Management's role in facilitating transformational change in the South African mining industry

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ABSTRACT

Transformation is of paramount importance within the South African context. It offers the potential to not only create a competitive edge for those organisations that embrace change, but also offers the opportunity to address the inequalities of the past in a constructive and pro-active manner.

According to the Minerals and Petroleum Resource Development (MPRD) Act (RSA, 2002), mining companies are required to apply for a “New Mining Order Right” licence to mine from the Department of Minerals and Energy (DME). Amongst other things, in order for the DME to grant the new mining licence, mining companies need to demonstrate commitment and progress in terms of the achievement of their set transformational goals.

The objective of the study was to define which management practices assist employees to embrace transformational change in the South African mining industry. Having an understanding of management’s role in facilitating transformational change will better position an organisation to ensure the achievement of their strategic transformational goals.

The research method chosen was a qualitative case study conducted in the interpretive paradigm using the case study method at a single case site.

The study showed that: setting the vision, mission and values; cultivating an environment of mutual trust; communicating effectively; engaging employees; embracing diversity; creating a safe environment, promoting employee wellness; and putting transformational enablers in place are important management practices that assist employees to embrace transformational change.

DECLARATION

I, Maria Anna Elizabeth (Bets) Janzen, declare that this research report is my own work except as indicated in the acknowledgements and references. It is submitted in partial fulfilment of the requirements for the degree of Master of Business Administration at the University of the Witwatersrand, Johannesburg. It has not been submitted before for any degree or examination in this or any other university.

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Maria Anna Elizabeth Janzen

Johannesburg, South Africa

6 October 2008

DEDICATION

I dedicate this research report to my loving husband. Thank you for your love and ongoing support as well as for completing the MBA with me. If it were not for you, I would probably not have started this degree in the first place. Love you always!

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CHAPTER 1: INTRODUCTION

1.1 PURPOSE OF THE STUDY

The purpose of the study was to define which management practices assist employees to embrace transformational change.

A better understanding of which management practices enable or disable employees to embrace transformational change, better positions the organisation to put strategies and interventions in place to ensure the achievement of transformational goals. The background to the study is described in this chapter.

1.2 CONTEXT OF THE STUDY

Transformation in South Africa is of vital importance in order to correct a past that is well-known for benefiting and enriching a minority of the population. In order for South Africa to grow economically, curb high unemployment figures, stay relevant and compete, it is important that the country develop and utilise skills across the population regardless of race, gender, religion and sexual orientation. Leiter and Harvie (1998) state that change is a given in any organisation that wishes to survive. It is the intent of the South African government to foster an inclusive culture that taps into the talent of all who represent the country across all economic sectors.

The mining industry, in particular, was slow in the uptake of transformation. As a result, government is currently more stringent regarding the enforcement of transformational change. Mining houses that refuse to transform will limit their procurement opportunities, encounter skill shortages, and may jeopardise their mining licences.

Building good relationships with all stakeholders - namely, government, shareholders, management, employees and unions - is of critical importance to ensure that successful transformation is achieved and that the best talent is attracted and retained.

According to the Minerals and Petroleum Resource Development (MPRD) Act (RSA, 2002), mining companies are required to apply for a "New Mining Order Right" licence to mine from the Department of Minerals and Energy (DME). In order for the DME to grant the new mining licence, mining companies need to submit the following:

1. **A Mine Works Plan**, which contains technical details regarding production plans in respect to life of mine;

2. **A Social Labour Plan (SLP)**, which contains transformation commitments including training and development, Adult Basic Education and Training (ABET), employment equity, procurement, community development, housing, hostel conversion, nutrition, etc. Commitments are based on the areas stipulated in the Mining Charter (RSA, 2002); and

3. **An Environmental Plan**, which contains the environmental impact assessment, etc.

The Mining Charter (RSA, 2002) was agreed on by government, organised labour and mining companies in 2002 and contains an agreement for transformation in the mining industry. The Mining Charter's intent is to uplift Historically Disadvantaged South Africans (HDSAs) and deliver on the promise of a non-racial South Africa. (See the Scorecard for the Broad Based

Socio-Economic Empowerment Charter for the South African mining industry in Appendix A).

Multi-faceted and multi-functional transformational change poses challenges to organisations and the failure of companies to meet the commitments within the SLP submitted presents a major organisational and reputational risk. The need exists therefore, to ensure that these risks are mitigated and that organisations have an understanding of what management's role is to assist employees to embrace transformational change.

The timing of this study was relevant as most companies in the mining industry are in the process of application to the DME for the conversion of their mining rights. The DME to date granted the approval of licences to a few organisations only. The delivery of organisational transformational goals based on SLPs submitted to the DME will be a focus area in the industry over the next five years.

1.3 PROBLEM STATEMENT

1.3.1 MAIN PROBLEM

The objective of the study was to define which management practices assist employees to embrace transformational change in the South African mining industry.

1.4 SIGNIFICANCE OF THE STUDY

Research to define the role of management in assisting employees to embrace transformational change in the South African mining industry has not been formally documented. This study informs the existing theory base.

The findings of this study may provide guidance and insight to other organisations seeking to put strategies and interventions in place to ensure the successful achievement of their transformational goals. This success in turn, may assist the government in the achievement of the Accelerated and Shared Growth Initiative for South Africa (AsgiSA) (RSA, 2004). The study also provides suggestions for further research on related topics.

1.5 DELIMITATIONS AND LIMITATIONS

1.5.1 DELIMITATIONS

The study sought to define which management practices assist employees to embrace transformational change. The study attempted to rank order the importance of the different management practices identified. Only one case site was used to conduct the study.

1.5.2 LIMITATIONS

The research method used was a qualitative case study in the interpretive paradigm.

The inherent limitations in the proposed methodology are that the findings may be of a subjective nature and that generalisation to the population as a whole is limited. However, according to Falconer and Mackay (1999), interpretive studies seek a relative and shared understanding of phenomena and reject the possibility of an objective accounting of the event or situation. The intent is, therefore, not to generalise but to attain a deeper understanding of the phenomenon that may possibly inform other contexts. Even though generalisability cannot be assumed, the outcome of the study is transferable to other similar situations and might be useful in these.

Another limitation may be that quantitative researchers regard the softer interpretive methods of research as unreliable and vague (Denzin and Lincoln, 1998). Denzin and Lincoln also state that even though quantitative researchers may regard qualitative research as less reliable, qualitative researchers believe that the rich descriptions of the social world are of great value. Silverman (1998) states that qualitative studies consider aspects of the cultural environment and social interaction and negotiation, which quantitative research methodologies tend to neglect.

1.6 DEFINITIONS OF TERMS

The following definitions were relevant to this study:

Table 1: Definition of Terms

Term	Definition
Accelerated and Shared Growth Initiative for South Africa (AsgiSA)	The South African government was mandated in 2004 to halve poverty and unemployment by 2014. The AsgiSA initiative has as its goal to reduce unemployment to below 15% and halve the poverty rate to less than one-sixth of households. This goal will be achieved with sustained and strategic economic leadership from government, and effective partnerships between government and stakeholders such as labour and business.
Historically Disadvantaged South Africans (HDSAs)	HDSAs as per the Mining Charter (RSA, 2002) includes African, Coloured, Indian people, women, communities and people with disabilities who were previously disadvantaged by unfair discrimination before the Constitution of the Republic of South Africa (1993) came into operation.

Term	Definition
Mining Charter	The broad-based socio-economic empowerment charter for the South African mining industry, issued by the Minister of Minerals and Energy as contemplated in Section 100 of the Mineral Petroleum Development Resources Act No 25 of 2002 (RSA, 2002). Areas covered in the Mining Charter are as follows: • Human resource development (including fast tracking of talent, training and development, literacy and numeracy, etc); • Employment equity (HDSA management, women in mining); • Migrant labour; • HDSA procurement; • Mine community and rural development; • Housing and living conditions; • Reporting; • Beneficiation; • Ownership and joint ventures.

Term	Definition
Organisational Transformation	There are various definitions of transformation. For example, the Webster's Online Dictionary (2008) defines transformation as a significant change to an organisation, affecting its mission, goals, strategies, processes and structures. Blumenthal and Haspeslagh (1994) propose that a majority of the individuals in an organisation must change their behaviour before the change will qualify as a corporate transformation. Tosey and Robinson (2002) suggest that the result of a transformed organisation will be success where previously there was failure and a workforce that is aligned in terms of shared beliefs, values and the organisation's future direction and performance. Harrison (1995:397) has a similar emphasis: "It is a truism that many if not most organisations are engaged in transformation, by which I mean change in our fundamental ways of perceiving, understanding, and valuing the world about us (sometimes called a paradigm shift)". For the purpose of this study, organisational transformation is defined in the terms of the Mining Charter (RSA, 2002:2), which defines organisational transformation as the attempt to redress the results of past discrimination in South Africa based on race, gender or other disability of historically disadvantaged persons in the minerals and petroleum industry, related industries and in the value chain of such industries. The intent is to deliver on the promise of a non-racial South Africa. It will deliver on this promise by transforming the minerals and petroleum and related industries to assist HDSAs to benefit from: • Ownership participation in existing or future mining, prospecting, exploration and beneficiation operations; • Participation in or control of management of such operations;

Term	Definition
Organisational Transformation Continued	• Development of management, scientific, engineering or other skills; • Involvement of or participation in the procurement chains of operations; • Integrated socio-economic development for host communities, major labour sending areas and areas that due to unintended consequences of mining are becoming ghost towns.

1.7 ASSUMPTIONS

The following assumptions were made:

- The outcome of the study is of strategic importance to management. The findings will be used to put strategic interventions in place to facilitate the achievement of the transformational goals in the organisation in which the study was conducted;

- In the highly unionised organisation, employees are free to express their own individualistic opinions and be open and honest in their responses;

- Unions do not have a vested interest in the results of the study;

- The work environment where the study is conducted is free of interruption or any other barrier/s that may have an influence on the responses;

- The sample size and stratification approach are valid and appropriate.

CHAPTER 2: LITERATURE REVIEW

2.1 INTRODUCTION

The literature base that was used for the purpose of this study drew upon existing theory in the fields of organisational strategy, human resources, organisational change and change management.

The purpose of the literature review was to provide a structural framework and to guide the researcher during the development of the research instrument as well as in the interpretation and analysis of the results.

The literature review first provides context to the background discussion of organisational change and then analyses the existing literature base to provide insight into the research problem specified. Lastly, the research questions were suggested from the literature review.

It is important to note that there was not a lot of literature available on organisational transformation specifically related to the mining industry, except for theory on safety and health in the mining industry. For this reason, more generic theory on change management and organisational transformation was used for the literature review.

2.2 BACKGROUND DISCUSSION

Organisations need to change constantly to stay relevant and compete effectively. The need for organisations to change constantly is stressed by Chaharbaghi et al. (2005) in the quote to follow:

> There is a possibly apocryphal story that, in his later years, Pablo Picasso was never allowed to wander around art galleries alone because he had previously been discovered in the act of improving on one of his existing works. For the artist in his dotage, change was not just inevitable but something to be welcomed – not even one of his own priceless masterpieces was beyond enhancement. This recognition of the necessity for constant improvement is paralleled in the practice of management, where there is a realization that organisations, no matter how successful they may appear to be, need to change constantly. (Chaharbaghi et al. 2005:1)

According to Tushman and O'Reilly (1996), there are many events such as economic changes, market deregulation, industry developments, shifts in product life cycles or internal company dynamics that require significant changes to be made in an organisation's strategy, structure, culture and processes. Luhrmann (2004) shares this view and states that the pressure on organisations to undergo continuous change as a result of events such as shifts in market structure, deregulation or legal initiatives has increased significantly with progressing globalisation and competition. Leiter and Harvie (1998) state that change is a given in any organisation that wishes to survive. Against the backdrop of the literature review suggesting that change is inevitable for any organisation that wants to survive, the racial history of South Africa, and the increasing international focus on sustainability, mining houses in South Africa are required to embrace organisational transformational change in order to survive.

According to Greiner (1972), organisational change can be evolutionary or revolutionary. Typically, evolutionary change is incremental while revolutionary change is irregular or discontinuous (Tushman et al., 1986). Organisational adjustment to change is usually evolutionary (Miller and Friesen, 1980). It can be argued that the transformational change required by the Mining Charter is evolutionary or incremental as the implementation plans are required over a five-year period and the intent of the Mining Charter is for companies to show continual improvement towards the final achievement of their own transformational goals. However, revolutionary organisational change may be required in cases where mining companies have set themselves extremely aggressive transformational goals that need to be achieved.

Pasmore and Fagans (1992) state that organisational change will only be sustainable if it gives meaning to the experiences of the employees in the organisation. The importance of staff acceptance of organisational change is widely recognised (Gilmore and Barnett, 1992; Armenakis et al., 1993). Resistance to change by the individuals in the organisation is not surprising but it is important to recognise that this resistance can slow down or prevent adjustment of the organisation to the required changing conditions (Merron, 1993). Success in achieving transformation goals will depend on the acceptance of the change by the individuals in the organisation. Armenakis et al. (1993) note that the readiness of individuals in the organisation to accept change can be observed in their beliefs and attitudes about the need for the changes and the capacity of the organisation to successfully make those changes. Organisational efforts to promote readiness for change have the effect of preempting resistance and allowing for better effectiveness of the change implementation. According to Leiter and Harvie (1998), helping staff to accept change is a survival strategy of the organisation. Based on the literature review, for organisational change to be sustainable it is important that employees embrace and do not resist change and that the organisation make every effort to assist employees to accept the change.

Elsey and Sai-Kwong Leung (2004) state that for management to stay relevant, competent and effective in a process of continuous learning, it is important for it to move away from a functional role towards a role of a designer and strategic leader of organisational change in a cross-cultural context. According to Gersick (1991) leaders cannot leave the acceptance of the change to change itself. Gersick (1991) continues that the proposed direction of the change carries no guarantee of success and that it is important for leaders to inspire confidence, enthusiasm, and urgency, so that employees can move beyond resistance to embrace the need for change, and seek alternative perspectives. This opinion is shared by Galdwin (1993), who writes that transformational leadership is needed to inspire and guide fundamental transformations. It is evident from the literature review that management has a role to play in assisting employees to embrace and not resist transformational change.

2.3 THE ROLE OF MANAGEMENT IN FACILITATING TRANSFORMATIONAL CHANGE

Leiter and Harvie (1998) found that there is a direct relationship between the acceptance of organisational change by employees and their confidence in management.

In recent decades, there has been a considerable focus on research on top-management behaviour. Rhendahl (1996) stressed the importance of new leadership styles. There has been a particular focus on transformational leadership. Nicholson (1995) describes the transformational leader as a leader who motivates employees to work for transcendental goals, for the good of the group, and for the higher needs of the collectivity rather than immediate personal self-interests. However, Guest (1996) points out that it is difficult to measure the effect that management has in transformational change as there are so many intervening variables. Research carried out by Bass (1985) and Bass and Avolio (1994) indicate that satisfaction of the employees with the transformational leader is closely linked with how effective the leader is across different situations (Conger and Kanungo, 1998).

