# Gordon Institute of Business Science
## University of Pretoria

**The dual role of leaders, driving change and being impacted by change**

**Malani Ramasamy**

**Student Number: 17390207**

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# Abstract

The financial services is currently faced with severe pressure to transform. Digital banking, crypto currency, block chain and the introduction of Fintech's are revolutionising the financial industry at an exponential pace (Dapp, 2014; Kshetri, 2016). Traditional financial institutions are at risk of declining profits by 2025 if they do not continue to innovate and change (McKinsey, 2017). To survive, this industry requires vast amounts of transformational change (Anderson & Ackerman, 2001). The need for change will place additional burden on the current complexities of non-owner leaders and it is with this complexity that this study was borne. The study aims to understand the dual role of non-owner leaders driving change and being impacted by change.

Exploratory, qualitative data was collected by means of semi-structured interviews from 21 non-owner leaders identified through non-probability sampling from seven global financial organisations. The data from these interviews was analysed by means of thematic analysis in which six themes emerged in support of the findings.

Three major findings emerged: Firstly, leaders acknowledge that a dilemma exists in fulfilling these dual roles and are able to cope by virtue of the fact that change is inherent in the role of leadership and they possess specific characteristics and traits. Secondly, change may be inherent in the role of leadership but it is not explicitly understood by subordinates that are part of the bi-directional relationship. Finally, support tools that are required by change leaders to enhance their change effectiveness; include a support network, transparent environment, reward and opportunity and resources.

## Keywords

Non-owner leaders are defined as leaders who are not owners of the business categorised by their shareholding. Non-owner leaders have minimal or no shareholding in the organisation (Redlich, 1949; Simsek, Jansen, Minichilli, & Escriba-Esteve, 2015)

Change Agent in this context is the non-owner leader that is driving organisational change.

Change Recipients are individuals within the organisation that are impacted by the change. In this context the leader is also a recipient of change as they are directly impacted by the organisational change. .

Support tools are tools required by the change agents and will allow these agents to efficiently drive change.

## Abbreviations

- TM/MM – Top Management and Middle Management
- SET – Social Exchange Theory
- BAU – Business as usual

## Declaration

I declare that this research project is my own work. It is submitted in partial fulfilment of the requirements for the degree Masters of Business Administration at the Gordon Institute of Business Science, University of Pretoria. It has not been submitted before for another degree or examination at any other University. I further declare that I have received the required authorisation and consent to conduct this research.

Signature:

Date: 07 November 2018

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# Chapter 1: Introduction to the Research Problem

## 1.1    Introduction

This chapter provides an overview of the research problem by investigating the dilemma that leaders' experience in fulfilling the dual role of change agent and change recipient during the change process. The chapter also provides a view of the purpose of the study and its pertinence to financial services and academia, with an outline of the research objectives that will be addressed to uncover the research problem and concludes with scope of this study and a high-level overview of the layout of the report.

## 1.2    Description of problem and background

Financial services has always been acknowledged as the backbone all economies, comprising of banks, investment funds and insurance companies that provide financial services to commercial and retail customers (Zalan & Toufaily, 2017). In recent years the parameters that define the financial services industry have become so fluid in that financing is no longer confined to the structural brick and mortar of banks and buildings. Digital banking, crypto currency, block chain and the introduction of Fintech's are revolutionizing the financial industry (Dapp, 2014 , & Kshetri, 2016) at an exponential pace. Traditional financial institutions are at risk of declining profits of between 25% to 60% by 2025 if they do not continue to innovate and change their current pace (McKinsey, 2017).

If these financial institutions want to survive extinction they are going to have to rapidly innovate and accelerate the pace of change. Leaders in these financial environments grapple with change more now than ever before and this can be attributed to the state of flux that the industry is in and the competing global changes (Zalan & Toufaily, 2017). Surveying these global trends and embracing agility has become a key competence in this industry. According to Dalvi, Shekarchizadeh and Baghsorkhi (2013), change is the catalyst that encourages agility and agility leads to increased organisational performance (Pourmohammad, Zandieh, & Farsijani, 2016). The pressure for the financial industry to adopt an agile practice is no longer a question but a matter of existence. This infers that change will dominate all business models and practices, placing greater gravity role of the leader. Today's leaders will continuously have to gravitate within the multiple dimensions of their leadership role. Of importance to this study is understanding the duality of the leader's role as a change agent driving change whilst championing the overarching goal of

organisational competitiveness and being directly impacted by that change (Brown, Kuli, Cregan, & Metz, 2017). The dual role of leaders driving change and being impacted by it will become, if not already, a reality for all leaders (Cings & Worley, 2015) in financial services. Grounded on the exacerbated requirement for change and if understood and supported correctly will ensure longevity and survival of this sector and advance towards evolution ensuring growth and development for all those who journey along (Brown, Kulik, Cregan, & Mets, 2017; Eckenrode, 2017).

The expectation of financial services to rapidly change will increase the burden on these organisations to drive change through their current leaders. Leaders are already fulfilling multiple roles at any given time (Gilley, McMillan, & Gilley, 2009). However, the imperative of understanding the dilemma that these leaders experience in fulfilling the dual roles of change agents driving organisational change (Mehta, Maheshwari, & Sharma, 2014) and as employees directly impacted by the change, will support the financial sector in holistically managing the magnitude of change required for the survival of this pivotal industry. In driving change these leaders are acknowledged as change agents who are considered leaders who do what is necessary to drive acceptance and adoption of change by recipients of change (Ford, Ford, & D'Amelio, 2008). They provide emotional support to the recipients of change. Change agents face the harsh reality of having to endure "psychological detachment" (Cings & Worley, 2015,p. 200) in their pursuit of driving the organisational change journey which may lead to tension and isolation. It cannot be over emphasised that these leaders endure emotional and psychological impacts in mobilising the organisation and its subordinates to the desired state of existence (Lim & Yazdanifard, 2014). Interestingly, these non-owner leaders are susceptible to the same fears and anxieties that change induces in all recipients of change (Schumacher, Schreurs, Van Emmerik, & De Witthetty, 2015).

Organisational change almost always impacts the perceptions of change implementers and change recipients (Ford, Ford, & D'Amelio, 2008). The duality of non-owner leaders driving change whilst being impacted by change will impact their employment relationship and workplace behaviour. To adequately understand the impact of change on the leader's workplace behaviour, social exchange theory (SET) will be utilised to analyse this problem. SET is well suited as one of the most dominant theories to study workplace behaviour (Cropanzano & Mitchell, 2005) and workplace behaviour undeniably shifts as people and relationships move through the stages of change (Norcross, Krebs, & Prochaska, 2011). Social Exchange Theory (SET), with its key constructs of exchange, relationships and interdependence underpins the employment relationship that is highly impacted by change (Cropanzano & Mitchell, 2005; Varey, 2015 and Barbalet, 2017 ). Organisations are the

conduits of maintaining these relationships with the purpose of driving organisational goals. In the context of organisational change, the primary aim of employers is to drive strategic intent and ensure financial viability, with employees striving to earn a living through their daily operational activities which in turn aids the achievement of these strategic goals (Heyden, Fourné, Koene, Werkman, & Ansari, 2016).

The relationship of interest to this study is that of non-owner leaders who are exposed to roles of change agents and change recipients in their pursuit of organisational change. It is rarely acknowledged that leaders are also recipients of change and equally impacted by change (Ford, Ford, & D'Amelio, 2008; Oreg, Vakola, & Armenakis, 2011). Non-owner leaders are defined as leaders who have been bestowed the title of leader by the organisation. These leaders do not have ownership rights in the organisation by virtue of major shareholding, this is supported by Redlich, (1949) and the more recent works of Simsek et al. (2015).Non-owner leaders have a different association with the organisation then owner leaders who are deemed to be direct recipients of profits and losses therefore will be impacted differently by change. In the context of this study leaders are non-owner leaders who serve their senior leaders and subordinate by means of the bi-directional relationship framework (refer to Figure 3)

These non-owner leaders in turn become a pivotal link in the employer and employee relationship and more so when driving change. Change is generally regarded as bi-directional, top-down and bottom-up. Top down, entails management providing a vision and structure to drive change while bottom-up involves change recipients who participate and support the change (Moran & Brightman, 2000). The role of these leaders in driving change on behalf of the employer is an interesting dynamic and can be distinguished as a juxtaposed position. The leader, whilst recognised by employees as a representative of the employer, is also an employee and by driving change to support the strategic intention of the employer is also impacted by the change.

## 1.3  Purpose of study

The primary aim of this paper is to explore the dual role of the non-owner leader driving change and being impacted in financial services. The need for change in financial services is becoming a state of emergency and will require volumes of competent change agents to drive change in this VUCA environment (Bennett & Lemoine, 2014). The value of leaders in driving change should not be underestimated as they are the driving force in the change process (Burnes, Hughes, & By, 2016). The paradox of leadership complexity burdened by

the change process requires exploration as the need for change in financial services intensifies. In understanding the duality presented by change, with the aim of developing competent change leaders, it is imperative to firstly understand if any dilemma exists in leaders fulfilling these dual roles inherent in change. Secondly, the impact of change on the leader's employment relationships with subordinates and senior leaders and finally, the support required by change agents to efficiently drive the change agenda.

The need to support these agents cannot be sufficiently stressed, whilst there is knowledge on support networks for leaders serving as change agents (Cings & Worley, 2015), these support tools may not be consistently provided or aligned to the actual need of these agents of change. This research also aims to build on the support tools published in literature and supplement these with the requirements provided by the sample, in an attempt to create a change agent framework for the organisations. This framework intends to assist organisations in creating the volumes of competent change agents required to mobilise change.

### 1.3.1 Academic rationale

Whilst there is insurmountable literature on organisational change, change models, leaders driving change and change recipients impacted by change, there is limited empirical evidence on the impact of duality on the leader driving the change agenda. This study aims to contribute to the growing body of literature regarding leaders driving change as change agents and being impacted by change in their capacity of change recipient. The findings from the study aim to provide further insight to the literature surrounding the duality leaders' experience whilst driving change (Cings & Worley, 2015) with the intent of creating a change agent leadership model to support organisations in developing efficient change agents to successfully support and drive organisational change in this every changing world (Barratt-Pugh, Bahn, & Gakere, 2013). This research aims to contribute to the field of human behaviour, with particular application to the area of human resources and organisational development and transformation. The study is of an academic nature and will be conducted on non-owner leaders at various global organisations within the financial industry.

### 1.3.2 Business rationale

The financial industry dates back to the early 1900's and even though there have been significant advancements since its early days, this industry is currently in a state of flux (Crotty, 2009). Accessibility of financial products is no longer limited to banks, credit facilities are easily accessible through retail stores, and mobile network providers are conduits of

money transfers without reliance on the physical banking infrastructure. Though traditional branches with banking halls still exist, the number of human tellers has significantly decreased and automated self-service channels are enabling banking 24/7. Artificial intelligence has rendered human financial advice primitive and through the "internet of things" (Sharma & Saini, 2017), clients have the ability to create unique bespoke offerings tailored to their individual needs (Zalan & Toufaily, 2017).

If this industry does expedite the pace of change and innovation, it will eventually become non-existent. Change in this industry is a matter of survival. The financial industry as is currently known will radically transform over the next 5-10 years (Shaikh, 2017). With change so prevalent in moving this industry forward, the requirement for leaders to champion change is becoming a norm. This study aims not only to add to the current organisational knowledge in the arena of organisational change within the financial industry, but to create a deep understanding of the dilemma faced by these non-owner leaders in their dual roles driving organisational change and being impacted by the change. The importance of understanding this dilemma will create a level of awareness for executives/senior leaders who are primarily responsible for the leaders they appoint and champion to drive change. It will further create a level of awareness required by business to appropriately support these non-owner leaders with specific support tools to aid them in driving change. All too often the psyche of recipients impacted by change is well supported, however an enhanced level of support is duly required for these non-owner leaders who champion the change (Alsher, 2016). Failure to adequately and appropriately support these non-owner leaders who drive change will result in failed change efforts which will impact business agility and competitiveness in a detrimental manner (Dalvi, Shekarchizadeh, & Baghsorkhi, 2013).

## 1.4  Research objectives

This primary aim of this paper is to explore the dilemma of the dual roles that non-owner leaders experience in driving organisational change within the financial industry. This overarching research problem will be investigated by three research objectives that aim to firstly, using the lens of SET, understand the elements of the employment relationship that is impacted by change; secondly investigating differences in perceptions and expectations of the employment relationships of the leader driving change and finally, unpacking the support tools required by these change leaders to effectively drive change. The output of this research aims to understand if a dilemma exists in fulfilling these roles, if it does exist how is it managed, alignment or lack thereof of those present in the bi-directional relationships of the leader fulfilling their dual roles and finally the support tools required by change leaders to

thrive within this duality. The envisaged purpose is to enable professional change practitioners and executives to acknowledge the dilemma and better manage the impact of organisational change on the leaders who are instrumental in driving the change. In doing so non-owner leaders will be proficiently enabled and supported to manage the duality that is inherent in them driving organisational change. Failure to understand this dilemma will lead to an increased burden on the psyche and wellbeing (Cings & Worley, 2015; Lim & Yazdanifard, 2014) of these non-owner change leaders and impact their ability to effectively drive organisational change. This will inhibit the transformation of the financial industry and ultimately lead to the downfall of this pivotal industry (Brown, Kulik, et al., 2017; Middlemiss, 2011; Shaikh, 2017).

## 1.5   Scope of research

This paper will investigate the duality that exists in non-owner leaders driving change whilst being impacted by change, in financial services. The sample of non-owner leaders within global financial services organisations will be obtained by means of non-probability sampling and the data will be by means of a semi-structured interview, face to face interviews.

## 1.6   Layout of this research paper

This research paper consists of seven chapters, each with its own purpose. The intention of chapter one is to present the research problem in relation to its need from an academic and business perspective, with clear indication of the objectives and scope. Chapter two, showcases literature in support of the research problem, the literature is a collection and summary of the most relevant readings over a period of time trying which validates the need for the research problem. Chapter three, provides a view of the overarching research question with its supporting research objectives and secondary questions that endeavour to answer the overarching research question. Chapter four, sheds light on the research methodology that was applied to collect the data in support of the research problem. Chapter five, presents the findings from the data collection in accordance with the research objective. Chapter six, is a discussion of the results in accordance with the literature that was showcased in chapter with the intent of exhibiting that the research objectives have been met and finally chapter seven, concludes the entire research project by highlighting the major findings, its implication for management and recommendations for future research.

# Chapter 2: Literature Review

## 2.1    Introduction

This chapter provides a view of the literature explored to inform the research question regarding the dual role of leaders driving change from two perspectives, one being that of leaders driving change in their capacity of change agent and the other being that of leader being impacted by change in their capacity of change recipient (employee). The importance of understanding the dilemma that exists in this duality will not only contribute theory base of change but further assist change practitioners, executives and non-owner leaders in holistically driving change required for survival of the financial industry.

The diagram below provides a diagrammatic representation of the literature review. The literature review will commence with a view of social exchange theory (SET) which underpins this study set against the back drop of organisational change in which these non-owner leaders experience this duality. It will delve into the management of organisational change, the impacts of organisational change, the impact of change on workplace relationships, the involvement of leadership in change with a view of contribution from each perspective i.e. change agent and change recipient and concluding with a view on the support available to both perspectives with the intent of enhancing the support change agents receive in managing the duality of these two perspectives.
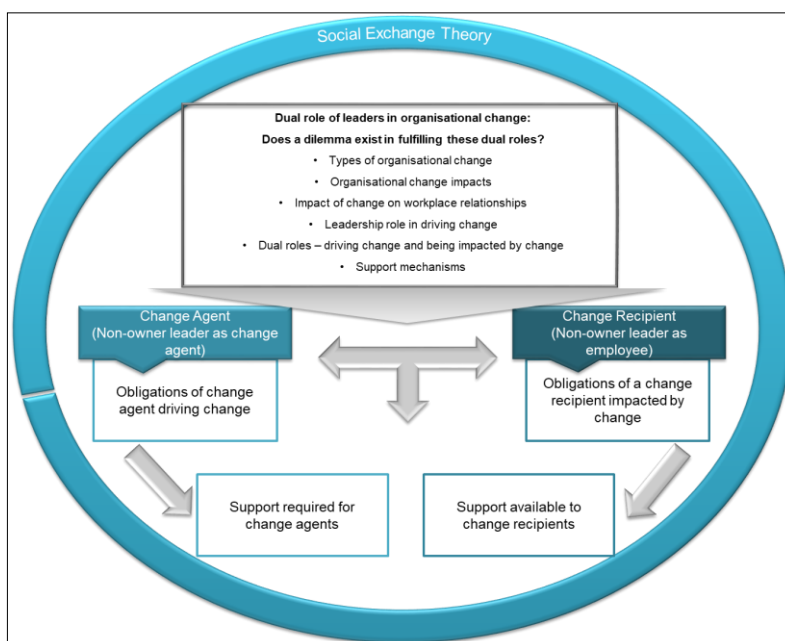


Figure 1: Summary of literature review

The world as we know it is moving at an uncontrollable pace, the notion of The Fourth Industrial Revolution is interwoven into our everyday existence and VUCA (volatility, uncertainty, complexity and ambiguity) is no longer a foreign concept (Bennett & Lemoine, 2014). The financial sector is not immune to these notions and concepts, in fact change within this industry is ever prevalent. In order to contend in this highly competitive global universe, financial organisations are forced to rethink, innovate and recreate by deploying change strategies that will propel them into the future (Lim & Yazdanifard, 2014).

Conway et al., (2014) supports this notion by affirming that change results from organisations, economies and nations adapting to economic shocks such as global financial crises, Brexit, change impacting national budget, funding and foreign direct investment. Failure to optimally leverage the change curve will lead to the demise of many organisations (Zakaria, Alhady, Ahmad, & Zakaria, 2011). This is affirmed by Cings and Worley (2015), who agree that global economic and technological developments precipitate change and are part of the life blood of thriving organisations. The pace at which this industry is changing and requires change may be difficult to fathom for current leadership. However, if change is not initiated swiftly and the impact of change on leaders not sufficiently understood, it will lead to the downfall of a critical industry, the financial industry, which is known to be the backbone of our economy (Zalan & Toufaily, 2017).

## 2.2   Theory that supports this study

Organisational change generally impacts the perceptions of change implementers and change recipients (Ford et al., 2008) and of interest to this study is the duality of the leaders acting as change implementers in driving organisational change and change recipients being impacted by the change. Organisations must remember that perceived fairness for either party rests on the subjective nature of the human psyche, a "complex and relatively unexplored psychological phenomenon at the individual level (Senior and Swailes, 2010 as cited in Georgalis et al., 2015, p.90), which precipitates the need to understand how leaders deal with this complexity. In an attempt to explore this phenomenon, inferences will be drawn from social exchange theory (SET) to unpack the impact of the dual roles of leaders, driving change and being impacted by change.

According to Cropanzano and Mitchell, (2005), social exchange theory (SET) is one of the most dominant theories to study workplace behaviour. Its roots can be traced back decades to the early 1920's and has been noted to influence multiple theories that feature in the employment relationship and workplace behaviour such as organisational justice theory (Baldwin, 2006), networks (Brass, Galaskiewicc, Greve, & Tsai, 2004) , independence of

boards (Westphal & Zajac, 1997), psychological contracts (Rosseau,1995) and leadership. This all-encompassing theory is primarily concerned with relationships and exchanges that consider obligations in the workplace. It centres on interdependence that results from these obligations and in turn leads to relationships (Cropanzano & Mitchell, 2005). These elements of interdependence, exchange and relationships make this theory extremely relevant to the topic of the dual role of leaders driving change whilst being impacted by change.

The diagram below, provides a view of the complexities of SET and the various components of SET. The red blocks are indicative of the important elements in the dual roles of leaders driving change and being impacted by change. These elements of interdependence, resources exchanged and relationships that emerge in the workplace are all impacted by change and will be unpacked further.
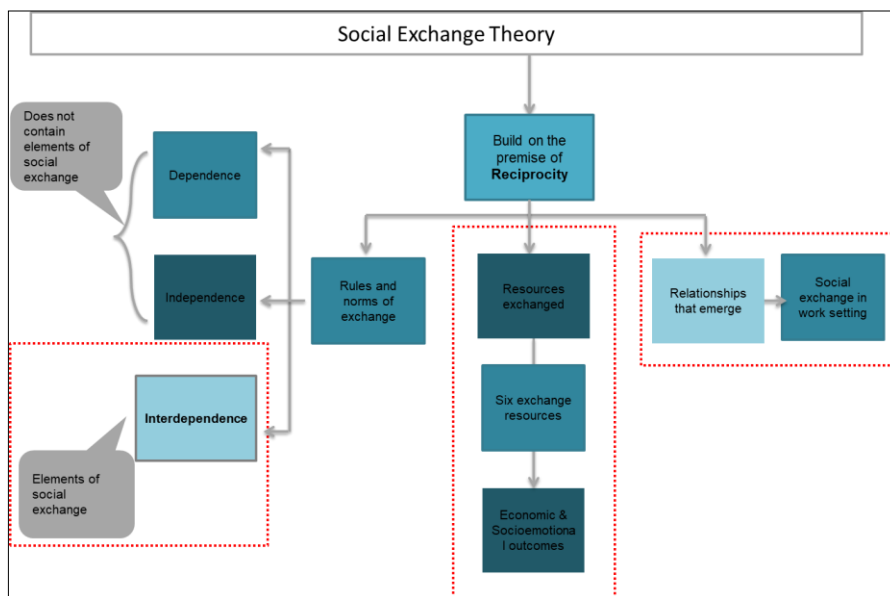


Figure 2: SET and reciprocity (adapted from Cropanzano & Mitchell, 2005)

According to Barbalet, (2017); Cropanzano & Mitchell, (2005); Settoon, Bennett, & Liden, (1996) ; Varey, (2015), the underlying premise of social exchange theory is embodied in the social exchanges made during people "interactions" (Varey, 2015, p.1) and the relationships that stem from these engagements. The value of the relationship is premeditated through positive rewards and benefits, influenced by "costs" (p.01) and terminations of the relationships (Varey, 2015). The relationships are deemed to be inter-reliant of each other and the nature of the relationship is adjusted as expectations transform. These terms of the relationship are administrated by an agreement either prescribed or implicit and this creates shared meaning between the parties as the relationship progresses (Varey, 2015). The

implicit nature of the agreement is closely associated with social exchange and the explicit, bargaining and legal obligations are more aligned to economic exchange. The employment relationship contains both elements, the terms and conditions expressed in the explicit legal contract and the implicit conditions that develop and modify over time as contained in the psychological contract (Middlemiss, 2011). It is interesting that the terms of exchange on the part of the employee can extend further than what has been stipulated in the formal contract. Settoon, Bennett, & Liden (1996), raise the importance of perceived support, leader-member exchange and reciprocity. Leader-member exchange is considered because of the social and economic exchange in the employment relationship, and may extend further than the formal contract of employment. "Attendance, performance, citizenship and organisational commitment" (p.220) is exchanged if the member/employee perceives that the organisation supports them and indebtedness to the organisation leads to the employee giving over and above what is stipulated in the formal contract (Settoon et al., 1996).

SET has been criticised for its assumption that human behaviour is rational and individualistic and is open to negotiation and SET cannot explain the termination of relationships without options (Varey, 2015).Irrespective of this criticism, SET is an ideal theory to explain workplace behaviour and is suited to this study based on the constructs within the definition such as, exchange; relationships and interdependence. These constructs are aligned to this study in the following manner; interdependence is a key concept and must be understood in terms of the non-owner leader fulfilling their change agent obligation by driving change whilst being impacted by the change in serving their duties as employee/change recipient. The interdependence of this relationship can be explained by the explicit or tacit expectation of the leader to enhance business which results in change and this change can directly impact the very same leader that has initiated this change. This gives rise to the dilemma of fulfilling these dual roles. Relationships in this study is between the organisation and the leader as both change agent and change recipient and it is pivotal to understand how these interdependent relationships are impacted by change and the impact of this relationship on subordinates and senior leaders in the unfolding of the change journey. There is also an interdependent relationship between senior leader and subordinate, referred to as the bi-directional relationship as depicted in Figure 3. Exchange either social or economic is prevalent in any employment relationship, of interests to this study is social exchanges necessitated by the change process between the leaders, senior leaders and subordinates present in the bi-directional relationship framework.

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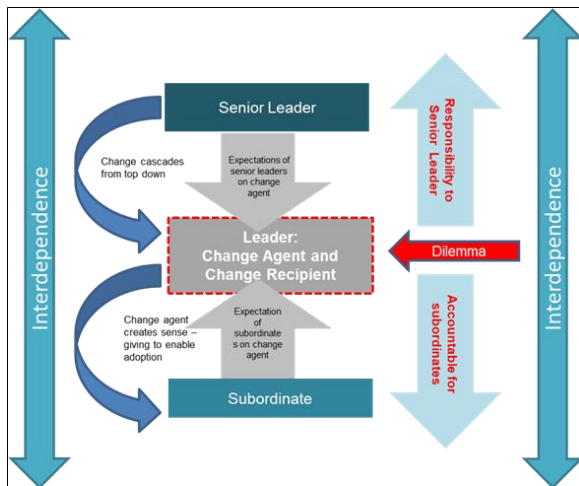
Figure 3: Bi-directional relationship framework (Adapted from Barbalet, 2017; Coyle-Shapiro & Kessler, 2000; Cropanzano & Mitchell, 2005; Heyden, Fourné, et al., 2016)

A further exploration of SET reveals that this theory focuses on three aspects, the first; being rules and norms of exchange, secondly; resources exchanged and thirdly; relationships that emerge. These will be explained in more detail below:

***Rules and norms of exchange***: this aspect focuses on the give-and-take nature of relationships. In all relationships there are unwritten rules of exchange, these rules or norms lead to successful exchanges which in turn lead to "trust, reliability and mutual commitment" (Cropanzano & Mitchell, 2005, p.875) and can be associated to the psychological contract inherent in all employment relationships (Tietze & Nadin, 2011). Reciprocity is best explained by the "exchange rule"(Cropanzano & Mitchell, 2005, p.867) and detailed in the work of Gouldner (1960). Reciprocity according Molm (2010) is defined as the benevolent receipt and exchange of benefits from one person to another (p.119) and is congruent with the work of Gouldner (1960) and more recently Falk and Fischbacher (2006).

In summary the reaction of one party is dependent on the action of the other party and leads to a type of interdependence that mitigates risks and inspires collaboration (Molm, 2010) and has been explored further for the purposes of this study. In the context of this study there is an interdependence on the bi-directional relationship (refer to Figure 3). The organisation is dependent on the leader to fulfil dual obligations, firstly; their contractual obligations as an employee which is to ultimately contribute to the bottom line and secondly; their implied role as leader driving change to enhance business by contributing to the desired future state. The interdependence of this relationship leads to the dilemma that non-owner leaders experience as they fulfil their explicit and tacit contractual obligations.

***Resources Exchanged***: As a leader driving change there are elements of exchange – as the change agent driving organisational change and the innate contractual relationship with the organisation. The premise of SET is based on exchange that results from relationships, with specific reference to the employment contract. According to (Barbalet, 2017; Varey, 2015), resources exchanged refers to the economic value of exchange and is aligned to the explicit nature of social engagement and are grouped along six elements which are "love, status, information, money, goods, and service" (Cropanzano & Mitchell, 2005 p.880). Resources exchanged are categorised into two distinct groups; economic outcomes which address the financial sphere and is said to be palpable, and socioemotional outcomes which address the social esteem needs relating to one's feelings based on the exchange in the relationship. Tsui, Pearce, Porter, & Tripoli (1997), have bundled employee-employer resource exchange as short term and long term rewards. These combinations give rise to four types for exchanges : 1) quasi-spot, refers to pure economic exchange based only on monetary exchanges, 2) mutual investment, refers to pure social exchange, 3) underinvestment refers to employee providing symbolic resources and is rewarded in the short term and 4) overinvestment in which employees provide a specific resource and is awarded long term rewards (Cropanzano & Mitchell, 2005, p.881). For the purposes of this study quasi-spot (pure economic exchanges) and mutual investment (pure social exchanges) will not be the focus as these are less prevalent in traditional forms of employment less important but social exchanges are key in unpacking the objective pertaining to the apparent differences in perceptions of the leader driving change from a senior leader and subordinate perspective.

***Relationships that emerge:*** As with all relationships, over time, specific norms, rules of engagement and expectations are formed. Relating this to the context of the dual leadership role of change agent and change recipient, relationships are formed as a result of mutual exchanges. The non-owner leader who is driving change has two-way relationships which can be referred to as upward relationships or leader-follower relationships (Ruiz, Ruiz, & Martínez, 2011) with senior leaders or executives and downward relationships with subordinates (Cropanzano & Mitchell, 2005), also coined bi-directional relationship for the purposes of this study. This element of SET that deals with relationships in the workplace and involves interpersonal relationships that translates to social exchanges (Shore et al., 2004), these relationships evolve based on the elements of care and concern in this employer/employee relationship. Therefore reasonable beneficial exchanges lead to improved work behaviour which is advantageous to the relationship. Literature does acknowledge the incongruity that may result in relationships and exchanges (Cropanzano & Mitchell, 2005). For the purposes of this study, the relationship is between the employer

(organisation) and employee (line leader fulfilling dual roles of change agent and change recipient) and the economic exchange is detailed in the explicit and implicit agreement that binds this relationship.

Figure 2 was developed to summarise SET in the context of the study. It provides a clear view of the elements of interdependence that exist in the employment relationship, initiated by the workplace contractual agreement and reinforced or shaped by the long-term psychological contract between the organisation and the non-owner leader. Bi-directional relationships are indicated as, upward responsibility to senior leadership and downward accountability to subordinates or as referred to by Ruiz, Ruiz, & Martínez (2011) as leader-follower relationships. Each of these relationships has its own requirements and obligations for the non-owner leader and each stimulating various forms of social exchanges (Barbalet, 2017; Cropanzano & Mitchell, 2005; Varey, 2015) . The three dimensions of SET co-exist, and it would be interesting to draw findings on how these elements are impacted by the change journey, which lends itself to the next section in which a literary exploration of organisational change will be conducted.

## 2.3   Organisational Change

Organisational change is seen as a continuous process that redefines strategic intent, ways of work, operational success and affects the constituents of the organisation which includes the people driving change and those on the receiving end of change (Georgalis, Samaratunge, Kimberley, & Lu, 2015). Organisational change is diverse in nature and can take the form of major changes such as mergers, acquisition, outsourcing, streamlining and restructuring or minor changes such as amendments in current policies and procedures, introduction of new technology, new leadership or expanding or downsizing (Gerwing, 2015).

In order to implement successful organisational change, change management is required. The field of change management emerged in the 1980's and has grown with the likes of organisational development, human resources and organisational transformation (Anderson & Ackerman, 2001). Change management is regarded as the internal and/or external capability or a combination of technology and people, to manage the process of continually renewing an organisation's direction, structure, and capabilities to serve the ever-changing needs of external and internal customers (Kuipers et al., 2014; Moran & Brightman, 2000).

As suggested by Lim and Yazdanifard (2014), organisational change is massively mobilised through technological advancements and Cao and McHugh (2005) characterised these into

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four groupings:

1. Operational process change with the aim of enhancing the customer value proposition. These changes may fundamentally transform the sourcing of inputs, the manner in which they are processed into outputs, the knowledge retrieval process and the deployment of new technology to information and knowledge.

2. Organisational structural reorganisation or functional change to enhance co-ordination and control. Change in organisational structure can impact headcount, hierarchy and communication.

3. Organisational culture change, such as traditions, values, beliefs and human behaviour, shaping business practices.

4. Power distribution change and the factors that influence decision making in organisations (Cao & McHugh, 2005).

According to Anderson and Ackerman (2001) and Cao and McHugh (2005) organisational change falls within the first three groupings listed above. Anderson and Ackerman (2001) depict an encompassing organisational change diagram which has been adapted as Figure 3. It refers to three types of change, firstly developmental change, which requires an improvement of an existing skill, method, performance standards, or conditions to content with current or future needs. This change is seen as logical adjustments to the current process and can be aligned to operational process change as depicted by Cao and McHugh (2005). Developmental change annotates change as the simplest form of change to implement. Secondly; transitional change, which seeks to challenge the status quo, is more complex than developmental change and emanates from leadership's reactions to substantial changes in an external environment and can be likened to Coa & McHugh (2005) organisational structural reorganisation or functional change. Finally; transformational change, by far the most complex type of change. "It is the radical shift from one state of being to another, so significant that it requires a shift of culture behaviour, and mind set to implement successfully and sustain over time" (Anderson & Ackerman, 200, p.39) This change can be assimilated to the last two groups of Cao and McHugh's (2005) findings, noted above.
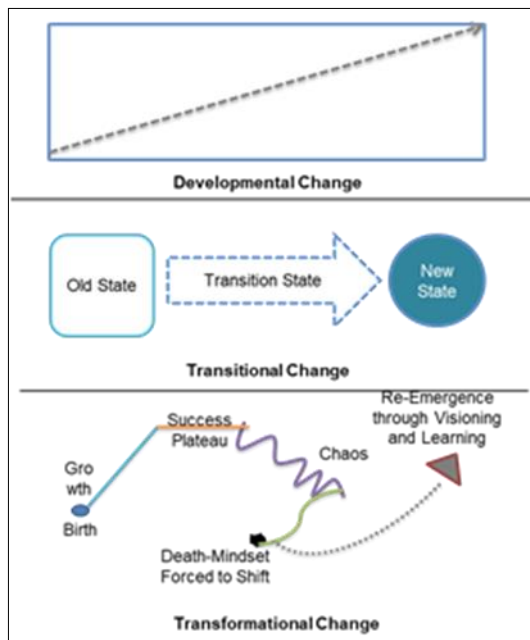
Figure 4: Types of Change (adapted from Anderson & Ackerman 2001)

This study considers organisational change in all its forms as identified by Anderson and Ackerman (2001) and Cao and McHugh (2005) and more recently Kuipers et al. (2014). The intention of considering all three forms is purposeful in its attempt to gain a holistic understanding of the impact of organisational change in financial services. Based on the alarming rate at which change is required in financial services, it is safe to assume that all three forms of change are required (Kshetri, 2016; McKinsey, 2017; Sharma & Saini, 2017). Developmental change in ensuring the correct level of skills, abilities and processes for the people resources that are required to work in a transformed financial sector, transitional change moving from the traditional notion of financing to incorporating some of the newer technologies such as big data and agility (Kshetri, 2016; Silva da Silva, Selbach Silveira, Maurer, & Hellmann, 2012) and finally transformational change, which requires a complete overall of the notion of financing leading to banks re-imagining the world of financing – a good example is Bank Zero ("Bank Zero - to be the change," n.d.).

