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CHANGE MANAGEMENT FOR IMPROVING PLANNING IN INFRASTRUCTURE DELIVERY IN THE KWAZULU-NATAL DEPARTMENT OF HEALTH

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A research report submitted to the Faculty of Commerce, Law and Management, University of the Witwatersrand, in partial fulfilment of the requirements for the degree of Masters of Management (in the field of Public and Development Management)

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ABSTRACT

The purpose of the study was to investigate how change management improved planning for infrastructure and compliance with policy requirements in KZN DOH. Infrastructure plays a critical role in the roll out of service delivery.

This was an exploratory study in which in-depth interviews were conducted with officials and consultants. This study found that, resistance to change was experienced at all levels. Stakeholder forums were established to address resistance to change. Regular communication was maintained. Leadership reinforced rules for infrastructure planning. Change management improved infrastructure planning. Planning is integrated and coordinated between various Directorates and no projects are undertaken outside the agreed plans.

The study recommends that commitment and 'buy-in' of senior management must be displayed early and throughout the process. Stakeholder forums created must be maintained. The tools for infrastructure planning must be adopted formally into the department. Ongoing training must be provided for new and existing staff.

DECLARATION

I declare that this research report is my unaided work. It is submitted in partial fulfilment of the requirements of the degree of Master of Management in the field of Public and Development Management at the University of Witwatersrand, Johannesburg. It has not been submitted before for any degree or examination in any other university.

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Sipho Martin Dayel

Date: 31 March 2011

DEDICATION

I wish to dedicate this research report to my wife Mamateketwa, my children Mbali and Luvuyo, my two mothers Sisi Thandi and Mojaki and my aunt Essie for their inspiration, encouragement, support and patience.

ACKNOWLEDGEMENTS

I wish to thank Dr Zandamela for his extensive guidance through the research design, literature review and report writing. I also wish to thank the interviewees for the openness and sharing, without their cooperation this study would not have been possible. I trust that this report will be useful in the design and implementation of change management processes that are introduced in the public sector.

Finally I wish to thank my extended family members, colleagues especially David Ceruti and friends for their unwavering support.

LIST OF ACRONYMS

APP	Annual Performance Plans
Asgisa	Accelerated Shared Growth Initiative of South Africa
CIDB	Construction Industry Development Board Act (Act No. 38 of 2000)
COO	Chief Operating Officer
DOH	Department of Health
DOPW	Department of Public Works
DORA	Division of Revenue Act (Act No. 2 of 2008)
GIAMA	Government Immovable Asset Management Act (Act No. 19 of 2007)
GM	General Manager
HOD	Head of Department
HR	Human Resources
IDIP	Infrastructure Delivery Improvement Programme
IDM	Infrastructure Delivery Model
IP	Infrastructure Plan
IPIP	Infrastructure Programme Implementation Plan
IPMP	Infrastructure Programme Management Plan
IRM	infrastructure Report Model
KZN	KwaZulu-Natal
MTEF	Medium Term Expenditure Framework
NHA	National Health Act (Act No. 61 of 2003)
OTP	Office of the Premier
PGDS	Provincial Growth and Development Strategy
PFMA	Public Finance Management Act (Act No.19 of 1999)
PHCF	Primary Health Care Facility
PPSC	Provincial Programme Steering Committee

PT	Provincial Treasury
PTAT	Provincial Technical Assistants Team
SCM	Supply Chain Management
SLA	Service Level Agreement
SOW	Scope of work
TA	Technical Assistant
TMC	Technical Management Committee

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CHAPTER ONE

INTRODUCTION

1.1 Introduction

This study is based on exploratory research aimed at identifying and documenting a model of change management within a programme designed to improve planning for accelerating infrastructure delivery. In this research report, the researcher interprets change management in the context of creating an environment for consistent application of planning tools for the purpose of accelerating infrastructure delivery as the bedrock for improving service delivery.

Since 1994 the government of the Republic of South Africa has been promoting improvement of service delivery. The Infrastructure Delivery Improvement Programme (IDIP) was initiated in 2002 following a review by National Treasury of the delays in the implementation of capital investment in infrastructure projects in the provinces. In KwaZulu-Natal the programme was implemented in the Departments of Education, Health and Public Works. For the purpose of this study, the research was conducted in the KwaZulu-Natal Department of Health (KZN DOH).

The study focuses on the lessons learnt in the implementation of change management process in order to address resistance to change, manage stakeholders through regular communication and improve compliance with the planning procedures that are required by policy and legislation.

Large portions of budgets have been set aside for the delivery of infrastructure, but in most cases delays have occurred, thus damaging the goal of improving service delivery. The role of an IDIP is to ensure that there is coherent and consistent development and application of planning tools and systems for the roll out of infrastructure in KZN DOH (Boere, 2006:6).

The programme deployed consultants with built environment background who were responsible for building the capacity of officials to develop and manage planning tools and systems geared towards improving infrastructure delivery. In addition, a change management expert formed part of the team and her role was to identify and address factors that may have caused resistance to change. In this programme, change management played a fundamental role of identifying and unblocking bottlenecks that were associated with poor infrastructure planning and delivery. The lack of appropriate infrastructure planning limits service delivery because it delays the development of sufficient health facilities, such as clinics and hospitals. The implication of this is that overall delivery of health care will be compromised, resulting in more people being sick and consequent escalation in costs for further clinical management and increased strain on already limited human resources.

After this introduction, the next section provides the background of the study, followed by the problem statement and research questions. The next chapters address literature review; research methodology; presentation and analysis of findings; and conclusion and recommendations. At the end references are listed and the questionnaire is attached.

1.2. Background

1.2.1 Infrastructure Delivery

The first part of the background highlights the key issues that triggered the establishment of the IDIP. It gives an overview of policy and legislative imperatives and challenges encountered by KZNDOH. The second part provides a brief background on the mandate of the Department of Health.

1.2.1.1 Policies and legislation

The Government of South Africa has formulated policies to promote economic growth, such as the Accelerated Shared Government Initiative of South Africa (Asgisa) and the Provincial Growth and Development Strategies (PDGS) which also elaborate on the role played by effective service delivery. Legislation that relates to the construction of capital assets and maintenance thereof, as well as, more generally, the development of the construction industry, includes the Construction Industry Development Board Act (Act 38 of 2000) (CIDB) and the Government Immovable Asset Management Act (Act 19 of 2007) (GIAMA). As for the concomitant issues of finance and accountability, the two primary acts governing this arena are the Public Finance Management Act (Act 29 of 1999) as well as the annually updated Division of Revenue Act. These policies require service delivery departments such as Health, Education and Housing to comply in terms of requesting and reporting on the use of public funds.

Health infrastructure delivery in KwaZulu-Natal has been plagued by poor planning, tedious processes with lengthy approval periods by the Department of Public Works for projects that are required by the

Department of Health. The Department of Public Works is the preferred Principal Implementing Agent for the construction and maintenance of health infrastructure such as provincial hospitals, district hospitals and Primary Health Care Facilities (PHCF).

There are various policy requirements that each department must comply with in order to receive funding and delivery support from the Principal Implementing Agent. These include the Medium Term Expenditure Framework (MTEF), Annual Performance Plans (APP) and Infrastructure Programme Plans (IPP). The MTEF is a three year planning and budgeting process that seeks to promote long term forecast at national and provincial levels of government departments. The programme obtains ring-fenced funding from National Treasury for key projects to service construction of new building and to maintain existing infrastructure (Boere, 2006:7).

One of the key challenges faced in the delivery of Health infrastructure is the lack of a proper budgeting system and process for construction projects. This is also compounded by inadequate needs assessment and strategic planning (Boere, 2006:4).

1.2.1.2 Socio-economic

Although the KZN DOH has provided for infrastructure in its budgets, backlogs have remained in the Department. According to the Honourable MEC for Health, Ms Nkonyeni, by 2005 this had resulted in a total backlog of R5,1 billion in health infrastructure over the preceding ten years.

Given this backlog, and a consideration of the issues highlighted above, the health infrastructure delivery process requires an innovative

approach in specific areas. According to Boere (2006:6), such an approach requires support that seeks to improve communication between the Department of Health and Department of Public Works, reduce complexity in the multiple steps in the health infrastructure delivery process, identify areas of constrained capacity, develop innovative solutions to overcome staffing deficiencies and increase delegation authority in line with required standards.

1.2.1.3 Capacity to implement policy

The KZN DOH has been challenged by the capacity constraints in key positions for planning adequately for infrastructure in terms of setting realistic targets for achievement in the MTEF.

The case study documented by the Technical Assistants revealed that up to 70% of the positions related to infrastructure planning were vacant (Gcaba, 2008:2). The aim of IDIP was to launch change management initiatives that conducted continuous assessments of organisation and human capacity, and implement strategies for institutional development and capacity building.

Much work needed to be done in order to understand where change management has yielded results, particularly within the public sector.

1.2.1.4 Political mandate for the Department of Health Department

The Mandate of the Department of Health and all the Health Provincial Departments are taken from three sections of the Constitution of the Republic South Africa (Act No108 of 1996). These sections provide for access to health care services, including reproductive health and emergency services; basic health care for children, and medical services for detained persons and prisoners.

The National Health Act (Act No 61 of 2003) states the following:

- Universal access is provided for in section 27(1)(a) which states that "Everyone has the right to have access to health care services, including reproductive health care..."
- Section 27(1)(b) provides for the State to "take reasonable legislative and other measures, within its available resources to achieve the progressive realisation of the rights of the citizens"
- Section 27(3) states that no one can be denied emergency medical treatment.
- Section 28(1) (c) which provides for "basic health care services" for children, while section 35(2)(e) provides for "adequate medical treatment" for detainees and prisoners at the State's expense.

From the descriptions above, it is clear that in order for the DOH to provide access to health care as part of fulfilling its political mandate, infrastructure plays a pivotal role.

Therefore it is notable that there was a need to investigate how policy requirements could be met consistently within KZN DOH so that infrastructure delivery could be improved. The infrastructure backlogs are one of the main constraints that restrict the KZN DOH from fulfilling its mandate for delivering health services to the people of the province.

Therefore, change management is a process which seeks to enable the KZN DOH to comply with the requirements for planning and budgeting so that service delivery can be enhanced.

1.2.2 Planning and budgeting

1.2.2.1 Defining Planning Programming and Budgeting System (PPBS)

"The PPBS system is a rational decision making technique which may be used to make more systematic decisions, given a set of objectives and the information at hand. PPBS emphasize the long term benefits and costs of programmes rather than the short term. PPBS is composed of Program Budgeting and system analysis, which typically involve cost/benefit studies. Program budgeting basically places into common categories all activities necessary to accomplish some broad end or program. Program Budgeting does contrast with the Line Item Budget which aggregates similar activities into common categories, without regard to the programs or goals to which they contribute….PPBS is only a tool for budget forecasting and programming. The tool never makes decisions, humans do." (Golembiewski and Ravin, 1997: 479).

1.3 Problem statement

a) Problem

The challenge in poor planning for infrastructure delivery is compounded by resistance from some public service officials to comply with policy requirements governing planning, programming and budgeting. Boere argues that there are too many steps in this process leading to long delays (2006:9).

b) Knowledge gap

Prior to the implementation of IDIP, there was lack of knowledge management in the KZN DOH, thus compromising compliance

with procedures that have been prescribed by business planning and delivery procedures (Boere, 2006:12).

Often officials operate in silos and there is minimal coordination and communication between the Department of Health and the Department of Public Works (Hofmeyer, 2005:10). The latter is responsible for providing technical support in the establishment and maintenance of government infrastructure. Boere argued that IDIP was well positioned to provide such support which should take the form of deploying best practice systems and processes (2006:4).

