-powerful. However, the contemporary view of authority and responsibility differ from the historical view” (Daft in Auriacombe et al. 2011:59). Modern organisations are more complex than ever. Staff is becoming more important and management’s dependence on technical specialists is escalating. From this, it is clear that top management must use its legitimate authority and hierarchy in ways that create conditions that facilitate collaboration, empowerment and responsiveness to human needs.

Organisations that maintain their hierarchical structure, but reform their managerial behavioural patterns in order to exercise authority in the collaborative manner required to attain humane and empowerment-based organisations, may be more capable of eliminating the despotic use of authority than organisations with new and looser structures where the lines of accountability are less clear (Hicks and Gullett 1975).

“According to classical organisation theory, the organisational chart allows one to visualise the lines of authority and communication within an organisational structure and ensures clear assignment of duties and responsibilities. By utilising the chain of command and its visible authority relationships, the principle of unity of command is maintained. Unity of command means that each subordinate reports to only one superior” (Hicks and Gullett 1975 in Auriacombe et al. 2011:60).

“The chain of command principle is ancient, but its application in organisational management was only systematised in the twentieth century. Two individuals, Henri Fayol and Max Weber, contributed greatly to the understanding of this principle. In his book, *General and Industrial Management*, Fayol presented what has come to be known as the fourteen principles of management” (Daft in Van der Waldt, Auriacombe and Jarbandhan 2007:81). “These principles include both the unity of command (his fourth principle) and the scalar chain (line of authority). Fayol's principle of the unity of command holds that a subordinate should report to only one supervisor. Fayol believed that this was necessary to give the supervisor a clear position of authority, as well as to prevent a subordinate from receiving conflicting orders” (Daft in Van der Waldt et al. 2007:83).

“Fayol's scalar chain principle states that authority and responsibility flow, one level at a time, in a vertical line from the highest level in an organisation to its lowest level. This line of authority establishes an organisation's hierarchy. Weber, in turn, proposed bureaucracy as a model of efficient organisation. Bureaucratic characteristics have clearly defined hierarchies of authority and responsibility, which are consistent with the chain of command principle” (Van der Waldt et al. 2007:81).

“In many organisations, the chain of command principle is still in use. The manager's role is that of delivering orders. The employee, in turn, follows these orders while the manager monitors actions. Both parties share responsibility for achievements, while communication underpins this relationship” (Handy 1993:56).

“A problem associated with the chain of command occurs when a subordinate bypasses a manager in either providing information or requesting a decision. This act undermines the authority and position of the manager who is bypassed. If this

practice is allowed to continue within a public institution, accountability and responsibility will be negatively affected” (Handy 1993: 67).

Public institutions “operate within a rapidly changing environment. In response to this, some have adopted structures that emphasise flexibility and quick response to change. Chain of command has lost its importance because of new trends in contemporary organisational structure design. Current network-like structures enable direct communication across organisational boundaries, which ignore the traditional chain of command” (Daft in Van der Waldt et al. 2007:81). “These types of organisations attempt to place the decision-making authority in the organisational structure with those who can respond to environmental imperatives most effectively and efficiently. Thus, these organisations may have flatter communication hierarchies and decision-making patterns that do not fully adhere to the chain of command, or unity of command principles” (Daft in Van der Waldt et al. 2007:156).

“In the case of matrix organisations (see section 3.4.6.2 below), employees frequently have two managers or supervisors, which violates the unity of command and chain of command principles. To be effective, individuals who work in these organisations learn to share power, use open confrontation to resolve issues, and to utilise all sources in the organisation to disseminate information. Although it is still an important organising principle in most organisations, these more organic structures are not rigidly bound to the chain of command principle” (Daft in Van der Waldt et al. 2007:156).

“Line functions refer to the core organisational processes that need to be performed to operationalise strategic objectives” (Daft in Van der Waldt et al. 2007:156). They refer to the direct activities that are required to produce services and/or products to external clients (the community). As the name indicates, support functions refer to those operations that support line functionaries to get the job done by allocating specific resources, support structures and mechanisms, as well as expertise. Support functionaries’ clients are typically internal, such as line managers. Typical support functions include human resources, finance and information technology (IT). They function as advisory or research units to give functional public managers

management information, guidance and advice to enable them to perform their functions properly (Evan 1993).

The two most significant advantages of having clear line and staff functions are “responsibility (the obligation to perform any assigned duties), and unity of command (the management principle that each person should report to only one manager)” (Auriacombe et al. 2011:170). With clear line and staff functions, a decision can “be traced back from the subordinates who carry it out to the manager who made it” (Dessler 1992:98).

“Delegation of authority and an employee reporting framework are some of the factors that determine the organisational structure. An efficient structure facilitates decision-making by smoothing out the span of control or the manager’s scope” (Henry 1980 in Jarbandhan 2011:59). A traditional organisational chart indicates the authority and responsibility at each management level under a vertical organisational structure.

An organisational “structure plays an important role in an organisation’s day-to-day functioning. Organisational structure can be regarded as the framework that defines reporting relationships between different positions within the organisation. Organisational structure defines how tasks are divided, resources are allocated, and activities are planned among an organisation’s employees” (Daft in Van der Waldt et al. 2007:156). However, the structure should not be static, but rather flexible to adjust to changing conditions. It therefore “needs to be altered depending on the environmental factors or a change in the organisation’s constitutional mandate or strategy” (Daft in Van der Waldt et al. 2007:156).

3.4.3 Organisational design

Organisational design “refers to the management decisions and the set of structural elements used to effect changes in the structure” (Galbraith 1977:76). “Organisational design is a process for improving the probability that an organisation will be successful, as well as a set of decisions and procedures used to effect suitable changes in the structure to make it more efficient” (Galbraith 1977: 76). This

includes the “entire sequence of work that results in an alignment of vision/mission, values/operating principles, strategies, objectives, systems, structure, people, processes, culture and performance measures. Organisational design also defines the formal relationships among people and specifies both their roles and their responsibilities” (Galbraith 1977: 76).

It “is a formal, guided process for integrating the people, information and technology within an organisation. It is used to match the organisation’s form as closely as possible to the purpose(s) the organisation seeks to achieve. Through the design process, organisations act to improve the probability that members’ collective efforts will be successful” (Van der Waldt et al. 2007:90).

The following variables or elements influence organisational design (Daft in Auriacombe et al. 2011:79):

- “Departmentalisation.
- Division of labour.
- Specialisation
- Unity of command.
- Line of command.
- One superior.
- Authority and responsibility.
- Line and staff authority.
- Authority and power.
- Span of control.
- Levels of control.
- Centralisation and decentralisation.
- Contingency factors.
- Environment and technology.
- Knowledge technology: task variability and the ability to analyse problems”
(Daft in Auriacombe et al. 2011:80).



Organisational design begins with creating “a strategy – a set of decision guidelines that managers will use to choose appropriate actions. This strategy is derived from concise descriptions of the organisation’s purpose, vision and basic philosophy” (Auriacombe et al. 2011:80). The “strategy unifies the organisation’s intent and focuses members’ attention on actions that are developed to achieve the organisations envisaged outcomes. The strategy encourages actions that support the organisation’s goals and discourages those actions that do not” (Daft 1998:90).

When managers organise, they “seek to direct or pattern the activities of a group of people toward a common outcome. How this pattern is designed and implemented greatly influences effectiveness” (Auriacombe et al. 2011:80). When “patterns of activity are complementary and interdependent”, the intended outcomes are more likely to be achieved. In contrast, unrelated, independent activity patterns “are more likely to produce unpredictable and often unintended results” (Auriacombe et al. 2011:235).

“The process of organisation design matches people, information, and technology to the organisation’s purpose, vision and strategy” (Auriacombe et al. 2011:103):

- “*Structure* is designed to enhance communication and information flow among people.
- *Systems* are designed to encourage individual responsibility and decision-making.
- *Technology* is used to enhance human capabilities to accomplish meaningful work” (Auriacombe et al. 2011:104).

According to Daft (in Van der Waldt et al. 2007:79) “the end product is an **integrated system** of people and resources, tailored to the specific direction of the organisation”.

To organise, managers “must connect people with each other in meaningful and purposeful ways. Further, they must connect people with the information and

technology necessary for them to be successful” (Daft in Van der Waldt et al. 2012:85).

“Administrative systems govern the organisation through guidelines, procedures and policies. Information and technology define the process(es) through which members achieve outcomes. Each element must support each of the others and together they must support the organisation’s purpose” (Van der Waldt et al. 2012:86).

3.4.4 Establishing organisational specifications

Organisational specifications refer to the essential elements and criteria which ensure that an organisation functions effectively. “While it may be necessary to be quite precise about what has to be done, it is rarely necessary to be precise about how it is to be done. It is a mistake to specify more than what is needed; by doing this, options are closed that could be kept open” (Henry in Auriacombe et al. 2011:109). “These specifications will include aspects, such as the level of supervision, control, specialisation and location” (Henry in Auriacombe et al. 2011:109).

Information systems are further specifications that “should be designed to provide information to the point where action is needed. Properly directed, sophisticated information systems can supply a work team with exactly the right type and amount of feedback” (Henry in Auriacombe et al. 2011:109). “This will enable them to learn to control the variances that occur within the scope of their spheres of responsibility and competence, as well as the ability to anticipate events that are likely to have a bearing on their performance” (Henry in Auriacombe et al. 2011:109).

“An objective of organisational design should be to provide high-quality work” (Henry in Auriacombe et al. 2011:109). Six characteristics of a good job” are according to Jones (1995:207) the need for:

- “The employee to find the job content reasonably demanding (in terms other than sheer endurance), and yet it must provide a minimum level of variety (not necessarily novelty)”;

- “to be able to develop in the position and to continue knowledge empowerment”;
- “for some minimal area of decision-making that the individual can call his/her own”;
- “for some minimal degree of social support and recognition”;
- “for individuals to “relate what” they do and what they produce to their personal circumstances”; and
- “to feel that the job leads to some sort of desirable future (not necessarily promotion)” (Jones 1995:207-208).

3.4.5 Typical organisational structures

An organisation’s structure plays a necessary role in its daily operations. The term “structure” refers to how an organisation physically divides and coordinates labour – or its functional areas. Structure can also reflect an organisation’s decision-making system and information flow. Contemporary organisational designers warn that no ideal structure exists. The best structural fit depends on the organisation’s strategy, which includes considering its environment and core tasks.

“When a work group is very small and face-to-face communication is frequent, formal structure may be unnecessary. However, in a larger organisation such as state departments decisions have to be made with regard to delegating various tasks. Thus, procedures are established that assign responsibilities for various functions” (Henry 1980 in Auriacombe et al. 2007:48). Notably, “these decisions determine” the organisational structure” (Henry 1980 in Auriacombe et al. 2007:48).

“In an organisation of any size or complexity, employees’ responsibilities are defined by what they do, who they report to, and in the case of managers, who reports to them. Over time, these definitions are assigned to positions within the organisation – rather than to specific individuals. The relationships among these positions are illustrated graphically in an organisational chart. The best organisational structure for any organisation depends on many factors including the work it does; its size in

terms of employees, revenue, and the geographic dispersion of its facilities; and its range of services” and/or products (Auriacombe et al. 2007:54).

Organisational restructuring can be defined as the process whereby the organisation’s structure that provides the framework, which relates the organisation’s elements to one another, is changed or restructured to make it more competitive and successful (Harvey and Brown 1996:205). Organisational change programmes, such as reengineering and restructuring, are attempts to increase organisational effectiveness and efficiency.

“There are multiple structural variations that organisations can apply. However, there are a few basic principles that apply and a small number of common patterns that occur. Theorists generally identify four basic decisions that managers have to make when they develop an organisational structure, although they may not be explicitly aware of these decisions. Firstly, the organisation's work must be divided into specific jobs. This is referred to as the division of labour. Secondly, unless the organisation is very small, the jobs must be grouped in some way, which is called departmentalisation. Thirdly, it must be decided how many people and jobs should be grouped together. This is related to the number of people that one person manages, or the span of control – the number of employees reporting to a single manager. Fourthly, how decision-making authority is distributed must be determined” (Daft in Auriacombe et al. 2011).

In making each of these “design decisions, a range of choices are possible. At one end of the spectrum, jobs are highly specialised with employees performing a narrow range of activities; at the other end of the spectrum employees perform a variety of tasks” (Daft in Auriacombe et al. 2011). “In traditional bureaucratic structures, there is a tendency to increase task specialisation as the organisation expands. Notably, the manager must decide how to group departments. The most common basis, at least until the last few decades, was by function” (Daft in Auriacombe et al. 2011:207).

3.4.5.1 Functional or hierarchical structures

“The command and control structure of ancient military organisations has had a profound influence on Western organizations and by the turn of the century, scientific management was introduced” (Daft in Auriacombe et al. 2011:208). Most organisations “today are designed as a bureaucracy, where authority and responsibility are arranged in a hierarchy. Within a hierarchy, rules, policies and procedures are uniformly and impersonally applied to exert control over member behaviours” (Cummings and Worley 1993:89). “Activity is organised within sub-units (bureaus or departments) where people perform specialised functions, such as finance, planning and human resources” (Evans 1993:105).

“The same basic organisational form is assumed to be appropriate for any organisation, be it a government, school, business, church or fraternity. It is familiar, predictable and rational. The traditional model of organisational structure is easily represented in a graphical form by an organisational chart” (Cummings and Worley 1993:107). “It is a hierarchical or pyramidal structure with a head or other executive at the top, a small number of senior managers under the head, and several layers of management below this, with the majority of employees at the bottom of the pyramid” (Cummings and Worley 1993:107).

Although “the functional hierarchy may be familiar and rational, there are distinct disadvantages to blindly applying the same form of organisation to all groups. To understand the problem, managers should understand that different groups may wish to achieve different outcomes” (Henry in Cummings and Worley 1993:108). Moreover, “different groups have different members and each group has a different culture. These differences in desired outcomes, and in people, should alert managers to the danger of assuming there is a single best way of organising. However, it is important to note that different groups will likely apply different methods to achieve their purpose”. One structure cannot possibly fit all” (Henry in Cummings and Worley 1993:108).

A functional structure is characterised by an arrangement where functional areas in an organisation, such as human resources, finance, and information technology, are

grouped together. This functional structure is typified as an arrangement with vertical and horizontal division of labour and work (functional activities). This hierarchy is typically associated with a bureaucracy (Cummings and Worley 1993).

Each person in a hierarchy is assigned a rank in comparison to everyone else in the hierarchy. Hierarchy innately causes division between people. This division causes feelings of alienation and anomie. The traditional designs tend to be more bureaucratic and hierarchical, while contemporary designs tend to be more flexible. These structures meet the needs of increasingly dynamic and complex public sector environments.

3.4.5.2 Matrix structures

A few years ago most big governmental organisations were divided into departments that were logical divisions of the Government and a group of workers had to report to the head of the division (Daft 1999:89). Increasingly, departments have begun to restructure their employees into a matrix organization (Daft 1999:89). The primary objective is to develop project managing units for service delivery initiatives. Different “matrix management styles can exist within an organisation. The overall objective is to satisfy divisional or departmental functional requirements by pooling workers with similar skills. The major organisational matrix types consist of weak, strong or balanced matrix structures” (Daft in Auriacombe et al. 2011:217).

A matrix organisation combines the advantages of the functional, traditional structures and flatter, project-based organisational structures. Typically, functional activities are operationalised through projects, where project managers have to assume total responsibility and accountability. The functional manager, in turn, provides technical and resource assistance to the respective project teams. Furthermore, a matrix organisation is characterised by the fact that it “uses functional managers, as well as project managers to manage the same people, depending on the assignment” or project (Daft in Auriacombe et al. 2011:218).

What is potentially problematic is the fact that lines of authority become diffused. It can be described as two dimensional where “horizontal and vertical intersections

represent different staffing positions where responsibility is divided between the horizontal and vertical authorities” (Daft in Auriacombe et al. 2011:60). Organisational employees have to report to two ‘bosses’ – the functional manager as supervisor, as well as the project manager for project assignments. Employees from different functional units, directorates or departments (human resources, finances and information technology) are utilised for a specific assignment/project. However, these employees are utilised “without removing them from their respective job positions and they report on day-to-day performance to the project manager whose authority flows sideways (horizontally) across departmental boundaries. They continue to report on their overall performance to the head of their unit, directorate or department, whose authority flows downwards (vertically) within his/her department” (Henry Hodge and Gales 1996:104). “In addition to a multiple command and control structure, a matrix organisation necessitates new support, culture and governance mechanisms to coordinate all the projects” (Henry in Hodge and Gales 1996:104).

“This organisational type assigns each worker two bosses in two different hierarchies. One hierarchy is ‘functional’ and ensures that each type of expert in the organisation is well-trained, and is measured by a boss who is an expert in the same field. The other direction is ‘executive’, where projects are completed using the experts. Projects might be organised by regions, service types or some other scheme” (Henry in Hodge and Gales 1996:109).

A matrix structure is characterised by an arrangement where officials from functional areas intersect and collaborate as teams. This structure is extremely coordination intensive, and also violates the unity of command (‘one boss’) principle. Officials who serve on project teams find themselves serving two superiors – their functional manager, as well as the project manager (French and Bell 1995).

A “matrix structure can help provide both flexibility and balanced decision making, but is quite complex. It must be reinforced by matrix systems, such as dual control and evaluation systems, by leaders who operate comfortably with lateral decision-making” (Daft 1999:78). Furthermore, it should be supported “by a culture that can negotiate open conflict and a balance of power” (Daft 1999:78).



3.4.5.3 Virtual, networked or cluster structures

Today's "organisations face a dynamic and turbulent environment that requires flexible and quick responses to changing needs. Many organisations have responded by adopting decentralised, team-based and distributed structures. Literature refers to these structures as virtual, network and cluster organisations. Advances in communication technologies have enabled organisations to acquire and retain such distributed structures by supporting coordination among people working from different locations" (Daft in Auriacombe et al. 2011:159).

The "topic of virtual organisation brings together theories about the nature of work in the information age; the organisation of social behaviour; and the role that technology plays in the evolution of social structures. Virtual organisations are seen as the emerging standard, resulting from technological advances and changing expectations on the part of consumers. Virtual workplaces are advantageous in an information age, where technology is expanding rapidly and consumer needs is to be met across the world" (Daft in Auriacombe et al. 2011:94). "A virtual workplace enables individuals to work from any place, at anytime, from anywhere in the world" (Daft in Auriacombe et al. 2011).

"Physical proximity is no longer the defining factor in which relationships develop and flourish. Distance is no longer a barrier, as everyone can access each other wherever they might be" (Daft in Auriacombe et al. 2011:98). This presents a convenient solution to both employees and consumers. It fits an international organisation's need for excellent and timely customer service. "The most persuasive argument for any organisation is the one concerning costs. Virtual workplaces streamline systems from multiple facets of work into a single unified unit" that both the consumer and employee" can access easily. Due to the single system, decreasing costs and increasing efficiency "are an instantaneous advantage. A virtual workplace is easier for employees because of traveling and consolidates services and better communication processes" (Henry in Auriacombe et al. 2011:101).

However, there are many problems regarding the “implementation of virtual workplaces” (Jones 1995:82). And if virtual workplaces are not analysed carefully and implemented correctly, organisations can be threatened by not fully realizing this mode of operation. Some common challenges include (Jones 1995:82):

- “Failure to leverage the technology that supports virtual workplaces, resulting in a decrease in productivity” (Jones 1995:82).
- “Lack of human contact could cause decreased team spirit, trust and productivity” (Jones 1995:82).
- “Increased sensitivity to communication, interpersonal and cultural factors” (Jones 1995:82).

According to Henry (1980:83) “all of these challenges can be overcome by recognising the salient issues and finding the appropriate solutions. For example, many of these challenges can be overcome by applying good leadership in the virtual workplace. Good workplace leadership has been said to increase the probability of success in virtual workplaces and within virtual teams”.

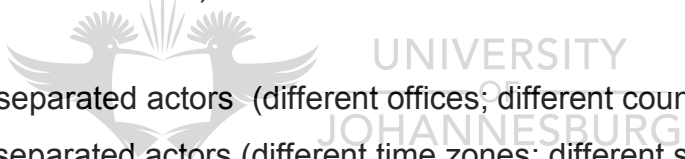
Jones (1995:87) also stated that a “virtual organisation can be distinguished from hierarchical and network forms of organisation by its rejection of status boundaries and the lack of importance it ascribes to proximity. Formal hierarchies may connect distant offices and plants in a flow of information and material resources, but they enforce distinctions between departments as part of a system of top-down command and control” (Jones 1995).

A ‘network’ refers to the pattern of connections between people. Teams and facilities that are connected by technology are typically labeled as ‘elements’ in a network. The features of the networked organisation design are likely to ensure that 21st century organisations achieve success. “Hierarchy and matrix evolved to suit costly information and limited communications. However, the Internet is a medium of cheap, rapidly obsolescing information and expansive communications. The Internet changes decision-making dynamics, increases potential decision alternatives and compresses the decision-action cycle” (Handy in Auriacombe et al. 2011:158). The

most recent family of organisation designs must reflect this new reality. New operating conditions demand a new organisation design. However, they do not require abandoning design principles. Network organisation “differs from formal hierarchies in its emphasis on informal communication patterns that bring more and richer information and expertise to mitigate problems and present new opportunities” (Handy in Auriacombe et al. 2011:158).

However, network organisations do “not require the mobility and freedom of a specific place that are defining features of virtual organisations. The fundamental distinction is that neither hierarchies nor networks have the flexibility of interdependent relationships across space, time and formal boundaries that characterise virtual organisations as they rely on the physical proximity of their staff to maintain an effective structure” (Daft in Auriacombe et al. 2011:160).

Interdependent relationships should be developed and maintained between (Henry in Van der Waldt et al. 2007:144):

- 
- “physically separated actors (different offices; different countries);
 - temporally separated actors (different time zones; different schedules)’
 - actors with different but complementary needs (employees and customers); and
 - actors and communication technologies (voice mail systems; the internet, e-mail accounts)”.

“Through the processes of virtual organisation, the relationships between organisational entities, their representatives and extensions (such as Web pages, voicemail banks, offices) are created and managed irrespective of the place and time schedules of their participants” (Henry in Van der Waldt et al. 2007:76).

3.4.5.4 Quantum organisations

In 1900, physicist “Max Planck announced to the world to the notion of tiny, discrete bundles of energy, which behaved both as waves and as particles, and came to be

known as 'quanta'. In the weird nature of reality in a quantum world, a quantum object" (for example, an electron) (Van der Waldt et al. 2007:79):

- "can be at more than one place at a time;
- cannot be said to manifest in ordinary space-time reality until it is observed as a particle;
- ceases to exist here, and simultaneously appears in existence over there; it can be said it went through the intervening space (the quantum leap).
- that manifests, caused by our observation and simultaneously influences its correlated twin object no matter how far apart they are (quantum action at a distance"; non-locality) (Van der Waldt et al. 2007:79).

The "principles of quantum physics are an essential component of what is happening in organisations. People in and outside an organisation also act as quantum particles and synergy and alignment is established. A quantum organisation creates capacity for an empowering atmosphere of trust, safety and a sense of belonging. This enables continuous introspective and organisational learning, where personal (employee) values are aligned to behaviour. The capacity to create and maintain this atmosphere results in shared vision, shared values, positive dialogue and communication, trust, courage and learning" (Van der Waldt et al. 2007:81).

The result of this quantum synergy is an organisation where the "combined effect of the interrelationships between employees far exceeds the sum of their otherwise individual" efforts . objectives (Van der Waldt et al. 2007: 84). "The greater value of this combined effort results from individuals who work together in mutually enhancing ways to achieve" organisational effectiveness. Notably, they inspire each other to determine and achieve both personal and organisational objectives" (Van der Waldt et al. 2007: 84).

According to Van der Waldt et al. (2007:96), "Contemporary organisational theorists assert that Newtonian organisations no longer work and that leaders can invigorate their institutions by incorporating the insights of quantum physics. The reason for this assertion is because of the fact that the Newtonian organisation requires certainty

and predictability. They are typically hierarchical in structure, with perceived power emanating from the top, and authority and control exercised at every level. They tend to be bureaucratic and rule-bound, but most importantly they are necessarily inflexible and are managed as though the individual parts (groups/teams) organise the whole organisation”.

The quantum organisation relies on finding unique solutions, ideas and insights. All members share and align “their individual skills sets, talents, insights, personal experiences and individual identities” (Rovin 2001:209) with the organisation’s vision, mission, values and goals. According to Rovin (2001:209) “many organisations as engaged in a war of the parts against the whole and notes that parts (teams/groups) often try to succeed at the expense of the organisation as a whole”. According to Van der Waldt et al. (2007:93), “The message to leaders is a challenge to design the organisation first, as the function of the parts flows from the whole. Leaders should focus on designing the relationships and interaction between the parts, because that interaction defines the success or failure” of the entire organization” (Van der Waldt et al. 2007:93). As Peter Senge, in *The Fifth Discipline* (in Van der Waldt et al. 2007:96) explains: “There is the need to think insightfully about complex issues. Here, teams must learn how to tap the potential for many minds to be more intelligent than one mind”.

“Most of the employees are actively involved in self-designing and self-managing their [organisation’s] systems and processes. [A quantum] culture actively encourages the further development of member consciousness, thereby investing in the [organisation’s] self-organising and self-transforming capabilities. Cross-boundary processes and information are explicitly managed with cooperation and commitment, as are all cross-boundary relationships with external stakeholders” (Van der Waldt et al. in Jarbandhan 2012 b: 8).

3.5 Theoretical approaches to the study of organisations

“Scholars often split organisational theory into two separate fields or approaches. The first concerns the **structure** of organisations and the second relates to **human behaviour** within organisational structures. Often, these two fields are closely linked

together, as one may have an influence on the other. Thus, organisational structure can affect human behaviour, and vice versa” (Henry in Auriacombe et al. 2011:109).

It is important to understand that organisations include structures (with systems, processes, procedures, design, order and control), as well as people who must function within these structures to operationalise organisational objectives.

Modern organisation theory originated during the Industrial Revolution in the late 1800s and early 1900s. The research of Max Weber (1864-1920) in particular influenced modern thinking about organisations. Weber argued that bureaucracies represented the ideal organisational type. He premised his thinking “on legal and absolute authority, logic and order. In his idealised organisational structure, workers’ responsibilities are clearly defined and rules, policies and procedures tightly control behavior” (Ackoff 1999:119).

According to Daft (1999:128) “Weber's theories of organisations reflected an impersonal attitude toward the people in the organisation. People with their imperfections were regarded as a potential detriment to an organisation’s efficiency. Although these theories are now considered to be outdated, views such as Weber’s, provided important insight into earlier ideas of process efficiency, division of labour and authority”.

Eventually scholars began to adopt a less mechanical view of organisations and paid more attention to human behaviour and dynamics (Ackoff 1999:146). “This development was motivated by several studies, such as the Hawthorne experiments” (Ackoff 1999:146) that provided insight into “the function of human fulfillment” in organizations (Ackoff 1999:146). Maslow's ‘hierarchy of human needs’ built on this new thinking with regard to organisation theory. “Maslow’s theories introduced two important implications into organisation theory. The first was that people have different needs and therefore need to be motivated by different incentives to achieve organisational objectives. Maslow’s second theory held that people’s needs change over time. This implies that as the needs of people lower in the hierarchy are met, new needs arise” (Daft 1999:132). “These assumptions led to the recognition, for example, that assembly-line workers could be more productive if more of their

personal needs were met, whereas past theories suggested that monetary rewards were the sole, or primary, motivators” (Ackoff 1999:146).

Because of the diversity of organisations, it is almost impossible to neatly categorise and summarise all the theories relevant to public organisations. Below is a brief summary of the theories that are, or have been, most influential in this field. For the purposes of this thesis, the summary should indicate the broad spectrum of issues that are typically covered in modern structural organisation theory.

3.5.1 Classical approaches

“The classical management theory, which came about during the Industrial Revolution, focused on the single best way to perform and manage tasks. This enabled factories to operate year-round and ensured the mass production of goods” (Etzioni 1964:55). “But as the revolution progressed, the factories divided into separate schools of thought regarding management, yet still considered it to be a part of classical management theory” (Etzioni 1964:55). “The emphasis on manufacturing and completing one’s work formed the basis of the classical-scientific school. Managers constantly monitored workers and controlled the work they did. This caused productivity to increase, but failed to consider workers’ needs” (Etzioni 1964:56).

The classical school of thought mainly began to emerge during the second generation of the “Industrial Revolution around 1900 and continued into the 1920s when new problems related to the factory system began to” (Etzioni 1964:57) arise. Organisations – and the people within them – “were viewed as machines. The thinking was that since workers behave predictably like machines (they rarely deviate from the norm), management knows what to expect, and workers who operate outside expectations are replaced” (Etzioni 1964:58).

According to Etzioni (1964:58) “there are three well-established theories of classical management, namely:

- Taylor’s Theory of Scientific Management,
- Fayol’s Administrative Theory, and
- Weber’s Theory of Bureaucracy” (1964:58).

“Although these theories have developed in historical sequence, later ideas have not replaced earlier ones. Instead, each new theory has complemented or coexisted with previous ones” (Henry in Auriacombe 2011:174).

3.5.1.1 Theory of Scientific Management (1890-1940)

“Frederick W. Taylor is considered to be the father of scientific management” (Etzioni 1964:58). “Taylor developed the ‘scientific management theory’, which espoused careful specification and measurement of all organisational tasks. Tasks were standardised as much as possible, while workers were rewarded and punished. This approach appeared to work well for organisations with assembly lines and other mechanistic, routinised activities” (Etzioni 1964:60).

“Scientific management is based on the premise is that there is *one best way* to accomplish any given task. Scientific management promotes the idea that managers are responsible for ensuring that the ‘one best way’ is imposed in a top-down manner. Classical organisation theory evolved from the fundamental belief of the scientific management movement. The train of thought was that if there is one best way to complete any given task, so there must also be only one best way to accomplish social organization” (Henry in Van der Waldt et al. 2007).

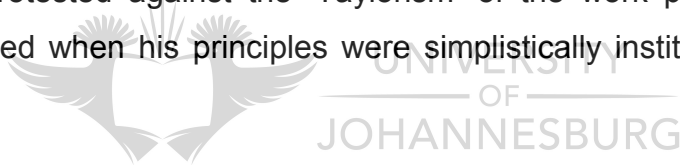
“Applications of scientific management sometimes fail to account for two inherent difficulties” (Van der Waldt et al. 2007:38):

- “It ignores individual differences: the most efficient way of working for one person may be inefficient for another.

- It ignores the fact that workers' and management's economic interest are rarely identical". As such, the workforce would often resent and sabotage the measurement and retention processes required by Taylor's methods" (Van der Waldt et al. 2007:178).

Taylor recognised both difficulties. However, "managers who only see the potential improvements to efficiency often fail to address these difficulties" (Van der Waldt et al. 2007:179). "Taylor believed that scientific management cannot work unless the worker benefits in some way. In his view, management should arrange the work in such a way that one is able to produce more and get paid more" (Van der Waldt et al. 2007:179). This could be done "by teaching and implementing more efficient procedures for producing a product" (Van der Waldt et al. 2007:180).

Employers who introduced "time and motion studies simply to extract more work from employees at less pay" used Taylor's ideas (French and Bell 1995:65). Labour unions strongly protested against the 'Taylorism' of the work place. "Quality and productivity declined when his principles were simplistically instituted" (French and Bell 1995:65).



Argyris (1957:163) notes that if classical organisational principles "are used, employees work in an environment" where they:

- "have minimal control over their working lives;
- are expected to be subordinate, passive and dependent;
- work with a short-term perspective;
- are induced to perfect and value the frequent use of a few skin-surface shallow abilities; and
- face working conditions that are conducive to psychological failure" (Argyris 1957:163).

This approach is of course in contrast with modern management thinking with its emphasis on participative management styles, teamwork and motivation. The "classical-scientific approach towards management is a highly autocratic leadership

style. This means that management makes all decisions; direction and commands come only from the manager. This leadership style is derived from the belief that managers are the source of all knowledge and that the only way to achieve efficient production is to treat employees like machines that need constant direction and guidance” (Argyris 1957:163). Another weakness “in classical organisational theory is the assumption that all organisations are somehow alike” (French and Bell 1995:66).