## 2.3.1 Organisational change impacts

Regardless of the type of change or order of change (Anderson & Ackerman, 2001; Cao & McHugh, 2005; Kuipers et al., 2014), all change impacts the recipients of change. Organisational change is said to affect current people, process and system practices within organisations and the way in which these impacts are acknowledged and supported by those that drive change, will lead to enhanced change outcomes (Buono & Kerber, 2009). According to Anderson and Ackerman (2001); Zakaria et al.(2011) change strategies that

support and manage incoming change will vary depending on the severity of the change impact. The severity of these impacts are assessed by various tools and methods which measure readiness of the organisation to shift from the current state (as-is) to the new state (to-be) (Rafferty, Jimmieson, & Armenakis, 2013). This is based on the various orders of change which impact at a personal level, organisational or sectoral level (Kuipers et al., 2014). It has been noted that the severity of the change impacts will determine the level of robustness in the change management strategies and in some shape or form will impact the relationships in the workplace.

## 2.4   Impact of change on workplace relationships

Organisational change is known to result in breach of the current employment contract and thus has the ability to "destabilise the employment contract" (Conway et al., 2014, p. 738) which directly links with this study. In exploring how change impacts workplace relationships, the elements of interdependence, exchange and relations which are founded in SET will be reanalysed. Based on the understanding of SET provided by Tsui et al.(1997) and Cropanzano & Mitchell (2005) the possibility of two of the four relationship types which are 1. Quasi-spot, 2. Mutual investment, 3. Underinvestment and 4. Overinvestment relationships should present itself in the workplace.

It is unusual for pure quasi-spot and mutual investment to be present in the traditional forms of employment, however for the purposes of this study, employment contracts that follow underinvestment and overinvestment relationship types will be considered. This refers to employment contracts in which elements of both economic and social exchanges exist. These employment relationships are contracted by means of a legal document which binds the employer/organisation (hiring party), and the employee (party offering the service) to certain conditions. The employment relationship is legally governed by the employment contract, (Payne, Culbertson, Lopez, Boswell, & Barger, 2015). Economic exchanges generally form part of the legal contract hence misalignment has legal recourse and is seldom the reason for over or under investment. Over and under investment is due to skewed social exchange which is as a result of a misaligned tacit, psychological contract (Jackson, Wright, & Davis, 2012)

According to Shore and Barksdale, (1998); Shore et al. (2004), employment exchanges that consider the wellbeing of employees and interactions that are reasonable and beneficial will result in productive work behaviour. Shih and Chen (2011) postulate that satisfaction in the implied psychological contract leads to organisational commitment, innovative behaviours and long-term employment which in turn contribute to the positive function of the

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organisation. This confirms that satisfaction of the implicit and explicit contract leads to enhanced employee behaviour and advantageous organisational outcomes.

## 2.5   Role of leaders in driving change

### 2.5.1 Level of leadership

Change management cannot occur in isolation and requires a skilled force to manage this change. There has always been a reliance on the leader to drive change in some form or degree (Buono & Kerber, 2009). As stated previously, managing change is a bi-directional process i.e. top down and bottom up approach (Moran & Brightman, 2000) as depicted in Figure 3. The concept of top down and bottom up is well articulated in the work of Heyden, Fourné, et al. (2016) top management (TM), is regarded as senior management generally responsible for initiating change. Ruiz, Ruiz and Martínez (2011) confirmed that TM are senior managers who are responsible for the strategic direction of the organisation. They possess a level of power and can make decisions for the entire business unit or area and are seen to be held to the greatest corporate ethical responsibility by their subordinates. These managers are pivotal in the change management process and are well known to initiate the change (Heyden, Fourné, et al., 2016). Heyden, Fourné, et al. (2016) referred to leaders who lead from the bottom up as middle managers (MM) generally responsible for executing and mobilising the change. MM are seen as the layer of management which interfaces TM and daily operations and due to this positioning are seen to be very influential in change execution. MM's in their attempt to move towards more strategic leadership can resort to leading change which can impact career progression, credibility and development (Mom, Fourne, & Jansen, 2015).  Both TM's and MM's are key change agents in the broader change network.

In addition to the reporting level of these leaders, it is important to understand the impact of owner leaders versus non-owner leaders on the change process. It is reasonable to assume that owner leaders would view change very differently to non-owner leaders since they have a stake and or investment in the endurance of the business. As indicated in the preceding chapter, non-owner leaders have a different association with the organisation then owner leaders who are deemed the direct recipients of profits and losses and will be impacted by change differently (Redlich, 1949; Simsek, Jansen, Minichilli, & Escriba-Esteve, 2015).Simsek et al. (2015), referred to owner leaders, as "strategic leaders" who have the characteristics of understanding and aligning both the "external and internal environments"

of the organisation; they work well within the VUCA environment and rely on others to get the job done (p.466). Some of these characteristics may be aligned with senior leaders, it is important to note the complexity of the impact of change on the direct profit and loss to the organisation, this is, however, not a factor that will be studied for this research paper.

## 2.5.2 Leadership characteristics – skills and competencies

Postulated by Anyieni (2016); Buono & Kerber (2009) (Anyieni, 2016)(Anyieni, 2016)change management is an essential skill for all leaders as it allows leaders to work with complexities such as human behaviour, external pressures, changing technologies, environmental changes and strategic changes which are consistent with the VUCA environment (Bennett & Lemoine, 2014). Leaders are the conduits of driving change and are seen as role models whose behaviour is constantly observed in relation to the required change (Anyieni, 2016). Moran and Brightman (2000) identified key characteristics of leaders who drive change however Buono & Kerber (2009) challenged this notion by stating that leaders have traditionally been better equipped to handle planned change and more recently are gearing themselves proactively seeking change for the betterment of their organisations. These leaders are challenged to quickly align themselves with future demands by not simply scanning the current competition and landscape but embracing a future-forward mindset and actively seeking the change that this brings. They are looked upon to create an inspiring vision with a compelling business case for the change and are referred to as visionary leaders (Groves, 2006). Visionary leaders are celebrated for their ability to motivate, influence, and create an inspiring and viable future forward vision (Groves, 2006). They are required to mobilise change by creating an environment that is conducive for all those moving through the change cycle. Visionary leaders need to work with recommendations on instilling new ways of operating; exhibit dedication in driving the change; constantly evaluate the results and deploy strategies to maintain change (Moran & Brightman, 2000).

Leaders have to manage employees' cynicism to change, which can be attributed to "change fatigue". Change fatigue is the exhaustion experienced by recipients of change due to much change implementation over short periods of time, or change recipients' belief that poor management practices are the result of previous change failures (Brown, Kuli, Cregan, & Metz, 2017). It can also be  or a "complex and relatively unexplored psychological phenomenon at the individual level (Senior and Swailes,2010" as cited in Georgalis et al., 2015, p.90).

According to McCleskey (2014) leadership theories, characteristics and behaviours have been thoroughly documented since the early 1900's and much debate has gone into the frameworks that support leaders driving change. The concept of transformational leadership was positioned in the early 90's in Burke and Litwin's model and proposes that transformational factors lead to adoption of new behaviours as a result of interaction with internal and external environment. These factors include leadership, culture and strategy (Burke & Litwin 1992) and are integral to successful change management. Spangenberg and Theron (2013), criticised this model as it had not been adapted since 1992, however the concept of transformational leadership is still one that has proven valuable in the change arena.

Bolden (2004), suggested that a lot more focus has moved towards leadership competencies, which are broadly defined as a "set of principles, abilities and actions exhibited by the leader that inspire that encourage involvement, progress and commitment of followers" (p.13) which is closely aligned to the concept of <u>transformational leadership</u>. Transformational leadership according to Ghasabeh, Soosay and Reaiche (2015) is built on the premise of creating a better work environment so that followers are inspired to perform.

The qualities associated with integrity, authenticity, concern for people, self-awareness, and empathy differentiates good leaders from great leaders, Goleman (2012), also gives rise to the concept of <u>authentic leadership</u>. From transformational leadership, authenticity is seen as the "moral compass" by which transformational decisions attain implementation (Clapp-smith, Vogelgesang, & Avey, 2009; Sparrowe, 2005).

Their skills to "communicate, work within ambiguity, take decisions that can be applied to an assortment of contexts" (p.15), which Bolden (2004) and McCleskey (2014) refers to as <u>situational leadership</u> also referred to as <u>adaptable leadership</u> and is more aligned to task orientation as opposed to people orientation (Bolden, 2004; McCleskey, 2014). Leaders are well sought for their business acumen, stakeholder management, data integration and ability to create and innovate (Bolden, 2004; Simsek et al., 2015). This can be assimilated to transactional leadership, which involves the generic exchanges between leaders and followers in attaining business as usual objectives (McCleskey, 2014). Research on leadership also unveiled leadership traits of humility and serving those that they lead, placing emphasis on the people as opposed to focusing on personal needs. This is identified as <u>servant leadership</u> and recognises leaders that are more concerned about others than themselves and build strong relationships with their subordinates and through their strong sense of people, they motivate and encourage people to perform at their best in the workplace (van Dierendonck, 2011; Owens & Hekman, 2012 and Liden, Wayne, Liao, &

Meuser, 2013 ).

Evidence founded in literature reinforces the importance of the optimal combination of skills, competencies and characteristics of a leader in the change process. This highlights the complexities, speciality and uniqueness inherent in discovering such a leader. The myriad of competencies, skills and characteristics required for good change leaders may prove to be a tough task for organisations albeit the dire need for organisations within financial services to expedite the change journey. According to Gilley, Dixon and Gilley (2008), leaders are instrumental in driving innovation and change within organisations and their skill or lack thereof will directly influence change implementation. Some of these competencies and skills are teachable however the uniqueness of certain characteristics are innate and may only be uncovered through vigorous assessments and internal organisational support, proving the task of employing the correct change leader a mammoth one indeed.

## 2.6 Dual roles - driving change and being impacted by change

### 2.6.1 Leader as change agent

It is evident that leaders who are involved in the change process require a myriad of competencies, skills and characteristics. Leaders do fulfil a numerous role in fulfilling their duties. However, the two roles that are of importance to this study are those of a leader as a change agent and as a change recipient. The dilemma of the leader fulfilling these two roles is of interest and unpacking this dilemma (Shih & Chen, 2011) could lead to enhanced effectiveness of change management practices and successful change implementation in the financial industry. This study makes reference to leaders as change agents and Ford et al (2008), stated that change agents are advocates of change and are seen to drive change by "doing the right things" (p.362). Change agents are part of the larger change network that aids the overall change.

According to Moran and Brightman (2000) the change leader is seen as a highly skilled change professional (who does not necessarily possess a change qualification), with the role of challenging employees to "align their purpose, identity and mastery" (p.68) to the change in an environment of safety. This environment for change is best co-created with the involvement of senior leaders and to some degree subordinates. This once again reinforces the importance of the bi-directional responsibility (Heyden, Fourné, et al., 2016; Ruiz et al., 2011) that is incumbent of the leader/change agent. Carter, Sullivan, Goldsmith, Ulrich and Smallwood (2013), defined change agents as "persons at any level of the organization who

are skilled at initiating, facilitating, and implementing change" (p. 517). Gilley, McMillan and Gilley (2009), stated that leaders possess the ability to openly influence change activities in the work environment through their conduct and performance. This is further iterated by Gerwing (2015) who proposed that leader change agents possess essential skills and competencies to support the change effort. Lippitt's phases of change model, purports that agents are responsible for driving the change and do so by continuously sharing information through communication, to enable widespread adoption of change (Kritsonis, 2005).There may be a myriad of definitions to describe a change leader but the importance of this role in the change process should not be underestimated. The role of change agent is not a standalone one but merely a component of the complexity that exists within the role of leader. These leaders have the immense task of driving change and innovation not only for the survival of the organisation but for the livelihood of subordinates (Buono & Kerber, 2009).

Aside from skill and abilities, there is also the emotive aspect of leading people through change. According to Fullan (2001) ;Fullan (2002) and Goleman (2012); the emotive perspective relates to emotional intelligence which should not be underestimated when leading people through change. The top five categories of emotional intelligence skills required by leaders is self-awareness which refers to the level of understanding ones "strengths, flaws, values and impact on others";  self-regulation which relates to the ability to control "disrupting impulses and tempers"; motivation which is the drive to achieve; empathy, understanding other people's reactions and emotions and social skills, building connections with "others to move them in a particular direction" (Goleman, 2012, p.1). According to Fullan (2002),  good change agents don't just understand the change and impact thereof, they have the ability to understand the impact on others and align with recipients.

Empirical evidence points us in the direction that change fails due to unfortunate strategic decisions, unsuitable expertise and technology, poor choices, timing etc. Nevertheless, the majority of failures can be attributed to implementation and this shines the spotlight on the leadership role in effective implementation (Miller, 2001; Sing, 2013). Charisma, courage, and determination are descriptors of great change leader traits, so too is the importance of emotional intelligence for those who drive change. Miller (2001) stated that great change leaders understand the cost of failed change and agents need to advocate for commitment, reduced resistance, sense-making which propels change adoption.

The change leadership framework, purported by Miller (2001) identifies three key components for agents to be successful when driving change. The first being adaptability, which is referred to as the aptitude of leaders to effectively drive change, also known as

"built that way". Indicators of adaptability are optimism, confidence, innovativeness, collaborative, sense of purpose, well-organised and future orientated (p.363). Secondly, resilience which refers to independent beliefs of change that have evolved over the years due to experience with change and thirdly, the displayed behaviours that leaders exhibit whilst driving change. These behaviours are consequential of the previous two components. Miller (2001), alluded to the notion of personal impact and the level of adaptability "build that way" (p.362) required by change agents when undergoing change; as well as the multiple demands placed on the them by driving the change agenda and the additional pressure placed on agents avoid of exposing emotions. Owens and Hekman (2012), raised the notion of younger leaders having to prove their credibility and develop a reputation versus those who have been in the field for a longer period of time and have built up credibility and resilience to manage change.

Successful change agents have a definitive trait of adaptability, they use their lived experience to drive change and behave in a specific manner. Miller (2001), stated that successful change agents get personally involved in change, they lead by example, role-model the new ways of work, maintain consistency in both "private and public" (p.367) change communication, they build a network for change support, allow for dialogue to address the concerns of recipients and reward change adoption.

## 2.6.2 Leader as change recipient

Literature provides multiple views on employees as change recipients affected by change but it is often forgotten that the leader is an employee as well. As fundamental as change agents are to the change process, so too are change recipients. The change outcome is hinged on their acceptance of the change (Bartunek, Rousseau, Rudolph, & DePalma, 2006). The successful implementation of any change rests in the acceptance, adoption and integration of  change by change recipients (Oreg, Vakola, & Armenakis, 2011).

According to Ford et al. (2008); Oreg et al. (2011); Piderit (2000), change recipients reactions to change can be categorised by the following, "affective reaction" characterised by "negative or positive reactions" such as anxiety or acceptance (Schumacher, Schreurs, Van Emmerik, & De Witthetty, 2015), "cognitive reaction" characterised by "change evaluation and change beliefs"  and "behavioural reaction", characterised by recipients "involvement, behavioural intentions and coping behaviours" (p.466). Choi (2011), postulated that change recipients' attitudes to organisational change centre on 1) readiness to change, 2) commitment to change, 3) openness to change and 4) cynicism towards the change.

Buono and Kerber (2009); Choi and Ruona (2011) , discussed the concept of change readiness at length. There is a commonality in literature over the multiple definitions that elucidates readiness as change recipient's beliefs and feelings towards the organisation's capacity to change, the extent to which change is required and the possibility of positive outcomes for both the organisation and its members (Choi, 2011, p.482). Readiness to change is fuelled by policies supporting change; supportive and trusted peers and leaders and participation in change efforts (Choi, 2011; Choi & Ruona, 2011). Commitment to change according to Choi (2011), has been studied extensively in comparison to the other attitudes and is considered pivotal in explaining behaviour and exchange that support work deliverables. It is considered the employees association and strength to the organisation and can be assimilated to leader-member exchange and perceived support as features in social exchange theory. Openness to change is regarded as a personality trait and is associated with cognitive and behavioural flexibility in coping with change and can be assimilated to progressivism, an ability acknowledged by which serves as an enabler of change.

Cynicism is a common change recipient response and has been linked with resistance to change and for the purposes of this study it has been integrated in the work of Brown, et al (2017) ; Choi (2011). Cynicism towards change is defined by three components 1) a lack of belief in the organisation's/leaders' integrity, 2) change brining a negative impact to the organisation and 3) behaviour towards the organisation that is consistent with these negative beliefs. Empirical evidence supports "resistance to change" as a major reaction to change, on the part of change recipients, however, Piderit (2000) suggested an alternative perspective on resistance to change. Resistance is traditionally seen as conflict in maintaining the current state and refusal to move into the unknown changed state from a complacent viewpoint, however it is perceived as very negative and change agents have been cautioned to deal with resistance. It must be acknowledged that legitimacy exists in resisting change; and should not be an assumed part of the "holding on to the past" ideology. Therefor change agents should not just manage resistance but take time to understand resistance and cynicism to change (Brown, Kulik, et al., 2017).

Avey, Wernsing and Luthans (2008), provided a view on the positive disposition of change recipients and its impact on change adoption. They proposed that change recipients who are motivated, navigate change to deter hindrances, display enthusiastic characteristics during times of adversity and uncertainty, are positively orientated towards the future and are key facilitators of change adoption. These traits are seen to be enablers of change and contradict resistance, which is commonly associated with change recipients (Oreg et al.,

2011).

Change agents and recipients each have a specific role to play in the change process. Based on empirical evidence, it is essential that change agents possess critical and characteristics required to drive change and work with their own anxieties as well as the anxieties of those they lead through change. It is also interesting to recognise the similarities in characteristics that is required by both agents and recipients and these are adaptability, sense-making and emotional awareness.

## 2.6.3 Challenges experienced by leaders in fulfilling the dual roles

Challenges regarding change mobilisation and adoption have been expressed in pockets throughout the literature review; however, the challenges experienced in fulfilling the dual roles will be discussed at length. Change as stated by numerous authors such as Georgalis et al. (2015) ; Sing (2013) brings about movements in the current status quo, it affects process, technology and people. All three of these elements bring about agitation however this is exacerbated by the people element. This people dynamic creates multiple challenges for the management of change but the focus of this paper in not on general challenges regarding change management, but on the challenges faced by the leader in driving change as an agent of change and the challenges inherent in being directly affected by the change in the capacity of change recipient.

As stated in the previous sections 2.6.2 and 2.6.3, change agents and change recipients have very specific roles and responsibilities in the change process. In order for either roles to move along the change curve as depicted in the figure below (Rosenbaum, More, & Steane, 2018) it is essential to create an understanding of the change – also known as sense making (Barratt-Pugh, Bahn, & Gakere, 2013; Brown, Kulik, Cregan, & Mets, 2017; Cings et al., 2016; Kumar, Payal; Singhal, 2012; Pasmore & Barnes, 2017). Sense making strengthens as one moves along the change curve. It is human nature to experience the emotions of denial, frustration, depression, experimentation, decision about the impact of this change which finally leads to a level of integration. Albeit that the process and length of time differs for each individual and the possibility of the leader progressing through this curve twice in fulfilling the dual roles of change agent and change recipient.
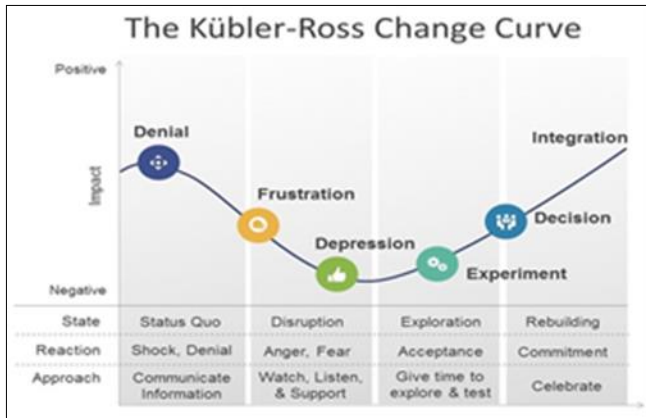
Figure 5: Kubler-Ross change curve (adapted from Rosenbaum, More, & Steane, 2018)

Making sense of the ambiguity in change, when one person is faced with both roles, can pose a massive challenge. On the one hand the leader as a change agent must make sense of the change that has transcended from senior leaders in order to share some understanding (sense giving) with their subordinates to enable the change adoption process. This refers to the change agent managing the relationships that have developed as a result of the workplace environment. On the other side the leader as a change recipient must make sense of how this change impacts their role as an employee and their obligations in terms of meeting explicit contracted deliverables to ensure the element of exchange is fulfilled. There is evidence of the element of interdependence of the bi-directional relationship between the leader and senior leader and leader and subordinate in managing the complexity of the duality.

The reputation of the leader is another notable challenge. Blass and Ferris (2007), defined reputation as the leaders identity formed over time by displaying a combination of elements such as individual characteristics, achievements and observed behaviour by the leader's followers (p.7). This reputation is associated distinctly with the duality of the leader's role in driving change and being impacted by change. Reputation is either reinforced or debilitated through the collective of followers based on their perceptions of the leader in times of change (Blass & Ferris, 2007). As stated previously, reputation and credibility is developed over the lived experience of both change agent and change recipients, and is closely related to resilience (Heyden, Fourné, et al., 2016; Owens & Hekman, 2012). It is importance to note that empirical evidence points in the direction that the seniority of the leader directly influences their reputation and therefore their ability to manage the inherent complexity existent in the dual role of driving change and being impacted by change.

Challenges and stressors related to change can be overcome by deploying some of the coping strategies recommended by (Mack, Nelson, & Quick, 1998 and Terry & Jimmieson,

2003) such as personal resources. These refer to the concept of adaptability identified by Miller (2001), internal or external social support which are sources from the environment available to those impacted by change. Internal to the workplace are, leaders, professional change bodies, employee assistance programmes and other organisational support. A solid relationship with a supportive supervisor/leader is critical for change adoption as it serves as support "in the form of empathy and understanding" (p.95). External support can be found in family, friends, external coaches and other resources that people impacted by change resort to (Mack, Nelson, & Quick, 1998 and Terry & Jimmieson, 2003).

## 2.7    Support mechanisms

## 2.7.1 Support for change agents

In attempting to understand the dilemma faced by these leaders in their dual roles, it is equally important to explore support tools required by these leaders to enable the management of the duality. If there is a heightened expectation of leaders in financial services to drive change and continuously face the duality then support for these leaders are essential. The intent of uncovering the required support mechanisms is to create awareness about the need for these support tools in an attempt to enhance support provided to the leader in fulfilling these dual roles. There are tried and tested models such as Lewin's, Kotters ,Lipptte , Burke-Litwin and many others that assist with the management of organisational change (Schein 1996;  Appelbaum, Habashy, Malo, & Shafiq,  2012; Armenakis & Bedeian, 1999 and Lim & Yazdanifard, 2014).


There is however, limited empirical evidence to endorse the support required by change agents to thrive on this journey of change. According to Barratt-Pugh, Bahn and Gakere (2013) and Sing (2013) managers as change agents require support from leadership. Support from senior leaders is seen as pivotal in the proper execution of this role; lack of support can result in failed change initiatives. Continuous support from senior leadership is important. Senior leaders should share lessons learnt from their change. Coaching, mentoring and other professional development programmes are considered a value add that produces better change agents. Human resources is noted a crucial constituent in enabling support from leadership, developing the correct competencies and advocating for change (Barratt-Pugh et al., 2013).

Additional support tools suggested by Alsher (2016) include reward and recognition to

leverage momentum. Change implementation can be a tough task, often unrewarding and fluctuating with blame, the messenger of change in the form of these agents, serves as a buffer between the recipients of change and senior leaders, hence recognition of their efforts will encourage them. Alsher (2016) advocated that in order for the agents to drive the change, they need to "buy into the change" – they need to be the first adopters of change. Acknowledgment that this is not the agent's full-time role is pertinent to the agent's wellbeing and motivation in driving the change.

## 2.7.2 Support for change recipients

When reviewing support available for those who are recipients of change, there is a plethora of support tools that exist. Change management methodologies and frameworks are implemented not only to assist the organisation in driving the change but in providing sufficient aid for the recipients in adopting the change (Anderson & Ackerman, 2001).

Oreg et al. (2011), having conducted their 60-year review, provides some insights into the support required by change recipients to enable successful change transition. Oreg et al. (2011) in addition to other factors makes mention of internal and process support to enable the recipient journey. The internal elements encompass a supportive environment, culture, trust and commitment; whilst process support refers to regular communication and information sharing, contribution via recipient participation, leadership competence and support and perceived fairness in the reciprocity of the exchange relationship (Cropanzano & Mitchell, 2005). Reinforced in the work of Cullen, Edwards, Casper and Gue (2014) organisational support is a key influencer towards positive attitudes of change recipients and is aligned to the principle of reciprocity as defined in SET. Organisational support, in return for enhanced recipient attitudes, is regarded as a source of exchange in the employment relationship (Cropanzano & Mitchell, 2005 and Varey, 2015).

Support aids for recipients are geared towards reducing uncertainty and accelerating the adoption of the change. In an attempt to reduce uncertainty, Cullen et al., (2014) postulated that change outcomes must be clearly communicated and frequent updates on the progress must be shared with the recipients. Proper planning of the change rollout is also critical to reducing uncertainty and is regarded as support for change recipients. Therefore organisational change should be prudently planned and communicated to ensure recipients are informed and empowered to adopt the change. (Cullen et al., 2014; Ann Gilley et al., 2009). Engagement through recipient participation is also mentioned  as a source of support and is encouraged through training and development, job rotation and other exchanges that

are beneficial to both parties (Cullen et al., 2014; Oreg et al., 2011).

Based on the available support mechanisms, it is evident that there is more support for the recipient of change as opposed to the agent of change. This provides an opportunity for this research to close this gap and supplement it by uncovering the support tools required by change agents to efficiently drive change

## 2.8 Conclusion

In concluding, it is important to reemphasise that the study intends to explore the dilemma faced by leaders whilst fulfilling the dual roles of change agents and change recipient on their journey to driving organisational change. Researching this problem created the opportunity for the elements of the employment contract to be scrutinised against the backdrop of one of the most prominent workplace behavioural theories which is social exchange theory.

The employment environment is plagued by change which is presented by organisational change in all its three forms which are developmental, tractional and transformational change. These organisational changes enables organisations to survive and thrive but requires specific types of leaders to drive the change (Anderson & Ackerman, 2001; Lim & Yazdanifard, 2014). Leaders experience multiple challenges in driving change whilst being impacted by the same change and therefore require specific support tools (Barratt-Pugh et al., 2013) to effectively drive and sustain organisational change efforts whilst caring for their psychological wellbeing.

# Chapter 3: Research objectives

## 3.1    Introduction

This qualitative study aims to answer three specific research questions outlined below. Each of these research questions has been derived from the reviewed literature and aims to enhance the current body of knowledge and contribute to filling some of the identified gaps (Saunders & Lewis, 2012) regarding the overarching question. The overarching research question pertains to the dual role of non-owner leaders driving change and the impact of change in their capacity as change agent and change recipient, with the aim of exploring existing dilemmas, if any, that leaders face in fulfilling these dual roles. Understanding this dilemma is pertinent services as the financial services is in dire need of accelerated change and failure to move and change faster may lead to the demise of this sector. Understanding this dilemma also advances the knowledge and awareness regarding support required by these non-owner change agents who fulfil these dual roles on their change journey.

## 3.2    Introductory questions

In order to arrive at the research objectives some introductory questions were required. These questions paved the way for the research objectives and set the correct tone for the interviewees. Part of these questions are linked to the various research objectives and the discussion found in chapter 6.

## 3.3    Research objective one:

**What elements in the employment relationship are affected by driving change – a Social Exchange perspective**

This objective aims to identify how change affects the employment relationship of the leader fulfilling the dual roles of change agent and change recipient. Exploratory research advises that change impacts all employment relationships (Hom et al., 2009) but the intent of this objective is to uncover the impacts of one individual leader double hatting to drive organisational change and simultaneously being impacted by the change. This objective will be assessed against the backdrop of social exchange theory as this theory covers multiple elements contained in the employment relationship such as social and economic exchange, relationships and implicit and explicit contracts (Barbalet, 2017; Varey, 2015). This objective unpacks management of change from a leader driving change and from a change recipient

impacted by the very same change. It tries to uncover if any dilemma exists in fulfilling these dual roles simultaneously and seeks to understand the coping mechanisms deployed in the management of these dualities.

**Secondary questions:**

The secondary questions that support research objective one, explores the components of employment relations which refer to the leader as a change agent and a change recipient. It further explores the existence of the dilemma with a view on the coping strategies deployed when faced with the dilemma.

## 3.4    Research objective two:

**What are the apparent differences in expectations and perceptions of the employment relationship for the leader driving change?**

This objective aims to uncover any differences in expectations and perceptions of the leader acting as a change agent from the perspective of their subordinates and senior leaders. This objective is closely aligned to the employment contract, workplace relationships and workplace behaviour. It aims to explore any differences or alignments in the leader driving change and the leader fulfilling their contracted duties in their employee (change recipient) role, and hence the questions are asked from both perspectives. Of importance is understanding the duality of the roles influencing the leader and the views of how this is reflected in the senior leader and subordinate bi-directional relationship framework as depicted in Figure 3).

**Secondary questions:**

The secondary questions that support research objective two, explore expectations and perceptions of the leaders' employment relationship in their pursuit of driving change. The secondary questions delve into the bi-directional relationships of subordinates and senior leaders and explore any unwritten expectations that could emerge.

## 3.5    Research objective three:

**What support tools are required to assist the leader in managing the conflict that arises as a result of their dual roles in driving change?**

The primary aim of this objective is to explore the support tools that are required to assist the leader with managing the dual role brought about through the voyage of organisational

change. Research makes mention of multiple support tools for change recipients (Bartunek et al., 2006; Kumar, Payal & Singhal, 2012) impacted by change and change agents driving change (Barratt-Pugh et al., 2013; Sing, 2013). This objective aims to identify the different types of support tools required to support these change agents, the level of awareness of these support tools, the effectiveness of these tools in the change journey

**Secondary questions**

The secondary questions that support research objective three, explore support tools available to change agents and tools required by agents to effectively manage the dilemma that may exist in the non-owner leader fulfilling these dual roles inherent in change.

# Chapter 4: Methodology

## 4.1 Introduction

This chapter provides an understanding of the research methodology that was deployed for this study. It details the research approach and design that was undertaken and provides a view of the sampling techniques implemented for this study. It documents the instrument utilised for data collection, with insight on maintaining reliability and validity of the data. In addition it provides a detailed view of the data analysis process that lead to extrapolation of themes by engaging the process of thematic analysis. This chapter concludes with insight on ethical considerations and limitations inherent in the study.

## 4.2 Research approach

This research study extends itself towards exploration in which interpretive philosophy served as a guide to the research approach. As stated in Schwandt (1994) interpretivists view reality not as a single construct but through the various lenses of peoples experiences. Hence this study involves the researcher's interpretation of various phenomena that emerge post engaging these non-owner leaders, through face to face interviews, regarding their dual role of driving change and being impacted by change in an environment that is common to these participants. "Intrepretivism relates to the study of social phenomena in their natural environment, it is a research philosophy which advocates the necessity to understand differences between humans in their role as social actors" (Saunders & Lewis, 2012, p. 106).

Multiple factors were considered when selecting the research methodology and the decision to undertake a qualitative versus quantitative study and an inductive versus deductive approach (Bryman & Bell 2011). Whilst exploring the literature, it was realised that while abundant research has been invested in change, leadership, and social exchange theory, a gap exists in research relating to the dual role of leaders driving change and being impacted by change. Based on the aforementioned, it was deemed fit to conduct exploratory research to uncover the phenomena and "discover true inner meanings and new insights (Zigmund, Babin, Carr, & Griffin, 2013, p.133) inherent in the dual role of leaders driving change and being impacted by change (Zikmund, Babin, Carr, & Griffin, 2009).

Due to its subjective nature, there may be misconceptions around the credibility of data extraction from qualitative research methods, the possibility of skewed outcomes and the inability to reproduce the data. However, qualitative research has found its place in world of

research (Bowen, 2008; Bryman & Bell, 2011) and is well suited for the social sciences and exploring organisational behaviour hence appropriate for the study of the dual roles of leaders in the change process (Jonsen, Fendt, & Point, 2018).

According to Zikmund et al. (2009), qualitative research in well vested in providing explanations of occurrences without reliance on numeric data and in doing so addresses business and research objectives. However, the limitations of qualitative research methods have been considered and principles of quality and validity were adhered to by the researcher (Golafshani, 2003) .