Although research has been undertaken in KZN DOH on topics such as quality of care and health service delivery and generally on poor planning and budgeting, there is a gap in knowledge on how change management has improved planning for infrastructure delivery.

c) Context

This study focuses on change management in as an integral part of infrastructure delivery improvement implemented in KZN DOH since 2006 to date.

d) Specific need for research

Despite the existence of ambitious policies since 1994, the actual delivery infrastructure remains a major concern. This situation is exacerbated by the lack of planning and adherence to policy requirements that govern the requests and accountability for public funds (Hofmeyer, 2005:9).

As a consequence there is no alignment between infrastructure planning and budgeting cycle. The risk associated with the practice of money dumping is that the contracts may be awarded to contractors who may not deliver infrastructure in line with construction standards (Pillay and Zimmerman, 2004:2).

This overall situation is so complex that it requires particular research on how change management influences behaviour change with regard to planning and budgeting for infrastructure.

1.4 Purpose of the study

a) Purpose

The purpose of the research is to investigate how change management has improved planning processes for accelerating infrastructure delivery in KZN DOH.

b) Remedy for knowledge gap

The research addresses the knowledge gap by gaining a better understanding on the following matters:

i. This study identifies change management drivers, processes and techniques that are suitable for improving compliance with policy and legislative requirements in the public sector.
ii. This study provides useful insights on how change management has enhanced planning for infrastructure delivery.

c) The Goal

The broad goal for this research is to investigate through an exploratory study whether change management has improved

planning processes in KZN DOH in order to accelerate infrastructure delivery.

It is anticipated that the findings can be used to make recommendations for improvement in other planning initiatives in other departments and provinces. Without this research, provincial departments are likely to be less compliant with policy and legislation requirements. Inefficiency in public expenditure will be exacerbated and service delivery will be compromised by infrastructure backlogs.

1.5 Research questions

The research will investigate and document good practice strategies for promoting paradigm shifts in fast-tracking infrastructure delivery to achieve the targets set by the Millennium Development Goals as well as by the national policy. The research will endeavour to answer the following questions:

1. How has Infrastructure Development Improvement Programme improved compliance with policy requirements for infrastructure planning in KZN DOH?
2. How has resistance to change been managed in the Department of Health
3. How has change management been instituted in the Department of Health?
4. How has leadership stimulated better planning for infrastructure delivery?
5. How have other factors been managed for enhancing change management?

1.6 Significance of research

A review of existing research material reveals that there is a lack of organisational change theory literature, as it relates to the public sector in developing countries (Ngoma, 2004:16). The documentation of the success of change management within IDIP in KZN has been limited to progress reports. The reports have been generated by the consultant who has been implementing the change management process. It is important that the process is reviewed by an objective person who will take success factors and limitations of the programme into account. The progress reports have indicated that the Provincial Technical Assistance Team (PTAT) has developed very good working relationships at a strategic level between provincial Treasury and provincial Health. The PTAT has recognised the importance of engaging with senior management among provincial departments in order to address key issues, risk areas and to determine mitigating actions. In order to replicate the success from KwaZulu-Natal it is necessary to identify key success related to communication, leadership, inter- and intra-team cooperation, knowledge sharing and lesson learning.

1.7 Structure of the research report

The research report is structured in accordance with the following chapters:

Chapter 1: Introduction and background.

This chapter covers the overview and purpose of the study, the description of the programme, the context of the province and the KZN DOH. In addition, the chapter describes the definition of change management and planning, programming and budget systems.

Chapter 2: Literature review.

This chapter discusses the concept of change management, resistance to change, processing of change management, organisational development, the leadership and managers' roles, the environment and commitment, culture, and conversation and communication.

Chapter 3: Methodology.

This chapter describes the research approach and design, defines the sampling method used and background of respondents. Further the chapter outlines how data entry and analysis was conducted. The chapter concludes with limitations and ethical considerations for the study.

Chapter 4: Presentation of findings and analysis.

This chapter highlights themes emerging from the interviews and literature review. The two are contrasted to provide in-depth understanding on process, challenges and success that was observed in implementing change management in KZND DOH.

Chapter 5: Conclusion and recommendations.

This chapter draws a summary of key findings. Further the chapter tables key recommendations for consideration in designing and/or implementing similar programmes in future and for further research.

The next chapter discusses literature review on change management and provides insights on theories, processes and lessons learnt in the private sector that can be modified for replication in the public sector.

CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction

Very limited research has been conducted on change management in the public sector. The literature review below discusses theories related to the change management extrapolated largely from private sector experiences. This literature review focuses on the definition and concept of change management, resistance to change management, processes for managing change, the role of leadership, the environment and commitment, culture, as well as communication.

For the purpose of this research, there are three factors that will be discussed extensively. Firstly, change occurs with human beings hence the resistance to change (Conner, 1993:286). Secondly, the process plays a pivotal role if change has to be successful (Anderson, 2001:135). Thirdly, in order for people to change it is imperative that managers begin to exercise their leadership (Kotter, 1995:60).

2.2 The definition and concept of change management

Change management can be defined as a systematic approach to dealing with change, both from the perspective of an external and impersonal level (environment, market, organisations) and on the internal and personal level (culture and people) (Anderson and Ackerman Anderson 2001:16).

Lewin (1890-1947) defined change as a process of *unfreezing* the current state through *change* characterised by confrontation and

alteration of the status quo to *freezing* of the new status until it is no longer desired. He maintained that the desired state when reached is frozen and holds in a state of equilibrium (Boonstra, 2004:33-35).

Change management has a bearing on the behaviour of both individuals and organisations. Anderson (2001) quotes Webster's definition of behaviour as:

> 'the manner of conducting oneself; the way in which something behaves. He argues that behaviour is not necessarily the action you do, but the tone and quality you place into action. Behaviour is the bridge between the inner world of your thoughts and emotions and the outer world of your actions and results'.

This definition clearly suggests that behaviour is an outward manifestation of inner perception (Anderson, 2001:80-82).

According to Anderson (2001:80), one's mindset represents one's worldview, the place or orientation from your experience of reality, around which you form perceptions. When addressing change, it is important to begin with the matters that occupy the mindset of the people with whom change is intended and this mindset change has to begin with individuals who must be encouraged to define their stumbling blocks so that these can be addressed.

In Nel, Werner, Hassbroek, Poisat, Sono and Schultz (2008:526), Senge (1990:5-9) mentions five new 'components technologies' of the learning organisations namely, systems thinking, personal mastery, mental models, shared vision and team learning. Nel, *et al.,* stress that a

learning organisation continuously expands its capacity to create its future; it renews itself to overcome organisational atrophy.

Change can be initiated voluntarily as a result of vision, or circumstances can force the organisation to undertake change (Burnes, 1997:755).

Although change has been experienced over centuries and what is fundamental about change in this era is the magnitude and Conner argues that the volume, momentum and complexity of change is accelerated at an increasing rate (Conner, 1993:38).

Too much change can lead to chaos whilst too little change can lead to stagnation (Nel, *et al.,*2008:528). Conner (1993:39) identifies seven fundamental issues that seem to be contributing to the increase in magnitude namely, faster communication and knowledge acquisition, a growing worldwide population, increasing interdependence and competition, limited resources, diversifying political and religious ideologies, constant transitions of power and ecological distress.

Change management process must be lead in an organisation. Leaders must be able to comprehend the entire breadth of today's drives for change, respond to each of them appropriately not for immediate future but for the organisation's future success (Anderson, 2001:16).

The researcher interprets change management processes as a promotion of the sustainability of the organisation, as failure to change may lead to stagnation and eventual demise.

More often than not, there is always a group that resists change and will either vocally express its opposition or will pretend to embrace change and find means to hamper and undermine the process (Nel, *et al.,* 2008:531-532). Resistance to change is discussed in the next section.

2.3 Resistance to change

Organisation theorists and management have recognised the resistance to change through traditional bureaucratic forms restrict change management (Rainey, 2003:367). Watson (1969) defined resistance as all the forces that contribute to stability in personality or in social systems. Resistance to change manifests itself in different ways (Boonstra, 2004:320). Behind the scenes resistance usually implies low trust and inadequate participation and many times, these feelings take form of clandestine unrest – from indirect complaining to outright sabotage (Conner, 1993:128). In most cases people resist change because they perceive change to be unnecessary, time consuming, costly and demanding and threatening (Rainey, 2003:367). People perceive change as a threat to their self interest (Nel, *et al.,* 2008:531). Some of the reasons for resisting change have been listed by Stone (2003:576) in Nel *et al.,*(2008: 532):

a. Fear of the unknown – not understanding what is happening and why.
b. Disrupted habits – feeling upset when old ways of doing things cannot be followed.
c. Loss of confidence – feeling incapable of performing well under the new way of doing things.
d. Loss of control – feeling that things are being done 'to' them rather than 'by' them or 'with' them.

e. Poor timing – feeling inadequate or humiliated because the 'old' ways are no longer perceived as 'good' ways.
f. Lack of purpose – not seeing a reason for the change or not understanding its benefits.
g. Economic loss – feeling their pay and benefits may be reduced or that they may loose their jobs.

These factors of resistance can be experienced at an organisational or individual level.

Myths and assumptions about change are based mostly on fears and prejudice than fact, for an example that bureaucracies cannot really be changed (Conner, 1993:7). Resistance to change by employees is orchestrated to discredit, delay, or prevent the implementation of change (Newstrom, 1997:403).

Sometimes people may chose to stay in familiar situations that they know are not working rather than face the ambiguity of the unknown (Conner, 1993: 89). Prior to any change management interventions can take place, organisation members who are to adopt new attitudes and behaviour must be dissatisfied with the status quo (Beer, 1988:1). The feelings of insecurity, limited social interaction, risks to status, incompetence and threatened self esteem experienced or perceived by employees triggers resistance to change (Newstrom, 1997:403).

In Nel, *et al.,* (2008:531), Swanepoel (2003:736-737) cautions that if change has been instituted a number of times in an organisation, more care should be taken to design a gradual, non-threatening, participative implementation for future changes. The fear for change can be exacerbated by the lack of trust in management and lack of faith in the change agent (Nel, *et al.*, 2008:532). In support of this

notion, people view change as negative when they are unable to foresee it when they dislike the implications and feel unprepared for the effects (Conner, 1993:70).

When leaders behave different to the messages they utter, team members can resist change and this on its own can breed distrust and dissention, widen resistance and undermine all efforts of building employee commitment towards the transformation (Anderson, 2001:97).

Boonstra (2004:321-322) states that another factor for resistance is the exclusion of stakeholders in the process. In addition, the top down approach tends to exclude critical stakeholders and this culminates in resistance to change. Black holes exits throughout all bureaucracies and has been found to be prevalent in all types of organisations especially in the United States of America (Conner, 1993:120).

Contrary, Bennebroek and Gravenhorst (2002) concluded from six in-depth case studies that neither middle managers nor staff employees resisted change and the only concern was the top down approach and selective consultations (Boonstra, 2004:322). Arguably, resistance can bring some positive outcomes as it encourages managers to reassess its change proposals (Newstrom, 1997:406). Consequently, resistance accompanies any major change whether it is self-initiated or presented by others and has no bearing on how the event was originally perceived be it positively or negatively (Conner, 1993:126).

Change and resistance seem to go hand in hand: change implies resistance and resistance means change is taking place (Boonstra, 2004:321). Until people can see a personal connection between their

own behaviour and resolution of the organisation or macro issue, the problem will be perceived as an intellectual one than personally relevant (Conner, 1993:80).

Often the problems if implementing change are discussed extensively as if 'resistance to change' is the main concern (Carnall, 1995:141). Winners know that resistance is inevitable and rather than fight it, they encourage it (Conner, 1993:129). The next section discusses how change management can be processed to address challenges including resistance to change.

2.4 Models and processes of change management

2.4.1 Models of change management

Nickols (2004:1) stated that first and foremost change refers to 'the task of managing change' and he characterised this in two aspects. Firstly this entails managing change in a planned and managed or systematic fashion. Secondly this is regarded as "the response to changes over which the organisation exercises little or no control" (Nickols, 2004:1).