3.5.1.2 Administrative theories

Pioneered mainly by Henri Fayol (1841–1925), “administrative theory is an early form of organisation theory that was concerned with achieving the ‘most rational’ organisation for co-ordinating the various tasks specified within a complex division of labour. Expressing the French ‘administration’ as ‘management’ has also led to the alternative designation of this approach as the ‘classical school of scientific management” (Guerreiro in Auriacombe et al. 2011).

“Developed at the same time as scientific management, administrative theory emphasised management functions and attempted to generate broad administrative principles that would serve as guidelines for the rationalisation of organisational activities” (Guerreiro in Auriacombe et al. 2011:156). “While Taylor reorganised from the ‘bottom up’, administrative theorists looked at productivity improvements from the ‘top down’. Administrative theorists developed general guidelines of how to formalise organisational structures and relationships” (Auriacombe et al. 2011:157). “They viewed the job as an antecedent to the worker. Primarily, these principles were broad guidelines for decision-making” (Auriacombe et al. 2011:158).

The “classical management theory can be divided into two perspectives distinguished by the issues and problems that they address. One perspective, administrative theory, evolved from both European and American academics and managers’ concern with the nature and management of the total organization” (Kreitner and Kinicki 1998 in Van der Waldt et al. 2007:189). “Issues and problems that they sought to address focused on the technical efficiency of the organisation. A second perspective, scientific management, emerged primarily among American

scholars and managers and focused on issues involved in the management of work and workers” (Kreitner and Kinicki 1998 in Van der Waldt et al. 2007:189).

“The administrative function has many duties. It has to foresee and make preparations to meet the financial, commercial and technical conditions” (Kreitner and Kinicki 1998 in Van der Waldt et al. 2007:189) under which an organisation must function. It deals with organising, selecting and managing staff, and how the “various parts of the enterprise communicate with the outside world. Although this list is incomplete, it gives us an idea of the importance of the administrative function. The sole fact that it is in charge of the staff makes it in most cases the predominant function. Even if an organisation has perfect machinery and manufacturing processes, it is doomed for failure if it is run by an inefficient staff” (Kreitner and Kinicki 1998 in Van der Waldt et al. 2007:190).

Administrative theory includes the “total organisation and attempts to develop principles that will direct managers to more efficient activities” (Kreitner and Kinicki 1998). Prominent administrative theorists were Henri Fayol, Max Weber and Chester Barnard.

3.5.1.3 Theory of bureaucracy (1930-1950)

“Max Weber enriched the scientific management and administrative theory with his bureaucratic theory. Weber focused on dividing organisations into hierarchies, establishing strong lines of authority and control. He suggested that organisations develop comprehensive and detailed standard operating procedures for all routinised tasks” (Ackoff 1999:102).

Max Weber, developed a theory of “bureaucracy in which he describes the ideal type of this organisational type. His bureaucracy is based on the principles of fixed jurisdictional areas, office hierarchy and levels of graded authority” (Van der Waldt et al. 2007:103). The bureaucracy’s “structure is permanent and includes promotion based on merit; secure employee tenure; a pyramidal structure; authority in supervisory positions; and a system of explicit rules. Weber’s bureaucracy supposes

that an individual works from the bottom of the pyramidal structure to the top, gaining authority and wage increases on the way” (Weber 1947 in Van der Waldt et al. 2007:200).

Fundamentally, bureaucratic administration means exercising “control on the basis of knowledge” (Weber 1947 in Van der Waldt et al. 2007:201). “Power is mainly exemplified within organisations by the process of control” (Van der Waldt et al. 2007:201). “Weber differentiated between power and authority, by defining the former as any relationship where one person could impose his will – regardless of any resistance from the other. Authority, in turn, exists when there is a belief in the legitimacy of that power” (Van der Waldt et al. 2007:202). According to Weber, “legal authority is attained through the most efficient form of organisation: bureaucracy. He argues that managers should not rule through arbitrary personal whim, but according to a formal system of rules” (Van der Waldt et al. 2007:202).

According to Van der Waldt et al. (2007:203) “Weber is usually described as having believed that bureaucracy is the most efficient form of organisation. In fact, he believed bureaucracy to be the most formally rational form of organization”. In this regard, Weber was of the opinion that bureaucracy was more efficient than the other forms of organisational structure. “His primary concern was to establish behavioural patterns that avoided the corruption, unfairness and nepotism, which characterised most 19th century organisations. Based on his ideas concerning the legitimacy of power, Weber outlined the ten characteristics of bureaucracy in its purest form” (Van der Waldt et al. 2007:206). Such an organisation is according to Van der Waldt et al. (2007:209) characterised by:

- “Organisation: Functions bound by rules”.
- Specialisation: “Each office has a defined sphere of competence, involving division of labour”. The organisation’s “tasks are divided into distinct functions, which are given to separate offices. These functions are clearly specified so that the staff knows exactly what is expected of them. Job-holders are given the necessary authority to carry out their roles”.

- “A clearly defined hierarchy of offices: A firm system of supervision based on clear levels of authority. Each official knows who to report to, with specified rights of control and complaint procedures”.
- “Rules: A system of conduct that can be learned and may require technical qualifications to understand and administer”.
- “Impersonality: There is no hatred or passion and all clients are treated equally. Staff members are free of any external responsibilities and constraints. They are able to attend to their duties in a fair and objective way”.
- “Free selection of appointed officials: Individuals are appointed on the basis of professional qualifications, such as proof of a diploma. They are appointed rather than elected, so that there is no question of bias or favour”.
- “Full-time paid officials: They are usually paid on the basis of hierarchical rank; the office is their sole or major concern. Officials are appointed on the basis of a contract. They have a monetary salary and usually have pension rights. The salary is graded according to their position in the hierarchy. The officers can leave their posts, and under certain circumstances employment can be terminated”.
- “Career officials: There is a career structure and a system of promotion based on seniority or merit according to the judgement of superiors”;
- “Private/public split: Business and private life is separated. The official is detached from the organisation’s ownership. The finances and interests of the two should be kept firmly apart. The resources of the organisation are quite distinct from those of the members as private individuals. Officials may appropriate neither posts nor resources. This was a radical notion at a time when bribery was the norm and officials regularly took a cut of any fee or payment due to their office”.
- “There is a strict, systematic discipline and control of the official's work” (Van der Waldt et al. 2007:209).

Despite the fact that Weber’s ideas are based on the notion of a formal rational system, his ideas were unfortunately too idealistic although they are “still relevant today, however, his notion of ‘unity of command’ (all orders come from one individual down the line) came under criticism” (Van der Waldt et al. 2007:209). Other

researchers, such as “Luther Gulick, argued that an individual who would have the intellectual and emotional capacity to give all orders was a rare commodity. Gulick, and others who formed the Administrative Management School, argued that the executive pyramid worked only when specialisation and division of labour occurred” (Van der Waldt et al. 2007:105). “Gulick’s concept of organisational structure involved sub-units based on four primary aggregate principles: purpose (groups with similar goals); process (groups who function in the same way); persons or things dealt with or served (organised, based on service groups); and, place (organised, based on geographical location)” (Van der Waldt et al. 2007:105).

These issues are “still at the heart of theory dealing with organisational structure today. Much of the contemporary literature focuses on the merits of putting authority in the hands of one leader versus distributing that power, and the risk that accompanies that power, to line staff” (Henry in Auriacombe et al. 2011:145).

3.5.2 Neo-classical approaches

Neo-classical approaches can be divided into human relations and contemporary theories.



3.5.2.1 Human relations approach

The human relations school of management “has changed overall management practice for the better. Often referred to as motivational theory, human relations management theory views the employee differently than the more autocratic management theories of the past” (Van der Waldt et al. 2007:105).

“Based on Douglas McGregor's X and Y theories, human relations management theory (Theory Y); assumes that people want to work; that they are responsible and self-motivated; that they want to succeed; and that they understand their own position in the company hierarchy. This is the exact opposite of Theory X, which presumes that employees are lazy and unmotivated; that they seek nothing more from their jobs than security; and that they require external discipline. Rather than viewing the worker as merely one more cog in the company machine, human

relations management theory asserts that the organisation will prosper if it helps the employee prosper” (Van der Waldt et al. 2007).

“According to human relations management theory, some positive management actions that lead to employee motivation and improved performance include” (Pfeffer 1982 in Van der Waldt et al. 2011:79):

- “Treating employees as if work is as natural as play or rest (just as motivational theory states).
- Sharing the big-picture objectives that they work towards.
- Empowering them to be innovative and make as many independent decisions as they can handle.
- Training and developing them, increasing freedom and responsibility as their capabilities grow.
- Providing appropriate recognition and rewards when they achieve company goals.
- Using any other helpful human relations that that will keep them motivated toward excellence” (Pfeffer 1982 in Van der Waldt et al. 2011:79-80).

Today’s “human resource manager is responsible for a plethora of duties, such as recruitment; administration; compensation; training and learning; managing employee/employer relations; mediation; negotiation of labour relations; legal implementation of human resource related legislation; and developing people. The foremost duty of the human resource staff is employee relations within an organisation. The human resource manager is responsible for ensuring that there is internal harmony between staff and management, as well as external compliance to federal and territorial legislation that is becoming more complicated. Employees are protected by legislation in the areas of age, equality and employment opportunity, safety, wrongful discharge and disabilities” (Robbins 1990:169).

A wide range of human resource techniques has been developed to meet these flexibility and alignment goals. This period can best be characterised as a period of learning through experimentation. These developments have led to the so-called

'ideal' human resource unit. Schwind et al. (1999:186) describe the ideal "human resource (HR) department as follows:

- *"Classification and staffing support* - Unit responsible for writing job descriptions, recruiting and staffing".
- *"Pay and benefits* - Manages the pay system (including raises on the pay scale and bonus pay), benefits and calculates leave days. This unit may also be responsible for ensuring that performance evaluations are complete, as evaluations are often connected with raises and bonuses"
- *"Labour/employee relations* – Manages staff/employer relations and relations with unions. Unions should be involved up-front in change management and in other areas that will benefit employees in the long run".
- *"Human resource planning* - Forecasting human resource needs involves projecting demand for the organisation's products and services; reallocating resources appropriately; and developing new products or services. In order to "forecast human resource needs, one has to analyse the organisation's history, turnover rate, demographics and budget. This function also requires strategic planning for the future (such as succession planning), as well as short-term planning".
- *"Training and development* - Training and development is a key function of HR directorates".
- *Officer manager/administration* – "The ideal HR unit could not function without administrative staff. Office managers are generally responsible for making the daily operations run smoothly by record-keeping, budgeting, ordering supplies, keeping track of equipment and performing other key office duties".

- *“Employment equity”* - Employers develop “employment equity” programmes to right past wrongs, avoid future discrimination, as well as avoiding excluding a group that may benefit the labour pool .
- *“Policy, legislation and strategic HR”* - These divisions ensures that the company complies with relevant policy and legislation; develops human resource policies and procedures; and performs strategic human resource functions, which are now becoming popular among human resource managers (Schwind et al. 1999:186-187).

3.5.2.2 Contemporary organisational theories

Various other perspectives, approaches and theories resulted from the two basic foundational (classical) theories of organisations.

3.5.2.2.1 Systems theory

What is the relevant environment of a public organisation? Is it the political context, the community in which the institution is located, the employees, or society as the consumer of its services and products? If managers are to understand the forces that influence organisational systems, they must be able to specify the environmental origin of such forces (Auriacombe et al. 2011:212).

Systems theory is “one of the major breakthroughs in understanding the complex world of systems. The application of this theory is called systems analysis. Systems thinking is one of the tools of systems analysis. Very basically, systems thinking is a way of helping a person to view the world, including its organisations from a broad perspective that includes structures, patterns and events, rather than just the events themselves. This broad view helps one to identify the true causes of issues and know where to work to address them” (Senge 1990:166).

Recently, management studies have come to view organisations from a systems perspective. “This interpretation has brought about a significant change (or paradigm

shift) in the way management studies and approaches organisations. Very simply, a system is a collection of parts (or subsystems) that are integrated to accomplish an overall goal (a system of people is an organisation). Systems have inputs, processes, outputs and outcomes, with ongoing feedback among these various parts. If one part of the system is removed, the nature of the system is changed” (Senge 1990 in Auriacombe et al. 2011:213).

“Peter Senge's book, *The Fifth Discipline* (1990), is a seminal work about systems thinking and its application to organizations” (Van der Waldt et al. 2007:96). As a result of systems theory, “writers, educators and consultants are helping managers to look at organisations from a broader perspective. Systems theory has given managers a new perspective on how to interpret patterns and events in their organisations. In the past, managers typically took one part and focused on that” (Senge 1990:167). “Then they shifted all their attention to another part. The problem was that an organisation could, for example, have wonderful departments that operate well by themselves but do not integrate well. Consequently, the organisation suffers as a whole” (Van der Waldt et al. 2007:96).

One of the most important arguments for a systems-based approach to an organisation is that the environment within which organisations exist is becoming increasingly dynamic and unstable. The environment is characterised by rapid technological growth, expanding economic markets; and rapid social and political change. As a result, organisations are under constant pressure to change, adapt, and grow in order to meet these environmental challenges. When examining this process, it becomes evident that the entire organisation – not merely some key individuals – must be studied if this process is to be understood properly.

The relationships between organisations and their environments are complex; to date they have not been conceptualised sufficiently. For example, it is difficult to define the appropriate boundaries of what size an organisation's environment is. Organisations include representatives from the external environment. Employees are not only members of the organisation which employs them, but they are also members of society, other organisations, unions, consumer groups and so on. These various other roles also include certain demands, expectations and cultural norms.

The nature of the environment is itself changing very rapidly. This can be seen clearly in the rapid growth of technology. However, change is also increasing in the economic sector due to expanding international markets. Within the socio-political sector, changing norms about the priorities that should guide technologically sophisticated countries like the US and Japan also play a key role. From being relatively stable and predictable, portions of the environment have become 'turbulent', which requires a different kind of organisational capacity.

"Systems range from very simple to very complex. There are numerous types of systems, such as biological (the heart), mechanical (a thermostat), human/mechanical (riding a bicycle), ecological (predator/prey) and social systems (groups, supply and demand, friendship)" (Robbins 1990:181).

"Complex systems, such as social systems, also include numerous subsystems. These subsystems are arranged in hierarchies, and integrated to accomplish the overall goal of the overall system. Each subsystem has its own boundaries, and includes various inputs, processes, outputs and outcomes geared to accomplish an overall goal for the subsystem" (Robbins 1990:182).

"Systems have inputs, processes, outputs and outcomes. Inputs to the system include resources, such as raw materials, money, technology and people. These inputs go through a process where they are aligned, moved along and coordinated carefully. The main aim is to achieve the goals that are set for the system. Outputs are tangible results produced by processes in the system, such as products or consumer services. Another kind of result is outcomes or consumer benefits, such as jobs for workers and enhanced quality of life for customers" (Robbins 1990:182).

"Systems can be the entire organisation, or its departments, groups or processes" (Robbins 1990:182).

"Feedback comes from employees who carry out processes in the organisation, and customers/clients using the products and services. Feedback also comes from the larger environment of the organisation, such as influences from government, society, economics and technologies" (Robbins 1990:184).

“Each organisation also has numerous subsystems. Each subsystem has its own boundaries of sorts, and includes various inputs, processes, outputs and outcomes that are geared to accomplish an overall goal for the subsystem” (Robbins 1990 in Van der Waldt 2007:169). “Common examples of subsystems include departments, programmes, projects, teams and processes to produce products or services. Organisations consist of people -- who are also sub-systems of systems. Subsystems are organised in a hierarchy that is needed to accomplish the overall goal of the overall system” (Robbins 1990:185).

For example, a public organisational “system is defined by its constitutional mandates, mission, goals and strategies, policies and procedures and operating manuals. It can also be defined by its organisational charts, job descriptions and materials” (Robbins 1990:186). “The organisational system is also maintained or controlled by policies and procedures, budgets, information management systems, quality management systems and performance review systems” (Robbins 1990:186).

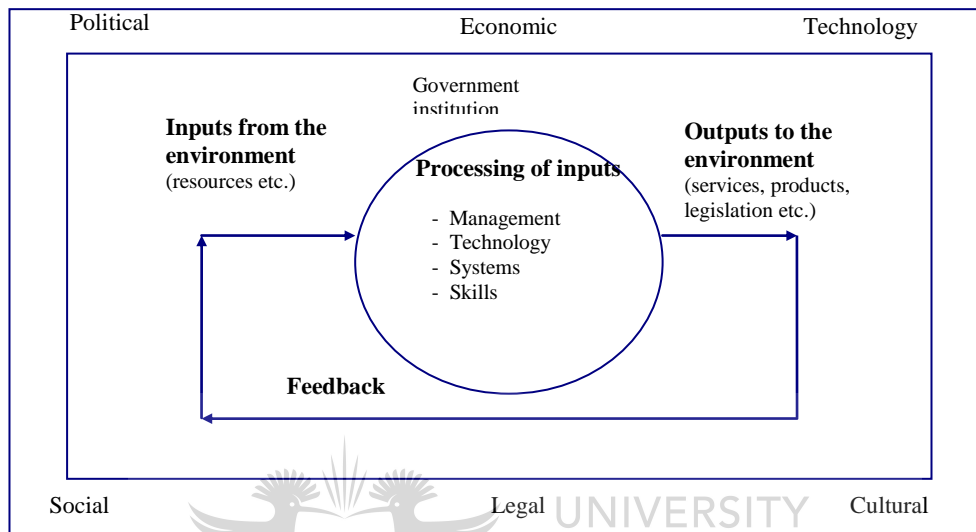
According to Robbins (1990:187) “More managers are recognising the various parts of the organisation, and, in particular, the interrelations of the parts, such as coordinating central offices with other departments; engineering with manufacturing; and supervisors with workers. Managers now focus more attention on matters of ongoing organisation and feedback”. Managers now anticipate problems, “not by examining what appear to be separate pieces of information about the problems within the organisation, but by recognising larger patterns of interactions. Managers maintain perspective by focusing on the outcomes they want from their organizations” (Robbins 1990:187).

According to the systems approach a public institution can be viewed as a system consisting of four basic elements. These are:

- inputs;
- processing;
- outputs; and
- feedback.

Accordingly, the system (department) obtains “inputs from the environment in the form of resources, such as labour, capital and information. Management processes these inputs into outputs in the form of services or products to the environment (community)” (Daft 1998:201).

Figure 3.1: A system perspective



A system is closed when it is self-sufficient and independent of a specific environment. In contrast, a system is regarded as open if it has a definite interaction with the environment. There is virtually no functional system within a government institution that can be described as closed. A government institution can be regarded as an open system because:

- “it is dependent on the environment in which it operates;
- the environment is dependent on it; and
- there is a specific interaction between system and environment” (Daft 1998:204).

A public institution “must ensure that its administration is based on sound principles of public management and administration, as well as public accountability in order to render effective services to the people in its judicial area” (Daft 1998:205).

The macro-environment affects the institution directly, for example how politics and the subsequent legislation influence the institution's functioning. The macro environment can be divided into the following main environments (Pfeffer 1982 and Dessler 1992):

- Technological (computers, equipment and techniques).
- Economic (fiscal arrangements, taxes and grants).
- Social (urbanisation, unemployment and crime).
- Political (legislation, pressure groups and parties).
- Cultural (diversity, religion and language).
- Legal (regulations, policies and implications).

Changing forces within each of these environments force authorities to change and adapt on a continuous basis. A process of environmental scanning (see strategic management) is necessary to constantly monitor and evaluate the forces at play in order to ensure that departments within an authority adapt in a proactive manner.

3.5.2.2.2 Related modern structural organisation theory

In the sections above, some of key issues associated with modern organisation theory were explored. In this section the focus will be on specific theories related to modern structural organisation theory, namely contingency, complexity, transaction-cost, actor-network and agency theories.

- **Contingency theory**

Contingency theory relates to many management theories. These theories propose “that previous theories, such as Weber’s bureaucracy and Taylor’s scientific management, had failed because they neglected that management style and organisational structure were influenced by various” environmental factors: the so-called contingency aspects. Contingency theory suggests that there shouldn’t be ‘one best way’ for leadership or organisation; it all depends on the situation or context thereof” (Daft 1998:207).

The core of the contingency theory is that influences from the internal and external environments of organisations will, to a large extent, influence decision-making. From a systems perspective, organisational processes are influenced by various internal and external environmental constraints (Daft 1998).

“The constraints determine the status of the organisation’s environmental supra-system and the state of each subsystem” (Daft 1998:208). The organisational process therefore relies on external and internal stimuli. Furthermore, it relies on the degree of freedom and organisational constraints of states within the system. “Some internal contingencies include structural, output, demographic and traditional contingencies. External contingencies include economic, technological, legal, socio-political, cultural and environmental contingencies” (Daft 1998:208). “As an analyst, the public manager should consider the following options: What are the contingencies under which organisations function best when confronting their environment? Specifically, do different types of organisations have different process needs? Do organisational internal contingencies (demographics such as age, sex, education, seniority and management level) affect management?” (Daft 1998 in Auriacombe et al. 2011:143).

- **Complexity theory and organisations**

Complexity-based theoretical “thinking has been present in strategy and organisational studies since their inception as academic disciplines” (Daft 1998:209). “Broadly speaking, complexity theory is used to understand how organisations adapt to their environments. The theory treats organisations as collections of strategies and structures. When the organisation shares the properties of other complex adaptive systems – which are often defined as a small number of relatively simple and partially connected structures – they are more likely to adapt to their environment and, thus, survive” (Bidwell 1986:47). The application of complexity theory to organisations offers an opportunity to consider various epistemological ramifications (Bidwell 1986).

- **Transaction cost theory**

“Developed by Ronald Coase in 1932 in Scotland, transaction cost theory is based on the notion that when an organisation tries to determine whether to outsource or to produce goods or services on its own, production costs are not the sole determining factor” (Evan 1993:74). Other “significant transaction, search, contracting and coordination costs are also involved. Those costs frequently determine whether a public organisation uses internal or external resources for products or services. This is the essence of the ‘make-versus-buy’ decision” (Evan 1993:192).

The unit of analysis in transaction cost theory is a “transaction”, which occurs when a product or service is transferred to another organisation. Public officials must weigh up the production (transaction) costs associated with executing a project within their organisation (service delivery projects) against the cost associated with outsourcing. If they choose to use another organisation to produce and deliver the project, they must determine the appropriate type of contract to use (known as service level agreements or service contracts) (Evan 1993).

- **Agency theory**

“Agency theory was developed in the 1970s and focuses on the way the organisation’s central management manages its relations and enters into contractual arrangements with its functional managers (agents)” (Daft 1998 in Evan 1993:70). “The conditions under which agents work with senior managers may influence the organisation’s behaviour directly. Issues such as remuneration, accountability, delegation, reporting and interpersonal relationships are among the major concerns of both parties in this relationship” (Daft 1998 in Evan 1993:71).

Agency theory is directed at the agency relationship where one party, such as senior management (the principal) delegates work to another, such as middle management (the agent), who performs the work. “It is concerned with resolving two problems that can occur in agency relationships. The first is the agency problem that arises when

the goals of the principal and agent conflict and it is difficult for the principal to verify what the agent is actually doing” (Daft 1998 in Evan 1993:73).

According to Evan (1993:74) “the problem here is that the principal cannot verify whether the agent has performed his/her responsibilities at an acceptable level. The second is the problem of risk sharing that arises when the principal and agent have different attitudes towards risk and that the principal and the agent may prefer different actions due to their different risk preferences” (Evan 1993:74).

3.6 Theories of organisational change in public institutions

Organisational change theories have their roots in the early works of Adam Smith (1776), Charles Babbage (1832), Andrew Ure (1835), Karl Marx (1867), Fredrick W. Taylor (1911), Max Weber (1922), Elton Mayo (1933), Chester Barnard (1938) and F J Roethlisberger and W J Dickson (1939), Boxall, Purcell and Wright (2007:109) (cf. Jarbandhan 2012:44). “These authors had written about organisational issues in general, but had not developed theoretical ideologies. In the middle of the twentieth century, American mechanical engineers gave much thought to organisational thinking. They were interested in motivating their organisations and optimising efficiency, which saw a rising interest in organisational theories” (Jacques, Shenhav, Shenhav and Weitzer in Boxall, Purcell and Wright 2007:110). The 1960s was characterised by a formal growth in organisational theory. This was reflected in the increased number of business degree programmes that universities – especially in the US – offered (Starbuck in Boxall et al. 2007:111).

Internationally, public institutions “have undergone profound change. Most of these changes stem from the external environment. However, the literature review also indicates that some of the changes emanate from the internal environment. As a result, public sector managers must be able to manage these changes. A literature survey on organisational change indicates that there are various organisational change theories. These theories include the bureaucratic approach, as well as behaviour-oriented, action research, contingency and contemporary models” (Jarbandhan 2012:47).

The following section will focus on the theories of change – especially those that are central to this thesis.

3.6.1 The functionalist/systems and contingency models of change

“In this particular model, organisations are not seen in isolation, but are seen as being influenced by environmental factors. In essence, organisations receive and process ‘inputs’ that they convert to outputs” (Boxall et al. 2007 in Jarabandhan 2012:49). “In his book entitled *Organisations in Action* (1967), Thompson (in Van der Waldt 2007) suggests that there are two distinct approaches to studying complex organisations. One is the ‘closed-system strategy’ and the other is the open-system strategy” (Jarbandhan 2012:50).

The ‘closed-system strategy’ is concerned with the efficiency in which organisations accomplish their goals. “This particular sub-mode attempts to use an organisation’s resources in a functional manner, ‘with each component contributing to the logic’ of the system, while added control mechanisms are designed to reduce uncertainty” (Denhardt 2008:83). A good example of a closed-system approach is the Weberian model of bureaucracy (see section 3.5.1.3).

“In contrast, the ‘open-system strategy’ is based on the assumption that one cannot know all the variables that may influence organisations. Likewise, one cannot predict and control the influence of these variables” (Denhardt 2008:84). “Consequently, the open-system sub-model makes the assertion that predictability and control cannot be made for certain” (Denhardt 2008:84). According to Thompson in Denhardt (2008:83) “the complex organisation is a set of interdependent parts which together make up a whole because each contributes something and receives something from the whole, which in turn is interdependent with some larger environment”.

“It can be concluded that the systems model of organisational change and human resource management can be used as a means of finding common linkages between general management and the human resource process – something that has been lacking from a theoretical point of view” (Van der Waldt et al. 2007 in Jarbandhan 2011:54).

3.6.2 Complexity theory and change

“Complexity theory, as popularised by many authors” (Mainzer, Pagels, Kauffman, Wheatly in Blandin in Morse et al. 2007:140), “contends that public organisations are dynamic, complex and highly uncertain and these organisations need radical leaders who are willing to break away from the shackles of conventional wisdom”. “This means that public organisations need be led by individuals who require nothing short of a personal conversion (Lewin and Regine in Blandin in Morse et al. 2007: 155).

“Complexity theory focuses on a new understanding of organisations and leadership by maintaining that organisations exist as complex systems. Based on the complexity theory, the new type of leader that will be suited to modern public sector organisations has to possess the following key elements” (Blandin in Morse et al. 2007: 145). There should be a move away from:

- “determinism and control to lack of control: The notion of a single leader or a small group of leaders has to be re-examined. Complexity theory holds the view that leaders need to let go of control. Lewin and Regine (in Morse et al. 2007) contend that leadership is a dynamic rather than a controlled process.
- directing to enabling: Complexity theory holds the view that the leader is seen as a facilitator, catalyst and collaborator, instead of someone who directs, controls, influences and motivates.
- one leader to many leaders: There is a definite move away from traditional leadership. Instead of focusing on one or a small group of leaders, complexity thinking holds the view that leadership needs to be exercised throughout the institution.
- static, role-based leadership to emergent leadership: The view here is that leadership roles ‘evolve and are not static’ (Blandin in Morse et al. 2007). Leadership is created through interaction and is continually evolving.
- traditional attributes to complexity-based attributes: The leader in the complex model is one with a different set of competencies than that of a traditionalist background. Some of the competencies range from zeal and persistence to agility of mind, resilience and adaptability.

- single-leadership paradigms to multiple-leadership paradigms: Scholars are of the view that complexity paradigms will not replace traditional leadership models, but will coexist with them. In essence, the right type of leadership needs to be used at the right time” (Morse et al. 2007:145-146).

According to Stacey (1993:42) the complexity approach challenges orthodox management approaches to the extent that:

- “preoccupation with analysis loses much of its meaning and the strategic role of senior managers as leaders is largely to facilitate communication processes of dialogue which can lead to innovation – rather than to act as final arbiters over an elaborate analytic process;
- contingency (cause and effect) loses its meaning;
- long-term planning becomes impossible;
- visions become illusions; and
- consensus and strong cultures and ideologies within organisations become dangerous” (Stadey 1993:42).



“Complexity theory offers a new way of viewing leadership in an ever-evolving and complex environment. Although not much research had been carried-out on complexity theory from a public governance perspective, it provides a new focus on what modern leaders ought to be” (Van der Waldt et al. 2007 in Jarbandhan 2011:58).

3.6.3 Post-modernist and discourse theory of public organisations and change

“According to Bogason in Ferlie, Lynn and Pollitt (2005) post-modernism replaces everything that represents the modern world. It has to be noted that this outlook is a very simplistic one” (in Jarbandhan 2007:60). “Furthermore, Bogason in Ferlie et al. (2005) stress the distinction between modernity and the post-modern condition. Modernity is characterised by concepts such as rationalisation, centralisation, specialisation, bureaucratisation and industrialization” (Jarbandhan 2007:61). The

main purveyor of modernity has been “advanced uses of scientific knowledge to further economic and social development, controlled and monitored by centres of knowledge and power. Coherence and integration dominate the vision, and the industrial cooperation and the bureaucratic welfare state are organisational hallmarks of modernity” (Bogason in Ferlie et al. 2005:3).

“Post-modern conditions, on the other hand, are characterised by fragmentation. An overarching rationale or vision is replaced by processes of reasoning and a move towards decentralisation, individualisation and internationalization” (Bogason 2004:211). “In the post-modern condition culture loses its national focus; people organise across organisational and national boundaries – many people are overwhelmed by a sense of chaos” (Bogason 2004:211). Bogason (in Ferlie, Lynn and Pollit 2005) “further argues that the world-wide matrix organisation, outsourcing and user-run public organisations are characteristic organisational features of the post-modern condition”. Westwood and Linstead (in Boxall et al. 2007:119) “highlight post-modernism from an organisational context as an organisation (that) has no autonomous, stable or structural status outside the text that constitutes it”.

A post-modern understanding of organisational change is very complex. There is a need to further investigate the impact post-modernism has on organisational change and development. Undeniably, the post-modernist debate has instilled a new vigour in the philosophical ideology of organisational change. The next section will discuss the change process and organisational development.

3.7 The change process

Organisations, “like organisms, must continuously adapt to changing circumstances in order to survive. Changes in nature take place over long periods of time, allowing species the opportunity to adapt. However, in the industrial world change happens rapidly and frequently, and requires immediate response if the organisation is to survive. While advances in technology have influenced productivity positively, they have also increased the pace of change and the risk associated with failing to adapt.

Increasingly, businesses are forced to amend processes” and systems in response to changing environments” (Randall 2004:85).

An adaptive organisation matches and synchronises the supply and demand of products at all times. Such an organisation optimises the use of its resources to ensure that service delivery is at acceptable levels to meet demands. While there are many approaches that organisations can take to adapt to their environments, “there are **ten traits** that are common in organisations that are adaptive and therefore more likely to survive” (Randall 2004:85).

- *“Vision:* Adaptive organisations have a clear sense of where they are going and why. More importantly, they regularly re-examine their vision to ensure that the vision is revised should encompassing changes occur.
- *Balance of leadership and management:* Leadership provides the direction and motivation that supports change and the ability to adapt. Management provides control and predictability. While management plays an important role in the day-to-day operation of a business, it can be a barrier to change. A balance of these seemingly opposed behaviours is needed to ensure long-term success.
- *Flat organisational structure:* Flat organisations minimise the bureaucracy that often impede change in multi-layered organisational structures. In successful flat organisations, all employees are empowered to get the job done. Reaction to changing environments is made on the front lines, resulting in faster organisational adaptation.
- *Open culture:* Adaptive organisations have an open culture that rewards and encourages innovation. These organisations regularly challenge their business model and develop continuous improvement initiatives that support organisational evolution.