## 4.3    Research Design

An inductive mono approach was applied for this study, by engaging a small sample of twenty-one non-owner leaders regarding their dual role of driving change whilst simultaneously being impacted by the change. As stated in Saunders, Lewis and Thornhill (2009) a small sample from the study population is sufficient to gain perspective on the problem. Furthermore, an inductive approach is consistent with qualitative research (Antwi & Hamza, 2016; Bryman & Bell, 2011). According to Saunders et al (2009), it is recognised that the researcher is part of the research process and is less concerned with the need to generalise to broader populations but rather concerned with the study of the specific phenomenon in its context. Inductive research, results in theory from observations aligned to the research question and encompasses the process of drawing generalisable inferences from the data collected (Bryman & Bell, 2011).


The phenomena that emerged when interviewing non-owner leaders in financial services regarding their dual role of driving change and being impacted by change is of interest to the researcher. Inductive research does imply an iterative process however, due to limited time constraints in which this research report had to be concluded, a multi-method was not conducive as there was insufficient time to approach the sample a second time. To counter the constraint of time, semi-structured interviews, as part of the survey method, were conducted. This provided the researcher more control in terms of data collection (RWJF, 2016) as the researcher was able to conduct member checks on specific phenomena that were ambiguous or unclear from the semi-structured interviews. The data was collected once-off between the period of 19 June 2018 and 31 July 2018 and not tracked over an extended period of time, affirming a cross sectional study (Saunders & Lewis, 2012).

Qualitative research aligns with exploratory research and "is a first step, conducted with the expectation that additional research will be needed to provide more conclusive evidence" (Zigmund, Babin, Carr, & Griffin, 2013, p. 54). Exploratory research aims to clarify ambiguous conditions through open-ended questioning techniques that lend themselves to a wide variety of answers and does not limit the informant in any way. It is not intended to provide definite evidence to steer a specific course of action and raises valuable insight based on the informant's perspective, thus eliminating researcher bias (Bryman & Bell, 2011).

Exploratory research aims to explore the unique phenomena in the study of the dual role of leaders driving change and being impacted by the change. These unique phenomena emerged through an inductive approach, which follows the process depicted in Figure 6. Firstly, through a series of observations conducted via the interviews, secondly; seeking patterns in the informants answers to the open-ended questions, thirdly; linking these findings to the research objective of leaders driving change and being impacted by change and, fourthly; linking it back to theory or adding to the theory base therefore lending the recommendations and conclusions to the possibility of identifying alternative avenues to the research topic, which can be explored for future research.
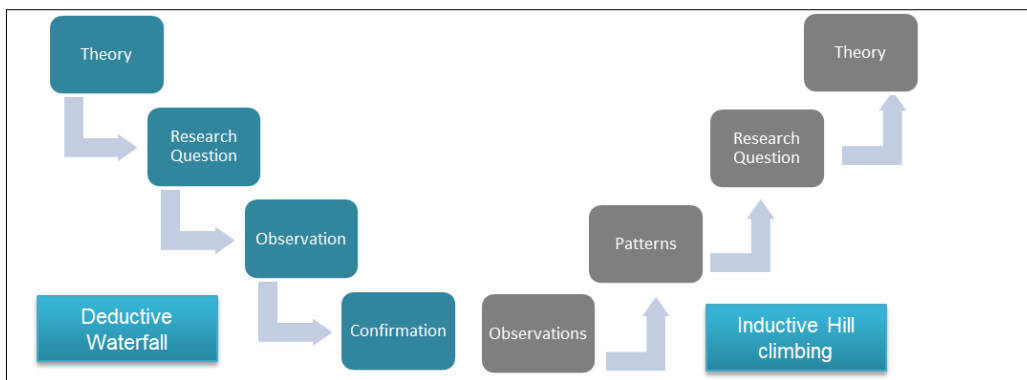


Figure 6: Inductive versus Deductive Research (adapted from Burney, 2008)

The researcher utilised Creswell's (2013) qualitative research techniques as summarised below:

- Natural Environment: Data was collected by engaging participants in their natural environment; there was no requirement on the participants to move into a central data collection environment.
- Researcher is key: Data was collected via the researcher through a predetermined semi-structured interview.
- Various document sources: The researcher was not solely dependent on one source of data, during the interviews field notes were captured based on observed

behaviours and audio-visual recordings was transcribed for data analysis (audio visuals and transcribed interviews are available on the submitted electronic disc).

- Inductive data analysis: This allowed the researcher to work between the data collected and literature reviewed to develop codes, categories and themes to support the overarching research question.

- Meanings extracted from the participants: Throughout the analysis, the feedback provided by the participants was analysed for meaning, their words and quotations invoke meaning towards the research objectives hence specific quotations are listed in findings and discussion.

- Iterative design: Due to the nature of qualitative research, the design was not fixed at the onset and changed as the data was collected based on meaning attributed by the participants to the problem at hand.

- Universal interpretation: The researcher tried to develop a complex picture of the problem by reporting on "multiple perspectives, identifying the many factors involved in a situation, and generally sketching a broader picture. (Creswell, 2013).

## 4.4    Population and sampling

### 4.4.1 Target Population criteria and Unit of Analysis

A population is a group of people who share similar characteristics (Zigmund et al., 2013) or a complete set of group members (Saunders, Lewis, & Thornhill, 2009). The population of interest is reflected in Table 1 and displays the non-owner leader (those who do not have major shareholding or investment in the company), their experience in leadership, their tenure at the current organisation and their shareholding. As stipulated in chapter one, non-owner leaders are defined as leaders who have been bestowed the title of leader by the organisation. These leaders do not have ownership rights in the organisation by virtue of major shareholding. Non-owner leaders   have a different association with the organisation than owner leaders who are deemed to be direct recipients of profits and losses hence they are impacted differently by change (Redlich, 1949; Simsek, Jansen, Minichilli, & Escriba-Esteve, 2015). The financial industry is a direct contributor to the economy and comprises of institutions such as banks, investments funds, and insurance companies which provide financial services to commercial and retail customers (Zalan & Toufaily, 2017).

As stipulated by Heyden (2016), TT and MM are of particular importance to the study due to their direct involvement in driving organisational change and based on their positions are recognised as the employer by the subordinates they lead. Alternative lenses on further

demographics such as gender, age, religion, race, and ethnic background were not used to narrow the population; however, the amount of time spent in leadership and tenure was requested as part of the introductory questions and will be unpacked in chapter five and six.

The population criterion was further divided into top and middle managers who have experienced organisational change as indicated by Anderson and Ackerman (2001) , in the broad categories of developmental, transitional or transformational over the last 12 to 24 months. The broad categorisation of change was intentional as the study aims to understand holistically the dual role of leaders driving change in their capacity of change agent and being impacted by this change in their role of employee.

Out of a sample of 21, 13 are senior leaders (top managers) and eight are middle managers.

Table 1: Sample population

| Informant No | Company | Level of leadership | Leadership experience in years | Tenure in years | Gender | Shareholding | Interview Duration |
|---|---|---|---|---|---|---|---|
| 1 | First National Bank | Senior | 10 | 14 | Male | No | 40.53 |
| 2 | Absa | Middle | 10 | 4 | Female | No | 41.42 |
| 3 | Absa | Senior | 7 | 4 | Female | Yes - minor | 56.09 |
| 4 | Absa | Middle | 20 | 7 | Female | No | 25.23 |
| 5 | Nedbank | Middle | 1 | 1 | Female | No | 30.57 |
| 6 | Nedbank | Middle | 1 | 4 | Female | No | 35.05 |
| 7 | Rand Merchant Bank | Middle | 15 | 15 | Male | No | 35.25 |
| 8 | Absa | Senior | 12 | 20 | Male | Yes - minor | 48.41 |
| 9 | Absa | Middle | 5 | 2 | Female | No | 27.55 |
| 10 | Standard Bank | Senior | 22 | 29 | Female | No | 29.57 |
| 11 | Nedbank | Senior | 5 | 14 | Male | Yes - minor | 41.76 |
| 12 | First National Bank | Senior | 15 | 15 | Male | Yes - minor | 32.38 |
| 13 | Old Mutual | Senior | 30 | 17 | Male | Yes - minor | 42.43 |
| 14 | Investec | Middle | 3 | 18 months | Female | No | 22.78 |
| 15 | Investec | Senior | 7 | 2 | Male | Yes - minor | 23.53 |
| 16 | Standard Bank | Middle | 12 | 4 | Female | No | 29.01 |
| 17 | Standard Bank | Senior | 6 | 4 | Male | Yes - minor | 27.51 |

| 18 | First National Bank | Senior | 12 | 1 | Male | Yes - minor | 47.26 |
|---|---|---|---|---|---|---|---|
| 19 | Discovery | Senior | 18 months | 12 months | Female | No | 25.10 |
| 20 | Discovery | Senior | 13 | less than 12 months | Male | Yes - minor | 36.33 |
| 21 | First National Bank | Senior | 11 | 5 | Male | No | 60.02 |

## 4.4.2 Unit of analysis

"The unit of analysis for a study indicates what or who should provide the data and at what level of aggregation" (Zigmund et al., 2013, pg. 119). The data was collected by interviewing non-owner leaders, commonly known as top and middle managers from the financial services industry. The selection inclusion criteria was based on leaders who have undergone developmental, transitional or transformational change (Middlemiss, 2011) within the past twelve to twenty four months. The opinions and experiences of the sample population was analysed and interpreted to provide insight into the dilemma of the dual leadership roles of the change agent and change recipient (Elo & Kyngäs, 2008). The results of the findings are displayed in chapter five and the analysis is discussed in chapter six.

## 4.4.3 Sample Frame, Size and Sampling technique

The sampling method that was undertaken is non-probability sampling, due to there being an unknown chance of selecting each informant in the sample (Bryman & Bell, 2011). The population criterion being top and middle managers in financial services who have undergone organisational change in the past twelve to twenty-four months is vast and there is an unknown change of selecting a particular informant from this sample. The method of sample selection consisted of both snowball and purposive sampling.

According to Bryman and Bell (2011), purposive sampling is used to select the sample in a "strategic manner to ensure that the sampled informants are appropriate to the research objectives and questions being posed" (p.442). Purposive or judgmental sampling was utilised in organisations where the researcher had access to a network of managers. The researcher used judgment in selecting leaders to ensure the informants met the study inclusion criteria. These leaders, based on their experience, are best suited to contribute to the research objectives and are indicative of the population (Saunders & Lewis, 2012). One of the main benefits of purposive sampling is that appropriate individuals were identified by

the researcher to ensure contribution to the research topic. It is important to understand that while this may have an elements of judgement, the researcher has a detailed understanding of the topic as well as a high skill set to minimise bias. (Zikmund et al., 2009).

According to Bryman and Bell (2011) snowball sampling falls within the realm of non-probability sampling techniques, in which the researcher originally contacted a small group of the sample population and based on these networks was referred to a boarder network that fits the sample population. Snowball sampling was utilised in organisations where the researcher did not have access to a network and was not familiar with the leadership population. The researcher sought assistance from the network identified through purposive sampling, to identify samples in other organisations. This sampling technique was utilised to identify samples within the financial services industry from multi-national institutions which comprise of banking, insurance and financial advisory institutions (Saunders & Lewis, 2012).

A homogenous sample is referred to as having similar characteristics which can comprise of title, type of organisation, leadership level, tenure etc. In this study the similarities refer to top or senior non-owner leaders within financial services, who have experienced change in the past 12 to 24 months (Zigmund et al., 2013). The homogeneous sample selected originally consisted of twenty-two informants but due to disparity of location and availability, the one informant had to withdraw. This resulted in a total sample size of twenty-one who were interviewed with the aim of attaining saturation with the data collected. Data saturation necessitates adding or bringing in new informants from the sample population into the study until no new data can be elicited. If more informants are added post data saturation, the data received will not add value as it would be deemed redundant data (Saunders et al., 2009). In other words, saturation is reached when the researcher gathers data to the point of diminishing returns, when nothing new is being added" (Bowen, 2008, p. 140). As depicted below, initial coding was done using Atlas.ti which highlights a decline of codes (Saldana, 2016) up until interview fifteen, however the codes picked up again at interview sixteen and seventeen. Data saturation cannot be claimed as the researcher still found nuances in the data provided by the twenty-first informant.

Table 2: Atlas.ti coding

| ID | Quotation Count |
|---|---|
| I1 | 73 |
| I2 | 120 |
| I3 | 84 |
| I4 | 57 |
| I5 | 66 |
| I6 | 57 |
| I7 | 36 |
| I8 | 21 |
| I9 | 46 |
| I10 | 26 |
| I11 | 37 |
| I12 | 22 |
| I13 | 26 |
| I14 | 20 |
| I15 | 8 |
| I16 | 29 |
| I17 | 44 |
| I18 | 41 |
| I19 | 26 |
| I20 | 3 |
| I21 | 4 |

The homogeneous sample selected is reflected in the table below. Eight of the informants were selected by means of purposive non-probability sampling and thirteen informants were selected through snowballing techniques by means of referrals from the purposive sample selected (Zigmund et al., 2013).

Table 3: Homogeneous sample

| Institutions | Number of informants | Type of sampling |
|---|---|---|
| Absa | 5 | Purposive |
| Discovery | 2 | Snowballing |
| First National Bank | 4 | Snowballing |
| Investec | 2 | Snowballing |
| Nedbank | 3 | Snowballing |
| Old Mutual | 1 | Snowballing |
| Rand Merchant Bank | 1 | Snowballing |
| Standard Bank | 3 | Purposive |

| Grand Total | 21 | |
|---|---|---|

In studying, the dual leadership roles of change agent and change recipient, through the lens of social exchange theory, the above sample were selected based on the criteria stated below:

- Non-owner leaders who fulfil the ranks of senior or top management and middle management. Non-owner leaders are those who do not have major shareholding or investment in the company.

- Non-owner leaders who are have had exposure to organisational change over the last two years in the financial industry. The two-year time frame was selected for the following reasons; it is a reasonable period to nudge the informant's memory and to ensure a more accurate recollection of the change events.

- Change as a past event is of importance to this study, as it contributed to plausible recollection of the change events on the part of the change agent. Future anticipated change will not add value to the study as the informant's responses would not be that of "lived experience" but rather based on hypothetical responses.

- Non-owner leaders who have held management positions for 12 months or more as duration has a direct impact on the social exchange theory and the explicit and implicit contracts (Shih & Chen, 2011) .

- The researcher has followed the guidelines as stipulated in the  Integrative business research report regulations and obtained ethical clearance before commencement of the semi-structured interviews (GIBS, 2018) ensuring adherence to the principles of informed consent. Participation was voluntary, and confidentiality was maintained as stipulated in the informed consent letter (Appendix C and D). Personal details of informants have not been recorded and their identity is disclosed by referring to them as informant number, their organisations identity has been disclosed by referring to it as organisation during the interview. Where slippage occurred on the part of the informant, that section was redacted on the transcripts. Aa detailed explanation of the process and the study was provided to the informants to gain their buy-in (Grady, 2015).

## 4.5   Research Instrument

The data collection method involved high quality semi structured interviews. Interviews are regarded as an oral questionnaire which seeks to obtain information from the respondents during verbal interaction. It involves a process whereby a researcher solicits opinions on subject matter from informants through verbal interaction" (Yaya, 2014). It is generally utilised for collecting data for qualitative research from experts in the respective field

(Zigmund et al., 2013).

## 4.5.1 Design

The interview process was constructed with the purpose of exploring the dual role of leaders as change agents driving change and change recipients being affected by this change. Semi structured interviews were conducted with the sample by means of a pre-designed questionnaire. The formulation of the semi-structured interview guide followed the process laid out by Kallio, Pietilä, Johnson and Kangasniemi (2016):

1) Identifying the prerequisites for using semi-structured interviews;
2) Retrieving and using previous knowledge;
3) Formulating the preliminary semi-structured interview guide;
4) Pilot testing the interview guide; and
5) Presenting the complete semi-structured interview guide in the interviews.

A semi-structured interview guide/schedule that was vetted via a pilot was utilised to elicit opinions of leaders (as defined above) from multi-national organisations within the financial services industry as depicted in Table 3, post being assessed through a pilot interview. The interviews were conducted personally by the researcher with the predetermined sample of 21 non-owner leaders by means of face-to-face interview.

Requests for interviews with the sample were sent by the researcher by means of email. This email detailed the purpose of the study, the sample selection criteria and the pro-forma informed consent letter. The duration of the interviews ranged from 25 minutes to 60 minutes and were conducted at a location most suitable for the interviewee. This was to ensure an environment that was safe and comfortable for the interviewee to openly share their experiences on the research topic (Kallio et al., 2016). Teleconference was not utilised as the researcher was able to personally meet all the leaders. Yaya (2014) highlighted the importance of personal contact in semi-structured interviews, by allowing the interviewer the opportunity to clarify any ambiguity that the informant may experience when answering the questions. Sturges and Hanrahan (2004), stipulated that telephonic interviews were best suited for "shorter, structured interviews or specific situations" (p.109) such as sensitivity of the research and allowing for anonymity and geographic dispersion.

The interview commonly referred to as semi-structured interviews due to its open ended nature, allowed the research to discover independent responses from the informants

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regarding their experience in wearing dual hats in the change process i.e. change agent driving change and change recipient being impacted by the change (McIntosh & Morse, 2015).

The interview schedule (refer to appendix A and B) included a "relatively detailed" (McIntosh & Morse, 2015, p.01) list of questions for the informants is further supported by McIntosh & Morse (2015) in that it is best suited when there is adequate impartial information on the subject with the aim of eliciting more personal information regarding their experiences. Due to the flexible nature of semi-structured interviews, the order in which the questions were asked varied upon the informant's feedback (Saunders & Lewis, 2012). Some questions were omitted due to fact that the answers were obtained in previous questions and/or the open-ended nature of the semi-structured interviews allowed the informants to openly share their experiences. This aligns with a notable benefit suggested by RWJF (2016) by allowing informants the freedom to express their opinions creates opportunity for the researcher to identifying new insights and understanding of the research problem that may not necessarily be forthcoming in structured interviews. Additional probing questions and clarifying questions were asked to ensure richness of the data collected. As noted by Saunders and Lewis, (2012), semi-structured interviews can result in  different answers.

The researcher did not interpret the informants' answers but rather recorded the their feedback verbatim in the form of field notes and interview transcripts (from audio recordings) (Maxwell & Kaplan, 2005).The inherent benefit in utilising semi-structured interviews, afforded the interviewer adequate preparation time prior to the interview and the opportunity to create an environment in which the informants had the freedom to express their opinions (McIntosh & Morse, 2015; RWJF, 2016).

## 4.5.2 Reliability and Validity

"Reliability and validity are conceptualised as trustworthiness, rigor and quality in qualitative paradigm" (Golafshani, 2003, p. 604). To ensure reliability, the interview schedule was consistent throughout the twenty interviews; the first interview was conducted as a pilot study and the additional questions added to the interview schedule post the pilot. A member check was conducted with informant one by means of an email to obtain the informant views on the additional questions. The order of the questions varied as stipulated above but the contents of the schedule remained the same. The research instrument was assessed by a fellow student to ensure questions were open-ended and followed the guidance of Kallio et al., (2016) on creating semi-structured interviews. The quality and unintended bias of the

interview schedule was assessed by means of a pilot study conducted with one leader who fitted the sample criteria (Chenail, 2011). To further limit researcher bias, the interviews were audio recorded whilst the researcher took some field notes, the notes however were not taken consistently in all interviews.

The services of a transcriber were procured, for the purposes of transcribing the audio recordings. To uphold the standards of confidentiality the transcriptionist completed a confidentiality agreement which provided clear guidance on the management and disbandment of the recordings during and post the process. The transcriptionist is bound by the agreement (the signed letter can be found in the Appendix E). The researcher then analysed the notes taken (where relevant) and transcripts, and deployed the use of thematic analysis to identify categories, themes and super themes in the verbal/recorded data ((Saldana, 2016; Zigmund et al., 2013)). In support of validity, a fellow student reviewed the codes and categories that emerged to assist in minimising duplication and bias in the researcher's interpretation.

Ensuring reliability in this study is further achieved by recording in detail, the research design, research strategy, methods, and data obtained to provide future researchers with a blue print of the process undertaken in the original study and the findings. This will enable re-analysing of the original data collected (Saunders et al., 2009). Validity by means of member checks was also conducted with some informants to ensure corroboration of the data in the transcripts (Cho & Trent, 2006).

### 4.5.3  Pilot testing

According to Kallio et al., (2016), pilot testing the semi-structured interview guide allows for assessment of the interview guide to ensure the correct elements from a questioning perspective have been included. The pilot test also allows for specific and relevant amendments to the interview schedule which enhances the data collection (Chenail, 2011). The interview schedule was designed with the intent of uncovering the dual role of leaders, driving change in their capacity as change agents and being affected by the change in their capacity as change recipient. The literature informed the questions that were created for the interview schedule.

The initial interview schedule was tested on a fellow student, who assessed the schedule for applicability to the corresponding research questions as well as consistency to the open ended  questioning techniques (McIntosh & Morse, 2015). For the purposes of this study, a

pilot test was conducted with the first informant to test the interview schedule, which allowed the researcher to trail the process without fear of affecting the results. This served as a buffer to the researcher and was utilised as a dry run, in which overall timing of the interview, the pace at which the researcher spoke, the ability of the researcher to remain impartial and utilise open ended and probing questioning techniques as well as the relevance of the interview schedule to overall research question was assessed.

Post the pilot test minor amendments were made to the interview schedule, two open-ended questions were added, and the order of the questions changed to ensure better flow in support of the research objectives. To ensure inclusion of the pilot informants' feedback in the overall study, a member check was conducted by means of email, the additional two questions were emailed to the informant and the feedback added to the original transcript (Cho & Trent, 2006).

## 4.6   Data Analysis

The data from the twenty-one interviews that took place between 19 June and 31 July 2018 was analysed. The detailed field notes (where taken) and verbal data from transcripts was analysed. Each transcript is saved in a format that ensures confidentiality and reserves anonymity (Saunders et al., 2009). Best practice prescribes that the researcher read the data that was transcribed; this allowed the researcher to obtain a broad understanding of the meanings, relationships, and themes. It is also suggested that the original data be revisited during the analysis stage, to ensure alignment with the analysis and recorded data (Maxwell & Kaplan, 2005). This supports the iterative process inherent in analysing qualitative data. Atlas.ti, as a qualitative analysis software was initially utilised in coding the data. Coding is referred to as a methodical approach to sorting the data obtained from the interviews, to enable sense making from the views of the informants (Saldana, 2016). However, categorisation of the codes proved to be a mammoth task. The initial Atlas.ti coding resulted in 276 codes, which were grouped into 13 categories. Upon analysis of these codes and categories by the researcher and a peer (research buddy) a clear discrepancy was identified in the codes and the researcher could not relate the results back to the research objectives and opted to explore Excel coding to attain thematic analysis. The transcripts together with the field notes were translated into an Excel document which became the basis for data analysis (refer to figure 8). This document was further analysed and this resulted in the multiple codes per research question grouped into categories, these categories resulted into six themes and the six themes were then grouped further into three super themes.

In undertaking thematic analysis a combination of the work of Braun and Clarke (2006) and

Bowen (2008) was deployed.

- *Phase 1: Familiarising yourself with your data*

  Transcribing data (if necessary), reading and re-reading the data, noting down initial ideas (Braun & Clarke 2006).Utilisation of analytical memos i.e. any notes, excluding the field notes or transcriptions that assisted the researcher in converting insights and judgments into words (Bowen, 2008).

- *Phase 2: Generating initial codes*

  Categorising data into meaningful groups and segments which were further categorised to generate insight, comparison, and add to the development of theory (Bowen, 2008).

- *Phase 3: Searching for themes*

  This stage progressed after the Excel coding and categorisation of data and collated the categories into potential themes, noting overlapping themes and data that do not fit the themes.

- *Phase 4: Reviewing themes*

  Refinement of themes based on phase 3, this phase allowed the lapsing of overlapping themes and the discernment of those comments that did align.

- *Phase 5: Defining and naming themes*

  On-going analysis was conducted to refine the specification of each of the six themes which resulted in three super themes, generating clear definitions and names for each theme which resulted in the development of a thematic map as depicted in Figure 8.

- *Phase 6: Producing the report*

  It involves the final analysis and write up of the report. Selection of relevant, compelling extract examples ensures the weaving of the golden thread from the research question, literature, and analysis.

Figure 7, below provides an overview of the thematic analysis process that was undertaken for this research project which started off with a generation of codes from the various responses per questions, the codes which were similar were then grouped to form categories, these categories were collapsed to create themes and finally these themes become super themes.

| Question 1.1 | Question 1.2 | Question 1.3.1 | Question 1.3.2 | Question 1.3.3 | Question 1.3.4 | Question 2.1 | Question 2.2 & 2.3 | Question 2.4 & 2.5 | Question 3.1 | Question 3.2 | Question 3.3 | Question 3.4 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Categories** | **Categories** | **Categories** | **Categories** | **Categories** | **Categories** | **Categories** | **Categories** | **Categories** | **Categories** | **Categories** | **Categories** | **Categories** |
| Progressivist | Progressivist | Tension - Self awarenss | contextual leadership | Support network | Empowerment | Positively impacts | Security | Postive | Traditional support | Support network | Support from leadership | Servant leadership |
| Sense making | Sense making | No- Constituent of leadership | Driving change | Sense making | Support network | Contextual | Empowerement | Opportunity | Support network | Mandate to drive change | Building capability | Sense making |
| Constituent of leadership | Resilience | Yes - impact tacit and formal | One and the same | Progressivist | Transparency | Negatively impacts | Solution Orientated (Transactional) | Contextual | Communication | Training | Support from HR | Empathy |
| Personal Impact | Personal Impact | | | Empathy | Sense making | animosity | Inclusivity | | Supportive environment Other support: Budget, resources, technical support | Supportive environment Other support: Budget, resources, technical support | Engagement | Empowerment |
| Reflection | | | | Empowerment | Readiness for change | authenticity | Authentic Lship | | Inclusivity | Inclusivity | Inclusivity | Support network |
| | | | | Dialogue | Empathy | neglect | Visionary Lship | | | Time to reflect | Opportunity / Reward | Stakeholder management |
| | | | | Resilience | Acceptance of duality | credibility | Rediness for change Rewards Stakeholder management | | | | | Planning |

| | | | | Theme 1 | Theme 2 | Theme 3 | Theme 4 | Theme 5 | Theme 6 | |
|---|---|---|---|---|---|---|---|---|---|---|
| | | | | **Adaptability** | **Sense making** | **Constituent of leadership** | **Stakeholder Management** | **Planning** | **Support** | |
| | | | | Progressivist | Reflection | Transactional | | | Social Support Network Internal | |
| | | | | Personal Impact Readiness to change | Resilience | Visionary | | | External | |
| | | | | | Self-awarness | Authentic | | | Environment | |
| | | | | | Empowerment | Transformational Servant Leadership | | | Transparnecy | |
| | | | | | Empathy | Mandate | | | Reward/Opportunity | |
| | | | | | Inclusivity | | | | Security | |

| | | | | Super Theme 1 | Super Theme 2 | Super Theme 3 |
|---|---|---|---|---|---|---|
| | | | | **Traits** | **Capability Build** | **Support Tools** |
| | | | | Adaptability | Sense making Constituent of leadership Planning Stakeholder Management | Support Tools |

Figure 7: Thematic Analysis

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Below is a summary representation of the methodological approach followed for the purposes of this study.
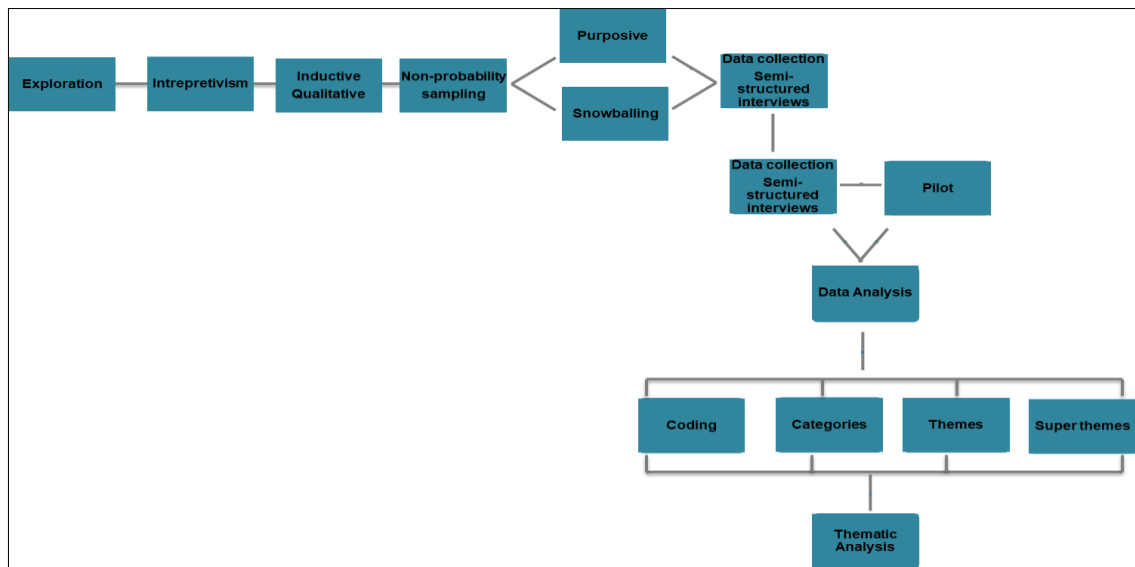


Figure 8: Methodological approach

## 4.7 Ethical considerations

All participants understood the ethical clearance requirements of this study and completed pro-forma informed consent letter upon acceptance of the interview (refer to Appendix C). The informed consent letter was amended slightly after the pilot study and was reread at the interview (refer to Appendix D).At the interview the contents of the informed consent were read out loud to the participants and informants resigned the letter. Their anonymity has been protected by referring to them as aliases and the names of their organisations has been protected by referring to it as the organisation, where incidences of disclosure has been mentioned in the interview, these incidences have been redacted on the transcripts. The transcriptionist is also bound by the contents of the confidentiality letter and has confirmed deletion of all transcripts.

## 4.8 Limitations

The following are listed as limitations of the research:

- Time constraints: Due to the timeframe of this research module, it was not possible to identify informants outside the proposed sample population and the findings may be a reflection of the inherent cultures within these organisations. To mitigate these, the researcher checked against this limitation in the analysis.

- Accessibility to the sample population: Due to their level of seniority it was not always possible for them to commit to the interview. To mitigate this, diary blockers were secured well in advance (Drew, 2014).

- The researcher/interviewer was not exposed to professional interviewing training and this could have an impacted the results and the collected data (Agee, 2009).

- Cultural nuances in language (for example a humble stance in certain cultures is good but in the business world may be seen as weak), understanding of certain words due to dialect and professional jargon (Drew, 2014).

- Personal bias and the researcher's world view may influence interpretation of meaning (Drew, 2014) To mitigate the influence of personal interpretation a research peer reviewed the thematic analysis.

- In undertaking non-probability sampling within the financial services industry. The sample population emerged from the four major traditional banks which is not an accurate reflection of the industry in South Africa hence the results may be skewed towards the big four being Absa, FNB, Nedbank and Standard Bank. The findings of the research were exceedingly dependent on the responses received by the senior and middle managers who fit the sample criteria, to maintain quality and consistency the researcher allocated sufficient time to probe if required and followed up with member checks for clarity post the interview (Cho & Trent, 2006).

- The sample population includes some executive leaders which may skew the results as Heyden, Fourné, Koene, Werkman and Ansari, (2016) postulate that senior management generally responsible for initiating change and middle managers are generally responsible for executing and mobilising the change.

Despite the limitations listed above the research still provides valuable insights into the dual roles of leaders acting as change agents and change recipients. Further to these insights, it provides a view on the support tools required by leader change agents to assist them with this duality, with the aim of allowing them to successfully drive organisational change in financial services.

## 4.9   Conclusion

This chapter summaries the research methodology that was undertaken for this study. It detailed the research approach and design that was undertaken and provided a view of the sampling techniques implemented for this study. It documented the instrument utilised for data collection, with insight on maintaining reliability and validity of the data. It further provided a detailed view of the data analysis process that lead to extrapolation of themes by engaging the process of thematic analysis. This chapter concluded with insight on ethical

considerations and limitations inherent in the study. The findings that was extrapolated from the methodology undertaken, will be discussed in the preceding chapters.

# Chapter 5: Results

## 5.1   Introduction

This chapter presents findings from the research conducted by interviewing 21 informants. The findings were collected by means of semi-structured interviews that supported the overarching research question of the dual role of non-owner leaders, driving change and being impacted by change. The results will be presented according to the three research objectives that support the overarching research question.

The three research objectives were supported by secondary questions, with the intent of providing more insight, understanding and knowledge into the research topic. Table 4 provides a view of the primary research objectives and the corresponding secondary questions.