Burnes (1997:753-755) subscribes to a choice model for managing change which he maintains is premised on the following three processes:

a. Choice - in this case the organisation voluntarily makes a decision regarding change.
b. Trajectory – this process comprises of an organisation's past actions and future direction. This is also viewed as an outcome of

the organisations' efforts in defining its vision, strategy and past changes.

c. Change – this process covers an organisation's approaches to mechanisms for achieving and experience of change especially in terms of objectives, planning and people.

Admittedly Burnes concedes that all three models are extensively influenced by the organisations history and perceived future plans. Most significantly this model sheds light on the debate on whether organisational change emanates strategy or vice versa. Burnes model resolves that both are part of the same iterative process.

Nel, *et al*., (2008:529) also explains the forms of change that are described by Stone (2005:589) as follows:

- **Planned change** – This occurs when results from a deliberate decision to alter the organisation. An organisation may wish to change structure or systems and thus engage in a carefully constructed or orchestrated approach to alter the structure or functions of the organisation.
- **Unplanned change** – Alterations may occur as a result of imposed conditions. Such may be unforeseen. Unplanned change may be precipitated by factors beyond an organisation's control such as natural disasters. Government regulations and economic conditions may lead to abrupt and unexpected changes for organisations.

Regardless of whether change is planned or imposed, change must be managed as it can be disruptive or constructive (Nel, *et al.,* 2008:530).

According to Nel, *et al*., planned change has three scopes:

a. Incremental change – this is change of a relatively small scope such as minor adjustments to work procedure.
b. Strategic change – this is change of a larger scale such as restructuring of an organisation. In strategic change, the organisation moves from an old to an unknown new state during a controlled period of time. This often requires a series of transactional steps.
c. Transformational change – this is the most massive and radical scope of change. This reshapes the organisations mission, culture, goals, structure and leadership.

The type of change will vary from organisation to organisation and will be determined by the need for change management.

Before any change is effected a thorough analysis of problems is necessary which will also take into account and strengths and weaknesses of the organisation (Boonstra, 2004:209). Similarly other authors such as Nel, *et al.,* reiterate this point by stating that there are four steps that must be followed when processing change namely, determining the need for change, what the obstacles are for change, how to implement change, and the evaluation of change (Nel, *et al.,* 2008:528).

Organisations go through at least four types of change (Rainey, 2003:368) namely:

a. Technology – the type of technology and equipment used for production is largely driven by the evolution and advancement of design of tools used for production purposes.

b. Administrative – systems for rewarding performance have migrated with time and have been aligned with staff retention strategies.
c. Products and services – typically state departments are wrestling with the provision of services in order to meet the needs of their constituencies.
d. Human resources – training and development of staff has been heightened with the view of developing better leadership and human relations practices and upgrading of employee skills.

Typically an organisation can identify one or more of the mentioned areas for change. This may be undertaken simultaneously or sequentially.

2.4.2 Processes for managing change

There are various schools of thought in initiating change in a successful manner within an organisation. Nevertheless, organisations have options of selecting a specific approach and magnitude of change management (Burnes, 1997:753). For an example, the 7-S model takes into account a collective approach ranging from strategy, structure, systems, staffing, skills, style and shared values (Bradach, 1996:2-9). This approach encourages the entire organisation to reflect on what should be changed, how change should be embedded in the internal structure, and the values that must be emulated.

Lewis (2008) concurs as he states that in order to reduce complexity and enhance efficiency in how the organisation operates, it is important for the change management process to begin by establishing the nature of the problem, gather data about the problem, agree what change is required and how it will be measured, discuss the

success criteria, decide what to do, draw up an implementation plan, and communicate the plan (Lewis, 2008:19-20). A model first developed by Kurt Lewin in 1958 classified the change process into three phases: the present state, the transition state, and the desired state (Conner, 1993:87). Organisational change is not instantaneous (Beer, 1998:3).

Once the key areas have been identified organisations must determine the type of change it will undertake. Whinney (1997:84) outlined four modes of change namely analytic, evaluative, assertive and emergent and he defines these as follows:

a. **Analytic change** is achieved by imposing policies that have been developed by testing an idea against empirical data.
b. **Evaluative change** is achieved by developing evaluations and rankings among empirically identified alternatives.
c. **Assertive change** is achieved by leadership of either a charismatic, personal expression or an agent of authority.
d. **Emergent change** is achieved through creating and accepting a new idea that may have originated with an idea leader or emerged from the involved group.

In all the above mentioned types of change, the common thread is the role of the leader which is elaborated in a section below. All change management processes must be championed by a leader who must have a firm grasp of the issues and advance ideas for enhancing change.

Swieringa and Wierdsma (1992) have identified three levels of change as the level of rules, insights and principles (Boonstra, 2004:236). Two prerequisites for successful organisational change exist and these are

pain which is described as the critical mass of information that justifies breaking from status quo and remedy which is described as the desirable, accessible actions that would solve the problem or take advantage of the opportunity afforded by the current situation (Conner, 1993:97). Nel, *et al.,* argues that change can be planned or unplanned (2008:503).

There are categories of change, described as no change; sporadic, incremental change; and continuous, overlapping change (Conner, 1993:44). Boonstra's perspective is that problems with change should be sought more in how the change process is approached than in the existing organisational context (2004:4).

For enhancing resilience, Conner alludes to a structure that is characterised by resistance, commitment, culture, synergy, nature, process and roles (Conner, 1993:67).

One of the reasons why change programmes fail is because too much focus is directed on organisational and psychological aspects and less attention is paid to the change process itself (Boonstra, 2004:1).

The risks to successful implementation can be compounded by the lack of allocation or clarity of roles (Conner, 1993:117). Therefore, for this process to be successful there is a need for Change Leaders to be appointed from within the organisation. The roles of the Change Leaders are to communicate, listen, decide and act (Anderson, 2001:185). Professionals often suddenly behave like typical wage-labourers who leave problems at the door of the manager (Boonstra, 2004:201). The ability to successfully manage change has become one of the most important skills needed for personal happiness, prosperity of

organisations and the health of the planet (Conner, 1993:45). Change agents will have to be aware of power relations and take this into account when assigning roles in the change process (Boonstra, 2004:212).

Banker and Alban 1992 maintain that large scale interventions rely less on being senior management driven and more on mixed model of being driven by both senior management and the organisation and less on consultant centred and more participants focuses (Boonstra, 2004:185). Change creates anxiety, uncertainty and stress, even for those managing change, and even if they are fully committed to change (Carnall, 1995:142). At the beginning of a change process almost everyone openly criticises change however, in due course innovators and opponents become identifiable and eventually the innovators dominate as opponents retreat to latent resistance (Boonstra, 2004:320).

There is practice in change management processes which may limit the cooperation from the workers. This approach may also instil a sense that there is no challenge with management and therefore no change management interventions may be required at that level (Lewis, 2008:19). In a learning organisation, the involvement of staff members is paramount regardless of their positions (Boonstra, 2004:288). In such processes people are given an opportunity to highlight challenges and take part in the design of solutions. This involvement also affords them an opportunity of reshaping a new culture.

The participation of employees is vital in stimulating interest, encouraging their inputs, promoting ownership and securing commitment (Newtsrom, 1997:413). Participative management is both

a philosophy and a method for managing human resources in an environment in which employees are respected and their contributions valued and utilised however participative management must not be confused with consensus management (Conner, 1993:198). Often managers do not stay in the same positions long enough to learn sufficiently about change (Boonstra, 2004:109).

Coping with the process of change places demands on the individuals involved; various issues need to be faced by these individuals or by their managers (Carnall, 1995:148). People live and work within organisational structures that function as task environment for them and these exist within the extended social field. Motivation involves perception, learning, memory, inference, meaning and all other psychological processes (Boonstra, 2004:52).

Control of information, agenda and access are all important political resources (Carnall, 1995:128). As a result of the distribution of power and competencies in these settings, by definition an arena is created where differences of opinion arise and this results in tensions that are unavoidable and which the change agents need to be aware of (Boonstra, 2004:203).

Winners keep firmly in mind Murphy's dictum that if something can go wrong it will and determine that updating the company's existing technology carries a price tag greater than its worth (Conner, 1993:91).

Normally change management processes in the public sector are orchestrated under terms such as transformation, reinvention and reengineering. All these refer to large scale planned change in organisations (Rainey, 2003:377). Frederick Taylor's blueprint for how an

organisation should be successfully managed is based on the understanding that the organisation is a massive machine (Lewis, 2008:12). As an engineer by trade, Taylor held a strong view that the organisation operated as a machine.

Change process must also take into account the informal organisation which can be regarded as these processes and behaviour that are not formally planned or anticipated but occur spontaneously as a result of people's needs. Boonstra classifies this part as larger than the formal organisation (Boonstra, 2004:210).

Conner (2003:104) outlines the following factors for enhancing resilience:

a. Approaching change as an unfolding process rather than a binary event.
b. Accepting that change is expensive and must be paid for.
c. Believing that the status quo is far more expensive than the cost for transition.
d. Accepting the discomfort of ambiguity as a natural reaction to transition.
e. Being receptive to remedies that are accessible.
f. Developing changes in a manner that takes into account the organisation's frame of reference.

As explained by Kegan and Lahey (2001:86-87) uncoordinated change can cause people to act irrational and compromise their productivity.

2.5 Organisational development

Often organisations believe that naming a problem is the key to initiating change and classifying organisations as machines that

sometimes develop problems that need fixing makes it hard for organisations to embrace change as a positive activity (Lewis, 2008:15).

The organisation is the most fundamental aspect of any entity that has a goal which is brings together people to fulfil a persuasion (Seel, 2002:1). In 2002 Seel defined an organisation as a co-creating pattern of relationships. If indeed organisations can be compared to machines then organisations similar to machines need controlling mechanisms (Lewis, 2008:17). In Taylor's model the roles of managers and workers reflect this division which complement each other. It is assumed that managers will take the lead and control the workers who in turn are expected to perform as directed (Lewis, 2008:19).

Some of the failures have been attributed to unilateral actions, limited attempts to devolve power sharing, and centralised decision-making.

Boonstra highlights three reasons of why change processes fail in organisations. Firstly there is an absence of integrated approach. Secondly the focus is on vertical structure of the organisation. Thirdly change must take a global perspective into account (2004:102).

The main focus of management is switching from largely internal concerns to a more balanced focus on internal and external concerns (Carnall, 1995:2). There are patterns that upset the dynamic balance between an organisation and its environment by creating either chaos or a steady state (Boonstra, 2004:204). Oscillating patterns of behaviour emerge when organisations pursue conflicting goals, whether consciously or not. Carnall argues that the core of change management process is the formation of strategy (1995:4). At the Change in growth rate corresponds to the natural organisation and

industry development life cycles – and the reactions correspond to life cycle predictions (Boonstra, 2004: 144). Conner maintains that change takes different forms but most commonly the processes are implemented to address amongst others restructuring for competitive advantage, introducing new technology, shifting to a culture focused on quality and customer service (Conner, 1993:4). Some of the properties that underlie in episodic and consistent change include direction for change and values to be in assessing the successes of change intervention (Boonstra, 2004: 178).

The speed of change in organisations reflects the degree to which the organisation can absorb major changes while minimising dysfunctional behaviour (Conner, 1993:42). Large scale interventions rely less on action and discrepancy theories and more on systematic theory, less on closely held, internal data generation and more on gathering data from the environment and sharing it widely (Boonstra, 2004:185).

There has been a major increase over the last several years in the level of future change that organisations anticipate they will have to confront (Conner, 1993:43). Dealing with sources of ineffectiveness is part of the implementation of change (Carnall, 1995:75). Organisational modifications can occur without commitment but implementation will be difficult and costly in terms of loss of production, absenteeism, turnover, alienation and conflict (Conner, 1993:199).