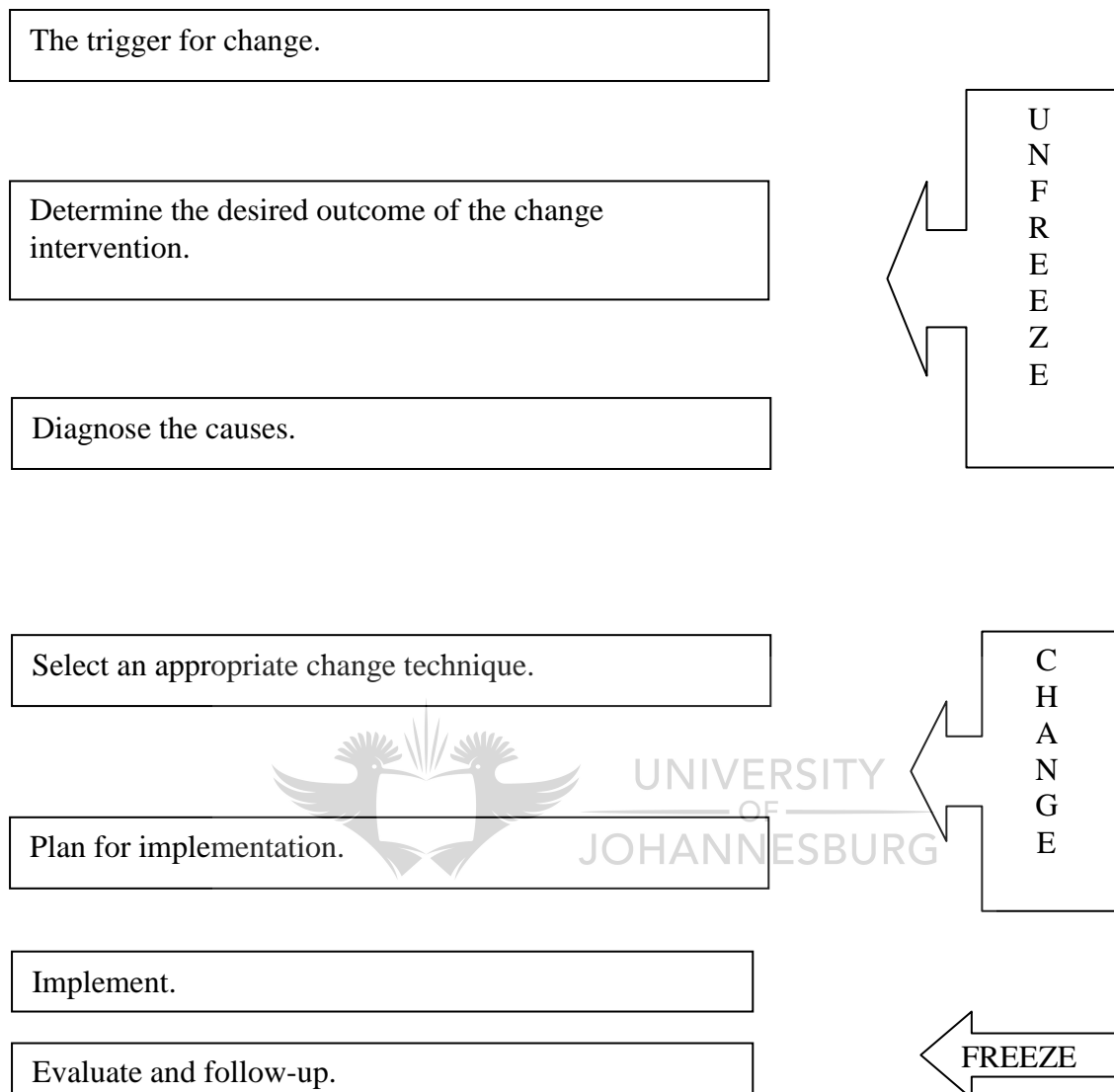
- *External input:* Adaptive organisations regularly seek input from partners and outside advisers to help them gain an early appreciation of the external changes that will influence their business. Valuable lessons can be learned from customers who are coming to terms with their own changing environments.
- *Forward-looking measurements:* What gets measured has a direct influence on organisational behaviour. Organisations that focus exclusively on historical measurement parameters can find themselves rooted in the past.
- *Investment in continuous learning:* Adaptive organisations invest heavily in continuous learning. These organisations seek out opportunities for employees to develop new skills and rigorously build internal capabilities to help support the ongoing evolution of the organisation.
- *Effective internal communications:* Effective, efficient communication is a crucial ingredient to implement change. Communication is an art and does not stop with memos, voicemails and internal meetings. Adaptive organisations tend to have leaders who are good communicators and who invest heavily in the internal communications process. This ensures that everyone in the organisation understands priorities, direction and vision.
- *Strong operational model:* Adaptive organisations almost always have a strong 'business' model. They continuously strive to enhance their position in the value chain and seek to adapt their business model to best deliver added value, leading to profitable results.
- *Regular review of assumptions:* Adaptive organisations challenge their assumptions at least once a year, often quarterly. Regular reviews of key performance indicators and the competitive environment can help determine if critical assumptions are no longer valid. This leads to timely changes in approach and investment" (Randall 2004:85-86).

Public organisations, “like any living organism, must therefore, become learning organisations that change and adapt to suit their changing environment” (Randall 2004:89). The change process has to be planned carefully. If senior managers fail to plan for changes within the institutions (internal change); the public institution could fail to deliver goods and services. An institution that has not planned for proposed change will often find itself compromised. Smit, Cronje, Brevis and Vrba (2007:217) “list some factors as to why managers may not respond to change”. They are:

- “mistrust;
- lack of teamwork;
- lack of leadership skills;
- internal politics;
- a bureaucratic culture;
- fear; and
- sheer resistance to change” (Smit et al. 2007:217).

Smit et al. (2007:217) state that, “in order for change to be successful, it has to be planned logically”. The following diagrammatic representation on the change process will be useful in understanding the concept.

Figure 3.2: Steps in the change process



Source: (Adapted from Smit, Cronje, Brevis and Vrba 2007 in Jarbandhan 2011:60)

“The change process that is depicted in the diagram above is based loosely on the change model that was developed by Lewin in 1947” (Smit et al. 2007 in Jarbandhan 2011:61). “Authors, such as Fernandez and Rainey (2006), see Lewin’s model as probably one of the early attempts to formulate theory of change” (Smit et al. 2007 in (Smit et al. 2007 in Jarbandhan 2011:61)

“Lewin’s model of the stages in the change process begins with recognition for change. In this instance it is the public issue that prompts change. For example, the impact that new legislation may have on a senior manager’s handling of

departmental budgets. This initial stage of change is very challenging, because at this stage of the process resistance to change is at a premium” (Smit et al. 2007 in Jarbandhan 2011:61).

“After establishing the clear need for change, managers need to state the desired outcome of the planned change intervention” (Smit et al. 2007:218). “It may be possible that the desired outcome could possibly improve service delivery or maybe entail substantial cost-savings in terms of public expenditure” (Smit et al. 2007:218).

“The third stage in the process is where managers diagnose the cause of change. It could be possible from a public sector point of view, that the change was necessitated by public protest over the lack of service delivery. Therefore, once the cause of the change has been identified, processes and procedures can be put in place to change a fundamentally flawed situation to one that can produce positive tangible results” (Smit et al. 2007:218).

“The fourth stage in Lewin’s model is to select an appropriate change technique. Techniques may vary depending on the situation. For example, the technique that a municipality can use to improve service delivery would entail appointing a private service contractor (public-private partnership) to remove waste. This has to be communicated to all stakeholders” (Smit et al. 2007:218).

“The fifth stage is to plan for implementing change. This stage has to be planned carefully. Management will have to predetermine the costs of the intended change, as well as establish whether the human resource capacity is adequate to roll out the change”(Smit et al. 2007:218).

Change is implemented “in the sixth stage of the model. Here, managers need to assess whether the change has been successful or not. If unsuccessful, further changes need to be made. The seventh stage entails ‘evaluating’ the results of the change process. It is evident that resources within public institutions are scarce. Hence evaluation plays a vital role in assessing the company’s success or otherwise the need for change” (Smit et al. 2007:218).

3.8 The change management process

According to Senge (1990:85), “the concept of mental models provides a foundation for developing a change process. Mental models are the cognitive, sense-making maps that managers and employees use to guide their thoughts about a situation. They can be thought of as an implicit mental compass that focuses all managers and employees on how to think about key dimensions of organisational reality”.

There is no consensus on the steps in the process of the management of change, but there are distinct similarities. Usually the planned change process can be simplified by discussing it in terms of a three-phase process (Auriacombe et al. 2010):

- *Unfreezing*: This refers to preparing for change and involves altering existing attitudes and perceptions to create a need for change. Unfreezing is facilitated by environmental variables, identifying a problem and the need for change.
- *Transition or change*: This step involves thoroughly modifying people, structures and technology. Theorists warn that this phase should be handled carefully, because rapid change that is not preceded by proper unfreezing may lead to resistance.
- *Refreezing*: This is the final stage designed to maintain the momentum of change. Positive results of the transitional process are frozen. Evaluation is a key element during this stage. It provides information on the cost and benefits of change and provides the opportunity to make constructive modifications over time. Inadequate refreezing leads to change not being implemented fully.

According to Smit and Cronjé (1992:252), however, managing change is a more systematic and complex process that can be divided into sub-processes or steps:

- “Analyse the institution and the need for change (diagnose problems).
- Create a vision and joint direction.

- Initiate change programmes.
- Develop an implementation plan and schedule transitional courses.
- Implement the change programmes (separate from the past, create a sense of urgency, support a strong leader and obtain political support).
- Develop structures of authority.
- Communicate, ensure participation and be honest.
- Reinforce and institutionalise change.
- Evaluate the results” (Smit and Cronje 1992:252).

Although these phases overlap, certain characteristics dominate during a particular phase. This is not a once-off event, but a process with a number of steps. These steps should be adapted to the type of institution, management and leadership.

3.9 Leadership and managing change in public sector organisations

“The concepts of leadership and change are interrelated. Leadership focuses on bringing about change; in a sense, leaders are catalysts for change” (Internet source http://paracomm.com/documents/leadershipand_innovation.pdf 2004). According to Selman, (Internet source http://paracomm.com/documents/leadershipand_innovation.pdf 2004) “change is a phenomenon that occurs all the time, whether we know it or not. In addition, the author identifies six ways in which leaders can relate to the circumstances of change based on its contexts”. They are:

- *Resistance* (opposition to circumstances). According to Selman (Internet source undated), the most common way to relate to change is to resist it. Resisting change can occur in several ways, for example, by disagreeing with set policies and legislation, by an ongoing analysis of the situation or even not taking ownership of the situation. In this context, managers exercise leadership by opposing circumstances.
- *Coping* (positive reaction to circumstances). This is viewed as a positive alternative to resisting change. The energy and effort that is directed to resisting change is channeled into coping with the circumstances and

ultimately solving the problem. Leadership in this context is facilitative and reasonable. The leadership approach here would be underpinned by justifying the limitations to a situation and encouraging subordinates to work around certain circumstances. Selman (Internet source undated) sees the leader here as being the 'unwitting co-conspirator' for individual and organisational limitations.

- *Responding* (owning the circumstances). When responding to change, one can show commitment to change; own the change circumstances; or add innovative future value with regard to the circumstances. When responding to change, leaders organise their actions based on other considerations. In essence, the leader focuses on what is possible – rather than on what is impossible.
- *Choosing* (accepting the circumstances). Choosing may involve embracing the change circumstances. Here the leader's creativity becomes unfurled. When accepting the change circumstances, the leader can create a vision for him/her and the followers. The transformational leadership philosophy bears fruit when a leader accepts the situation and creates a future vision.
- *Bringing forth* (creating the circumstances). In this change relationship, the circumstances to accept and understand change are created. Here, the management of change requires unconventional methods; what Selman calls a 'thinking outside the box' mentality. A leader who creates circumstances is considered to be "visionary, charismatic and often gifted". For these types of leaders, a vision or goal is "not a big picture of the future, but a powerful ground of being from which to create reality" (Selman Internet source 2004).
- *Mastery* (creating the context for change). Here one is responsible for creating circumstances for change to occur. Mastery relates to one mastering conditions. From a leadership point of view leaders master their circumstances and conditions. In this context, leaders are always innovators, learners and creators" (Selma Internet source

http://paracomm.com/documents/leadershipand_innovation.pdf 2004 in Jarbandhan 2012:69).

Through their research, Fernandez and Rainey (2006:169-173) “have identified eight factors that leaders need to consider when managing public sector organisational change. These factors are encapsulated in the table below” (in Jarbandhan 2012:71).

Table 3.1: Leadership skills that are required to manage organisational change

FACTOR	DETERMINANTS OF SUCCESS IN PROMOTING ORGANISATIONAL CHANGE	LEADERSHIP SKILLS REQUIRED
Factor 1	Ensure the need.	Leaders should communicate the need for change to all stakeholders. Kotter (in Fernandez and Rainey 2006) further stipulates “that leaders should create a vision of change that followers could identify with”.
Factor 2	Provide a plan.	“The leader needs to outline a strategic plan to facilitate change. The vision should form part of the plan”.
Factor 3	Build internal support for change and overcome resistance.	“Leaders should build internal measures to support change. They should also work to reduce resistance to change. Participation should be encouraged as a method to lessen resistance to change” (Thompson and Sanders in Fernandez and Rainey 2006:171).

Factor 4	Ensure top management support and commitment.	“Leaders need to ensure that they have ‘buy-in’ from top management in the change process. Top managers can act as policy role-players in the process of changing the organization”.
Factor 5	Build external support.	“Leaders need to have the support of external actors, namely communities and political office-bearers”.
Factor 6	Provide resources.	“Successful change management requires resources (financial, human and technological)”.
Factor 7	Institutionalise change	Leaders and employees need to ensure that change is embedded in the organisational fabric/culture.
Factor 8	Pursue comprehensive change	Leaders need to ensure that change in stakeholders’ personal behaviour dovetails into systemic change.

Source: (Adapted from Fernandez and Rainey 2006 in Jarbandhan 2012:72)

Connor and Thompson (2006:26) added another “three additional factors that public sector leaders need to consider when managing organisational change. The so-called ‘9th leader factor’ stems from Kotter and Cohen’s research” (in Connor and Thompson 2006:27), where they “implore leaders to build guiding teams and make change stick. The ‘10th leader factor’ includes a leader undertaking process analysis, envisioning the future and analysing how to get there” (Connor, Lake and Stackman in Connor and Thompson 2006:27). “The ‘11th leader factor’ is that of managing the transition that change has brought about and sustaining the change momentum” (Cummings and Worley in Connor and Thompson 2006:37).

Due to the changing environment in which they operate, governments throughout the world need effective organisational structures (Fernandez and Rainey 2006:1). In addition, various role-players in the Government need to know what their interests are. The following table illustrates the South African scenario:

Table 3.2: Interest of role-players in organisational change

PLAYERS	INTERESTS
National interests (citizens)	“Public sector organisations ultimately exist to provide value to [their] shareholders (the [country’s] citizens and residents). The outputs [that] public sector organisations [provide] – whether they are protection, social grants or regulatory [services] such as policies and legislation – must contribute to the common good”.
Government	The Government “needs a well-organised machinery to implement its strategic priorities, so that it can deliver on its electoral mandate”. Effective organisational structures play a key role in the “developmental state”.
Public sector organisations	Public sector “organisations need effective structures to deliver on their legislative mandates and on priorities set by the Government”.
Employees	Employees “need effective organisational structures, so that they can perform their jobs effectively and derive satisfaction from their work”.

Source: (Adapted from DPSA 2007 *Guide on How to Design, Implement and Maintain Organisational Structures in the Public Sector*). Also available at www.info.gov.za

The South African public sector is characterised by a hierarchical culture, which comes closest to the traditional model of bureaucracy. Notably, there is a strong emphasis on controls, formal rules and procedures. The values stressed in this culture are stability, predictability, and efficiency. It is extremely difficult to make changes in a bureaucratic organisation, “such as state departments, because it seems that almost no one has the power to make substantial changes” (DBSA 2007 in Jarbandhan 2012 b:13).

Since 1990, there have been many efforts at government transformation. “Important common themes include:

- reducing a bloated and perceived inefficient bureaucracy;
- creating flexibility and innovation;
- ensuring that public institutions are broadly representative of the South African people;
- a high standard of professional ethics and transparency;
- effective and efficient use of resources; and
- development orientation” (DBSA 2007 in Jarbandhan 2012 b:14).

“All of these themes imply change – transition from a current situation to a ‘better’ future situation” (DBSA 2007 in Jarbandhan 2012 b:15). Change may be regarded as a planned intervention. However, more often it is an unplanned reaction to environmental forces. However, not only political transformation forces public institutions to undergo change. Factors such as new technologies, environmental dynamics and internal organisational forces also play an important role. Various types of change can be identified” (DBSA 2007 in Jarbandhan 2012 b:15). “When re-designing organisational structures in South Africa, the following principles need to be considered” (DBSA 2007 in Jarbandhan 2012 b:15):

- “The constitutional values of public administration: Resources need to be used effectively and efficiently; transparency and accountability have to be fostered).

- Focus on strategic priorities: The department's strategic goals need to guide its organisational design. For example, at the local government level the Independent Development Programmes (IDPs) would serve as a basis to realign and redesign organisational structures.
- People first (*Batho Pele*) principles: The end-users need to be considered when designing organisational structures.
- Inter-governmental relations and co-operative governance: Organisational structures need to foster relationships between government departments. (The Inter-Governmental Relations Framework Act 13 of 2005 needs to be used as a basis).
- Global perspective: Organisational design needs to be aligned with the economic, social and geo-political world order, such as the New Partnership for African Development (Nepad), India-Brazil-South Africa partnership and G77 priority areas.
- Foster professionalism and service ethos: A professional cadre of public servants needs to be considered when organisations are designed, for example, the senior manager service (SMS).
- Fostering learning and innovation: Information sharing and knowledge management are fundamental to creating organisational structures" (DBSA 2007 in Jarbandhan 2012 b:15).

21st Century public leadership "is challenging and change-oriented" (DBSA 2007 in Jarbandhan 2012 b:15). Kee, Newcomer and Davis in Morse et al. (2007:154) summarise the leadership challenge and change management succinctly when they conclude that "rapidly evolving global conditions and shifting political and economic influences are changing our ideas of what the Government should do". They further add that, "Organisational change is inherently unsettling, demanding new approaches to traditional structures, and sometimes new paradigms altogether". These quotations also highlight the challenges that public managers face when managing their organisations in turbulent times" (Kee, Newcomer and Davis in Morse et al. 2007:154).

Leadership is viewed as a catalyst for organizational transformation. “However, leadership in the context of the public sector is often the systematic implementation of a set of skills. Successful leadership in its simplest form involves making a decision that affects a group of people and acting upon that decision in order to accomplish the desired result. The final measure of effective leadership is whether or not it stands the test of time. It takes time to determine whether any changes that have been achieved were due to leadership achieving organisational change” (Jarbandhan 2011:56).

In the *White Paper on the Transformation of the Public Service* (1995), transformation “is defined as a dramatic, focused and relatively short-term process, designed to fundamentally reshape the public service for its appointed role in the new South African dispensation. As such, it could be distinguished from the broader, longer-term and on-going process of administrative reform. Notably, this will be required to ensure that the South African Public Service keeps in step with the changing needs and requirements of the domestic and international environments” (White Paper in Jarbandhan 2011:57). “Whereas transformation-based goals should be achieved within an anticipated time-scale of two to three years, the administrative reform process should be ongoing” (White Paper in Jarbandhan 2011:57).

The “first and most obvious definition of ‘change management’ is that the term refers to the task of managing change. The obvious is not necessarily unambiguous. Managing change is itself a term that has at least two meanings” (White Paper in Jarbandhan 2011:57).

“One meaning of managing change refers to the making of changes in a planned and managed or systematic fashion. The aim is to more effectively implement new methods and systems in an ongoing fashion. The changes to be managed lie within and are controlled by the institution. However, these internal changes might have been triggered by events originating outside the institution, in what is usually termed the environment. Hence, the second meaning of managing change” (White Paper in Jarbandhan 2011:57).

“A second meaning of managing change refers to the response to changes over which the institution exercises little or no control (e.g., legislation, social and political upheaval, the actions of competitors, shifting economic tides and currents, and so on). Researchers and practitioners alike typically distinguish between a knee-jerk or reactive response and an anticipative or proactive response” (White Paper in Jarbandhan 2011:58-59).

The role that public managers play during change cannot be underestimated. Management plays an extremely important role as the creators of a shared vision, values, beliefs, expectations and assumptions to recreate the institution.

To “be successful as change agents, public managers must be able to act as change agents. As change agents, managers should develop employees, increase their need levels, inspire them and establish a positive change in institutions. The change agent must establish participation by all role-players affected by the change” (White Paper in Jarbandhan 2011:60).

Management should develop strategic thinking to manage change. Strategic management in this context refers to the ability of managers to strategically orient their patterns of thinking and the institution in terms of the future. Managers should have a clear vision of what can lead to transformation in the institution. This vision should be familiar to everyone so that they can pursue the realisation of the vision together.

As the *custodians* and *catalysts* of *continuous* institutional *transformation* and *improvement*, public managers should fulfill a visionary leadership role.

Managers should “have the capacity to:

- move departments from current to future states;
- create visions of potential opportunities;
- instill within employees commitment to change and instill new cultures and strategies that mobilise and focus energy and resources;

- create and focus energy on a vision (that is, a desired future state of the institution);
- communicate that vision to organisation members through the conscious use of actions and symbols;
- build trust through consistent and tireless adherence to values, the capacity to develop self-awareness and positive self-regard; and
- create an atmosphere for continual organisational learning” (Buller 1990:50).

3.9.1 Leadership and resistance to change

“It does not matter how perfectly any change process is planned and implemented. Ultimately, the people involved in the changing organisation have a significant influence on the success of organisational change” (Jarbandhan 2012:56). According to Judson (in Kreitner and Kinicki 1998:624), “individual and group behaviour following organisational changes vary from acceptance on one end of the continuum to active resistance on the other end”.

“It is logical that forced organisational changes within public institutions will affect the employees and their work environment to such an extent that they may show resistance towards the change process” (Harvey and Brown 1996:155). “The conflict between the supporters and the resisters of the change process is usually subtle and may present itself through small verbal disagreements, questions or general reluctance. Change will evolve through these five phases – regardless of the degree of resistance. From the last phase it may move to the first phase again” (Harvey and Brown 1996:155).

“Resistance to change is an emotional and behavioural response to either real or perceived threats to the familiar and established work environment” (Kreitner and Kinicki 1998: 624). Resistance can either be passive, or it can build up to overt opposition in the form of deliberate sabotage.

“There are many reasons for resisting change, such as employees’ attitude or predisposition towards change in general; surprise and fear of the unknown; a

climate of mistrust in the organisation; fear of failure; loss of status and/or job security; peer pressure; disruption of cultural traditions and/or group relationships; personality conflicts and the manner in which the change is enforced; lack of tact and sensitivity when changes introduced; when changes are introduced at an unsuitable time; not reinforcing reward systems; and when the positive rewards for changing are unclear” (Kreitner and Kinicki 1998: 624).

“The resistance to organisational changes is a complex problem that results from the cumulative effect of a number of factors. Some of the factors are psychological, such as uncertainty regarding change; fear of the unknown; disruption of the known routine, a disturbance in the person’s existing social network; and a person’s willingness to conform to existing norms and culture. Other factors are more materialistic, such as the loss of the person’s current benefits; the threat to his/her position and power; the threat to the security and the redistribution of power within the organization” (Kreitner and Kinicki 1998 in Jarbandhan 2011:59).

The reasons for resistance may include (cf. Mondy and Premeaux 1995:491-494 and Bateman and Snell 2004:557):

- “Uncertainty among those affected by change.
- Inertia.
- Possible loss of social status.
- Poor timing.
- Financial losses.
- Inconvenience.
- People who are affected by change lose control of their own future, because change is usually unavoidable.
- There are unforeseen implications because institutions are open systems and are therefore continually subject to the forces of change.
- There may be a loss of a power base among groups or individuals within the institution as a result of change” (Bateman and Snell 2004:557).

- “Surprise – this happens when change is sudden, unexpected or extreme. This shows the importance of the vision and the strategy as indicated in the change process and model above.
- Peer pressure – this happens when individual members experience pressure from other team members. Even if these members do not strongly oppose the change, peer pressure from members can steer things in another direction. This, again, highlights the importance of team spirit and shared vision, as indicated in the change management process.
- Self interest – there is resistance due to fear of losing something of personal interest, such as one’s job, power, status or a pay cut.
- Misunderstanding – this occurs when employees are not fully aware or are confused about how change fits or links with the company strategy. The misunderstanding can cause employees to resist change. This highlights the importance of communication and teamwork.
- Different assessments – this happens when employees and management have different information or views about change. Some employees may have more information at their disposal. This can cause employees to assess change differently, which could lead to different opinions. It is therefore important to communicate on a continuous basis and to highlight the benefits of change, as reflected in the organisational strategy.
- Management tactics – this happens when change is implemented just because it worked in another area. It also happens when the idea is too glorified and employees do not share the same sentiments. Change will need to be scrutinised in these cases. This once again highlights the importance of a strategy and plan” (Mondy and Premeaux 1995:491-494).

Change strategies do not always fail due to the change techniques that were used. It can also be due management’s failure to obtain acceptance of the proposed strategies from the employees that are affected by the intended changes (Harvey and Brown 1996:160).

Bateman and Snell (2004:560) highlight various measures that could be taken to manage resistance, such as:

- Education and communication – this is about educating and communicating the nature and logic of change to employees through one on one discussions, presentations, reports, memos and the intranet.
- Participation and involvement – this highlights the importance of involving all levels in the design and implementation of change by listening to their ideas and encouraging them to participate. This will enhance understanding, commitment and identification with the vision.
- Facilitation and support – management should support employees' efforts and train them to acquire the necessary skills and behaviour required to perform under the new circumstances. This can include delegating decision-making to lower levels, so that employees can come up with ideas to enhance performance.
- Negotiation and rewards – this refers to rewarding employees for their contribution to the implementation and the success of change, as well as for behavioural changes that are in line with the new idea.
- Manipulation and cooptation – this is used when the leader of the resisting team has a lot of influence on employees. Managers can give the leader a more strategic role in the process. As such, the individual will be the leader/driver of change, thereby influencing others positively.
- Explicit and implicit coercion – this refers to the use of various measures to force employees to change, such as punishment or the threat of punishment.

3.9.2 Transformational leadership for public service transformation

Modern-day public managers are under immense pressure. This highlights the need for transformational leadership in modern public institutions. These pressures emanate from the “changing global landscape, an ageing public sector workforce, resource constraints and a new horizontal relationship(s) with nonprofit and public-sector organisations” (Kee, Newcomer and Davis in Morse et al. 2007:155).

In the South African Public Service the key question is not whether change will take place, but how it has taken place. Change is a continuous process of adjusting and amending strategies and structure. Notably, “the aim is to improve existing service delivery structures, processes, procedures and systems. The more significant forces



and trends include” (DPSA in Jarbandhan 2011:62):

- “A rapidly changing statutory framework.
- Competition in a global economy.
- The insistence on accountability in terms of quality of services and/or products.
- Improved information technology.
- Research and development” (DPSA in Jarbandhan 2011:62).

The “need to transform the South African Public Service into a more appropriate and relevant service was identified as early as the end of 1991” (Cloete and Mogkoro 1995:1). “It was regarded as illegitimate and clearly required substantial reviewing of the values underlying public services; the existing structures; and the way it was functioning” (Cloete and Mogkoro 1995:1).

Social expectations, led increasingly by global media, will continue to rise and developments in information technology will enable further organisational restructuring. National competitiveness will also increasingly depend on a flexible, highly skilled workforce. Government will be required to provide fast, enabling responses, rather than providing the detailed directions for change (‘steering’ rather than ‘rowing’).

Under senior management’s leadership, “public institutions should align themselves to support broad-based national transformational imperatives where the service delivery system support society and governmental structures to:

- support national competitive success;
- inspire its employees and to encourage a responsible work culture and ethic;
- respond to, and be stimulated by, rising public expectations; and
- identify and nurture the human resources, systems and structures that will provide excellent services to the public in the future “(Cloete and Mogkoro 1995:1)

With regard to “national transformational imperatives and the statutory framework, it is clear that the Public Service will undergo changes” (Cloete and Mogkoro 1995:4). “The major dimensions of change in current reforms can be summarised as follows:

- Changes in management culture and style following the move from process-focused administration, to a managerial focus on maximising service efficiency.
- Re-examining work methods and changing working practices due to the introduction of new technology.
- Restructuring and reorganising systems to focus on outputs.
- Changing performance management frameworks, emphasising outputs targets and accepting strict accountability through performance appraisal, with limited-term contracts and monetary incentives.
- Changes in financial management to ensure transparency with regard to allocating costs” (Cloete and Mokgoro in Jarbandhan 2011:70).

The transformation process focuses on the need for new managerial leadership forms; decentralizing decision-making power; democratising internal work procedures; and including civil society organisations in governance processes.

The following table highlights the differences between traditional and transforming (or transformational) leaders.

Table 3.3: Traditional leaders versus transforming leaders

A traditional leader	A transforming leader
Speaks about how well current goals are being reached.	“Speaks about a future vision, goals and plans”.
Manages within a rigid non-negotiable framework.	Provides “flexible leadership adapted to the situation and the people”.
Focuses on others’ weaknesses.	Gives attention and recognition to others’ strengths.
Tends to “have a short-term ‘profit’ mentality at the expense of longer-term	“Is more committed to long-term growth as a by-product of excellent service and sound

profits and relationships with employee” and clients.	relationships”.
“Often has an authoritarian one-up approach to using power”.	“Uses personal and position power to make positive changes and influence others”.
“Is satisfied with the status quo and reacts negatively to changes”.	“Initiates innovations and encourages others to do the same”.
Is often influenced by as few as 10% of the staff who apply pressure.	“Is more influenced by the 90%”.
Tends to have a “survival of the fittest mentality, and tends to be self-oriented rather than focusing on others”.	“Is more committed to positive relationships with others for the sake of development, and the development of the institution as a whole”.
“Stresses” an efficiency philosophy of “doing things right”.	“Stresses an effectiveness philosophy of doing the right things for people and for the institution. Articulates philosophy, beliefs and values”.
Meets in a formal way with “immediate subordinates”.	“Makes contact with employees at all levels in formal and informal settings”.
Tends to be aloof, rational and critical towards people and new ideas.	“Is receptive, expressive, supportive and warm towards people. New ideas are of great interest”.

(Source: Adapted from DBSA in Jarbandhan 2012b:16)

“Over time, leadership has shifted to a transformational mode of leading modern public institutions” (Van Rensburg 2007:47). Commenting on transformational leadership and organisational change/culture, Bass and Avolio (1993) state that, “The organisation’s culture develops in a large part from its leadership while the culture of an organisation can also affect the development of its leadership”. According to Bass and Avolio (1994 and 1985), “transactional leaders are seen as working within their organisational cultures following existing rules, procedures and norms, [whereas] transformational leaders change their culture by first understanding it and then realigning the organisation’s culture with a new vision and a revision of its shared assumptions, values and norms” (Avolio 1985:79).

“It is argued that transformational leaders need to promote organisational change by creating a vision, or what some authors refer to as a change vision” (Kavanagh and Ashkanasy 2006:88). According to Daft (1999:428) “without a vision there will be no transformation of a situation. Transformational leadership describes how leaders can initiate, develop and carry out significant change within organizations”.

“Transformational leadership and organisational change theories emphasise that change occurs when a leader implements a unique vision for the organisation. This is implemented through powerful pervasive personal characteristics and actions designed to change internal organisational cultural forms and substance” (Bass and Avolio 1993:52). Daft (1999:427) argues “that transformational leaders set concrete visions and build relationships within diverse groups by finding commonality among followers in the organisational change process”. According to Daft (1999:427), “transformational leaders possess the following four characteristics”:

- “Transformational leaders develop followers into leaders. They allow followers to work and prosper within a vision that they have created. This enables followers to work freely towards reaching organisational goals (by aligning themselves with the vision)” (Daft 1999:427).
- “Transformational leadership elevates followers’ concerns from lower-level physical needs (such as for safety and security) to higher-level psychological needs (such as the need for self-esteem and self-actualisation). The leader, in essence, sets examples and speaks to the followers’ needs” (Daft 1999:427).
- “Transformational leadership inspires followers to go beyond their own self-interests for the greater good of the group” (Daft 1999:427).
- “The importance of organisational goals is indicated to followers, who make personal sacrifices for the greater good” (Daft 1999:427).