Tushman et al. (1986) are of the opinion that the leadership strategies required for managing evolutionary and revolutionary change are different from one another. These authors state that the uncertainty created by evolutionary change is acceptable as employees have the opportunity to learn and adjust to the new situation in a relatively stable environment. They are of the opinion that leadership during this change should reemphasise the core values and mission of the organisation and delegate incremental decisions to middle management.

According to Tushman et al. (1986), revolutionary change often involves quick changes in mission and core values of the organisation, distribution of power and status, and structure, systems and procedures. New communication channels, decision making patterns and executives are often introduced. In their opinion effective leadership during revolutionary change should focus on the initiation and guidance of the change, developing core values that will stabilise the organisation through the change, and using the organisation's history to instill pride in what has been achieved and the future potential of the organisation.

2.3.1 SET THE VISION, INSTILL THE VALUES AND CULTIVATE AN ENVIRONMENT OF TRUST

According to Miles (2001), the initial role of management in launching corporate transformation is to confront the reality, to develop a new strategic vision and organisational success model, and to translate that model into a limited set of balanced transformation initiatives. Miles (2001) states that management must focus the enterprise for the change and articulate a set of values or principles that people in the organisation will aspire to live by, which in turn will guide improved decision making and guide behaviour in the new, envisioned organisation. The process of reinforcing the new values and behaviours is often referred to as the culture change that is needed to achieve the desired business and organisational changes (Miles, 2001).

According to Rosenthal and Masarech (2003), culture is earning a reputation as a business tool for driving high performance. These authors state that this culture needs to be shaped around components such as a clear, compelling corporate mission statement or purpose, shared organisational values, and an environment that encourages individual employee ownership of both the organisations bottom-line results and its cultural foundation. According to these authors a high-performance culture is created by clarifying the mission and the values, communicating the mission and the values to the employees, modelling the mission and values, aligning the business practices to the mission and values, and engaging employees to capture their hearts and minds. Rosenthal and Masarech (2003) share Sagie and Koslowsky's (1994) opinion that employees need to be engaged in the new mission and values and suggest that involving employees in the tactical decision making during planned organisational change may lead to increased acceptance of change and work satisfaction. To enable staff to accept change they need to have confidence in the organisation's ability to deal effectively with the external forces that may threaten work stability while still fulfilling its mission (Burke and Leiter, in press).

It is important for management to live the values and to cultivate an environment of trust. According to Whitener et al. (1998), actions of managers trigger varying degrees of trust or lack of it from employees. These authors state that management may set the benchmark of organisational trust by being the initiators of trust. Bennett (2001) states that managers need to lead their staff through the change; if they do not, they may be left with a staff that lacks trust for them.

The importance of trust in the processes of managing change is widely reported in the literature. Mutual trust is consistently presented as an essential feature of change (Andrews, 1994; Khan, 1997; Cashman, 1998). According to these authors, mutual trust is best achieved through consultation, participation and empowerment. This opinion is shared by Fiorelli and Margolis (1993), who state that although vision, direction and leadership come from the top, an environment of mutual trust necessitates that the implementation of the change come from the bottom up. According to Lane and Bachman (1998), employees expect consistency, integrity and concern from managers in change situations. Building trust is one mechanism to enable organisations to cope with operational flexibility and constant change (Whitener et al., 1998).

In conclusion, the literature reviewed suggests that in the transformational change process, management has a role of developing a new strategic vision and articulating a set of values or principles that people in the organisation will aspire to live by. The culture needs to be shaped around a clear, compelling corporative mission statement or purpose and shared organisational values. Tactical decision making during planned organisational change is important and staff willingness to accept change requires confidence in the organisation's ability to fulfill its mission. In transformational change management need to live the values and cultivate an environment of mutual trust.

<u>Research Question 1:</u> To what extent can setting the vision, mission and values and cultivating an environment of mutual trust be defined as management practices that assist employees to embrace transformational change?

2.3.2 COMMUNICATE EFFECTIVELY AND ENGAGE THE WORKFORCE

In a study conducted by Leiter and Harvie (1998) it was found that there is a direct relationship between change acceptance and effective communication.

Another study conducted at the International Association of Business Communicators (IABC) in 1997 (D'Aprix and Greenbaum, 1997) revealed that fifty per cent of the employees surveyed complained that reasons for important change in their organisations were not explained to them. Seventy per cent of them believed that change was being imposed on them and that they had little opportunity to contribute their ideas before changes were made that affected them. Fifty per cent of the employee sample concluded that their needs were not considered when major change was implemented.

From the above survey results, communications consultant D'Aprix and Greenbuam (1997) concluded that management must be aware that it is risky to impose change in the organisation without involving the employees effectively. D'Aprix (1997) warns that imposing change can cost organisations dearly in the future as their workforce could become mobile and not especially loyal.

Bennett (2001) supports the idea that management has a key role in proactively assisting employees to embrace organisational change by explaining the reasons for the change and involving employees in the development of implementation plans. Bennett (2001) states that management has to be willing to: alter the implementation plans; track and report progress; communicate progress internally and externally; seek to understand where resistance may occur and develop strategies to deal with it; continually remind those affected of the benefits of the change; and to provide opportunities to learn and grow to meet the challenges of the future.

Greenbaum (1997) believes that much of the detail of change needs to be developed at the work-group level and involve people in the translation of change strategy into work reality. She is also of the opinion that leadership should provide the context for action and decision making, focus on its commitment to change, and provide the rationale for change. In brief, she states that leaders must lead and demonstrate their firm commitment to inform, listen to and involve the workforce. This view is in alignment with the recently published journal of McKenzie (2007), who states that the four stages of change are: (1) the awareness phase, (2) the understanding phase, (3) the accepting phase, and (4) the action phase. Management has a role to play in all of the phases mentioned and its responsibility, she writes, starts with the communication to notify the employees of what is involved in the change, why the change is necessary (the business case), and how the future will look once the change is complete (future vision).

The importance of communicating to employees during the change process is reiterated by DiFonzo and Bordia (1998), who state that the effective implementation of organisational change cannot be achieved without effective communication. "A major aim of the change communication is to reduce the uncertainty of employees and to keep them informed of the anticipated events." (Bordia et al., 2004:347).

Most of the studies conducted suggest that employees generally prefer to receive information from their immediate supervisors and others within the organisational hierarchy rather than from sources perceived as extraneous to the organisational boundaries (Hargie and Tourish, 2000).

It is important to acknowledge the effect that uncertainty with the process and outcomes of change have on the staff during organisational change (DiFonzo and Bordia, 1998). According to Ashford (1988), uncertainty is common during organisational change and transitions. This uncertainty is typically about the aim, process, and expected outcomes of the change and its implications for the individual's job security, future prospects, or changes to the organisational structure and culture (Buono and Bowditch, 1993). In a study conducted by Schweiger and Denisi (1991), it was found that the uncertainty of employees about the change had a moderate correlation with their stress levels. Bordia et al. (2004) propose that uncertainty regarding events and outcomes of organisational change will lead employees to feel a lack of control. If employees do not know how the change will affect them, their status, and their reporting structures, they will find it difficult to deal with change. In light of the above, management has a responsibility to: communicate to employees the nature of the consequences of the change upon their jobs; proactively address any uncertainty they may have; and contribute to employees' feeling in control of the change.

Engaging employees is a key success factor in the implementation of transformational change. According to Cherniss (1980), a person who is productive, energetic and effective in his or her work is engaged in his or her work. Cherniss (1980) states that only if one is engaged with one's work will one be able to deal competently with the demands of ones job.

According to Lee and Ashford (1996), greater employee involvement and participation can result in greater employee empowerment. This sentiment is shared, with regards to change readiness, by Burke and Leiter (in press) who state that, amongst other things, supervision that is supportive and participative is a contributing factor to effective change readiness. Other factors include confidence in management, open and effective communication, and opportunities to perform work that is meaningful. Leiter and Harvie (1998) are of the opinion that involving staff members in the change process allows them to affirm the value of their work and creates ways to preserve meaningful activities. These authors feel that involving staff members mitigates possible resistance that may exist. This view is shared by Sagie and Koslosky (1994), who state that staff involvement in tactical decision making (the "what", "how", and "who" of change) affects change acceptance. Sagie and Koslosky (1994) state that staff need confidence in the ability of management to make sound decisions about the necessity of change, as well as encouragement from management and supervisors to be involved in the ways in which that change will occur.

Miles (2001) states that as a result of the increasing speed of change and the shortage in skills it has becomes important for management to retain good skills by finding new ways to engage employees so that they can lead the organisation in new directions at all levels of the organisation. Miles (2001) is of the opinion that high levels of employee engagement in the change process leads to understanding, dialogue, feedback and accountability. Engaging employees has the benefit of aligning the entire workforce around vision, business success, cultural values, and transformation initiatives. It also unlocks the creativity of the employees and allows them to redefine the way in which they can support the transformation effort.

In conclusion, the literature reviewed suggests that effective communication is vital to the successful implementation of organisational change. Management has a responsibility to communicate to employees the rationale for the change and how the change will impact on the employees. Effective communication should proactively address any uncertainty the employees may have. It is important to engage employees in the change process in order for the change to be sustainable.

Research Question 2: To what extent can effective communication and the engagement of employees in the change process be defined as management practices that assist employees to embrace transformational change?

2.3.3 EMBRACE DIVERSITY

Robbinson and Griffiths (2005) state that transformational organisational change can be a significant life event for employees within the organisation and can be a source of considerable stress. These authors write that one source of stress in transformational change is employees' perception that they are being unfairly treated. Managers need to be cognisant of this fact and ensure that they do not unfairly treat employees in transformational change. Management's awareness of these perceptions can minimise and counter any resistance that may exist.

For the purposes of this study, diversity management will be interpreted as:

> "An approach to fair treatment that encourages managers to harness and value a wide range of visible differences in their employees. These may include age, gender and race as well as non-visible characteristics such as sexual orientation, work experience and some aspects of disability." (Kersten, 2000:241)

Embracing diversity has played a prominent role in transformational change in recent years. Companies recognise that there are many potential benefits of a multicultural workforce and that they need to make every effort to create more inclusive work environments (Ples and Maake, 2004).

Mavin and Girling (2000) state that changes in the composition of the work population and employment patterns have resulted in a considerable increase in the diversity of the workplace compared with only 20 years ago. Jamieson and O'Mara (1991) observed that that these changes, combined with labour shortages, have led to the emergence of a business case argument for greater workforce diversity. The benefits of having a diverse workforce include amongst the fact that organisations can maximise their available talent by drawing on wider perspectives and that they can develop the capability to thrive in different cultures (Robinson and Dechant, 1997).

According to Thibaut and Walker (1975), the nature of the anti-discrimination legislation on gender and race led to a shift away from distributive justice in the workplace to a concentration on procedural justice; in other words, employers need to demonstrate fairness in their decision making process. Procedural justice has resulted in an established approach to equality of opportunity based on the consistent application of employment procedures designed to provide sameness of treatment, as described by Jewson and Mason (1986).

Foster and Harris (2005) state that the emphasis in diversity management has moved from providing equality of opportunities in order to address social injustices to encouraging and managing diversity in order to gain wider organisational benefits. This view is in alignment with that of Pollit (2005), who states that companies should not introduce diversity initiatives in their organisations simply to comply with the law but should use their employees' different viewpoints, talents and experiences to improve the organisation's ability to perform. Pollit (2005:37) states that:

> "Organisations that create an environment of inclusion can expect their organisation to be one that: fosters innovation; creates a safer work environment; drives employee engagement, commitment and pride; sees a positive impact on customer satisfaction; and benefits in terms of financial performance."

Rynes and Cable (2003) suggest that perceptions of organisational attractiveness are important when it comes to job-choice decisions. According to these authors it is important for organisations to project positive employment messages. A survey that was conducted with more than 3,000,000 employees world wide asked employees what their expectations regarding employment are. The top three categories identified were:

- "Camaraderie – having warm, interesting, and co-operative relations with others in the workplace, achieving a sense of community, belonging and collegiality;

- Achievement – doing things that matter and being enabled to do them well; receiving recognition for accomplishments and taking pride in them; and

- Equity – being treated justly in relation to the basic conditions of employment, particularly with respect to others in the organisation and minimum personal / societal standards." (Pollit, 2005:37)

Cox (2001) states that many organisations have been disappointed with the results they have achieved in their efforts to meet the challenge of diversity. The reason for this disappointment is that while organisations have paid a lot of attention to the strategic dimension of diversity policies, systems, and processes, they have given much less thought to the norms and values required for diversity management. Cox (2001) writes that given the fact that diversity is essentially about cultural norms and values, it is vital to create a truly inclusive work environment where people from diverse backgrounds feel respected and recognised. According to Ples and Maake (2004), an inclusive work environment and creating a culture of inclusion can be achieved by amongst other things: recognition of every individual in the organisation; reciprocal understanding of the differences between individuals in the organisation; trust; integrity; and an intercultural moral viewpoint.

McGrath et al. (1996) propose a framework for examining diversity in work groups that includes five clusters of attributes: personal demographics; knowledge, skills, and abilities; values, beliefs, and attitudes; personality and cognitive and behavioural style; and organisational demographics. These authors emphasise the fact that each business unit team will have different diversity management issues depending on the team member characteristics in all five areas.

Thomas and Ely (1996) propose that the reason that organisations do not achieve the expected performance benefits from diversity is the leader's vision. They state that the major limitation for an organisation's ability to attain the expected performance benefits of higher levels of diversity is the leader's paradigm for managing diversity.

In conclusion, the literature reviewed suggests that managers who embrace diversity can reap the benefits of minimising stress on employees during the transformational process, maximise available talent, and create inclusive transformational change implementation plans that draw on wider perspectives that will have an improved change solution as a result. Managers need to invest time and resources to effectively manage diversity in the workplace in order to attain the expected performance benefits of it.

<u>Research Question 3</u>: To what extent can embracing diversity be defined as a management practice that assists employees to embrace transformational change?

2.3.4 CREATE A SAFE WORKING ENVIRONMENT AND PROMOTE EMPLOYEE WELLNESS

Callan (1993:65) states that despite the extensive evidence that transformational change can adversely affect the well-being and productivity of employees, "the responsibility for coping with change often seems to stop with the individual".

Nadler (1982) states that corporation-wide transformational change can be characterised by radical shifts in organisational strategy, reorganisation of systems and structures, changes in the distribution of power across the whole organisation, and corporate values. Nadler (1982) writes that transformational change often brings about job loss, reduced status and threats to the affected employees' self-esteem. Employees are often confused and anxious about the nature of such changes (Kanter, 1983). For some employees in the organisation there can be a loss of power and rank as well as a sense of mastery (Callan, 1993). This view is shared by Mirvis (1985), who states that transformational change can create a sense of personal loss, as employees can lose status, work colleagues, a sense of mastery, or a culture with which they identify.

A primary source of stress during organisational transitions is widespread uncertainty. Olson and Tetrick (1988:374) state that "An inevitable consequence of change is the replacement of a predictable and certain environment with one that is uncertain and ambiguous".

Increased global and domestic competition has resulted in organisations cutting through downsizing. Downsizing in turn has a negative impact on employees' health and wellbeing by increasing the likelihood of overwork, work stress, job dissatisfaction, and accidents (Wolfe et al., 1994).