2.6 Leadership and manager's role

According to Nel, *et al.,* (2008:539) Krieg (2002:25) describes the role of the leadership in change management as follows:

a. Developing the need to change – Change has to be triggered by management in order to set the process going and this should be guided by knowledge management.
b. Developing a change vision – The destiny of the organisation must be determined by the leader at the top of the organisation.
c. Implementing a communication strategy - Communicating the vision is very critical for the rest of the organisation can follow. This strategy must also entail regular updates that will keep all stakeholders and staff informed.
d. Organisational arrangements – This entails setting the transformation team(s) together and conducting an organizational audit.
e. Doing an organisational audit
f. Implementing the changes – A plan must be developed and this must also include mechanisms for removing hindrances.

Effective leaders are capable of reframing the thinking of those whom they guide, enabling then to see that significant changes are not imperative but achievable (Conner, 1993:140-145). As leaders of change, transformational leaders create and communicate the vision for the organisation (Newstrom, 1997:408). When management cannot fulfil the promise of its announced intentions, people learn to associate strategic rhetoric with important tactics (Conner, 1993:118).

Organisations do not always possess managers who are skilful in managing change (Boonstra, 2004:108). The charisma of the leadership is pivotal in change management as they have to be able to deal with anxieties, create and sustain motivation levels as well as mobilise energy (Newstrom, 1997:408). An important role for the leadership is for

leaders to lead by example by walking the talk (Anderson, 2001:97). Managers must be successful and adaptable (Boonstra, 2004:108). In order for leaders to maintain the confidence and support of their employees they need acknowledge and make up for mistakes, and become more consistent in walking the talk (Anderson, 2001:97). Kotter refers to 'keen minds' which Boonstra interprets as strong interpersonal skills, high integrity, seeing value in people and strong desire to lead (Boonstra, 2004: 109).

Managers overlook the factors that drive people to resist change and often this resistance can be destructive and dangerous tendencies to life (Rainey, 2003:367). Managers must acquire the crucial competence of managing change (Beer, 1988:1). Managers do not see a need for instituting change management when the organisation appears to be operating smoothly. This may lead to a manifestation of problems that may only be realised when extensive damage has been caused. This too may exacerbate resistance from people who may think that managers have allowed the problem to manifest itself within the organisation. Managers may regard change as an interruption and by its very nature disruptive (Lewis, 2008:15).

Given that major organisational change is too disruptive, managers can justify the risk and resources of attempting significant change only if they feel that their part of the organisation will slip competitively or miss critical opportunities unless the change goals are achieved (Conner, 1993:91).

Managers must have full appreciation of how their team members have adopted positions on the change and the assumptions they have made. It is important to recognise that people may have justifiable

reasons to resist change. Human beings in the workplace are educated, informed and experienced adults who often know what may be the best way of addressing challenges.

Fundamental change usually means that doing things differently and better with the same people (Boonstra, 2004:322). The shifting of basic paradigms generates conditions that can improve or reduce the quality of people's lives regardless of whether it is problems or opportunities that dictate the circumstances and this presents an opportunity for people to be either architects or victims of their future (Conner, 1993:34).

Boonstra (2004:323) argues that the following six strategies are critical in dealing with resistance to change and these are, education and communication; participation and involvement; facilitation and support; negotiation and agreement; manipulation and co-optation; and explicit and implicit coercion.

Leaders must recognise the distinction between their world and that of those lower in the organisation and managing effective transition involves managing multiple realities as seen through various people's fears, hopes and aspirations – their frame of reference (Conner, 1993:101).

2.7 Conversation and communication

Lewis in 2008 describes conversation as a human experience that occurs between two or more people, which by expression of thoughts and feelings, results in the creation of new ideas, perspectives, understandings, and increased potential for action. Whitman understood the importance of leadership communication to meet the

concerns, interests, and styles of the persons that the leader wants to lead (Salacuse, 2006:35).

The role of leaders in communication is further emphasised by another author who reiterates that leaders have to persuade and motivate employees that change is necessary and urgent (Newstrom, 1997:408).

When resistance is hidden, it can go unnoticed until it destroys a change project (Conner, 1993:128). When various levels of management withhold or distort information so that it does not filter to the rest of the organisation and without proper information dissemination, change will fail (Conner, 1993:117).

Boonstra writes that Barret, *et al.,* (1995) and Dixon (1997) argue that the most powerful change interventions occur at the level of everyday conversation. The speech conversations cover conversations of change, understanding, performance, and closure (Boonstra, 2004:190). Through communication, its important build trust and in how problems are handled (Carnall, 1995:168). The process of conversation is about direction (Salacuse, 2006:83).

The purpose of strategic conversations is to achieve the goal of changing behaviour or attitudes of other leaders in desired ways (Salacuse, 2006:36).

Things have to be simplified than complex, hidden rules of the game must be unearthed for informal processes and the political mechanism in the organisation (Boonstra, 2004:197).

Salacuse argues that convincing starts with the communicators own conviction, this he classifies as the first of symbol of influencing others

(Salacuse, 2006:162-163). The ability to communicate was a powerful element that change makers possessed particularly to be open and hones about feelings and attitudes (Carnall, 1995:188).The understanding of each other's point of view, interests, and convictions is a prerequisite for developing a common image of a desirable future (Boonstra, 2004:13).

2.8The environment and commitment

The critical factor affecting the perception about change as positive or negative is the degree of control people exercise over the environment (Conner, 1993:70). In his mind one of the renowned researchers in this field Frederick Taylor maintained that organisational environment was through engineering the organisation (Lewis, 2008:12). A work environment that encourages open discussion on problems and pessimism tends to solve problems and build commitment to action (Conner, 1993:152). The dissatisfaction amongst the organisation members must be deeply entrenched to an extent that they should feel loss of confidence in themselves and their organisation (Beer, 1988:1). In turn this dissatisfaction will translate itself into sources of energy which will underpin the change management.

Newstrom argues strongly that commitment implies motivation to support change and to increase the desire of making change effective. When sponsors fail to display the proper commitment to a change, the targets below them will not fully support the transition. Sponsors of change must demonstrate strong commitment for transition to succeed (Conner, 1993:118,122). Change agents play a pivotal role in monitoring the dynamics of change and recognise adaptive

emergent changes and determine the extent of further change margins (Boonstra, 2004:190).

When an organisation is on a burning platform, the decision to make a major change is not just a good idea – it is a business imperative. If change is truly imperative, commitment is inevitable and if the commitment to act forms too early in the process it won't be sustained and if it develops too late it won't matter and if change (Conner, 1993:93-95). Active adaptation in a constant purposeful change is appropriate to the people particularly by their ideal seeking, and to continuously changing environment (Boonstra, 2004:51).

If change has been institutionalised, people may merely cooperate in order to comply with the bosses' wishes. When employees are highly committed to change because it reflects their personal interests, goals and values, the ultimate level of commitment forms – internalisation. This symbolises that targets or employees own the change (Conner, 1993:153-154). People can only change when they have the capacity to do so (Conner, 1993:127). Successful change is rooted in commitment and the lack of commitment is attributed as one of the principal causes of failure in change management (Conner, 1993: 146).

2.9 Culture

In 2001, Anderson defined culture as the sum of all the individual mindsets rolled into one set of common agreements. Culture is the adopted way of doing things in organisation and tends to exert influence over people's morale and spirit. Notably, external people can depict the culture of the organisation through the behaviour displayed by the organisation members in and outside the organisation. Culture

can be defined formally by its policies and procedures and informally by way of operating (Anderson, 2001:98-99). Culture is the frame of reference that helps distinguish one group of people from another and it establishes a unique set of formal and informal ground rules for people to think, behave, and assume to be true. Organisational culture reflects the interrelationship of shared beliefs, behaviour, and assumptions that are required over time by members of an organisation (Conner, 1993:161-164).

Organisational change is based on the change of behaviour of the organisation (Boonstra, 2004:1). Wilkof, *et al.,* (1995) writes about cultural consciousness raising, which Boonstra underscores as the importance of working with actors to interpret the actions of others as behaviours that are consistent with a particular cultural purpose, meaning and history than mere technical incompetence (2004:186). Organisational culture is complex because it is an aggregate of sub-cultures that have developed in response to unique challenges faced by different groups within an organisation (Conner, 1993:163).

Professionals do not always easily agree among themselves about the current or desired quality of their work (Boonstra, 2004:201). A key element to enhancing resilience to change and minimising the chance of dysfunctional behaviour is to actively manage an organisation's culture and this requires an assessment of the degree of consistency between the existing culture against the new culture (Conner, 1993:173-174). If the organisation's current culture and the change intended are not aligned, the chances of instituting successful change will be highly minimal and whenever a discrepancy exists between the current

culture and the objectives of your change, the culture always wins (Conner, 1993:176).

The organisational culture is viewed as a binding force in which emphasis is on shared views (Boonstra, 2004:228). In order to manage changes at a competitive speed, winners design a culture sensitive to that of the world view while assimilating the changes an organisation faces (Conner, 1993:163).

Conner (1993:147) defines factors for commitment as follows:

a. Investing resources such as time, energy and money to insure the desired outcome.
b. Consistently pursuing the goal, even when under stress and with the passage of time.
c. Rejecting ideas or action plans that promise short-term benefits and emphasise on goal achievement.
d. Standing fast in the face of adversity, remaining determined and focused in the quest for the desired goal.
e. Applying creativity, ingenuity, and resourcefulness to resolving problems or issues that would otherwise block the achievement of the goal.

Commitment is regarded as the glue that provides the vital bond between people and change goals. Commitment is also regarded as the source of energy that propels resilient people and organisations through the transition process at the fastest, most effective pace possible (Conner, 1993:147).

Once targets or employees have embraced change then they will become ambassadors of change and will seek to win others over.

Resilient organisations build commitment to change as part of the change process in order to prepare people (Conner, 1993:155).

2.10 Summary

This chapter reviewed literature on change management by defining the concept of change management and highlighting some key challenges encountered in launching change management.

More specifically, the review discusses barriers to change management such as resistance to change. Resistance to change can be experienced at an individual and organisational level. The review points out that individuals can sabotage change management hence it is important to pay attention to their fears and concerns. The review indicated that once the individuals' fears and concerns have been addressed, individuals can play a pivotal role in proposing solutions for expediting change. Further the review highlights that at the organisational level power brokers must be identified as they can be used as Ambassadors for change.

The review reiterates the important role that leadership plays in providing direction that underpins change management. It suggests that process must be driven from the top to signify the value and importance leadership attaches to the process. The review also asserts that leadership must champion the process.

The review identifies communication as an important medium for managing stakeholders. It argues that through communication, perceptions of stakeholders can be established so that appropriate strategies for addressing these can be implemented. The review encourages regular maintenance of communication to provide

direction whilst at the same time dealing with anxieties, fears and concerns.

The review shows that a number of factors such the environment, culture and commitment play a critical role in change management. These factors must form part of the agenda of those facilitating change.

The review shows that change is important in keeping organisations relevant and sustainable. In the public sector compliance with policy requirements is extremely important due to the need to account to the public and the use of public funds. The MTEF requires an alignment of delivery targets with the budget cycles hence this study has focused on how change management can improve infrastructure planning in KZN DOH.

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CHAPTER THREE

RESEARCH METHODOLOGY

3.1 Introduction

The study was exploratory in nature since very little research has been conducted in change management in the South African public sector. The defining feature of the study is that it focused on change management in the context of improving infrastructure planning.

3.2 Research approach

This was a qualitative study in order to gain a better understanding of the success and limitations of implementing change management as an integral part of IDIP in KZN DOH. Qualitative research is interested in understanding what those interpretations are at a particular point in time and in a particular context (Merriam, 2002:4). In 1985 Paton described qualitative research as an effort to understand situations in the uniqueness as of a particular context and interactions there. Furthermore Paton explained that this understanding is what it means for participants in that setting, what is going on for them, what their meanings are and what the world looks like for them (Merriam, 2002:5).