- “Transformational leadership paints a vision of a desired future. It provides a transformational vision, so that change can follow” (Daft 1999:427).

“In essence, transformational leaders create significant change in both followers and organizations” (Jarbandhan 2011:67). Bass and Avolio (1994) and Kavanagh and Ashkanasy (2006) “are of the opinion that innovative and satisfying organisational cultures are likely to promote transformational leadership behaviour. In addition, transformational leaders will see followers as trustworthy and purposeful. These leaders believe that followers can make lasting contributions to the organisation and can handle complex problems where they arise – at ground level” (Daft 1999:428).

3.9.3 Competence clusters for leadership change roles

Bowman (2000:455) refers to “six change-leadership styles, each with a different set of assumptions and goals”. According to the author, the “challenge is to achieve a complementary pairing between the organisation's disposition towards change and the nature of the change demands in the environment. The six leadership styles should then be critiqued against this pairing, resulting in the selection of the most appropriate style” (Bowman 2000:455). “The six change-leadership styles include: anti-change; rational; panacea; bolt-on; integrated and continuous” (Bowman 2000:455).

Bowman (2000:455) argues that the problem (2000:455) “extends throughout the course of the change initiative”.

Bowman (2000:455) provided the basis for the competence clusters for the change roles. “The leadership competencies were selected with organisation change as functional area. Based on the discussion of ‘change-management leadership competencies’, four competence clusters were selected to support the four ‘change leadership roles’ that were identified by Bowman” (Bowman in Jarbandhan 2007:45-47).

3.9.4 Initiator cluster

- “Illustrating an awareness of problems causing a need for change.
- Identifying possible solutions for the problem(s).
- Providing strategic vision for the organisation.
- Communicating and sharing the vision.
- Obtaining support for the vision.
- Gathering data before implementing the change initiative.
- Selecting the change initiative from a range of alternatives.
- Identifying and setting change goals to realise the vision.
- Providing information on the expected change-related benefits” (Bowman in Jarbandhan 2007:45).

3.9.5 Shaper cluster

- “Inducing and reinforcing change by providing incentives and rewards.
- Inducing and reinforcing change by providing authoritative measures and discipline.
- Providing clarity on behavioural expectations.
- Utilising personal attraction to induce change.
- Developing employee competence to meet change requirements.
- Empowering employees to deliver change outputs.
- Utilising and building teams to achieve change results.
- Utilising project management principles to achieve change results.
- Aligning employees’ utilisation with change activities according to their strengths” (Bowman in Jarbandhan 2007:46).

3.9.6 Monitor cluster

- “Allowing consultation on change progress.
- Handling emotional reactions; showing compassion and care.
- Addressing and eliminating resistance and conflict.
- Providing frequent performance-related feedback during the change efforts.

- Networking with various individuals and institutions on methods to streamline and expedite the change efforts.
- Encouraging and energising employees during failures and periods of stagnation” (Bowman in Jarbandhan 2007:46).

3.9.7 Assessor cluster

- “Measuring change outcomes.
- Evaluating trends, outcomes and the impact of change.
- Linking change outcomes to the initial vision.
- Providing focus areas for future change initiatives” (Bowman in Jarbandhan 2007:47).

3.10 Conclusion

The ever-evolving world has forced organisations to change and adapt from a bureaucratic to a change-oriented paradigm. During the last four decades, public sector reform has forced public sector leaders to re-engineer and refocus their organisations to be globally competitive, effective and efficient, as well as to fulfill the active service delivery mandate. One of the ways of delivering successful organisational change is by introducing leadership as a critical factor (cf. Jarbandhan 2007).

This chapter clarified the concepts and phenomena related to change within organisations. In this regard, the process of organising, organisation, institution, organisational behavior, theory of organisation, change, organisational change, organisational transformation, transition management, organisational development, innovation, and repositioning were discussed.

The chapter also provided an overview of the variables that influence formal organisations in terms of open and closed systems. Organisations were categorised as either ‘open’ or ‘closed’. Notably, ‘closed’ systems are concerned with how efficiently organisations accomplish their goals within a given environment. An ‘open’

system is underpinned by the fact that one cannot know all the variables that influence organisations. Therefore, one cannot predict and control how variables influence an organisation.

The most important variables that influence organisational structures were explained. They included span of control, work specialisation, division of labour, chain of command, line and staff functions, organisational design, establishing organisational specifications and typical organisational structures. The most prominent structures/designs include functional or hierarchical structures; matrix structures; virtual, networked or cluster structures; and quantum organisations.

From this chapter it can be deduced that various variables influence organisational design. One form of design cannot be regarded as better than another; it all depends on the functions of the organisation; its location; the complexity of processes; and the nature of its environment. It is further clear that there is no perfect organisational structure. Notably, some structures are more effective for particular services, products and environments. Any structure will have disadvantages that design and stronger organisational cultures can compensate for to some extent.

This chapter's review of organisation theory highlighted the fact that organisations exist to fulfill a purpose within a specific environment that cannot be achieved by individual effort. It should also be clear that the foundations of organisations could be found in the main theories, approaches and their characteristics. The chapter also discussed specific systems theories, such as classical approaches (with specific reference to the theory of scientific management), administrative theories, bureaucracy, the neo-classical approaches (with specific reference to the human relations approach) and contemporary organisational theories. Other related modern structural organisation theories, such as contingency, complexity, transaction cost and agency theories were also discussed.

Furthermore, three theories of organisational change that are central to this thesis were investigated. Attention was paid to the functionalist/systems and contingency models of change; complexity theory and change; and the post-modernist and discourse theory of public organisations and change. Complexity theory views

organisations as dynamic, complex and highly uncertain. Therefore, they need radical, extraordinary leaders who can break away from the conventional leadership modes to lead organisations. The post-modern and discourse theories were embedded in the belief that the rationale and vision of public institutions should be analysed against decentralisation, individualism and internationalisation.

The phenomena of public leadership and change within public organisations are closely related. In this regard, the change process and change management were discussed. The change process streamlines organisational change. The following are some of the reasons why managers need to respond to change:

- “Mistrust.
- Lack of teamwork.
- Lack of leadership.
- Internal politics.
- A bureaucratic culture.
- Fear.
- Sheer resistance to change” (cf. Jarbandhan 2011).



Consequently, the role of leadership and managing change was discussed in the context of the public sector. As a response to managing change, traditional leaders' attributes were compared to that of transformational leaders. Notably, transformational leadership promotes organisational change, by emphasising that change brings about a unique vision and persuasive power.

Furthermore, the chapter included a discussion on leaders' resistance to change; transformational leadership roles in public service transformation; and the competence clusters for leadership change roles. The four competence clusters that support change leadership include the initiator, shaper, monitor and assessor clusters:

It was concluded that public organisations survive because they adapt to change. Notably, change should be seen as a gradual process that takes place within public

institutions. If change is introduced too rapidly, it will evoke resistance in followers. Therefore, public leaders need to manage change and produce positive end-results within public organisations. The literature review also indicates that a transformational leadership philosophy can inspire and change followers to engage in a new vision of public institutions.

“It should be noted that not only political transformation forces public institutions to undergo change and factors such as new technology, environmental dynamics and internal organisational forces also play an important role” (Jarbandhan 2011:50). “Transformational leadership is best characterised by strong ideals, inspiration, innovation and individual concerns. It also requires that leaders relate to their followers’ needs” (Jarbandhan 2011:50).

From this chapter it should be clear that public managers face change and transformation at an increased pace. In line with broader public service transformation, many state departments are modifying their strategies, structures, and processes to “remain in touch with their constitutional mandates, statutory obligations and community needs” (Jarbandhan 2011:50). In order to manage these revolutionary and evolutionary transitions requires an understanding of the dynamics within organisations. Managers need to apply the principles and processes associated with transformation and change management in order to obtain strategic alignment or ‘fit’ with the environment. Furthermore, they need planned interventions to ensure that the organisation becomes ‘nimble’ and adapt to changing conditions.

CHAPTER FOUR

VARIABLES INFLUENCING THE ROLE OF STRATEGIC LEADERSHIP WITHIN THE SOUTH AFRICAN CONTEXT

4.1 Introduction

The South African public sector faces tremendous challenges in an ever-changing, complex environment. According to Ireland and Hitt (2005:62), “although it is difficult to predict the future in an uncertain world with a fair degree of uncertainty, strategic leadership can go a long way to help ease the burden that is brought about by uncertainty and change”. The effect of globalisation “and the reconfiguration of the global order have significant consequences for the effective functioning of government institutions. It is therefore imperative for the public sector to develop a cadre of senior leaders who can make and implement strategic decisions in these demanding times. The ideology behind strategic leadership is to strengthen the long-term viability of public sector institutions” (Ireland and Hitt (2005:62).

This chapter will define the key concepts that are relevant to strategic leadership. Thereafter, it will discuss the role of strategic leadership in Government and the challenges that the South African public sector faces. The need to adopt a strategic leadership approach in managing the public sector will also be explored. A theoretical overview of strategic leadership, which includes the ‘Great leader view of strategic leadership’ and the ‘Great group’s view of leadership’ will be provided. Six components of strategic leadership are provided in this chapter. The approaches that guide strategic leadership are also discussed. Hereafter, strategic management leadership competencies will be discussed. Attention is also paid to the strategic leadership process where the leader’s role in effective strategic planning is provided. Finally, the chapter explains the relationship between strategic leadership and strategic planning.

In order to accomplish the above, the chapter aims to answer the third research question (see section 1.4): **“What is the nature of the interaction between the variables influencing strategic leadership and which theories and concepts are**

appropriate and adequate in order to address the problem of strategic leadership role competencies?” Therefore, the chapter sets out to clarify the third research objective in chapter one (see section 1.5). This is to **“provide a conceptual analysis of appropriate and adequate strategic leadership concepts, theories and approaches for addressing the problem of strategic leadership role competencies,** in order to establish a clear and meaningful basis for the interpretation and utilisation within the context of this chapter”.

4.2 Definition of concepts

The concepts that are central to this chapter, namely strategy, management, as well as strategic, managerial and visionary leadership will be defined in order to highlight the distinctiveness of these concepts.

4.2.1 Definition of ‘strategy’

The word ‘strategy’ is derived from the Greek word *strategos* (Rowe 2001:80) meaning “leader or commander of an army, general”. From the beginning, ‘strategy’ and its associated adjective ‘strategic’ have therefore been linked to leadership. Therefore, from its earliest beginnings, strategizing has been something that all leaders do – it is an inherent part of leadership. Modern interpretations of the term are generally consistent with its roots and link strategic activity to determining a broad purpose or direction that the organisation needs to take. Hence, strategy is a guide for a particular action and provides direction or a vision (Steiner 1979 and Morse et al. 2007).

4.2.2 Definition of strategic leadership

[The following sections are partly based on an article of Jarbandhan (2007) and will provide a brief definition of the concept of strategic leadership. According to Daft (1999:125), “strategic leadership is responsible for the external environment’s relationship to choices about vision, mission, strategy and their implementation”. Rowe (in Naidoo 2009:5) “views strategic leadership as a concept that combines managerial and visionary leadership to expedite and influence daily decision-making

and to promote long-term organisational effectiveness”. Ireland and Hitt (2005:63) view “the concept from a personal leadership perspective and relate it to organisational effectiveness”. They are of the opinion that strategic leadership can be defined as a “person’s ability to anticipate, envision, maintain flexibility, think strategically, and work with others to initiate changes that will create a viable future for the organisation” (Jarbandhan 2007:38). “It is evident from the above definitions that strategic leadership has the following characteristics: It is futuristic in that it promotes a ‘vision’; it promotes effective decision-making in a complex environment; and it is change oriented” ((Jarbandhan 2007:38).

4.2.3 Managerial and visionary leadership

Naidoo (2009:4) states that “managerial leadership is very similar to transactional leadership. Managerial leaders need a stable environment in which to operate in, and conserve the organisation’s *status quo*. Managerial leaders influence the actions of the people they work with, and strive to ensure organisational stability – something they create by transacting with subordinates”. Rowe (2001:82) further reiterates that, compared to visionary leaders, managerial leaders are adept to handling operational activities and are short-term oriented.

Conversely, “visionary leadership is closely associated with transformational, charismatic or strategic new leadership and possesses core guiding principles of a vision, value and mission” (Lourens in Naidoo 2009:5). According to Rowe (2001:83), “visionary leaders are future-oriented and are risk-takers. It is important that these leaders to communicate this vision and adopt it as part of the corporate culture”.

4.2.4 Management and strategic management

Keeling (in Pollitt and Bouckaert 2005:12) “defines management as the best use of resources in pursuit of objectives subject to change”.

“It is often a misnomer that management and leadership are synonymous terms. On the contrary, each of these terms has their own distinct characteristics. Leaders are

not necessarily good managers and good managers are not necessarily good leaders” (Jarbandhan 2007:39). Blagg and Young (in Jooste 2003:26) state that “managers are characterised as those who budget, organise, and control”. On the other hand, leaders are the “charismatic big picture visionaries, the ones who change the world”.

Daewoo, Chinta, Turner and Kilbourne (in Lussier and Achua 2010:399) define strategic management as “the set of decisions and actions used to formulate and implement specific strategies that are aligned with the organisation’s capabilities and its environment, so as to achieve organisational goals”. It is important to note that strategic management allows organisations to draw road-maps for their future challenges effectively.

The paragraphs below firstly outline the fact that governments need to embrace strategic leadership. Furthermore, it examines some of the core managerial and leadership challenges that South African public sector institutions face. It also strengthens the case to adopt strategic leadership in order to deliver effective and efficient services. Table 4.1 below outlines the differences between strategic, visionary and managerial leadership.

Table 4.1: Strategic, visionary and managerial leadership

Strategic leaders
<p>“Have a synergistic combination of managerial and visionary leadership. Emphasise on ethical behaviour and value-based decision-making. Oversee operating (day-to-day) and strategic (long-term) responsibilities. Formulate and implement strategies that will influence and preserve long-term goals to enhance organisational survival, growth and long-term viability. Have strong, positive expectations of the performance they expect from their superiors, peers, subordinates and themselves. Use strategic and financial controls, with an emphasis on strategic controls. Use and interchange tacit and explicit knowledge on individual and organisational level. Use linear and non-linear thinking patterns. Believe in strategic choice and that their choices make a difference in their organisation’s and environment”.</p>
Visionary leaders
<p>“Are proactive, shape ideas, change the way people think about what is desirable, possible and necessary. Work to develop choices, fresh approaches to long-standing problems. Work from high-risk positions Concerned with ideas and relate to people in an empathetic way. Sense of who they are does not depend on work. Influence attitudes and opinions of others. Are more embedded in complexity and ambiguity. Know less than their functional area experts. Are more likely to make decisions based on values”.</p>
Managerial leaders
<p>“Are reactive; adopt passive attitudes towards goals; and focus on the past. See work as an enabling process that involves a combination of people and ideas. Relate to people according to their decision-making role within the organisation. Influence actions and decisions of those with whom they work. Are concerned with and are more comfortable in functional areas of responsibility. Are experts in their functional areas. Less likely to make decisions based on values. Utilise linear thinking”.</p>

Source: (Adapted from Rowe 2001 in Jarbandhan 2007:40)

4.3 The role of strategic leadership in Government

According to Rowe (2001:84), managerial leadership is the most popular form of leadership in government institutions. The author further emphasises that managerial leaders play an impersonal and passive role in their organisations. They are sensitive to the past and lack a futuristic vision. Rowe (2001) further adds that managerial leaders lack empathy towards followers; their level of emotional involvement is low; they work in structured environments, and maintain order. Hosmer (in Rowe 2001:85) adds that “managerial leaders only influence the actions and decisions of those whom they work with” and possess expertise in their immediate area of functioning. On the other hand, visionary leaders are future-oriented, take risks and do not entirely depend on their organisations to create a sense of belonging. They always seek excitement and new ventures to solve dilemmas within their environment.

In examining the utility of managerial and visionary leadership, Rowe (2001:84) argues that managerial leadership is ‘not bad’. However, this type of leadership does not necessarily improve citizens’ lives and does not create social mobility in government. Visionary leaders who are prone to risk-taking generally focus more on the organisation’s vision – rather than on the task at hand. Due to the constraints of managerial and visionary leadership, it is proposed that strategic leadership in government may be a possible solution to enhanced service delivery.

Strategic leadership “can play a central role in realising public institutions’ vision. Through strategic leadership, policy is promoted, strategic actions are directed inwards and the institution’s strategic objectives are operationalised” (Jarbandhan 2007:41). “Strategic leadership defines what the future should look like; aligns people with that vision; and inspires them to make it happen despite the obstacles” (Kotter 1996:25).

“The way in which strategic leadership is exercised has a major impact on the institution’s future. Leadership is the most important means of initiating strategic change. The actions that leaders should take to initiate change entail institutional objectives and empowering staff to achieve those set objectives. Leaders in public

institutions should improve cohesion among diversified groups and reinforce the attainment of the vision; this has to be done with the correct management of resources as well” (Jarbandhan 2007:41).

When a “public institution clarifies its purpose and direction through strategic planning initiatives, it develops a stronger identity. By assessing the environment in which it operates, the strategic planning process enables the institution/organisation to explore the strengths, weaknesses, opportunities and threats that may emanate from the environment. The process of strategising around public service delivery strengthens internal and external communication, as well as emphasises stronger customer focus. Through strategic planning and leadership, public sector organisations seek to meet their mandates and fulfill their mission; identify strategic issues; and address these issues. This is done by re-examining the organisational mandates and mission, service levels, costs and financing, management and the overall organisational structure” (Jarbandhan 2007:42).

Therefore, “strategic planning seeks to enhance the public sector organisation’s ability to think and act strategically. However, to be effective, strategic planning must be action-oriented and linked to tactical and operational planning” (Jarbandhan 2007:42).

“Strategic capability and leadership calls for public sector institutions to be more vigilant in an ever-changing and complex environment. In essence, strategic leadership calls for vision, the ability to identify and seize opportunities, anticipate crises and cope with constraints effectively” (*World Public Sector Report 2001* in Jarbandhan 2007:42).

4.4 Challenges South African public sector institutions face: The need for strategic leadership

The apartheid legacy has left a wide service delivery chasm in South Africa. When the post-apartheid Government came into power in 1994, the absence of basic services such as water, sanitation and electricity was evident. This was even more evident in rural areas. It was estimated that in 1996 approximately 16-million South

African households did not have piped water, and approximately 45,9-percent of the population did not have access to basic sanitation (Naidoo 2009:44). The Auditor-General reports and the press paint a bleak picture with regard to the state of many of the country's municipalities.

As noted in chapter one, "the *World Competitiveness Report*" (Internet source International Management Development (IMD) 2001:303), "reflected negatively on South Africa regarding management issues. South Africa was ranked 49th for skilled labour; 48th for hostile labour relations; 46th for customer satisfaction; 44th for employees who do not identify with organisational objectives; and 43rd for manager's who lack strategic management skills in general". Albertyn (2001:20) reports "that in 2000, out of 41 countries assessed, the *World Competitiveness Report* ranked South Africa last in terms of human resources". The author claims "that the authoritative management structures of the South African workforce results in public organisations with disempowered members who do not take initiative". Authoritative management structures "imply an autocratic leadership style" (Jarbandhan 2007:43). Albertyn (2001:20) states "that the changes brought about by globalisation, politics, economics and the growth in technology result in vulnerable individuals". The author's "statement on authoritative South African public service organisations may be debatable" (Jarbandhan 2007:44). However, it seems that many people support the claim that these multi-faceted changes lead to a plethora of demands (Rossouw and Bews 2002, Msomi 2001, Kriek 2002, and Fontyn 2001). "Due to a shortage of talent for top positions in organisations, there are not enough competent leaders in South Africa. A lack of leadership qualities – especially at a strategic level – seems to be the underlying problem that results in autocratic organisations and structures" (Fontyn 2001:20).

The "literature surveyed indicates that strategic leadership can play an important role in public sector institutions. This is due to the changing political landscape, shifting societal goals and political interference. It has to be pointed out that strategic leadership has been adopted successfully in private sector institutions" (Jarbandhan 2007:44). Furthermore, literature abounds with success stories with regard to its implementation. However, the public sector has had limited success with regard to strategic leadership at an administrative or managerial level.

According to MacMaster (2004:83) the “South African Government’s vision is a better life for all”. “However, the countrywide protest actions are indicative that that Government’s vision is not being fully accomplished. The Senior Management Service Handbook (SMS) is clear that service delivery is a fundamental priority of government” (Jarbandhan 2007:45). The National Treasury’s Medium-Term Strategic Framework, which forecasts financial figures, makes a good case for effective strategic leadership in public sector institutions.

The Public Service Commission (PSC) (*State of the Public Service Reports 2008 and 2009*) declared that South Africa faces the following key challenges:

- “HIV/AIDS poses a major challenge in the workplace. In 2005, it was estimated that 10-percent of public servants may be affected by AIDS, with a quarter possibly dying by 2012 (PSC 2008:79).
- Problem areas around human resource planning and employment equity.
- The turnover rate of public servants and filling posts remain a challenge.
- Lack of capacity to hold managers accountable.
- Prioritisation to accelerate the development and retention of priority skills in the public service.
- Poor management and lack of leadership in the skills education training authorities” (SETAs) (PSC 2009:60).
- “Retention of senior managers” (Public Service Commission Press Release 2008).

4.4.1 The strategic leadership framework in South Africa

Most managers in the South African Public Service gravitate towards managerial leadership (Naidoo 2006:257). Only a very small number of departments in the South African public sector adopt visionary leadership. These departments strive to be more performance oriented and performance driven. However, for several reasons, the South African public service implicitly and explicitly trains public servants to be managerial leaders. The main reason for this is that public managers must account for money spent (meaningfully or otherwise). “As a result, authorities

impose a financial control system that enhances the use of managerial leadership and curtails other leadership approaches, such as strategic and visionary leadership. There are managers who are able to exercise strategic and visionary leadership” (Jarbandhan 2007:45). However, the bureaucratic nature of South African public sector organisations discourages the exercise of such leadership practices.

Leaders in public sector institutions cannot act in isolation. Government’s broad policy framework sets parameters within which they should act and behave. One such a parameter is Government’s Medium Term Strategic Framework (MTSF), which is published by the National Treasury. Notably, this framework identifies the developmental challenges the country faces over a fixed period of five years.

4.4.1.1 Government’s strategic framework

If different strategic management models are used by government departments, it could lead to a non-standardised process. “Ultimately, this could result in problems in drafting and coordinating government plans, budgets and controls. This will have a negative influence on government spending, accountability, transparency and service deliver” (DBSA in Jarbandhan 2009:45). A mechanism is therefore necessary to standardise and to align the strategic thinking of government. The MTSF “focuses on growing the economy; improving the organisational capacity of the state; aligning the spatial planning across the three spheres of government; and introducing poverty alleviation programmes” (DBSA in Jarbandhan 2009:46). Increased government spending levels should give effect to the strategic priorities and accelerate the pace of service delivery. Budget priorities should reflect the Cabinet Lekgotla and the President’s State of the Nation address.

The MTEF has been established to enable all national departments to undertake strategic planning and draw up budgets that in line with the country’s key priorities. The budgetary process has always been a key instrument to compile government strategy, and for “efficient and effective service delivery, performance management has to be integrated with this process” (DBSA in Jarbandhan 2009:46).

In line with the MTEF, various strategic management tools and initiatives exist to promote departmental strategic plans:

- The balance scorecard of Kaplan and Norton (1996:11,12) helps to develop strategic objectives and to measure achievement of set objectives
- The *Batho Pele* principles helps improve service delivery.
- Total Quality Management (TQM) facilitates ongoing improvement of government services.
- Performance and service agreements aim to help senior management in government departments to improve service delivery.

Government departments' strategic plans thus give public managers as strategic leaders the actual 'tool' or plan that will guide the department towards the desired future state. Finally, although this aspect is not central to the thesis, it has to be noted that South Africa has a National Planning Commission (NPC) that is headed by the Minister in the Presidency, Mr Trevor Manuel. The NPC's aim is to construct a long-term vision and plan for the country, so that it could achieve its developmental goals. This can only be achieved if there is ongoing investment in strategic leaders within the public sector to roll the plan out going forward, so that the overall goal of a "Better life for all" can be achieved.

4.5 A theoretical overview of strategic leadership

The next sections provide a theoretical background of strategic leadership in the field of public management. Notably, there is not sufficient literature on the topic. Theories on the subject, however, are mostly popularised in the discipline Business Management.

4.5.1 The great leader view of strategic leadership

John Child (in Ireland and Hitt 2005:129) argues that an organisation's "senior management has the potential and discretion to influence their organisation's outcomes, and by virtue could affect the organisation's strategic management

process. This strategic leadership theory holds the view that organisations are a reflection of their senior managers”. Notably, according to the theory, large organisations are increasingly holding the senior manager or the CEO solely accountable for strategic leadership. “This top manager or CEO also believes that they have to choose a vision for the organisation and create conditions for achieving the vision” (Ireland and Hitt 2005:129). This “great leader, or “Lone Ranger” (Ireland and Hitt 2005:129), “sets direction and has a top-down approach in the organisation, and when the organisation has achieved its goal the leader is referred to as the ‘Corporate Hercules’ and although successful, the ‘great leader’ approach to strategic leadership has been challenged – especially in the modern ultra-complex organisational environment” (Ireland and Hitt 2005:129). Bennis (in Ireland and Hitt 2005:130) argue that “centralising strong strategic leadership in a single person at the top of the organisational hierarchy could be counter-productive. Notably, the amount of data that senior managers need to process in the modern day makes it impossible for them to work and make decisions by themselves. Hence, there has been a move to involve groups or teams lower in the organisational hierarchy to promote decision-making and strategic leadership”.

4.5.2 The great groups view on strategic leadership

Ireland and Hitt (2005:131) provided “the view of business leader and thinker Charles Handy, who said that 21st century business should not be seen as property owned by shareholders, but as being community-owned. It is argued that individuals are part of the community”. “As a result, they have a role to pursue the common good and the right to receive benefits earned through its attainment” (Ireland and Hitt 2005:131).

“In a community, strategic leadership is distributed among diverse individuals who share the responsibility to create a viable future for the organization” (Ireland and Hitt 2005:131). Ireland and Hitt (2005:65) observe “that when allowed to flourish as involved leaders, people spark greatness in each other”. The observation of great groups is that when individuals function successfully as collaborations in organisations, they form great groups”.

Besides working together and relying on one another, members of “great groups foster innovative ideas and generate knowledge, which they disperse among the group. When there is consistent leadership between and among all institutions, ‘great groups’ are formed that are characterised by innovative strategic thinking and an acceptance of organisational change. A senior manager who fosters and nurtures ‘great groups’ or teams will ultimately be able to provide strategic direction and leadership, so that the organisation has a competitive edge” (Ireland and Hitt 2005:145).

4.6 The six components of strategic leadership

The “role of strategic leadership within the current context of public management will have to shift from one where the senior manager maintains control, to one where the senior manager creates an empowered workforce” (Jarbandhan 2009L67). The paragraphs below “will outline the six components of strategic leadership”, as popularised by Ireland and Hitt (2005).

4.6.1 Determining the organisation’s purpose or vision

Senior management in public sector institutions should be responsible for determining the organisation’s purpose or vision. In accordance with their mandate, the Director-General or municipal manager and his/her team is responsible for this. An organisation’s vision or purpose indicates why it exists, “what it hopes to achieve or hopes not to achieve” (Jarbandhan 2009L68). “A clear purpose or vision, according to Browne (in Jarbandhan 2009:69) “allows an organisation to focus its learning efforts, so that it could either increase its competitive edge or promote its service delivery mandate”. “A vision is essentially the cultural glue that allows work units to share knowledge sets” (Ireland and Hitt 2005:68) to facilitate organisational development.

According to Daft (1999:126) “a vision is a dream of the future and it is not only a dream, but something that all employees can strive towards by giving their best in terms of accomplishing the organisation’s vision”. Nutt and Backoff (1996:138) state

“that the vision is the rationale for the organisation’s existence and has to come from the leader; when the leader recognises the desirability for expansion and growth; the need to work within tight budgets; or when new roles are thrust on public organisations”. Nutt and Backoff (1996:138) also say “that when a vision for an institution is not created from the outset, one must be created”. According to Daft (1999:126) a vision plays the following key roles:

- “It links the present to the future.
- It energises people and garner’s support.
- It gives meaning to work.
- It establishes a standard of excellence” (Daft 1999:126-127).

“Organisational visions have the following common themes” (Daft 1999:126-129). They:

- “have a broad appeal.
- deal with change.
- encourage faith and hope.
- reflect high ideals.
- define the organisation’s destination and journey” (Daft 1999:130-131).



Therefore, leaders need to motivate their followers to believe in his/her vision. Notably, a vision is not necessarily directed from the highest echelon of management. A vision could also be developed from the lower ranks of the organisation. Consequently, good interpersonal and communication skills are important for strategic leadership.

4.6.2 Exploiting and maintaining core competencies

It is important that strategic leaders maintain and develop core competencies. An understanding of core competencies (see Chapter Five) gives an institution a competitive edge over its rivals. From a public sector point of view, the establishment of core competencies helps the institution to deliver services effectively and efficiently, as well as to maintain control over scarce resources.

4.6.3 Developing human capital

The term “human capital is deeply rooted in business management literature and refers to the knowledge and skills of an organisation’s entire workforce or citizenry” (Daft 1999:13). “From a public sector point of view, it would relate to an institution’s human resource component. Strategic leaders need to be able to use human capital as a resource that would build on the organisation’s competitive edge. A shortage of skilled human capital places great stress on strategic senior leaders. Importantly, strategic leaders also need to build a diversified workforce that 21st-century competitive organizations require” (Jarbandhan 2007:67).

4.6.4 Sustaining an effective organisational culture

According to Ireland and Hitt (2005:69), “organisational culture refers to the complex set of ideologies, symbols and core values that are shared throughout the organization and is important in the cultural context, because it is the paradigm in which a strategy is formulated and implemented”. “For example, in South Africa the strategic public sector thrust of service delivery is informed by the socio-political and cultural landscape of the country’s past” (Jarbandhan 2007:70).

“Strategic leaders need to shape an organisation’s culture in a competitive way”, in order for the organisational vision to aspire towards the country’s vision of a ‘Better life for all’ South Africans (Jarbandhan 2007:70), as noted before.

4.6.5 Emphasising ethical practices

According to Milton-Smith (in Ireland and Hitt 2005:71), “ethical practices serve as a moral filter through which potential courses of action are evaluated”. Consequently, “strategic leaders use honesty, trust and integrity to guide their decision-making” (Ireland and Hitt 2005:71). “Ethically sound strategic leaders will be able to inspire their employees” (Ireland and Hitt 2005:71).

4.6.6 Establishing balanced organisational control

Hitt et al. (in Ireland and Hitt 2005:68) also state that “organisational controls are the formal, information-based procedures that strategic leaders and managers use to frame, maintain and alter patterns of organisational activities”. They also add (Hitt et al. in Ireland and Hitt 2005:68) “Strategic leaders need to develop mechanisms to ensure financial control in a legal manner”.

“Strategic control requires the exchange of information among the political heads, the senior management team and middle and junior managers. This allows junior managers to provide input and inform strategic actions. Financial control entails the controls that have a financial impact on the institution. From a public sector point of view, these controls would be handling current departmental budgets in terms of the legal framework and preparing future strategic budgets” (Jarbandhan 2007:68).

“As custodians, strategic leaders would strive towards striking a balance between using strategic and financial controls to empower departments” (Jarbandhan 2007:68). Table 4.2 “outlines the strategic leadership practices that are evident of the 21st century” (cf. Table in Jarbandhan 2007:69).