Table 4: Primary objective and supporting secondary questions

| Research Topic: Dual role of leaders - driving change and being impacted by change | | |
|---|---|---|
| Research Objective | Primary Objective | Secondary Question |
| Provide context to the study | Introductory questions | 1.   What industry are you in? <br> 2.   What level of leadership do you fulfil i.e. middle management or senior management? <br> 3.   How many years have you been in a leadership role? <br> 4.   Do you have any ownership rights in the current organisation? <br> 5.   Have you in the past two years' experienced change in your organisation? <br> 6.   Provide details of this change(s)? <br> 7.   What was your role in driving change? <br> 8.   How did this change affect your role? <br> 9.   What challenges did you experience in driving this change? |
| Research objective | What elements in the | 1.1 As a leader how do you cope with the change? <br> 1.2 As an employee how do you cope with change? |

| 1 | employment relationship affected by driving change – a Social Exchange perspective | 1.3 In fulfilling these dual roles of change agent and employee (change recipient) :<br>1.3.1 Are these roles ever in conflict? Please elaborate<br>1.3.2 Which role supersedes the others and why?<br>1.3.3 What coping strategies do you deploy when these roles are in conflict?<br>1.3.4 What would create synergy between these two roles? |
|---|---|---|
| Research objective 2 | What are the apparent differences in expectations and perceptions of the employment relationship for the leader driving change? | 2.1 How does times of change, affect the leader subordinate relationship?<br>2.2 What sort of unwritten expectations do you believe your subordinates have of you?<br>2.3 What sort of unwritten expectations do you have of your leader?<br>2.4 Do expectations of you acting as a change agent contradict/compliment or align with employee expectations of you, how so?<br>2.5 Do expectations of you acting a change agent contradict/compliment or align with expectations of you have for your leader, how so? |
| Research objective 3 | What support tools are required to assist the leader in managing the conflict that arises as a result of their dual roles in driving change? | 3.1 As employee affected by change, what support did you receive to manage the change?<br>3.2 As change agent driving change, what support did you receive to allow you to drive change?<br>3.3 As a change agent driving change, what support would you have liked to receive to drive this change?<br>3.4 As a change agent driving change, what advice would you give other leaders that are responsible for driving /mobilising change? |

As highlighted in chapter four, the sample consisted of 21 informants, which comprised of middle and senior non-owner leaders from large organisations within financial services sector. These institutions are well recognised as some of the major players in financial services with a global footprint. To ensure reliability and accuracy of the results, member checks were done post the interviews to confirm information that was unclear, specificity

regarding years in leadership and tenure.

## 5.2   Introductory questions

The introductory questions were multi-purposed with the intent of creating context for the informants regarding the research topic and all preceding questions. This was to ensure adherence to the sample criteria and to provide the researcher with a base understanding of the change landscape in financial services. A summary of the results from the introduction questions will be provided below as some of these findings were interwoven into the themes that emerged.

The non-owner leaders depicted in Table 5 were a representative of global financial services, with the four major banks being represented as follows: Absa with 5 informants, First National Bank with 4 informants and Nedbank and Standard Bank with 3 informants each. Liberty and Old Mutual provided representation for the insurance industry with 1 informant each and Discovery and Investec represented non-traditional banking with 2 informants each.

Table 5: Analysis of financial institutions

| Institutions | Number of informants |
|---|---|
| Absa | 5 |
| Discovery | 2 |
| First National Bank | 4 |
| Investec | 2 |
| Liberty | 1 |
| Nedbank | 3 |
| Old Mutual | 1 |
| Standard Bank | 3 |
| **Grand Total** | **21** |

The demographic data led to a finding of 11 (52%) male leaders and 10 (48%) female leaders being interviewed, with the level of leadership split into 62% senior leaders and 38 % middle manager and a further split amongst senior and middle with female informants making up the bulk of middle leaders (33% middle and 14% senior) and males the bulk of senior leaders (48% senior and 5% middle).
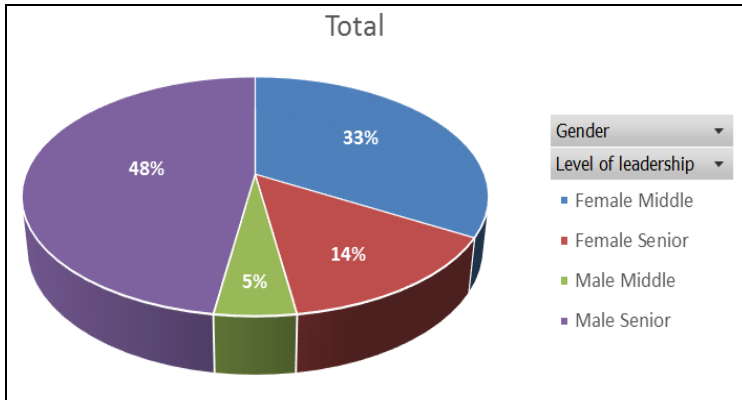
Figure 9: Level of leadership

The tenure of these leaders ranged from 18 months to an excess of 20 years in the industry with varied exposure to leadership. A member check was conducted with some of the informants to validate their tenure in the organisation and the timespan of their experience in leadership. Their experience is based on previous and current roles in their careers which culminated in their current leadership positions.

The level of leadership is further impacted by shareholding, it can be seen from the graph below that some senior leaders have minor shareholdings based on their respective organisation's talent retention strategy. Probing the issue of shareholding was critical as the results for owner leaders driving organisational change may vary and this study is primarily focused on non-owner leaders and the impact of them driving change and being directly impacted by that change. The informants who held shares, held a minority shareholding which made them noteworthy to include into the sample of non-owner leaders.
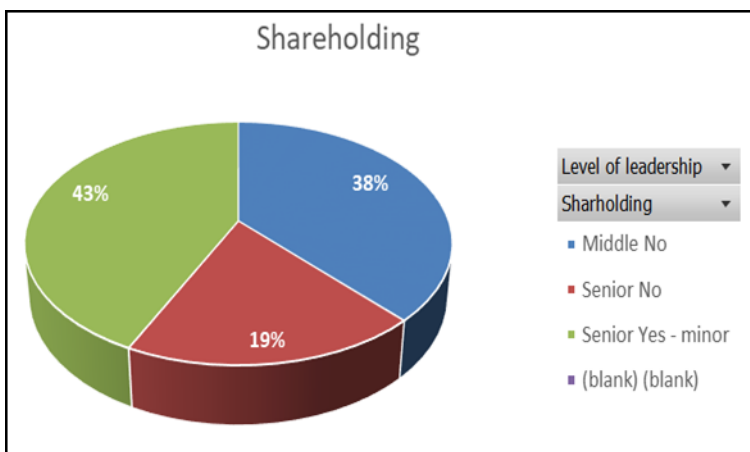


Figure 10: Shareholding

Table 6: Type of organisational change

| Types of organisational change | Construct | Frequency |
|---|---|---|
| Developmental | Work is changing. This evolution requires a new level of skill and competence | 2 |
| Transactional | Scanning the external environment and proactively responding by changing | 10 |
| Transformational | Radical shift at the core of the organsiaiton which requires a change in mindshifts | 9 |

Table 6 provides a view of the organisational change undertaken by these leaders. These leaders have all experienced organisational change at various degrees of intensity and have implemented some type of organisational change over the past two years which aligns with the sample selection criteria. The respondents reported organisational changes as defined by Anderson & Ackerman (2001) in the categories of developmental, transitional and transformational change. The findings suggest that the majority of the informants had undergone transitional change which is closely followed by transformational change.

Sample quotations to support the various types of change

Table 7: Quotations to support the different types of organisational change

| Types of organisational change | Quotation | Informant Number |
|---|---|---|
| Developmental | *"Implementation of continuous development for the general individual"* | 21 |
| Transactional | *"Client service is a huge focus of where the organisation sees itself going and customer services is secondary to the work that we're doing, but it should actually start eclipsing so that we drive our brand"* | 5 |
| Transformational | *"Coming into an organisation and finding that they actually need this to remain viable but it is a new idea nothing exisits then you need to build it"* | 18 |

Out of the 21 informants interviewed, 12 were responsible for driving change in their respective organisations and nine of them were leading the change. This corresponds with literature in that transformational change requires the change agent to lead the change whereas developmental and transitional change requires the change agent to drive the change. The majority of respondents acknowledged a change in their current role as a direct response to them driving/leading the change. These changes were reflected as growth, additional responsibility and management of new stakeholder groups. One informant (I14) advised that the change led to her resignation due to misalignment of her values and the organisations values as is reflected in the following quotation, "*the set of events that took place ultimately led to my resignation. It was a build-up, where my particular values were also affected I was unable to land in a place that was equal or better*" **(I4).**

The challenges experienced by change agents initiating and driving change are clustered into different categories based on rank, which is a direct output of frequency. Frequency highlights the amount of times the category appeared during the interviews. Table 8 provides a view of these twelve categories with an explanation of each.

Table 8: Challenges experienced by leaders in the change journey

| Rank | Category | Explanation | Frequency |
|------|----------|-------------|-----------|
| 1 | Resistence | Recipients of change resist the change that is being implemented | 13 |
| 2 | Lack of support | Lack of support from senior leaders and colleauges impacted by the change | 5 |
| 3 | Misconception | Recipients of change react to change by being suspecious, allocating blame and mistrusting the process | 4 |
| 4 | Skills adaptability | The ability or inability of change recipients to ensure relevance of their current skill set | 3 |
| 4 | Stakeholder Management | The multiple stakeholders that must be managed during the change process | 3 |

| 4 | Resources | The lack of resources i.e. people, budget, technology to adaquately support the change | 3 |
|---|---|---|---|
| 5 | Culture | The larger environmental culture of the organisation poses a challange | 2 |
| 6 | Change agent credibility | The impact on drivng change on the credibility of the change agen | 1 |
| 6 | Achieving KPI's | The dilemma of meeing contracted KPI's and driving the change | 1 |

Though there are multiple challenges, only challenges with direct correlations to the themes are disucssed, which are resistance, lack of support, skills adaptability and stakeholder management.

Resistence was inidicated as the main challenge faced by change agents when implementing change. It was noted 13 times in the 21 interviews that resistence to change is a major challenge that impacts the change agents' ability to drive. It is supported by the quotations of informants 15 and 17 *"I think most people are resistant to change, once you take them out of their comfort zone"* **(I15)** and *"Now we saying we need the central data office, resistance was there and stil isl there to some extent"* **(I17).**

It was followed by the lack of support from leaders and change recipients, this isclearly indicated by informants 13 and 20 "*I got a challenge to deliver business results while changing. In otherwords fix the it as it is flying, with very little support from management"* **(I13)** and *"if you've got to change its really impossible for leaders to step up and lead change they don't publicly indorse change"* **(I20).**

Skills ability is another notable challenge that was ranked 4th and refers to the ability or inability of change agents and recipients to ensure relevance of their current skill set. This inability to maintain relevance in terms of skills further taints the change journey and is indicative of these quotations *"Organisationally we are looking where we want to go strategically and then need to look at how to amend our talent makeup to be able to achieve the strategic intent"* **(I01)** and *"takes time to sit with team unpack the role, it's a mind shift*

*and initially it was a lot of push back from the team and requires understanding what that means to align to the bigger goal"* **(I03).**

Stakeholder management, which refers to the multiple stakeholders that must be managed during the change process, is also reflected as a challenge. The challenge stems from the various needs of each stakeholder grouping and the strain that managing these multiple stakeholders have on the leader that is both managing the change and being impacted by the change. It is important to remember that leaders themselves are part of a stakeholder group and based on their dual roles, form part of two groups, namely the change agent group, driving change and the change recipient group, receiving the change.

In summary, the introductory section provided context of the overarching research question to the sample population. Further to that, it provided the researcher with feedback that the identified financial institutions have in the past two years implemented change. The majority of the implemented change reflected transactional change which means that these organisations are responding to changes in their immediate environment and adapting accordingly. It also confirmed that all non-owner leaders regardless of level i.e. senior or middle have a role to play in driving change.

## 5.3   Thematic Analysis

The findings from the 21 interviews resulted in multiple codes as stipulated in chapter four. These codes merged into categories as reflected in figure 7, the categories merged to form six themes and the themes merged to form three super themes. The findings from each research objective will be reflected in relation to the six themes which are reflected below Themes:

- Theme 1: Adaptability: refers to that innate quality that allows change agents to work with change and includes categories such as progressivist and readiness to change.
- Theme 2: Sense making: refers to the ability of the leader to understand the change requirement and includes categories such reflection, resilience, self-awareness, empowerment, empathy and inclusivity.
- Theme 3: Constituent of leadership: refers to the leadership qualities that make up a good change agent and includes categories such as mandate, transactional, visionary, authentic, transformational and servant leadership.
- Theme 4: Stakeholder Management: refers to the management of the multiple stakeholder grouping including the bi-directional relationship.

- Theme 5: Support: refers to a network of support available for the change agent to efficiently manage the change and includes categories such as internal and external network, reward, and security
- Theme 6: Planning: refers to utilising the aforementioned themes and effectively planning change implementation for successful deployment

Super Themes:
- Super theme 1: Traits refers to the innate qualities of change agents.
- Super theme 2: Capability build, refers to elements that can be thought to a change agent
- Super theme 3: Support tools, refers to the support tools that aid the change agent in managing the duality.

## 5.4  Research objective one

**What elements in the employment relationship are affected by driving change – a Social Exchange Perspective?**

This aim of this objective was to identify how change affects the employment relationship of the leader fulfilling dual roles of change agent and change recipient. Exploratory research advises that change impacts all employment relationships (Hom et al., 2009) but the intent of this objective is to uncover the impacts, of one individual leader double hatting to drive organisational change and simultaneously being impacted by the change. It tries to uncover any dilemma in fulfilling these dual roles simultaneously and seeks to understand the coping mechanisms deployed in the management of these dualities.

The findings related to this objective have progressed from the detailed findings of the secondary questions. The topics of the secondary questions refer to dual perspectives on coping with change, understanding the dilemma, change agent versus change recipient and coping strategies to effectively manage this dilemma. The details of these findings are available further in this chapter. The findings from each of these secondary questions were analysed and merged to achieve the overall themes that support the elements of the employment contract impacted by change using the social exchange theory.

## 5.4.1 Thematic analysis

Below is a list of themes that emerged from the findings that support research objective one.

It aims to provide a view of the elements of the employment relationships that are impacted by driving change.

Progressivism according to literature is known as adaptability and is the innate quality that leaders have that enables them to deal with change and newness. It is also known as the natural affinity to deal with and manage change. Categories that encompass the theme progressivism came up multiple times in support of research objective one. Words and quotations that support included

"innate ability" **(I01)**, "built for change*" **(I13 and I19)**, "natural inclination" **(I18),** "optimistic" **(I02, I03, I10),**

**Informant 20**: "I have zero issue with change, absolutely zero issues with change."

**Informant 18**: "I enjoy the experimentation that comes with change"

Sense making refers to the ability of the leader as a change agent, to truly understand the change requirement. Once the change agent is able to make sense of the change, they are able to share the change with those they lead, in the form of subordinates and those they support, in the form of senior leaders. The sense-making theme comprises of categories such as empowerment, which includes access to information and communication; empathy the ability to understand from another's perspective; reflection which is the opportunity to reflect on the change and its impact; resilience which refers to the change agents previous experience of change; self-awareness of ones reaction to change and ability to manage this in a way that does not impact the recipients of change; empathy; which refers to the ability to understand from the perspective of others that are impacted by change and inclusivity, which refers to the need of including various stakeholders in the co-creation of the change journey. Words and quotations that support this theme include:

"dialogue" **(I07)**, "empathy" **(I11)**, "resilience" **(I16)**

**Informant 8:** *"I am not doing change to you we're doing it in a partnership I believe in similar levels of understanding"*

**Informant 15**: "You can understand the natural resistance to change"

Constituent of leadership, refers to change being part and parcel of the role of the non-owner leader. Though change may not be prescriptive in the formal contract of employment, 17 of the 21 leaders acknowledged that conflict exists in fulfilling this duality but also acknowledge that it is part of the role of leadership. The categories that constitute this theme include contextual leadership, which refers to the ability of the leader to understand the context of change impacts, timing of change, and the stakeholders affected by the change; mandate refers to the directive given to the leader to manage the change and visionary leadership refers to the ability of the leader to create the required vision to take subordinates along the change journey. Words and quotations that support this theme include:

"visionary leadership" **(I05)**; "adaptable leader" **(I14)**; "contextual leader" **(I15)**;

**Informant 04: "**Two sides of a coin - cannot have one without the other"

**Informant 15:** "part of leadership role"

**Informant 17**: "It's a tough one but as a leader you are a change agent"

Readiness for change, refers to readiness in terms of skills and abilities of the change agent and recipients to transition with the change and the adaptability to cope with change. Words and quotations that support this theme include:

**Informant 09:** "Agility is something that you learn throughout the years as a leader"

**Informant 14**: "Adaptability is part of the game"

**Informant 11**: "Just understanding what are the skills that I need and toolset for me to be competitive"

Support for the leader driving the change and being impacted by the change. Support in the form of a social support network that includes internal and external support from peers, colleagues, professional bodies, coaches, senior leaders and subordinates. Words and quotations that support this theme include:

**Informant 02:** "people outside of my team there are a good sounding board."

**Informant 17**: "Change happens and as a leader you need to be aware, there is always issues but if you have your senior's or CEO's support it is better"

**Informant 20**: "speak to my wife about it I probably speak to my friends about it in a way that far more ruthless than at the office."

The detailed findings from the secondary questions that support research objective one are detailed below from 5.3.2 to 5.3.6.

## 5.4.2 Dual perspective on coping with change

Secondary questions 1.1 and 1.2, assist the researcher in understanding how the leader copes with change in these separate roles. The leader is contracted to the organisation for the purpose of assisting the organisation achieve its objectives and this is contracted by means of the explicit contract of employment. These questions will allow the researcher to determine how driving change and being the recipient of change impacts the leader and the employment relationship, and it will attempt to understand if change is explicitly contracted with leaders.

*Secondary question 1.1: As a leader how do you cope with the change?*
*Secondary question 1.2: As an employee how do you cope with change?*

In understanding the dual roles leaders face when driving change and the impact of  change,

it is important to ascertain if leaders apply different coping mechanisms in their role of leader driving change and employee affected by change. The results of these two questions is written up in a comparison and contrast style. The results of question 1.1 and 1.2 are reflected in Table 9 and 10.

Table 9: Leader coping with change

| As a leader (change agent) how do you cope with change? | | | |
|---|---|---|---|
| **Rank** | **Category** | **Explanation** | **Frequency** |
| 1 | Progressivist | The innate ability of one to deal with change and "newness" | 12 |
| 2 | Sense making | The need to make sense of the change enables acceptance of the change | 8 |
| 3 | Constituent of leadership | Managing change is part of the leadership role | 4 |
| 4 | Personal Impact | Change that impacts you personally is more difficult to deal with | 2 |
| 5 | Reflection | Change agent takes time to reflect on the change that is required | 1 |

Table 10: Employee coping with change

| As an employee (change recipient) how do you cope with change? | | | |
|---|---|---|---|
| **Rank** | **Category** | **Explanation** | **Frequency** |
| 1 | Progressivist | The innate ability of one to deal with change and "newness" | 11 |
| 2 | Sense making | The need to make sense of the change enables acceptance of the change | 4 |
| 3 | Resilience | The ablity of the change recipient to recover from the impact of change | 2 |

| 3 | Personal Impact | Change that impacts you personally is more difficult to deal with | 2 |

The findings from secondary question 1.1 *As a leader how do you cope with the change?* are presented in Table 9 and resulted in 5 categories. The leading category is progressivist, which refers to the innate ability of one to manage change and the possibilities that change brings with it. Themes relating to progressivist were mentioned 12 times in the interviews, followed by sense making, which is the need for the change agent to make sense of the change to buy into the change and sell in downwards. These top two categories are further supported by the quotations of informant 5 and 10 "*I think it's about firstly understanding what the change is going to bring about and whether or not it is going to provide any new opportunities in terms of change*" **(I05)** and "*it is important that I see the benefits myself and buy into the business case once that happens it's easier for me to become the ambassador of change*" **(I10)**. This was followed by the category constituent of leadership which states that change is part of the leadership role echoed in the sentiments of informant 1 *" like that waterbird that steps on a leaf and looks for the next leaf so it stays afloat by moving. So coping is about constant motion leading and changing*" **(I01).**

The findings from secondary question 1.2 **As an employee how do you cope with change?** are presented in Table 10 . It is interesting to note the multiple similarities in the manner with which leaders deal with change both in their capacity of change agent (leader) and change recipient (employee). The four categories that emerged from this question are a replica of the categories that resulted in secondary question 1.1.

Progressivist and sense-making emerged as top categories and highlights the importance of this character trait  from an employee perspective as well as from the leaders perspective and is supported by quotations "*I'm not a change averse person so I quite like change I get quite excited with change*" **(I03)** and *"just understanding what skills I need and toolset for me to be competitive in that space"* **(I11)** and trailing in at third with resilience " *I would think my resilience to change and my ability to cope with change, I've had serious  you know  ripple effects with a lot of stuff in my life*" **(I16)** and personal impact "*I think when your impacted by change it probably changes the emotional component thereof because it's more a felt experience"* **(I04)**.

In concluding, the five categories that emerged from the two roles of leader/change agent and employee/change recipient coping with change, have been summarised into three

themes which are 1) progressivism or adaptability   which is regarded as a trait or quality that a leader possess; 2) sense making     which is regarded as a skill or ability that can be thought and learns and 3) constituent of leadership    which purports that change is part of the role of leadership and a skill that can be attained.

## 5.4.3 Understanding the dilemma

***Secondary question 1.3: In fulfilling these dual roles of change agent and employee :***

***1.3.1   Are these roles ever in conflict? Please elaborate.***

Table 11: Conflict of roles

| Are these roles ever in conflict ? | Grand Total |
|---|---|
| No | 3 |
| Tension not conflict | 1 |
| Yes | 17 |
| **Grand Total** | **21** |

Table 11, provides a view of the responses to the roles of change agent and employee (change recipient being in conflict). Out of the 21 informants that participated in the interviews, 17 (80%) confirmed that they experienced some conflict in the duality of the role of driving change and being impacted by the change. Quotations of those that confirmed a definite affirmative on the experience of conflict, *" I think it gives you that moment to pause, reflect until you know what's the impact of it and also because you are playing a dual role, your reaction impacts people around"* **(I16)** and *"This is very difficult. There is a bit of a conflict you know that operationally we need efficiency, we need to cut down on cost on commission"* **(I17)**.

Of the 17, one informant mentioned that the conflict is heightened when it impacts the personal space of their subordinates or themselves directly *"It's something that they have to go over and over again in their own mind before they accept it as a change and we can again look at it from a personal perspective. Numbers don't wait months, numbers need to be affected now and it's very easy to sit at the top and say I've looked at the numbers, I need more of sales. "(*I18)** and another confirmed that the conflict was elevated when the change agent did not buy into the change, *"Yes – absolutely, conflict exists when you yourself don't*

*buy into the change"* **(I18).**

One informant mentioned that the experience is related to tension, "*I would say there could be tension depending on where you as an individual are, hopefully through a lot of self-awareness being opposed to conflict*" **(I04).**

Three informants (14%) responded with a negative to the question. They did not experience any conflict in the dual role of leader driving change and being impacted by the change in their role of employee. The reasoning of these three are related to change being a constituent of the leadership role and they do not experience any difference in driving change or being impacted by the change. Quotations to support the three negatives are reflected below, *"No, in order to be a good employee I have to be a good change agent ,if we want to be successful human being today means that we need to be able to be change agents right now"* **(I01)**, "*And if you can as a leader find a way to tap into that to activate your agents, then you have come a long way in understanding how change works and how to effect change more effectively"* **(I07)** and the final informant advised that fulfilling these dual roles does not impact him directly however he has seen the impact of it on others within his circle *"No, not personally but have seen others conflicted by it"* **(I15).**

## 5.4.4 Change agent versus change recipient – is there a superseding role?

***Secondary question 1.3.2: Which role supersedes the others and why?***

Table 12: Superseding roles

| Are these roles in conflict | Number of responses for "Which role supersedes the others and why?" | | | |
|---|---|---|---|---|
| | Contextual leadership | Driving change | One and the same | Grand Total |
| No | 1 | 2 | 0 | 3 |
| Tension not conflict | 1 | 0 | 0 | 1 |
| Yes | 1 | 14 | 2 | 17 |
| **Grand Total** | **3** | **16** | **2** | **21** |

Table 12, provides a view of the informant's responses to "which roles supersedes and

why?" Sixteen informants mentioned that the role of driving change supersedes the role of them as employee being impacted by the change. Three informants mentioned contextual leadership as the basis on which to answer this question, they expressed that the type of change, the context of the change and the environment in which the change is being implemented, have a direct effect on how they respond i.e. as change agents positively driving change or employees negatively being impacted by the change, *"Two sides of a coin - cannot have one without the other"* **(I04)**, "*I am a contextual leader as well. So, it depends on the environment I'm in at that moment*" **(I09)** and "*Contextual leadership - the conflict arises and is based on the change that is being implemented if it impacts the person, pocket or bottom line then it elevates the conflict"* **(I11).**

Two informant advised that *"it is one and the same thing"* **(I06 & I13)**, "*I see it as one and the same because part of my role here is to make things more effective, we cannot see ourselves as a different entity to the way the industry is moving and say is not my role, "* **(I06)** and *" if you are going to focus only on driving the change and not experiencing the impact of it, you going to have a problem" (I13),* however both these informants responded yes to the sub-question 1.3.1 that there is a conflict in the duality of leaders performing both roles, however, they cannot identify anyone that takes priority as it is "one and the same"

## 5.4.5 Coping strategies when roles are conflicted

*Secondary question 1.3.3: What coping strategies do you deploy when these roles are in conflict?*

Table 13: Coping strategies

| Rank | Category | Explanation | Frequency |
|------|----------|-------------|-----------|
| 1 | Support network | The support that comes from peers, friends, leaders, mentors, coaches, trusted advisors, spouses | 14 |
| 2 | Sense making | The need to make sense of the change enables acceptance of the change. Sense making is done through research, reflection, disucssions and experience and refers to the assessment of the change impact | 10 |

| 3 | Progressivist | The innate ability of one to deal with change and "newness" | 8 |
|---|---|---|---|
| 4 | Empathy | The ability of the change leader to place themselves in the position of the change recipient in order to understand the recipients behaviour or response to change | 6 |
| 5 | Empowerment | Empowering self and change recipients by obtaining information and communication and circulating it | 5 |
| 6 | Dialogue | The ability to disucss with leaders, peers, colleages and coaches | 5 |
| 7 | Resilience | The ablity of the change agent to recover from the impact of change | 4 |

Table 13, provides a view of the multiple coping strategies that were identified by the 21 informants and these were then grouped into categories. The first category of coping strategies referred to a support network; of the 21 informants the support network in some form was referred to 14 times during these interviews. The support network refers to the support received from a network of leaders, mentors, coaches, family, friends and trusted advisors. Informants find that this support network allows them to cope with the conflict in the duality of the leadership role. This is reflected in the quotations attached - *"You got to have somebody to talk to you need to be able to offload, you need to be able to get a different perspective because sometimes when you are so involved in a situation you end up missing opportunities."* **(I09)** and *"So I always say leaders must have strong resilience and the ability to adapt to change very quickly"* **(I13).**

The second category sense making refers to the need for the change agent to make sense of the change, this enables acceptance of the change. The sense making process includes internal reflection "*I think quite honestly first try to internalise and just try to understand and sometimes it takes a little bit longer to get to a level of comfortability"* **(I06)** and information gathering *"You have got to get you mind set to the change, buy into that change by bench marking the change and you only have a certain time frame to do that as a leader."* **(I17)** Once there is acceptance on the part of the change agent, it is easier for them to sell it both

upstream and downstream. Sense making is done through research, reflection, discussions and experience. Sense making was recorded at a frequency of 10 times in the 21 interviews.

The third category is progressivist, in trying to find a word or phrase that summed up "natural ability to cope with change" the word progressivist was most befitting. Progressivist refers to the innate ability of one to deal with change and "newness", "*You know it's different personally me I draw strength from myself*" **(I01)**. This trait was identified 8 times in the interviews and is utilised as a coping strategy when dealing with the conflict. *"Interesting I would think from a coping mechanism naturally I'm very calm person, rational and I tend to believe that I'm self-aware"* **(I16).**

The fourth category is empathy, which refers to the ability of the change leaders to place themselves in the position of the change recipient in order to understand the recipients behaviour or response to change. This was identified six times in the 21 interviews and was refered to *as "remain human remember that there is a person on both the receiving side"* **(I04)** and "*I understand the person that sits in front of me, understand their family life and understand the circumstances and I empathise with those"* **(I08)**.

The fifth cateogy is empowerment, which refers to empowering self and change recipients by obtaining information and communication and circulating it. This sharing of informaiton leads to a common understanding and fosters a realtionship of transparency between change agents and change recipients " *that gives me a sense of understanding if I don't understand I find it extremely difficult to apply change because it becomes transactional, and people become a piece of on a chessboard. I need to understand that's where the emotional draining comes from."* **(I08)** and *"empowering person's to deal with it, giving them the tools to enable them to transition, putting them into the situations where you know they can"* **(I16).**

The sixth category is dialogue. Dialogue refers the ability to discuss the conflict, the change, the current situation experienced by the change, with leaders, peers, colleages and coaches. *"I go to a peers somebody on my level and speak to them because chances are they going through the same thing"* **(I18)** and *"allow dialogue dialogue with people who are most involved because they give you exactly what you need to do or what information to go and seek so you can give it back"* **(I20).**

The final category is refered to as resilience, the ablity of the change agent to recover from the impact of change. Resilience was fostered based on past experience with change, this refers to the "muscle" of recovering from change due to practice or exposure with driving change, *" I mean I've been through many changes although some larger some, some*

*smaller some very traumatic, and at the end of the day I'm a very resilient* " **(I10)** and *"I think it comes down to me. I trust my personal master and I have had a wealth of experience"* **(I19).**

The seven coping strategy categories that are deployed when these roles are in conflict were themed into three major themes such as sense making, progressivism/adaptability, and support.

## 5.4.6 Synergy between the role of change agent and change recipient

***Secondary question 1.3.4: What would create synergy between these two roles?***

Table 14: Creation of synergy between the roles

| Rank | Category | Explanation | Frequency |
|------|----------|-------------|-----------|
| 1 | Empowerment | Empowering self and change recipients by obtaining information and communication and circulating it | 8 |
| 1 | Support network | The support that comes from peers, friends, mentors, coaches, trusted advisors, spouses and most importantly leaders | 8 |
| 2 | Transparency | The environment of openness in which the change is being dealt, the fluidity of information sharing, the ability to dialogue with anyone in the environment | 7 |
| 3 | Sense making | The need to make sense of the change enables acceptance of the change. Sense making is done through research, reflection, discussions and experience and refers to the assessment of the change impact | 6 |
| 4 | Readiness for change | The readiness of the people skills, abilities and adaptability to cope with change | 4 |
| 5 | Empathy | The ability of the change leader to place | 2 |

| 6 | Acceptance of duality | The ability to accept that the reality that these two roles overlap | 1 |
| | | themselves in the position of the change recipient in order to understand the recipient's behaviour or response to change | |

The responses to this question are displayed in Table 14 and yielded results similar to those of the previous question. In an attempt to create synergy between these two roles of leader driving change as an agent of change and employee affected by change in the role of change recipient seven categories were noted.

The first category is shared between empowerment and sense making, each achieving a recording of eight out of the 21 interviews.

Empowerment refers to empowering self and change recipients by obtaining information and communication and circulating it. This sharing of information leads to a common understanding and fosters a relationship of transparency between change agents and change recipients. Empowerment was recorded 8 times in the 21 interviews. *"I don't believe communication is one big event, once all the information is in then we communicate. Sometimes communicate the process even if it's vague is it is important."* **(I03)** and "*From a leadership perspective you always wanting to communicate, so when there's a change, you always want to give people a heads up"* **(I16)**.

Support through a network is recorded as the second category, recorded 8 times during the 21 interviews. The support network refers to the support received from a network of leaders, mentors, coaches, family, friends and trusted advisors. Informants found that this support network allows them to cope with the conflict in the duality of the leadership role *"In terms of support if you have good leadership yourself that understands the impact of the change"* **(I05)**. Support through the environment is also a contributing factor in creating synergy between the duality of roles. "*So if you've got an environment that that promotes and supports change it actually helps"* **(I09)**.

The second category is transparency. Transparency relates to the openness in the change process, it involves the environment of openness in which the change is being dealt, the fluidity of information sharing, the ability to dialogue with anyone in the environment *"I think transparency that the change is happening and people are going to be impacted"* **(I02)** and

*"as a leader you need to start involving your employees and make them part of this change so it will reduce the conflict"* **(I14)**.

Third is sense making, which was recorded 6 times during the interviews. Sense making refers to the need to make sense of the change and enables acceptance of the change. Sense making is done through research, reflection, discussions and experience and refers to the assessment of the change impact *"if you have good leadership yourself that understands the impact of the change then they can filter it to others"* **(I05)** and *"Having an understanding of what's been done, the most important thing is just knowing if you know what's happening you can drive the change"* **(I06)**.

Readiness for change was recorded as the fourth category with a frequency of four and refers to the readiness of the people skills, abilities and adaptability to cope with change. *"We as individuals need to learn new skills, that cycle of learning and unlearning has to be continued. Therefore, in working with people we try to inculcate a culture of change."* **(I01)** and *"the fact of the matter is you become an ambassador of the organisation and you were bestowed a reasonability, the key thing for me is being adaptive to those multiple roles"* **(I08).**

The fifth category is empathy. Empathy is regarded as the ability of the change leader to place themselves in the position of the change recipients in order to understand the recipient's behaviour or response to change and showed up with a frequency of two. *"Ask yourself am I experiencing something as a change agent or am I experiencing it as the person that is participating in a change journey and understand when you are responding from a specific context am I responding or managing or leading from which of those two areas and be aware where it's coming from."* **(I04)** and *"We must be close to the human component too."* **(I11)**.