By virtue of the study being qualitative the product will be richly descriptive (Merriam, 2002:5). This means that the researcher has applied himself and, based on the findings, he has used words to elaborate experiences from interviewees. In line with the nature of qualitative research, the study provides an understanding of those

interpretations at a particular point in time and in a particular context (Merriam, 2002:4). The benefit of an interpretative qualitative approach is that it provides learning and application in how individuals experience and interact with their social world as well the meaning it has for them. According to Merriam, interpretative qualitative research designs are characterised by several key factors. The first factor is researchers strive to understand the meaning of people have on the world around themselves as well as their experiences. The following explanation was provided by Paton in 1985:

> Qualitative research is an effort to understand situations in their uniqueness as part of a particular context and interactions there. This understanding is an end to itself, so that it is not an attempt to predict what may happen in future but to understand the nature of that setting…The analysis strives for better understanding'.

Qualitative research alone can provide the researcher with all insights needed to make decisions and take actions (Otilia, 2005:1). Quantitative research allows the researcher to familiarize him/herself with the problem or concept to be studied, and perhaps generate hypotheses to be tested (Golfashani, 2003:597). Qualitative methods are helpful not only in giving rich explanations of complex phenomena, but in creating or evolving theories or conceptual bases, and in proposing hypotheses to clarify the phenomena (Schwartz, 2001:1).

Another factor is that the researcher is primarily responsible for data collection. In this scenario, this has enabled the researcher to gain first

hand knowledge of the effectiveness of change management in infrastructure planning in KZN DOH.

The researcher interviewed consultants and officials who provided their perspective on drivers for change management. The challenge for the researcher is to observe if the respondents remain objective and be mindful of potential bias (Merriam, 2002:4). The process itself has inducted the researcher on the intricacies of the programme. The study provides a thorough description and analysis of findings and illustrates the researcher's improved understanding of the change management as a component of IDIP.

In addition, a literature review was conducted to inform the research methodology and support the findings.

As stated in the introduction, although IDIP has been in existence since 2006 to date, very few studies have been conducted to investigate and document lessons learnt in change management as part of implementing IDIP in KZN DOH. The learning from this study will serve as a basis for improving change management in other departments or developing countries. It also highlights mistakes that other change management processes can avoid.

3.3 Research design

The critical qualitative research will focus more on context and less on individuals in order to better understand how a social and environmental context can be changed (Harbenas, 1972).

In qualitative and observational studies qualitative variables are used extensively. Although some observers attempt to quantify their

observational data, most researchers simply arrange their data into qualitative categories and give each category a name to distinguish it from other categories (Bailey, 1994:62)

In this study, five interviews were conducted with two public service officials responsible for planning for infrastructure, as well as three consultants, including the Change Management expert. The interviews were based on semi-structured questions. Data collection strategies are as follows:

3.3.1 Data collection

3.3.1.1 Primary data collection

Two sources for primary data have been used in this phase.

An interview schedule was developed for conducting interviews. The interview schedule had many advantages in terms of enlisting responses from the interviewees such as probing responses, reading non-verbal communication and clarifying the meaning of the questions (Bailey, 1994:108). Individual in-depth interviews are performed on a person-to-person environment and the interviewer and respondent can obtain very specific and precise answers (Otilia, 2005:2). Mailed questionnaires receive more unclassifiable responses (Baliey, 1994:172).

Semi-structured interviews were conducted with 2 officials and 3 consultants. The responses to the questions were recorded and this data was captured on a data collection template.

In addition, the researcher secured reports that were produced by the consulting team. These documents have been reviewed and analysed and these have included the monthly progress

reports against the Log Frame and Infrastructure Reporting Model.

3.3.1.2 Secondary data collection

Secondary data was sourced from:

- Articles, bibliographies and books related to the sector and topic; and
- Workshop and conference papers related to the topic.

3.3.2 Sampling

This was a non-probability and convenience sample. Non-probability sampling is adequate when, the sample is very small the population is homogenous in relation to the variable being studied, informal, exploratory research is being done, and it is desired to screen out "loser" products (Swanson, 2007). In convenience sampling, the investigator simply chooses the closest live persons as respondents (Bailey, 1994:94).

Interviews were conducted with the following:

i. An official from KZN DOH.
ii. A former official from Provincial Treasury.
iii. A former consultant responsible for Infrastructure Planning in KZN DOH.
iv. A consultant responsible for change management.
v. A consultant who was a Team Leader.

This study used convenience sampling and elected the three consultants and two officials specified above as respondents.

3.3.3 Data entry and analysis

The basic goal of content analysis is to take a verbal, non-qualitative document and transform it into quantitative data (Bailey, 1994:304). According to Vos *et al*., (2002:239) data analysis is "the process of bringing order, structure and meaning to the mass collected data".

Based on the questionnaire and preliminary findings, categories were developed and data was entered accordingly. The responses were documented and classified into the categories. This classification enabled the researcher to categorise the data for proper analysis. By taking this approach it was easy to trace possible key issues in order to report extensively on key findings, drawing of the conclusions and tabling of the recommendations. This helped in defining the subheadings under the findings and analysis chapter.

However, creating a database is not sufficient to conduct a qualitative study. In order to generate findings that transform raw data into new knowledge, a qualitative researcher must engage in active and demanding analytic processes throughout all phases of the research. Understanding these processes is therefore an important aspect not only of doing qualitative research, but also of reading, understanding, and interpreting it (Thorne, 2000:68).

3.4 Validity and reliability

Validity of a measuring instrument may be defined as the extent to which differences in scores on it reflects true differences among individuals on the characteristic that we seek to measure, rather than the constant or random errors (Bailey, 1994:67). There are two components to the definition of validity namely, that the measuring

instrument is actually measuring concept in question, and that the concept is measured accurately. Although some qualitative researchers have argued that the term validity is not applicable to qualitative research, but at the same time, they have realised the need for some kind of qualifying check or measure for their research (Golfshani, 2003:602).

Joppe (2000) defined reliability as "The extent to which results are consistent over time and an accurate re presentation of the total population under study is referred to as reliability and if the results of a study can be reproduced under a similar methodology, then the research instrument is considered to be reliable (Golafshani,2003:598). Reliability of measure is simply its consistency (Bailey, 1994:72).

Where necessary the researcher referred to the questionnaires and raised sought clarity with the respondents.

3.5 Limitations

This study is not a comprehensive evaluation of IDIP and has only focused on change management as one of the components of the programme. The study has also enlisted inputs of selected respondents to provide their perspectives as they were responsible for driving the change management in KZN DOH.

By virtue of using a convenience sample there is no assumption that this sample was representative of role-players in the programme. This study has not enlisted the views of other officials within the mix of stakeholders to establish the significance of change management in their roles and responsibilities.

Lastly, the end users (i.e. citizens) have not been interviewed to ascertain whether the programme has made any significant changes in their lives.

3.6 Ethical considerations

The Wits University's ethics committee has granted this study approval (refer to Appendix B). Respondents were assured during the interviews that their confidentiality and identity will be protected so that all the sensitive information that they have disclosed has been reported in a manner that does not reveal any respondents identity. In order to maintain the anonymity guaranteed to the respondents, their names are not disclosed. Instead the respondents are identified as A, B, C, D and E.

CHAPTER FOUR

PRESENTATION OF DATA AND ANALYSIS

4.1 Introduction

Change management was introduced by National and Provincial Treasury into KZN DOH to support the initiative of improving infrastructure planning. The programme was implemented as collaboration at provincial level between Departments of Health, Public Works and Treasury. The latter played champion and sponsor roles of the programme. The provincial Treasury also played a coordinated planning and monitoring of expenditure in the province.

Implementation of IDIP was preceded by an assessment and design phase and it is this phase that created a role for change management. Change management was implemented by consultants with change management expertise and a built environment background together with officials from the respective departments. This combined team formed the core team that implemented change management.

Within KZN DOH, there is a Directorate that is responsible for planning, delivering and monitoring the quality of infrastructure projects. This Directorate played a key role in change management as the responsibility for improved infrastructure planning rested with them.

This chapter presents and analyses the findings emanating from the interviews that were conducted with the five respondents. The presentation of the data begins with separating the findings from the interviews into different themes that are relevant to the research questions. Based on the interviews three themes emerge:

a) Understanding resistance to change
b) Familiarity with change management
c) Perceptions on infrastructure planning.

The study analyses each of the themes separately and then moves on to establish the relationships between each of these themes, ultimately comparing how each part links to the whole study. Organising the information into themes ensures that the research questions that were derived from the document and literature review, outlined in chapter three, are covered. These are:

1) What resistance to change was encountered in KZN DOH?
2) How was change management implemented in KZN DOH?
3) Has planning for infrastructure improved in KZN DOH?

The study covers change management process instituted and the outcomes thereof in improving infrastructure planning.

As mentioned above, five respondents interviewed were responsible for advising management and implementing the change management project within KZN DOH as part of improving planning for infrastructure delivery. A Technical Assistant was placed in KZN DOH to build capacity on infrastructure planning and this person was supported by a Change Enablement expert. An official from the Infrastructure Directorate worked closely with the PTAT and the official responsible for Infrastructure in Provincial Treasury was designated as the Champion.

In this change management process, the consultants were responsible for advising and building capacity of the officials who were responsible for taking lead in the implementation of the project. Therefore the respondents had first experience in change management within KZN

DOH in terms of the challenges encountered, the processes implemented, success achieved and lessons learnt. In addition, the developed systems and tools for infrastructure planning in KZN DOH. The principles of change management underpinned this process.

4.2 Themes

4.2.1 Understanding resistance to change

Under this theme the study wanted to gain an understanding of what the respondents observed as resistance to change. Mullins (1999) defined resistance to change as forces against change in work organisations (Boonstra, 2004:320). The theme has a direct link to part two of the questionnaire. Three questions were posed and these focused on the individual and organisational levels where the resistance was encountered.

4.2.1.1 Resistance to change encountered in KZN DOH

Upon posing this question, respondent A's view was that resistance to change was encountered at all levels, "Resistance to change was experienced at all levels in the department and it was based on perceptions on the new programme" (interviewed, February 2011). On the contrary respondent D (interviewed, February 2011) pointed a specific level where resistance was observed "Resistance was observed at Director and Executive management levels. Change management was not prioritised. Everyone thinks all is okay until they encounter a problem." A similar response was provided by respondent E (interviewed, February 2011) about the level of resistance "Senior management did not seem to have time and did not attach urgency to the project." The respondent went further to provide a perspective

on why there was a lack of support at senior management level in the initial stages "Based on the emphases of addressing soft skills as part of change management, the leadership did not display due recognition and priority to the project." In concurring with this sentiment, respondent C (interviewed, February 2011) asserted that "Yes, change is not well received... Top management can also be a challenge...". Respondent B agreed with the view that management resisted change "Management was not very involved".

The Provincial Programme Steering Committee was never convened and it would have enlisted the participation of MEC and HODs to focus on strategy for rolling out infrastructure mentioned majority of the respondents. This was designed to be chaired by the Director General of the province.

According to the majority of respondents, resistance was prevalent in all levels of the department. More significantly resistance was observed at senior management level. This was pointed out by most respondents as a weakness in how the project set off in the beginning. All respondents specified the significant role of management and leadership in the change management process. Respondents argued that the process would have been more successful had the leadership embraced the project earlier. Change management must be lead in an organisation and leaders must be able to comprehend the entire breadth of today's drive for change (Anderson, 2001:16). The role of management and leadership is to manage effective transition including people's fears, hopes and aspirations (Conner, 1993:101). This underscores the significant role that should be played by leadership. In the KZNDOH it is apparent that there were gaps in the role played by its

leadership as elaborated further in a section below. The perceptions on resistance have been classified as barriers to change and are discussed in more detail in the next section.