Table 4.2: Strategic leadership practices

20th CENTURY PRACTICES”	21st CENTURY PRACTICES
Focuses on outcomes.	Focuses on process and outcomes.
Is stoic and has confidence.	Has confidence but without hubris.
Knowledge acquirement important.	Promotes acquirement and leverage of knowledge.
Empower employees’ creativity.	Releases and nurtures people’s creativity.
Work flows according to hierarchy.	Work flows influenced by organisational relationships.
Communicates importance of integrity and honesty.	Demonstrates the importance of integrity [through] actions.
Demands respect.	Believes in earning respect.
Tolerates diversity.	Promotes diversity.
Reacts to environmental change.	Anticipates environmental change.
Serves as great leaders.	Serves as leaders and also as great group members.
Employees are seen as a resource.	Sees the organisation’s employees as critical resources.
Operates mostly through a domestic mindset.	Operates mostly through a global mindset.
Employees’ development is important.	Invests significantly in employees’ continuous development.

Source: (Adapted from Ireland and Hitt 2005 in Jarbandhan 2007:69)

4.7 Strategic leadership approaches

“The concepts of leadership and management have created both points of divergence and debate among followers – as do the concepts of strategic leadership and strategic management” (Jarbandhan 2007:70. Nutt and Backoff (1996:475) state that “strategic management and strategic leadership have similar purposes”. Notably, “both are carried-out to transform public organisations, by installing a strategy that makes significant changes in organisational practice and competence” (Nutt and Backoff (1996:475). Furthermore, “both are concerned with generating new

ideas and having to adopt them. In essence, strategic management stresses idea development and strategic leadership focuses on idea implementation” (Nutt and Backoff (1996:475).

Nutt and Backoff (1993:17) state that “strategic leadership as a process of guidance that sets a new strategy in place”. In addition, leadership should aim to realise significant, enduring change. According to Daft (1999:125) “strategic leadership is responsible for the relationship of the external environment to choices about vision, mission, strategy and their implementation”. Jooste (2003:39) argues “that strategic-level leaders occupy senior positions, including ministers within government departments”.

Jooste (2003:39) state that “Strategic leaders are responsible for delivering services and allocating budgets. Moreover, they should communicate a strategic vision, as well as plan for present and future deliverables”. Jooste (2003 in Jarbandhan 2007:74) “also takes cognisance of environmental factors that influence the decision-making capabilities of strategic level leaders”. Daley in Riccucci (2006:163) believes that “strategic leadership and planning in organisations should be modern and knowledge-based.” This view extends to the fact that institutions’ competitive advantage “can be garnered from resource-based human capital” (Jarbandhan 2007:74).

Nutt and Backoff (1993 in Jarbandhan 2007:78) “identify strategic leadership approaches based on what each type of approach wants to achieve. The first approach describes successful leaders; the second is based on the ‘language of leadership’; the third is based on interpreting what successful leaders do; and finally followership offers an explanation of strategic leadership”.

- **The descriptive leader approach**

According to Kouzes and Postner (in Nutt and Backoff 1993:17) “leaders as being early “adopters of innovative ideas. Basically, ideas are taken from the organisation’s internal and external sources, where after it is adopted into a vision. The strategy is then derived from the vision. The successful leader must be able to describe the

vision using scenario-building forecasts and perspectives. The leader must then get the followers to believe in the vision. The strategy is then implemented. Essentially, strategic leaders seek ways to change institutions in an ever-changing environment”.

- **The language-based leader approach**

Nutt and Backoff 1994:18) describes “the ‘language of leadership’”. “Here the language-based leader uses two sets of skills. The first one is ‘framing’, where the leader presents the strategic vision. Secondly, the leader uses ‘rhetorical crafting’, where emotional language is used to create an appeal for the strategy. Here the effective leader keeps the message simple and repetitive” (Nutt and Backoff in Jarbandhan 2007:79).

- **The interpretive leader approach**

“This theoretical approach is based on the supposition that the source of the strategic leadership vision comes from others” (Nutt and Backoff 1993:19). “They obtain the vision from the practices around them, such as their subordinates and literature and they do not create the vision, but shape one to fit the situation they find themselves in” (Nutt and Backoff 1993:19).

- **The followership approach**

According to Kelly (in Nutt and Backoff 1993:463) “leaders mold and are molded by followers and 50-percent of all leaders had questionable leadership abilities and were poor role-models and also showed insecurities in sharing public platforms with followers”. “In order to create strategic change, leaders had to work in close collaboration with followers to shape and create a vision” (Kelly in Nutt and Backoff 1996:463). Strategic change can be achieved by: “**Information sharing**. Here, a leader gathers information, but will share it with his/her ‘exemplary followers’, and give feedback to his/her followers on an on-going basis. The leader would also have to involve exemplary followers in **joint strategy formulation**. Here, the leader would present a number of ideas that could be shared with knowledgeable followers, and in

turn get feedback. This would allow for the strategy to be managed properly. Finally, the leader would **share in the risk and rewards** because leaders need to share risk and rewards in both good and bad times” (Kelly in Nutt and Backoff 1996:463). “A sign of poor leadership is when followers are held accountable for all the failures of a risky decision. If this happens the leader could face alienation” (Kelly in Nutt and Backoff 1996:463). Kelly (in Nutt and Backoff 1996:463) points out that “followers look for facets of leadership before giving off their best”. Table 4.3 below summarises “the salient features of strategic leadership” (also in Jarbandhan 2007:80).

Table 4.3: Salient features of strategic leaders

STRATEGIC LEADERS
“Have a synergistic combination of visionary and managerial leadership”.
“Focus on ethical behaviour and value-based decisions”.
“Oversee operational (day-to-day) and strategic (long-term) responsibilities”.
“Formulate and implement strategies that have an immediate impact and preserve long-term goals to enhance organisational performance and long-term viability”.
“Have strong, positive expectations of the performance they expect from their superiors, peers, subordinates and themselves”.
“Use strategic and financial controls, with an emphasis on strategic control”.
“Use linear and non-linear thinking patterns”.
“Use and interchange tacit and explicit knowledge on an individual and organisational level”.
“Believe in strategic choice – their choices make a difference in their organisations and environment”.

Source: (Adapted from Rowe in Naidoo 2009 in Jarbandhan 2007:80)

4.8 Strategic management leadership competencies

Scholtes 1999; Bergmann 1999; Wright et al. 2000; Dering 1998; Kanji and Moura 2001 and Graetz 2000, “stress the importance of ‘creating a vision’ as an important competency for leadership” (in Kerfoot 2000:263). Kerfoot (2000:263) calls “for a ‘shared destiny’ instead of a shared vision”. According to him (2000:263), “the best organisations are built on a model that seeks mutual growth for both the organisation and employees where such a model allows for their and the organisation’s development into a mutually satisfying relationship that adds mutual value”.

“Most of the above authors refer to the competencies they identified as being ‘key’ or ‘core’” (Kerfoot 2000:263). According to Beckett (1998:24) “the word ‘key’ is an example of management jargon that management consultants use this to make something sound more important”. Pritchard (1999 in Beckett 1998:24) “however, considers core competencies to be those essential characteristics that are needed for on-the-job success”.

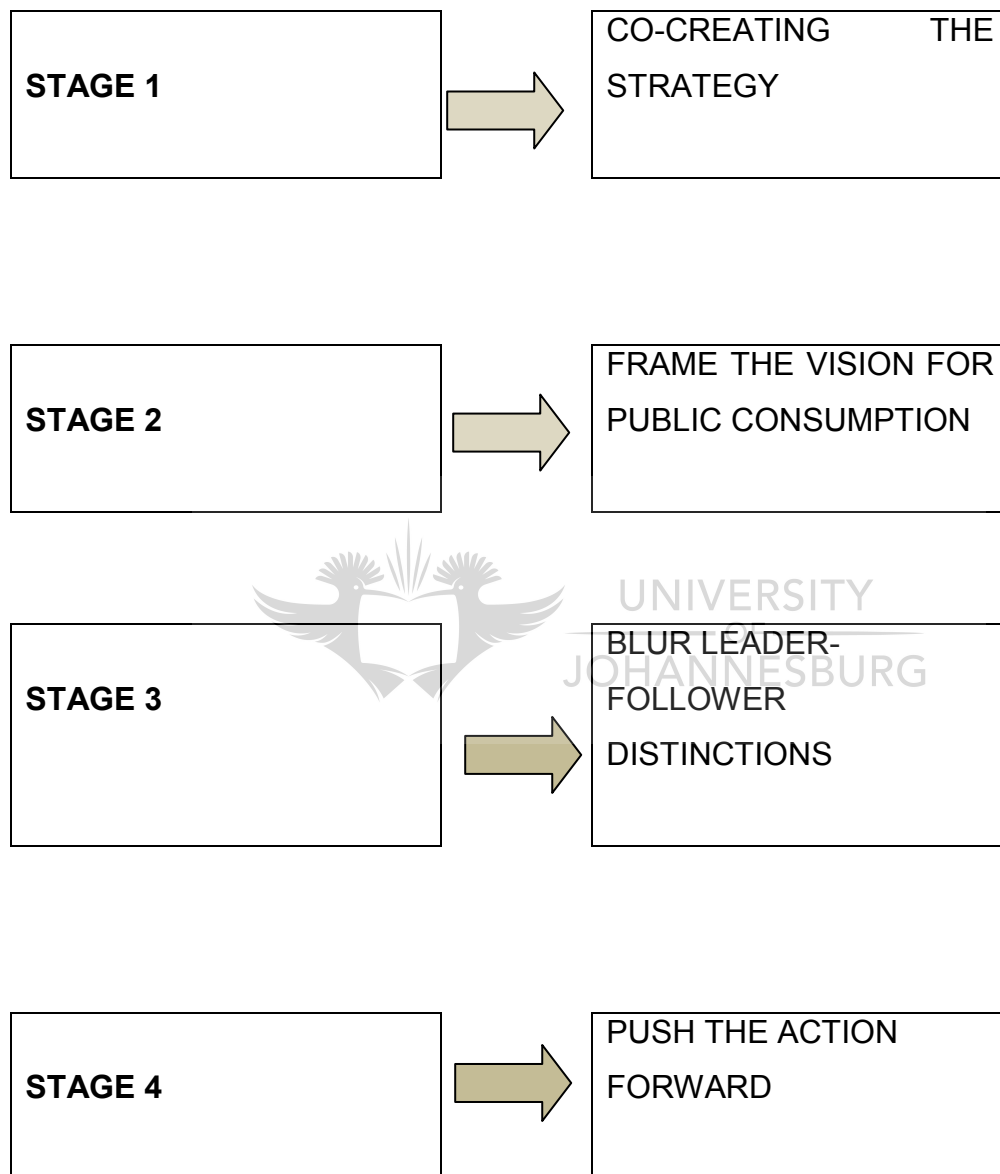
“When considering the ‘shopping basket approach’ that some authors use, the words ‘key’ and ‘core’ are useful. Most authors specify those competencies that are unique to, or play a specific role in leadership. There are a large number of similar competence clusters. Likewise, numerous authors have identified different competencies as being ‘key’ or ‘core’. The essence of strategic leadership can be grasped by focusing on the similar or commonly identified key (core) competencies” (Jarbandhan 2007:84).

4.9 Strategic leadership process

According to Nutt and Backoff (1993:25) “strategic leaders need to be concerned with walking the vision”. The Senior Management Service (SMS) Handbook (DPSA 2003) supports the view that public sector managers need to “walk the talk”. “Senior strategic leaders need to obtain support from a wide variety of actors from within (for example, policies and implementation frameworks) and outside (for example, the contextual realities of local communities) the institution” (Jarbandhan 2007:86).

The following stages are stages that are proposed by Nutt and Backoff (1993:25). “The model is based on a four stage process as illustrated below” (in Jarbandhan 2007:86).

Figure 4.1: The four stage strategic leadership process



Source: (Based on Nutt and Backoff’s Four-Stage Process Model 1999 in Jarbandhan 2007:86-87)

STAGE 1: Co-create the strategy

According to (Nutt and Backoff 1999:28), during “this stage the leader facilitates strategy development. The strategic leader delegates strategy development to others and then sells the results. The aim is to integrate the idea of exemplary followers and to ‘win over’ a diversified group of individuals in order to stem any resistance to change”. Notably, due “to the large number of stakeholders in public institutions, resistance to change can come from any quarter and the senior manager/s can extend the vision of the institution to other units” (Nutt and Backoff 1999:28).

STAGE 2: Frame the vision for public consumption

(Nutt and Backoff 1993:28) states that due “to the nature of public management, the strategic leader has to reframe the strategy by looking at the preferences and values that pertain to groups and individuals”. “In essence, the strategic leader will have to appease the needs and wants of groups very subtly by framing the strategy to suit all stakeholders. If any group is displeased [within public organizations], it could delay policy implementation” (Nutt and Backoff 1993:28).

STAGE 3: Blur leader-follower distinction

“Here the leader is required to empower exemplary followers. Notably, exemplary followers can help change to public institutions. Therefore, the leader-follower distinction becomes blurred. This blurring helps create a sense of empowerment in followers” (Nutt and Backoff 1993:29).

STAGE 4: Push the action forward

According to Nutt and Backoff 1993:29) “with empowered followers the leader can now push the action forward (vision) – the strategy can be implemented and action plans can be operationalised. One must still bear in mind and this must be planned for”.

Jarbandhan states that (2007:54) “the ‘four stage’ leadership process acts as a good framework to promote strategic leadership within public sector institutions”.

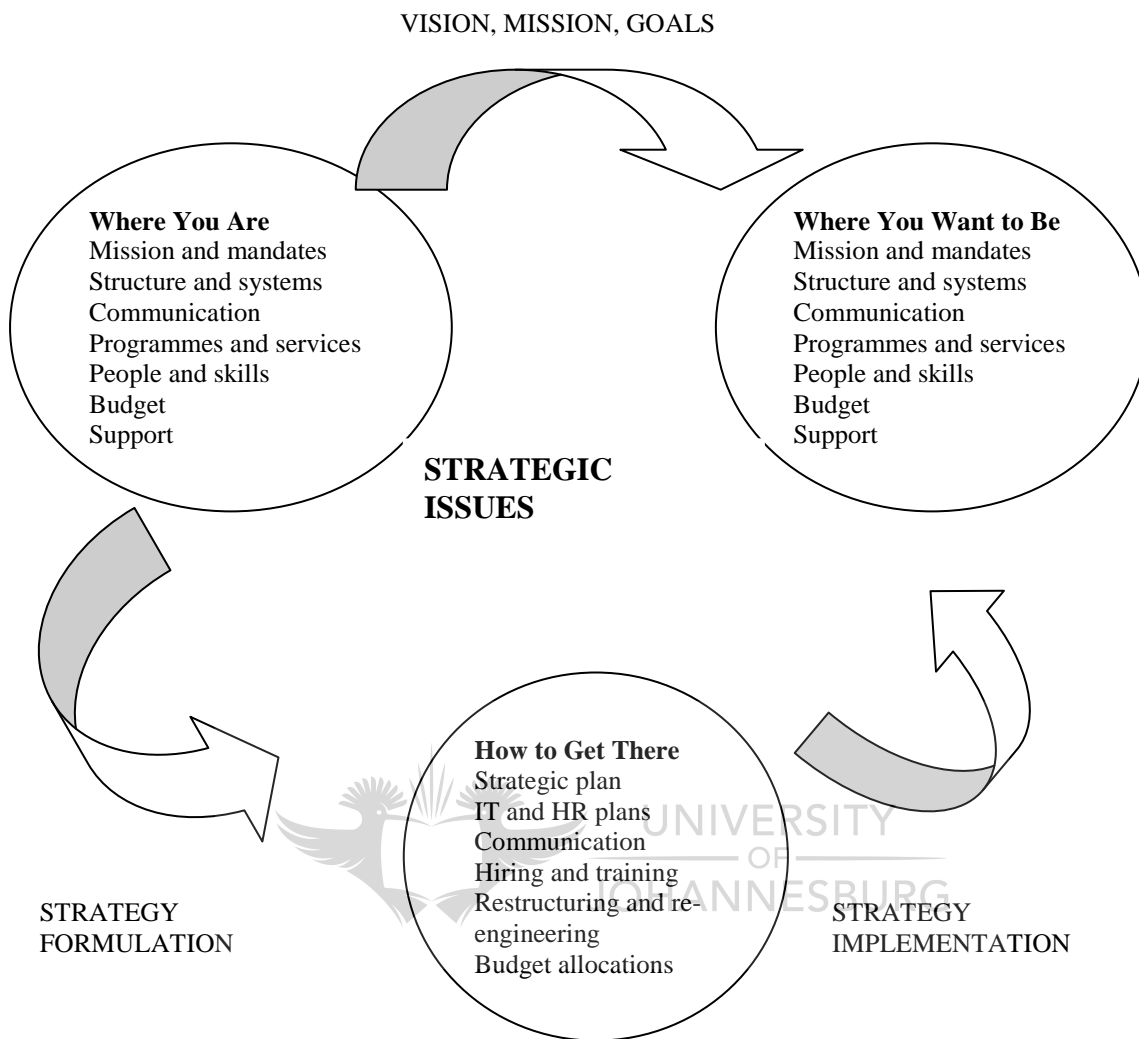
Rowe in Naidoo (2009:10) is also “of the opinion that strategic leadership can help maintain long-term viability and short-term stability within organizations”.

4.10 The relationship between strategic leadership and strategic planning

“Strategic planning can be regarded as the first stage in strategic management. Therefore, strategic management includes implementing the strategic plan by utilising resources effectively” (Jarbandhan 2007:54).

According to Bryson (2004:6) “strategic planning is a disciplined effort to produce fundamental decisions and actions that shape what an organization is, what it does, and why it does it”. In addition Wehrich and Koontz (1993:170) argue “that strategies and policies must be put into practice through plans in order for organizations to be effective”. Van der Waldt and Du Toit (1998:285) state “that strategic planning is used as a tool in strategic management, and is an important component in the process”. Mercer (in Van der Waldt and Du Toit 1998:286) “is of the opinion that strategic planning “enables public managers to evaluate, select and implement alternatives for rendering effective service”. Therefore, “strategic planning helps ensure that state resources are used effectively and efficiently” (Van der Waldt and Du Toit 1998:286). Bryson (2004:294) alludes to the fact that strategic leadership, planning and implementation are interconnected concepts and therefore need to be discussed as mutually inclusive.

Figure 4.2: The strategic planning process



Source: (Adapted from Bryson and Alston in Bryson 2004 in Jarbandhan 2007:59)

Figure 4.2 provides an extensive explanation of the strategic planning process. “It indicates ‘where you are’, ‘where you want to be’ and ‘how to get there’”. An understanding of the above figure outlines the strategic planning process. The above figure also indicates that the strategic planning process is not a single entity, but consists of a number of interrelated processes. Strategic planning’s ultimate purpose is to improve productivity and government effectiveness. If the public sector fails to plan strategically, it will ultimately fail in this day and age” (Jarbandhan 2007:60). Bryson (2004:68) adds that, in order for strategic planning to be “successful, it must be seen as a collective effort”. The relevance of collective leadership and strategic planning will be analysed in the following section.

4.10.1 Fostering collective leadership and strategic planning

Team building and collective leadership fulfils an important role in strategic planning (Bryson 2004; World Public Sector Report 2001). As noted before, “great groups promote strategic leadership” (Ireland and Hitt 2005:41). “In the modern era, leaders cannot take strategic decisions by themselves; they need to rely on teams that can guide the decision-making process. Strategic leaders need to foster collective leadership by following the following approaches” (Ireland and Hitt 2005:41):

- **Rely on teams**

According to Bryson (2004:307) “teams are essential because no one person can claim that they have all the quantitative and qualitative information in order to plan strategically. Secondly, the reason for relying on teams could be political – including all stakeholders. Team leaders focus on accomplishing team goals and ensuring cohesion within the team. A leader should help team members to communicate effectively; get a unified perspective in a diverse group; define the team’s mission, goals and norms; establish an atmosphere of trust; foster creativity and sound decision-making; allocate resources; develop leadership competencies and celebrate achievement and overcome adversity”.

- **Focus on network and coalition development**

Bryson (2004:308) also states that “Coalitions are important to indicate to group members that what the group can achieve as a collective cannot be achieved singly and it is important for a leader to undertake stakeholder analyses in order to understand the dynamics of the group, so that when the vision is framed, it will draw stakeholder support. Leaders need to promote effective team building”.

- **Establish specific outcomes for sharing power, responsibility and accountability**

According to (Bryson 2004:309), “Policies are generally stipulated by law-making bodies at higher levels. However, this does not imply that the group is excluded in sharing power, responsibility and accountability. Strategic planning teams should serve as vehicles to share power” (Bryson 2004:309). In the end, the team member should also share in the credit (Bryson 2004:309).

4.10.2 Enhancing leadership skills and strategic planning capacity

The World Public Sector Report (2001:98) indicates “that the state’s administrative capacity can be strengthened by enhancing leadership and strategic planning skills”. According to this report “the global world village calls for strategic leaders with:

- Sound analytical and diagnostic capabilities. Leaders face daunting challenges. Resources are scarce, technology is changing rapidly and the global landscape is in flux. It is therefore of utmost importance that leaders possess strategic planning skills. A leader should have strong analytical skills and diagnostic capabilities to make sound decisions” (*The World Public Sector Report* 2001:98).
- Skill is to scan “the environment carefully for possible constraints or emerging opportunities” (*The World Public Sector Report* 2001:98). David (in Van der Waldt and Du Toit 1998:286) is “of the opinion that leaders should carry out other techniques, such as a Strengths, Weaknesses, Opportunities and Threats (SWOT) analysis of the organization”.
- “Ability to galvanise and mobilise support for both the goals and the course of organisational change. Relying on teams is essential to manage change” (Van der Waldt and Du Toit 1998:287).
- Building “structures and cultures for dialogue and mutual accommodation. Cordial relationships and effective relationships must be fostered to promote strategic planning” (Van der Waldt and Du Toit 1998:287).

- Managing diversity and change. Globalisation is synonymous with change. Therefore, “leaders need to work with diversified groups in order to manage meaningful change within public institutions” (*World Public Sector Report* 2001:98).

Leadership should have the capacity to manage the complexities that are associated with the modern state. Notably, this requires an in-depth knowledge of the strategic planning process.

4.11 Leadership roles for effective strategic planning

“Strategic planning is assumed to have a visionary intent. A sound strategic plan should be realistic and attainable. Moreover, it should also transform vision into action” (Bryson (2004:297). Bryson (2004:297) also argues “that strategic planning is not a substitute for effective leadership”.

“Strategic planning plays an essential part in realising the institution’s goals and senior public sector leaders therefore need to be able to plan effectively” (Bryson 2004:297). Bryson (2004:298) further states “that the following interconnected leadership roles are important in strategic planning:

- Understanding the context. Leaders need to see the possibilities that change could bring about. Importantly, leaders need to analyse the historical context of change, so that they see the ‘big picture’.
- Understanding the people involved. Understanding oneself and others helps to create a new leadership perspective from an individual and organisational point of view. Knowing people well is important, as leaders need to work with teams.
- Sponsoring the process. These are the top managers. They may not necessarily be involved in drawing-up the strategic plan, but they have a

vested interest in the result – to ensure the institution’s competitive advantage.

- Championing the process. These are the individuals who have to manage the strategic planning process daily. Leaders need to keep strategic planning high on the agendas of those who are involved in the process; have the resources available in the team; gently push the process ahead – towards the vision; and develop champions throughout the organisation.
- Facilitating the process. Leaders need to move the process along by giving it direction.
- Fostering collective leadership.
- Using dialogue and discussion to create a meaningful process. Visionary leaders are responsible for communicating and creating a vision. However, in this context ‘visioning’ refers to envisioning an outcome.
- Making and implementing decisions. Leaders need to understand the group dynamics, which can help inform decision-making. Conflict areas should be dealt with before it gets out of hand. It is also important for leaders to build teams” (Bryson 2004:298-299).

According to Nutt and backoff 1993:78) “Effective strategic planning is a group activity. Leaders need to have effective facilitation skills in order to promote the strategic planning process. Importantly, leaders need to take heed of strategic planning processes”.

4.12 Conclusion

Mintzberg (in Bryson 2004:299) said that, “Strategy formation cannot be helped by people blind to the richness of its reality”. “The South African public sector has undergone radical change over the last few decades. Besides having to cope with

domestic service delivery backlogs, the fledgling democracy has to deal with a highly complex global environment” (cf. Jarbandhan 2007:67). The need for a strategically orientated public sector cannot be over-emphasised. Notably, strategic leaders can manage changing environments. utilization within the context of this chapter.

It has been stated at the outset of this thesis that the concept of leadership is difficult to define. So is the concept of strategic leadership. For the purpose of this chapter, strategic leadership was viewed as the combination of managerial and visionary leadership to influence decision-making and promote long-term organisational effectiveness. The chapter also highlighted the importance of creating and promoting a strategy and a vision for the institution.

The concepts of visionary and managerial leadership were also defined. Visionary leaders are vision-oriented, future-oriented and are able to take risks. Managerial leadership involves leaders who promote the organisation’s operational objectives. They have a short-term vision of the future. It was concluded that strategic leadership can help promote effective and efficient public sector organisations. Furthermore, it was also argued that strategic leadership is not used as often it should within the public sector. Managerial leadership is often chosen because it focuses on short-term goals, and account for money spent (whether effectively or not is another issue).

The chapter highlighted the role of strategic leadership in Government and the need for strategic leadership within South African public sector institutions. Due to the country’s service delivery backlogs and the apartheid legacy that still bedevils the country, strategic leadership was put forward as a leadership ideology. Currently, the South African Government’s strategic framework is underpinned by the Medium-term Strategy Framework (MTSF) and the Medium-term Expenditure Framework (MTEF), which charters the country’s strategic future. These strategic government interventions require strategic leaders. Such strategic leaders are not readily available, as the public sector mostly promotes a managerial leadership style.

A theoretical overview underpinned the definition of strategic leadership. The theories of strategic leadership included: “The great leader view of strategic

leadership". The 'great leader', or what was referred to "as the 'Lone Ranger', sets direction and has a top-down approach to organizational operations. When the organisation has achieved its goal, the leader is referred to as the 'Corporate Hercules'. Although successful, the 'great leader' approach to strategic leadership has been challenged – especially within the ultra-complex modern environment" (cf. Jarbandhan 2007:69). According to the literature reviewed, organizations can find it counter-productive to instill strong strategic leadership in a single person at the top of the organisational hierarchy. The second theoretical explanation hinged on: "The great groups view on strategic leadership. Here, strategic leadership is distributed among diverse individuals who share the responsibility to create a viable future for the organisation. A leader who is able to nurture 'great groups' or teams will ultimately be able to provide strategic direction and leadership"(cf. Jarbandhan 2007:70) within the organisation.

The six components of strategic leadership, as popularised by Ireland and Hitt, which could give organisations a competitive advantage were also discussed. "The six components include determining the organisation's purpose or vision; exploiting and maintaining core competencies; developing human capital; sustaining an effective organisational culture; emphasising ethical practices; and establishing balanced organisational control "(cf. Jarbandhan 2007:71).

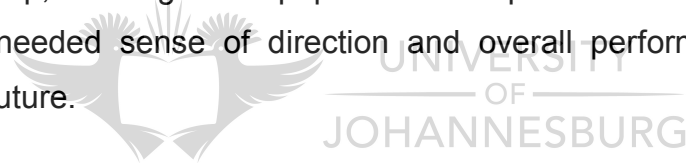
This was followed by a discussion on the different approaches to strategic leadership. The approaches were popularized by Nutt and Backoff and include the descriptive leader (here the strategic leader describes the future vision to followers by painting scenarios); the language-based leader (language – often emotive – is used to get followers to buy into the strategic vision); the interpretive leader (interprets the surroundings to create a vision); and the followership approach (exemplary followers are given exclusive institution-focused information and they use this information to formulate joint strategies with the leader).

Furthermore, organisations need to focus on core strategic management leadership competencies in terms of those essential behaviours and characteristics that are needed for organizational success (see Chapter Five). In order to develop those core characteristics a process should be followed consisting of four stages, namely, co-

creating the strategy; developing a vision that must be communicated to the public; blurring the distinction between leaders and followers and pushing the action forward. This four-stage process promotes effective strategic leadership.

The strategic leadership process where the relationship between strategic leadership and strategic planning was highlighted was also provided. Attention was paid to the importance of collective leadership and strategic planning in terms of the importance of teams, networks and coalition development and specific outcomes for sharing power, taking responsibility and ensuring accountability. Finally, the leadership roles to promote effective strategic planning were highlighted.

Finally, one must bear in mind that strategic leadership, planning and implementation are interconnected facets and was therefore discussed within the context of this chapter. Changing environmental conditions within a global landscape has forced organisations to adopt a more strategic approach to allocating limited resources. Strategic leadership, although not popular within public sector institutions, can provide a much-needed sense of direction and overall performance in order to achieve a viable future.



CHAPTER FIVE

SYSTEMISATION AND IMPLEMENTATION OF THE QUALITATIVE GROUNDED THEORY COMPETENCE FRAMEWORK: DATA PRESENTATION AND ANALYSIS

5.1 Introduction

The preceding chapters contextualised the theoretical underpinning of the study. The aim was to develop a documented structured framework or theoretical model to determine the leadership competencies in order to manage transformation within the South African public sector strategically. In line with this, Chapter Five contextualises the qualitative grounded theory coding approach in terms of its application of the collection, processing and analysis of data. In this chapter, the following research question of the study will be addressed: **“Which transformational leadership competencies are important for a South African senior public sector manager to excel as a strategic leader towards real and sustained organisational change?”**

Chapters Two, Three, and Four presented an extensive review of the available information in order to answer the research questions that are posed in this thesis. The theoretical perspectives provided in the literature enabled the researcher to locate certain variables that influence the leadership/managerial roles of senior public service managers. These variables were used as the basis for conducting the substantive theory in terms of the development of change competencies to manage transformation strategically for the purposes of this thesis. The literature review was also conducted to determine the nature and extent to which previous research dealt with the above-mentioned topic.

For the purposes of this thesis it was necessary to provide an application of the design considerations and research setting in order to contextualise the methodological conduct in terms of a qualitative grounded theory approach. This also involved examining the theoretical application of concepts (theory and competency), data processing, as well as the role of the researcher’s personal

experience and views. An overview was also provided of the access, data collection and the final phase of the study.

The final phase of the research involved several key activities, such as concluding the data analysis, ensuring data quality and the coding process. The application of the open, axial and selective coding is explained, as well as how data quality is ensured. Furthermore, the presentation of data and the role of the literature review in terms of the above mentioned coding paradigm are also highlighted.

The chapter then proceeds to document the research findings in terms of the core categories of the coding paradigm. These include the properties that were selected during the content analysis phase of the above mentioned chapters; the internal experiences of managers; the documentary analysis of what is expected of leaders and managers in terms of the job requirements within the public sector; and validating the literature dealing with the aforementioned. The framework was developed from the main themes, as well as from the core categories and properties of data. This framework was used to group all the dimensions of the open categories and the properties that were determined during the open and axial coding phase into selective codes that are applicable to this study.

5.2 Theoretical application

The thesis followed “a ‘*dominant-less-dominant*’ design. As a result, the research is presented within a single, dominant qualitative theory coding paradigm; only one component of the overall research is drawn from the alternative coding paradigm. In essence, the triangulation is sequential rather than simultaneous” (Cresswell 1994:177). It is “sequential in the sense that the research involved methodological triangulation in that both conceptual and qualitative approaches were followed. However, in qualitative research, design elements are usually worked out during the course of the study. A qualitative approach has the potential to supplement and reorient the current understanding of the problem at hand” (Lee 1999:13).

“The coding paradigm was developed to validate the literature and documentary survey. The purpose of the interviews was to determine the leaders' strengths and weaknesses; past events that influenced their leadership approach; critical points in their careers, and the characteristic behaviour and influences of a good transformational leader” (Cresswell 1994 in Jarbandhan 2012 b:4).

5.2.1 Applying existing concepts in the study

The following section provides a conceptual clarification of the theoretical use of the terms and competencies for the purposes of this chapter.

5.2.1.1 Theory

According to Bryman and Bell (2003:7) “two issues in particular are at stake when considering the link between theory and research: Firstly, there is the question of what form of theory one is talking about. Secondly, there is the matter of whether data are collected to test or build theories”.

Firstly, it is necessary to consider “what theory is (Cresswell 1994:177). After considering the literature on theory and qualitative research, the researcher believes that the following four broad assumptions are made:

There is no generally acceptable definition of theory (Jarbandhan 2012b:6). “Flinders and Mills (1993) emphasise the difficulty of finding precise definitions of theory, since philosophers of science and scholars working in various academic disciplines have defined it in many ways” (in Jarbandhan 2012b:6).

