# VICTORIA UNIVERSITY

# A Study of Organisational Justice and Participative Workplace Change in Australian Higher Education

## Stephen Weller

This thesis is submitted in fulfilment of the requirements for the degree of Doctor of Philosophy

February 2009

**ABSTRACT**

This thesis explores employee participation in the management of workplace change through an organisational justice framework within the context of the Australian Higher Education (HE) sector. The thesis examines the extent to which the Australian HE sector makes provisions for participative workplace change, the extent to which participants within the sector perceive participative workplace change as providing fairness, and practices that can facilitate and foster participative workplace change.

The provisions for participative workplace change are examined through a longitudinal study of enterprise bargaining agreements across all public universities in Australia for the period of 1997-2006. The research findings identify a decline in both the degree and form of employee participation in workplace change across this decade.

The perceptions of participative workplace change are examined through an altitudinal survey of management and union executives within all public universities in Australia. The research findings identify considerable divergence between management and union executives in relation to employee participation, workplace change and organisational justice.

The practices for participative workplace change are examined through twenty semi-structured interviews with management and union executives drawn from amongst the respondents to the attitudinal survey. The research findings identify areas of convergence around organisational justice dimensions and workplace change practices between management and union executives.

The thesis concludes that it is a combination of fair processes and fair interactions which are most effective in facilitating workplace change and fostering employee participation in the Australian HE sector and which in turn are seen to be able to contribute to shared perceptions of organisational justice.

**DECLARATION**

'I, Stephen Weller, declare that the PhD thesis entitled [A Study of Organisational Justice and Participative Workplace Change in Australian Higher Education] is no more than 100,000 words in length including quotes and exclusive of tables, figures, appendices, bibliography, references and footnotes. This thesis contains no material that has been submitted previously, in whole or in part, for the award of any other academic degree or diploma. Except where otherwise indicated, this thesis is my own work'.

Signature                                                            Date

**TABLE OF CONTENTS**

## LIST OF TABLES

## LIST OF FIGURES

# GLOSSARY OF TERMS

| ALP | Australian Labor Party |
|-----|------------------------|
| AM | Academic Manager Interviewee |
| ANOVA | Analysis of Variance |
| ATN | Australian Technology Universities |
| AU | Academic Union Interviewee |
| AVCC | Australian Vice-Chancellor's Committee |
| BCA | Business Council of Australia |
| EBA | Enterprise Bargaining Agreement |
| Go8 | Group of Eight Universities |
| GM | General Manager Interviewee |
| GU | General Union Interviewee |
| HE | Higher Education |
| HEWRR | Higher Education Workplace Reform Requirements |
| IRU | Innovative Research Universities |
| NTEU | National Tertiary Education Union |
| NGU | New Generation Universities |
| REG | Regional Universities |
| TCR | Technology, Change and Redundancy |

**PUBLICATIONS**

The following is a list of publications that have arisen from the research undertaken as part of this Doctoral Thesis. These publications have in turn formed the primary basis of Chapters 5, 6, 7 and 8.

- Weller, S and VanGramberg, B. (2008) Facilitating Change and Fostering Involvement: A Study of the Australian Higher Education Sector. *Proceedings of the Twenty Second Conference of the Association of Industrial Relations Academics of Australia and New Zealand (AIRAANZ).*

- Weller, S and VanGramberg, B. (2007) Attitudes Towards Workplace Change in the Australian Higher Education Sector: A Tale of Divergence and a Case for Reform. *New Zealand Journal of Employment Relations.* 33:2.

- Weller, S and VanGramberg, B. (2007) Perceptions of Fairness in the Management of Workplace Change in the Australian Higher Education Sector: A Study of Employee Involvement Provisions in Workplace Agreements. *Proceedings of the Twenty First Conference of the Association of Industrial Relations Academics of Australia and New Zealand (AIRAANZ).*

- Weller, S and VanGramberg, B. (2007) Management of Workplace Change in the Australian Higher Education Sector: A Study of Employee Involvement Provisions in Workplace Agreements. *Journal of Higher Education Policy and Management.* 29:1.

- Weller, S and VanGramberg, B. (2006) Provisions for Employee Involvement in Change Management: A study of Australian higher education workplace agreements. *Proceedings of the Twentieth Conference of the Association of Industrial Relations Academics of Australia and New Zealand (AIRAANZ).*

## ACKNOWLEDGEMENTS

This thesis has been undertaken across a period of eight years and represents not only a contribution to knowledge in the fields of employment relations and higher education, but also a key chapter within my professional and personal life. As such it is only appropriate that I make some key acknowledgements.

Firstly, I wish to acknowledge Victoria University for their support as an employee during the bulk of my time as a doctoral student. The support extended by the Vice-Chancellor and my various supervisors has been greatly appreciated. Without their support and encouragement it would not have been possible to complete this thesis.

Secondly, I wish to acknowledge the various management and union executives who gave their time to complete the attitudinal survey and participate in the semi-structured interviews as well as the members of the Association of Industrial Relations of Australia and New Zealand for allowing me to present and publish my findings. The commitment of these individuals to the sector is commendable.

Thirdly, I wish to acknowledge the ongoing support of Jennie Jackson without whose logistical and professional support I could not have completed my studies as well as the support of my parents Adrian and Robyn who encouraged me to return to the second year of undergraduate studies in what now seems a long time ago.