4.2.1.2 Reasons for resistance to change

In response to the question, respondent A (interviewed, February 2011) mentioned barriers such as job insecurity, fear of the unknown, protection of turfs and fear of transparency "Change management was imposing ways for doing things differently. Political leadership was indecisive and unstable. There was a perception that corruption was rife. The GM for Infrastructure perceived the programme as a threat. There was fear for transparency." In explaining some of the barriers respondent A went further "Some of the officials were afraid that the programme would expose incapacities whereas others feared transparency. Those who were involved in corruption were afraid that the new way of doings things would exposure the corruption and indeed some of them were charged with corruption".

Respondent C (interviewed, February 2011) agreed with respondent A about the difficulty in changing to new methods and techniques. An example used was,"Sometimes people will argue that they have been doings things in this manner for more than 10 years and will question why this must be changed even though they know that the old way is not working. To address this, benefits for change must be described early in the process as people encounter difficulty in being customised to new way of doing things without an understanding on the reasons. Therefore the lack of understanding of the programme and limited involvement can also compound the challenge."

Respondent E (interviewed, February 2011) said, "There was fear that IDIP would expose some people in terms of their lack of knowledge and skills. People had established their comfort zones and change would take them out of these comfort zones". Respondent C (interviewed, February 2011) simply cited two reasons, "Attitude towards change and fear of the unknown".

Although respondent E concurred with some of the views of other respondents, the responded added other dimensions "The pressure from other priorities side tracked the attention of management hence they did not provide leadership in the initial stages. Human capacity constraints resulting from 70% vacancies impacted heavily on the process as there was limited capacity to execute programme plans". The lack of capacity could also have exacerbated resistance to change as the organisation was in "fire fighting" mode. These sentiments were firmly concurred by respondent A as well.

Respondent B (interviewed, February 2011) highlighted the significance attached at senior management level: "Strategic management levels involvement was limited. It was evident that this was not part of the leadership agenda." This was stated as a barrier that has been confirmed by all respondents in the identification of levels where resistance was more prevalent. On another hand, respondent concurred that often management faced pressing priorities but "it is difficult to tell if this means actual resistance". The respondent suggested that perhaps the challenge is for leadership to balance priorities.

Similarly respondent D (interviewed, February 2011) agreed with the thoughts of other respondents but maintained that stereotypes in the

perceptions of professions and roles in the provision of health service delivery was self-defeating "The lack of appreciation the role of infrastructure in health is a major issue. Often the manner in which medical profession is regarded in a community creates a perception that some roles such infrastructure experts are inferior thus the medical practitioners do not appreciate the role of infrastructure in the execution of service delivery. Most management positions in health are occupied by medical doctors". The respondent also cited another factor regarding the management style as a barrier "The tendency is be reactionary than proactive." The respondent emphasised that management can be more effective and efficient by adopting new management styles.

On the contrary respondent B (interviewed, February 2011) did not experience resistance "We did not experience real resistance. People felt overwhelmed because they did not know what to expect".

The majority of the respondents observed resistance to change in KZN DOH. A number of barriers were cited and included fear of the unknown, fear of their limitations being exposed and job insecurity, fear of transparency and lack of understanding of the rational for change. On the contrary one of the respondents did not meet resistance and simply attributed this to people being overwhelmed.

Resistance to change is a common feature to any change management process. Officials had been accustomed to conducting themselves in particular ways and appeared content with how they were doing things even though they knew that their way of doings was fraught with problems.

Similar to some of the key findings in the literature the interviews unearthed comparable factors.

a) **Lack of knowledge** - There was lack of role of appreciation of infrastructure in the delivery of health care. Most of the respondents came with a built environment background and displayed passion about the role of infrastructure in improving health service delivery. They reported that most managers had a medical background and were ignorant about the role of infrastructure in improving health care hence there was no drive to improve planning for infrastructure in the earlier years. Learning organisations have to continuously expand their capacity to create their future (Nel, et al., 2008)

b) **Fear of the unknown** - When people do not have the full comprehension of what the new programme is all about, why it is important to introduce in the organisation and how this will be of benefit to them, there is a tendency to resist Nel, *et al*., (2008:532). This was the common thread reported by the respondents. They maintained that the fear they witnessed came from the limited understanding on IDIP. Some officials resisted change because they feared that the programme would threaten their positions. The respondents said that some of the officials thought that IDIP would expose their limited knowledge and skills in infrastructure planning. Sometimes people may choose to stay in familiar situations that they know are not working than face ambiguity of the unknown (Conner, 1993:89).

c) **Disrupted habits** -Typically people also prefer to stay within their comfort zones and will constantly argue why it is not necessary to

change. Nel, *et al*., argue that people feel upset when old ways of doing things cannot be followed. Newstroom (1997:403) maintains that resistance is orchestrated to discredit, delay or prevent the implementation of change.

d) **Fear of transparency** – The principles of IDIP were based on collective efforts and sharing of information. This level of openness was foreign in KZN DOH and the respondents immediately observed that some officials did not like this new approach. It turned out later that some of these officials were involved in misappropriation activities and knew that their modus operandi would be exposed and indeed they were. Nel, et *a.,* state that people perceive change as a threat to their self-interest.

e) **Delayed uptake at management level** – Every respondent conceded that management took long to embrace and visibly declare their commitment to the programme. When leaders behave differently to the messages they utter, this can widen resistance to change (Anderson, 2001:97). The lack of management involvement and lack of leadership can further perpetuate resistance from officials.

   Respondents reported that health as a sector meets with many challenges many of which are life threatening and this on its own preoccupies senior management both at political and administrative levels. This is often compounded by the limited capacity to comprehend infrastructure benefits as most of the middle and senior personnel have medical background.

In most cases people perceive change to be unnecessary, time consuming, costly, demanding and threatening (Rainey, 2003:367). Resistance to change by employees is orchestrated to discredit, delay, or prevent the implementation of change (Newstrom, 1997:403). All these reasons for resistance to change concur with Boonstra, 2004 that resistance to change manifests itself in many ways. It is evident that in KZNDOH various types of resistance were observed and these included fear of the unknown, comfort in old ways of doing things and fear of maladministration and corruption being exposed.

The next section describes the change management that was designed and implemented. The model also focused on addressing resistance and creating a momentum for instating change.

4.2.2 Familiarity with change management model

The main focus of the study is about change management. To determine this it was crucial to understand what respondents perceived to be the model for change management.

In an attempt to establish if there was a systematic process, respondent A (interviewed, February 2011) thought that there was a well planned and executed change management plan that was underpinned by well thought processes "The PTAT analysed the department and developed strategies for implementing interventions in conjunction with counterpart officials. The TA positioned himself as a resource in the department which could be relied upon. A communication strategy was developed and implemented. Coordination between the different directorates in the department was strengthened resulting in the reduction of white elephants and silo operations. To raise the

prominence of the process, Provincial Treasury was pitched as an influential and reliable role-player". This plan and process characterised the roll out of change management.

Change management must prepare the stakeholders for change and inform them about what to expect in the process. This is according to respondent A (interviewed, February 2011) "We couldn't institute change when people were not ready". In order to create a collective team of drivers for change management and to provide a platform for officials to co-lead the process, a structure comprising both officials and consultants was created. Similar views were expressed by respondent B, "We established a Change Management Committee and this worked well in entrenching change management process in the first 6 months. This committee identified barriers and crafted strategies for spearheading the process and to address the barriers"(interviewed, February 2011). Change – this process covers an organisation's approaches to mechanisms for achieving and experience of change especially in terms of objectives, planning and people (Burnes, 1997:753-755). In this case study it is clear that careful consideration was given to the design and execution of change management model such as the scoping exercise and various tools that were developed. A number of respondents recognised the significance of the scoping exercise that was developed in the early stages (Appendix C: Scoping Exercise for change management). This is in their view guided and characterised the process and successes that are described below.

4.2.2.1 Conversation and communication

A communication strategy (Appendix D: Communication Strategy) was developed and implemented and this entrenched a culture of providing regular communication amongst the stakeholders. Demonstrating pride in their communication strategy, respondent B stated "Our team won a prize for the communication strategy".

The communication promoted consistent consultation and was characterised by provision and receipt of feedback. The communication strategy was also used to inform participants and stakeholders and to manage expectations accordingly. Respondent C (interviewed, February 2011) reiterated the essence of the communication "Our motto was to educate and engage". Educating people appeared to be used as a mechanism for addressing resistance to change and reinforcing the rational for change management", educating people is a key mechanism for allaying their fears" remarked respondent C.

In order to keep the teams in focusing on the task at hand and addressing barriers to change management, respondent D (interviewed, February 2011) provided an opinion that "A communication strategy was developed. Key messages were developed and purposeful communication was launched. Regular feedback was shared on reports". The feedback promoted reflection, learning and improvement.

The communication was instrumental in communicating the importance of the strategy so that team members would be focused on pursuing the strategy believed respondent C "Communication was

important in keeping coherence of the team and persuasion of objectives" (interviewed, February 2011).

In areas where policy had to be communicated, respondent A asserted "Most of the communication was channelled via Treasury". This was done to attach importance to the programme.

In confirming the value of the communication strategy, respondent E specified the newsletter as a typical example "Through the newsletter which was circulated throughout the province, we were able highlight the role of IDIP in the province." The newsletter pronounced successes and began to profile IDIP in the province.

Lewis in 2008 described conversation as a human experience by which expression of thoughts and feelings result in the creation of new ideas, perspectives, understandings, and increased potential for action. Through communication, stakeholders were prepared for readiness before any intervention was launched. Communication was also underpinned by participatory methods and key messages were reinforced in order to ensure that there was coherent understanding of key objectives amongst the stakeholders. This is in line with Boonstra's argument in 2004 that most powerful change interventions occur at the level of everyday conversation. In a learning organisation, the involvement of staff members is paramount regardless of their positions (Boonstra, 2004:288). In this context communication and involvement of all staff is critical. Through communication, it is important to build trust and in how problems are handled (Carnal, 1995:168). In this case study, communication was regarded as one of the key priorities and this was undertaken regularly and with all key stakeholders. The effect of this

communication dealt with anxieties and secured buy-in of stakeholders.

Furthermore, the communication strategy required documentation of lessons learnt and this enhanced knowledge management. The benefit of documentation is that recurrence of mistakes were minimised.

4.2.2.2 Stakeholder management

Stakeholder management seemed to be a key feature of the change management intervention. There was a close alignment of the communication strategy and stakeholder management as mentioned by respondent A (interviewed, February 2011), "Stakeholder management was linked to communication strategy". The two strategies were intertwined because communication takes place amongst stakeholders.

In order to manage stakeholders effectively, stakeholders first had to be identified and respondent B (interviewed, February 2011) believed "A stakeholder mapping exercise was developed and these resulted in the classification of stakeholders into primary and secondary categories". In supporting this view, respondent E (interviewed, February 2011) emphasised the scoping "the scoping for change management was developed. This prioritised amongst others change management at the strategic level".

An example of a forum was "the Joint Task Team' mentioned respondent A (interviewed, February 2011). The following structures were recommended as part of the stakeholder strategy:

a) Technical Management Committee – This committee would have involved the HOD, the GM and other Managers responsible for infrastructure from each provincial department.
b) Infrastructure Coordinators Committees – In order to create ownership through participation the membership of these structures was based on nominations.
c) Operations Working Committee established and comprises of Implementing Agents and they review project coordination and this was reported to be working well.

The consistency and successes of these structures varied from one structure to another.

Different experiences were observed in the function of stakeholders as pointed out by respondent C (interviewed, February 2011) "Implementing Agents are okay. They have liaison meetings and have developed Service Level Agreements and all is good in this area. Internal stakeholders are the challenge - intradepartmental stakeholder management is a weakness". Respondent C provided an example "When there has been a cut in the budget some of these issues are not communicated however the COO and HOD are addressing this".