A happy workforce is a healthy workforce. Job satisfaction has become a major concern in the workplace. Job satisfaction affects the wellbeing of employees and exerts a considerable impact on the organisation. Interest in job satisfaction is particularly strong because of its consequences for the organisation, such as absenteeism and turnover (Cherrington, 1989) and for the employee, such as mental and physical health (O'Donnell and Ainsworth, 1984).

Employees' mental and physical health determines their behaviour in the workplace and has a direct impact on the safety records of the organisation. In industries where high physical danger exists, such as the mining industry, most injuries are not caused by faulty equipment; they are caused by employees' behaviour. Occupation Safety and Health Administration (OSHA) regulations require employers to provide a safe workplace. Apart from having a legal obligation to provide a safe work environment, accidents also cost a lot of money. Much of the employees' behaviour is caused by the hidden culture in the organisation. This culture needs to change to reflect the importance of safe behaviour. Employees must realise that safe behaviour is their own responsibility (Dilley and Kleiner, 1996). This sentiment is shared by Cooper (2000), who states that a safety culture is strongly related to the organisational culture. The safety culture is a sub-dimension of this organisational culture and influences the attitude and behaviour of the employees in relation to occupational health and safety performance (Donald, 1998).

Lower levels of employees who have little if any control over the change situation are more likely to distance themselves psychologically from the change process, whereas managerial staff who have more control over the change process will typically seek information and feedback on the changes (Olson and Tetrick,1988). Dewe and O'Driscoll (2001) state that one reason why many change interventions fail may be because little attempt is made to find out what managers understand by stress and the extent to which they think that their organisation has a responsibility to address stress-related problems.

It is important that management should be aware of the stress transformational change causes to employees' wellbeing and of its own responsibility to create a safe working environment and promote employee wellness in the midst of the transformational change. Earnest (2000) states that managers display signals through personal behaviours and decisions about whether safety is (or is not) a value.

In conclusion, the literature reviewed suggests that the uncertainty of transformational change may leave employees feeling anxious and stressed. Management should be aware of the stress transformational change causes to employees' wellbeing and acknowledge its responsibility to create a safe working environment and promote employee wellness during the change process.

Research Question 4: To what extent can creating a safe work environment and promoting employee wellness be defined as management practices that assist employees to embrace transformational change?

2.4 CONCLUSION TO LITERATURE REVIEW

In conclusion, the literature reviewed suggests that management has a key role to play in the transformational process and that some of the management practices required to assist employees to embrace transformational change are: setting the vision; instilling the values; cultivating an environment of mutual trust; effectively communicating with and engaging employees in the change process; embracing diversity; creating a safe work environment; and promoting employee wellness.

The authors contributing to the individual research questions formulated are indicated below.

2.4.1 Research Question 1: To what extent can setting the vision, mission and values and cultivating an environment of mutual trust be defined as management practices that assist employees to embrace transformational change?

Miles (2001), Rosenthal and Masarech (2003), Sagie and Koslowsky (1994), Burke and Leiter (in press), Whitener et al. (1998), Bennett (2001), Andrews (1994), Khan (1997), Cashman (1998), Fiorelli and Morgolis (1993), Lane and Bachman (1998)

2.4.2 Research Question 2: To what extent can effective communication and the engagement of employees in the change process be defined as management practices that assist employees to embrace transformational change?

Leiter and Harvie (1998), D'Aprix and Greenbaum (1997), Bennett (2001), McKenzie (2007), DiFonzo and Bordia (1998), Bordia et al. (2004), Hargie and Tourish (2000), Ashford (1988), Buono and

Bowditch (1993), Schweiger and Denisi (1991), Cherniss (1980), Lee and Ashford (1996), Burke and Leiter (in press), Sagie and Koslosky (1994), Miles (2001)

2.4.3 Research Question 3: To what extent can embracing diversity be defined as a management practice that assists employees to embrace transformational change?

Robbinson and Griffiths (2005), Kersten, (2000), Ples and Maake (2004), Mavin and Girling (2000), Jamieson and O'Mara (1991), Robinson and Dechant (1997), Thibaut and Walker, (1975), Jewson and Mason (1986), Foster and Harris (2005), Pollit (2005), Rynes and Cable (2003), Cox (2001), McGrath et al. (1996), Thomas and Ely (1996)

2.4.4 Research Question 4: To what extent can creating a safe work environment and promoting employee wellness be defined as management practices that assist employees to embrace transformational change?

Callan (1993), Nadler (1982), Kanter (1983), Mirvis (1985), Olson and Tetrick (1988), Wolfe et al. (1994), Cherrington (1989), O'Donnell and Ainsworth (1984), Dilley and Kleiner (1996), Cooper (2000), Donald (1998), Dewe and O'Driscoll (2001), Earnest (2000)

CHAPTER 3: RESEARCH METHODOLOGY

3.1 INTRODUCTION

The methodology that was followed to answer the research questions posed in the previous chapter is described in this chapter. The chapter starts with a description of the chosen methodology / paradigm and its implications for the research. It draws attention to the limitations of the chosen methodology. The research design, case site and sample are then discussed. The chapter proceeds with a discussion of the processes that were used in the collection and analysis of the data. The chapter concludes with a discussion of validity and reliability as these concepts apply to this study.

3.2 RESEARCH METHODOLOGY / PARADIGM

The research method chosen is a qualitative case study conducted in the interpretive paradigm and using the case study method.

3.2.1 QUALITATIVE RESEARCH

The multi-faceted and multi-functional transformational change emanating from the Mining Charter (RSA, 2002) poses challenges to organisations. Implementing transformational change required by the Mining Charter is highly complex. The responses of individuals with different perceptions / beliefs and experiences can reveal multiple views on and perceptions of the research problem studied. The aim of qualitative studies is to interpret the research questions or propositions studied, in terms of the meanings people bring to them (Falconer and Mackay, 1999). This study lends itself to qualitative research as purely quantitative research may ignore the political, cultural and social construction of the variables studied (Kirk and Miller, 1986; Kaplan and Duchon, 1988).

According to Leedy and Ormrod (2005), qualitative research often starts with broad and general research questions, which are then explored with a small number of people. The verbal responses are then analysed in an in-depth way which seeks to uncover meaning in specific contexts. The same principle applied to this study, where broad and general research questions were posed to a small number of people (0.3% of the population). These people were questioned and their unique views were obtained in order that meaning could be uncovered and analysed at the case site.

Although a questionnaire was prepared, the question sessions were conducted in a semi-structured way. The researcher used probing techniques during the question sessions and sought the true meaning of the words of the interviewees to clarify understanding by continually asking interviewees to motivate their answers.

3.2.2 INTERPRETIVE PARADIGM

Falconer and Mackay (1999) state that interpretive researches attempts to explain and understand the social world from the point of view of those directly involved in the social process. This opinion is shared by Kaplan and Duchon (1988), who state that the role of the interpretive researcher is to interpret the research phenomena and to conceptualise and understand events, as these are assumed to influence individual behaviour. In interpretive research, generalisation to a population is not what is usually important. The intent is rather to gain a deeper understanding of the research phenomena which, it is believed can be used to inform other research scenarios (Burrell and Morgan, 1979).

The above applied to the study where the intent was to gain a deeper understanding of the research problem specified. The researcher sought to understand the research problem as it is perceived / believed / experienced by the interviewees. A single phenomenon in its context was studied by the researcher; namely, what assistance employees require from management to embrace transformation? The study was conducted in the interpretive paradigm where the researcher attempted to explain and understand the social world from the point of view of those directly involved in the change process. It is understood that the interviewees' reactions cannot be predetermined and that the research has an inherent limitation in the fact that it may be subjective.

Interpretivism contrasts with positivism, where it is assumed that the objective data collected by the researcher can be used to test prior hypotheses or theories (Walsham, 1995). Positivistism on the other hand is characterised by epistemologies that seek to explain and predict what may happen by searching for regularities and causal relationships between constituent elements (Burrell and Morgan, 1979). Since this study was not about facts, searching for regularities or causal relationships between certain constructs, but about people's perceptions / beliefs and experiences, as well as their recommendations or new ideas, the interpretive paradigm was best suited to be the methodology.

3.2.3 CASE STUDY METHOD

Case study research is widely used in qualitative studies and has a specific focus on understanding research phenomena in their natural setting (Darke et al., 1998). This study focused on a better understanding of the phenomenon of which management practices may assist employees to embrace transformational change in the South African mining industry.

According to Perry (2001), a case site method is appropriate where a specific site is studied in-depth for a predefined period of time. The case site chosen for this study was studied in-depth for a predefined period of time. According to Walsham (1995), single cases provide researchers the opportunity to study the research phenomena in-depth and deliver rich descriptions. A single case site can be used where the case is critical, unique, extreme or revelatory (Yin, 1994). Although it is normally unusual to use a single case site, the case site studied was relevant and met the necessary conditions for testing the literature reviewed, resulting in the opportunity for the phenomenon to be studied in-depth. If this case site had not been studied the opportunity to investigate a significant social science problem could have been lost (Perry, 2001).

According to Yin (1994), case research is especially appropriate for a contemporary phenomenon within its dynamically changing, real-life context; where the boundaries between the phenomenon and its context are not clear-cut and multiple sources of evidence are used (for example, interviews and documents). Various sources of evidence were used in this study which included interviews, observations and relevant documents, which sources enabled the triangulation of the data.

Patton and Appelbaum (2003:60) state that "case studies represent an important research track in organisational science, not only as a method of generating hypotheses for quantitative studies, but for generating and testing theory". The aim of this case study research was to test the research problem and questions formulated, based on the literature reviewed, against the answers of the interviewees, in order to gain a deeper understanding of which management practices may assist employees to embrace transformational change in the South African mining industry.

3.3 RESEARCH DESIGN

As mentioned earlier, the method adopted was the case study method in the interpretive paradigm. In-depth interviews with a small number of people were conducted.

Several limitations of this methodology should be noted. The first is that the objectivity of the research may be in question. This is an inherent limitation of the interpretative paradigm. However, the findings may be transferable to other situations in similar contexts.

A second limitation is the reliance on data collected from a single case site. This, together with the fact that a small number of people were interviewed, (0.3% of the population), limited the generalisability and the inferences one can make about the population as a whole. The findings of the study are very specific to the individuals interviewed and the case site selected. Conclusions to the case site population or to a broader population in the mining industry will not be appropriate.

A third limitation is the fact that no theoretical models were used to base the questions in the questionnaire on. Rather than theoretical models, general questions have been formalised, based on the overall theory derived from the literature reviewed. No pre-tested validated instrument was used, which was a complicating factor in terms of the validity of the study.

3.4 POPULATION: CASE SITE AND SAMPLE

3.4.1 CASE SITE

A large producer of Platinum Group Metals was selected as the case site. The case site selected is committed to transformation and its SLPs submitted to the DME are in alignment with section 100 of the Mining Charter (RSA, 2002). Hand in hand with this, the case site is dedicated to transforming and empowering the organisation to meet the objectives of the South African government to reduce poverty, eliminate racism, and eliminate sexism.

Further detail regarding the organisation on the population in this study was not made available. However the purpose of the study in addressing the issues raised, made these details unnecessary.

3.4.2 SAMPLE

Twenty-five in-depth interviews were conducted (0.3% of the population) at the case site. The sample was randomly stratified, using a convenience sample that consisted of the following levels of stratification:

- Job grade (job grades E and D represent employees at management level, and job grades C and B represent employees at staff level)
- Operation / location
- Race
- Gender
- Management or staff

The study only included employees of the organisation. The study excluded obtaining views from people within the local mining community and suppliers. The local mining community can be defined as the community within a 25km radius of the mine. The list of interviewees is indicated on the next page.

Table 2: List of Interviewees

Interviewee Number	Job Grade	Operation / Location	Race	Gender	Management / Staff
1	E1	Head Office	White	Male	Management
2	E1	Head Office	White	Female	Management
3	D2	Rustenburg	Male	Black	Management
4	E4	Rustenburg	Male	White	Management
5	D2	Rustenburg	Female	White	Management
6	D1	Rustenburg	Female	White	Management
7	E4	Rustenburg	Male	White	Management
8	E3	Head Office	Male	Black	Management
9	E3	Head Office	Male	White	Management
10	D4	Head Office	White	Female	Management
11	D2	Head Office	Black	Male	Management
12	C2	Rustenburg	White	Male	Staff
13	B7	Rustenburg	White	Female	Staff
14	C5	Rustenburg	Black	Male	Staff
15	C5	Rustenburg	Black	Male	Staff
16	C2	Rustenburg	White	Male	Staff

Interviewee Number	Job Grade	Operation / Location	Race	Gender	Management / Staff
17	B7	Rustenburg	White	Female	Staff
18	D1	Rustenburg	White	Female	Staff
19	C4	Rustenburg	White	Female	Staff
20	C2	Rustenburg	Black	Male	Staff
21	B7	Rustenburg	Black	Female	Staff
22	C5	Rustenburg	Black	Female	Staff
23	C1	Rustenburg	White	Female	Staff
24	B7	Rustenburg	Black	Female	Staff
25	D3	Rustenburg	White	Female	Staff

3.5 DATA COLLECTION

Triangulation is important in case research. Patton (1990) recommends three types of data collection in a qualitative study:

1. In-depth, open-ended interviews that consist of direct quotations of the interviewees about experiences, opinions, feelings and their knowledge;

2. Direct observations detailing descriptions of people activities, level of interactions, and behaviours; and

3. Written documents from organisations, records, publications, reports and personal diaries.

Three sources of data were used in this study; namely, questionnaires (see Appendix B for the developed questionnaire), observations by the researcher and relevant documentation. Relevant documentation comprised the legislative requirements as per the DME and organisational documents such as the vision, mission, values, and submitted Social and Labour Plans containing the organisation's stated transformational goals and plans for their implementation.

The researcher used the various sources of data to verify consistency in the responses of the participants and the documented statements with regard to the transformational goals by the organisation. The multiple sources of data provided for triangulation and increased the validity of the study.

The researcher used scribe sheets to capture the answers of the interviewees, and also noted her meaningful observations during the questioning process. The researcher furthermore used a tape recording device to refer back to the responses during the analysis of the results. This ensured that no translation and interpretation was lost in relation to the written questionnaire notes.

3.6 DATA ANALYSIS AND INTERPRETATION

The nature of the case study method in the interpretive paradigm is such that data analysis and interpretation tend to take place to a certain extent during data collection (Leedy and Ormrod, 2005).

Leedy and Ormrod (2005:136) identify the following typical analysis steps in interpretive and qualitative research:

- "Organisation of details about the case into a logical order, such as chronologically, adding notes where appropriate

- Categorisation of data by clustering data into meaningful groups of themes

- Interpretation of single instances to explore their specific meanings in relation to the case

- Identification of patterns of themes that emerge from the data during ordering and / or categorization

- Synthesis and generalizations whereby an overall picture is constructed and conclusions drawn."

The transcripts from the twenty-five individual questionnaires were collated and assessed. Transcripts were coded and common perceptions / beliefs / experiences and emerging themes were extracted relating to which management practices assist people to embrace transformational change. The codes and emerging themes were refined as the questioning and analysis process proceeded to enhance the quality of the conclusions.

3.7 VALIDITY AND RELIABILITY

Validity refers to the extent to which an instrument measures what we wish to measure and reliability has to do with the accuracy and precision of the measurement procedure (Leedy and Ormrod, 2005).