“Secondly, attempts at formally defining theory are criticised” (Jarbandhan 2012b:7). Silver (1983) defines “these attempts as robbing it of its true beauty, its emotional significance, and its importance to everyday life” (in Anfara and Mertz 2006:xiv). According to Silver (in Anfara and Mertz 2006:xiv), “understanding theory and how it relates to the research process is no easy task, since one needs to travel into someone else’s mind and become able to perceive reality as that person does” (in Anfara and Mertz 2006:xiv).

“Thirdly, when considering theory, a number of prominent local scholars” (Jarbandhan 2012b:7)(for example Mouton and Marais 1990 and Mouton 1995) highlights “the components or its building blocks, such as concepts, definitions, empirical propositions, statements, conceptual frameworks (typologies, models and theories), research traditions and very broad theoretical paradigms”.

“Finally, theory is generally distinguished in terms of its level of abstraction, such as grand theories and middle-range theories, as pointed out by Merton (1967)” (in Jarbandhan 2012b:6). “Theory can also be distinguished in terms of applicability, such as the substantive and formal theories of Glaser and Strauss (1967)” (Jarbandhan 2012 b:5-6).

For Merton (1967:93), “grand theories operate at quite an abstract and general level. Furthermore, these theories generally offer limited indications as to how they might guide or influence data collection during the research process”. Middle-range theories “operate in a limited domain” and “represent attempts to understand and explain a limited aspect of social life” (Bryman and Bell 2003:8).

The development and usage of grounded theory introduced the “difference between substantive and formal theory. Today, this is most definitely regarded as the most frequently used approach to analysing qualitative data” (Bryman and Bell 2003:427). “But what does this approach entail?” (Jarbandhan2012b:7) Bryman and Bell (2003:428) state the following: “In its most recent incarnation, grounded theory has been defined as theory that was derived from data, systematically gathered and analysed through the research process”. “In this method, data collection, analysis, and eventual theory stand in close relationship to one another” (Strauss and Corbin 1998:12). Thus, “two central features of grounded theory are that it is concerned with the development of theory out of data and the approach is iterative, or recursive, as it is sometimes called, meaning that data collection and analysis proceed in tandem, repeatedly referring back to each other” (Strauss and Corbin 1998:12).

Another important characteristic of grounded theory is the distinction between substantive and formal theory: “By substantive theory we mean that it is developed for a substantive, or empirical, area of sociological inquiry, such as patient care, race

relations, professional education, delinquency, or research organisations. By formal theory, we mean that it is developed for a formal, or conceptual, area of sociological inquiry, such as stigma, deviant behaviour, formal organisation, socialisation...” (Glaser and Strauss 1967:32). “When formal theory is the ultimate goal, it must be developed from a substantive grounding in concrete social situations in order to be valid” (Glaser and Strauss 1967).

“Many of the theories that are used in organisational studies, such as decision-making and leadership, are substantive in nature. Substantive theories may be developed for issues associated with managing contingent workers or working in virtual organisations. Formal theory refers to areas of inquiry that operate at a highly general level, such as systems theory” (Burden 2006).

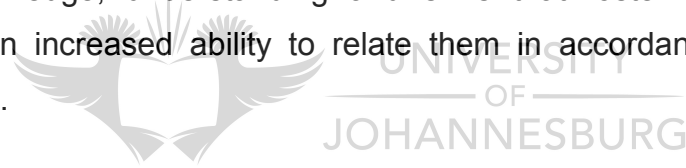
In his particular view of theory, the researcher agrees with Bogdan and Biklen (1998), who argue “that a theory should be seen as a collection of logically related assumptions, concepts or propositions that orient thinking and research”. Furthermore, the researcher also identifies with Strauss and Corbin’s (1982:22) definition that, “theory denotes a set of well developed categories (e.g. themes, concepts) that are systematically inter-related through statements of relationship to form a theoretical framework that explains some relevant social, psychological, educational, nursing, or other phenomenon”.

“While the preceding quotation sheds some light on the researcher’s view of theory, and how he went about it in this thesis, it is nevertheless useful to look further at the relevant literature in this regard” (cf. Chapter One 1.7.8).

According to Auriacombe (2010:79 “qualitative researchers disagree on how to use theory in research”. Anfara and Mertz (2006:xix) write the following: “Examination of the most prominent ... materials for wisdom about the role of theory leaves the reader with one of three different understandings: first, that theory has little relationship to qualitative research ... second, that theory in qualitative research relates to the methodology the researcher chooses to use and the epistemologies underlying that methodology ... and to a subset of this position that is related to some methodologies ... and third, that theory in qualitative research is broader and more

pervasive in its role than methodology. The categories of understandings are not exclusive, and authors may lean toward more than one position”.

“In addition, the use of existing theoretical concepts raises the issue of deduction and induction as reasoning strategies” (Auriacombe 2009:89). “Both these strategies are found in qualitative research” (cf. Section 1.7). According to Creswell (2003:182-183), “Although the reasoning is largely inductive, both inductive and deductive processes are at work”. Auriacombe (2009:90) states “that it is particularly important for the researcher to approach the application of theory in line with his/her own capability”. “Theoretical sensitivity is a personal quality of the researcher and it is a reflection of the researcher’s awareness of the subtleness of the meaning of data” (Strauss and Corbin 1990:41). “It is the combination of professional and personal experience and the researcher’s reading of literature that influences his/her theoretical sensitivity” (Auriacombe 2009:91). Glaser and Strauss (1992 in Auriacombe 2009:91) “did not support this point of view and argues that it is the researcher’s knowledge, understanding and skills that foster the generation of categories and an increased ability to relate them in accordance with emergent theoretical codes”.



“Theory may be used to guide one in collecting and analysing data. The researcher favoured Strauss and Corbin’s description of theoretical sensitivity to that of Glaser. This is purely because the research setting encompasses the public sector and the senior management services, as depicted in the Senior Management Service. Public Service Handbook (2003)” (cf. Section 1.8.1). The researcher “felt that experience in the organisation weighed more than knowledge of the organisation, as it impacts heavily on his understanding of terminology and Senior Management Services (SMS) job proficiency vocabulary that are specific to senior managers in the public sector” (Jarbandhan 2012 b:1). According to Bogdan and Biklen (2003:200), “Good researchers are aware of the theoretical base and use it to help collect and analyse data. Theory helps to develop data coherence and enables research to go beyond an aimless, unsystematic piling up of accounts”. “Although one can use formal or general theory, such as symbolic interactionism, to guide the execution of one’s methodology, the researcher decided to apply the substantive theory of Strauss and Corbin (1990) in order to

shed light on the phenomenon he wished to study” (cf. Section 1.7.8). “This was also Glaser and Strauss’ (1967) point of view” (cf. Section 1.7.8). “They were of the opinion that, from a grounded theory point of view, substantive theories represent intellectual tools that are developed to illuminate particular social phenomena within a particular field of study” (cf. Section 1.7.8).

“However, researchers need to be careful not to let existing theory and findings from other research studies interfere with their understanding of the perspectives of research subjects” (Groenewald 2003:42). “It could also be argued that existing theory and other research projects inform on many levels and that this allows researchers to determine shortfalls they may want to fill. Therefore, as recommended by Swanson and Holton (1997), the researcher took special care in using existing theory. When the researcher analysed data and emerging themes, he studied the appropriate literature to gain a deeper understanding of the themes and clues to refine focus, questions and methods. The appropriate literature had to be studied at different intervals. Firstly, the researcher had to scan literature for general topics that were related to the topic of his study. Thereafter, he planned on gradually delving deeper into specific issues that authoritative leadership theorists raised to assist him in categorising data. Later on in the study, he had to refer back to literature to gain a better understanding of the themes that emerged during data analysis” (cf. Section 17.8).

5.2.1.2 Competency

“A diverse literature review indicates the following as some of the popular definitions of the term competency” (Woodruffe in Sanghi 2011:49) (the terms competency and competence are used interchangeably in this thesis). Woodruffe (in Sanghi 2011:49) “defines competency as a dimension of overt, manifest behaviour that allows a person to perform competently”. According to Horton (2000:354), “the term involves and identifies the competencies that distinguish high performers from average performers in all areas of organisational activities”. Hirsh and Strebler in (Sanghi 1999:25) view competency as the “context of a particular job and the organisation in which it exists”. The authors go on to add that, “competencies are associated with superior performance”. Charlton (in Bolden, Gosling, Marturano and Dennison

2003:35) defines competence as “the exhibition of specific behaviour and attitudes being clearly demonstrated and therefore measurable, and is distinguishable from the inherent potential to perform”.

Sanghi (2011:9) summarises the term aptly by concluding “that competencies are a manager’s characteristics that lead him/her to skills and abilities that result in effective performance within an occupational area”. “From the definitions above, it emerges that the concept of ‘competence’ has the following commonalities and characteristics, namely” (Jarbandhan 2007:65):

- “It is related to performance.
- It distinguishes ‘average’ from ‘high’ or ‘superior’ performers.
- It has an impact on organisational effectiveness.
- It involves measurable behaviour/attributes.
- It is skills-based” (Jarbandhan 2007:65).

The literature review also highlights that organisations have their own competency – the term that is used in academia is “organisational competencies” (Jarbandhan 2012 b:10). According to Noordegraaf (in Schwella and Rossouw 2005:763) “competencies cannot be isolated from institutional surroundings”. “Organisational competency gained momentum with the strategic management movement in the United States (US) in the 1980s when academics focused on the concept of competitive successes” (Horton 2000:308). The literature also discusses “the concept of distinctive competence, which was proposed by Prahalad and Hamel” (in Horton 2000):309). “Distinctive competence proposes another approach to the strategic planning process. When applying this approach, organisations need to understand their ‘core competencies’ and ‘capabilities’ in order to exploit resources successfully. The ultimate aim is to place organisations at the cutting-edge of success. The foremost literature surrounding organisational competency thinking in the US indicates that a corporation’s ability to learn and gain ‘sustainable competitive’ advantage could arise from its ability to identify, build and leverage new competencies” (Sanchez and Heene in Horton 2000:309). Finally, “the concept of organisational competency builds on the ideas that are enshrined in the competency

movement. In turn, the reform agenda, which was popularised in the works of Osborne and Gaebler” (in Boxall et al. 2007:76) “and in the *Gore Report of 1993*” (Horton 2000:310) has become popular in the public sector.

It is clear that the term ‘competence’ has many interpretations. Winterton in Boxall et al. (2007:334) summarises “the challenges surrounding the conceptual analysis and definition of the term by concluding that, there is such confusion surrounding the concept that it is impossible to identify or impute a coherent theory or to arrive at a definition capable of accommodating and reconciling all the different ways that the term is used. However, it is also clear that ‘competence’ focuses on adequate qualifications, capabilities, as well as specific knowledge and skills to perform a task according to a set of standards”.

The researcher set out to understand which competencies leaders need for a particular instance or area, namely, the change leadership competencies to strategically manage transformation in the South African public sector. “Initially, the researcher wanted to study what front-line managers regard as good leadership competencies. However, it soon became clear during the interview phase that research participants were eager to explain why they were behaving in a certain way and what they are experiencing –instead of explaining what they regarded as good strategic management competencies and leadership skills. While analysing the collected data, the researcher consciously looked for emerging themes arising from the material. Moreover, he also searched for abstract theoretical concepts in an attempt to understand the experiences of the senior managers in the public sector. The researcher approached the research/theory relationship iteratively. While there were differences, the approach here was generally in agreement with those of other local qualitative researchers, such as Nell (2005) and Burden (2006)” (cf. Sections 1.8 and 1.8.1).

5.3 Data processing

Hermeneutic meaning interpretation was used for “qualitative data processing” (Lee 1999:89). Following Lee’s approach (1999: 89-94), “two major modes of qualitative data analysis were employed, namely meaning condensation and hermeneutic

meaning interpretation”.

“Meaning condensation involved extracting, abridging and abstracting the most important themes from the literature. Data was thus reduced, while important themes were extracted from the data. The meaning was condensed into five basic stages: Firstly, the researcher read the entire set of theories in terms of the units of analysis; secondly, the researcher identified the natural meaning units; thirdly, the natural meaning units were defined and thematised; fourthly, the researcher interrogated the natural meaning units in terms of the specific purpose of the research; and lastly, the concisely worded natural meaning units were integrated into a coherent and non-redundant structure” (Lee 1999:94).

“Data were unitised to facilitate the development of sensitising themes and indigenous concepts, and finally a model (a scientific tool) was developed. Assigning specific colours to different categories of data helped coding. A grounded theory approach, which is ideal for studying social change (Parry 1998 in Auriacombe 2009), was therefore applied” (cf. Sections 1.7 and 1.8). In this regard, Strauss (1987:5 in Strauss and Corbin 1997) describes grounded theory as “a style of doing qualitative analysis that includes features, such as theoretical sampling, and certain methodological guidelines, such as the making of constant comparisons and the use of a coding paradigm, to ensure conceptual development and density”. According to Schwartz and Jacobs (1979:167), “it is clear that data collection, observation, coding, categorising and theory development occur simultaneously”.

5.3.1 Personal experiences and views

In “processing qualitative data, the researcher's ontology played a significant role. As such, the researcher's identity, values and beliefs shaped by his personal experiences and academic background could not be completely divorced from the final product of interpretation. The researcher therefore formed part of the qualitative data processing” (Denscombe 2000 in Jarbandhan 2012 b:15).

The researcher believes that his own experiences have a bearing on the study, therefore, he recorded the experiences he had during the study to the best of his

ability. During the interviews, the researcher freely shared his findings and perceptions on issues that were raised with other researchers, academics and practitioners. Furthermore, he took special care that interested parties did not influence him either positively or negatively during the study.

The researcher agrees with Auriacombe (2009:102) “that, due to the flexible nature of qualitative research, one has to take several decision-making steps at a time, because things seldom work according to a predetermined plan or schedule. Various steps were taken concurrently at some stage”. “It is nevertheless possible to highlight the following different phases in the study” (Auriacombe 2009:103):

- i) “The access phase.
- ii) The data-collecting phase.
- iii) The final phase” (Auriacombe 2009:103).

“The occurrence of phases is typical of qualitative research” (Claasen 2004:108). The following section focuses on each of these phases.

5.3.2 The access phase

“This part of the study mainly involved preparing for data gathering. The term ‘data’ refers to the rough material researchers collect from the world they are studying; in other words, the particulars that form the basis of analysis” (Bogdan and Biklen 1998:49). “It is important to select information-rich data sources (Patton 1990) that can be obtained with relative ease” (Auriacombe 2009:108).

As preparation the researcher looked at other studies of leadership and management phenomena. More particularly, he reviewed the “literature available on topics that he anticipated would emerge during the data analysis in terms of a coding framework. The key aim was to form an idea of how these topics would relate to other issues. At this stage, the researcher did not study the material, but collected literature for later use” (cf. Section 1.8.1). “This was necessary, although Morse (1994) warns that data collection and theoretical sampling are dictated entirely by the emergent model. Furthermore, the researcher paid special attention to qualitative

research methods and more particularly literature that covered grounded theory” (cf. Sections 1.7.5 and 1.8).

5.3.3 The data collection phase

The data-collecting process was informative and stimulating. The basic activities of this stage entailed information that was obtained during the literature review, documentary analysis and interviews (see Section 1.8).

Once the first in-depth conceptual literature analysis and the one-on-one interviews with all participants were conducted, the process was interrupted to capture and to categorise the information. “Theoretical notes were also made during this process. Telephonic interviews with the research participants were also conducted. However, an agreement was reached that the researcher would contact them regularly and that they would have interviews that would not take too much time. This approach was very helpful in obtaining information, but quite troublesome in terms of making notes. The researcher had to rely on short-term memory in order to get his ‘shorthand’ notes transformed into meaningful ones, and had to rely on listening skills to gain more insight into the statements or views” (cf. Section 1.8.3).

It was challenging to obtain unsolicited documents from participants. Therefore, unsolicited documents related to the public sector were mostly obtained from official records that the research participants stored. The participants provided the researcher with policies, instructions and other unsolicited documents. Notably, the participants retrieved the documents from the intranet, as they were available to all employees.

5.3.4 The final phase

The final stage involved several key activities that were grouped into three sub-phases namely: data analysis, ensuring data quality and the coding framework.

5.3.4.1 Data analysis/ending the research work

“While data analysis already began informally during the collection process with the compiling of material” (Auriacombe 2009:156), grounded theory was later used to code the information. “Basically, informal data analysis only involved ordering and grouping data in order to make sense of it. Informal data analysis was thus done to ‘manage’ sorted data and to facilitate easy retrieval. The informal analysis phase was gradually phased out as the researcher became more focused on key emerging issues” (cf. Section 1.8).

According to Glaser and Strauss (1967:209) “the end of data gathering as the stage when the data become saturated”.

As already mentioned, the researcher began analysing the data after completing the first interviews. “This was done to sort and order the vast amount of data. Initially, this helped to obtain a bird's eye view of the entire picture. However, it soon became apparent that the researcher had to manage the data more effectively. Therefore, he once again turned to literature on qualitative studies. This ‘quick refresher’ of qualitative research skills became a habit. It soon became an almost daily exercise during which he compared his research approach to those of experienced scholars who had conducted qualitative research” (cf. Section 1.8).

5.3.4.2 Validity, reliability and ensuring data quality

It was stated in Chapter One, that “it is important to understand that there is a distinction between qualitative (non-numerical) and quantitative (numerical) analysis in research. Qualitative measurement is used extensively in observational studies and in most cases the variable is non-numerical” (Bailey 1994:76). Therefore, this study of the variables that influence change leadership competencies to strategically manage transformation in the South African public sector will mainly adopt a “qualitative approach, which is based on appropriate information sources” (Jarbandhan 2012 b:2).

“Thus, when dealing with non-numerical research, validity and reliability become the researcher’s main focus” (Jarbandhan 2012 b:3). The researcher must pay special attention to ensure that the research is valid and reliable. In this thesis, “the research is deemed to be satisfactory due to the use of various data sources. The measuring of the validity and reliability will be based on the general definition of validity. Validity is defined as “the extent to which an indicator tells you what you want to know about a concept or that points to relevant aspects of the concept” (White 1994:427). “Validity and reliability are asymmetrical, which implies that validity will provide reasonable reliability, but not *vice versa*. Reliability simply means consistency” (Bailey 1994:68-72).

“Appropriate guidelines were followed to secure reliability; minimise bias; and ensure validity and credibility. The researcher admits that he knows that he cannot be completely unbiased. At some point during the study, he had to make decisions on which literature he wanted to include and what he regarded as rich data. Such decisions were based on his personal bias and experiences” (cf. Section 1.8).

“Reliability is secured by ensuring internal and external consistency. In other words, ensuring that the data are plausible and consistent in different social contexts than the public sector, such as the business environment. It also implies verifying observations with other data sources. Reliability will be influenced by the researcher's insight, awareness and questions, as well as by striving to remain consistent” (cf. Chapter One).

Deutscher (1973) (in Taylor and Bogdan 1998:206) “warns that even objective words may have different cultural meanings”. Therefore, in order to get clarity, the researcher also made use of probing questions to verify whether the subjects comprehended the questions.

Reliability and validity “is secured by ensuring internal and external consistency. This is done by ensuring that data is plausible and consistent with different social contexts (internal) and also to verify observations with other data sources (external)” (Taylor and Bogdan 1998:206). Furthermore, the researcher applied triangulation. This was

done by connecting multiple data sources to verify data obtained during interviews, as well as to develop the core categories and their properties (cf. Section 1.8).

“Reliability will be influenced by the researcher's insight, awareness, questions and by striving to remain consistent. He therefore followed the same procedure after completing the open coding process and continued by asking the participants for their opinion after completing the axial coding phase. This was done to confirm whether or not the emerging theory was indeed a reflection of what was happening within the organisation. Qualitative research as applied in grounded theory – and particularly as implemented by Strauss and Corbin (1990) – has built-in measures to enhance data quality. Open, axial and selective coding are used to connect emerging themes and categories to bring about themes at a more conceptual level” (cf. Section 1.8).

To further improve validity, four tests as described by Neuman (1997) were applied, “namely ecological validity, a natural history, member validation and competent insider performance”. Therefore, finally and in support of Neuman (1997⁸⁰), the researcher “included excerpts from interviews with participants in the coding process to give them the opportunity to voice their opinions”. Information validation was done by constantly validating data with his promoter and colleagues who were exposed to similar types of studies. The researcher also discussed his “own perceptions and interpretation of data with other non-participating colleagues who supported his interpretation of the data” (cf. Section 1.8).

5.3.4.3 Open coding

As soon as he completed his data analysis, the researcher started applying open coding (see Section 1.7.1.1 and 1.8). This involved the following actions:

- Highlighting literature describing concepts, actions, behaviours, attributes, processes and “descriptive phrases in sentences”.
- “Making notes on the transcript in the left margin to indicate his interpretation”.
- Implementing these “notes became first-order concepts” that he captured.

- “Capturing similar concepts together under” the auspices of one ‘heading’ to form “groupings or clusters of concepts”.
- Using the headings of concept clusters to “reveal the emerging themes or categories”.
- “Repeating the process after the interviews”, notes and transcripts; the notes on solicited and unsolicited documents and the literature-based findings were compared.
- Making a table of the themes and open categories that emerged from the data after completing the open-coding exercise (cf. Section 1.7.1.1).

Table 5.1: Excerpts of leadership and basic, strategic and change management leadership/managerial open coding properties

STRATEGIC MANAGEMENT AND LEADERSHIP	CHANGE MANAGEMENT AND LEADERSHIP
Ability to lead Accept responsibility Achievement-oriented Achieve results Accountable Adaptable Administrative management Appropriate use of leadership style Analyse and influence the environment Analyse situations Assertive and initiating Attain organisational goals and objectives Attain common purpose Change management Charisma Coaching and teaching Commitment to the common good Communication (listening, verbal and written) Communicates high expectations Confident and self-accepting Conflict resolution and management Controlling	Address resistance Align organisation with environment Build capacity towards change Challenge the <i>status quo</i> Change management Communication and sharing information Design a perspective for the future Develop a high-performance team Embrace change Establish participatory mechanisms in the organisation Establish project teams Evaluating and learning Focussing on autonomy Fostering team commitment Good employee relations Identify problems Incorporate change into the organisation’s daily activities Influence and inspire others Influence people Influencing direction of change in organisation

<p>Co-ordinating</p> <p>Courageous, resolute and persistent</p> <p>Creating a supportive environment</p> <p>Creative</p> <p>Cultural openness and sensitivity (integrity and ethical conduct)</p> <p>Decision-making abilities</p> <p>Decisiveness</p> <p>Delegating</p> <p>Desire to help others</p> <p>Driven</p> <p>Emotionally balanced</p> <p>Emotional intelligence</p> <p>Empathising</p> <p>Enthusiastic and optimistic</p> <p>Energetic with stamina</p> <p>Evaluate and improve performance</p> <p>Facilitating</p> <p>Facilitating group decision-making</p> <p>Flexible</p> <p>Financial management</p> <p>Focus on the wellbeing of others</p> <p>Gains respect</p> <p>General management</p> <p>Gives personal attention and advises</p> <p>Good interpersonal relationships</p> <p>Guiding, encouraging and facilitating</p> <p>Global awareness</p> <p>Global mobility</p> <p>High ethical standards</p> <p>Humane</p> <p>Implementation and monitoring</p> <p>Information-gathering</p> <p>Information-sharing</p> <p>Insightful</p> <p>Instils pride</p> <p>Integrity and ethical conduct</p> <p>Intelligent with practical judgement</p> <p>Interpersonal and networking abilities</p> <p>Interviewing</p>	<p>Interact with external environment</p> <p>Making innovative decisions</p> <p>Map out hidden problems and challenges</p> <p>Negotiate change with organisation staff</p> <p>Negotiate ground rules</p> <p>Perceive change as fun</p> <p>Personal traits for change management</p> <p>Problem-solving</p> <p>Readiness for change</p> <p>Relatedness to others is important</p> <p>Risk-taker</p> <p>Set foundations for change mindset</p> <p>Set challenging objectives</p> <p>Shared vision and values</p> <p>Sharing of feelings/emotions with staff</p> <p>Venturesome</p> <p>Visionary</p> <p>Willing to take risks</p> <p>Will to improve circumstances</p>
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<p> Knowledge and skills Awareness of legislation Listening skills Manage operations and processes Manage people Managing skills Marketing management Motivating/inspiring others Negotiation Networking Open mindedness Operations/process management Organising Original People management Performance management Perseverance Personal organisation Personal drive and resilience Personal integrity Planning Possess high level of confidence Promotes intelligence Promotes rationality and problem-solving Provides sense of mission Placing more emphasis on service than self-interest Policy management Proactive and directing Problem-solving abilities Promote diversity Quality management Reliable Role-player co-ordination Self management and development Sensitivity to the environment Sensitivity to the market Sensitivity and respect Shape and realise success Solve difficulties </p>	 <p> UNIVERSITY OF JOHANNESBURG </p>
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Sound judgment Sourcing of funds Staff development Strategic management Strategy formulation Stress management Taking action and initiative Team leadership Team-building and teamwork Technical performance Time management Tolerant of ambiguity and complexity Tolerant of frustration Trustworthy and dependable Visionary thinking	
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The above table illustrates excerpts that were extracted with content analysis of data and their properties after the open coding process. These excerpts emerged during the data collection phase. The next table illustrates the development of theme categories and open categories that were extracted from the documentary analysis of data related to senior management public sector competencies.

Table 5.2: Coding framework of theme and open categories

Themes categories	Open categories
Understand key legislation and acts that are relevant to the Government and the public sector in general and the organisation and its occupations in particular.	Guide organisational top-executives with due regard to key legislation and occupational legislation in their day-to-day functioning.

<p>Understand political and administrative structures and critical relationships and influential roles in the Government and public sector.</p>	<p>Understand the culture of the public sector in general and the organisation in particular, as well as acknowledge corporate politics as a reality.</p> <p>Understand the origin and reasoning behind key policies, practices, procedures and diplomatically communicate that to employees.</p> <p>Understand other organisational cultures and politics to gain insight and a fresh perspective on the public sector organisation.</p> <p>Understand critical relationships and roles that influence the organisation in the public sector.</p> <p>Understand long-term political issues and opportunities that affect the organisation.</p> <p>Know the social, political and economic imperatives within organisations' areas of conduct.</p>
<p>Conduct him/herself in such a manner to fulfill the requirements of the <i>Constitution of South Africa of 1996</i></p>	<p>Actions show support of the perseverance of "peace, national unity and the indivisibility of the Republic".</p> <p>Intent shows that "the well-being of the people of the Republic" is important.</p> <p>Actions contribute to effectiveness, efficiency, transparency, accountability and coherence in Government.</p> <p>Display loyalty to the <i>Constitution</i>, the Republic and its people.</p> <p>Show "respect" for "the constitutional status, institutions, powers and functions in all the spheres" of the Government.</p> <p>"Not assume any power or function except those conferred in terms of the Constitution".</p> <p>"Exercise power and perform functions in a manner that does not encroach on the geographical, functional or institutional integrity of another sphere of Government".</p> <p>"Co-operate with others in mutual trust and good faith by fostering friendly relations; assisting and supporting one another; informing and consulting one another on matters of common interest; coordinating actions and legislation; adhering to agreed procedures; and avoiding legal proceedings" against the other.</p>
<p>Provide direction and guide project and programme management by effectively planning, managing, monitoring and evaluating specific activities in order to ensure the effective development</p>	<p>Understand the importance of effective management in the planning and execution of projects/programmes.</p> <p>"Mitigate risks to achieve goals on time and within budget, according to quality standards and in a way that can be monitored".</p> <p>Lead project teams.</p> <p>Initiate projects/programmes and ensure that they are completed.</p> <p>Build project/programme timelines and ensure timely execution.</p> <p>Effectively plan for the execution of programmes and projects.</p> <p>"Knowledge and understanding of project/programme budgeting, human resource management, change management, negotiation skills, service</p>

<p>and execution of projects/ programmes</p>	<p>delivery mechanisms (internal and external) and outsourced service agreements”.</p> <p>Manage the project/programme within the area of “responsibility and within the knowledge and basic understanding of the operation and technical working of the Government services and facilities”.</p> <p>“Within the area of responsibility, ensure an analytical and methodical structuring and planning of projects. This is to ensure adequate control over projects/programmes and the efficient, effective, economic and high-quality implementation and completion thereof”.</p> <p>“Oversee and manage the establishment of project/programme and contract management capacity within the area of responsibility. This includes building capacity through appropriate training and the allocation of resources”.</p> <p>Ensure “clear lines of accountability, regular monitoring, measuring and reporting on the performance of projects/programmes and contracts within the area of responsibility”.</p> <p>“Within the area of responsibility, ensure regular reporting by external mechanisms and all contractors and service providers, including the availability of adequate information to ensure that the organisation meets its statutory reporting obligations”.</p> <p>“Oversee the implementation of project/programme plans within the area of responsibility”.</p> <p>Contribute to “resolving problems and disputes within the area of responsibility, when required”.</p> <p>Support the organisation in “consulting and securing stakeholder and community support for, and involvement in projects/programmes, where relevant”.</p>
<p>Plan, organise, lead and control effectively in own area of responsibility, as well as where required elsewhere.</p>	<p>Plan, “manage, monitor and evaluate specific activities” to achieve the organisation’s goals.</p> <p>Achieve expected results within planned activities and expected timeframes.</p> <p>“Lead new projects; develop detailed project plans; estimate timelines and resources; identify dependencies; and mitigate risks to achieve goals on time and within budget, according to given quality standards and in a way that can be monitored”.</p> <p>Initiate promotion of project /programme and see it through to completion.</p> <p>Define work goals and formulate specific tasks and milestones. Clearly define short-term requirements, long-term solutions and directions.</p> <p>Establish “alternative courses of action; organise people and prioritise team activities to achieve results more effectively”.</p>

	<p>Lead and supervise subordinates and team members in such a way that the goals of the team or department are realised on time and according to expectations.</p> <p>Implement adequate measures of control to ensure that tasks are executed effectively and efficiently.</p> <p>Manage time effectively in order to be punctual, efficient and effective.</p>
<p>Manage stakeholder relations and expectations.</p>	<p>“Display knowledge and understanding of stakeholders and recognise the varying relations required with stakeholders and the impact on the organisation and the organisation's impact on its stakeholders”.</p> <p>“Within own area of responsibility, maintain effective and relevant external stakeholder relations”.</p> <p>“Within own area of responsibility, establish and maintain clear roles and responsibilities, service levels, reporting and communication lines”.</p> <p>Manage stakeholder expectations.</p>
<p>Effectively use communication and conflict management skills to deal with conflict and situations of crisis in the best interests of all involved.</p>	<p>Listen to “differing points of view and emphasizing points of agreement as a starting point to resolving differences”.</p> <p>Refocus “teams on the work and end-goals, and away from personality issues”.</p> <p>Provide “consultation / mediation for those who share few common interests and who are having a significant disagreement”.</p> <p>Use “models / constructive approaches to deal with opposing views when personally challenging the status quo and when encouraging others to do so as well”.</p>
<p>Effective supervision of staff to ensure satisfactory task execution and service delivery.</p>	<p>Supervise and control the team's daily productivity.</p> <p>Authorize work orders according to expected procedure and standards.</p> <p>Measure work performance of the team to ensure productivity and quality of work are of a high standard for effective service delivery.</p> <p>Ensure productive and effective use of equipment and hand tools to ensure no lost time and increased service delivery.</p> <p>Ensure discipline and control of all activities and staff in the section in order to keep discipline at an acceptable standard.</p> <p>Identify competent staff to do certain more specialized and more responsible activities that enable the section to operate more streamlined and more productively.</p> <p>Ensure clean, neat work environment.</p> <p>Manage performance of staff in the unit.</p> <p>Write reports on the performance of staff and department and set targets.</p>