With regard to the committees established, some of the people nominated to sit in the committees lacked authority as expressed by respondent D "A change management committee was established however that was hindered by the nomination of inappropriate officials who did not have decision-making authority. This did not dampen the spirit of the PTAT as they galvanised support for the programme. Regular discussions were held with internal stakeholders in order to create platforms for them to express their anxieties, concerns, views and

suggestions on the change management process. These dialogues were useful in soliciting 'buy-in' from the staff" interviewed, February 2011. The IDIP was designed to improve capacity of the officials and this was one of the teams focus.

The introduction of policy communicates need and urgency for interventions. Whilst IDIP was piggy backing on other legislation that had been around for many years, such as the PFMA and the CIDB, the coincidental introduction of new legislation on infrastructure reinforced the value of IDIP and change management. In sharing the thoughts respondent A (interviewed, February 2011) advised "The introduction of GIAMA was a major breakthrough as in most cases the Champion from Provincial Treasury coordinated efforts in the respective departments". Various stakeholder forums were established to stimulate participation and terms of reference were developed for each stakeholder forum.

In order to integrate the PTAT into the departments, each TA is placed in a department. "Monthly meetings are held by the PTAT and their counterparts" specified respondent D (interviewed, February 2011). The TAs meet more regularly on their own to share experiences, to talk about new developments within their departments, to discuss new tools that have been developed either by themselves or others elsewhere. Of significance the TAs formed part of the team, reiterated respondent D, "Working from within the department makes them understand the issues and deal with them appropriately". The PTATs were placed in the various departmental offices and operated from within. This enabled them to maintain regular contact with officials, to be aware of what was taking place, to be conscious of topical issues prevailing in the

department and to influence some of the formal and informal discussions.

Over and above various mechanisms for managing stakeholders, respondent D (interviewed, February 2011) shared the importance of working with influential people "Power brokers were used as advocates for change management. The team developed new plans and tried different interventions every time. The TA worked with regions and district municipalities and this initiative yielded results."

Within the department, coordination was vital for one directorate to know what the other was planning to do "Now we are able to sit around and plan together for projects and this has reduced the number of projects that end up being white elephants" pointed respondent C (interviewed, February 2011). The respondent was alluding the different roles in terms construction, staffing and medical supplies. Respondent C mentioned some of the factors "Directorates were used to working in silos and there was a tendency of withholding information from others". An example cited by the respondent is "finance could fail to disclose that budgets have been cut which would then result in another directorate making commitments to communities about projects which would not materialise". With the advent of IDIP, the HOD and COO in KZN DOH are minimising the recurrence of such problems. Most respondents acknowledged that planning is now improved as directorates get together to plan accordingly especially for new projects.

The reason multiple stakeholder forums were created was to ensure that all opportunities were created for all stakeholders to be involved through representative forums. Another reason was increased

participation in the infrastructure planning process. Stakeholders were mobilised and encouraged to participate in the programme, reiterated respondent B (interviewed, February 2011) "The intention was to create critical mass and sustainable momentum".

Stakeholder management became critical in addressing resistance to change. Structures were created to ensure that there was coherence, coordination and communication. The structures that were created aimed to promote involvement at intra and inter departmental levels. In recognition of the fact that change management is a process that can take a while to yield results, respondent A (interviewed, February 2011) remarked that, "By engagement you win by piecemeal...".This also symbolised that some success was achieved in the process.

Stakeholder management creates platforms for understanding people's attitudes, views and understanding on change management. Conner in 1993 argues that change will fail if information does not filter to the rest of the organisation.

Stakeholder management strengthens coordination between directorates and between departments. One of the respondents provided an example of how infrastructure planning is coordinated in a better fashion. The improved coordination also enhanced commitment in KZN DOH. When resistance is hidden, it can ho unnoticed until it destroys a change project (Conner, 1993:128) To minimise this risk stakeholder management must be underpinned by regular communication and involvement of stakeholders. Boonstra argues that most powerful change interventions occur at the level of everyday conversation (Boonstra, 2004:190). Another ingredient for stakeholder 'buy-in is commitment. Conner regards commitment as a source of

energy that propels resilient people and organisations through transition at the fastest, most effective pace possible (1993:147). In this study, commitment was secured from middle management and from the provincial Treasury. Although commitment came somewhat later from the senior leadership the success of the change management process was certainly underpinned by commitment from all stakeholders.

An assembly of stakeholders can be compared to an organisation. An organisation is the most fundamental aspect of any entity that has a goal which brings people together to fulfil a persuasion (Seel, 2002:1). Stakeholder management is vital in promoting coherence amongst role-players.

4.2.2.3 Leadership drive

As noted in the resistance and barriers to change management above, leadership was cited as one of the challenges. In this section a discussion is held about how leadership drive and support was turned around as part of change management.

The leadership in KZN DOH did not display visibility from the onset as per respondent A (interviewed, February 2011) "In the beginning the TA developed infrastructure plans because there was no internal capacity in the department. The leadership welcomed the support of the development of infrastructure plans". It appears that incidents such as preparation of accurate reports on infrastructure plans from the TAs and unrevealing of corruption caught the attention of management and leadership. For an example respondent A (interviewed, February 2011) was "After the exposé on corruption, IDIP begun to command the attention of the management. Suddenly the HOD and COO supported IDIP". Another view was expressed on the uptake of leadership.

Respondent D (interviewed, February 2011) thought that "Leadership was receptive in the infrastructure unit though things moved slowly".

When the leadership embraced change management the visibility and commitment was displayed more prominently "The HOD issued an instruction that no construction projects would be implemented outside the infrastructure plans that were part of IDIP. This became a point of reference" reported respondent A (interviewed, February 2011). The paradigm shift in the mind-set and utterance of the statement added enormous significance to the project. "IDIP became the model for keeping things going" emphasised respondent A.

When probed about why there were delays in the leadership openly embracing change management, respondent A pointed out that management faces a number of challenges "The health sector is a major portfolio and a number of pressing priorities demand the attention of the leadership". This view was also supported by respondents D and E. Respondent D (interviewed, February 2011) rationalised how leadership would invest their time "Management's commitment is applied on economies of scale. They focus on matters according to the urgency and political influence". A further distinction was made by respondent D "leadership played more of a supportive role than spearheading the process". In the beginning management was passive however later in the process management took charge, provided direction, set rules and communicated directly with staff about change management. This reduced resistance as staff became aware that change was lead from the top.

The understanding of the role of infrastructure was pointed as compounding factor by respondents "The lack of understanding of the

pivotal role of infrastructure exacerbates the situation" mentioned respondent D (interviewed, February 2011). On another hand, respondent B (interviewed, February 2011) cited instability at management level and over reliance on middle management level to drive the process showed limited leadership support "Problems were encountered and high turnover at senior and middle management level compounded the situation. People were excited that IDIP brought structure through the log frame. In hindsight it would have been better for change management to be driven from the top level".

On political leadership respondent B (interviewed, February 2011) believed that "IDIP was not part of the MINMEC agenda. The political leadership only became involved and entertained the IDIP in its second phase as it was sponsored by the provincial Treasury". In supporting this view, respondent E (interviewed, February 2011) believed that "IDIP needs to be driven at (provincial) cabinet level. The Premier, MEC, DG and HOD should have been the custodians of the programme. Political leadership was never settled to embrace the programme. The Service Delivery Model has only been presented to the MEC and HOD for Treasury recently".

The role of provincial Treasury is very important in the province as this department is responsible for budgets and targets "To demonstrate the seriousness and importance of the programme, the HOD for the provincial Treasury was nominated as the sponsor of the programme. This was very strategic and began to elevate the importance of the programme" reported respondent D (interviewed, February 2011).

The regular and vigorous communication with stakeholders on change management and the benefits thereof driven by the TA in KZN DOH

has been attributed as the source of success in the acceptance of the programme. "The TA assessed the situation and looked for opportunities to demonstrate the significance and benefits and IDIP" mentioned respondent B (interviewed, February 2011). In support of this view respondent D (interviewed, February 2011) provided another example "When the TA realised that there were many requests for technical support from the regional offices and district municipalities, he shared the planning tools developed for IDIP and guided the role-players on how to customise and use the tools thus, earning the programme and himself recognition". Sometimes it is important to look for opportunities for raising the profile and gaining the confidence of stakeholders on the objectives and merits of the new programmes that is being introduced. Often thinking and acting out of the box yields positive results. Respondent C (interviewed, February 2011) supported the view that the TA went out of his way to demonstrate leadership "The PTAT walked the talk with the people in a manner that made people see the benefit of change management". It is important to identify and work through power brokers and win them to your side so that their influence in an organisation can be used to demonstrate and galvanise support for change management. This means turning power brokers into Ambassadors for change management.

Dealing with leadership in KZN DOH required the PTAT to assess the situation and act accordingly "It was important for us to read the temperature and act accordingly" commented respondent A (interviewed, February 2011). Often this meant that the PTAT had to be sensitive and strategic in how they introduced new interventions without causing an upset with the leadership.

Capacity and authority also play a role in designated positions making advancements in leadership roles. Respondent A believes that "sometimes the wrong people were placed in the infrastructure unit".

It was only in the latter years of IDIP that political and senior leaders had become involved and embraced IDIP and its change management component. Many managers regard change as an interruption and by its very nature disruptive (Lewis, 2008:15). Respondent D (interviewed, February 2011) thought that, "They think all is okay until they encounter a problem". Indeed when challenges were encountered it was the PTAT that provided solutions and this was the breakthrough for IDIP. Suddenly there was recognition of the PTAT could provide answers and reports that were logical, scientific and reliable. Organisations do not always possess managers who are skilful in managing change (Boonstra, 2004:108). In this case study a change management was necessary to support officials and other technical experts to address both the hard core and "soft" issues.

Change management is more successful when it is driven from the top from the onset. Conner (1993:140-145) challenges that effective leaders are capable of reframing the thinking of those whom they guide, enabling them to see that significant changes are not imperative but achievable.

Leadership often lacked comprehension skills in change management (Rainey, 2003:367). Most respondents also reported lack of understanding of the role of infrastructure planning at management level. These two factors had the potential of seriously inhibiting the change management process. When management cannot fulfil the promise of its announced intentions, people learn to associate strategic

rhetoric with important tactics (Conner, 1993:118). With the increased visibility of leadership, awareness and compliance levels infrastructure planning also heightened.

The HOD for provincial Treasury was nominated as the sponsor of the programme. This was very strategic and began to elevate the importance of the programme.

Leadership is not necessarily a responsibility of people who are in positions of authority. Often leadership pronounces itself when someone is determined, committed and passionate about a course. The majority of respondents have also praised the energy levels, the persuasion of the Technical Assistant who was assigned to KZN DOH. It is evident that the TA played a pivotal role in promoting IDIP to all levels within the Department. The PTAT also worked very closely with provincial Treasury as a strategy for attracting attention of leadership of beneficiary departments such as KZN DOH.

Notably one of the respondents mentioned that the political leadership was not addressed. Another respondent maintained that there was not enough 'big stick' wielding to make sure that people complied with requirements and the new standards. In the absence of the big stick some tasks were not delivered.

The role of leadership is very critical in change management. Change management process needs to be driven from the top to demonstrate seriousness and commitment. Leadership must be displayed throughout the change management process. Leadership must recognise the distinction between their world and that of those lower in the organisation and managing effective transition involves managing

multiple realities as seen through people's fears, hopes and aspirations (Conner, 1993:101). In this case study leadership played a role by pronouncing their support for change management. The success of this change management would have been much higher if this endorsement came earlier in the process.