Yin (2003) recommends that for a case study methodology, multiple sources of evidence (triangulation) converging on the same set of facts or findings must be used. In this study validity of the qualitative research was addressed by the researcher by using various sources of data; namely, questionnaires, observations and relevant documentation.

The validity of this research was further enhanced by interviewing a cross-section of the organisation as per the stratification approach and using multiple data sources.

3.7.1 EXTERNAL VALIDITY

Rowley (2002:20) contends that external validity is "establishing the domain to which a study's findings can be generalized". External validity is considered to be an inherent limitation of the case study method in the interpretive paradigm where generalisation or inferences of the findings to the population as a whole are not appropriate. External validity of this research was therefore poor. However, the findings and conclusions of this study may be transferable to research situations in similar contexts.

3.7.2 INTERNAL VALIDITY

Internal validity refers to the extent to which the instrument allows inferences about the causal relationships between data elements (Leedy and Ormrod, 2005). Causal relationships were not studied in this research and, hence, internal validity is an inherent limitation of this study. However, the findings and conclusions of this study indicate important management practices that need to be implemented in order to assist employees to embrace transformational change. Implementing these management practices may be useful to other organisations in the process of transformational change.

3.7.3 RELIABILITY

Reliability is about demonstrating that the operations of the study can be repeated without the results being changed (Yin, 2003). A rigorous process was followed in the analysis and the interpretation of the results. Although the study was conducted at a specific point and time and in an unique environment with a specific sample of interviewees, it is likely that the same conclusions would be reached by another researcher in a similar context.

The researcher conducted the questionnaires in person to enhance the reliability of the study, as recommended by Merriam (2001:29):

> "In qualitative research, both validity and reliability are derived from rigor of the researcher's presence, the nature of the interaction between researcher and participant, the triangulation of data, the interpretation of perceptions resulting in rich, thick description of the phenomenon under study, which sheds light on as issue."

CHAPTER 4: PRESENTATION OF RESULTS

4.1 INTRODUCTION

The results of the study are presented in this chapter. The demographic profile of the sample is presented first, after which the content analysis results are presented in the following logical manner:

- A general section to illustrate the extent at which the interviewees embraced the transformational change;
- A general section to describe whether the interviewees believed that management has a role to play in the transformational change process;
- A summative section on the overall results relating to all research questions;
- A section on each individual research question, describing the results for each separately.

The results are analysed and discussed in the next chapter.

4.2 DEMOGRAPHIC PROFILE OF THE SAMPLE

In this section the demographic profile of the sample is described.

A convenience sample of twenty-five in-depth questionnaires was used in the conducting of the study. The sample was randomly stratified, using different levels of stratification such as operation or location (head office in

Johannesburg or operations in Rustenburg), job grade (job grades E and D represent employees at management level, and job grades C and B represent employees at staff level), race (black or white) and gender (male or female). Table 3 presents a summary of the demographic profile of the sample, indicated first in numbers and then in percentages.

Table 3: Demographic Profile Summary of Sample

Operation Description	Operation Figures	Management vs. Staff	Management vs. Staff Figures	Race Description	Race Figures	Gender Description	Gender Figures
Rustenburg #	20	Management #	11	White #	16	Male #	12
Head Office #	5	Staff #	14	Black #	9	Female #	13
Total	**25**	**Total**	**25**	**Total**	**25**	**Total**	**25**

Operation Description	Operation Figures	Management vs. Staff	Management vs. Staff Figures	Race Description	Race Figures	Gender Description	Gender Figures
Rustenburg %	80%	Management %	44%	White %	64%	Male %	48%
Head Office %	20%	Staff %	56%	Black %	36%	Female %	52%
Total	**100%**	**Total**	**100%**	**Total**	**100%**	**Total**	**100%**

Note: # = Number; % = Percentage

Figures 1 to 5 illustrate the demographic profile of the sample graphically.

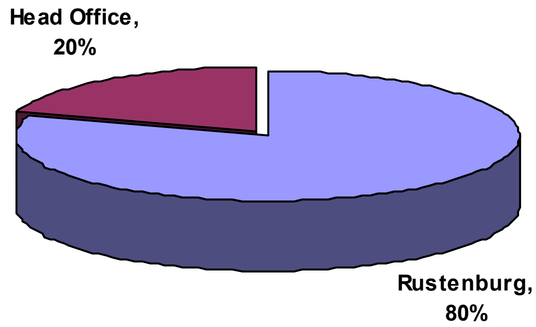

Figure 1: Operation / Location Profile of Sample

Figure 1 illustrates that 80% of the interviewees was situated at operations in Rustenburg and 20% at head office in Johannesburg.

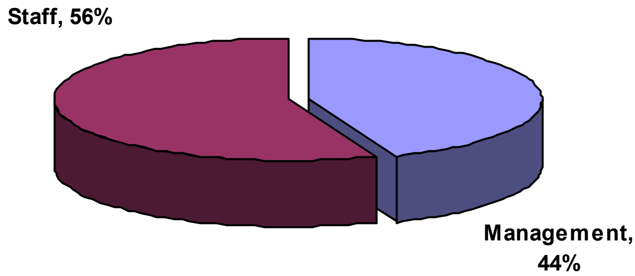

Figure 2: Management vs. Staff Profile of Sample

Figure 2 illustrates that 44% of the interviewees represented employees at management level (that is job grades E and D) and 56% represented employees at staff level (that is job grades C and B).

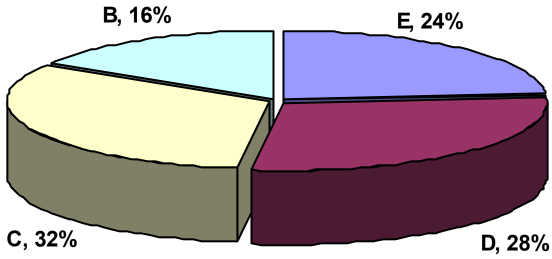

Figure 3: Job Band / Grade Profile of Sample

Figure 3 illustrates that 44% of the sample represented management level of which 24% was at job grade level E and 28% at job grade level D. Fifty-six per cent of the sample represented staff, of which 32% was at job grade level C and 16% at job grade level B.

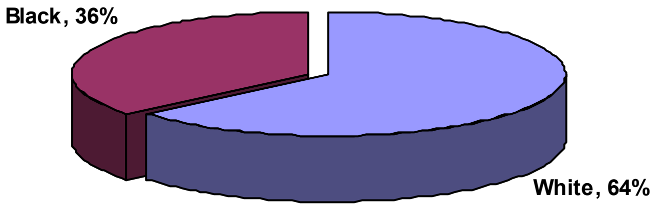

Figure 4: Race Profile of Sample

Figure 4 illustrates that 64% of the interviewees were white and 36% were black.

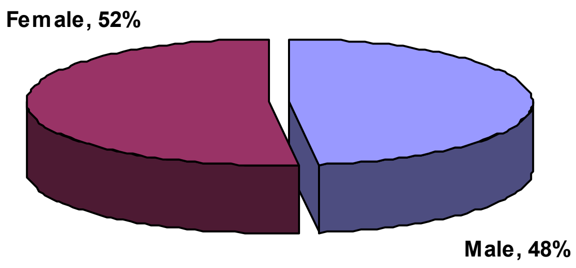

Figure 5: Gender Profile of Sample

Figure 5 illustrates that 48% of the interviewees were male and 52% were female.

4.2.1 CONCLUSION IN RELATION TO THE DEMOGRAPHIC PROFILE OF THE SAMPLE

It is concluded that the sample was fairly evenly spread, specifically with regards to management (44%) vs. staff (56%), race and gender. It was important to strive to achieve a fairly evenly spread sample to ensure that a balanced view could be obtained across the convenience sample selected.

4.3 THE EXTENT OF EMBRACING TRANSFORMATIONAL CHANGE

In this section the extent to which the interviewees embraced the transformational change is described.

Figure 6 illustrates the responses of the interviewees as to whether they perceived the current transformational change as an opportunity or threat.

This is an indication as to what extent the interviewees embraced the transformational change.

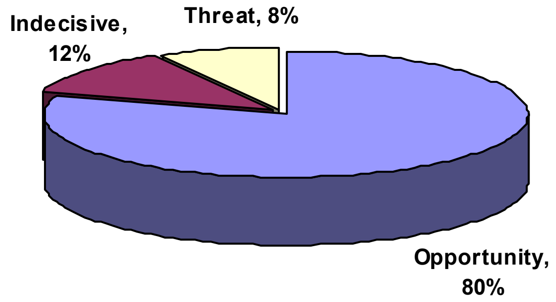

Figure 6: Responses regarding Transformational Change as Opportunity or Threat

Eighty per cent of the interviewees experienced the transformational change as an opportunity, while only 8% of the interviewees experienced the transformational change as a threat. Twelve per cent of the interviewees remained indecisive and were indifferent as to whether they experienced the transformational change as an opportunity or a threat. These responses closely correlate with Figure 7, which summarises the responses of the interviewees as to whether they were positive, neutral, or negative about the transformational change.

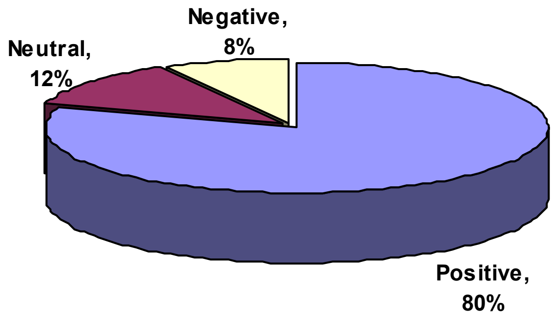

Figure 7: Responses regarding Transformational Change as Positive or Negative

The same pattern emerged, where 80% of the interviewees experienced the transformational change as positive and only 8% of the interviewees experienced the transformational change as negative. Twelve per cent of the sample remained neutral about the transformational change. The interviews might have viewed the "opportunity vs. threat" question as a repetition of the "positive vs. negative" question.

4.3.1 CONCLUSION IN RELATION TO THE EXTENT OF EMBRACING TRANSFORMATIONAL CHANGE

From the above it is concluded that most of the sample interviewed was positive about the transformational change (80%) and experienced it as an opportunity. A small percentage (8%) was negative about the transformational change and experienced it as a threat and twelve per cent (12%) of the sample was indecisive as to whether they experienced the transformational change as positive or negative; they were neutral on the topic questioned.

4.4 THE ROLE OF MANAGEMENT IN TRANSFORMATIONAL CHANGE

In this section the interviewees beliefs about whether or not management has a role to play in the transformational change process are set out.

All of the interviewees responded that management does have a role to play in assisting employees to embrace transformational change, see Figure 8.

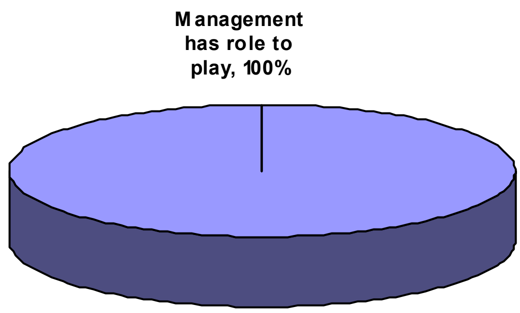

Figure 8: Whether or not Management has a Role to Play to Facilitate Transformational Change

4.4.1 CONCLUSION IN RELATION TO THE ROLE OF MANAGEMENT IN TRANSFORMATIONAL CHANGE

The sample was unanimous and all agreed that management has a role to play in assisting employees to embrace transformational change.

4.5 OVERALL RESULTS

In this section the overall or consolidated results relating to all research questions are described. The coding of the content analysis is first discussed, after which consolidated tables or graphs are presented to summarise the results.

Common perceptions or beliefs or experiences and emerging themes from the transcripts were coded and grouped together. Table 4 summarises the coding used.

Table 4: Summary of Coding

Code	Interviewees' Utterances
Set the vision, mission and values	• Be committed to the change; • Walk the talk; • Lead by example; • Lead the process; • Shape the culture; • Be a transformation champion; • Create and assess the value system; • Utilise powerbase to influence; • Give direction.

Code	Interviewees' Utterances
Cultivate an environment of mutual trust	• No hidden agendas; • Create an open environment; • Play open cards with people; • Have an open door policy; • Don't keep people in the dark; • Be open, honest and transparent; • Show integrity.
Communicate effectively	• Meet face to face with people; • Keep people aware; • Keep people informed on what is going on; • Break barriers in the hierarchical communication structure; • Provide information to people; • Promote open discussions about people's needs;

Code	Interviewees' Utterances
	• Manage expectations.
Engage employees	• Involve / include people; • Give people a chance to offer their ideas; • Encourage two way communication; • Create interaction between "us" and "them"; • Create forums where issues can be raised, discussed and addressed.
Embrace diversity	• Treat everyone the same; • Encourage freedom of speech; • No victimization or intimidation; • Value everyone the same; • Treat people as you would like to be treated.
Create a safe working environment and promote employee wellness	• Create a work environment that is safe; • Promote mental and physical

Code	Interviewees' Utterances
	wellbeing; • Break down stigma regarding wellness programmes.
Put transformational enablers in place	• Put policies and procedures in place; • Provide proper education; • Put training programmes in place; • Provide mentoring and coaching; • Provide on the job training; • Put proper management systems in place to plan, monitor and report progress.

Interviewees were asked to offer their ideas spontaneously as to which management practices assist people to embrace transformational change. Interviewees were also asked to assign weightings to their suggestions.

In terms of the weighting, interviewees needed to divide their suggestions between 100 basis points to determine the relative importance of the suggestions. For example, if the interviewee mentioned that management has to walk the talk, play open cards with people, and communicate effectively, the interviewee was next asked to assign 100 basis points to the suggestions mentioned; for example, walk the talk (50), play open cards with people (25) and communicate effectively (25). This gave an indication as to which suggestions carried the most weight.

Table 5 presents a summary of the interviewees' suggestions and the weightings given to them. The coding is indicated in Table 5.

Table 5: Weighted Management Practices that Assist Employees to Embrace Transformational Change

Interviewee Number	Set the vision, mission and values	Cultivate an environment of mutual trust	Communicate effectively	Engage employees	Embrace diversity	Create a safe working environment and promote employee wellness	Put transformational enablers in place	Total
1	50	-	30	-	-	-	20	**100**
2	-	-	-	100	-	-	-	**100**
3	50	-	50	-	-	-	-	**100**
4	50	-	50	-	-	-	-	**100**
5	20	30	50	-	-	-	-	**100**
6	-	-	-	-	-	-	100	**100**
7	50	-	25	25	-	-	-	**100**
8	70	30	-	-	-	-	-	**100**
9	70	-	-	-	-	-	30	**100**
10	60	-	-	40	-	-	-	**100**
11	-	-	40	-	-	-	60	**100**

Interviewee Number	Set the vision, mission and values	Cultivate an environment of mutual trust	Communicate effectively	Engage employees	Embrace diversity	Create a safe working environment and promote employee wellness	Put transformational enablers in place	Total
12	-	-	100	-	-	-	-	**100**
13	-	-	40	20	-	-	40	**100**
14	-	15	70	-	-	-	15	**100**
15	-	-	35	-	65	-	-	**100**
16	-	-	50	50	-	-	-	**100**
17	-	-	100	-	-	-	-	**100**
18	-	-	-	-	100	-	-	**100**
19	-	-	100	-	-	-	-	**100**
20	-	-	60	-	-	-	40	**100**
21	-	-	-	-	50	-	50	**100**
22	-	-	60	40	-	-	-	**100**
23	-	-	40	-	-	-	60	**100**
24	-	-	70	30	-	-	-	**100**
25	-	-	100	-	-	-	-	**100**

Interviewee Number	Set the vision, mission and values	Cultivate an environment of mutual trust	Communicate effectively	Engage employees	Embrace diversity	Create a safe working environment and promote employee wellness	Put transformational enablers in place	Total
Total	**420**	**75**	**1070**	**305**	**215**	**0**	**415**	**2500**
Total %	**16.8%**	**3.0%**	**42.8%**	**12.2%**	**8.6%**	**0.0%**	**16.6%**	**100%**

The weighted percentages that were spontaneously mentioned by the interviewees shown in Table 5, are graphically illustrated in Figure 9. This is an important graph as it speaks directly to the results.