Accepting the duality of roles is the last category and refers to the ability to accept the reality that these two roles overlap. It was raised initially by one informant, *"I'm all for change I'm going to be your biggest champion, I suppose there's some level of acceptance that you are an employee, but you are also a change agent, I would take a long harder look at my own leadership because you need strong leadership, you yourself need strong support."* **(I03).**

In the six categories relating to creating synergy between the dichotomy of the two roles have been grouped into four existing themes such as: sense making which includes empowerment, support which includes a network of support and transparency which relates

to a supportive environment, constituent of leadership which includes categories of acceptance of duality and finally readiness for change**.**

## 5.4.7 Concluding research objective one

In concluding, research objective one sought to understand the elements, in the employment relationship, that are impacted by leaders fulfilling the dual role of change agent and change recipient, the following themes emerged:

- Progressivism which according to literature is known as adaptability, an innate quality that leaders have that enables them to deal with change and newness.
- Sense making which refers to the ability to understand the change requirement and includes categories of empowerment, which includes access to information and communication; empathy the ability to understand from another's perspective.
- Constituent of leadership, which refers to the acceptance of duality in driving change and being impacted by change and dilemma as these roles are part of the leadership role.
- Readiness for change, the readiness of the people skills, abilities and adaptability to cope and embrace change.
- Support in the form of social support network that includes internal and external support from peers, colleagues, leader's coaches and environment.

The major findings of research objective one suggest that change agents are aware of the duality inherent in driving change and being impacted by change. The conflict that exists in fulfilling these two roles is drastically minimised by leaders bestowed with the title of leadership. Inherent in the role of leadership is the expectation to drive change irrespective of its explicit nature in the contract of employment. The themes highlight elements in the employment relationship that are impacted by change and these elements not only refer to the formal contract of employment but also to the informal social contract. If financial organisations become more aware of the elements of a leaders' employment contract impacted during the change process, they can devise plans to intensify support for leaders who are pivotal in driving organisational change.

## 5.5 Research objective two

**What are the apparent differences in expectations and perceptions of the employment relationship for the leader driving change?**

This aim of this objective is to uncover any differences in expectations and perceptions of the employment relationship for the leader driving change, whilst considering the bi-directional relationships present in the change process. The expectations and perceptions of the employment relationship are obtained from the leader, based on the bi-directional relationship of senior leader and subordinate referred to in chapter two. These two stakeholders are critical to the employment relationship and are directly impacted by the leader fulfilling the duality of driving change and being impacted by change.

This objective is aligned to the employment relationship governed by the contract of employment, it aims to explore differences or alignments in the leader driving change and the leader fulfilling their contracted duties as an employee (change recipient role) hence the questions are asked from both perspectives

The findings related to this objective have progressed from the detailed findings of the secondary questions. The topics of the secondary questions refer to change impacts on the leader subordinate relationship, unwritten expectations of two stakeholder groups being senior leaders and subordinates, and the alignment or lack thereof from these two stakeholder groupings.

## 5.5.1 Thematic analysis

Below is a list of themes that emerged from the findings and they support research objective two. These themes to some degree enhance the existing themes that have resulted in research objective one. The findings  provide a view the apparent differences in expectations and perceptions of the employment relationship for the leader driving change.

Empowerment, refers to inclusivity in the bi-directional relationship which enhances the overall understanding of change and leads to empowerment. Senior leaders must include change agents in the thought process of change. It is often difficult for agents to drive change without being privy to the senior leader's rationale for embarking on the change journey. There are instances, based on legality and rank, where the change agent cannot be privy to all the information however, even in these instances the responsibility rests on the senior leader to ensure that sufficient and timeous information is provided to the agent as and when it becomes available. Quotations that support this are reflected below:

> **Informant 02:** *"I expect our line leader to be closer to us as a team and letting us know what is happening"*
>
> **Informant 03:** *"Talk to me, don't decide to do things in a dark room"*
>
> **Informant 21**: *"Opportunity to ask senior questions, seek clarity to buy into the change,*

*I want to be part and parcel of the change"*

In the bi-directional relationship, change agents have a downward responsibility to provide their subordinates and must provide them with sufficient context surrounding the change. If there is opportunity for the change agent to co-create the change implementation with input from the subordinates, then these opportunities must be leveraged, as this lessens resistance and leads to greater adoption of the change. Quotations that support this are reflected below:

**Informant 08**: *"they will always expect you to be fully informed and share"*

**Informant 12***: "factual story line, make sure that story line is consistently reflected in communications."*

Constituent of leadership, was a consistent theme that emerged when unpacking the bi-directional relationship. A thorough understanding of the expectations in the bi-directional relationship allows the change agent to fulfil their mandate of driving the change agenda. This means that senior leadership must play their role in mandating the agent not only with information but authority to drive change. This will allow subordinates to demystify any uncertainty regarding the role of their change agent leader. Quotations that support this are reflected below:

**Informant 04**: *"Good leadership practices to always be able to lead a team in such a way that they understand context and adopt the change"*

**Informant 17**: "*I want full information – empowered to drive change*"

Adaptability, which in the findings of research objective two includes the category of readiness for change. Readiness for change in this context refers to the readiness of all three parties in the bi-directional relationship. Firstly, the leader must have a level of readiness to take on the change journey, the leader must also be ready to deal with the impact of the change on them as a direct recipient of the change. Secondly, the subordinates require a sense of readiness to be created by the leader driving the change and thirdly, leader requires the same sense of readiness to be created by their senior leader. Quotations that support this are reflected below: This interdependency is reinforced by SET.

**Informant 08:** Leader speaking about expectations from their subordinates *"I understand the context and the outcome so I need to fill in the gaps for those I lead so they have the necessary context"*

**Informant 10**: Leader speaking about expectations of their senior leader perspective *"Leaders understand the bigger picture and is able to provide context"*

Support as a theme has expanded to include categories of security and reward. The findings inform the researcher that the support requirements in the bi-directional relationship are very similar. Change recipients irrespective of it being the subordinates or the leader impacted by change, share similar anxieties and fears around job security. The nuance that resulted from

this finding was that subordinates wanted to be rewarded for embracing the change. Quotations that support this are reflected below

> **Informant 04**: "*I would expect the same support from my leader as the support I give to my team.*"
>
> **Informant 07**: *"I need my project sponsor, project director or business owner to have my back and the teams back."*
>
> **Informant 19**: *"The is an expectation from subordinates that they will be rewarded for embracing the change."*

Stakeholder management once again emerged from the findings of this research objective and includes the consideration for the stakeholders in the bi-directional relationship as well as other internal and external groups. Quotations that support this are reflected below

> **Informant 07**: "subordinates expect me as their leader to remove obstacles, to engage with difficult stakeholders and I require this from my leader to some degree"
>
> **Informant 21**: *"As change agents we can talk the change down the line, this is continuous and requires all leaders to talk the same talk even if the pressure is on from shareholders and external stakeholders."*

The detailed findings from the secondary questions that support research objective two are detailed below from 5.4.2 up until to 5.4.4

## 5.5.2 Change impacting the leader subordinate relationship

***Secondary question 2.1: How does times of change, affect the leader subordinate relationship?***

The results from the study revealed that times of change affect the employment relationship in three distinct ways as reflected in Table 15:

Table 15: Change affecting the employment relationship

| Response to question | Number of responses |
|---|---|
| Positively impacts the relationship | 3 |
| Contextual | 7 |
| Negatively affects the relationship | 11 |
| **Total** | **21** |

Three informants advised that times of change positively impact the employment relationship by strengthening the relationship, seven informants advised that the responses are dependent on the occurring change, hence this is referred to as contextually dependent. If the change is expected to bring about opportunity, then the responses are more inclined to be positive. However, if the change negatively affects people and the status quo, then the response outcome is more inclined to be negative .11 informants advised that times of change negatively affected employment relations with reference to the subordinate-leader relationship.

**Strengthens the relationship:** Three informants advised that times of change positively impact the relationship in the form of strengthening the relationship. The strengthening of the relationship was experienced in the form of team cohesion, "*I've have actually typically found it to strengthen it. I felt and experienced my team is galvanizing*" **(I03)**. Another view was related to open dialogue based on the change that will strengthen the relationship "*I think that relationship will improve if you had dialogue and that's why it is important for the leader to increase and strengthen the relationship during times of change*" **(I14)** and the final view was about the authentic leader showing up in that moment of change, hence that builds the relationship, knowing or not knowing is not the issue, it is how the leader shows up that builds the relationship "*what I call a moment of truth, the leader can really create, peoples trust  if you step into that moment of truth with authenticity*" **(I20).**

**Contextual:** Seven informants advised that the response is contextually dependent. If the change is anticipated to bring about opportunity, then the responses are more inclined to be positive. However, if the change negatively affects people and the status quo then the response outcome is more inclined to be negative. The following quotations support this category "*it can either go totally wrong or it can go good, depending on the personalities, their experiences and the type of change.*" **(I16)** and "*I think if you don't build a trust relationship with your employee at the outset, it can be very disasters and you can experience negativity but if it is done properly and you're able to relate to your employee on that basis.*" **(I19)**

**Negatively affects the relationship**: Eleven informants advised that times of change negatively affected the employment relationship with reference to the subordinate-leader relationship. The outputs of the negative effects are listed in Table 16 below:

Table 16: Negative effect on the employment relationship

| Rank | Category | Explanation | Frequency |
|------|----------|-------------|-----------|
| 1 | Animosity | The behaviour that presents itself during times of change, in the form of fighting, cynicism, tension and conflict | 7 |
| 2 | Authenticity | The level of mistrust on the part of the change recipients, towards the messaging from the change agent | 4 |
| 4 | Neglect | The feeling of isolation and not being cared for during times of change both on the part of the change agent and change recipient | 3 |
| 3 | Credibility | The change recipients bring the quality and trustworthiness of the change agent into question. | 2 |

Animosity: The behaviour that presents itself during times of change, in the form of fighting, cynicism, tension, and conflict. Some form of animosity was recorded seven times during the interviews and can be supported with the following quotations. *"Subordinates believe that the line manager knows more then they share, is making the decisions, sometimes you are not"* **(I06),** and *"I think it could be strained, people react obviously to changing situations differently"* **(I10)**.

Authenticity: The level of mistrust on the part of change recipients towards the messaging/communication from the change agent was recorded four times during the interviews. *"it was animosity, distrust all the things that you don't want and because of history the team was in a space where they felt neglected ,the words that I would describe is neglected, unheard, distrust in the relationships"* **(I04)**.

Neglect: The feeling of isolation and not being cared for during times of change both on the part of the change agent and change recipient was recorded with a frequency of three. "*So it went through a very bad patch where the team felt totally isolated from their leader."* **(I02)** and *"because of history the team was in a space where they felt probably neglected"* **(I04)**.

Credibility: Change recipients bring the quality and trustworthiness of the change agent into

question. This was recorded with a frequency of two, *"leaders coming into the organisation cause people in the older generation who believe in hierarchy and age do not resonate well with young leader"* **(I02)** and *"So you know that always puts your relationship that you've build, the trust and the credibility with that employee at risk. I always try and make it a habit of getting approval to divulge the less confidential bits"* **(I05)**.

In summary, the leader-subordinate relationship is impacted in three ways. Firstly, positively by strengthening the dynamics of the relationship and based on the opportunity inherent in change. Secondly; negatively due recipient cynicism, resistance, lack of inclusion and reputational impact on the change agent and finally, contextually; resulting in either a positive or negative impact based on the context in which the change is occurring.

## 5.5.3 Unwritten expectations of stakeholder groups – dual perspective

*Secondary questions:*

*2.2: What sort of unwritten expectations do you believe your subordinates have of you?*

*2.3: What sort of unwritten expectations do you have of your leader?*

The responses from secondary question 2.2 and 2.3 yielded similar responses from the perspective of subordinate and line leader expectations. Table 17 below provides a view of the nine categories and the frequency highlights the number of times that category was reflected in the various categories.

Table 17: Expectations for subordinates and leaders

| Category | Explanation | Frequency of expectations of subordinates (2.2) | Frequency of expectations of leaders (2.3) |
|---|---|---|---|
| Security | Change agents are expected to protect change recipients from change impacts, they act as buffers between the change being implemented and the impact on them as recipients, they hold the interest of the change recipients at the highest regard | 12 | 14 |

| Empowerment | Empowering self and change recipients by obtaining information and communication and regularly circulating it | 9 | 7 |
|---|---|---|---|
| Solution orientation | The change recipients expect change agents to have, obtain and provide all the answers. Little work/disruption is required on the part of the change recipient | 7 | 0 |
| Authentic Leadership | Change agents are expected to be honest, reliable, ethical and transparent in driving the change | 7 | 9 |
| Inclusivity | In driving change there is an expectation that the change recipients must ensure that they take change recipients on the change journey, they must include them in the process and allow for constant engagement through dialogue | 4 | 5 |
| Readiness for change | Time and space is allowed to accept the changes that are being implemented | 3 | 0 |
| Visionary Leadership | The change agent is expected to understand the bigger picture and the reason for the change being implemented. The bigger picture refers to the strategy and future focus of the organisation | 1 | 3 |
| Reward | There is a reward if the change is adopted successfully | 1 | 0 |
| Stakeholder management | The responsibility for the management of stakeholder's rests on the change agents | 1 | 1 |

Security being the first category, is a common expectation from both perspectives, and the high frequency infers its importance from both the change agent and change recipients' perspective. It refers to the expectation that change agents, their direct leaders to protect the

change recipients from change impacts, the leadership in this instance is expected to act as a buffer between the change being implemented, and the impact on them as recipients, they hold the interest of the change recipients at highest regard. The three preceding quotations support this category. "*They expect me to represent them at senior forums like the steering committee. To have their back, to take the lead on managing some of the higher risk items which has a broad impact, to help resolve obstacles, to move obstacles*" **(I07),** "*There's also an* expectation that uhm I act as a gatekeeper in terms of protecting my staff." **(I11)** and "*that I can find the solution for all their insecurities and that I can make their lives and processes that they control easier."* **(I18)**.

Empowerment is the next category, but features higher on the part of subordinate expectations as opposed to senior leader expectations. Empowerment refers to empowering self and change recipients by obtaining information and communication and regularly circulating it. The preceding quotations support this category, "*they want to hear as much as possible of what I can share with them*" **(I03)** and *"they want to make sure that story line is consistently reflected in communication, in conversation in terms of anything that goes private or public okay."* **(I12).** Change agents expect the same level of empowerment from their direct leaders and this is reflected in informant two's quotation *"I expect our line leader to be closer to us as a team and share as much information as possible"* **(I02)**.

Solution orientation is interesting as it only features from the perspective of the subordinate and not from the change agents' expectations of their leaders. Solution orientation refers to the change recipient's expectation that change agents have to obtain and provide all the answers concerning the change. The following quotations support this category, *"I think they expect you to know exactly what's coming next you suppose to know exactly what must be done in exactly the right time and they expect you to give them the answers that they need"* **(I06)** and *"expecting a leader to come forth and, to be able to say how it's going to impact them, we need to be able to articulate it at the same time to provide alternatives or solutions"* **(I16)**.

Authentic leadership is prevalent in both perspectives, but is recorded more frequently from the perspective of change agent expectations of direct line leaders. It refers to the expectation that the change agents and their leaders are honest, reliable, ethical and transparent in driving the change. The following quotations support this change, "*I think its openness and transparency*" **(I04)** and "*I think subordinates are looking to leaders that don't sugar coat things, let them know even if it is not the best news they want to deal with it.*" **(I16).**

Inclusivity, with a recorded frequency from the senior leader perspective, higher than that of the subordinate perspective. It refers to the expectation that change agents ensure that they take change recipients along the change journey; that they are included in the process and allow for constant engagement through dialogue. Quotations that support inclusivity are, "*I'm mostly quite consultative but inclusive and I need to back my subordinates to drive the right things, there needs to be alignment and trust that I will take the message through in exactly the same way that it was articulated*" **(I15)** and "*when I am driving change I think I'm expecting my leader to understand the entire change objectives the strategic imperatives to be able to include me in the process*" **(I16)**.

Stakeholder management is recorded with a low frequency of one from both subordinate and leader perspectives. Stakeholder management refers to the expectation that the responsibility for management of stakeholder's rests on the more senior body.

Visionary leadership is recorded with a higher frequency from the expectations of the line leader. It refers to the expectation that the leader must understand the bigger picture and the reason for the change being implemented. The bigger picture refers to the strategy and future focus of the organisation.

Reward and time to change is only recorded from the perspective of the subordinate and has a very low ranking. Reward refers to the possibility of a reward if the change is adopted successfully. "*That if they go along with the change that the reward will be growth and development into higher position*" **(I19)**.

In summary the nine categories have been condensed into the following themes sense-making which includes empowerment and inclusivity, constituent of leadership which includes authentic, visionary and solution orientated (transactional) leadership, support which includes security and reward and finally readiness for change which is a standalone theme.

## 5.5.4 Compliment, alignment or contraction in the dual perspectives

*Secondary questions:*
*2.4: Do expectations of you acting as a change agent contradict/compliment or align with expectations your employees have of you, how so?*
*2.5: Do expectations of you acting as a change agent contradict/compliment or align with expectations you have for your leader, how so?*

The responses to the above two questions are reported in comparison and reflected in Table

18. Twelve informants recorded alignment with them serving as change agents from both the subordinate and senior leader perspective. Nine informants recorded misalignment with them serving as change agents from both the subordinate and senior leader perspective.

Table 18: Alignment from a senior leader and subordinate perspective

| Alignment in responses between two perspectives | Frequency | Misalignment in perspectives | Frequency |
|---|---|---|---|
| *Complimentary* | 6 | *Positive difference* | 2 |
| *Alignment* | 6 | *Negative differences* | 6 |
| *Contradiction* | 0 | | |
| Total | 12 | Total | 8 |
| **Grand Total** | | | **21** |

Of the 12 informants that recorded alignment with them serving as change agent from both the subordinate and senior leader perspective. Five informants reported that them serving as change agent was actually complimentary to their leadership role, six reported that them serving as change agent was aligned to their leadership role. Zero reported it contradictory for the leader to serve as change agent, which reinforces the notion that change is a constituent of the leadership profile. The reasons stated by these respondents for alignment can be categorised into three.

Synonymous with leadership, this refers to the change mandate being synonymous with leadership and the role of change agent being one with the leadership mandate. All parties acknowledged that driving change is part of the leadership role and in fulfilling the leadership duties, change is driven to ensure future prosperity. *"We are a high performing team all moving towards a common goal and the leaders understands the bigger picture" (I10)* and *"They have come a long way to understand change is how we make the business more efficient"* **(I17)**.

Visionary growth, this refers to change creating opportunities for growth that is aligned to the vision and strategic objectives of the organisation and industry. The feedback received related to better performing teams and alignment to the overall strategic growth of the organisation *"I see my team members getting excited to share our journey out there and the vision from a leadership perspective is supportive"* **(I02)** and "*It is good management and*

*leadership practices to be able to lead a team in such a way that they understand context and understand the vision and execute on it I would expect that from my leader as well."* **(I04)**.

Opportunity in change refers to subordinates not being able to see the inherent opportunity in the change. "*It's a compliment we don't often see the opportunity in change*" **(I20).**

Of the eight informants that recorded misalignment (refer to Table 18) in leaders serving as change agents from both the subordinate and senior leader perspective, two of the misaligned responses were positive and six of the misaligned responses were negative.

Based on the positive misaligned responses, the categories that emerged are:
Positive outcome, this refers to the misalignment in that subordinates were surprised by the positive outcome of the change. This particular organisation was going through multiple changes such as culture change, leadership change and change in the way they worked. In spite of the changes, they were rewarded which was a major contradiction for the subordinates and this is reflected in the quotation by **informant 18**, *"I was brought inside here to drive change which aligns with leadership but subordinates expected no bonuses which they did receive and this was a contradiction"* **(I18).**

Context of change, this refers to the context in which change is driven. Contributors to the context include the impact on the subordinates and leaders, the purpose of the change and the anticipated outcome of the change. This context could result in alignment or contradiction, "*Aligns and contradicts based on the change that you are implementing-good cop, bad cop"* **(I03)**.

It is important to note that the misalignment responses emerged from the perspective of the subordinate. The perspective of leader was aligned in all these cases which infers that the leaders mandate is well understood by the senior who appoints them to the role however their role is not always clear to the subordinate. The alignment from the leadership perspective is attributed to the mandate of the change agent; the senior leaders appointed these agents to drive a purpose, hence the alignment, "*I have a very supportive boss" (I11)* and "*I am brought into lead change." (I20)*

The six negative misalignments are mainly attributed to a contradiction from the perspective of subordinate. The main categories that resulted from this contradiction are:

Continuous strategic change, this refers to continuous change in the strategic direction of the

organisation and infers a lack of common understanding of the vision and subsequent objectives in achieving the long-term vision. Informants found this constant change difficult to drive due to lack of focus towards a common vision. This is reflected in the statement of informant five, *"we always start off with a strategy and then midway or halfway through that strategy it changes, and the employee's expectation is always that you had sight of this change that was coming, when you yourself necessarily couldn't predict what the pattern or the trend."* **(I05).**

Mandate of change agent, this refers to the misunderstanding in the role of change agent. In this instance, the subordinates did not understand that certain information was withheld as part of the business process, in which the change agents was manager. "*You also need to gauge the level of your own subordinates and how much information you can actually entrust with them, especially if highly confidential information*" **(I09).** Another dynamic relates to change recipients not understanding the duality of the leadership role; in this case they place the leader in a silo of driving change or driving operations. "*They see you more in source of playing a role of a business man who makes sure that everybody plays by the rules and the problem is leaders who expect that things will just happen without contradictions"* **(I13)**.

Lack of belief in the change, this refers to the change agent not buying into the business change due to a poor business case for change. The informant could not see the financial merit in implementing change and succumbed to the concept of "political agendas" **(I03)** as the reasoning for the change. This results in contradiction on both the subordinate and leader's perspectives.

Growth opportunities, this refers to subordinates only expecting positive growth based on their support with the change implementation. This is reflected in the feedback received from **informant 19**, *"I think it contradicts a little bit in their expectation with me is that, they wanting to grow each time."* **(I19).**

There is also record of the lack of leadership skills to effectively support this change. This results in major contradictions in what the change agent is driving, and the support required from the leader. This is reflected in quotation of **informant 09**, "*I'm experienced at change but being led by leadership that has no appreciation and understanding of the change capability. So your advice contradicts their thinking, because they don't understand what their capability is meant to be doing."* **(I09)**.

In summary, there is more alignment in the leader's dual roles of change agent and change recipient, which once again confirms that change is part of the leadership framework. It is

well understood from the perspective of the senior leader, who issues the contract of employment but there are discrepancies in understanding from the subordinate perspective which could impact the employment relationship.

## 5.5.5 Concluding research objective two

This research objective aimed to uncover any differences in expectations and perceptions of the employment relationship for the leader driving change. The results were obtained by asking the leader to provide a view from their subordinates and senior leader's perspective hence unearthing the impact on the employment relationship of the leader responsible for change. It has been confirmed that change does affects the leader subordinate relationship however, the expectations and perceptions of the stakeholders in the bi-directional relationship is more consistent and aligned then contradictory. Once again this affirms that change is inherently part of the leadership role and is well understood by those who appoint these leaders, but this is not always understood by the subordinates who are operationally managed by the leader acting as change agent.

- Empowerment, includes inclusivity which enhances the overall understanding of change and leads to empowerment.
- Constituent of leadership, thorough understanding the expectations and perceptions of the bi-directional relationship now includes visionary leadership.
- Readiness for change for all parties privy to the bi-directional relationship contributes to the category of adaptability
- Support which has expanded to include job security based on the impact of change on employment and reward for embracing the change.
- Stakeholder manager has emerged from this research objective and includes the consideration for the stakeholders in the bi-directional relationship, shareholder and other internal and external groups.

## 5.6   Research objective three

**What support tools are required to assist the leader in managing the conflict that arises as a result of their dual roles in driving change?**

The primary aim of this objective is to explore the support tools required to assist the leader with conflict in the dual role brought about by the voyage of organisational change. Research (Bartunek et al., 2006; Kumar, Payal; Singhal, 2012) makes mention of multiple support tools for change recipients impacted by change and change agents driving change (Barratt-Pugh

et al., 2013; Sing, 2013). This objective aims to identify the different types of support tools required for change agents, the level of awareness regarding these support tools, the effectiveness of these tools and finally the medium in which these tools are delivered.

The findings related to this objective have progressed from the detailed findings of the secondary questions. The topics of the secondary questions refer to level of support available in the organisation for those who change agents and change recipients. It goes on to look at the support tools required by leaders driving change and closes out with advice to new leaders taking on the change journey.

## 5.6.1 Thematic analysis

Below is a list of themes that emerged from the findings that support research objective three. Not all of these are new themes however additional categories have been grouped into the existing themes. The details of the findings are discussed according to the emerging themes, there may be overlaps from previous objectives however these support the objective of determining the support tools required for change leaders. A new theme that emerged from the findings of research objective three is planning.

The findings reflect overwhelming support for recipients of change and less so for those responsible for driving change. Support for change agents does exist in pockets, within the interviews conducted and has been interwoven with the support tools required by change agents to effectively drive change as described in the following themes:

Support: One of the biggest themes under support tools, does exist in organisations required in the following forms; support network in the form of leaders, peers, mentors, personal, and stakeholders. Support in the form of specific change management training for leaders who, by virtue of their title, will inevitably take on the change journey. Support in the form of a supportive culture and environment that will allow change agents to effectively manage change *"So we want people to be able to say no safely, because our organisational culture allows me to challenge"* **(I01)** and finally support in the form of budget, resources and technical support to enable change. There is, however, dire need for support from leadership in the form of leaders investing in the change journey and supporting the agents that drive change, *"I would say leaders must really need to put a support structure around those that lead change."* **(I13)**  and support from human resources which is seen as the professional change body, to provide the necessary tools and support for change agents when driving change.

Constituent of leadership: Refers to the mandate to drive change. Change agents

acknowledge that to effectively drive change they have to be formally mandated to drive the change. This will ensure removal of any misconceptions in the minds of stakeholders in the bi-directional relationship. Added to this theme is the need to build the organisational change capability as it is found in pockets. *"So what does the leadership program look like to address the kinds of issues, regarding honest, authentic and service leadership, people who have strong governance, people who are execution focused, how do we develop these leaders we are putting a change?"* **(I20)**

Sense-making: Refers to empowerment in the form of engagement and dialogue which does exist in organisations. However, transparency and timing of communication and information is pivotal to successful change implementation. *"so just to have like a collective community of support on the same level as you that can share information to say what went wrong and what didn't go well."* **(I10).** Inclusivity in co-creating the change journey has been highlighted as a key category in enhancing overall sense-making on the part of change agents and change recipients. Time for reflection has been identified as a key category that will enable sense-making, time for change agents and recipients to reflect on the change that has just been implemented serves as a refresh before the next change is rolled out. *"always you need to refresh yourself as to what a good change management look like"* **(I08).**

## 5.6.2 Support tools available to change agents

***Secondary questions:***
***3.1: As Employee affected by change, what support did you receive to manage the change?***

***3.2: As Change Agent driving change, what support did you receive to allow you to drive change?***

In assessing the results of a leader in the capacity of employee and change agent, the following results were extracted regarding the support each role received to manage change.

There is an overwhelming difference to the support available to employees experiencing change than for the change agents required to drive the change.

Table 19: Support for change recipients versus support for change agents

| Support received for employee/change recipient to manage the change | Support received for change agent to dive change |
| --- | --- |
| | |

| Support | No Support | Support | No Support |
|---------|-----------|---------|-----------|
| 16 | 5 | 11 | 10 |

The type of support required by change agents has been categorised into the following based on rank.

Table 20: Support tools required by change agents

| Rank | Type of support | Frequency |
|------|----------------|-----------|
| 1 | Support network: leaders, peers, mentors, personal, stakeholders | 7 |
| 2 | Mandate to drive change | 3 |
| 3 | Specific change management training for leaders | 3 |
| 4 | Supportive environment: culture | 3 |
| 5 | Other support: Budget, resources, technical support | 3 |
| 6 | Empowerment in the form of engagement and dialogue which leads to a feeling of inclusivity | 2 |
| 7 | Time to reflect and digest the change | 1 |

Support tools that currently exist in organisations have been detailed below:

Support is subdivided into, the support network in the form of leaders, peers, mentors, stakeholders and personal support available to the change agent whilst driving change. "*This is such an open plan place, you can directly go to the CEO tell him about the things that you are thinking and there is always full support, so there is big management support in this organisation" (14).* Other types of support available refer to the supportive environment in the form of culture that supports the change and resources in the form of budget, people and technical support to drive the change. *"So we want people to be able to say no safely, because our organisational culture allows me to challenge"* **(I01)**.

Mandate to drive change refers to the formal authoritative power invested in the change

agent to drive organisational change. *"I have a mandate to do something. We do not say that, it's unwritten. We in the space that you have to add value aligned to growing the business but that requires change"* **(I01)** and "*Authority in all honesty, to be able to tell the recipients and senior leaders to listen.*" **(I20)**.

Speciality training refers to organisational investment in line leaders, to build the change capability. This will reinforce their change mandate and build their credibility as well as allow them to support change agenda with confidence. *"Training to support them in driving change"* **(I14)** and *"Extensive leadership training"* **(I08)** are some of the statements that support the current training that exists.

Inclusivity refers to senior leaders ensuring that change agents are aligned with the change journey. Engagement with senior leaders is recorded as fostering inclusivity and finally time for reflection, which refers to allowing the change agent some time to process and digest the change they are required to drive. "*Open plan kind of place where we have open door policy that you can directly go to the CEO tell him about this thing that you are thinking and there is always full support, so there is big management support in this organisation"* **(I14).**

In summary more support is provided to the change recipient than the change agent during the change journey. Instances of lack of support for change agents in driving the change, were noted and this will be unpacked in the subsequent feedback.

The feedback from this question enhanced the themes of support with inclusion of the category of other support in the form of resources, budget and traditional support in the form of generic wellness and employee support

## 5.6.3 Support tools required by change agents

*Secondary question 3.2.2: What support would you have liked to receive to drive this change?*

Table 21: Support required by change agents

| Rank | Type of support | Frequency |
|------|-----------------|-----------|
| 1 | Support from leadership: leaders investing in the change journey and supporting the agents that drive change. Leadership positioning the change and acknowledging a decline in profits due to change implementation | 7 |

| 2 | Building capability: leadership and resource capability to effectively drive change | 6 |
|---|---|---|
| 3 | Support from HR: in managing the impacts of change on the change recipients and the tools and training required by the change agents to effectively drive the change. | 3 |
| 4 | Engagement: communication and information sharing session | 2 |
| 5 | Inclusivity: change journey is co-created with change agents and not dictated by senior leaders | 1 |
| 6 | Opportunity to refresh before next change is implemented | 1 |

Even though only ten informants did not receive support in driving the change, 15 informants provided insight regarding the support they would have like to receive. This feedback is discussed below and is instrumental in understanding the support required by change agents to effectively drive change.

Support from leadership, with a frequency of seven, refers to leaders investing in the change journey and supporting the agents that drive change. Leadership positioning the change and acknowledging a decline in profits due to change implementation. These quotations provide some insight to the informant feedback, "*there was never really a formal session with our line leader for example to say this is why we are changing ,why it is important, this is where I see us going, these are the change objectives. I think if we had to have more support in terms of positioning the change*" **(I02)** and *"I would say leaders must really need to put a support structure around those that lead change"* **(I13)**.

Closely linked to leadership support is building capability, which refers to the change capability inculcated in leaders and resources that assist in implementing change. The change capability of senior leaders will directly affect the support available for change agents in their pursuit of driving change. These quotations provide some insight to informant feedback " *It would be just to provide people with standard messaging first, like what would we be driving so, I would expect the leadership team to be setting people up for future success"* **(I04),** *"there is an assumption that a leader must be tough, must be resilient and must know for sure. We are human beings for crying out loud."* **(I13)** and "*So what does the*

*leadership program look like to address the kinds of issues, regarding honest, authentic and service leadership, the danger is that we are putting down change in a broken system and then those leaders aren't equipped to manage the change so that's where it often goes wrong"* **(I20)**.

Support from HR refers to the people function, investing more effort in managing the impacts of change on the change recipients and providing the tools and training required by the change agents and line leaders to effectively drive the change. These quotations provide more insight, *"I find that HR plays a very unassuming role"* **(I11)** and "*not much from HR, which is weird, hence I feel the need for leadership ability is absolutely objective"* **(I19)**.

Engagement refers to communication and information sharing sessions available to change agents, to allow for dialogue, brainstorming and knowledge sharing. Change agents require this support to leverage tested change techniques and ensure continuous updates to their information load. This quotation supports this *category "I think having colleagues on the same level as you that are informed, information sharing sessions, to share what went well and this is what didn't go well as well" (I05)* and *"so just to have like a collective community of support on the same level as you that can share information to say what went wrong and what didn't go well"* **(I10)**.

Inclusivity refers to the change journey that is co-created with change agents and not dictated by senior leaders. This ensures buy-in by the change agent at the onset of the process and allows for quicker implementation as less time is required to make sense of the change. "*I have had the opportunity to have line leaders that understand we have the skills and people with the capability to help the organisation go through the transition and can help design change"* **(I09)**

Opportunity to refresh refers to a "time out" before next change is implemented. In financial services, change is occurring at a constant rate and in order for the change agents to be effective at driving change, an opportunity to refresh and regroup post change implementation is required. In the long run, this will ensure energised change agents. This quotation provides insight to this category *"always you need to refresh yourself as to what a good change management look like"* **(I08)**.

In summary, even those respondents who received support were eager to advise on the additional support required. The additional support has been categorised into existing themes in the following manner: extensive leadership and human resource fall within the theme of support; building the capability of change agents; empowerment in the form of

communication and inclusivity and sense making by allowing the change agent time to reflect and absorb the change requirement.