4.3 Planning for infrastructure

All respondents concurred that there were virtually no systems, processes and tools for infrastructure planning in place in KZN DOH prior to the introduction of IDIP and change management. "No planning was conducted in the Infrastructure Unit within the KZN DOH hence there was chaos. It was not possible to account accurately for projects in terms of timelines, costs and quality", said respondent A (interviewed, February 2011). "Infrastructure planning improved tremendously since the inception of IDIP, though more work is required", agreed respondent B (interviewed, February 2011). To illustrate the point further respondent C (interviewed, February 2011) said; "Planning for infrastructure was not done in the past, hence we were surprised by over and under expenditure. The consequence of this lack of planning is that there was no coherence in determining the number, sequencing and locations for construction of projects namely Primary Health Care Facilities, hospitals and clinics".

With regard to alignment with policy requirements there were mixed views. "Infrastructure planning has not fully met policy and legal requirements yet as it has recently begun and the planning has not been aligned with GIAMA" said respondent E (interviewed, February 2011). Conversely, respondent A (interviewed, February 2011) took a different view on alignment to policy by stating, "Infrastructure planning

has improved reporting and is aligned to planning models." Respondent C (interviewed, February 2011) shared a similar view and stated that, "Planning is now aligned to Annual Plans, Strategic Plans, Budget Statement, MTEF and IPIP. All these tools and documents ensure that no commitments are made outside this framework." Notably, although respondent E (interviewed, February 2011) had pointed to certain gaps in meeting business planning requirements, the respondent acknowledged that some of the tools developed, such as the Infrastructure Reporting Model, were meeting requirements

From the data presented above, it is clear that, the onset of IDIP developed systems tools for infrastructure planning in KZN DOH, which filled a major deficiency in the prior systems. All the respondents agree that the situation was rather chaotic before the rollout of IDIP introduced a new way of conducting infrastructure planning. Inevitably, reporting on infrastructure was a major challenge as there was no system to track projects. Furthermore, the absence of planning compounded the situation because there were no targets to report against. Owing to the IDIP KZN DOH improved the alignment of the budget and target setting for construction projects and complied better with policy requirements.

Subsequent to the establishment of the IDIP, systems for infrastructure planning were launched, processes were outlined and tools were developed to comply with these policy and legal requirements. IDIP improved the ability to map out projects that will be initiated and completed within the budget cycle.

The use of the planning tools has improved reporting on infrastructure projects. As a result the HOD submits reliable reports to the MEC who in

turn is better able to account adequately to the Premier and the provincial Cabinet on the number of projects, their geographic location and estimated date for start and completion. The PTAT developed a toolkit which is a basket of tools that meet various policy and legal requirements. One of the respondents remarked that "The Infrastructure Reporting Model has now been institutionalised".

IDIP developed tools for reporting purposes at the levels of the MEC and HOD. This was regarded as a breakthrough in terms of ownership at a leadership level. The Service Delivery Model (SDM) has been developed only recently and has been presented to the MEC and HODs forum which is chaired by the Director General of the province.

In spite the achievements gained all respondents concurred that there was more work to be done in terms of entrenching the systems and tools in the KZN DOH. Respondents argued that in order to sustain the improvement in infrastructure planning, knowledge and skills need to be transferred from consultants to the officials. The challenge is that capacity in KZN DOH was very limited as often there were more vacancies than filled positions especially in the directorate responsible for planning and implementing infrastructure projects. This lack of capacity contributed extensively towards the lack of planning for infrastructure and the absence of planning systems and tools compounded the problem even further.

Corruption was not addressed by the department but the onset of IDIP revealed malpractices which culminated in the departure of senior officials in the department. Change can be initiated voluntarily as a result of vision, or circumstances can force the organisation to undertake change (Burnes, 1997:755). Planning for infrastructure was

weak and there were no systems for aligning planning with budgeting. Therefore it was extremely important to introduce a new way of doing things.

CHAPTER FIVE

CONCLUSION AND RECOMMENDATIONS

5.1 Introduction

The study was exploratory in nature since very little research has been conducted in the public sector especially in this field and within the in South Africa. The defining feature of the study is that it has focused on change management in the context of improving infrastructure planning against the quest for improving basic service delivery.

This was a qualitative study in order to gain a better understanding of the success and limitations of change management as part of introducing IDIP in KZDOH.

This research aimed to explore how change management supported the adoption of Infrastructure Delivery Improvement Programme in KwaZulu-Natal Department of Health. Five questions guided the study and the research questions were:

1) How has infrastructure Development Improvement Programme improved compliance tools used for planning?
2) How has resistance to change been managed in Department of Health?
3) How has change management been instituted in the Department of Health?
4) How has leadership stimulated better planning for infrastructure delivery?

5) How have other factors been managed for enhancing change management?

To achieve this, the literature review focused on the definition and concept of change management, resistance to change management, processes for managing change, the role of leadership and management, the environment and commitment, culture, as well as communication.

The literature review guided the construction of the questionnaire that was used for the interviews. In this study, five interviews were conducted with two public service officials responsible for planning for infrastructure, one from KZN DOH and another from provincial Treasury. In addition, interviews were also conducted with three consultants including the Change Management expert. The consulting team and designated officials were responsible for implementing change management in KZN DOH. The interviews were based on semi-structured questions. Data collection was premised on primary and secondary strategies.

5.2 Conclusion

This study is not a comprehensive evaluation of IDIP and has only focused on change management as one of the components of the programme.

5.2.1 Resistance to change

The interviews revealed that in KZN DOH there was fear of the using new systems and tools for infrastructure planning. Some officials feared that the introduction of new tools for infrastructure planning would

expose their limited technical competency in planning for infrastructure. Some of the officials had been in KZN DOH for more than a decade, were accustomed to the old ways and adapting to new system would be difficult. In addition there were officials who were worried that transparency introduced by the new system for planning would expose their involvement in corruption.

The literature review identifies common barriers to change as fear of the unknown, disrupted habits, loss of control, poor timing and job insecurity. Furthermore, the review indicates that resistance to change is a common feature to an introduction of new programmes and interventions. The findings in the interviews in KZN DOH have been consistent with the literature review as most reasons for resistance were observed in KZN DOH.

5.2.2 Stakeholder management

The interviews revealed that involvement of internal and external stakeholders plays a paramount role in creating ownership and sustainability for change management. The stakeholder forums created opportunities for improving conversation, coordination and coherent focus with regard to infrastructure planning.

The literature review highlights that creating a structure or an organisation such as the stakeholder forums in KZN DOH is the most fundamental aspect of bringing people together to fulfil a goal. In this manner, it is easier to create a common vision, strengthen coordination and improve coherence as evidenced in KZN DOH.

5.2.3 Leadership

The interviews revealed that the leadership took a while to openly embrace and display visibility for change management. Albeit late, the pronouncement made by the HOD for KZN DOH that no construction projects outside IDIP would be entertained symbolised decisiveness, directive and set a policy tone for change management. Following this pronouncement the coordination for infrastructure is harmonised in the department and compliance with policy requirements for planning has improved.

In the literature review the role of leadership has been emphasised in managing transition, developing a change a vision and communicating to staff and other stakeholders about the merits of change management. The leadership from the MEC, HOD and COO in KZN DOH has embraced change management to an extent of issuing directives that all infrastructure planning will be conducted in IDIP tools for better results in coordination of projects and compliance with the policy requirements.

5.2.4 Infrastructure Planning

The study revealed that owing to change management, resistance to use of business planning tools has been reduced and forums have been created for ongoing consultation and coordination in KZN DOH. Integrated planning has enhanced coordination between directorates and this has reduced the frequency of projects that end-up as 'white elephants'. Furthermore, reporting on infrastructure is more accurate and reliable.

The following section on recommendations below looks at the issue of change management in the public sector and presents some recommendations for possible future design and research.

5.3 Recommendations

Based on the findings of this study, as presented in the previous section and summarised above, below are recommendations emerging from this study.

5.3.1 Infrastructure planning

This study recommends that commitment from the leadership must be displayed early in the change management process. The systems and tools that have been developed by IDIP must be adopted formally as the tools for infrastructure planning in all departments that are responsible for infrastructure. Further this recommends that all new managers must be inducted on the systems and tools so that there is adequate knowledge on the role of infrastructure in the provision of health services and better compliance with policy requirements.

5.3.2 Leadership

This study recommends that leadership must drive the process from the onset to demonstrate the importance for change management. Further change management must begin at the highest level in an organisation to give direction on change management. In the public sector, political leadership plays a very significant role and the Premier and MEC must be seen as the custodians of change management. The programme should have been driven from the provincial cabinet level to signify the political importance attached to the programme. Contrary to how the process emerged in KZN DOH, senior managers

must spearhead than support from the beginning to the end. Change management must be launched at the highest level of authority so that others in the organisation can realise the value attached by senior management in the process.

5.3.3 Recommendations for further research

In view of the limited depth in some of areas researched and discussed above, this study recommends further research in the following areas:

- Investigating how leadership decides to make a commitment and fully own a project given the numerous pressing priorities facing KZN DOH.
- An analysis of how the culture of KZN DOH adheres to policy requirements such as planning.
- The impact of the environment in KZN DOH for dealing with adoption of new systems and tools for infrastructure planning.

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APPENDIX A: QUESTIONNAIRE

Biographical data

1. Name of respondent
2. Department operating in
3. Position held in the department

The interviewer stated the purpose of the study and explained the procedure for the interview.

1. How has Infrastructure Development Improvement Programme improved compliance with policy requirements for infrastructure planning in KZN DOH?
    a. How has the Department satisfied the requirements for business planning in the province?
    b. Which business planning tools have been used?
    c. How are these tools aligned to policy requirements?
    d. How has the application of these tools improved planning for infrastructure delivery?
2. How has resistance to change been managed in the Department of Health?
    a. In which levels of the Department has resistance been identified?
    b. What have been the most common barriers to change?
    c. How has resistance been addressed?

3. How has change management been instituted in the Department of Health?
    a. Which officials have been earmarked for change management?
    b. What types of change management interventions have been introduced?
    c. What were the successes of the change management interventions?
    d. What were the shortcomings of the change management interventions?
4. How has leadership stimulated better planning for infrastructure delivery?
    a. How has IDIP been lead in the Department?
    b. From which level has leadership been spearheaded?
    c. What has been the success of the leadership interventions and/or innovations?
    d. What have been the shortcomings of the leadership interventions?
5. How have other factors been managed for enhancing change management?
    a. How has the environment supported change management?
    b. How has communication been managed with regard to change management?
    c. How have stakeholders been involved and managed?
    d. How has knowledge management been coordinated?

Thank you for your time and information.

APPENDIX B: ETHICS APPROVAL

UNIVERSITY OF THE WITWATERSRAND, JOHANNESBURG

Division of the Deputy Registrar (Research)

HUMAN RESEARCH ETHICS COMMITTEE (NON MEDICAL)
R14/49 Dayel

CLEARANCE CERTIFICATE	**PROTOCOL NUMBER H100 1123**
PROJECT	Change management for improving planning in infrastructure delivery in the Kwazulu Natal department of Health
INVESTIGATORS	Mr S Dayel
DEPARTMENT	Public and Development Management
DATE CONSIDERED	
DECISION OF THE COMMITTEE*	Approve Unconditionally
NOTE:	

Unless otherwise specified this ethical clearance is valid for 2 years and may be renewed upon application

DATE 24.12.2010 **CHAIRPERSON** .....
(Professor R Thornton)

cc: Supervisor : Mr H Zandamela

DECLARATION OF INVESTIGATOR(S)

To be completed in duplicate and **ONE COPY** returned to the Secretary at Room 10005, 10th Floor, Senate House, University.

I/We fully understand the conditions under which I am/we are authorized to carry out the abovementioned research and I/we guarantee to ensure compliance with these conditions. Should any departure to be contemplated from the research procedure as approved I/we undertake to resubmit the protocol to the Committee. **I agree to a completion of a yearly progress report.**

_____
Signature

PLEASE QUOTE THE PROTOCOL NUMBER IN ALL ENQUIRIES