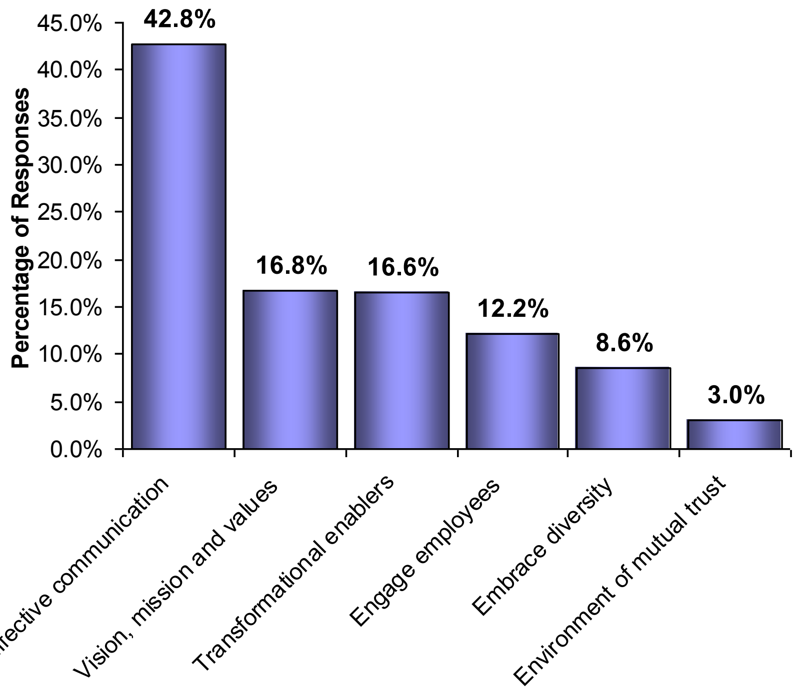

Figure 9: Weighted Management Practices that Assist Employees to Embrace Transformational Change

Interviewees were asked to express on a 5-point likert scale, with 1 being the lowest and 5 being the highest, how important a predefined management practice was to assist employees to embrace transformational change. Table 6 is a summary of their responses. The coding is indicated in Table 6.

Table 6: Rated Management Practices that Assist Employees to Embrace Transformational Change

Interviewee Number	Set the vision, mission and values	Cultivate an environment of mutual trust	Communicate effectively	Engage employees	Embrace diversity	Create a safe working environment and promote employee wellness	Put transformational enablers in place	Total
1	4	5	4	4	4	5	0	**26**
2	4	5	5	5	5	5	0	**29**
3	4	4	5	4	4	5	0	**26**
4	4	5	4	2	4	5	0	**24**
5	4	4	4	4	4	4	0	**24**
6	5	5	4	4	3	4	5	**30**
7	5	4	5	5	4	5	0	**28**
8	5	5	5	5	3	5	0	**28**
9	3	5	5	5	5	5	3	**31**
10	4	3	5	5	5	5	0	**27**

Interviewee Number	Set the vision, mission and values	Cultivate an environment of mutual trust	Communicate effectively	Engage employees	Embrace diversity	Create a safe working environment and promote employee wellness	Put transformational enablers in place	Total
11	4	5	5	3	5	5	5	**32**
12	4	5	5	5	5	4	0	**28**
13	5	5	5	5	5	5	5	**35**
14	5	4	5	5	4	5	0	**28**
15	5	5	3	5	5	5	0	**28**
16	5	5	5	5	5	5	0	**30**
17	5	5	4	4	4	5	0	**27**
18	4	4	5	5	5	5	0	**28**
19	4	5	5	4	4	5	0	**27**
20	5	5	5	5	5	5	5	**35**
21	5	5	5	5	5	5	5	**35**
22	5	5	5	4	4	5	5	**28**
23	5	5	5	5	5	5	0	**30**
24	5	5	5	5	5	5	0	**30**

Interviewee Number	Set the vision, mission and values	Cultivate an environment of mutual trust	Communicate effectively	Engage employees	Embrace diversity	Create a safe working environment and promote employee wellness	Put transformational enablers in place	Total
25	5	5	5	5	5	5	0	**30**
Total	**113**	**118**	**118**	**113**	**112**	**122**	**28**	**724**
Total %	**15.6%**	**16.3%**	**16.3%**	**15.6%**	**15.5%**	**16.9%**	**3.9%**	**100%**

It is important to note that “Put transformational enablers in place” was not a predefined management practice in the research instrument based on the literature review, and was rated only if the interviewee mentioned it as a management practice that is important to assist employees in embracing transformational change. The rated percentages on responses to predefined management practices shown in Table 6 are graphically illustrated in Figure 10. This is an important graph as it speaks directly to the results.

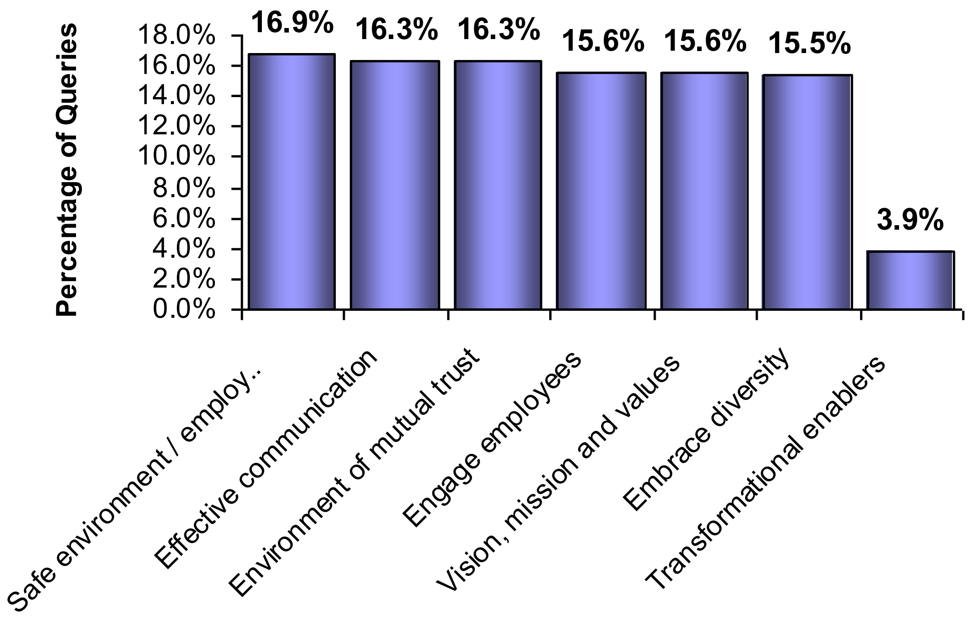

Figure 10: Rated Management Practices that Assist Employees to Embrace Transformational Change

In order to rank the importance of the specific management practices that assist employees in embracing transformational change, an average of the various management practices was calculated; therefore, a weighted average between the suggestions that interviewees mentioned spontaneously and the predefined management practices according to the literature review was calculated and is illustrated in Figure 11. This is an important graph as it speaks directly to the results.

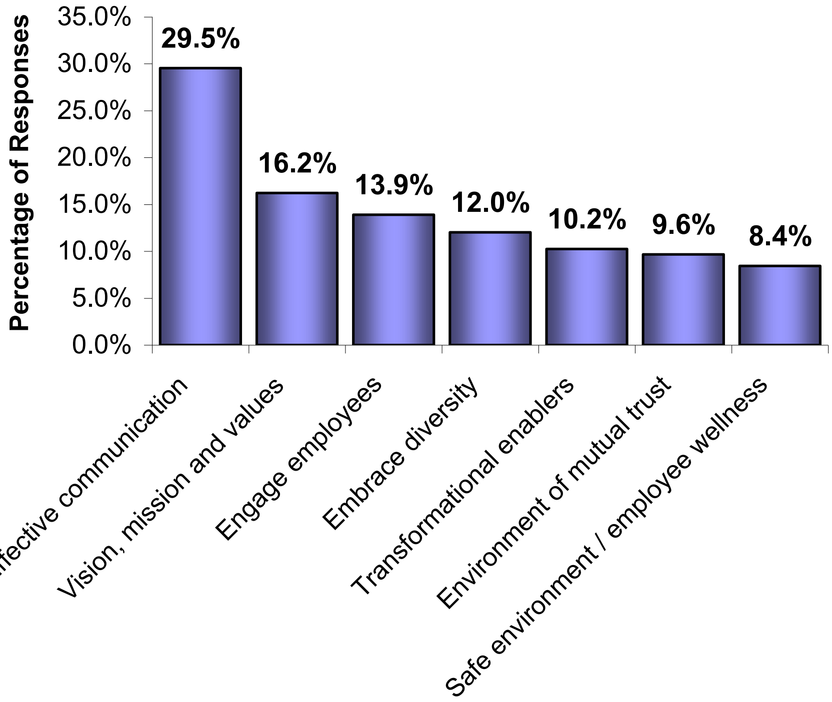

Figure 11: Weighted Average of Management Practices that Assist Employees to Embrace Transformational Change

4.5.1 CONCLUSION IN RELATION TO OVERALL RESULTS

It is evident from the overall results presented that all the elements derived from the literature review - i.e. setting the vision, mission and values; cultivating an environment of mutual trust; communicating effectively; engaging employees; embracing diversity; creating a safe working environment; and promoting employee wellness - are important management practices that assist employees to embrace transformational change.

It also emerged from the responses to the questionnaire that management need to put transformational enablers in place in order to facilitate transformational change.

4.6 RESULTS IN RELATION TO RESEARCH QUESTION 1: TO WHAT EXTENT CAN SETTING THE VISION, MISSION AND VALUES AND CULTIVATING AN ENVIRONMENT OF MUTUAL TRUST BE DEFINED AS MANAGEMENT PRACTICES THAT ASSIST EMPLOYEES TO EMBRACE TRANSFORMATIONAL CHANGE?

From the overall results presented it is clear that setting the vision, mission and values and cultivating an environment of mutual trust are important management practices that assist employees to embrace transformational change.

Figure 11 shows that setting the vision, mission and values was rated in second position out of a possible seven, with 16.2%, and cultivating an environment of mutual trust was rated in sixth position, with 9.6%.

4.7 RESULTS IN RELATION TO RESEARCH QUESTION 2: TO WHAT EXTENT CAN EFFECTIVE COMMUNICATION AND THE ENGAGEMENT OF EMPLOYEES IN THE CHANGE PROCESS BE DEFINED AS MANAGEMENT PRACTICES THAT ASSIST EMPLOYEES TO EMBRACE TRANSFORMATIONAL CHANGE?

From the overall results presented it is clear that effective communication and engaging employees in the change process are important management practices that assist employees to embrace transformational change.

Figure 11 shows that effective communication was rated in first position, with 29.5%, and engaging employees in the change process in third position, with 13.9%.

4.8 RESULTS IN RELATION TO RESEARCH QUESTION 3: TO WHAT EXTENT CAN EMBRACING DIVERSITY BE DEFINED AS A MANAGEMENT PRACTICE THAT ASSISTS EMPLOYEES TO EMBRACE TRANSFORMATIONAL CHANGE?

From the overall results presented it is clear that embracing diversity is an important management practice that assists employees to embrace transformational change.

Figure 11 shows that embracing diversity was rated in fourth position, with 12%.

4.9 RESULTS IN RELATION TO RESEARCH QUESTION 4: TO WHAT EXTENT CAN CREATING A SAFE WORKING ENVIRONMENT AND PROMOTING EMPLOYEE WELLNESS BE DEFINED AS MANAGEMENT PRACTICES THAT ASSIST EMPLOYEES TO EMBRACE TRANSFORMATIONAL CHANGE?

From the overall results presented it is clear that creating a safe working environment and promoting employee wellness are important management practices that assist employees to embrace transformational change.

Figure 11 shows that creating a safe working environment and promoting employee wellness was rated in seventh position, with 8.4%.

Putting transformational enablers in place was rated in fifth position, with 10.2%.

4.10 OVERALL CONCLUSION

From the results presented in this chapter, it is observed that an evenly spread sample was achieved. Most of the interviewees (80%) were positive about the current transformational change and see it as an opportunity. All the interviewees felt that management has a role to play in assisting employees to embrace transformational change.

Setting the vision, mission and values, cultivating an environment of mutual trust, communicating effectively, engaging employees, embracing diversity, creating a safe working environment and promoting employee wellness are all important management practices that facilitate transformational change. It emerged from the research that putting transformational enablers in place is also an important factor.

The results are analysed and discussed in Chapter Five.

CHAPTER 5: INTERPRETATION OF RESULTS

5.1 INTRODUCTION

The results of the study are analysed and discussed in this chapter. The views, perceptions, beliefs, and experiences of the interviewees are integrated with the theory covered in the literature review.

Where relevant the interviewees' responses will be quoted in the interpretation of the results.

A description in relation to the overall aim of the study – to establish management's role in facilitating transformational change in the South African Mining industry is presented first, followed by a discussion of the results pertaining to each research question in turn.

The summary of the main findings is discussed in the next chapter.

5.2 THE EXTENT OF EMBRACING TRANSFORMATIONAL CHANGE

Most of the interviewees (80%) were positive about the current transformational change and saw it as an opportunity to grow and develop. A minority of the interviewees (8%) were negative about the change and saw it as a threat. A few of the interviewees (12%) were indecisive as to whether they saw the change as an opportunity or threat.

It is widely recognised that staff acceptance of organisational change is vital to the success of the change (Gilmore and Barnett 1992, Armenakis et al., 1993). Overall, interviewees were positive about the change as, in essence, it offers HDSAs the opportunity to be educated, to advance in their careers, fast track their development, grow, benefit financially, reach personal goals and increase self esteem: “It gives people the opportunity to develop, motivate them, give them self confidence and grow them.”

Organisational change will only be sustainable if it gives meaning to the experiences of the individuals (Pasmore and Fagans, 1992). The interviewees said it uplifts people who never had opportunities such as learning and development before and make a visible difference in the lives and morale of HDSAs: “It integrates people from diverse backgrounds, it is not only an opportunity to grow but also to retain skills.”