## 5.6.3 Advice for change leaders on a change journey

*Secondary question:*

*3.3.2   What advice would you give other leaders that are responsible for driving?*

Table 22: Advice for change agents

| Rank | Category | Frequency |
|---|---|---|
| 1 | Servant leadership: leaders who motivate their followers by placing their needs ahead of the leaders own. Displaying traits of humility, care and vulnerability | 9 |
| 2 | Sense making: the need to make sense of the change enables acceptance of the change. Take time to process the change and understand the change journey | 7 |
| 3 | Empathy is regarded as the ability of the change leader to place themselves in the position of the change recipients in order to understand the recipient's behaviour or response to change | 7 |
| 4 | Empowerment    through communication, knowledge sharing, experimentation and the ability to fail fast and learn from mistakes | 6 |
| 5 | Support network includes internal and external support such as peers, colleagues, leadership, mentors, and coaches.  The  value  of  supportive  leadership  is paramount as well as support in the form of resources | 4 |
| 6 | Stakeholder management: be cognisant of the multiple stakeholders that must be managed. Internal and external | 3 |
| 7 | Planning: effectively planning based on information sought (empowerment), understand the change (sense | 1 |

| | making) and impacts (servant leadership) | |
|---|---|---|

In unpacking the advice that would be given to other leaders driving change, some new and some existing categories have emerged. This feedback is taken from the perspective of new leaders embarking on the change journey. The categories that emerged are:

Servant leadership: It came up with the highest frequency and displays the importance of the senior leader initiating change and the change agent driving change to display this leadership trait as they lead their recipients though the change journey. This is reflected in the quotations below "*never under estimate the amount of personal change management that needs to for yourself and others, you cannot change this organisation on PowerPoint*" **(I04)** and "*you're not going to walk a mile and realise that you've left everybody at the gate, take your people with you" (I10).*

Sense making: leaders who embark on the change journey must make sense of the change, this enables acceptance of the change. Take time to process the change and understand the change journey. This is done through reflection, empathy and understanding on the change curve are the recipients and is reflected in the following quotations "*keep the communication channels open explain to people why this is happening give them the bigger picture*" **(I02).** Sense-making includes empowering oneself and those impacted by change. It requires a level of inclusion from all parties in the bi-directional relationship which refers to both senior leaders and change recipients. Allowing for experimentation will support understanding *and empowerment. "don't be afraid to make mistakes, apologies and move one" (I06); "Understand the responsibility that comes with change, you hold the power to people's lives and happiness - take it seriously, people trust you and get people involved* **(I13)** and "*it's an active leadership so experimentation I suppose what's the consequence of making mistakes*" **(I20)**.

Empathy must be considered and is regarded as the ability of the change leader to place themselves in the position of the change recipients, in order to understand the recipient's behaviour or response to change. An understanding of what others are experiencing on the change journey enhances the sense making process and has been combined with this category. "*to always keep that in mind that there's a human being in front of you*" **(I05)** and *"sense of humility to connect with people, people are not machines they human beings*" **(I09)**.

Stakeholder management is key when engaging the change process, the need to be forward

thinking and adapt whilst still maintaining the triple bottom line for your shareholders. Other stakeholders to consider are external (unions, communities), as well as the internal stakeholder (shareholder, customers). Leaders must remain cognisant of the multiple stakeholders that must be managed. "*know you need to manage your BAU and you got your key stakeholders as well*" **(I07);** "*understand clearly the stakeholder landscape of what you are impacting" (I08)* and "*you need understand your business, you need to understand the personalities in the business, you need to understand the change itself*" **(I20)**.

A solid support network is required when driving change and support has been a constant throughout the findings. Support from senior leaders has been identified as a major contributor to the sense making process on the change journey. "*Because change may come from anywhere in the organisation but ultimately there is no change that will be implemented without a leader owning that change and driving* it" **(I14)** Support in the form or adequate resources is also required for successful change implementation. "*successfully use the tools available by whoever is initiating the change to then drive it successfully*" **(I11).**

Planning is a new finding that emerged from the advice for leaders participating in the change journey. Since it did not fit one of the previous themes it has become a standalone theme. Planning is an enabler of the other themes such as empowerment- the correct information must be pursued to create an understanding of the change which results in sense-making. Planning must ensure that the correct leadership traits are effectively utilised to manage the various stakeholder groupings so as to minimise the impact of change on these stakeholders. Proper planning will also ensure that support is effectively distributed to all stakeholders especially those directly impacted by the change. Planning can be seen as the bow that wraps the entire change journey and its themes and this is reflected in the quotation "*just putting the right ingredients into a bowl doesn't give you a good outcome you actually you know kind of exact quantities you need to have the recipe; you need to plan*" **(I12)**.

In summary, a new theme of planning emerged from the aforementioned advice for incoming change agents. All other categories have been explained in previous sections**.**

Table 23: Type of support tools available for change recipients

| Rank | Type of support | Frequency |
|------|-----------------|-----------|
| 1 | Traditional support: Employee assistance programmes, wellne training, focus groups, | 9 |

| 2 | Support network: leaders, peers, mentors, personal | 6 |
|---|---|---|
| 3 | Communication | 4 |
| 4 | Supportive environment: culture | 3 |
| 5 | Other support: Budget, resources, technical support | 3 |
| 6 | Empowerment in the form of engagement and dialogue which leads to a feeling of inclusivity | 2 |

A summary of the support tools available to change agents is listed below:

Traditional support, recorded with a frequency of nine refers to the more widely known sources of support i.e. employee assistance programmes, wellness, and training and focus groups. *"We have got a wellness program. If anybody is feeling a bit stressed, anxiety and need to chat right we'll offer you a support via HR"* **(I01).** Support network, ranked second with a frequency of four, refers to the support that comes from peers, friends, mentors, coaches, trusted advisors, spouses and most importantly leaders. "*There is more support available in the informal than there is in the formal. In the informal often there is camaraderie in people in relationships that you build up."* **(I08)** and *"my line manager plays various roles for me personally, as a mentor, some of it is as a manager, some of it is as a disciplinarian"* **(I11)**

In addition, sufficient communication and information is shared with the employees to ensure they are kept abreast of occurring changes, *"I said we have regular information sessions"* **(I10).**

Supportive environment refers to the organisational environment in which these employees work. Organisational culture is a major contributor towards creating the required supportive environment. "*My organisation is very supportive and doing anything they will go Big-Bang to support anything that you are changing it's a very entrepreneurial kind of place*" **(I14).**

Other support refers to support that has not been captured in the aforementioned categories. Other support identified is resources such as budget and people to assist with change and this has assisted the employees tremendously. *"I can say that I have been very fortunate I've got a budget for innovation and I have a budget for marketing to drive the messaging."* **(I17)**

Inclusivity refers to ensuring that change recipients are included in the change journey and

allow for constant engagement through dialogue.

## 5.6.4 Concluding research objective three

In an endeavour to understand the support tools required by change agents to support them on their change journey, it must be acknowledged that support tools do exist for both change agents and change recipients, although the amount of support tools available for change recipients far exceeds those available for change agents. Table 24 provides a view of the support tools available for change agents and the support tools they require

Table 24: Support tools required by change agents

| Support tools that currently exist | Support tools that are required |
|---|---|
| Support:<br><br>• Support network in the form of leaders, peers, mentors, personal, stakeholders<br><br>• Supportive environment: culture<br><br>• Specific change management training for leaders<br><br>• Other support: Budget, resources, technical support | Support :<br><br>• Leadership support by investing in the change journey and supporting the agents that drive change. Leadership positioning the change and acknowledging a decline in profits due to change implementation<br><br>• Human resources support in managing the impacts of change on the change recipients and the tools and training required by the change agents to effectively drive the change |
| Constituent of leadership:<br><br>• Mandate to drive change which refers to the formal authority bestowed upon the change leaders | Constituent of leadership:<br><br>• Building leadership capability and resource capability to effectively drive change |
| Sense-making:<br><br>• Empowerment change agents through engagement and dialogue which leads to a feeling of inclusivity<br><br>• Time to reflect and digest the change | Sense-making:<br><br>• Engagement by means of transparent communication and information sharing session<br><br>• Inclusivity: change journey is co-created with change agents and not dictated by |

| | • senior leaders |
| | • Opportunity to refresh before next change |

The groupings of support tools remain consistent, but additional categories have been included to ensure an inclusive list of support tools required. The additional support tools required are leadership and human resource support in driving the change and building of change capability not only in the change agents but other resources that assist in driving change. Transparent engagement between senior leaders and change agent is pivotal as it will lead to the level of inclusivity required by these agents to adequately feel entrenched and drive the change agenda.

## 5.7   Conclusion

This chapter detailed findings from the 21 interviews conducted for the purposes of this study, in exploring the dual role of the leader driving change and being impacted by change. The overarching research purpose was uncovered by subdividing the research into three distinct research objectives. The findings related to overarching purpose and three research objectives are listed below:

Based on the findings it is evident that a dilemma in leaders fulfilling the dual role of change agent and change recipient does exist. The dilemma is minimised based on the finding that these leaders possess specific leadership characteristics. The dilemma is further minimised based on the finding that senior leaders, leaders and to a lesser degree subordinates, acknowledge that change is innately part of the leadership role. The support received by change agents driving the change agenda contributes to management of the dilammea. The duality does impact the employment relationship which is highlighted as per the specific research objectives.

Research objective one: Elements in the employment relationship affected by change are themed as progressivism which according to literature is known as the innate quality that leaders have than enables them to deal with change. Sense making which refers to the ability to understand the change requirement by means of information, communication and empathy. Constituent of leadership, which refers to acceptance of duality. Readiness for change, which refers to the readiness of the people skills, abilities and adaptability to cope and embrace change and support in the form of social support network.

Research objective two: The apparent differences in expectations and perceptions of the

employment relationship for the leader driving change confirmed that change does affects the leader subordinate relationship. However, the expectations and perceptions of the stakeholders in the bi-directional relationship is more consistent and aligned then contradictory even though change is not explicitly recognised by subordinates as part of the leader role.

Research objective three: Support tools required to assist the leader in managing the conflict as a result of their dual roles in driving change led to the findings that support tools does exist in the workplace. However, the additional requirements from change agents in driving change, are leadership and human resource support, building of change capability not only in change agents but other resources that assist in driving change, transparent engagement between senior leaders and change agent which will lead to the level of inclusivity required by these agents to adequately feel involved and drive the change agenda.

The findings from each research objective resulted in the multiple codes being grouped to form categories and these categories grouped to form six key themes which were further collapsed into three super themes. A view of the thematic analysis is displayed below and depicted in figure 7:

Themes:

- Theme 1: Adaptability: refers to that innate quality that allows change agents to work with change and includes categories such as progressivist and readiness to change.

- Theme 2: Sense making: refers to the ability of the leader to understand the change requirement and includes categories such reflection, resilience, self-awareness, empowerment, empathy and inclusivity.

- Theme 3: Constituent of leadership: refers to the leadership qualities that make up a good change agent and includes categories such as mandate, transactional, visionary, authentic, transformational and servant leadership.

- Theme 4: Stakeholder management: refers to the management of the multiple stakeholder grouping including the bi-directional relationship.

- Theme 5: Support: refers to a network of support available for the change agent to efficiently manage the change and includes categories such as internal and external network, reward, and security

- Theme: Planning refers to utilising the aforementioned themes and effectively planning change implementation for successful deployment

Super Themes:

- Super theme 1: Traits, which refers to the innate qualities of change agents.
- Super theme 2: Capability build, which refers to elements that can be thought to a change agent
- Super theme 3: Support tools, which refers to the support tools that aid the change agent in managing the duality.

# Chapter 6: Discussion of results

## 6.1    Introduction

This chapter aims to provide an integrated view of the findings depicted in chapter five in relation to the research objectives discussed in chapter three citing literature reviewed in chapter two. This chapter will follow the same structure as chapter five in which the results per question and the corresponding literature will be discussed and analysed with the aim of providing insight to the dual role of leaders driving change and being impacted by change.

## 6.2    Discussion of results from introductory questions

The introductory questions had a dual purpose for both the researcher and the informants. These questions sought to provide context to the research objectives for the researcher as well as to introduce the overarching research question and sub questions to the twenty-one informants who participated in the study through the semi-structured interviews.

This concept of change is not foreign to financial services, the pace at which this industry requires change may be difficult to fathom. However, if change is not initiated swiftly it will lead to the downfall of a critical industry which is acknowledged as the backbone of our economy (Zalan & Toufaily, 2017). The sample assessed was all from the financial services with major representation from the traditional big four and minor representation from the more innovative financial institutions such as Discovery and Investec.

The level of leadership is skewed towards senior leaders as opposed to middle managers, with five of the thirteen (68%) senior managers holding executive leadership roles. According to Heyden, Fourné, Koene, Werkman and Ansari (2016) top down management is regarded as senior management who are generally responsible for initiating change. Bottom up, is regarded as middle managers generally responsible for executing and mobilising the change. It is interesting to note that whilst the five executives may have been instrumental in orchestrating the change, they still view themselves as change agents that drive the change to the next level of subordinates (as noted in the bi-directional relationship depicted in Figure 3). This leads to the conclusion that leaders view themselves as agents regardless of the level of leadership they fulfil. This is consistent with the finding that emerged from research objective one, in that change is inherently viewed as part of the role of leaders, not always

explicit in the formal contract of employment but implied in the social contract (Lim & Yazdanifard, 2014; Sing, 2013).

Following onto the point of ownership, it was confirmed that the majority of these leaders are non-owner leaders and even those who did obtain shares as part of their talent retention package did not have major shareholding. The importance of distinguishing levels of leadership was based on the additional layer of complexity, ownership places onto the dilemma that this study aims to explore and is not in the scope for this study. According to Redlich (1949); Simsek et al., (2015), owner leaders are highly concerned with profit and loss and change could directly impact the triple bottom line of the these organisations. This phenomenon will not be explored as part of this study. Some of the characteristics of owner leaders are seen to merge with those of non-owner leaders who participated in this study, however, that will be covered under research objective one.

The findings suggest that the majority of leaders are engaging in transactional change, followed by transformational change, which aligns to Anderson and Ackerman's (2001) stages of organisational change. Leaders within these firms have eluded to the fact that senior leadership teams are scanning the external environment and responding accordingly by changing their current policies and practices in response to these external threats and opportunities. This also aligns to characteristics of "strategic leaders" referred to by Simsek et al. (2015) as leaders who understand and align to the internal and external environment. Transactional change was slowly followed by transformational change. Transformational is referred to as change that results in radical shifts at the core of the organisation and requires a complete shift in mind-set from those who implement it and those who receive this change in order to land the required change adoption (Anderson & Ackerman, 2001; Cao & McHugh, 2005). These findings provide some insights that the industry is aligning to the need for radical transformation (McKinsey, 2017; Shaikh, 2017), by engaging in some forms of transformational change. For financial services to truly evolve, adapt and remain relevant amongst the current trend of disruptors influencing the industry (McKinsey, 2017; Zalan & Toufaily, 2017), more transformational change is required. This may just require a build of a different type of skill set that is prevalent in organisations that are implementing transformational change.

The introductory questions also provided a view on challenges experienced by leaders in their pursuit of change. Three major categories that emerged from challenges experienced by leaders as they drive change are 1) resistance, 2) credibility and 3) stakeholder management. Each of these categories will be discussed below in relation to the theory that was presented in the literature review.

Based on the findings, resistance is due to six factors that emerged and are presented in the figure below:



Figure 11: Factors of resistance

1. Lack of support from senior leaders. Change agents that do not receive support from their superiors in driving change experience massive pushback from change recipients and face a great deal of internal conflict. They require senior leader sponsorship to effectively drive the change. Ruiz et al. (2011), confirmed the importance of a good leader-follower relationship and its impact on driving organisational goals.

2. Misconception which refers to the delusion that change negatively impacts only the recipients of change. The delusion extends to the view that senior leaders who initiate change and agents that drive change are protected from any type of negative impact that may result from organisational change. This substantiates the views of Brown, Kulik, et al., (2017) and Choi, (2011) around cynicism towards change as a result of the negative side effects for those impacted by change.

3. Culture: Organisational culture that does not support change leads to resistance, which aligns with the works of Cullen et al., (2014) and Oreg et al. (2011) that organisational support in all forms is a positive influencer in the change journey.

4. The impact on key performance objectives (KPI's) prevents change recipients from achieving previously contracted KPI's and the impact of change objective setting going forward.

5. The need to learn new skills and adapt to the new world of work, leads to fear and anxiety which promotes resistance (Schumacher et al., 2015). This aligns to the theme of adaptability that resonated in chapter five. Adaptability as referred to by Miller (2001) may be a key element for effective change agents but the lack thereof in the recipients of

change creates a key dimension for change agents to work with, especially in an industry must be changing so rapidly.

6. Lack of resources to effectively implement the change in the form of people, budget and other support results in resistance

The factors of resistance derived from the findings are well supported in literature. There is empirical evidence to support "resistance to change" as a major reaction on the part of change recipients, however, Piderit (2000) suggested an alternative perspective to resistance to change. Resistance is traditionally seen as conflict in maintaining the current state and refusal to move into the unknown changed state from a complacent viewpoint. However, it is perceived as very negative and change agents have been cautioned to deal with resistance. There is legitimacy in resisting change; but it should not only be perceived from the negative standpoint of "holding on to the past" as there is merit in taking time to understand the source of resistance and cynicism to change (Brown, Kuli, et al., 2017). This provides an alternative lens for change agents to view change and challenges that emerge from the change journey.

The second major challenge is credibility. Credibility of the change agent was an interesting find. This opened the conversation around the recipient's perception of the leader in their dual role. It focused on the leader's credibility versus change agent credibility and how these roles are viewed in the eyes of the change recipient and the senior leaders. According to Owens and Hekman (2012) and Mom et al., (2015), the reputation of change leaders is a feature and the level of experience in the change game does enhance their credibility. An interesting observation to note is that, middle managers may drive organisational change to showcase their potential in order to move into more strategic roles (Simsek et al., 2015). Interestingly, credibility was raised as a concern by agents with less experience in both change and leadership and could be a reflection of their own anxieties as they progress in their own careers.

Finally, stakeholder management was also noted as a challenge experienced when driving change. The numerous stakeholders that leaders are accountable to make driving change extremely complex and one again alludes to the duality of the leader in driving change and being impacted by change. The responsibility that rests on the leader's shoulders is substantial. Leaders are responsible in their business as usual capacity (BAU) for their direct reports i.e. subordinate and direct seniors as depicted in figure 4, (the bi-directional relationship) and for the change impacts on shareholders, customers and subordinates. This burden enhances the dilemma experienced by leaders in fulfilling these dual roles. However, Bolden (2004) and Simsek et al. (2015) postulated that good change leaders are sought

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amongst other things, for their stakeholder management, which ultimately leads to the attainment of business as usual objectives (McCleskey, 2014) thus supporting stakeholders composite of the bi-directional relationship and others impacted by change.

In summary, change is prevalent in the financial services industry (McKinsey, 2017; Shaikh, 2017). In order for this industry to survive in this ever changing digital world, the level of change needs to escalate from transitional change to transformational change in a short amount of time (Anderson & Ackerman, 2001). It is also noted that line leaders irrespective of their level i.e. top management (TM) or middle managers (MM) have all implemented change. Interestingly, the type of change is aligned to their level of leadership (Ruiz et al., 2011; Heyden, Fourne, et al., 2016) hence transformational change is associated with TM and transactional change with MM, which is comparative to their experience in leadership and change. It can, with confidence, be acknowledge that driving change is part of the leadership role (Sing, 2013), though it may not be explicitly stated in the formal employment contract it is implicit in that leaders role (Lim & Yazdanifard, 2014).

## 6.3   Discussion from results of research objective one

**What elements of the employment relationship is affected by driving change?**

This research objective sought to identify how change affects the employment relationship of leaders fulfilling dual roles of change agent and change recipient, using social exchange theory as a lens. Exploratory research advises that change impacts all employment relationships (Home et al., 2009) but the intent of this objective was to uncover any dilemma that exists in simultaneously fulfilling these dual roles and to understand the coping mechanisms deployed by leaders in managing the dualities.

It is ostensible from the findings that change is synonymous with the role of leadership and was well supported by the theme constituent of leadership which refers to change being part and parcel of the role of the non-owner leader. Though change may not be prescriptive in the formal contract of employment (Lim & Yazdanifard, 2014; Sing, 2013), it is implicit in the social contract (Cropanzano & Mitchell, 2005; Varey, 2015) inherent in all employment relationships. 17 of the 21 leaders acknowledged that conflict exists in fulfilling this duality but manage this based on the inherent requirements of in fulfilling the leadership role and leadership characteristics.

Following on from change being a constituent of leadership, it requires specific leadership characteristics to efficiently manage the duality that comes from driving change and being

impacted by change. These characteristics include contextual leadership, visionary leadership, progressivism, sense making, readiness for change and support.

Contextual leadership which refers to the ability of the leader to understand the context of change impacts, timing of change, and stakeholders affected by the change. Contextual leadership, according to literature, is assimilated with situational or adaptable leadership (Liden et al., 2013; Owens & Hekman, 2012; van Dierendonck, 2011). This allows the leader to adapt to the situation at hand and it is critical in the change journey as there are multiple elements of the employment relationship that are impacted by change. These include subordinates, senior leaders, external stakeholder, customers, and business as usual and many more that are in a constant state of flux during change.

Visionary leadership is another notable characteristic required for change agents to efficiently manage the change. As per the findings, visionary leadership refers to the ability of the leader to create the required vision to move subordinates along the change journey. They need to possess future forward thinking to create a desirable vision for the recipients of change and this is supported by Groves (2006) who postulated that they need to create an environment that is conducive for all those moving through the change cycle.

Progressivism according to literature, is known as the natural/innate ability of a leader to deal with change and newness (Miller, 2001). According to thematic analysis it has been categorised into the theme of adaptability which includes readiness to change. Readiness to change emerged multiple times and has two meanings, one refers to the organisation's readiness to change which centres on more than just people and is supported by the work of Rafferty et al. (2013). Secondly readiness refers to the people element of skills and abilities to transition with the change (Buono & Kerber, 2009; Choi, 2011). It is essential that during the change journey both elements of readiness which include the wider organisation, its systems, process and policies and people are assessed to embark on the change journey.

Sense making is another characteristic that enables the leader to manage the duality of change agent and change recipient. In order for the leader to be an effective agent of change they need to make sense of the change from the perspective of the recipient and agent. Sense making refers to the ability of the leader as change agent to truly understand the change requirement (Bartunek et al., 2006; Brown, Kulik, et al., 2017; Pasmore & Barnes, 2017). The process of sense making will differ for TM and MM based on their experience with leadership and change ( Kumar, Payal; Singhal, 2012). Sense-making as derived from the findings; includes access to information and communication; the ability to understand from the perspective of the senior leader and subordinates as defined in the bi-

directional relationship framework (depicted in figure 3) and reinforced by the element of interdependence of SET (Barbalet, 2017; Cropanzano & Mitchell, 2005); the ability to understand from another's perspective which can be coined as empathy; the opportunity to reflect on the change and its impact; change agents previous experience of change which results in resilience towards change; self-awareness of ones reaction to change and ability to manage this in a way that does not impact the recipients of change and finally inclusivity, which refers to the need of including various stakeholders in the co-creation of the change journey. The sense making process will greatly enable the leader to effectively mobilise organisational change with all stakeholders if they have a good sense of the change requirement.

Support is essential for the leader to manage this duality, they cannot drive change in the absence of support, regardless of how many of these essential characteristics they possess. Support comes in many forms such as a support network which includes internal and external support from peers, colleagues, professional bodies, coaches, senior leaders and subordinates (Barratt-Pugh et al., 2013; Sing, 2013). Support is part of the exchange that is inherent in SET (Cropanzano & Mitchell, 2005; Varey, 2015), the change leader will drive change in exchange for support from senior leaders.

Section 6.3.1 to 6.3.6 provide detailed discussion on the findings of sub-questions that supported research objective one.

## 6.3.1 A dual perspective on coping with change

The social exchange theory as postulated by Cropanzano & Mitchell, 2005; Barbalet, 2017; Varey, 2015 and Dulac et al., 2017; contains multiple features that relate to the employment relationship. The most important of these features is engagement in the form human exchange, these engagements stem from interdependencies, which are prevalent in the employment relationship. The interdependencies enable work to be produced, which is fundamental to any employment relationship. The exchange is then further subdivided into social or economic exchange which is governed by the formal, legal, explicit contract and the informal, tacit, psychological contract and the perceived fairness according to of this exchange rests on the subjective nature of the human psyche (Georgalis et al., 2015) .

The interest of this study is based on the leaders' dual relationship with the employer in the change process; these dual roles are the leader as change agent and the leader as change recipient. The leader as change agent is expected to drive organisational change, which

stems from their senior leader and is aligned to strategic imperatives of the business. This change may or may not be formally contracted with the leader but in all cases, the leaders interviewed stipulated that the expectation of their line leader is that they drive the change in the form of change agent. The leader as change recipient is inadvertently impacted by the change that they are required to mobilise and in most cases this impact has never been verbalised hence confirming Georgalis's et al., (2015) view that the fairness around change and the exchange is a human subjective phenomenon.

In exploring this secondary research question regarding elements in the employment relationship that are affected by change, the dual roles of the leader were investigated in relation to the change process and refers to the leader as change agent and leader as employee/change recipient.

The quality of progressivism which refers to the natural ability to deal with change and "newness" was a main feature that resulted from both sides when dealing with the change. This corresponds with Miller's (2001) leadership framework that states the indicators of change agents personal adaptability as optimism, confidence, innovativeness, collaborative, sense of purpose, well-organised and future orientated (p.363). The correlation in the literature is that many of these leaders advised that they cannot explain their natural affinity to cope with change but they have always coped well with change.

Personal impact, which refers to the level of change impact. The more personal the change impact, the more difficult the change acceptance becomes, this is based on the findings by Anderson and Ackerman (2001), that the impact of the change must be assessed by means of a change impact analysis and appropriate change management strategies deployed to manage these impacts successfully towards change adoption. Miller (2001), alluded to the notion of personal impact and the level of adaptability "build that way" (p.362) required by change agents when undergoing change, as well as the multiple demands placed on the them by driving the change agenda and the additional pressure placed on agents to be void of exposing emotions. Adaptability is the phrase in academia that is used to showcase progressivism and personal impact hence these two are themed within adaptability.

Sense making, and this was discussed at length from both perspectives, refers to the ability to make sense of the change from the change agent's perspective is imperative in them communicating the message forward and driving the change. It is equally important for them to process the change and understand its impact on them in their capacity of change recipient. Failure to do so may result in unresolved emotions, which may influence their

ability to objectively lead the change. This is highlighted in the work of Kumar, Paya and Singhal (2012) that sense making is a critical component that leads to change adoption.

The other two features are resilience and reflection and these fall within sense making. Resilience and reflection were noted in response to dealing with change in various perspectives. Resilience was noted on the part of the change recipients and refers to the change recipients' ability to deal with change based on their past experience. This is confirmed by Kumar, Payal and Singhal (2012) as a key to change adoption and resonates in the change recipient's previous experience with change, which is facilitated by their engagement with others, cognitive reasoning, and perspective based on multiple context. This in essence allows the change recipient to make sense of the change and reflection was noted on the part of the change agent. Reflection is referred to as the quiet time that a change recipient resorts to, in order to internalise the change and allow the process of sense making to occur. Reflection as showcased in the informant's feedback takes place by means of "mind breaks, internalisation, switching off" and is further supported by the following quotations.

Of particular interest are the findings from four informants from a change agent perspective, which refers to the ability to deal with change as a constituent of leadership. Dealing with change in the capacity of change agent is seen to be part and parcel of the role and skill sets of the leader. It is interesting to note that these four respondents were not all top managers but a combination of middle and senior managers. This then opens the discussion by Sing (2013) as to the skills required by change to actively drive change in the capacity of change agent. These agents have to be upskilled with the relevant competencies and skills by the organisations internal professional change body. This also leads to questioning the skills of change agents and is well supported by the view of Gilley et al., (2009); Gilley, Dixon and Gilley, (2008); Sing, (2013) in that successful change implementation hinges on the abilities and skills of these leader change agents

In concluding, the five categories that emerged from the two roles of leader/change agent and employee/change recipient managing change have been summarised into three themes which are 1) adaptability (Miller, 2001) which is regarded as a trait or quality that a leader possess, 2) sense-making (Kumar, Payal; Singhal, 2012) which is regarded as a skill or ability that can be thought and learns and constituent of leadership which 3) Sing (2013) advises is a skill that can be attained.

## 6.3.2 Understanding the dilemma

The majority of the informants (17 of 21) advised that a conflict does exist in fulfilling these dual roles. This conflict is described by the leaders as "*identify crises*" **(I05)** and refers to the leader identifying with subordinates in their capacity of change recipient and internalising the impact of the change at employee level. They then become conflicted by having to fulfil the leadership duties of change agent driving the change. A major discomfort was found when the change negatively impacted their direct subordinates. They did acknowledge the impact on them as recipients of change but alluded to their duty as leaders to serve their subordinates and senior management. Much of the turmoil experienced was based on the rights and responsibilities of the position in which these leaders were appointed. Their contracted duty to serve their subordinates and ensure that work is done is underpinned by social exchange theory (Cropanzano & Mitchell, 2005). The change agent established relationships with both parties i.e. subordinates and senior management, and there is also an expectation of the economic exchange that is contracted in the formal employment contract against duties to be performed as well as the  social exchange (Cropanzano & Mitchell, 2005; Varey, 2015) that is part of the tacit psychological contract (Rosseau, 1995). The complexity hinges on the fact that change affects both the employment relationship and psychological contract. The  principle of reciprocity is impacted as change is done  with the expectation that the recipients adopt the change, which inadvertently eradicates the interdependent nature of the employment exchange (Tsui et al., 1997; Cropanzano & Mitchell, 2005).

One informant advised that there was tension and not conflict in fulfilling these dual roles. The source of tension was due to these roles running in parallel, and managing this tension required some self-awareness. Self-awareness relates to the emotive aspect and refers to the understanding of ones "strengths, weaknesses, values and impact on others" (p.01) and is supported in the work of (Fullan, 2002; Goleman, 2012) as a core feature in the make-up of successful change agents.

Three informants advised that no conflict exists in fulfilling these dual roles. Their reasoning was  based on driving change as part of the leadership role and this fell squarely into the category of "constituent of leadership" discussed above which relates to  findings of the required skills and abilities of the leader driving change (Gilley et al., 2008; Gilley et al., 2009 and Sing, 2013) .

In surmising the conflict that emerged was due to the impact on both the tacit and formal contracts in the form of the psychological (Rosseau, 1995) and employment contract

(Cropanzano & Mitchell, 2005; Varey, 2015). Incidences of no conflict experienced, reside within the theme of constituent of leadership (Sing, 2013) and the feedback of tension between these roles refers to a the skill of self-awareness (Fullan, 2002; Goleman, 2012).

### 6.3.3 Change agent versus change recipient – is there a superseding role?

It is evident from the responses that most leaders identify with change as part of the leadership role. Sixteen informants mentioned that the role of driving change supersedes the role of them as change recipient/employee being impacted by the change. Two informants did not see any difference in either role and corroborated with the view that leadership's role is to enhance the status quo which means change is part of the leadership role. This feedback falls within the theme of constituent of leadership which is supported by Sing (2013) in that managing change is regarded as one of the eleven core competencies of all leaders and though some may regard it as "soft skills" is some of the most challenging skills to acquire (p.82).

Three informants responded that it is context dependent and referred to contextual leadership, they expressed that the type of change, the context of the change and the environment in which the change is being implemented, has a direct effect on how they respond i.e. as change agents positively driving change or employees negatively being impacted by the change. For the purposes of this study, contextual leadership has been aligned with situational and adaptive leadership. Bolden (2004) and McCleskey (2014) referred to situational leadership as leaders adapting their behaviour to the situation at hand and this is more aligned to task orientation as opposed to people orientation.

### 6.3.4 Coping strategies when roles are conflicted

Coping strategies that are deployed by leaders when the roles of change agent and change recipient are in conflict were grouped according to categories that resulted in the earlier questions and some new categories.

The three major themes that emerged from the coping strategies deployed when their roles are conflicted are sense making, progressivism/adaptability, and support. Sense making, as discussed previously is underpinned by the work of Kumar, Payal and Singhal (2012) as part of the change adoption process for both agents and recipients. It aligns to the progression on the change curve by Rosenbaum, More and Steane (2018). Progressivism as discussed by (Miller, 2001) is part of the leadership framework for successful change management.

Support as the third theme includes the multiple support features. One being a support network creating an opportunity to dialogue with friends, family, peers, coaches, mentors, and leaders. Secondly, support by means of empowerment – which refers to obtaining and providing information to ensure the change agents/recipients are constantly empowered to move along the change curve(Rosenbaum et al., 2018). Thirdly, support by means of empathy, which refers to the ability of the change leader to place himself or herself in the position of the change recipient, in order to understand the recipient's behaviour or response to change. The element of support is congruent with the findings of Mack et al., (1998) , Miller (2001) and Terry and Jimmieson (2003) in that challenges and stressors related to change can be overcome by deploying some of the coping strategies such as social support which are sources from the environment available to those impacted by change. Social support is both internal and external to those impacted by change. Internal to the workplace are, leaders, professional change bodies, employee assistance programmes and other organisational support. A solid relationship with a supportive supervisor/leader is critical for change adoption as it serves as change and emotional support "*in the form of empathy and understanding*" (p.95). External support can be found in family, friends, external coaches and other resources that people impacted by change resort to and is noted in the feedback received. Some informants advised of hobbies as a coping strategy to manage the conflicts.