	<p>Provide guidance to administration personnel on administrative system application and information recording / updating procedures pertaining to marketing and communications.</p> <p>Resolve conflicts and address deviations in performance levels from agreed standards through the application of specific human resources procedures regulating working conditions, job design and responsibility levels.</p> <p>Assess training and developmental needs.</p> <p>Ensure that unit's staff is capable of interpreting requirements and applying administrative procedures and guidelines to accomplish laid down objectives and deadlines.</p> <p>“Provide leadership, guidance and counselling to staff”.</p> <p>“Promote staff morale and ensure workplace safety is practiced”.</p> <p>“Assign tasks and ensure that schedules are maintained”.</p> <p>“Adjust tasks to meet staff capabilities”.</p> <p>“Recognise and deal with language problems”.</p> <p>“Supervise staff and delegate responsibilities and take corrective action when required”.</p>
<p>“Provide a vision, set the direction for the organisation and inspire others in order to deliver on the organisation's mandate and policy”.</p>	<p>Provide a “vision, set the” broad strategic “direction for the organisation” for resolution and “inspire others in order to deliver” the organisation's goals.</p> <p>Have a synergistic combination of visionary and managerial leadership</p> <p>Develops a vision in consultation with relevant stake holders.</p> <p>“Formulate and implement strategies that have an immediate impact and preserve long-term goals to enhance organisational performance and long-term viability”.</p> <p>Promote the vision of the organisation amongst all stakeholders.</p> <p>Initiate, facilitate and follow the correct procedure in developing new and appropriate policies as well as updating existing policies.</p> <p>“Support and contribute to the formulation of policy”.</p> <p>“Identify, interpret, and implement public laws, regulations, and policies”.</p> <p>Understand and articulate the implications of each policy option.</p> <p>Apply working knowledge to state the “feasibility and expected outcomes of each policy option, utilise current techniques in decision analysis and planning and decide on the appropriate course of action”.</p> <p>Develop a “plan to implement policy, including goals, outcome and process objectives and implementation steps”.</p> <p>Translate “policy into organisational plans, structures” and programmes.</p> <p>Know and understand the organisation's environment (internal and external), the Constitution and the legislative framework governing the public sector as well as the specific organisation's policies.</p>

	<p>Contribute to the process of adopting policies and making laws.</p> <p>Support the organisation and contribute to the “administrative aspects of the process for adopting policies”.</p> <p>Support the organisation and contribute to “the conceptualisation, formulation and drafting of policies in alignment with the Constitution and the legislative framework governing the public sector having regard to cooperative governance”. “This process should include consideration of and alignment with existing policies and laws and be within budget constraints”.</p> <p>Implement and oversee the implementation and enforcement of policies and laws.</p> <p>Support and contribute to the “establishment and maintenance of a register of non-compliance with legislative requirements”.</p> <p>Monitor and report “on the implementation of policies and compliance with legislative requirements”.</p> <p>Review and, “where necessary, propose to the organisation amendment of policies within own area of responsibility, to ensure their relevance and alignment with the strategies and goals within own area of responsibility, monitor and ensure enforcement” of relevant legislation of organisation.</p> <p>“For purposes of own area of responsibility, consider the impact of amendments to the Constitution, national and provincial legislation and policy, and the legislative framework governing” the public sector on the organisations’ policies.</p> <p>Facilitate and support the implementation of current and new policies and laws.</p> <p>“Manage and oversee the implementation of legislation and policy within own area of responsibility”.</p> <p>Apply knowledge and “identify, interpret, and implement laws, regulations, and policies related to specific programs”.</p> <p>Articulate the implications of each policy option.</p> <p>Apply working knowledge to state the “feasibility and expected outcomes of each policy option, utilise current techniques in decision analysis and planning and decide on the appropriate course of action”.</p> <p>Develop a “plan to implement policy, including goals, outcome and process objectives and implementation steps”.</p> <p>“Translate policy into organisational plans, structures and programs, and prepare and implement emergency response plans”.</p> <p>Craft or facilitate the crafting of the organisation’s strategy by taking into account the various aspects that should inform strategy development as well as following the correct procedure in developing the strategy.</p> <p>Develop organisation’s strategy and business plans.</p>
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	<p>Evaluate “all activities to determine the value added by each activity and align with the organisation's strategic goals”.</p> <p>Assess objectives and strategies to ensure consistency with the mission.</p> <p>Advocate strategic thinking and strategic planning amongst relevant stakeholders.</p> <p>Actively participate in the development of the organisation's strategy and actively support the implementation of such strategy.</p> <p>Participate in the development of an organisational strategy and business plans.</p>
<p>Understand, support and value the diversity of people in the organisation, to capitalise on each staff members strengths to grow and support the collective effort.</p>	<p>Communicate with staff members with diverse backgrounds.</p> <p>“Respect and value the contributions made by all staff of the” organisation.</p> <p>Practice and promote inclusivity.</p> <p>Recognise the value of cultural, ethnic, gender and other differences.</p>
<p>“Manage and encourage people, optimise their outputs and effectively manage relationships in order to achieve the organisation's goals”.</p>	<p>Understand human resource management aspects (e.g. fundamental staffing practices, policies and procedures).</p> <p>Perform basic people management tasks such as interviewing, leave administration, performance management.</p> <p>Anticipate and plan for future human resource requirements based on the strategic direction and future requirements of the unit.</p> <p>Align subordinate goals with departmental/organisational goals.</p> <p>Ensure “effective recruitment, selection, training, performance appraisal, recognition, and corrective/disciplinary action”.</p> <p>Promote “affirmative employment, good labour relations, and staff well-being”.</p>
<p>Understand the economic environment within which an organisation functions and should be able to make well informed business decisions</p>	<p>Display an understanding of commercial concepts and business.</p> <p>Display a positive orientation towards business opportunities.</p> <p>Actively seek new business opportunities internal and external to the organisation.</p> <p>Make well informed business decisions.</p> <p>“Offer concrete suggestions to reduce costs, improve quality or revenue for aspects of key products or services in own area”.</p> <p>Customises the execution of broad business strategies in own area.</p> <p>Understands a wide range of elements of the organisation's business and the industries / partners with which the organisation is involved and integrate this understanding into strategic planning and decision-making across functions</p>

	<p>or business unit boundaries.</p> <p>Meet targeted outputs based on research and analysis of related factors.</p> <p>Manages outputs / productivity of staff / units.</p> <p>Develop and implement knowledge management and process improvement plans.</p> <p>Recommend changes to business practices and procedures.</p>
<p>Manage performance of own area of responsibility according to the prescriptions of the organisation's performance management system (PMS).</p>	<p>Positively represent the organisation / department on policy, programs or objectives.</p> <p>Ensure that appearance of self is in line with the corporate image and that behaviour contributes to the improvement of the public image of the profession.</p> <p>Pursue a standard of excellence in own work.</p> <p>"Have strong, positive expectations of the performance of superiors, peers, subordinates and themselves".</p> <p>Display knowledge and understanding of PMS and its impact on service delivery.</p> <p>Display knowledge of the interface between individual and institutional performance.</p> <p>Manage performance of staff and unit of responsibility within the constraints of the PMS in such a way that levels of performance are increased and staff is satisfied.</p> <p>Ensure that key performance areas of area of responsibility are aligned with the higher order KPA's and ultimately the organisational KPA's.</p> <p>Manage individual key performance areas / performance.</p> <p>Facilitate the development of a workplace skills plan for the organisation.</p> <p>Effectively communicate service level agreement with staff. Implement disciplinary procedures.</p> <p>Control and authorise department's leave of absence and overtime.</p> <p>Oversee operational (day-to-day) and strategic (long-term) responsibilities.</p>
<p>"Explore and implement service delivery innovation through new ways of delivering services that contribute to the improvement of organisational processes in order to</p>	<p>Take an "innovative approach to service delivery and problem solving".</p> <p>Believe in strategic choice.</p> <p>Think "outside of the box" and go "beyond the conventional in seeking new ways of executing the organisation's mandate".</p> <p>Willingness to try out different solutions.</p> <p>Champion "innovation and encourages new ideas" from staff.</p> <p>Initiate "continuous improvements to enhance processes and/or services".</p>

<p>achieve organisation's goals".</p>	
<p>Promote a customer orientation in delivering services "effectively and efficiently in order to put the spirit of customer service (Batho Pele) into practice".</p>	<p>Take responsibility for timely and quality service. Endeavour to deliver services that exceed the expectations of internal and external customers. Seek out "and involve customers or prospective customers in assessing services, solutions or products; to identify ways to improve". "Personally committed to understanding and meeting the unique needs of external and internal customers". Model "and reinforces customer service behaviours". Assist in the creation of an organisation that is dedicated to measurable service excellence. Assist with quality priorities and goals to ensure continuous improvement. Monitor "services provided" to customers and "make timely adjustments as required". Establish "service standards and develop strategies to ensure staff meets them". Adjust services based on customer feedback. Take "action beyond explicit request within established service standards". Implement Batho Pele principles.</p>
<p>Keep customers satisfied and happy by nurturing the relationship</p>	<p>Keep customers up-to-date with "information and decisions that affect them". Establish ongoing communication with customers and use understanding of customer's perspective to identify constraints. "Strategically and systematically evaluate new opportunities to develop customer relationships". Resolve difficult customer situations</p>
<p>Analytical skills Systematically evaluate and analyse information and events in order to inform behaviour, problem solving and decision making.</p>	<p>Critically and accurately evaluate information and data in order to collect relevant facts on specific topics. Dissect a situation with the intention to simplify the outcome. Analyse relevant financial and non-financial information to identify trends or changes within a system. Compare, recognise and correct data discrepancies and ensure data integrity. Notice interrelationships, key issues and common symptoms in events, subsets or components of information. Maintain an overview of complex issues yet understand and manage the detail. Use linear and non-linear thinking patterns. Scrutinise own work and that of others to ensure accuracy and compliance with relevant standards.</p>

<p>Problem solving</p> <p>“Systematically identify, analyse and resolve existing and anticipated problems in order to reach optimum solutions in a timely manner”.</p>	<p>Identify and assess problems, evaluate possible options and implement appropriate solutions using applicable techniques and regulatory framework guidelines</p> <p>Assess a situation and determine best strategy for resolution.</p> <p>Ensure that decisions are made based on policies, rules, and organisational directives in order to solve problems in the best interests of all stakeholders.</p> <p>Make “decisions by weighing several factors, some of which might only be partially defined and missing pieces of critical detail”.</p> <p>Identify potential problem areas, to break the problem into component parts, generate potential solutions, select an option and implement it.</p> <p>“Understand a situation or problem by identifying patterns or connections and addressing key underlying issues”.</p> <p>Make “complex ideas or situations clear, simple, and/or understandable”.</p> <p>“Create and apply concepts that are new and different to previous thinking”.</p> <p>Provide “thought leadership as innovative approach to the understanding and explanation of concepts and issues”.</p> <p>“Formulate and consider alternative hypotheses and explanations, appropriately weighing risk associated with each alternative”.</p>
<p>Communication</p> <p>“Exchange information and ideas in a clear and concise manner appropriate for the audience in order to explain, persuade, convince and influence others” to achieve the desired outcomes.</p>	<p>Make “self available and clearly encourage others to initiate communication”</p> <p>Take “others’ perspectives into account when communicating, negotiating or presenting arguments (e.g. presents benefits from all perspectives”.</p> <p>Communicate “complex issues clearly and credibly with widely varied audiences”.</p> <p>Use varied “communication systems, methodologies and strategies to promote dialogue and shared understanding”.</p> <p>Clearly and concisely provide information.</p> <p>Knowledge and use of correct channels of communication.</p> <p>Effective oral/verbal communication</p> <p>Make own thoughts and feelings known by using clear and concise verbal communication skills.</p> <p>Speak clearly and be easily understood. Apply protocol to the choice of words used.</p> <p>Verify understanding and prevent misunderstandings.</p> <p>Articulate concepts in an understandable, convincing manner. Interact with others and influence them to adopt the best alternative from a range of options.</p> <p>Effective written communication</p> <p>Clearly and concisely generate correspondence, reports and manuals.</p> <p>Communicate in understandable documents for specific audiences.</p> <p>Effective listening skills: “Good reputation for patiently and politely listening to</p>

	<p>others”; practice “attentive and active listening, often paraphrasing the message of the speaker to ensure understanding”.</p> <p>Information presentation.</p> <p>Produce information in various forms (reports, maps) used in analysis, discussion, problem solving, decision making processes by manipulating data through processes of selecting, projecting and joining or linking databases.</p> <p>Using database interrogation capabilities, keying in inquiries and specifying report formats.</p> <p>Communicate information based on information compiled.</p> <p>Display good computer skills.</p> <p>Utilise the correct computer software and the relevant functionality applicable to the outcomes required.</p> <p>Use word processing programmes “to create, edit and store text documents, with embedded graphics and images, in electronic form prior to printing or sending them electronically across a communications network”.</p> <p>Use “spreadsheets to carry out numerical calculations on data and present the results in tabular and/or graphical form”.</p> <p>Create “databases for the structured storage of large amounts of data and/or information in electronic form that facilitates input, searching, retrieval and information sharing between user”.</p> <p>Use devices, “software or communications facilities that are shared between several computer users and accessed via a local area network (e.g. local file server, printer, electronic mail service)”.</p>
<p>Time management</p> <p>Effectively manage activities and environment in such a way that time is used optimally and effectively.</p>	<p>Understand the value and be sensitive to time in planning daily activities.</p> <p>Ensure that work is carried out within defined times.</p> <p>Develop time management plans.</p> <p>Plan, organise, and prioritise own work and time usage.</p>
<p>Continuous learning</p> <p>Constantly develop own abilities, create an environment in which subordinates can develop and create development opportunities for others.</p>	<p>Knowledge and understanding of the management and development of human capital in accordance with business needs and objectives.</p> <p>“Continually self-assess and seek feedback from others to identify strengths and weaknesses and ways of improving”.</p> <p>Pursue “learning opportunities and ongoing development”.</p> <p>Ensure “that resources and time are available for development activities”.</p> <p>Ensure that all staff has “equitable access to development opportunities”.</p> <p>Provide “opportunities for development through tools, assignments, mentoring and coaching relationships, etc”.</p>

	<p>Create a “positive climate in which staff” increases the “accuracy of their awareness of their strengths and limitations”.</p> <p>Provide “coaching, training and developmental resources to improve performance”.</p> <p>Give timely and appropriate feedback on performance.</p> <p>Reinforce efforts and progress.</p> <p>Ensure that personal and functional knowledge and skills are maintained and improved on constantly.</p> <p>Participate successfully in functional courses and seminars.</p> <p>Quickly learn and integrate new functional skills and knowledge.</p>
<p>Teamwork</p> <p>Work well with others and contribute to the development of a strong team spirit and collective focus.</p>	<p>Work independently as well as co-operatively with others in a team environment.</p> <p>Build positive working relationships. Involve others in developing solutions.</p> <p>Openly share knowledge and expertise with team members. Facilitate collaboration, and maximises team output, functioning, and morale.</p> <p>Contribute to building “strong teams that capitalise on staff differences in expertise, competencies”, and backgrounds.</p> <p>Collaborate and consult openly and transparently with colleagues and executives.</p> <p>Establish and maintain productive relationships with people both within and outside of the workplace.</p>
<p>Change leadership</p> <p>Initiate “transformation and change in order to successfully implement new initiatives and service delivery commitments in the public sector”.</p>	<p>Proactively seek new opportunities for change where change is needed.</p> <p>Initiate change by challenging established methods.</p> <p>Design “activities to enable change that is aligned” to the organisation’s objectives.</p> <p>Benchmark change initiatives and strategies against best practice.</p> <p>Sponsor change agents and create “a network of leaders who support and own the change”.</p> <p>Consult and manage various stakeholders particular to change.</p> <p>Contribute to and support the organisation “with the alignment of strategies and goals with the need for change”.</p> <p>Identify and accept the need for change.</p> <p>Explain “the process, implications and rationale for change to those affected by it”.</p> <p>Clarify the “potential opportunities and consequences of proposed” change.</p>
<p>Managing change</p> <p>Manage the change process as well as the impact of change</p>	<p>Manage the effects of change on subordinates and other staff in order to ensure a positive outcome.</p> <p>Facilitate the process of dealing with change in order to assist staff in embracing change.</p>

within the working environment of the public sector so that change is brought about effectively and staff remains positive throughout the change process	<p>Manage and resolve any resistance to change.</p> <p>Coach staff through the change process.</p>
<p>Adapting and responding to change</p> <p>Function optimally within a changing environment and respond in a positive manner to change.</p>	<p>Work within a changing environment and maintain a high level of service delivery despite constant change.</p> <p>Respond to the changing environment by adapting current work practices.</p> <p>Make the transition from one change to another while retaining the continuity that is expected of an organisation.</p>
Effective implementation of revenue, budgeting and financial policies and strong financial control and accountability.	<p>Know, understand and comply with the financial legislation governing the public sector.</p> <p>Implement financial systems, “understand the importance of maintaining sufficient working capital to meet the requirements of the area of responsibility and contribute to the budget preparation and implementation process”.</p> <p>Contribute to the supply chain management function.</p> <p>“Support the audit process in order to obtain the optimum level of assurance from the Auditor-General”.</p> <p>Ensure that the “organisation’s annual budget planning and budgeting cycles are carried out effectively and in particular the financial information needed to support this process is provided in an efficient and timely manner”.</p> <p>Ensure that the moveable assets of the organisation are acquired and disposed of efficiently and economically and utilised and maintained whilst in use.</p>

Source: (These properties emerged from the “interviews”, preliminary literature study and document review).

5.3.4.4 Axial coding

The researcher applied axial coding (see section 1.7.7.2) “by first of all purposefully reducing the number of categories identified during open coding”. As noted in section

1.7.7.2 “this was done by reconsidering each property and category and by re-evaluating the terminology that was used to describe his understanding of the data. He consulted dictionaries and literature on all these topics to obtain clarity on the meaning of words expressing concepts. Phrases with similar meanings were grouped together to avoid duplication of issues” (cf. Section 1.7.7.2).

“Secondly, the researcher studied each theme and its properties or concepts to examine what the theories and approaches underpinning these concepts and phenomena were. Concepts quickly revealed the circumstances that caused the phenomena. This enabled the researcher to identify eight core categories” (cf. Section 1.7.7.2).

“Central to identifying core categories is the use of memos”. By using the memo-based process, the researcher reflected “on the data to make more sense of it” (Locke 2001:56). This helped the researcher to “see the relationship between categories and properties” (Locke 2001:56). According to Locke (2001:5)7 “memoing is the process of adding relationships to link categories or properties with each other”.



The generic theme categories of leadership/managerial competency areas identified for the purposes of this thesis were:

- 1) Lead/manage within a public sector context
- 2) Strategic capability
- 3) People management
- 4) Results management
- 5) Change management
- 6) Deliver services
- 7) Personal effectiveness
- 8) Financial management

Table 5.3: The relationship between theme categories and core categories

Theme category	Core categories
Leadership/ managerial competence within a public sector context	Knowledge of legislation and acts Understanding of political and administrative structures Supervision Project and programme management. Conflict management Stakeholder relations
Strategic capability	Visioning Policy development Policy implementation Strategy development Strategy implementation
Change management	Change leadership Managing change Adapting and responding to change
People management	Valuing diversity Human resource competence
Results management	Entrepreneurial and commercial thinking Accountability and ethical conduct Individual and institutional performance management
Deliver services	Service delivery innovation Customer orientation Customer management
Personal effectiveness	Communication Conflict management Time management Ethics and professionalism Continuous learning Teamwork
Financial management	Strategic financial management Operational financial management Supply chain management

“At several stages reference was made to existing literature in different degrees of intensity. The researcher found it appropriate to do a literature study on the emergent themes during the open- and axial-coding phases. Here, the researcher was particularly interested in the interconnectedness of the emerging themes. Importantly, he needed to know whether or not there were any unrelated themes that might have demanded further investigation. In an attempt to find the single storyline that covered all inferred themes, he once again turned to the relevant literature

documented in all the previous chapters during the selective coding stage” (cf. Section 1.8.1).

5.3.4.5 Selective coding

Selective coding “illustrates the **relationship** between concepts or theme categories and core categories from which a **new single storyline is built**” (cf. Section 1.7.8.3). In Table 6.4 these themes were also explored in the process of open coding (see section 1.7.7.1 and 5.3.4.3) “in terms of their interrelatedness before the researcher even tried to apply selective coding”.

Table 5.4: The relationship between categories and core categories of competencies to strategically lead and manage change and transformation



The main purpose of the above selective coding framework is to identify the change

leadership requirements that are common to all senior public sector leaders to strategically manage transformation.

5.4 Conclusion

This chapter clarified the 4th and 5th research objective in Chapter One (see section 1.5). This was: **“to provide a description of the methodology and the data collection process utilised in this study, as well as to do a factual analysis and evaluation of the data and findings of the study in order to answer the research questions(s) and to fulfil the study objectives”** and **“to develop an integrated model of strategic and transformational leadership competencies to manage organisational change and transformational leadership.**

This chapter explained the development of the data analysis of the study and aimed to provide an “understanding of natural occurrences and planned decisions” (cf. Chapter One). This includes a description of the application of the methodology in terms of the theoretical application of the concepts theory and competency as well as the grounded theory coding paradigm and the data collection utilised in this study. This included the data processing and the role of the researcher’s personal experience and views.

Furthermore, this chapter highlighted how the different research stages, namely the access phase, the data-collecting phase and the final phase, were approached. These aspects included the data analysis in terms of ending the research work by categorising the information, ensuring data quality, open coding, axial coding and selective coding. The final research phase described certain key activities, such as concluding the fieldwork and the data analysis process. The chapter also “discussed the way in which grounded theory was applied and described how open, axial and selective coding enabled the process of construct building in terms of a factual analysis and properties of the data” (cf. Chapter One).

The research findings included the internal experiences of employees, as well as the literature-based validation thereof. The main framework to document the findings

includes four core areas that were investigated (see Chapter Six), namely:

- Encompassing requirements of senior public sector managers in the public sector
- Core leadership/management competencies to strategically manage change and transformation
- Baseline knowledge and skills
- Leadership/management competencies for change management leaders

This framework was used to group all the dimensions of the open categories and their properties, as determined during the open coding phase, into selective, study-specific codes.

Furthermore, this framework was used to group all the dimensions of the open categories and their properties, as determined during the open coding phase, into selective codes for a conceptual framework. Notably, this framework serves as a theoretical model for the implementation of change leadership competencies.

The outcomes of each of the different coding methods helped the researcher to develop a tool that change managers in the public sector can use to assess their organisations' position on the leadership requirements to successfully manage change and transformation.

The findings of this framework were presented in detail in this chapter. The following chapter will summarise the findings of the selective coding framework in the context of the whole thesis.

CHAPTER SIX

SYNTHESIS, CONCLUSIONS AND PROPOSALS

6.1 Introduction

This thesis mainly focused on the variables that influence change leadership competencies to strategically manage transformation within the South African public sector. This was done to develop a competency framework for transformational leaders in senior public management positions.

Chapter six focussed on the findings and relevant conclusions of the study objectives that were presented in Chapter One. One of the key aims was to promote a positive climate for introducing an integrated conceptual framework of competencies to determine managerial leaders' roles in order to strategically manage transformation in the South African public sector. As the South African public sector is undergoing different phases of transformation, the study results will help the public sector service delivery environment to identify appropriate transformational leadership competencies for their specific environments. This will hopefully result in focused and sustainable strategic management of change.

As indicated in Chapter One (see section 1.7.7), "in order to guide the research, the grounded theory researcher starts by raising generative questions that are not intended to be either static or confining". These questions formed the core of the problem statement, "as discussed in Chapter One" (see section 1.2). The main research questions that this study addressed were:

- 1) **"What are the strategic transformational leadership competencies that are applicable, important and relevant to the effective and efficient functioning of the role of a South African public sector senior manager in managing change?"**

2) Which competencies can be highlighted according to a strategic leadership competency model in order to influence the outcome of competent public sector leaders in public organisations”?

Following the above questions that capture the central research problem, the following secondary research questions encapsulated the dual problem of this thesis:

- What are the variables influencing the meanings and foundations of the appropriate leadership theories and concepts in order to address the problem of leadership role competencies?
- What is the nature and essence of the variables influencing organisational change and which theories and concepts are appropriate and adequate in order to address the problem of change leadership role competencies?
- What is the nature of the interaction between the variables influencing strategic leadership and which theories and concepts are appropriate and adequate in order to address the problem of strategic leadership role competencies?
- Which transformational leadership competencies are important for “South African senior public sector managers to excel as strategic leaders towards real and sustained organisational change”?

“In this study, the focus was subdivided into five study objectives” (see section 1.5) to help the progress of the research; to classify the core theoretical and empirical concepts and observations (see sections 1.7 and Chapter Five); and to investigate the problems identified. The first five chapters of the thesis aimed to:

- “provide a conceptual description and explanation of appropriate and adequate leadership concepts, theories, approaches and phenomena that

influence leadership role competencies for change management by conducting a literature study”;

- “provide a specific level of understanding of appropriate and adequate change concepts, theories and phenomena regarding the problem of change leadership role competencies”;
- “provide a conceptual analysis of appropriate and adequate strategic leadership concepts, theories and approaches for addressing the problem of strategic leadership role competencies”;
- “provide a description of the methodology and the data collection process utilised in this study, as well as to do a factual analysis and evaluation of the data and findings of the study in order to answer the research questions(s) and to fulfil the study objectives”; and
- “develop an integrated model of strategic and transformational leadership competencies to manage organisational change”.

The next section provides a synthesis of these objectives, taking into account the conclusions drawn from the information in the chapters. “All these conclusions are reflected in terms of the research objectives set out above”. “This provides useful answers to the research questions posed in this study” (also see section 1.4), as well as more insight and inputs into future research. It is hoped that the findings recorded in this thesis will be useful for future research.

“Based on the problem statement and the research questions”, the theory underlying the framework for this thesis includes a grounded theory research methodology in terms of the recorded perceptions and experiences of theorists (obtained from the literature), and insight from practitioners and academics in the public sector with regard to the skills, behaviours and competencies leaders require to ensure

transformation in the public sector. Organisation-related issues appear in the literature with clock-like regularity. The researcher deliberately did not state new issues, as there are no new issues – only those issues that have been in the picture all the time. Changes in organisations are such an issue even though they may be fairly new. The “rather rigid and inflexible ‘old’ organisation that is not very likely to undergo change is disappearing. An organisation is increasingly viewed as an organism that shows cyclical behavior” (Jarbandhan 2012).

In conclusion, it can be stated that both the literature study and the results of the interviews provided sufficient proof that it is important to ask what qualities and which leadership competencies senior managers in “public organisations require in order to survive these mostly externally initiated challenges” (Jarbandhan 2012).

6.2 Synthesis, findings and proposals in terms of the research objectives

“Information was gathered through primary and secondary data sources that would address all the research objectives, individually and/or collectively. The first three objectives dealt with the theoretical foundation in terms of the information and the findings resulting from the primary and secondary analysis. This provided a basis to ensure that the study is also viewed as a process appraisal and not only as a description based on the information culminating from the various objectives set out in the previous chapters. Notably, this would help to substantiate the findings made from the previous chapters” (cf. Chapter One).

The first chapter aimed to provide “the background and rationale for the study in order to contextualise the problem, significance, research questions, research objectives, thesis methodology and data collection methods” (cf. Chapter One). The rest of the chapters address the specific research objectives of the thesis.

6.2.1 Research objective one

“To provide a conceptual description and explanation of appropriate and adequate leadership concepts, theories, approaches and phenomena that influence leadership role competencies for change management by conducting a literature study”.

Chapter Two addressed the first research objective and focused on identifying the variables that influence leadership. The purpose was to “eliminate confusion regarding various leadership-related concepts, theories, approaches, processes, phenomena and variables that influence the nature and problems of managing transformation within the South African public sector” (cf .Chapter Two). The chapter determined general denominators of the leadership phenomenon in order to help find a workable definition for leadership. Hence, the chapter explored the conceptual commonalities in terms of leadership phenomena and also highlighted relevant leadership research and theories. The “evolution of the study of leadership and contemporary views on leadership were also discussed. The literature on leadership theories and in particular those variables associated with change management and transformational leadership were explored” (cf .Chapter Two). Furthermore, the chapter analysed and defined the concept of leadership.

The chapter concluded that the task of defining the concept of leadership was not an easy one, because leadership was “one of the most observed, yet least understood phenomena” (Jarbandhan 2012) in the literature reviewed. It was also recognised that, due to the complex nature of leadership, no single, universal definition would suffice. However, among the plethora of definitions, some commonalities that were used in defining the concept included “the position of the leader”, “capability or ability to lead”, “guidance and direction”, “having an influence and power relationship” and bringing forth “change”.

The chapter also investigated the key elements of leadership, as popularised by Lussier and Achua (2007 and 2010). The first element was the interrelationship between leaders and followers, where leaders lead and followers influence leaders. Therefore, leadership is described as a two-way process. The second element of leadership was influence. Influence is a process where a person who is in a leadership position communicates ideas that followers buy into. This, in turn, is used to bring about organisational change. Besides leaders influencing followers, effective followers also influence each other. The third element of leadership is organisational objectives. Here, leaders exert influence over followers. They do not only explore their own self-interests, but also that of the organisation. The key aim is to help attain the organisation's vision. However, it is important that the ethical dynamics of leadership are observed when influencing followers to attain the organisational objectives. The fourth element of leadership is that of change, where leaders influence followers to bring about change in their organisations. The globalised world is ever-changing and leaders ought to influence followers to embrace change, so that the consequences of globalisation could be managed effectively. The fifth element of leadership is people. The social context in which leadership takes place includes people. Although it is not central to the definition of leadership, the outcome/s of leadership has an impact on people.

Based on the variety of definitions on leadership and an examination of the key elements of leadership, it could be concluded that, for the purposes of this thesis, the appropriate definition of leadership was the "ability to lead and give guidance and direction. In addition, leadership within an administrative context emphasised the administrator's role, which requires efficiency, effectiveness and legality" (cf. Chapter Two). Leadership also strives to bring about lasting organisational change.

The chapter also conducted a literature review on leadership theories. The literature on the leadership theories that was surveyed identified the following theoretical developments. It commenced with the Great Man, Behavioural and the Contingency, Influence, Relational (Transactional and Transformational) theories of leadership, as well as Servant leadership and Stewardship. The Great Man theory focused on the

emergence of great figures, such as Martin Luther King or Napoleon, and the influence that they had on their followers. The Great Man theory was criticised for the fact that the theory focused on great men and not on great women. The Traits theories focused on the traits of an individual, such as the physical, motivational and other traits that leaders possessed. The traits theories made “researchers realise that although traits may be evident in people genetically, traits could also be learnt, and behaviour could be modified to include a wide array of traits” (see also Chapter Two and Table 5.1).

The Behaviourist school of leadership focused on how a person behaved as a leader. Rensis Likert’s Four Systems of management studied behavioural patterns and styles that were classified into four systems – each with its own specific characteristics and behaviour. For example, System One listed behaviours of ‘exploitative-authoritative’ behaviour patterns. The ‘leadership grid’ that formed part of the Behaviourist theory was popularised by Blake and Mouton. This theory was used to classify management styles. The theory was criticised as it focused on the assumption that behaviour had “everything to do with the leader – if the leader expressed the correct behaviour, then the leader was effective” (cf. Chapter Two). However, the empirical validity of this theory was criticised. The Contingency theory of leadership was posited on situational variables that leaders had to “deal with – especially performance and follower variables” (cf. Chapter Two).

Relational theories are premised on “transformational and transactional leadership” (cf. Chapter Two). Transformational leaders create change in deep structures of the organisation. They have a compelling vision and show insight and charisma with regard to leading. On the other hand, transactional leadership theory is premised on ‘barter’ that is based on an exchange of wants between the leader and follower. Relational theories became more prominent due to the American business sector losing dominance, and the need to re-energise business was central to the development of Relational theories. Servant leadership emphasised the ethical aspects of followers, stakeholders and society at large.

Servant leadership aimed to place service above self-interest. In the recent past, Stewardship theory started to gain popularity. Popularised by Peter Block (1996), this aspect of leadership urged leaders to "be accountable for results without using control as a means of getting it" (cf. Chapter Two). The role of followers is central to stewardship.

The chapter further explored the leadership styles (autocratic, democratic, *laissez-faire*, transactional, transformational and inspirational) in order to add value to the conceptual analysis. It was apparent that leadership styles are the combination of traits, skills and behaviour leaders use to interact with followers. Autocratic leaders tend to centralise power and exert control, while a democratic leadership style encourages participation and delegation of followers.