Interviewees were also excited about the possibility of owning, renting suitable housing or being relocated to appropriate mine accommodation. Historically, mine workers were mainly placed in hostels where many people had to share rooms and bathroom facilities. It is the intent of the government to ensure that mining houses convert hostels into suitable single or family units for its workers. “It is definitely an opportunity to benefit all, not only a selected few.”

A number of interviewees said that by giving HDSAs the opportunity to learn and grow, does not only have a profound impact on the previously disadvantaged individuals but also has direct benefits for the organisation such as the company increasing its skills base, curbing skills shortages, harnessing diversity, improving safety, and increasing production over the longer term. They said that sustainable long-term growth offers opportunities to all employees regardless of demographic profile. “The company is going through a growth phase, there is capacity constraints regardless of race. Transformation is more about your thinking with regards to transformation than your skin colour and race. The company needs to be representative, if you add value you will be needed.”

A few of the interviewees mentioned that a host of additional job opportunities are created through the transformational process, such as transformation departments, change agents, builders for housing, community upliftment, etc. They were optimistic about the job-creation opportunities and the improvements and upliftment in local communities, such as the building of schools and hospitals.

However, transformation does not come without cost. The resources made available to enable transformation are significant. Resistance to change by the individuals in the organisation is not surprising but it is important to recognise that this resistance can slow down or prevent adjustment of the organisation to the required changing conditions (Merron, 1993). "This change creates job opportunities, but it also creates expectations and we have limited resources. One has to make sure that you can deliver and address the expectations. There is an element of resistance where people question why only certain individuals are benefited through the process. There has to be a lot of emphasis on how you communicate change as well as manage perceptions and expectations."

Although certain interviewees were sceptical about the opportunities actually materialising, in general they recognised that there is seriousness about transformation in the organisation. "People see the reality and is pleased with the mine's contribution to be a good citizen". They said people are currently committed to deliver on the transformational targets and resources are made available to enable the changes. "Management put word to action; this is recognised by people and relationships improve as a result."

Most of the interviewees who were indecisive about whether they were positive or negative about the changes felt that it would be great if the opportunities, such as, education and mentoring of HDSAs, talent management and fast tracking of HDSAs, more representation of women and HDSA in management, upliftment of local communities, improved mine accommodation, etc., actually materialised, but many of them felt that there was still a long way to go to true transformation in the organisation. “Education and development opportunities will be good but currently I am not aware of how I can benefit from these opportunities”. “I feel there is still a lot of propaganda and bias in applications”. “It is a good thing, but currently it is not visibly implemented.”

A few of the interviewees felt negative about the changes as they said uplifting HDSAs who do not have the required knowledge and experience takes a lot of time and effort from managers. In the short term, the workload on the managers increases as staff members need to be mentored and coached. Also, these employees do not operate at a 100% efficiency level, yet it is expected of managers to ensure high organisational performance. “It complicates my life as people are placed in positions where they do not have the experience or the required knowledge and I have to take additional time to coach them.”

The mining industry is renowned for its traditional hierarchical structures. Some interviewees mentioned that managers may not want to coach and mentor subordinates as they may feel that their own position may be at risk and, hence, feel threatened by the talent below them.

White males are excluded from benefiting from the transformational changes and opportunities offered. In general the white male interviewees understood the rationale for transformation and did not oppose the concept in principle. There was, however, a collective feeling that transformation should not be a chase for employee equity targets, but had to be done on merit. They felt if employees regardless of race and gender has the required knowledge and skill, they should be promoted into their “deserved” position. A lot of the negativity was expressed where people felt that HDSAs were fast tracked and placed into positions for which they were not qualified, did not acquire the required experience, or found themselves in positions that were not suitable to them (for example, women boilermakers, where the nature of the work is highly physical). They felt that good talent needs to get good opportunities regardless of demographic profile. “I have experienced that people are not placed in the positions based on merit but that HDSA positions are forced. This does not work in the longer term as you set people up for failure. If a person can do the work you should get the position regardless of race.”

A few of the interviewees said that transformation was nothing more than reverse discrimination and that although the rationale for transformation was understood, a definite time limit should be attached to transformational correction. “I am negative about the changes; it affects my husband and filters through to the family. Culturally white men are the providers. This opportunity is taken away from them and forces roles to change. It has to stop somewhere”. They said as a result of decreased opportunities for white males in South Africa many people with critical skills have left the country. This “brain drain” of critical skills curbs economic growth of the country. It was felt that transformational goals should be tempered with reality and that “economics should rule the country, not politics.”

5.2.1 CONCLUSION IN RELATION TO THE EXTENT OF EMBRACING TRANSFORMATIONAL CHANGE

The interviewees felt that true transformation is “changing the hearts and minds of people”. It remains a challenge in a South African context to change perceptions of people that have been formed over many years. Offering HDSAs an opportunity to be uplifted is a good way to restore faith in the hearts of those that were previously discriminated against. Transformation remains a complex process as it cuts across all human resource processes and across all levels in the organisation. Embracing transformation is dependent on people’s perceptions and approach to the transformational process. “One must look at transformation in the context of the country. We do not have an option but to change; we cannot really resist; our acceptance thereof depends on our approach, attitude and perception.”

In conclusion, it would seem that most people at the case site studied embraced transformational change as depicted in the organisation's SLP but still sees implementation of the transformational goals as a challenging, complex, and lengthy process.

5.3 THE ROLE OF MANAGEMENT IN TRANSFORMATIONAL CHANGE

All the interviewees felt that management does have a role to play in assisting employees to embrace transformational change. Leiter and Harvie (1998) found that there is a direct relationship between the acceptance of organisational change by employees and their confidence in management.

Several interviewees said that transformation is not merely enforcement of the law but that leadership has a significant role to play in liberating employees within the organisation. They said there is a need for transformation beyond compliance to ensure a working environment that harnesses diversity and creates an environment where people can work together in harmony. This is only achievable though dynamic leadership. Interviewees strongly felt that leadership has a responsibility to live and drive the change: "everything rise and fall with leadership." Leaders cannot leave the acceptance of the change to change itself (Gersick, 1991).

Some interviewees said that management has a substantial amount of influence and power in the organisation. They are in the position to use this power to influence decision making and the behaviour of others within the organisation. "The message cascades from the top down to the rest of the organisation. With their substantive experience they know what to do to make transformation a reality."

A few interviewees said if management is there to plan and support the implementation, it is all you require to ensure a successful transformational process. “Management needs to drive and support the change, else there will be no action.”

The challenge for management, however, is not to see transformation as an add-on to current management pressures but to “live the change and make it a top priority.”

Interviewees said that transformation is a challenging and lengthy process. Many people are negative about the changes and are threatened by them. Management has a responsibility to address this issue appropriately and set an example. Transformational leadership is needed to inspire and guide fundamental transformations (Galdwin, 1993).

5.3.1 CONCLUSION IN RELATION TO THE ROLE OF MANAGEMENT IN TRANSFORMATIONAL CHANGE

In conclusion, the study showed that management has a key role to play in assisting employees to embrace transformational change.

5.4 RESULTS IN RELATION TO RESEARCH QUESTION 1: TO WHAT EXTENT CAN SETTING THE VISION, MISSION AND VALUES AND CULTIVATING AN ENVIRONMENT OF MUTUAL TRUST BE DEFINED AS MANAGEMENT PRACTICES THAT ASSIST EMPLOYEES TO EMBRACE TRANSFORMATIONAL CHANGE?

The results showed that setting the vision, mission and values and cultivating an environment of mutual trust are important management practices that assist employees to embrace transformational change. Interviewees weighted setting the vision, mission and values as 16.8% spontaneously and cultivating an environment of mutual trust as 3% (see Figure 9). Interviewees rated setting the vision, mission and values as 15.6% in relation to the predefined management practices derived from the literature review, and cultivating an environment of mutual trust as 16.3% (see Figure 10). Figure 11 illustrates that setting the vision, mission and values was rated in second position overall, with 16.2%, and cultivating an environment of mutual trust in sixth position overall, with 9.6%.

Interviewees expressed that management has to set or craft the vision, give direction and set the goals and standards. "Life is unpredictable and unstable; the workforce today is not the workforce tomorrow. A vision and policies embrace the unpredictable, and bring stability to the unstable state". Interviewees felt that a vision enables employees to work towards a mutual goal. It crystallises what needs to be achieved and what is aimed for. It also allows people to understand how they integrate into the bigger picture and how they can participate. "Without a vision and goals nothing will be achieved."

According to Rosenthal and Masarech (2003), a high-performance culture is created by clarifying the mission and the values, communicating the mission and the values to the employees and modelling the mission and values. Many of the interviewees mentioned that more important than setting the vision, mission and values is living them. Management has to create and assess the value system. Interviewees said that living the values shapes the culture of the organisation. They felt that leadership has to "walk the talk" and set an example, as the change process will not be valid otherwise: "Show me that you embrace transformation, then I will copy you". Leaders will only have followers if they lead by example. Trust is earned over time from demonstrated behaviour and attitude. "If managers start to live the values with passion, it will change everything."

Lane and Bachman (1998) write that employees expect consistency, integrity and concern from managers in change situations. The interviewees said that management has to utilise its powerbase to influence, demonstrate integrity, respect people, manage expectations, put intentions into action, prioritise actions, and implement the changes with enthusiasm. They continued by saying that "management has to be credible as much as they need to be competent". "Caring and connectivity starts with leadership, if management does not take this first step, there will be no credibility". Leadership play the role of true transformation champions and must be committed to the change. The change process is dynamic and needs to be demonstrated daily.

The interviewees mentioned that with a strategy, implementation plan and trust, results can be achieved. Integrity manifests itself in trust. They said that trust is often broken when the behaviour of management contradicts their words. "Without trust it will not work, management has to do what they say else people will get suspicious". Mutual trust is consistently presented as an essential feature of change (Andrews, 1994; Khan, 1997; Cashman, 1998). According to the interviewees, trust is the anchor of the change process and fundamental to having good relationships between management and staff. "Without trust you will not have any co-orporation. Trust says I belong and that my inputs are recognised and acknowledged. It cuts across levels in the organisation."

Interviewees mentioned that in order to cultivate an environment of mutual trust management must show itself to be trustworthy by having an open door policy where there are "no hidden agendas and people are not kept in the dark". Management needs to be open, honest and transparent and treat people fairly. Management should demonstrate integrity by not creating expectations if they cannot deliver on the promises made as this causes mistrust.

According to Bennett (2001), managers need to lead their staff through the change; if they do not, they may be left with staff that lacks trust for them. Some of the interviewees stated that without trust people get suspicious, do not co-operate, sabotage the process, and ultimately leave the organisation.

"If you want people to walk with you, they must trust you else they will sabotage the process". In this way the organisation may lose valuable skills. Conversely, trust makes people feel recognised and acknowledged and that their inputs are valued. Such a situation leads to happy employees and eventually promotes a loyal and productive workforce. "If you create an environment of trust you obtain loyalty from the staff."

One of the interviewees said "You cannot sit in the shade of a tree that you have planted yesterday". Trust takes a long time to be established and is easily broken. It is vital for management to live the values daily and demonstrate consistent behaviour that supports the transformational process in order to shape the culture and create an environment of mutual trust in the longer term.

5.4.1 CONCLUSION IN RELATION TO RESEARCH QUESTION 1

In conclusion, the study showed that setting the vision, mission and values and cultivating an environment of mutual trust are important management practices in the transformational change process. A vision enables employees to work towards a mutual goal, but more important than setting the vision, mission and values is living them. Leaders have to be true transformation champions as trust is often broken when the behaviour contradicts stated commitments. Trust is fundamental to sustainable transformational change.

5.5 RESULTS IN RELATION TO RESEARCH QUESTION 2: TO WHAT EXTENT CAN EFFECTIVE COMMUNICATION AND THE ENGAGEMENT OF EMPLOYEES IN THE CHANGE PROCESS BE DEFINED AS MANAGEMENT PRACTICES THAT ASSIST EMPLOYEES TO EMBRACE TRANSFORMATIONAL CHANGE?

The results showed that effective communication and engaging employees in the change process are important management practices that assist employees to embrace transformational change. Interviewees weighted effective communication as 42.8% spontaneously and engaging employees in the change process as 12.2% (see Figure 9). Interviewees rated effective communication as 16.3% in relation to the predefined management practices derived from the literature review, and engaging employees in the change process as 15.6% (see Figure 10). Figure 11 illustrates that effective communication was rated in first position overall, with 29.5%, and engaging employees in the change process in third position overall, with 13.9%.

An interviewee used the following analogy: "Effective communication is to the organisation what blood is to the body. If certain parts of the organisation are not communicated to, it will die". According to interviewees, effective communication can mean the success or the failure of any change process. This view correlates with that of DiFonzo and Bordia (1998), who write that communication is vital to the effective implementation of organisational change. The interviewees said that constant communication brings reiteration and consistency. Leaders will lose their followers if they do not communicate regularly; "buy-in frequently needs to be obtained". According to the interviewees, communication is fundamental to retain focus, stress the seriousness of transformation, and to ensure that people take part in the change process. There is a direct relationship between change acceptance and effective communication (Leiter and Harvie, 1998).

Some of the interviewees said that in order for management to assist people through a change process that is usually painful, it has a responsibility to have empathy with staff, educate people what the change is all about, explain the rationale of the change to them, and deal with their fears and expectations. “Communicate the benefits and deal with the fears and expectations”. This view is in alignment with that of Bennett (2001), who states that management has a key role to respond, and to proactively assist employees in embracing organisational change by: explaining the reasons for the change; involving the employees; seeking to understand where resistance may occur; and continually remind those affected of the benefits of the change.

The interviewees said that without communication misconceptions are formed and that a lack of understanding leads to mistrust. “Management should educate us what this is all about and what we have to do. Lack of understanding leads to mistrust”. The more people are informed and understand how they are affected the less they resist and participate. Bordia et al. (2004) state a major aim of the change communication is to reduce the uncertainty of employees and to keep them informed of the anticipated events.

Many of the interviewees said that communication is not about sending out emails and brochures as part of a hierarchical communication structure but that effective communication means to take it to a personal level, to meet face to face with people, to create conversations, and to open discussions. “Effective communication is integral to create relationships; management has to take it to a personal level by creating conversation”. Two-way communications must be promoted where feedback from the organisation is obtained about people’s needs and perceptions to which management can respond. To the interviewees, communication is how you connect with people and demonstrate that you “care and listen”. It is integral to the creation of meaningful relationships and overcoming cultural differences. Interviewees reported that it is important to have a representative management team so that interpretation is not lost in translation - “Integrated, interpersonal communication and contact is the greatest force for achieving anything.”

Leaders must lead, demonstrating their firm commitment to inform, listen to and involve the workforce (Greenbaum, 1997). Interviewees said that to communicate effectively is part of the process of leading by example. When the leader "talks and listens to people, trust is established" and in this way a loyal workforce results. With a loyal workforce, management can reach its set goals. D'Aprix (1997) states that imposing change without involving the employees effectively can cost organisations dearly by producing a mobile and not especially loyal workforce.

Leiter and Harvie (1998) are of the opinion that involving staff members in the change process mitigates possible resistance that may exist. The interviewees said that, strategically, leaders have to set the broader parameters but that employees must be engaged in achieving the end result. The interviewees felt that when people are involved in the implementation plan, commitment, responsibility, accountability and ownership result. As one interviewee stated: "If people are engaged they will talk about this is *our* company not this is *the* company". In general, the feeling was that people support what they have helped create.