## 6.3.5 Synergy between the role of change agent and change recipient

Creating synergy between the duality of the leader's role as change agent and change recipient resulted in themes that are common to the previous sections with the new categories being transparency, readiness for change and acceptance of the duality that exists.

The reoccurring category of empowerment has been suggested by the respondents as a factor that would create synergy between these two roles. Empowerment refers to information and communication of change messages from senior leaders so that these messages can be relayed to the subordinates and ensuring that the messaging in private and public is consistent. According to SET, information is regarded as a resource to be exchanged (Miller, 2001) which can enable the change adoption process. As postulated in Lippitt's phases of change theory, information through communication ensures effectiveness and widespread change adoption (Kritsonis, 2005). Informants referred to information as a source of knowledge and once they were knowledgeable around the change strategy and its impact, they were able to support the duality that emerged, and knowledge does lead to sense-making.

Support through a network is also responsible for creating synergy between the roles. The nuance surrounding support was a supportive environment. Anderson and Ackerman (2001) and Lim & Yazdanifard (2014) confirmed that all change impacts the work environment, while Miller (2001) postulated that social support is a resource that comes from the environment. Gilley et al. (2009) and Moran and Brightman (2000) advised that leaders have the ability to influence change activities through their conduct and performance in the work environment. The environment is not just the owners but a combination of change agents, change recipients, process and technologies which all contribute to creating the support to enable synergy between these roles. Transparency was a new category that appeared and it refers to the environment of openness and has been grouped with supportive environment in which the change is being dealt, the fluidity of information sharing, the ability to dialogue with anyone in the environment and fits hand in glove with the supportive environment discussed above (Moran & Brightman, 2000).

Readiness for change in the context of the informants includes readiness of the people skills, abilities and adaptability to cope with change and according to Choi and Ruona (2011) leads to commitment. The concept of readiness has been studied from the early 90's however; there is a commonality in the multiple definitions (exhibit) that elucidates readiness as change recipient's beliefs and feelings towards organisation's capacity to change, the extent to which the change is required and the possibility of positive outcomes for both the organisation and its members (p.482). Readiness to change is fueled by policies supporting change; supportive and trusted peers and leaders and participation in change efforts (Choi, 2011; Choi & Ruona, 2011).

Acceptance is closely aligned to constituent of leadership's role and adaptability and refers to the ability to accept the reality that these two roles overlap (Gilley et al., 2008; Gilley et al., 2009 and Sing, 2013). Findings suggest that the required skills and abilities of the leader driving change is a key contributor to these leader effectively driving change.

Sense making was discussed at length previously and is a critical component in attaining synergy between the various roles and the impact of change on either. Informants all agree that empowerment through information and knowledge seeking, support network, transparency in which the change is managed from top-down, acceptance of the duality that exists in the leaderships portfolio will lead to heightened sense-making and ease of driving and adopting the change (Kumar, Payal; Singhal, 2012).

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## 6.3.6 Concluding research objective one

In concluding research objective one, it is evident that change is inherently part of the role of leadership. Elements in the leader's employment relationship that are impacted in driving change refer to constructs of the social exchange theory, of which reciprocity is inherent in the interdependent nature of the bi-directional relationships that lead to exchange (Barbalet, 2017; Cropanzano & Mitchell, 2005; Varey, 2015). Further to change being a constituent of the role of leadership. It is critical that the leader possess specific leadership characteristics such as contextual and visionary leadership, adaptability, sense making and receives support in driving the change agenda.

Contextual leadership allows the leader to understand the context of change impacts, timing of change, and stakeholders affected by the change (Liden et al., 2013; Owens & Hekman, 2012; van Dierendonck, 2011). Understanding the context of change is closely aligned with the sense making, which relies on information, understanding alternative perspectives, previous experience with change, self-awareness and reflection (Bartunek et al., 2006; Brown, Kuli, et al., 2017; Pasmore & Barnes, 2017). This allows the leader to grapple with the complexities inherent in change, which minimises the conflict in fulfilling the duality. Once context is understood, it leads to the ability of the leader to create a vision for which the change is intended. Visionary leadership allows the leader to move subordinates along the change journey based on the desirable vision anticipated by change (Groves, 2006). The ability to contextualise the requirements of change in a manner that results in sense making, triggers the ability to create a desirable vision for the recipients that must move along the change curve to ultimate adoption. This serves as a major source of comfort and minimises any conflict or dilemma that exists in the leader fulfilling these dual roles.

Furthermore, adaptability which refers to the innate ability that allows leaders to deal with the complexities of change and newness is another critical leadership characteristic required on the voyage of change. All these characteristics are important for the leader fulfilling these dual roles but possessing these in absence of support is futile. Support in the form of an internal and/or external network (Barratt-Pugh et al., 2013; Sing, 2013) is essential and also regarded as source of exchange (Cropanzano & Mitchell, 2005; Varey, 2015), integral in the interdependent relationships of employment.

This combination of leadership characteristics and support leads to a recipe for change success which assists the leader to manage any conflict inherent in fulfilling the dual role of leader driving change and being impacted by change.

## 6.4    Discussion of results from research objective two

**What are the apparent differences in expectations and perceptions of the employment relationship for the leader driving change?**

This aim of this objective was to uncover any differences in expectations and perceptions of the employment relationship for the leader driving change, whilst considering the bi-directional relationships present in the change process. A view on expectations and perceptions of the employment relationship were obtained from the leader based on the bi-directional relationship model (Figure 3) of senior leader and subordinate referred to in chapter two. These two stakeholders are critical to the employment relationship and are directly impacted by the leader fulfilling the duality of driving change and being impacted by change.

It is apparent from the findings that change impacts the employment relationship, especially the leader subordinate relationship depicted in the bi-directional relationship model (figure 4). Expectations and perceptions of the leader driving change from a senior leaders' lens is aligned as opposed to contradictory. However, it is interesting to note that the role of leader driving change is not always understood from the perspective of their subordinates. This affirms that change is inherently part of the leadership role and is well understood by those who appoint these leaders although not always understood by the subordinates who are operationally managed by the leader acting as change agent.

In an attempt to ensure consistent understanding in the expectations of the employment relationship of the leader driving change, it is essential that all stakeholders privy to the employment relationship are managed, support and empowerment is driving from senior leadership in an attempt to ensure readiness of all parties to the incoming change.

Stakeholders in part is well documented my means of the bi-directional relationship framework (figure 4) and their importance on the employment relationship is continuously reinforced. Other stakeholders that impact the employment relationship must also be considered. These stakeholders have been identified as customers, who are the organisation's reason for existence and shareholders who expect financial gains from the organisation as well. All stakeholder groups are directly or indirectly impacted by the change journey and it is essential that they are managed (Bolden, 2004; Simsek et al., 2015) as change unfolds, could result in a disruption of the status quo which can directly impact people, processes and systems and indirectly impact profits and customer services (Redlich, 1949; Simsek et al., 2015).

The support required from senior leadership is twofold. Senior leaders must support agents by mandating their role of driving change, though change is a constituent of leadership, it is not equally understood by all subordinates. This requires senior leadership to explicitly mandate the leader as change agent not only with information but the authority to drive change. This correlates with the element of leadership support with the findings of Barratt-Pugh et al., (2013) and Sing (2013), who highlighted the pivotal role that senior leadership support plays in their ability to effectively drive change. Support from leadership also requires that both senior and change leaders provide support in terms of the anxieties and fears experienced by recipients which in this case, is both the change agents and subordinates. The findings stipulate that recipients of change irrespective of it being the subordinates or the leader impacted by change, share similar anxieties and fears around job security (Schumacher et al., 2015). This critical dependency on senior leadership assists in demystifying any uncertainty subordinates have regarding the role of their leader acting as change agent and puts to rest the anxieties experienced by recipients of change.

Empowerment in the bi-directional relationship is essential as it ensures that information is communicated to promote inclusivity of the bi-directional relationship which enhances the overall understanding of change and leads to empowerment. This is consistent with the construct of relationship and social exchange that is underpinned in SET (Barbalet, 2017; Cropanzano & Mitchell, 2005; Varey, 2015). Senior leaders must include change agents in the thought process of the change. It is often more difficult for agents to drive the change, in the absence of being privy to the senior leader's rationale for embarking on the change journey. There are instances based on legality and rank when the change agent cannot be privy to all the information however, even in these instances the responsibility rests on the senior leader to ensure that sufficient and timeous information is provided to the agent as and when information becomes available. The change leader, in turn has to share the information obtained by the senior leader with subordinates who will be affected by the change. Gerwing (2015); Kritsonis (2005) purported that the ability to impart information to those being led, is a competency possessed by good change leaders and must be endeavoured to ensure successful implementation of change. Change agents have a responsibility to their subordinates to provide them with sufficient information to empower them. Change agents should leverage any opportunity to co-create the change implementation with input from subordinates. This lessens resistance and leads to greater adoption of the change.

Readiness for change is another important category that will ensure consistency in understanding. Readiness for change resides within the theme of adaptability and in this

context refers to the readiness of all three parties in the bi-directional relationship. It refers to their beliefs and feelings towards the organisation's ability to change (Buono & Kerber, 2009; Choi, 2011a; Choi & Ruona, 2011). Firstly, the leader must have a level of readiness to take on the change journey, the leader must also be ready to deal with the impact of the change on them as a direct recipient of the change. Secondly, the subordinates require a sense of readiness to be created by the leader driving the change and thirdly, the leader requires the same sense of readiness to be created by their senior leader who initiated the change. The interdependency of these three relationships is reinforced by SET which is prevalent in the employment relationship.

Section 6.3.1 to 6.3.3 provide a detailed discussion of the findings that resulted from sub questions 2.1 to 2.5 that supported research objective two.

## 6.4.1 Change impacting the leader subordinate relationship

As per the findings highlighted in chapter 5, times of change impacted the leader subordinate relationship in three ways i.e. 1) positively, 2) negatively and 3) contextually.

Positively impacting the relationship was referred to as strengthening the relationship. Three informants advised those times of change strengthening the relationship. The strengthening of the relationship was experienced in the form of team cohesion.

Literature provides multiple views on how change positively stimulates the relationship. The underlying premise of social exchange theory is embodied in the social exchanges made during human interactions and the relationships that stem from these engagements. The value of the relationship is premeditated through positive rewards and benefits (Varey, 2015). From the onset of change management practices of Lewin's three-step model of unfreeze, change, and refreeze. If change recipients are correctly engaged and participate (Moran & Brightman, 2000) in the change process and refreezing component through positive reinforcement results in a strengthened working relationship (Burnes, 2004; Schien, 1984). Shih and Chen (2011) postulated that satisfaction in the implied psychological contract leads to organisational commitment, innovative behaviours and long term employment which in turn contribute to the positive function of the organisation. This infers that during the change process, the change agents must appeal to the psychological contract of the impacted individuals, which will lead to positive outcomes. Avey, Wernsing and Luthans (2008), also provided a view on the positive disposition of change recipients and its impact on change adoption. They proposed that change recipients who are motivated, navigate change to deter hindrances, display enthusiastic characteristics during

times of adversity and uncertainty, and are positively orientated towards the future, enable change adoption.

An interesting finding that resulted from the interviews is authentic leadership and the impact of authentic leadership in strengthening the relationship.

Contextually dependent as a response to how times of change impact the employment relationship requires situational/contextual leadership. Referred to by Bolden (2004) and McCleskey (2014) as leaders that understand the context of the situation and lead accordingly. Seven informants advised that the response is contextually dependent. If the change is anticipated to bring about opportunity, then the responses are more inclined to be positive however if the change negatively affects people and the status quo then the response outcome is more inclined to be negative.

The negative responses to the impact of change on the employment relationship were categorised as animosity, the behaviour that presents itself during times of change, in the form of fighting, cynicism, tension and conflict. Cynicism according to Brown, Kuli, et al., (2017) and Choi (2011) is defined by three components 1) a lack of belief in the organisation's/leaders integrity, 2) change brining a negative impact to the organisation and 3) behaviour towards the organisation that is consistent with these negative beliefs. For the purposes of this study cynicism is linked to resistance to change and resistance to change is referred to as purposeful behaviours that maintains the current status quo.

Authenticity in this context is referred to as a level of mistrust on the part of the change recipients towards the messaging from the change agent. It requires a level of authentic leadership (Clapp-smith et al., 2009; Sparrowe, 2005) and information sharing which has previously been referred to as empowerment which will lead to sense making (Kumar, Payal; Singhal, 2012) and negate this feature. Neglect, the feeling of isolation and not being cared for during times of change both on the part of the change agent and change recipient can be assimilated to exclusion and lack of support from senior leadership. Choi and Ruona, (2011) and Ford et al. (2008) postulated that active involvement and inclusion aids the change adoption process, whereas the lack thereof will, by design, lead to cynicism and resistance to the change process.

Credibility-the change recipients raise quality and trustworthiness of the change agent into question which directly impacts the leader subordinate relationship. According to Mom et al.(2015) and Owens and Hekman (2012) reputation and credibility of change agents is affected by the level of seniority, experience with change and progression. The more senior

the leader, the more exposure they should have had with change and the less senior the more reason for leaders to engage change for successful change implementation can lead to their progression.

## 6.4.2 Unwritten expectations of stakeholder groups – dual perspective

The aim of this question was to ascertain the expectations of stakeholder groups that the leader is directly responsible and accountable for. The concept of accountability and responsibility rests in the dual role the leader plays, the leader is accountable for their direct subordinates and the leader has a line of responsibility towards their senior leader. This is also acknowledged in SET as the basis of relationships, economic and social exchange and tacit and formal contracts (Miller, 2001; Varey, 2015; Barbalet, 2017 ).

The responses in chapter 5 are presented adjacent to each other so that the reader is able to identify any differences in response from both the subordinate and senior leader perspective. The categories that emerged are a combination of new categories and existing ones. The common categories are empowerment, as previously discussed refers to obtaining information and communication and regularly circulating it to aid the sense making process (Kumar, Payal; Singhal, 2012). Authentic leadership, refers to  the change initiator or change agents being  honest, reliable, ethical and transparent in driving the change (Clapp-smith et al., 2009; Sparrowe, 2005). Visionary leadership, which refers to change initiators (senior leaders) and agents understanding the bigger picture and the reason for change being implemented. The bigger picture refers to the strategy and future focus on the organisation (Groves, 2006) and stakeholder management, which refers to the responsibility and accountability that both change initiators and change agents have for the management of stakeholders. This responsibility and accountability refers to levels of work in the writing of Bolden (2004) and Simsek et al. (2015) and is assimilated to transactional leadership which involves the generic exchanges between leaders and followers in the attainment of business as usual objectives (McCleskey, 2014).

The newly emerged category is security, which refers to expectations of initiators and agents to protect the change recipients from change impacts, they act as a buffer between the change being implemented and the impact on them as recipients, and they hold the interest of the change recipients at the highest regard. Security, specifically job security is a common anxiety and reaction to change, and this concept is acknowledged by the works of Schumacher et al. (2015). Change recipients look to their superiors to provide such security

during times of change.

Categories that are specific to the subordinate view are readiness for change, reward for change and solution orientated. Readiness for change according to the informants refers to time and space created for those affected by change, to process the organisations capacity to successfully implement the change and accept the change. Literature, refers to it as beliefs and feelings towards the organisation's capacity to change, the extent to which the change is required and the possibility of positive outcomes for both the organisation and its members (Choi, 2011, p.482). Reward according to the informants refers to a reward by the change agent if the change is adopted successfully and according to SET it is one of the features of the relationship; the value of the relationship is premeditated through positive rewards and benefits (Varey, 2015).

Solution orientated, refers to the change recipient's expectation that change agents have to, obtain and provide all the answers. Little work/disruption is required on the part of the change recipient and is aligned with the features of transactional leadership and some change cynicism. Transactional leadership as discussed above in providing business acumen, creative and innovative solutions to ensure business as usual objectives are attained (Bolden, 2004; McCleskey, 2014 and Simsek et al., 2015).

The categories of solution orientation, reward and readiness for change are only applicable from a change recipient perspective and not the change agent, hence this could ultimately affirm that leaders see change as a constituent of the leadership role that is "bestowed" upon them. This is aligned with Sing's (2013) views on leadership and is associated with acceptance.

## 6.4.3 Compliment, alignment or contraction in the dual perspectives

This set of questions follow through from the previous questions on expectations from a dual perspective and tries to ascertain if there is alignment in these dual perspectives. Eleven informants recorded alignment in their responses and ten informants recorded misalignment in responses on either perspective.

Of the aligned responses, five were reported as complimentary, six reported as aligned and zero reported as contradictory. The reasons stated by these respondents for alignment can be grouped into three categories

Synonymous with leadership, this refers the change mandate being synonymous with

leadership or as previously referred to as constituent of leadership and the role of change agent being one with the leadership mandate. All parties acknowledged that driving change is part of the leadership role and in fulfilling the leadership duties change is driven to ensure future prosperity. Constituent of leadership is well aligned with the works of Miller (2001) and Sing (2013)

Visionary growth, refers to change creating opportunity for growth but not just any growth, growth that is aligned to the vision and strategic objectives of the organisation and industry. The feedback received related to better performing teams and alignment to the overall strategic growth of the organisation, which is primarily due to the visionary outputs of the change agent leading this change. This associates with the findings of Moran and Brightman (2000) and Groves (2006) , who identified key characteristics of leaders who drive change as leaders that align themselves with the change. They are looked upon to create an inspiring vision with a compelling business case for change, this is also referred to as visionary leadership (Groves, 2006); they are required to mobilise the change by creating an environment that is conducive for all those moving through the change cycle; they need to work with recommendations on instilling new ways of operating; exhibit dedication in driving the change; constantly evaluate the results and deploy strategies to maintain the change. Alignment from the dual perspectives (subordinate and senior leader) therefore associates driving change with the role of leaders as change agents

Of the ten misalignment responses, three were misaligned but positive and six were misaligned and negative. Based on the positive misaligned responses, the three categories that emerged are:

Positive outcome aligns with readiness for change and opportunities inherent in change (Choi, 2011), this refers to the misalignment in that subordinates were surprised by the positive outcome of the change. This particular organisation was going through multiple changes such as culture change, leadership change and change in the way they worked. In spite of the changes, they were rewarded which was a major contradiction for the subordinates and this is reflected in the quotation by informant 18, "I was brought inside here to drive change which aligns with leadership but expected no bonuses and on the other hand they are going to get contradicted on the bonus" (I18). This confirms that not all change is negative and cynicism and resistance to change must be explored and not just attributed to negative reaction on the part of change recipients as postulated in the work of (Choi & Ruona, 2011 and Kumar, Payal; Singhal, 2012 ).

Context of change, this refers to the context/situation in which change is driven. Contributors

to the context include the impact on the subordinates and leaders, the purpose of the change and the anticipated outcome of the change.

If the change is anticipated to bring about opportunity, then the responses are more inclined to be positive however if the change negatively affects people and the status quo then the response outcome is more inclined to be negative. This affirms that the response to change can never be anticipated and is based on the context in which the change is occurring. Contextual/situational change leadership is required when working with change (Bolden, 2004; McCleskey, 2014).

The misalignment emerged from the perspective of the subordinate; however, the perspective of the leader was aligned in these three cases. The alignment from the leadership perspective is attributed to the mandate of the change agent or to the previous theme of constituent of leadership (Miller, 2001; Sing, 2013).

The six negative misalignments are mainly attributed to a contradiction from the perspective of subordinate. The main categories that result from this contradiction are:

Continuous strategic change, this refers to continuous change in the strategic direction of the organisation and infers lack of common understanding of the vision and subsequent objectives to achieve the long-term vision. Informants found this constant change difficult to drive due to lack of focus towards a common vision. Continuous change in the absence of vision can be referred to as lack of visionary leadership (Groves, 2006) on the part of the change agent and their superior. The level of change agent leadership should also be considered as MM look towards their seniors for the vision and future forward thinking. TM's engagement with strategic decision making and the type of change being implemented (Heyden, Fourné, et al., 2016) differs based on levels which can be attributed to the lack of clarity in the change process regarding consistent future forward visionary thinking (Anderson & Ackerman, 2001).

Misunderstanding on the part of the role of change agent has been categorised as "mandate of change agent", this refers to subordinates not understanding that certain information will be withheld as part of the business process. Another dynamic relates to change recipients not understanding the duality of the leadership role; in this case, they place the leader in a silo of driving change or driving operations. These two misalignments are reflected in the quotations below.

The reasons for the aforementioned misunderstandings can be attributed to ambiguity on the part of the role of leadership and it is well documented that the role of leader is to work and

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navigate change in a world of complexity and ambiguity (Bolden, 2004; McCleskey, 2014), lack of communication regarding the role of leadership and this leads to feelings of disempowerment which fuels the sense making process (Kumar, Payal; Singhal, 2012) and leads to exclusion (Choi, 2011b) which could result in the resistive response noted to be congruent with reactions of change recipients during the change process.

Lack of belief in the change, this refers to the change agent not buying into the business change due to a poor business case for change in the case of the informant not recognising the financial merit in implementing change. This misalignment can be attributed due to absence of visionary leadership (Groves, 2006) from the senior leader responsible for messaging and communicating the change as well as cynicism from the change agent based on inability to buy into that undefined future state anticipated by change as a result of exclusivity in the change process (Choi, 2011b; Kumar, Payal; Singhal, 2012).

Opportunities or reward inherent in change, this refers to subordinates only expecting positive growth based on their support with the change implementation, which has dual implications, one; based on support that drives change behaviour as discussed in the works of (Alsher, 2016; Barratt-Pugh et al., 2013) or two; positioning the lack of understanding regarding the change process and lack of sense making which results from lack of leaders skill to effectively support this change (Sing, 2013). These result in major contradictions in what the change agent is driving and the support required from the leader.

## 6.4.4 Concluding research objective two

In concluding research objective two, regarding the apparent difference in expectations and perceptions in the employment relationship of the leader driving, it is evident that change impacts the employment relationship either positively, negatively or is dependent on the context. The unwritten expectations from the dual perspectives of a senior leaders versus subordinate produced similar results with "solution orientation reward and readiness for change" as differentiators from a change recipient (subordinate) perspective.

Interestingly there is alignment in the expectation and perceptions on the path of the change agent driving change from a senior leader lens. However, the role of leader driving change is not always understood from the perspective of their subordinates. In an attempt to ensure consistency in understanding the expectations of the employment relationship of the leader, it is essential that change agents manage all stakeholder's privy to the employment relationship, support and empowerment is attained from all levels of leadership inherent in the bi-directional relationship framework in an attempt to ensure change readiness of all

parties.

In summary it is essential to manage the expectations and perceptions of subordinates and senior leaders, especially subordinates in an attempt to transition them towards an aligned understanding of the role of leader driving change. This requires support from senior leaders in the form of formally mandating the leader to drive change (Barratt-Pugh et al., 2013; Sing, 2013) and to provide support in terms of the anxieties and fears present in all recipients during the change process (Schumacher et al., 2015). Support passed down from senior leadership influences the support change leaders provide to their subordinates which is indicative of the interdependence of relationships supported by SET (Cropanzano & Mitchell, 2005)and creates that environment in which change adoption is expedited.

Management of stakeholder's privy to the bi-directional relationship as well as other stakeholders such as customers and shareholders must be managed. Customers are the organisations reason for existence and shareholders expect financial gains from the organisation as well as (Bolden, 2004; Simsek et al., 2015). Change either transactional or transformational (Anderson & Ackerman, 2001) results in disruption of the status quo which directly impacts people, processes and systems and indirectly impacts profits and customer services (Redlich, 1949; Simsek et al., 2015).

Empowerment aids in creating consistency in perceptions and expectations of the employment relationship of leaders driving change. Empowerment in this context denotes information sharing, communication (Gerwing, 2015; Kritsonis, 2005) and co-creation of the change journey from a change agent and subordinate perspective which will result in the desired level of inclusivity. Inclusivity is also encouraged by the level of  readiness to change, experienced by change agents and subordinates (Buono & Kerber, 2009; Choi, 2011a) and can be consistently applied to the exchange of interdependence in the relationships supported by SET in the workplace and present in all change journeys.

## 6.5   Discussion of results from research objective three

**What support tools are required to assist the leader in managing the conflict that arises as a result of their dual roles in driving change?**

The primary aim of this objective was to explore the support tools required by change agents, to assist them with conflict in the dual role brought about through the voyage of organisational change. Research makes mention of multiple support tools for change recipients (Bartunek et al., 2006; Kumar, Payal; Singhal, 2012) impacted by change and

change agents driving change (Barratt-Pugh et al., 2013; Sing, 2013). This objective aims to identify the additional types of support tools required to support these change agents, the level of awareness of regarding these support tools, the effectiveness of these tools and finally the medium in which these tools should be delivered.

It is ostensible from the findings that there is overwhelming support for recipients of change and far less for those responsible for driving change. Support for change agents does exist in pockets which were unearthed in the semi-structured interviews conducted, However findings from the research recognised specific support tools that are required for change agents to successfully navigate the change journey and minimise any conflict inherent in the complexities of change.

The tools required by change agents have been themed according to support, constituent of leadership, sense-making and planning. These themes have emerged from findings of research objective one and two, however, this section will unpack these themes in terms of support tools required by change agents in driving change.

Support is a key theme that consistently emerged in findings. The current support available to change agents in the form of a network of support is available to change agents in varying degrees. Findings suggest a larger reliance on social support as opposed to formal internal support. This could be as a result of the lack of formal support structures within the organisations however this phenomenon was not studied further. Social support which refers to support external to the organisation in which change is being implemented, can be found in peers, friends, family and external coaches (Mack et al., 1998; Miller, 2001; Terry & Jimmieson, 2003). The internal support network is critical and emerged multiple times in the form of support from senior leadership who are seen as instrumental in initiating change (Barratt-Pugh et al., 2013; Sing, 2013) and have a vested interest in the success of the change implementation (Redlich, 1949).

Human resources are acknowledged to comprise the internal support network and constitute professional change personnel (Oreg et al., 2011), their support is integral to the agent implementing change (Barratt-Pugh et al., 2013). An optimal mix of internal and external network of support is definitely required in these financial organisations that are faced with insurmountable amounts of change. These networks will provide the support required by new and existing change agents and contribute towards heightened success in change implementations (Kumar, Payal; Singhal, 2012; Sing, 2013). The internal network can be created by the organisation however the external network is reliant on the change agent's

social sphere. Organisations have a duty to explain to change agents the importance of developing an external support network.

Support in the form of a supportive environment will provide the required climate for change agents to thrive in their pursuit of change. Along with the supportive environment are the resources available to drive change, resources in the form of budget, change personnel and technical support to enable change(Mack et al., 1998). It is often expected that change be driven by the change leader in without support from leadership, budget or personnel resources or leadership competence. Lack of these support aids will result in failed change implementations. Support in the form of specific change management training for leaders who, by virtue of their title will inevitably take on the change journey. Speciality change management training is recognised as a support tool required by change managers (Alsher, 2016). Leaders are often upskilled according to their role and key performance indicators, but since change is not explicitly stated in the contract of employment, change management training is often omitted. A level of change training is required by all leaders, however, "just in time training" as opposed to "just in case" to ensure stickiness of the training

Leveraging off the finding that change is not prescriptive in the formal contact of employment (Settoon et al., 1996), but change is regarded as a constituent of leadership. This often creates the misalignment experienced by the leaders' subordinates, as highlighted in research objective two and/or other stakeholders. Change agents acknowledge that, to effectively drive change, they have to be formally mandated to drive the change (Barratt-Pugh et al., 2013; Sing, 2013). Formalising the change responsibility explicitly in the contract of employment by means of formal mandate will ensure consistent understanding on the role of the leader.

Support to make sense of the change is important and intertwined in the sense-making theme. It refers to empowerment in the form of information sharing, engagement and dialogue which does exist in organisations (Bartunek et al., 2006; Kumar, Payal; Singhal, 2012). However, transparency and timing of communication and information is pivotal to successful change implementation (Barratt-Pugh et al., 2013). Inclusivity in co-creating the change journey has been highlighted as a key category in enhancing overall sense-making on the part of change agents and change recipients. Time for reflection has been identified as a key category that will enable sense-making, time for change agents and recipients to reflect on the change that has just been implemented, which serves as a refresh before the next change is rolled out

Planning is the final support tool that is required for change agents. According to Cullen et al.(2014) ; Gilley et al. (2009) planning of the change rollout is also critical to reducing uncertainty and is regarded as support for change recipients. Therefore, organisational change should be prudently planned and communicated to ensure recipients are informed and empowered to adopt the change. Effective planning is closely related to the level of organisational readiness (Rafferty et al., 2013) which minimises the anxieties experienced by change agents and recipients and results in sense making which stimulates change adoption.

In summary, support tools are widely available for recipients of change, however, support tools for change agents vary in their availability at various organisations. It is evident that the support tools listed above and the ability to make sense of the change are pivotal in supporting the change agent in their change journey.

## 6.5.1 Support tools available for change agents

Categories of support tools for either party are similar, with exception of one nuance for change agent. The support tools can be summarised into support network, sense making, and readiness to change, with the category of mandate to change as an anomaly on the part of change agent

Support available to change recipients are listed as the support network, supportive environment, support in upskilling and other support in the form or budget, resources, technical support. The support network is also referred to by Miller (2001) as social support by means of internal and external support such as leaders, peers, mentors, personal, stakeholders.

Empowerment in the form of engagement and dialogue, refers to empowerment which leads to sense making as discussed by Kumar, Payal and Singhal (2012). Knowledge is power and this old adage is a sense of support for those impacted by change. If the recipients of change are empowered with information and communication, this will aid the change adoption process.

Time to reflect and digest the change, refers to readiness for change which enables acceptance (Choi, 2011) and sense-making (Kumar, Payal and Singhal, 2012). The mandate to drive change is aligned with the theme of constituent of leadership and an understanding that the role of leaders is to drive change (McCleskey, 2014). This has been discussed at length previously.

## 6.5.2 Support tools required by change agents

In assessing the support tools required by these agents the categories that resulted in the findings have been summaries into the following themes i.e. support network, sense making and building the change capacity.

Concerning support network, more support from senior management or change initiators is required as well as support from human resources, as this function is seen as the people and change partner with the necessary expertise to assist change agents in driving change.

Sense making will enable change agents to transition the acceptance of change and reinforce the need to drive the change. Sense making as a support tool was unpacked in terms of engagement required via communication, dialogue, information sharing. Inclusivity as a tool of readiness to change will enable acceptance if supported adequately and finally opportunity to allow the change agent some time for reflection to further enable sense making(Kumar, Payal; Singhal, 2012).

## 6.5.3 Advice for change leaders on a change journey

In closing,, the feedback available to incoming change agents was predominately based on change agent skills such as servant leadership, referring to leaders motivating their followers by placing their followers needs ahead of their own and displaying traits of humility, care and vulnerability (van Dierendonck, 2011; Owens & Hekman, 2012 and Liden, Wayne, Liao, & Meuser, 2013 ). Sense making, the need for the incoming change leader to make sense of the change, will enable acceptance of the change on both the path of the change agent and change recipient. Sense making involves taking time to process the change and understand the change journey as well as access to senior leaders to demystify any concerns and issues surrounding the change. (Choi, 2011b; McCleskey, 2014). Empathy is regarded as the ability of the change leader to place themselves in the position of the change recipients in order to understand the recipients behaviour or response to change (Nichols & Ojala and 2009 Goleman, 2012). Empowerment  through communication, knowledge sharing, experimentation and the ability to fail fast and learn from mistakes leads to sense making which is a major theme that has emerged in this study (Cameron & Green, 2009; Choi, 2011; Kumar, Payal; Singhal, 2012).

Support network includes internal and external support such as peers, colleagues, leadership, mentors and coaches. The value of supportive leadership is paramount and should not be underestimated as lack of senior leader's sponsorship can lead to failure of

change. (Alsher, 2016; Barratt-Pugh et al., 2013). The value of all stakeholders during the change journey should never be underestimated, internal and or external stakeholders must be considered when venturing on the journey of change. Stakeholders have the potential to contribute to the failure or success of change implementation (Bolden, 2004; Simsek et al., 2015) and planning. Planning emerged as a new theme at the end and effective planning (Cullen et al., 2014; Gilley et al., 2008) based on information sought (empowerment), understanding the change (sense making) and change impacts on people(servant leadership) are essential components of the skills required for effective change agents (McCleskey, 2014).

## 6.5.4. Concluding research objective three

The availability of support tools for recipients undergoing change in the working relationship is bountiful, well known and working. However, even though there are support tools available for change agents thriving in the duality of recipient and agent, these tools are not consistently available for agents of change. The support tools that emerged in the findings of research objective are internal and external network of support, support available to making sense of the change, support resources in the form or people and budget to help transition the change, opportunity for the agent to internalise and process the change, professional change training and finally support in planning the change implementation.

The importance of providing change agents with the requires support tools will enable them to efficiently and effectively navigate the expedited change curve that is urgently required within the financial services industry. Failure to provide adequate support tools to these leaders who drive change could be detrimental to the successful evolution of the financial services industry(Barratt-Pugh et al., 2013; Shaikh, 2017).

# Chapter 7: Conclusion

## 7.1  Introduction

This chapter summaries the overall objectives of this study and the resultant findings that emerged on this journey of understanding  the dual role of leaders' driving change and being impacted by change. This section provides a view of the principle findings which combines theory and practical findings, implications for management by proposing a model for supporting change agents with this duality and limitations inherent in this study. This chapter also identifies limitations inherent in the study and suggestions for future research based on elements that were out of scope for this particular paper.

## 7.2  Principle Findings (theoretical in nature)

This paper commenced with the aim of understanding the dual roles of leaders driving change and being impacted by change in financial services. The pertinence of understanding this dilemma was based on the massive change requirements necessary for the longevity of financial services (Shaikh, 2017). The finance industry is no longer confined to the structural brick and mortar of banks and buildings, it is being transformed by non-banking institutions, individuals and organisations who are able to find smarter, more convenient ways to transact (Schwab, 2016). The concept of money is ever evolving, digital banking, crypto currency, block chain and the introduction of Fintech's are revolutionising the financial industry (Dapp, 2014) at an exponential pace.