Only focusing on leadership without paying attention to its inter-connectedness with management would not do justice to the concept, as leadership behaviour enriches the management role. As such, this chapter included an overview of the generic management functions and categories. Planning, leading, organising, controlling and coordinating were briefly highlighted. Qualities that leaders should strive to develop to fulfil successful leadership positions within the public sector include:

- A leader has a good character. Character includes issues such as honesty, integrity, trustworthiness, eagerness to learn, endurance, conscientiousness and a strong work ethic. A good character takes years to develop and starts with a willingness to change.
- A leader cares. He/she will have people skills such as being sincerely concerned about others, understanding them and being able to communicate well, which includes the ability to listen well. A leader with influence but who has no followers will never be effective as a leader.
- A leader is not scared to handle problems. The fact that a leader does not flinch

from problems has a lot to do with his/her attitude. Such a person has a positive disposition, no matter how dismal circumstances may look. A leader approaches problems with a single purpose.

- A leader has self-discipline and self-awareness. People with self-discipline always grow; they strive towards improvement and utilising their time effectively. They have specific long- and short-term goals; a plan to reach these goals; and are driven to continue until their goals have been reached.
- A leader is prepared to be different. Leaders are not always satisfied with the *status quo*. He/she appreciates the current state, but has the vision to anticipate what can be. He/she always strives towards higher and better outcomes, is prepared to be different and to take risks. Leaders take the opportunities that others have not taken.

Therefore, it is clear that to manage people does not make a person a good leader. The main difference is that a leader “influences people to follow him/her while a manager focuses on maintaining systems and processes” (Jarbandhan 2012). A manager can maintain a certain direction, whereas a leader can also create change.

6.2.2 Research objective two

“To provide a specific level of understanding of appropriate and adequate change concepts, theories and phenomena regarding the problem of change leadership role competencies”.

Chapter Three focused on the above research objective and researched the variables that influence organisational change, as well as the theories and concepts that address the problem of change leadership role competencies. Public organisations operate in a constantly changing environment. A successful manner to manage change is to introduce leadership as a critical variable in order to address the dynamics of change and transformation.

The chapter reviewed the concepts and phenomena related to organisational change. These phenomena ranged from, *inter alia*, organising as a process, organisation, institution, organisational behaviour, theory of organisation, change, organisational change, organisational transformation, transition management, organisational development, innovation and repositioning.

The chapter proceeded to analyse the variables that influence formal organisations. Notably, formal organisations depend on the environment for their effective functioning. Two organisational systems, namely closed and open, exist. Closed systems do not interact with, or have limited interaction with the environment and as a consequence consume their own energy and succumb to entropy. Open systems are premised on the fact that the organisation has a much more dynamic relationship with its environment. Open systems survive and maintain their internal composition only for as long as more energy is received from the external environment. This energy is consumed in the process of conversion and outputs in the form of goods and services.

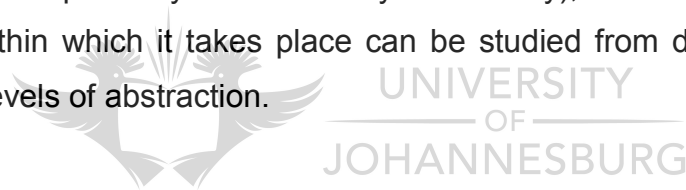


In the “open-system approach, organisations are seen as systems comparable to biological systems. Organisations’ survival depends on what happens in their environment. They cannot survive in an isolated situation and cannot be studied as isolated systems. The open-system approach does not propose one best way of being organised. Notably, their internal structure and mode of operation change according to the characteristics of the environment” (Jarbandhan 2012 and cf. Chapter Three). The organisation is in permanent communication with the environment, as the dynamics come from outside.

A variety of variables influence organisational structures. These include span of control; work specialisation; division of labour; chain of command; and line and staff functioning. Additional variables, such as organisational structures and restructuring in a complex world, helps reposition the organisation into a competitive and successful service delivery unit.

A general theoretical overview of organisations indicates that scholars often divide organisational theory into two separate fields or approaches. The first field or approach is the 'structures of organisations' and the second entails 'human behaviour within organisations'. Early organisational theory was shaped around the Classical approach, "which encompassed Taylor's Scientific Management theory, Fayol's Administrative theory and Weber's Theory of Bureaucracy. The Neo-Classical approaches are divided into human relations and contemporary theories" (cf. Chapter Three). More specifically, theories of organisational change in public institutions focus on the functionalist systems and contingency models of change; complexity theory and change; and the Post-Modernist and discourse theory of public organisational change.

This section dealt with the aspects of organisation theories. However, the researcher did not focus on a single theory, as he is of the opinion that there is not just one theory (and there will probably never be only one theory), as human behaviour and the framework within which it takes place can be studied from different viewpoints and on different levels of abstraction.



All approaches (the word 'theories' is probably too 'big' a word), have the same object of analysis, namely the organisation, which is seen as a more or less permanent and complex interaction system.

In one approach more attention will be given to the techniques that are used to tune into certain standards or interactions (Scientific Management Approach or Taylorism). Another approach gives more attention to structures and functions (Structural functionalism).

At the end of the nineteenth century, two authors, namely Taylor (US) and Weber (Germany) – each with a different background and experience – posed several fundamental questions. One of the central considerations in Weber's political analysis was the issue of why Germany had an authoritarian rather than a parliamentary democracy. This issue was against the background that the feudal

power structure was falling apart due to industrialisation. This had a profound influence on standards and values.

Weber raised the question as to which factors were relevant to the situation under which people would accept authority. His answer was: There are two basic reasons for exercising power. The first one is by using violence and suppression. The second one is based on the acceptance of standards and values. The second form is also known as the legitimate form. In Weber's view, this form can be based on three different mechanisms:

- Traditional authority based on tradition, which has been the same for ages.
- Charismatic authority based on a strong personality.
- Rational-legal authority based on rational rules acceptable by the people.

One can deduce that the rational-legal form is the best basis on which to build a government administration. Weber's analysis of the exercise of power was connected to a special organisational concept – bureaucracy.

As an organisational structure, a bureaucracy is seen as an instrument through which objectives can be realised. For this purpose, the members of such an organisation perform a number of unrelated, yet mutually coherent and rationally structured activities. Notably, there exists a strongly developed and explicit hierarchy. For a long time this structure has been regarded as an efficient organisational structure.

Taylor had another point of view. He started as a factory worker and became an engineer. He was puzzled with workers' low productivity rates. Taylor found two different causes for the low productivity:

- The organisation and planning of the production was not scientifically and rationally organised.
- The workers were rather lazy.

Taylor proposed a two-sided solution. In the first place, a scientific study had to be conducted of how the production could be organised as efficiently as possible. This was the Scientific Management Approach. In terms of this approach, tasks had to be divided into as many as possible task divisions. Each worker had to perform only one task. Moreover, management tasks and the executive tasks had to be separated completely.

In the second place, the production had to be organised in such a way that each worker had a specialised task to which his remuneration was directly connected.

Weber and Taylors' models come under severe criticism. The most important criticism was that:

- people's behavior is not fully controllable. They are social creatures with personal objectives and interests that can be in conflict with the organisation's;
- workers are interested in more than just money. A very strict structuring could lead to alienation;
- the assumption that an organisation is a purpose-oriented object in which all parts fulfil a function towards the general objective is not in line with reality.

During the 1920s, the first results of the implementation of the Scientific Management principles became clear. This led to a number of experiments of which the Hawthorne Studies, conducted by Elton Mayo and his colleagues, are the best known. The problem of low productivity that scientists confronted was that productivity had risen considerably when the principles of the Scientific Management Approach were applied. However, the implementation of the Scientific Management Approach had also caused complaints about the monotony and high speed of work. This resulted in a high turnover of personnel. Another problem was that the use of tools and machinery had to be mastered.

From the publications based on the Hawthorne Studies grew a vision about the organisation, known as the Human Relations Approach. A major characteristic of this

approach was that workers are not machines, but social creatures with feelings, desires and fears. Coupled to this, people have a strong-developed sense of belonging to a group.

The important production factors in a traditional economy are “natural resources, labour and capital. However, currently, knowledge, creativity, looking for opportunities, human skills and entrepreneurship are just as important as traditional resources. One of the cornerstones of the old organisation theory was to think in terms of a strong hierarchical structure. Concepts such as span of control and supervision were dominant. As the cornerstones on which the hierarchical structure was built are removed, the manager has to coordinate restructuring by developing shared values and a common understanding” (Jarbandhan 2012 and cf. Chapter Three). He/she has to find the right balance between delegation and supervision.

Many managers are looking for simplicity, but “the reality is that they have to face complexity. Complexity is growing. It emerges from the conflicting demands made by a multiplicity of interested parties. Therefore, managers have to be involved in a number of matters simultaneously, as well as the seemingly never-ending transitional phase in which organisations are captured. To cope with these situations, managers of the future have to develop a management-based mentality and approach that will enable them to handle uncertainty and unclear situations. Therefore, certain situations have no clear and distinct action programmes” (Jarbandhan 2012 and cf. Chapter Three).

What has been said so far shows a picture of organisations that “are permanently in flux and subject to change”. Senior public managers in these organisations require “social skills to motivate their employees” (cf. Chapter Three). “They need to go along with their superiors or confront their superiors with their opinions. They have to be able to develop a strong feeling for social responsibility. Therefore, there is not only a need to promote high ethical standards, but also a need for transparency, responsibility and accountability in a complex and rapidly changing and interrelated dependent society” (Jarbandhan 2012 and cf. Chapter Three).

All these theories help one to gain a better understanding of the complexities of change in organisations in general and public organisations specifically. A key aspect of this thesis was to discuss the change process in order to gain an understanding of how change influences organisations. Lewin's 1947 Change Model was used to understand the change process.

It is clear that effective leadership is required in order to manage change. Leaders require the skills to manage change. These skills include communication, strategising, as well as gaining support from followers, external actors and the community at large. Leaders often strive to bring about lasting change. However, change is often met with resistance. Effective leaders need to understand how to manage change. The chapter argues that transformational leadership may best be suited to manage organisational change. The chapter finally concludes by discussing the competence clusters for leadership change roles.

6.2.3 Research objective three

“To provide a conceptual analysis of appropriate and adequate strategic leadership concepts, theories and approaches for addressing the problem of strategic leadership role competencies”.

Chapter Four paid attention to the above research objective and focused on the variables that influence strategic leadership within the South African context. It was noted that strategic leadership plays a central role in promoting organisational performance. Strategic leaders are responsible for aligning the external environment of the organisation, its vision, mission and strategy. From a strategic leadership point of view, a vision is seen as an ideal future that is attainable in the foreseeable future. “It links the present to the future and gives meaning to work that is being carried out” (cf. Chapter Four). A mission encompasses the core values, purpose and reason for the organisation's existence. A strategy is a vehicle to turn the vision into action.

Strategic leaders are therefore needed to attain the organisation's short-term goals, and to create conditions where the organisation can achieve long-term competitiveness in an ever-changing environment. In addition, it is important to

explain the concept of strategic management. This type of management includes the decisions and actions that are used to formulate and implement specific strategies that are aligned to the organisation's goals, environment and capabilities. Therefore, strategic management is regarded as the organisation's road-map, which is created by strategic leadership.

The chapter also endeavoured to provide a theoretical overview of the main theories that support strategic leadership and analysed the approaches that guide strategic leadership and management. The chapter also provided an overview of effective strategic planning. Two theories of strategic leadership were highlighted. "The first entailed the "Great Leader" view of strategic leadership, which argues that an organisation's senior management has the potential and discretion to influence their organisation's outcomes" (cf. Chapter Four). And, in so doing, they influence the organisation's strategic management process. In essence, an organisation is a reflection of its senior managers. The "Great Leader", or what Hitt (2005) refers to as the 'Lone Ranger', single-handedly creates conditions to achieve the organisation's vision. The downside to this view is that the centralisation of power could lead to a lack of team work in organisations. The 'Great Groups' view of strategic leadership regards the strategic leader as part of a wider group; a member of a larger community; and a person who has to disperse ideas among a group. These two views of strategic leadership help to understand the underpinnings related to strategy formulation and its attainment.

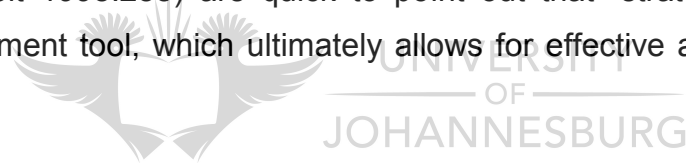
The six components of strategic leadership, as popularised by Hitt and Ireland (2005), are:

- "Determining the organisation's purpose or vision.
- Exploiting and maintaining core competencies of the individual leader and the organisation.
- Developing human capital.

- Sustaining an effective organisational culture.
- Emphasising ethical practices.
- Establishing a balanced organisational control” (cf. Chapter Four).

If the above components are maintained in a systematic manner, the organisation would achieve synergy in promoting its strategic actions.

In addition to the above, Nutt and Backoff (1993:25) outlined the strategic leadership process. This process ought to be systematically followed by managers to reach the optimal output of their organisations from a strategic point of view. The relationship between strategic leadership and strategic planning was also examined. “It was argued that, for organisations to be successful, strategies and policies have to be implemented by adopting strategic plans” (cf. Chapter Four). Mercer (in van der Waldt and Du Toit 1998:285) are quick to point out that “strategic planning is a strategic management tool, which ultimately allows for effective and efficient public services”.



From a South African point of view, a literature survey indicates that strategic leadership can play a meaningful role in promoting the vision of public sector institutions and bringing about lasting change. A post-1994 South African perspective indicates that the legacy of apartheid has forced the democratic government to introduce new initiatives, public sector transformation and reforms to address service delivery backlogs.

Consequently, it is argued that strategic leadership could be used to promote service delivery – especially in rural areas. However, it was noted that the training and development initiatives in the South African public sector are underpinned by promoting managerial leadership, as managerial leadership ought to promote accountability. Therefore, the adoption and implementation of government plans are sometimes scuppered by adopting only a managerial approach to leadership.

Strategic leadership allows for managers to see the bigger picture and to aspire towards the vision of the organisation.

South Africa shares the typical problems of a developmental state. A strategic leadership model can help to surmount the challenges that the state faces, both domestically and in a globalised world.

6.2.4 Research objectives four and five

“To provide a description of the methodology and the data collection process utilised in this study, as well as to do a factual analysis and evaluation of the data and findings of the study”

“To develop an integrated model of strategic and transformational leadership competencies to manage organisational change”.

Chapter Five attempted to achieve the above objectives. This chapter highlighted the way study data was analysed and attempted “to reveal an understanding of natural occurrences and planned decisions of the grounded theory approach” (cf. Chapter Five). This included a description of how methodology was applied in terms of the theoretical application of the concepts theory and competency, as well as the application of the grounded theory coding paradigm and the data collection utilised in this study. This also included the data processing and the role of the researcher’s personal experience and views (Auriacombe and Jarbandhan 2010).

The chapter also highlighted the different study phases, “namely the access, the data-collecting and the final phase” (cf. Chapter Five). These phases included the data analysis in terms of ending the research by categorising the information, ensuring data quality, as well as open, axial and selective coding. The final research phase described certain key activities, such as concluding the fieldwork and the data analysis process. The chapter also explained the way “in which grounded theory was applied and how open, axial and selective coding enabled the construct-building process in terms of the factual analysis and data properties” (Auriacombe and Jarbandhan 2010).

The research findings included the internal experiences of leaders, managers and academics, as well as the literature-based validation thereof. A coding framework was used to group all the dimensions of the open categories and their properties, as determined during the open coding phase, into selective, study-specific codes.

Furthermore, this framework was used to group all the dimensions of the open categories and their properties, as determined during the open coding phase, into selective codes for a conceptual framework (see section 6.3). Notably, this framework serves as an integrated theoretical model for implementing strategic and transformational leadership competencies to manage change.

The “outcomes of each of the different coding types helped the researcher to devise a tool” (Auriacombe and Jarbandhan 2010) that change managers in the public sector can use to assess their organisation’s position on leadership requirements to manage change and transformation successfully. The main framework to document the findings of the open, axial and selective coding phases is categorised into four core areas, namely:

- Encompassing requirements of senior public sector managers in the public sector.
- Core leadership/management competencies to manage change and transformation strategically.
- Baseline knowledge and skills.
- Leadership/management competencies for change management leaders.

6.3 Integrated model of strategic and transformational leadership competencies

The research phases and data collection findings showed strong arguments for a positive climate to introduce general managerial/leadership competencies, so that

senior managers can cope with a range of change drivers. The following drivers are important for the purposes of this thesis (cf. also Schoonover 2002):

- The impact that restructuring and public service reforms have on organisations.
- How the global domain influences the public sector.
- The challenge of HIV/AIDS both in the workplace and in communities.
- The challenges surrounding resource planning.
- The turnover rate of senior public managers.
- Lengthy delays in filling management posts within the public sector.
- Poor management and a common lack of leadership skills.
- The profusion of information technology (IT).
- The need for good decision-making.
- Additional responsibility to traditional areas in organisations.
- Higher expectations from politicians.
- Client-oriented attitudes and demands of a more informed public.
- Complex legislative and policy requirements.
- Good governance requirements.
- More transparent decision-making.
- More demands on public services with fewer resources.
- A need for innovation and entrepreneurship.
- A need for risk management and forecasting.
- Politicians who interfere in management processes.
- Cooperative governance issues (integration and coordination) in terms of service delivery.
- More competitive private sector employment market for entry-level managers.
- Higher levels of public-private partnerships and outsourcing.
- Staff retention problems within the public sector.
- Transition management challenges due to the contract turnover of senior managers and politicians.

6.3.1 Encompassing requirements of senior public managers in the public sector

The public sector “exists to serve the public through the State and Government’s laws, policies and programmes. These form the basis of the encompassing requirements of senior public managers. The core executive leadership competencies are overarched by the requirements that apply to all employees in the SA public sector” (in Jarbandhan 2012).

“The laws and policies within which all senior managers in the public sector must perform include the *Constitution*; Government’s codes of conduct and policy priorities; and all the relevant state legislation that apply to governing of the public sector institutions. Senior public sector managers must also ensure that sound principles of human resource and financial management are applied and that all employees are aware of these key aspects. Importantly, public sector managers must support policy priorities and are required to apply the principles of ethical behaviour, sustainability, social inclusion, equity and diversity. All of the above competencies must be demonstrated in accordance with all of the components of these overarching requirements” (Jarbandhan 2012, 2011).

6.3.2 The core senior leadership/managerial competencies to manage change and transformation strategically

Table 5.4 highlighted the “attributes and roles of public sector managers to effectively execute their required work as public sector leaders” (cf. Chapter Five).

“Each competency includes a title that describes the overall outcome of the competency. Notably, this description identifies the main behaviour of the competency and a set of elements that describe a major step or component of the competency. For each element there are several behavioural criteria that need to be performed to demonstrate proficiency in the specific competency. While the majority of elements and behavioural criteria are generic with regard to senior managers in Government, several are identified as specific to leading strategic change and transformation within the public sector” (cf. Chapter Five).

A senior public sector manager's specialist competencies are found in the position descriptions for each role (see also Table 5.2). As job and person specifications vary across public sector institutions and “between roles, the coding paradigm excludes job-specific competencies. Instead, individual users can add position-specific competencies to reflect the plethora of differences between positions and institutions” (cf. Chapter Five).

“Each competency includes several elements and a number of detailed behavioural criteria. The behavioural criteria can be found in the above tables in Chapter Five. National and international research confirms that generic core leadership competencies apply equally to leaders in all government spheres. The more senior the position, the greater the proportion of generic competencies compared to specific competencies” (Jarbandhan 2011).

To reflect this, the coding frameworks in Chapter Five go “further than modifying the original elements of the core competencies. As such, it includes several additional elements that are either unique or more significant” (Jarbandhan 2011, 2012) to leaders who need to strategically manage transformation within the public sector. It should also be noted that these elements are also generic and interchangeable in terms of all the core competencies.

6.3.2.1 Creates vision and provides clarity about strategic direction

Leaders must play “an active role in promoting the development of an aspiring, relevant vision for the organisation. Moreover, they must influence others to share ownership of the organisation's goals in order to create an ethical environment that delivers value to the community” (cf. Chapter Five).

With regard to the above, a leader:

“**Creates a clear vision** – Develops a shared and clear vision and mission for the organization” (cf. Table 5.2).

“**Inspires** – Inspires and influences others to assume ownership of the organisation's goals” (cf. Table 5.2).

“Focuses on strategic planning – Displays strategic thinking and planning to ensure that the organisation moves towards its vision” (cf. Table 5.2).

“Acts decisively – Acts decisively in a complex environment filled with ambiguity and multiple stakeholders” (cf. Table 5.2).

“Promotes a decision-making culture – Consults others and build consensus” (cf. Table 5.2).

“Embeds ethical practices – Embeds ethical practices into the organisation’s culture and processes” (cf. Table 5.2).

“Translates – Translates elected members’ vision, mission and values into effective strategies” (cf. Table 5.2).

“Contributes – Provides executive leadership perspectives to help develop the Government’s vision and support policies” (cf. Jarbandhan 2012 b; Jarbandhan 2011 and Jarbandhan 2007 and Table 5.2).

6.3.2.2 Develops people and ensures commitment

Leaders must create “a work environment where people are challenged and stretched to develop competencies and encouraged. This will help employees to realise their potential through lifelong learning. Moreover, leaders must recognise the importance of developing all organisational stakeholders by fostering collaborative work relationships and establishing mutual trust and respect” (Jarbandhan 2011, 2012).

In order to achieve the above a leader must:

Build competence – “Improve staff members’ skills, knowledge and “effectiveness by employing a range of development strategies” (cf. Table 5.2).

Motivate – “Inspire and motivate staff to achieve quality results” (cf. Table 5.2).

“Empower – Empower people to achieve, or exceed, the organisation’s goals by delegating sufficient authority, responsibility and accountability and by providing support” (cf. Table 5.2).

“Foster development – Contribute to the developing of external stakeholders” (cf. Table 5.2).

“Build capacity – Improve the knowledge and skills of elected and appointed

members by employing a range of advisory and development strategies to support capacity development in order to initiate and implement projects and programmes” (Jarbandhan 2011, 2012 b and Jarbandhan 2007 and Table 5.2).

6.3.2.3 Manages change, resources and risk

Leaders must ensure “that human and physical resources including financial, technological and information requirements are available and are deployed effectively, efficiently and ethically to meet strategic organisational and customer/client needs, as well as to ensure sustained product and/or service delivery” (cf. Table 5.2).

In order to achieve the above, a leader must:

“Manage change – Initiates, develops, coordinates and evaluates change management strategies to successfully bring about change in the organization” (cf. Table 5.2).

“Plan resource management – Plan the allocation and management of resources using project management methodologies” (cf. Table 5.2).

“Negotiate and obtain resources – Negotiate effectively to obtain resources to achieve outcomes” (cf. Table 5.2).

“Allocate – Allocate resources to projects and programmes in order to achieve outcomes” (cf. Table 5.2).

“Manage – Carefully manage internal and external resources to ensure that they are used efficiently to help meet organisational objectives” (cf. Table 5.2).

“Monitor and evaluate – Monitor and evaluate how organisational resources are used in relation to the planned outcomes” (cf. Table 5.2).

“Be compliant – Abide by the laws, regulations and policies that determine public and local government sector activities”(cf. Table 5.2).

“Foster constant cooperation – Promote good cooperation between sections of the organisation. In some cases, different cultures call for constant steering, guidance and contro” (cf. Table 5.2).

“Implement – Implement the organisation’s risk policy to address strategic, operational and legislative compliance, risks and hazards” (Jarbandhan 2011, 2012b

and Table 5.2).

“Be flexible and adaptable – Adapt to new developments, challenges and opportunities. Build people’s dedication and find ways to demand changes in the organisation and society by having a flexible attitude” (cf. Table 5.2).

6.3.2.4 Promotes and achieves quality and focus on delivery and outcomes

Leaders must develop “a professional, high-performance environment by setting, promoting, delivering and evaluating high-quality products and/or client services against benchmarked standard” (cf. Table 5.2).

In order to achieve the above, a leader must:

“Set standards – Establish high-quality product and client service standards” (cf. Table 5.2).

“Promote – Promote (and monitor) standards and improve continuously to achieve highest quality product or service” (cf. Table 5.2).

“Deliver – Promote excellence when delivering a product or service that is linked to planned outcomes” (cf. Table 5.2).

“Evaluate – Evaluate the achieved outcomes against set standards, identify learning and implement improvements required” (cf. Table 5.2).

“Support – Establish organisational structures, business plans and procedures that support an organisation's service quality strategies” (cf. Table 5.2).

“Have a client-oriented attitude – Be open for, and oriented towards, clients’ needs and take personal responsibility for clients” (cf. Table 5.2).

6.3.2.5 Understands relationships

Leaders must establish and maintain “positive working relationships with Government, diverse groups of stakeholders within the public and private sectors, as well as the wider community. The best way to do this is by employing effective communication strategies” (cf. Table 5.2).

In order to achieve the above, a leader must:

“Network – Develop and maintain positive and beneficial relationships with relevant networks within and outside the government sector” (cf. Table 5.2).

“Represent – Develop and sustain a positive image and profile of the organization” (cf. Table 5.2).

“Influence – Develop and maintain positive working relationships with leaders within and outside the government sector to achieve organisational outcomes” (cf. Table 5.2).

“Be politically savvy – Approach all situations with a clear perception of the political context and reality” (cf. Table 5.2).

“Build and lead – Builds and leads a positive, diverse and productive organisation effectively” (cf. Table 5.2).

“Manage conflict – Effectively identify and manage conflict and potential sources of conflict or staff dissatisfaction” (cf. Table 5.2).

“Involve – Lead community involvement” (cf. Table 5.2).

“Foster partnerships – Fosters relationships that are based on partnerships and a team approach” (cf. Table 5.2).

“Be inclusive – Lead the organisation to provide services equitably and appropriately to diverse groups within the community” (cf. Table 5.2).

6.3.2.6 Self awareness and self management

A leader must seek “to increase self-awareness of his/her own strengths and development needs. Notably, he/she must endeavour to improve work performance through lifelong learning. A leader must also act with integrity by being aware of his/her behavior to have the best possible impact on the behaviour of others” (cf. Table 5.2).

In order to achieve the above a leader must:

“Be a life-long learner – Engage in regular critical reflection on feedback and experiences in the workplace and act on reflections to facilitate professional growth” (cf. Table 5.2).

“Model – Model and promote appropriate social, ethical and organisational standards in all interactions” (cf. Table 5.2).

“Achieve – Set challenging personal goals to achieve high-quality outcomes” (cf. Table 5.2).

“Value well-being – Value personal well-being, as well as that of others by managing stress levels and work-life balance” (Jarbandhan 2012 b; Jarbandhan 2011 and Jarbandhan 2007 and Table 5.2).

6.4 Baseline knowledge and skills

“Each core competency is underpinned by a particular set of knowledge and skills. This is prioritised according to the nature and demands of the competency. Many of these apply to several competencies. Each competency is supported by the underpinning knowledge and skills that a person must have to be able to demonstrate a certain competency-based behaviour. Many of these items apply to more than one competency” (Jarbandhan 2012 b; Jarbandhan 2011 and Jarbandhan 2007 and Table 5.2).

“Baseline knowledge relates to the knowledge a person has in a subject area that they can apply to be competent. For example, specific knowledge of performance management strategies can be applied to help the person to demonstrate competence in the core competence of developing people” (Jarbandhan 2012 b; Jarbandhan 2011 and Jarbandhan 2007 and Table 5.2).

“Baseline skills represent the experience and skills required to apply knowledge through behaviour. For example, a person may have specific knowledge of performance management processes. However, in order to be competent in developing people, that person must have communication and listening skills, as well as the experience and ability to carry out effective performance discussion” (Jarbandhan 2012 b; Jarbandhan 2011 and Jarbandhan 2007 and Table 5.2).

The following elements of “knowledge and skills” are “required for each particular competency”.

6.4.1 Baseline knowledge

- **Organisational management concepts**

“Organisational goals, practices and policies, strategic and change management, benchmarking, performance measurement, financial and risk management, diversity, evaluation strategies and environment scanning” (Jarbandhan 2012 b; Jarbandhan 2011 and Jarbandhan 2007 and Table 5.2).

- **The public sector environment**

“Government direction, purpose and policies, mission and values, and codes of conduct” (cf .Table 5.2).

- **Legislation**

“The *Constitution*, legislation, White Papers, legislative and regulatory frameworks that influence the provision of services and the public sector workplace environment” (cf. Table 5.2).

- **Working with others**

“Consultative processes and methods, stress and morale, time management, life-long learning, career management, diversity, cultural and social environments, teamwork, negotiation and mediation” (cf. Table 5.2).

6.4.2 Baseline skills

- **Analytical skills**

“Analysing complex information, concepts and ideas; applying theoretical and conceptual knowledge; dealing with ambiguity and creativity” (cf. Table 5.2).

- **Management skills**

“Change management, project management, financial management, performance measurement, marketing and promotion, problem-solving and decision-making” (cf. Table 5.2).

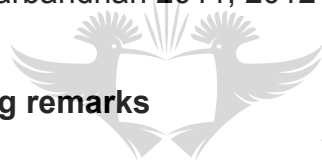
- **Learning skills**

“Developing career and development plans; self-assessment skills; and identifying learning needs and styles” (cf. Table 5.2).

- **Communication skills**

“Relating to diverse people, active listening, writing, providing feedback, mentoring, gaining trust, mediating, negotiating, presenting and information technology” (Jarbandhan 2011, 2012 b and Table 5.2).

6.5 Concluding remarks



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“It should be noted that the implications of the findings of this thesis are broad and models are often developed as remedies for a range of organisational performance problems. Competencies are not designed to address all those problems, as they can be too reductionist and limit the solution for deeper organisational problems and needs. Consequently, in many cases organisations must address strategy, culture and other process issues simultaneously with the implementation of competency models” (Jarbandhan 2012 b).

According to Luthy (1993:3) “If administrators accept that the pace of change will continue to accelerate, then they must also accept the challenge to prepare for it. Trends – particularly those spanning two decades – provide reasonable foundations for prediction. That public sector institutions face increasing demands and have limited resources is an inescapable conclusion. Environmental, social and economic problems will increasingly require solutions without the benefit of adequate funds or

prescriptions for successful remediation. Incremental deterioration in the economy, transportation infrastructure, healthcare and environmental quality, coupled with continuing budget deficits and one-percent initiatives, will force public sector management teams to contend with complex problems that were years in the making. Public managers face a dichotomy of shrinking revenues and increased demand/expectations. Yet, they are still expected to react quickly and provide efficient answers to enormously difficult challenges” (Luthy 1993:3).

The speed and complexity of change shall increase; “no organisation can expect to have a certain future due the impact of scientific and technological developments, as well as the basis on which each organisation has learned to operate can change quickly and drastically” (Luthy 1993:4). Therefore, the managers of the future shall have to develop “attitudes and skills to anticipate these developments”. Notably, “leadership skills and a future-oriented mentality” are needed if managers want to “meet the challenges actively instead of passively” (Luthy 1993:4).

“Still too many institutions – especially the Government – are led on the basis of events that have taken place in the past. An anticipating approach asks of managers to look into the future; regard problems and possibilities as challenges; find ways to turn negative developments into positive. In following this path, new possibilities should be created; grasped and implemented” (Luthy 1993 in Jarbandhan 2012 b).

“First-class leadership will be required at all levels of the organisation. However, that will not merely entail a formalised approach under hierarchical leadership, but an informal and charismatic form of leadership. The process of growth of such a leadership will play an increasingly important role, as it has the power to mobilise the workforce and create dedicated people. This has to be realised through generally accepted norms and values” (Luthy 1993 in Jarbandhan 2012 b).

It is Luthy’s (1993:5) “belief that senior public managers must be introduced to, and become familiar with, a new organisational culture that is generally characterised by change leadership and management. Transitions will occur at a blinding pace, often becoming apparent without warning or time to prepare. Public managers’ skills, collective training and experience become defunct unless they are applied to the

work at hand”.

The research was not intended to be representative or to suggest causality, but was exploratory. The research findings have implications for future research, which should promote a targeted approach to the study of contingent effects of transition management and aspects of strategic, job and sector specific competencies (institution and sphere of Government).

The “process of transition management is also an essential tool for public sector leaders and managers. Through it, the process of change, with all its complexity and challenge, becomes manageable and ultimately beneficial. More importantly, it provides direction, responsiveness and clarity to difficult situations regardless of origin or scope. There are new patterns and approaches continuously emerging in public management science” (Luthy in Jarbandhan 2012 b). The researcher believes that empirical research on transition management is worth consideration in the future.



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