The interviewees said that if you do not involve people from the start the change will not be sustainable in the long run. "The more you engage people the easier you get their approval". People will be negative, resist and not be accountable as they will say that they have not been involved from the beginning. "If I am not involved why should I care?" In many ways they felt that engaging the workforce is the only way to reach the goals in a sustainable manner. This view is in alignment with that of Sagie and Koslosky (1994) who state that staff involvement in tactical decision making (the "what", "how", and "who" of change) affects change acceptance.

Some of the interviewees mentioned that involving staff in the whole process from pre-planning, planning, implementation and final stages and to tap into the expertise and detailed knowledge of the staff may have a better quality solution as result. "It is important for sustainability reasons to tap into the expertise of the staff. Make them part of the whole process, this will improve the solution". According to Miles (2001), to involve staff members unlocks the creativity of the employees in order for them to redefine the way in which they can support the transformation effort. Interviewees said that people want to feel that they are "important and that they are listened to". People have a lot to share. Acknowledge people for the detailed knowledge that they have and what they can bring to the solution. "An engaged employee is a happy employee."

Although many of the interviewees agreed that employees need to be engaged in the change process, some of the interviewees mentioned that facilitating an inclusive process is challenging. People have their own agendas. The agendas of various role players are in many instances in conflict with one another; for example, unions vs. management. "It is difficult to management expectations if too many people have input into the process". One interviewee put this into perspective by saying: "Though involving employees is a challenging process it is important to focus on the intent of transformation, and that is to have an equal representation in the workforce, an inclusive process that values the contribution of each staff member, and to have a positive engaged workforce as the end result".

5.5.1 CONCLUSION IN RELATION TO RESEARCH QUESTION 2

In conclusion, the study showed that effective communication and engaging employees are important management practices in the transformational change process. Management has a responsibility to explain the rationale for the change, how employees will be affected by the change, to create conversations, open discussions, and promote two-way communication. Leaders have to set the broader parameters, but employees must be engaged in achieving the end result for the change to be sustainable in the long term.

5.6 RESULTS IN RELATION TO RESEARCH QUESTION 3: TO WHAT EXTENT CAN EMBRACING DIVERSITY BE DEFINED AS A MANAGEMENT PRACTICE THAT ASSISTS EMPLOYEES TO EMBRACE TRANSFORMATIONAL CHANGE?

The results showed that embracing diversity is an important management practice that assists employees to embrace transformational change. Interviewees weighted embracing diversity spontaneously as 8.6% (see Figure 9) and as 15.5% in relation to the predefined management practices derived from the literature review (see Figure 10). Figure 11 illustrates that embracing diversity was rated in fourth position overall, with 12%.

One of the interviewees said that we have to see diversity in the context of the history of South Africa, as we have a specific mandate to correct the past. He continued to say that, in this context, transformation of the social environment has to be long term. According to him this transformation does not only have a racial implication but implications for culture, religion, gender, and social etiquette. This opinion was shared by many of the interviewees, who mentioned that embracing diversity moves "far beyond race". "It is more about treating people as you would like to be treated". It is reflected in our attitudes, openness and connectivity towards each other, our ability to value everyone equally, treat people fairly, and respect each other. Some of the interviewees mentioned that understanding people and how we are different create awareness, empathy towards each other and minimises conflict. "People have to have mutual respect for one another. One set of values needs to be created." Cox (2001) states that it is vital for management to create a truly inclusive work environment where people from diverse backgrounds feel respected and recognised.

The interviewees mentioned that the way one communicates and implements change has to be representative of the culture of the organisation. The mining industry has a very high illiteracy rate and from a cultural perspective the languages and value systems of the various components of the workforce are vastly different. It is therefore important to overcome any potential communication gaps and exclusions by having a representative management team. The interviewees said that an understanding of different cultures is hugely helpful to establish one organisation culture, one set of values where people can work together in harmony. Interviewees felt that discrimination creates poor work relationships. “People must have freedom of speech where they are not punished for their views, not intimidated or pre-judged”. According to Ples and Maake (2004), an inclusive work environment and creating a culture of inclusion can be achieved by: recognition, reciprocal understanding, trust; integrity, and an intercultural moral viewpoint.

Pollit (2005) states that companies perform best when they introduce diversity initiatives not simply to comply with the law but to use people’s different viewpoints, talents and experiences to improve decision making and problem solving. “In embracing diversity it is important to understand the differences and commonalities. Differentiation really brings strength and should be encouraged”. Many of the interviewees mentioned that management needs to create diversity awareness and put initiatives such as diversity workshops or training in place to create a forum where diversity issues can be discussed and learning from each other can take place.

However, the interviewees said that more important than putting the enablers in place is for management to lead by example: “Transformation is about transforming your heart, what you say needs to be in sync with your actions”. They felt that embracing diversity needs to be actively demonstrated. Managers need to treat employees fairly in transformational change in order to minimise stress caused by the change and, in this way, counter any resistance that may exist (Robbinson and Griffiths, 2005).

A few of the interviewees said that harnessing diversity brings strength to the organisation and must be encouraged. Everyone brings their own unique strengths to the organisation and contributes to the success of the company. The organisation cannot afford to exclude the contributions of certain groups and needs to leverage off all available skills, talent and experience. “Everybody has got something to add to the solution”. According to Ples and Maake (2004), companies recognise that there are many potential benefits of a multicultural workforce and that they need to make every effort to create more inclusive work environments. The benefits of having a diverse workforce are, amongst other things, that the organisation can maximise its available talent by drawing on wider perspectives and have the capability to thrive in different cultures (Robinson and Dechant, 1997).

5.6.1 CONCLUSION IN RELATION TO QUESTION 3

In conclusion, the study showed that embracing diversity is an important management practice in the transformational change process. Transformation is less about tolerance for various race groups and more about our ability to value everyone equally, treat people fairly, and respect each other. In order to embrace diversity it is important to have a representative management team and a representative workforce. Management has a responsibility to put diversity initiatives in place, lead by example, and ensure that employees are not treated unfairly. Embracing diversity has additional benefits to the organisation as it leverages off the strengths of each individual in the organisation.

5.7 RESULTS IN RELATION TO RESEARCH QUESTION 4: TO WHAT EXTENT CAN CREATING A SAFE WORKING ENVIRONMENT AND PROMOTING EMPLOYEE WELLNESS BE DEFINED AS MANAGEMENT PRACTICES THAT ASSIST EMPLOYEES TO EMBRACE TRANSFORMATIONAL CHANGE?

The results showed that creating a safe working environment and promoting employee wellness are important management practices that assist employees to embrace transformational change. Interviewees weighted creating a safe working environment and promoting employee wellness as 16.9% in relation to the predefined management practices derived from the literature review (see Figure 10). Figure 11 illustrates that creating a safe working environment and promoting employee wellness was rated in seventh position overall, with 8.4%.

Mining is one of the most dangerous industries in the world. In mining, safety is enforced by law and regarded as one of the top priorities of any mining organisation. One of the interviewees said: "by losing people's lives through production we do not only lose critical skills but it affects the whole community and society negatively". The interviewees said that people are not happy in an unsafe working environment and become negative. The safety of employees cannot be compromised: "safety comes first, then production". They strongly felt that business cannot be conducted at the expense of human lives and that "one death is one too many".

Although interviewees felt that management has a key role to play in creating a safe working environment, they said that safety is everybody's responsibility and priority. Employees must realise that safe behaviour is their own responsibility (Dilley and Kleiner, 1996). The interviewees continued by saying safety and wellness awareness cannot be over emphasised.

A few of the interviewees mentioned that a current challenge in the mining industry is the scarcity of skills. This sometimes means that people are put into positions for which they are not equipped from a safety perspective. This in turn leads to unsafe practices, and in some cases, fatalities. They said that safety is integral to how we manage people and what behaviour we tolerate. "Any unsafe acts should not be tolerated by management". They also said that the organisation has to have good practices and systems in place and ensure that people are trained to do what they are supposed to do in a safe way. Earnest (2000) states that managers should display signals through personal behaviours and decisions whether safety is (or is not) a value.

Many of the interviewees stated that a healthy environment improves productivity. "Management need to create a sense of caring and promote mental and physical wellbeing". "Management has to grow, acknowledge and reward people and therefore maintain a care and growth focus". The interviewees said that unwell employees results in higher absenteeism and decreased productivity. This view is in alignment with that of Wolfe et al. (1994), that state that negative effects on employee health or wellbeing increase the likelihood of overwork, work stress, job dissatisfaction and accidents. Interviewees said that if management does not look after the wellness of the employees they will not "walk the extra mile" for management when required.

Interviewees mentioned that management can demonstrate that they care by putting support structures in place that promote employee wellness; for example, wellness programmes and ensuring that people are encouraged to attend these initiatives in order to eliminate any stigma around them that may exits. "If you care for people, people feel valued, diverse as they are."

5.7.1 CONCLUSION IN RELATION TO RESEARCH QUESTION 4

In conclusion, the study showed that creating a safe working environment and promoting employee wellness are important management practices in the transformational change process. Safety is a top priority in the mining industry and the responsibility of everyone in the organisation. Safety and wellness cannot be divorced from working conditions; for example, the longer the hours employees are expected to work by management, the worse the relationships with management. Deteriorating relationships in turn will lead to the employees caring less and may increase the risk of injuries. In the mining industry caring under physical challenging situations is not easy. Management has a responsibility to create good work relationships and a culture of caring.

5.8 PUT TRANSFORMATIONAL ENABLERS IN PLACE

To put transformational enablers in place as a management practice that assists employees to embrace transformation emerged from the study. The results showed that putting transformational enablers in place is an important management practice that assists employees to embrace transformational change. Interviewees weighted putting transformational enablers in place as 16.6% spontaneously. (See Figure 9.) Figure 11 illustrates putting transformational enablers in place was rated in fifth position overall, with 10.2%. It is important to note that putting transformational enablers in place was only rated if the interviewee mentioned it as a management practice that is important in the transformational change process.

The transformational enablers that were mentioned by the interviewees included:

- Putting policies and procedures in place;
- Providing proper education;
- Putting training programmes in place;
- Providing mentoring and coaching;
- Providing on the job training;
- Putting proper management systems in place to plan, monitor, and report progress.

The interviewees felt that management has to guide employees and "put policies in place to shape the culture of the organisation". Many of the interviewees mentioned that the growth and development of people are very important and that management needs to ensure that development and training programmes are in place. Lastly they said that monitoring and control of the transformational process needs to be visible to all employees. Management has to ensure it has systems in place to support the transformational process and that tracking progress against the goals should be communicated to the lowest level in the organisation on a regular basis: "You cannot manage what you can not measure."

Although some of the interviewees mentioned that putting transformational enablers in place is important, a few said that the behaviours and attitudes of management supersede the mechanistic implementation of the transformational plan. "It is easier to change systems than behaviours and attitudes". Behaviours and attitudes are what define relationships and are ultimately the success or failure of the transformational change process.

5.8.1 CONCLUSION IN RELATION TO PUTTING TRANSFORMATIONAL ENABLERS IN PLACE

In conclusion, putting transformational enablers in place is an important management practice that assists employees to embrace transformational change.

5.9 OVERALL CONCLUSION

The study showed that setting the vision, mission and values; cultivating an environment of mutual trust; communicating effectively; engaging employees; embracing diversity; creating a safe environment; and promoting employee wellness all are important management practices that assist employees to embrace transformational change. Apart from the predefined management practices derived from the literature review, the interviewees also mentioned that putting transformational enablers in place is an important management practice that assists people in the transformational process.

CHAPTER 6: CONCLUSION

6.1 INTRODUCTION

A summary of the main findings is presented in this chapter, after which the limitations of the study, and the recommendations to management based on the findings will be discussed. Lastly, suggestions for further research will be provided.

6.2 SUMMARY OF THE MAIN FINDINGS

The study showed that setting the vision, mission and values; cultivating an environment of mutual trust; communicating effectively; engaging employees; embracing diversity; creating a safe environment; and promoting employee wellness are important management practices that assist employees to embrace transformational change.

Apart from the predefined management practices derived from the literature review, the interviewees also mentioned that putting transformational enablers in place is an important management practice that assists people in the transformational process.

If management implements and applies the management practices mentioned it may facilitate transformational change, assist employees to embrace the transformational change and, ultimately, may better position the organisation to deliver on their stated transformational goals. The upliftment of previously disadvantaged South Africans in the mining industry may curb poverty, reduce unemployment, and address skills shortages to ensure a productive and skilled South African mining workforce.

6.3 LIMITATIONS OF THE RESEARCH

The research method used was a qualitative case study in the interpretive paradigm. Certain inherent limitations to the methodology used should be noted. The results and findings of the research may be of a subjective nature as interpreted by the researcher, thus the objectivity of the research may be questionable. However, a rigorous process was followed and it is expected that similar findings would have emerged applying the study in different contexts.

The reliance on data collected from a single case site coupled with the fact that a small number of people were interviewed (0.3% of the population), limit the generalisability and the inferences one can make to the population as a whole. Conclusions to the case site population or to a broader population in the mining industry will not be appropriate.

Lastly no theoretical models were used to base the questions in the questionnaire on. Rather than theoretical models, general questions have been formalised based on the overall theory in the literature review. This implies that no pre-tested validated instrument was used, complicating the validity of the study.

6.4 RECOMMENDATIONS

Sustainable transformational change is a challenging and lengthy process. Management has a key role to play in assisting employees to embrace transformational change. In order to facilitate an effective transformational change process it is important that management put into effect the management practices that have been defined and confirmed in this study, namely: setting the vision, mission and values; cultivating an environment of mutual trust; communicating effectively; engaging employees; embracing diversity; creating a safe environment; promoting employee wellness; and putting transformational enablers in place.

It is recommended that other organisations seeking to put interventions in place to ensure the successful achievement of their transformational goals implement the management practices confirmed in this study.

Leaders must be true transformational champions and inspiring others through their passion and enthusiasm by living the values that promote and embrace transformation. Transformation prepares for future generations and establishes a culture that values all people equally.

6.5 SUGGESTIONS FOR FURTHER RESEARCH

The sample represented only 0.3% of the population and is in no way representative of the workforce at the case site. It is therefore suggested that the results of the qualitative research are structured into a quantitative research instrument that can be used to measure the extent to which the findings of this research are represented within the entire workforce.

Also further research is recommended to measure the performance of management against the key management practices identified in this study. The same study can be repeated over time as a comparative study to measure and compare management's performance and determine the impact of interventions put in place to achieve the transformation goals.

This study can also be repeated in other mining organisations or in other industries to compare results for other organisations that want to achieve transformational change goals.