With this industry forced to contest its existence, change is the only option to secure longevity of this critical industry which serves our economy. With change driving the financial industry's endurance agenda, leaders within these organisations are faced with exponential change in response to competing global gravities (Zalan & Toufaily, 2017). The pressure on these leaders to initiate internal change in response to external VUCA vicissitudes (Bartunek et al., 2006; Bennett & Lemoine, 2014) is insurmountable but one step closer to longevity. It is with this in mind that this study was borne, the need to accelerate change within this pivotal industry requires more non-owner leaders to serve as change agents. These non-owner leaders already grapple with multiple roles in their leadership capability (Redlich, 1949; Bolden, 2004),  but of interest to this study is the dilemma inherent in the leader driving change and being impacted by change. Today's change leaders will have to work

within the boundaries of duality in their leadership capacity whilst driving change and championing the overarching goal of organisational competitiveness (Brown, Kuli, Cregan, & Metz, 2017).

The findings from the 21 non-owner leaders interviewed, acknowledged that financial services recognise the need for organisational change. However, it was found that the majority of this change was more aligned to transitional change as opposed to transformational change (Anderson & Ackerman, 2001). In order to circumvent the harsh realities purported by the McKinsey 2017 report, which states that traditional financial institutions are at risk of declining profits of between 25% to 60% by 2025 if they do not innovate and change their current pace. The financial industry is in dire need of much more transformational change as opposed to the current view.

The overall findings that resulted from this research led to the following conclusions:

Firstly; leaders are aware and acknowledge the conflict that exists in fulfilling these dual roles inherent in change. The leader has multiple roles governed by both tacit and implicit contracts underpinned by social exchange theory (SET). The elements of rules of exchange, resources exchanged and relationships that emerge (Barbalet, 2017; Cropanzano & Mitchell, 2005; Varey, 2015) also place tremendous pressure on the leader. However, the leaders is able to cope with the duality based on characteristics that are composite of the leadership build and their experience.

Secondly; change is inherently associated with the role of leadership and this is well understood from a senior leader's perspective, however, discrepancies exist in the way subordinates view their leader's contribution in the change process. In order to demystify any misperceptions in the role of the non-owner leader driving change, the change agenda needs to become more explicit in the role of non-owner leaders (Cropanzano & Mitchell, 2005; Settoon et al., 1996).

Thirdly; to effectively support change agents in driving change, specific support tools are required. There exists a vast amount of support tools for recipients of change and far less available for agents of change. Support tools required by change agents to effectively drive change, include internal and external network of support (Barratt-Pugh et al., 2013; Miller, 2001; Oreg et al., 2011; Sing, 2013), information, communication and time to reflect with supports sense-making (Kumar, Payal; Singhal, 2012), special change training to enhance the overall capability of leaders driving change (Alsher, 2016; McCleskey, 2014), change resources to support change implementation (Mack et al., 1998) and effective planning to

ensure smooth change transition (Cullen et al., 2014; Gilley et al., 2008).

## 7.3    Implications for management

### 7.3.1 A model to support change leaders

Figure 12 depicted below is a pictorial representation of the findings that resulted from the study of the dual role of leaders' driving change and being impacted by change. The aim of this model is to support organisations faced with insurmountable change, in developing exceptional change leaders that are able to navigate the dilemma present in the duality of driving change and being impacted by change, with minimum impact on the individual.

Figure 12: Change leadership framework
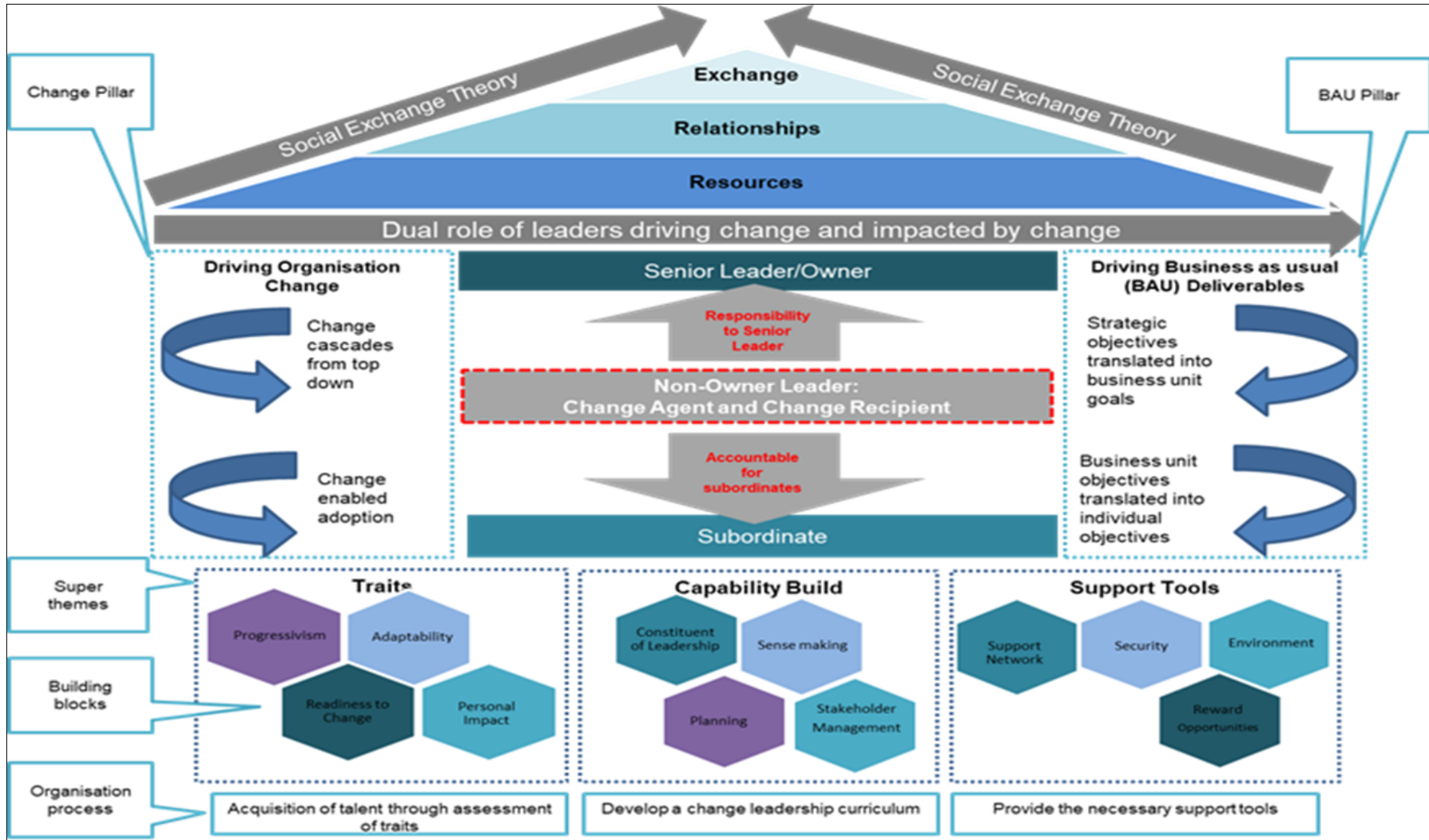
## 7.3.2 Unpacking the model – a user story

The aim of the model is to create a support structure for organisations to develop effective change leaders. The model is purposefully created in the shape of a house, with reference to the building blocks of a house. The roof of the model is based on the social exchange theory (SET) as this theory forms the basis of the employment relationship (Cropanzano & Mitchell, 2005; Varey, 2015), with elements of exchange, relationships and resources. The purpose of these elements must be explicit in the employment contract of the leader appointed into leadership. Based on the findings, change is synonymous with leadership but is it not always understood by the subordinates being led by the leaders driving the change agenda.

The model stipulates that these requirements must be made explicit with the appointment of the leader. Failure to do so could result in conflict experienced by the leader in fulfilling these dual roles, which then results from in a breach in the implicit, psychological contract of the leader (Dulac et al., 2017). It must not be assumed that all leaders, regardless of level, acknowledge that change is part of their job description and will enthusiastically drive change. The more junior the leader the more reason to explicitly state that change is an inherent requirement of the job (Owens & Hekman, 2012 and Heyden, Fourne, et al., 2016).

The interdependence depicted in the bi-directional relationship framework (figure 4) and incorporated into the change agent leadership framework (figure 12), between senior leader, change agent/leader and subordinate must be clearly understood. Accountability towards subordinates and responsibility towards senior leaders must be well articulated and explicitly exposed (Molm, 2010) in the employment relationship and exchanges in these relationships must mimic interdependence. There should be no misconception in terms of where accountability and responsibility rests, both in the leader's business as usual role and in fulfilling their change mandate. Clarity on this will not only demystify any misconceptions for the leader but also instil clarity for the employer/senior leader and more so for the subordinates and ensure a beneficial interdependent relationship during times of change (Cropanzano & Mitchell, 2005).

The final element in SET that requires unpacking is the element of resources. The resources exchanged in the interdependent bi-directional relationship framework must be understood by all parties and stakeholders. Even more so by the employer and the leader in order to maintain the balance between economic value and social value exchanged in the employment relationship (Barbalet, 2017; Varey, 2015). The resource exchange principle is

especially important for the leader-subordinate relationship based on the finding of expectation of reward by subordinates in exchange for accepting the change. This can also be clarified at the onset of every change journey where the change agent can understand and clarify subordinate and employer/senior leader perceptions and expectations.

The pillars in the model highlight the duality of the leader's role in driving change as well as being impacted by change, which directly affects business as usual (Heyden, Fourne, et al., 2016; Sing, 2013). Regarding the change pillar, there is a directive that comes from employer/senior leader which must be sold to the change agent who, through the process of sense making, (Barratt-Pugh et al., 2013; Bartunek et al., 2006; Kumar, Payal; Singhal, 2012) will sell the change downwards to their respective subordinates with the aim of ultimately achieving adoption by these recipients of change. This occurs whilst the leader/change agent is concurrently fulfilling their business as usual responsibilities. Both of these pillars are equally important and must be adequately delivered to ensure growth and transformation from a change perspective and growth in the bottom line from a BAU perspective.

It is exceptionally important for financial services organisations faced with the need to change at an exponential rate, (Dapp, 2014; Shaikh, 2017) understand the complexities inherent in change and the quality of the leader required. A leader that is able to navigate the change endeavour with minimal conflict and resistance. This understanding necessitates the imperative for organisations to ensure that suitable leaders are acquired, competencies in these leaders are developed and ongoing support is provided to ensure these leaders thrive in the ever-evolving world of financial services. The organisational process upon which this model is built makes reference to the acquisition of talent through assessments which identify traits listed in building block 1, the change leader curriculum build though courses listed in building block 2 and ongoing support provided by the organisation to effectively support change leaders on the change journey. The model is built on three building blocks that developed from thematic analysis and eventually became the super themes (refer to figure 6) underpinning the study and the model.

**Building Block 1**: Traits - these are referred to as inherent qualities and characteristics of a leader which were revealed through the findings. These qualities are built into the make-up of the change leader. Qualities such as adaptability (Miller, 2001) also referred to as a super theme, comprise of themes such as progressivism, which refers to the innate ability to cope with newness; readiness for change (Choi, 2011; Choi & Ruona, 2011) and an understanding of the personal impact (Miller, 2001) of the change on the individual and

impact of change on others. These characteristics can be accessed via the talent acquisition process by means of specific psychometric assessments. Once the leader with the correct traits has been identified and acquired, building block 2 can be initiated.

**Building block 2**:  Capability build curriculum - is a super theme and it refers to the skills and abilities that can be developed in the acquired leaders. These skills have been selected based on the findings from the study and are deemed to be essential to the change agent. These skills and abilities result from grouping of themes sense making; theme 3, constituent of leadership; theme 4, stakeholder management and theme 5, planning. Sense-making (Kumar, Payal; Singhal, 2012), includes empowerment which refers to communication and information gathering which enables the change agent to understand the change. Resilience, which refers to the ability to deal with constant change and is developed through experience (Owens & Hekman, 2012); self-awareness, reflection, empathy integrity, authenticity, concern for people, differentiate good leaders from great leaders (Goleman, 2012)  and also gives rise to the concept of authentic leadership. It also includes constituent of leadership which refers to the types of leadership skills that must be included in the change leader curriculum. These leaderships skills include authentic leadership (Goleman, 2012; Sparrowe, 2005), visionary leadership (Groves, 2006); servant leadership (Liden et al., 2013) and contextual  leadership (Osborn & Marion, 2009).

Planning (McCleskey, 2014) a skill that is required in the implementation of change can also serve as support and stakeholder management (Bolden, 2004; Simsek et al., 2015) another skills that is deemed pivotal and is required by change agents driving change. Capability build can be designed as part of the leadership curriculum and developed in change leaders over a period of time. This will ensure relevance of skill and ability to share concerns and findings with other leaders undergoing the same learning trajectory.

**Building Block 3**:  Support tools is the final super theme and refers to all the support required by change leaders to effectively drive organisational change. Support in the form of a support network, refers to internal and external support such as peers, leaders, colleagues, coaches. Transparency (Moran & Brightman, 2000), refers to a supportive environment that allows for transparency during the change process. Security (Schumacher et al., 2015)  and finally reward and opportunity (Miller, 2001; Varey, 2015) to be associated as forms of support during the change journey. The support tools building block must be made available throughout the life cycle of the leader change agent and must be publicised so that the agent is fully aware of the support tools they can leverage on their journey to becoming exceptional change agents. Support resources such as budget, change personnel

and technology are also regarded support elements that form part of the foundational blocks in this model.

In summary, organisations that are faced with the need to drastically transform will require highly skilled and competent change agents. This combination of traits, skills and support aims to drastically minimise any conflict associated with the leader fulfilling the dual roles inherent in change. These agents may not be readily found and must be developed. Firstly; thorough acquisition by assessing the correct change talent and their composition of traits thorough various assessment techniques. The acquisition process must be followed up with a detailed contract of employment that explicitly states the change requirement and mandate. The contracting process must detail the interdependent relationships and exchange tantamount to the social exchange theory and inherent in all workplace relationships. Secondly, skills and abilities must be developed in these change leaders by allowing them to navigate the capability build curriculum and thirdly, the organisation must support these change leaders with the necessary tools required for change agents to thrive in their pursuit of organisational change.

## 7.4   Limitations

The limitations inherent in this study will be discussed below with the most appropriate ones providing input into recommendations for future research. The generalisability of this research is impacted by the time constraints in which this research was conducted, accessibility to the level of leadership within financial services which may have prevented an equitable representation of both middle and senior leadership from other financial services organisations, the inherent bias of the leadership sample, the researchers interviewing competence, personal bias, world view and peripheral factors that were not studied as part of this research may impact the outcome of this research. The sample of big traditional banks and less innovative financial institutions may impact the finding. A recommendation to mitigate this would be to conduct several qualitative engagements with the current sample and to contrast the sample to address some of these limitations.

## 7.5   Recommendations for future research

This section makes reference to recommendations that have resulted from conducting this research and the findings of the research:
   1. The model developed to enable organisations in the financial industry to develop exceptional change leaders must be tested. This will validate the model's overall

effectiveness in developing change leaders that can successfully manage the duality inherent in driving change, as they embark on exponential requirements for change. This model becomes a source of future research.

2. The sample population included non-owner leaders, it would be interesting to ascertain the impact of change from an owner leader perspective. According to Redlich (1949); Simsek et al. (2015), owner leaders have a direct stake in the business and are directly impacted by the profit and loss to the organisation which is impacted by organisational change.

3. This study focused on TM and MM that mobilise change and the dilemma they experience in fulfilling the dual roles of change agents and change recipients. As postulated by Miller, (2001), the resilience and credibility of a leader's ability to deal with change is developed by their experience in engaging change. As the requirement of change in the financial industry escalates, it may be incumbent that all leaders, even junior leaders engage in driving change. A further recommendation would be to study the impact of the dilemma of driving change and being impacted by change from a non-owner junior leader perspective.

4. It was discovered from the research that change is synonymous with the role of the leader even though it is not explicitly stated in all contracts of employment (Settoon et al., 1996) but it is required of them to drive change. A suggestion for future research would be to research the frequency with which change is formally stipulated in the employment contract of leaders required to drive change.

5. Conduct a longitudinal study with a broader sample from financial service organisations that fall outside the traditional big four banks to gain a deeper understanding of the impact of change in the broader financial industry.

6. Conduct a longitudinal comparative study with a sample from innovative organisations that fall within the financial services and compare the findings from these leaders and their ability to cope with the duality inherent in driving change and being impacted by change.

7. Lastly, explore the support provided to change agents by internal change support networks such as professional change bodies and Human Resources to corroborate the work of (Barratt-Pugh et al., 2013) who states that these professional bodies serve as a value add in driving change.

## 7.6  Conclusion

This study was undertaken to determine if any conflict or dilemma exists in the dual role of leaders driving change and being impacted by change. The rationale for undertaking this

study was based on the amount of change that is required to ensure transformation of the financial services industry, an industry which serves as the backbone of our economy. Financial services is changing at an exponential rate, new technology, globalisation, consumerism, crypto currency and big data is revolutionising the manner in which financial services are offered to consumers proving the current models obsolete. The rate at which this industry requires change necessities the requirement for leaders within in financial services to drive change. This means additional burden will be placed on the already complex leadership framework. Failure to understand this dilemma could result in overburdened change agents and multiple failed change attempts which could lead to the extinction of the industry as we know it.

In exploration of this problem, qualitative data collection from 21 non-owner leaders from seven global financial organisations provided evidence that leaders do acknowledge the dilemma that exists in them fulfilling these dual roles. However, leaders are able to cope with this dilemma based on findings which were themed accordingly as: adaptability, ability to make sense of the change, leadership ability that is developed over time, management of stakeholders, detailed planning and support tools which should be provided by the organisation.

These findings not only contribute to the current body of knowledge but provide professional change bodies and executives with a model that can assist them in developing competent change leaders who will be able to take on the challenge of transformational change in this fourth industrial revolution.

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# Appendices

## Appendix A:Interview Schedule: Pilot

**Introductory Questions**
  a) What industry are you in?
  b) Have you in the past two years' experience change in your organisation?
  c) Provide details of this change(s)?
  d) This change that you have referred to, would you categorize this as developmental, transactional or transformational change?
  e) What was your role in driving change?
  f) What level of leadership do you fulfil i.e. middle management or senior management?
  g) Have you or are you currently (within the past two years) experiencing change in your organisation?

**RO1: What are the apparent differences in the psychological contract of the leader in the role of employee and employer in the context of change?**

  a) What sort of unwritten expectations do your subordinates have of you?
  b) What sort of unwritten expectations do you have of your leader?
  c) How does times of change, affect the leader subordinate relationship?
  d) Do expectations of you acting a change agent contradict/compliment or align with employee expectations of you, how so?
  e) Do expectations of you acting a change agent contradict/compliment or align with expectations of you have for your leader, how so?

**RO2: What attributes of Psychological Contract Theory is affected by change for the non-owner leader driving the change as a change agent?**

  a) As a leader how do you cope with the change?
  b) As an employee how do you cope with change?
  c) Fulfilling your roles as leader, change agent and employee :
    o Are these roles ever in conflict? Please elaborate
    o Which role supersedes the others and why?
    o What coping strategies do you deploy when these roles are in conflict?

**RO3: What support tools are in place to assist the non-owner leader to manage conflict that arises in as a result of their dual roles of change agent driving change and employee impacted by they change?**
  a) What support did you receive to allow you to drive change?
  b) What support would you have liked to receive to drive this change
  c) What advice would you give other leaders that are responsible for driving /mobilising change?

# Appendix B: Interview Schedule_Post pilot

**The dual roles of leader driving change and being impacted by change.**

**Introductory Questions**

1. What industry are you in?
2. What level of leadership do you fulfil i.e. middle management or senior management?
3. How many years have you been in a leadership role?
4. Do you have any ownership rights in the current organisation?
5. Have you in the past two years' experienced change in your organisation?
6. Provide details of this change(s)?
7. What was your role in driving change?
8. How did this change affect your role?
9. What challenges did you experience in driving this change?

**RO1: What elements in the employment relationship affected by driving change – a Social Exchange perspective**

1.1 As a leader how do you cope with the change?

1.2 As an employee how do you cope with change?

1.3 In fulfilling these dual roles of change agent and employee (change recipient) :

    1.3.1    Are these roles ever in conflict? Please elaborate

    1.3.2    Which role supersedes the others and why?

    1.3.3    What coping strategies do you deploy when these roles are in conflict?

    1.3.4    What would create synergy between these two roles?

**RO2: What are the apparent differences in expectations and perceptions of the employment relationship for the leader driving change?**

2.1 How does times of change, affect the leader subordinate relationship?

2.2 What sort of unwritten expectations do you believe your subordinates have of you?

2.3 What sort of unwritten expectations do you have of your leader?

2.4 Do expectations of you acting as a change agent contradict/compliment or align with employee expectations of you, how so?

2.5 Do expectations of you acting a change agent contradict/compliment or align with expectations of you have for your leader, how so?

**RO3: What support tools are required to assist the leader in managing the conflict that arises as a result of their dual roles in driving change?**

3.1 As employee affected by change, what support did you receive to manage the change

3.2 As change agent driving change, what support did you receive to allow you to drive change?

3.3 As a change agent driving change, what support would you have liked to receive to drive this change?

3.4 As a change agent driving change, what advice would you give other leaders that are responsible for driving /mobilising change?

# Appendix C: Copy of informed consent letter_Pro Forma

**Informed Consent Letter -Pro Forma**

RE: MBA research study

I am a GIBS MBA student who is currently conducting research on the dual leadership roles, non-owner leaders face as change agents driving change whilst simultaneously being impacted by the change in their capacity of employee. Utilising psychological contract theory I am trying to find out more about the dilemma these leaders experience whilst driving change in support of organisational efficiencies and strategic objectives.

Our interview is expected to last about an hour, and will help unpack this dilemma and better support leaders in their journey of driving change for organisational longevity.

Your participation is **voluntary and you can withdraw at any time without penalty**. All data will be kept confidential and findings will be captured by numbering interviewees and reported without identifiers. If you have any concerns, please contact my supervisor or me. Our details are provided below.

| *Researcher Details* | *Research Supervisor Details* |
|---|---|
| Name: Malani Ramasamy | Name: Navlika Ratangee |
| Email: 17390207@mygibs.co.za | Email: nratengee@icas.co.za |
| Mobile: 0795178674 | Mobile: 0828807278 |
| Signature: | Signature: |
| Date: 02 June  2018 | Date: 02 June 2018 |

Participant Signature: _____

Date:

**Gordon Institute
of Business Science**
University of Pretoria

_____

____

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UNIVERSITY OF PRETORIA
YUNIBESITHI YA PRETORIA

# Appendix D: Copy of informed consent letter

## Informed Consent Letter

RE: MBA research study

I am a GIBS MBA student who is currently conducting research on the dual leadership roles, non-owner leader's experience in driving organisational change. The leadership roles that are of particular interest to this study is that of change agent and employee. I would like to explore the dilemma leaders experience as change agents driving change whilst simultaneously being impacted by the change in the capacity of employee.

Our interview is expected to last about an hour, and will help unpack this dilemma in an attempt to better support leaders in their journey of driving change for organisational longevity.

Your participation is **voluntary and you can withdraw at any time without penalty**. All data will be kept confidential and findings will be captured by numbering interviewees and reported without identifiers. In addition, your permission is requested for the use of an audio recorder to capture the content of the interview.

Kindly indicate your willingness to participate in the study by signing below.

If you have any concerns, please contact my supervisor or me. Our details are provided below.

| *Researcher Details* | *Research Supervisor Details* |
|---|---|
| Name: Malani Ramasamy | Name: Navlika Ratangee |
| Email: 17390207@mygibs.co.za | Email: nratengee@icas.co.za |
| Mobile: 0795178674 | Mobile: 082880727 |

Signature:                                     Signature:

*N.Ratangee*

Date: 02 June  2018                            Date: 02 June 2018

Participant Signature: _____

Date: _____

## Appendix E:Transcriptionist confidentiality agreement

**Gordon Institute
of Business Science**
University of Pretoria

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Confidentiality Agreement for use with Transcription Services

**Research Study Title: Dual role of leader driving change and being impacted by change**

1. I, _JOLANDA OLIVIER_ transcriptionist, agree to maintain full confidentiality of all research data received from the research team related to this research study.

2. I will hold in strictest confidence the identity of any individual that may be revealed during the transcription of interviews or in any associated documents.

3. I will not make copies of any audio-recordings, video-recordings, or other research data, unless specifically requested to do so by the researcher.

4. I will not provide the research data to any third parties without the client's consent.

5. I will store all study-related data in a safe, secure location as long as they are in my possession. All video and audio recordings will be stored in an encrypted format.

6. All data provided or created for purposes of this agreement, including any back-up records, will be returned to the researcher or permanently deleted. When I have received confirmation that the transcription work I performed has been satisfactorily completed, any of the research data that remains with me will be returned to the researcher or destroyed, pursuant to the instructions of the researcher.

Transcriber's name (printed):

JOLANDA OLIVIER

Transcriber's signature:

Date: 18 June 2018

# Appendix Fa: Ethics Approval on Aspire

## Rubric Detail

*A rubric lists grading criteria that instructors use to evaluate student work. Your instructor linked a rubric to this item and made it available to you. Select Grid View or List View to change the rubric's layout.*

| Name: **Ethics rubric** | Grid View | **List View** | ☐ Show Descriptions  ☐ Show Feedback | Exit |
|---|---|---|---|---|

**Feedback**                                                                    (100%)

  ○ **Application Rejected**   0 (0%) points

  ○ **Resubmission**   1 (33.33%) points

  ○ **Conditional Approval**   2 (66.67%) points

  **Approved**   3 (100%) points

---

The rubric total value of 3.00 has been overridden with a value of 3 out of 3.0.

**Feedback to Learner**

All in order. Just an important note: If you plan to record the interviews, the participants must give permission. As such, make sure to indicate that the interview will be recorded in the consent letter. I don't see an indication that you plan to record it, but if you do so, be sure to state this in the consent letter before any interview is recorded for ethical purposes.

Name:**Ethics rubric**

## Appendix Fb: Ethics Approval Letter

**Gordon Institute of Business Science**
University of Pretoria

14 June 2018

Ramasamy Malani

Dear Malani

*Please be advised that your application for Ethical Clearance has been approved.*

*You are therefore allowed to continue collecting your data.*

*Please note that approval is granted based on the methodology and research instruments provided in the application. If there is any deviation change or addition to the research method or tools, a supplementary application for approval must be obtained*

*We wish you everything of the best for the rest of the project.*

*Kind Regards*

GIBS MBA Research Ethical Clearance Committee

# Appendix G: Informed Consent signed by informants (remainder on the flash disk)

Participant 1

**Gordon Institute
of Business Science**
University of Pretoria

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## Informed Consent Letter

RE: MBA research study

I am a GIBS MBA student who is currently conducting research on the dual leadership roles, non-owner leader's experience in driving organisational change. The leadership roles that are of particular interest to this study is that of change agent and employee. I would like to explore the dilemma leaders experience as change agents driving change whilst simultaneously being impacted by the change in the capacity of employee.

Our interview is expected to last about an hour, and will help unpack this dilemma in an attempt to better support leaders in their journey of driving change for organisational longevity.

Your participation is voluntary and you can withdraw at any time without penalty. All data will be kept confidential and findings will be captured by numbering interviewees and reported without identifiers. In addition, your permission is requested for the use of an audio recorder to capture the content of the interview.

Kindly indicate your willingness to participate in the study by signing below.

If you have any concerns, please contact my supervisor or me. Our details are provided below.

| *Researcher Details* | *Research Supervisor Details* |
|---|---|
| Name: Malani Ramasamy | Name: Navlika Ratangee |
| Email: 17390207@mygibs.co.za | Emai : nratangee@icas.co.za |
| Mobile: 0795178674 | Mobile: 0828807278 |
| Signature: | Signature: |

Date: 02 June 2018      Date: 02 June 2018

Participant Signature: _____

Date 19/06/2018 _____

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# Appendix H: Copyright declaration

**Gordon Institute
of Business Science**
University of Pretoria

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## COPYRIGHT DECLARATION

| Student details | | | |
|---|---|---|---|
| Surname: | Ramasamy | Initials: | M |
| Student number: | 17390207 | | |
| Email: | 17390207@mygibs.co.za | | |
| Phone: | 0795178674 | | |

| Qualification details | | | |
|---|---|---|---|
| Degree: | Masters of Business Administration | Year completed: | 2018 |
| Title of research | The dual role of leaders, driving change and being impacted by change. | | |
| Supervisor: | Navlika Ratengee | | |
| Supervisor email: | nratangee@icas.co.za | | |

### Access

Please select

**A.**

| x | My research is not confidential and may be made available in the GIBS Information Centre and on UPSpace. |
|---|---|

I give permission to display my email address on the UPSpace website

| Yes | x | No | |
|---|---|---|---|

**B.**

| | My research is confidential and may **NOT** be made available in the GIBS Information Centre nor on UPSpace. |
|---|---|

Please indicate embargo period requested

| Two years | | Please attach a letter of motivation to substantiate your request. Without a letter embargo will not be granted. |
|---|---|---|
| Permanent | | Permission from the Vice-Principal: Research and Postgraduate Studies at UP is required for permanent embargo. Please attach a copy permission letter. Without a letter permanent embargo will not be granted. |

### Copyright declaration

I hereby declare that I have not used unethical research practices nor gained material dishonesty in this electronic version of my research submitted. Where appropriate, written permission statement(s) were obtained from the owner(s) of third-party copyrighted matter included in my research, allowing distribution as specified below.

I hereby assign, transfer and make over to the University of Pretoria my rights of copyright in the submitted work to the extent that it has not already been affected in terms of the contract I entered into at registration. I understand that all rights with regard to the intellectual property of my research, vest in the University who has the right to reproduce, distribute and/or publish the work in any manner it may deem fit.

| Signature: | *[signature]* | Date: 05 | 11 | 2018 |
|---|---|---|

| Supervisor signature: | *[signature]* | Date: 5 NOV 2018 |
|---|---|---|

2018 ver.

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# Appendix I: Certification of additional support

## CERTIFICATION OF ADDITIONAL SUPPORT
(Additional support retained or not - to be **completed by all students**)

**Please note that failure to comply and report on this honestly will result in disciplinary action**

I hereby certify that (please indicate which statement applies):

- **I DID NOT RECEIVE** any additional/outside assistance (i.e. statistical, transcriptional, thematic, coding, and/or editorial services) on my research report:

**×I RECEIVED** additional/outside assistance (i.e. statistical, transcriptional, thematic, coding, and/or editorial services) on my research report

If any additional services were retained– **please indicate below which:**

☐ **Statistician**

☐ **Coding (quantitative and qualitative)**

× **Transcriber**

× **Editor**

**Please provide the name(s) and contact details of all retained:**

NAME: Jolanda Olivier

EMAIL ADDRESS: jolanda.olivier09@gmail.com

CONTACT NUMBER: 084 511 3609

TYPE OF SERVICE: Transcription services
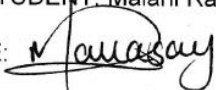

NAME: Monica Kulu Sonqishe

EMAIL ADDRESS: monyqs@gmail.com

CONTACT NUMBER: 0117714322

TYPE OF SERVICE: Editor


I hereby declare that all interpretations (statistical and/or thematic) arising from the analysis; and write-up of the results for my study was completed by myself without outside assistance
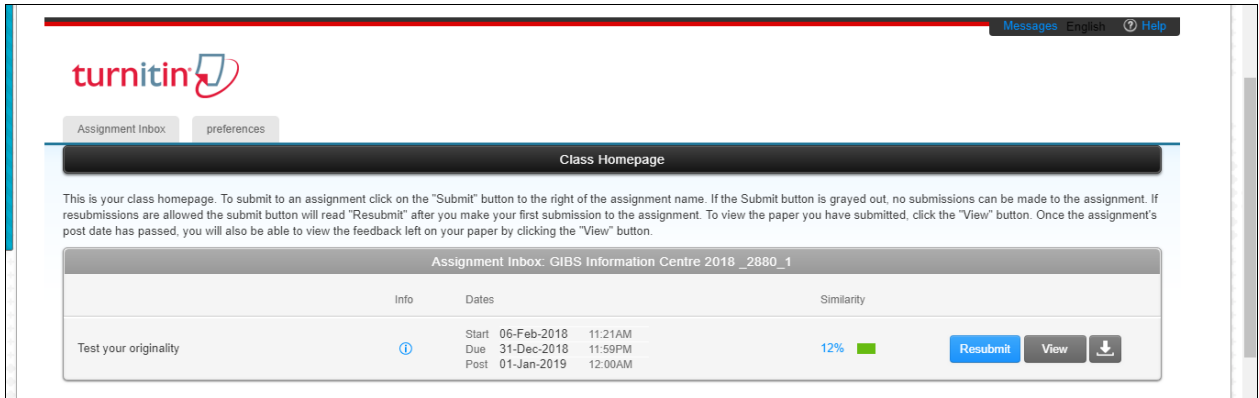
NAME OF STUDENT: Malani Ramasamy

SIGNATURE: _Mauasay_   05|11|2018

STUDENT NUMBER: 17390207

STUDENT EMAIL ADDRESS: 173902074@mygibs.co.za

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# Appendix J: Turnitin Report

Before Filters



 With filters