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APPENDIX A

SCORECARD FOR THE BROAD BASED SOCIO-ECONOMIC EMPOWERMENT CHARTER FOR THE SOUTH AFRICAN MINING INDUSTRY

The broad-based socio-economic empowerment charter for the South African mining industry as per the Mining Charter (2002) has the intent to transform the mining industry and deliver on the promise of a non-racial South Africa. Companies are required to put targets and implementation plans in place stretching over a five year and a ten year period in all of the areas indicated on the scorecard. These commitments are documented in the Social and Labour Plan of the organisation that is submitted to the Department of Minerals and Energy (DME) in application for the conversion of the mine's licence to mine. After approval of the targets and plans and awarding of the mining licence, the DME monitors the organisation's performance against set targets on an annual basis. The scorecard is illustrated below:

Table 7: Mining Charter Scorecard

NOTES	DESCRIPTION	5 YEAR TARGET				10 YEAR TARGET
	HUMAN RESOURCE DEVELOPMENT					
1	• Has the company offered every employee the opportunity to be functionally literate and numerate by the year 2005 and are employees being trained?	**Yes**		**No**		
	• Has the company implemented career paths for HDSA employees including skills development plans?	**Yes**		**No**		

NOTES	DESCRIPTION	5 YEAR TARGET				10 YEAR TARGET
2	• Has the company developed systems through which empowerment groups can be mentored?	**Yes**		**No**		
	EMPLOYMENT EQUITY					
	• Has the company published its employment equity plan and reported on its annual progress in meeting that plan?	**Yes**		**No**		
3	• Has the company established a plan to achieve a target for HDSA participation in management of 40% within five years and is implementing the plan?	**Yes**		**No**		
	• Has the company identified a talent pool and is it fast tracking it?	**Yes**		**No**		
4	• Has the company established a plan to achieve the target for women participation in mining of 10% within the five years and is implementing the plan?	**Yes**		**No**		
	MIGRANT LABOUR					
5	• Has the company subscribed to government and industry agreements to ensure non-discrimination against foreign migrant labour?	**Yes**		**No**		
	MINE COMMUNITY AND RURAL DEVELOPMENT					
	• Has the company co-operated in the formulation of integrated development plans and is the company co-operating with government in the implementation of these plans for communities where mining takes place and for major labour sending areas? Has there been effort on the side of the company to engage the local mine community and major labour sending area communities? (Companies will be required to cite	**Yes**		**No**		

NOTES	DESCRIPTION	5 YEAR TARGET				10 YEAR TARGET
	a pattern of consultation, indicate money expenditures and show a plan)					
	HOUSING AND LIVING CONDITIONS					
6	• For company provided housing has the mine, in consultation with stakeholders established measures for improving the standard of housing, including the upgrading of the hostels, conversion of hostels to family units and promoted home ownership options for mine employees? Companies will be required to indicate what they have done to improve housing and show a plan to progress the issue over time and is implementing the plan?	**Yes**		**No**		
7	• For company provided nutrition has the mine established measures for improving the nutrition of mine employees? Companies will be required to indicate what they have done to improve nutrition and show a plan to progress the issue over time and is implementing the plan?	**Yes**		**No**		
	PROCUREMENT					
	• Has the mining company given HDSAs preferred supplier status?	**Yes**		**No**		
	• Has the mining company identified current level of procurement from HDSA companies in terms of capital goods, consumables and services?	**Yes**		**No**		
8	• Has the mining company indicated a commitment to a progression of procurement from HDSA companies over a 3 – 5 year time frame in terms of capital goods, consumables and services and to what extent has the commitment been implemented?	**Yes**		**No**		

NOTES	DESCRIPTION	5 YEAR TARGET				10 YEAR TARGET
	OWNERSHIP & JOINT VENTURES					
9	• Has the mining company achieved HDSA participation in terms of ownership for equity or attributable units of production of 15 percent in HDSA hands within 5-years and 26 percent in 10-years?	**Yes**		**No**		
	BENEFICIATION					
10	• Has the mining company identified its current level of beneficiation?	**Yes**		**No**		
	• Has the mining company established its base line level of beneficiation and indicated the extent that this will have to be grown in order to qualify for an offset?	**Yes**		**No**		
	REPORTING					
	• Has the company reported on an annual basis its progress towards achieving its commitments in its annual report?	**Yes**		**No**		

<u>Notes</u>

1. The commitment of the mining companies is to have offered each employee the opportunity to become functionally literate and numerate. The critical test is if a human resource development system has been established and resourced so that people are being trained.

2. The mentoring of empowerment groups refers to that mining company's HDSA employees and HDSA linked partners at the levels of ownership and procurement. It does not preclude mining companies being involved in mentoring programmes outside of its own operations.

3. The aspirational target for HDSA participation in management is a 5-year target. If companies want to convert to licences within a much shorter time frame, then a phase in approach will be adopted with the companies committing to a 40 percent by the fifth year. The key decision point here is whether the company has established a plan to achieve the target and is implementing the plan.

4. The aspirational target for women participation in mining is a five-year target and the phase in approach will be used. The key decision point here is whether the company has established a plan to achieve the target and is implementing the plan.

5. The commitment of stakeholders to ensure non-discrimination against foreign migrant labour can be approached from the perspective that each company subscribes to industry and government agreements on the matter.

6. In terms of companies establishing measures for improving the standard of housing – the company will be required to indicate what it has done to improve housing and show a plan to progress the issue over time and are implementing the plan.

7. In terms of companies establishing measures for improving the standard of nutrition – the company will be required to indicate what it has done to improve nutrition and show a plan to progress the issue over time and are implementing the plan.

8. In terms of procurement the mining company should commit to an increase of procurement from HDSA companies over the 3-5 year time frame and agree to a monitoring system.

9. The Scorecard represents the 5-year targets and it has been agreed that within 10-years the level of HDSA participation will rise to 26 percent.

10. In terms of beneficiation commitments and the offset option the key issue is to capture the actual beneficiation activities of a company and to convert it to the same unit of measurement of ownership e.g. attributable units of production / or % measure of value as the case may be and offset accordingly. The attributable ounces that are beneficiated above the base state may be offset against HDSA ownership targets. Considering that some 59 different minerals are mined in South Africa – the detailed discussions on the base state for each mineral are ongoing.

APPENDIX B

QUESTIONNAIRE

Name and Surname	
Operation / Location	
Division	
Title	
SLP Applicable	
Stream in SLP	
Job Grade / Band	
Race	
Gender	
Management / Staff	
Date	
Interviewee	

<u>Background to the Study</u>

Transformation is of paramount importance within the South African context. According to the Minerals and Petroleum Resource Development (MPRD) Act (RSA, 2002), mining companies are required to apply for a "New Mining Order Right" licence to mine from the Department of Minerals and Energy (DME). In order for the DME to grant the new mining licence, mining companies need to submit the following:

- **A Mine Works Plan**, which contains technical details regarding production plans in respect to life of mine;

- **A Social Labour Plan (SLP)**, which contains transformation commitments including training and development, Adult Basic Education and Training (ABET), employment equity, procurement, community development, housing, hostel conversion, nutrition, etc. Commitments are based on the areas stipulated in the Mining Charter (RSA, 2002); and

- **An Environmental Plan**, which contains the environmental impact assessment, etc.

The Mining Charter (RSA, 2002) was agreed on by government, organised labour and mining companies in 2002 and contains an agreement for transformation in the mining industry. The Mining Charter's intent is to uplift Historically Disadvantaged South Africans (HDSAs) and deliver on the promise of a non-racial South Africa.

The purpose of the study is to define which management practices assist employees to embrace transformational change; in other words, what management can do to help you to embrace transformational change or what you as management think you should do to help employees to embrace transformational change.

Definition of Transformation

For the purpose of this study, organisational transformation is defined in the terms of the Mining Charter (RSA, 2002:2), which defines organisational transformation as the attempt to redress the results of past discrimination in South Africa based on race, gender or other disability of historically disadvantaged persons in the minerals and petroleum industry, related industries and in the value chain of such industries. The intent is to deliver on the promise of a non-racial South Africa. It will deliver on this promise by transforming the minerals and petroleum and related industries to assist HDSAs to benefit from:

- Ownership participation in existing or future mining, prospecting, exploration and beneficiation operations;

- Participation in or control of management of such operations;

- Development of management, scientific, engineering or other skills;

- Involvement of or participation in the procurement chains of operations;

- Integrated socio-economic development for host communities, major labour sending areas and areas that due to unintended consequences of mining are becoming ghost towns.

<u>Questionnaire</u>

Question	Answer
1. How will the transformational goals impact on you personally?	
2. To what extent are these changes an opportunity or a threat to you? Motivate your answer.	
3. Are you positive, neutral, or negative about the changes? Motivate your answer.	
4. Does management have a role to play to assist you to embrace the transformational goals? / Do you think as management you have a role to play to assist employees to	

Question	Answer				
embrace transformational change?					
5. What can management do to assist you to embrace these changes? / What can you as management do to assist employees to embrace transformational change?					
6. Rank your suggestions in order of importance and assign a weighting to each (out of 100).	Priority		Weighting out of 100		
7. On a scale from 1 – 5, 1 being least important and 5 being most important, to what extent can setting the vision, mission and values be defined as management practices that assist employees to embrace transformational change? Motivate your answer.	1	2	3	4	5
8. On a scale from 1 – 5, 1 being least important and 5 being most important, to what extent can cultivating an environment of mutual trust be defined as management practices that assist employees to embrace transformational change? Motivate your answer.	1	2	3	4	5
9. On a scale from 1 – 5, 1 being least	1	2	3	4	5

<table>
<tr><th>Question</th><th colspan="5">Answer</th></tr>
<tr><td>important and 5 being most important, to what extent can effective communication be defined as management practices that assist employees to embrace transformational change? Motivate your answer.</td><td colspan="5"></td></tr>
<tr><td rowspan="2">10. On a scale from 1 – 5, 1 being least important and 5 being most important, to what extent can engaging employees in the change process (i.e. involving employees in the decision making and implementation of change) be defined as management practices that assist employees to embrace transformational change? Motivate your answer.</td><td>1</td><td>2</td><td>3</td><td>4</td><td>5</td></tr>
<tr><td colspan="5"></td></tr>
<tr><td rowspan="2">11. On a scale from 1 – 5, 1 being least important and 5 being most important, to what extent can embracing diversity be defined as a management practice that assists employees to embrace transformational change? Motivate your answer.</td><td>1</td><td>2</td><td>3</td><td>4</td><td>5</td></tr>
<tr><td colspan="5"></td></tr>
</table>

Question	Answer				
12. On a scale from 1 – 5, 1 being least important and 5 being most important, to what extent can creating a safe work environment and promoting employee wellness be defined as management practices that assist employees to embrace transformational change? Motivate your answer.	1	2	3	4	5
13. On a scale from 1 – 5, 1 being least important and 5 being most important, rate any other suggestion indicated. Motivate your answer.	1	2	3	4	5

Thank you for your participation!!

APPENDIX C

CONSISTENCY MATRIX

The consistency matrix for this research is shown on the next page.

Table 8: Consistency Matrix

The purpose of the study was to define which management practices assist employees to embrace transformational change				
Research Question 1	Source of Theory	**Source of Data**	**Type of Data**	**Analysis**
To what extent can setting the vision, mission and values and cultivating an environment of mutual trust be defined as management practices that assist employees to embrace transformational change?	Miles (2001), Rosenthal and Masarech (2003), Sagie and Koslowsky (1994), Burke and Leiter (in press), Whitener et al. (1998), Bennett (2001), Andrews (1994), Khan (1997), Cashman (1998), Fiorelli and Morgolis (1993), Lane and Bachman (1998)	What can management do to help you to embrace the transformational change that is posed by the Mining Charter? To what extent can setting the vision, mission and values and cultivating an environment of mutual trust be defined as management practices that assist employees to embrace transformational change?	The data was open-ended questions gathered by using in-depth questionnaires during the questioning process. Data was also collected by observations made by the researcher and studying appropriate, relevant organisational documentation.	The transcripts from the 25 individual questionnaires were collated and assessed. Common employee perceptions / beliefs / experiences in management's role of setting the vision, instilling the values, and cultivating an environment of mutual trust in transformational change were defined. Transcripts were coded to extract employees' perceptions / beliefs / experiences around which management practices assist people to embrace transformational change.

The purpose of the study was to define which management practices assist employees to embrace transformational change				
Research Question 2	**Source of Theory**	**Source of Data**	**Type of Data**	**Analysis**
To what extent can effective communication and the engagement of employees in the change process be defined as management practices that assist employees to embrace transformational change?	Leiter and Harvie (1998), D'Aprix and Greenbaum (1997), Bennett (2001), McKenzie (2007), DiFonzo and Bordia (1998), Bordia et al. (2004), Hargie and Tourish (2000), Ashford (1988), Buono and Bowditch (1993), Schweiger and Denisi (1991), Cherniss (1980), Lee and Ashford (1996), Burke and Leiter (in press), Sagie and Koslosky (1994), Miles (2001)	To what extent can effective communication and engaging employees in the change process be defined as management practices that assist employees to embrace transformational change?	The data was open-ended questions gathered by using in-depth questionnaires during the questioning process. Data was also collected by observations made by the researcher and studying appropriate, relevant organisational documentation.	The transcripts from the 25 individual questionnaires were collated and assessed. Common employee perceptions / beliefs / experiences in management's role of effective communication and engaging employees in the change process were defined. Transcripts were coded to extract employees' perceptions / beliefs / experiences around which management practices assist people to embrace transformational change.

The purpose of the study was to define which management practices assist employees to embrace transformational change				
Research Question 3	**Source of Theory**	**Source of Data**	**Type of Data**	**Analysis**
To what extent can embracing diversity be defined as a management practice that assists employees to embrace transformational change	Robbinson and Griffiths (2005), Kersten, (2000), Ples and Maake (2004), Mavin and Girling (2000), Jamieson and O'Mara (1991), Robinson and Dechant (1997), Thibaut and Walker, (1975), Jewson and Mason (1986), Foster and Harris (2005), Pollit (2005), Rynes and Cable (2003), Cox (2001), McGrath et al. (1996), Thomas and Ely (1996)	To what extent can embracing diversity be defined as a management practice that assists employees to embrace transformational change?	The data was open-ended questions gathered by using in-depth questionnaires during the questioning process. Data was also collected by observations made by the researcher and studying appropriate, relevant organisational documentation.	The transcripts from the 25 individual questionnaires were collated and assessed. Common employee perceptions / beliefs / experiences in management's role of embracing diversity were defined. Transcripts were coded to extract employees' perceptions / beliefs / experiences around which management practices assist people to embrace transformational change.

The purpose of the study was to define which management practices assist employees to embrace transformational change				
Research Question 4	**Source of Theory**	**Source of Data**	**Type of Data**	**Analysis**
To what extent can creating a safe work environment and promoting employee wellness be defined as management practices that assist employees to embrace transformational change?	Callan (1993), Nadler (1982), Kanter (1983), Mirvis (1985), Olson and Tetrick (1988), Wolfe et al. (1994), Cherrington (1989), O'Donnell and Ainsworth (1984), Dilley and Kleiner (1996), Cooper (2000), Donald (1998), Dewe and O'Driscoll (2001), Earnest (2000)	To what extent can creating a safe work environment and promoting employee wellness be defined as management practices that assist employees to embrace transformational change?	The data was open-ended questions gathered by using in-depth questionnaires during the questioning process. Data was also collected by observations made by the researcher and studying appropriate, relevant organisational documentation.	The transcripts from the 25 individual questionnaires were collated and assessed. Common employee perceptions / beliefs / experiences in management's role of safe work environment and promoting employee wellness were defined. Transcripts were coded to extract employees' perceptions / beliefs / experiences around which management practices assist people to embrace transformational change.