Fourthly, I wish to acknowledge the ongoing invaluable commitment, support, advice, dedication and enthusiasm, personal and professional encouragement provided by my Principal Supervisor Associate Professor Bernadine van Gramberg. It is an understatement to say the thesis would not have been possible without her. The support and guidance of my Co-Supervisor, Richard Gough, has been appreciated.

And last but certainly not least, I wish to acknowledge Kerry, Alice and Charlie. My doctoral study has been a constant throughout nearly all of my relationship with Kerry and Alice and Charlie have in essence not known a time when I was not studying. Kerry's unfailing encouragement and ongoing support have been invaluable and Alice and Charlie's time and interest have been greatly appreciated.

**CHAPTER 1 – INTRODUCTION TO THESIS**

**1.0     Introduction**

This thesis undertakes a study of organisational justice and participative workplace change within the context of the Australian Higher Education (HE) sector. The HE sector has been the focus of significant workplace and cultural change spearheaded by successive federal governments over the period 1987 to 2006 (Sebalj, Hudson, Ryan, and Wight-Boycott, 2007). In delivering these federal policies universities have had to manage a significant and ongoing change process. The key focus of the thesis is the extent to which that change process has been managed through employee participation and the extent to which change management has been perceived as fair by those involved in it.

The HE sector represents an important industry in Australia, currently accounting for the third greatest portion of the nation's GDP as measured as a share of export earnings (DEEWR, 2008). The reform period over the past 20 years from the start of the Dawkins Reforms of 1987 to the end of the Nelson Reforms in 2006 represent various versions of bringing about greater efficiency, accountability and profitability of the sector. The Dawkins Reforms based on Green and White Papers in 1988 triggered a move to create a unified national system for HE in Australia (Bessant, 2002). The changes ended the binary divide in HE through the amalgamation of many smaller colleges (eg Nepean College of Advanced Education, Ballarat College of Advanced Education, etc) and institutes (eg New South Wales Institute of Technology, Footscray Institute of Technology, etc) into larger, new universities (Wood and Meek, 2002).

Following the Dawkins Reforms and throughout the decade of the 1990s the Australian HE Sector experienced a period of significant ongoing change in respect to the growth in total student numbers, rapid changes in information and communication technology, increased international enrolments, increases in student fees and external income, enhanced research activity and community engagement. Throughout this period the Australian HE sector underwent a transformation largely driven by Federal

Government intervention or responses to external market and education forces (Harman, 2003; Marginson, 2007).

In 2002, Nelson, as the Liberal/National Coalition Minister for HE embarked on a process of deregulating the funding environment and introducing a more individualist approach to the industrial relations system in the HE sector (Currie, 2005). Nelson's vision for greater financial deregulation and a concerted move away from collective bargaining as the basis of the industrial relations framework for the sector has been at the centre of recent workplace change activities in Australian universities (Coling and Meek, 2006). It is within this setting that the research of this thesis takes place.

The international literature on workplace change abounds in models and techniques for successful change (Lewin, 1947, 1951; Coch and French, 1948; Beer and Nohira, 2000). There are two themes in the change management literature that form the theoretical and practical basis for this thesis. First, employee participation in the management of workplace change is well established as a predictor of successful change in both classical management as well as the industrial relations literature (Lewin, 1947, 1951; Teicher, 1992; Lansbury & Davis, 1992; Lawler, 1999).

A diverse field of study has contributed to the understanding of employee participation as forming a spectrum from participative management through to industrial democracy (Teicher, 1992; Black and Gregerson, 1997). The spectrum encompasses the nature and degree of employee participation within the context of workplace decision making and considers the contested views surrounding the modes of employee participation contained within the literature.

Further to this contested views surrounding the modes of employee participation, there is a theory that the extent to which employees are offered meaningful participation is directly linked with the success of the workplace change program (Dunphy and Stace 1988). The participation of employees within workplace change, and the degree and form of this participation, is explored as a key theme through this thesis.

The second theme relating to successful workplace change is whether effective change can be judged by the extent to which organisational justice has been afforded those affected by the change (Cobb, Folger and Wooten, 1995). The theory of organisational justice holds that employees who feel they have been treated fairly in workplace change are more likely to accept the change (Greenberg, 1990). The consideration of organisational justice through the perspectives of the fairness of the outcome (distributive justice), the fairness of the process (procedural justice) and the fairness of the interpersonal treatment (interactional justice) are explored in detail through this thesis.

The exploration of employee participation in workplace change through a fairness lens provides a useful framework to review the current workplace change processes within the Australian HE sector. This is because both the participation and justice theories predict successful change outcomes. The thesis examines the extent to which the Australian HE sector makes *provisions* for participative workplace change, the extent to which participants within the sector *perceive* participative workplace change as providing fairness, and identifies the sorts of *practices* that have the potential to facilitate and foster participative workplace change.

In undertaking this threefold approach to investigate provisions, perceptions and practices of participative workplace change within the Australian HE sector, the thesis seeks to make a contribution to knowledge and practice in the areas of participative management and organisational justice. The thesis argues that these two themes as interconnected and that participation requires organisational justice in order to deliver its benefits with regard to successful change outcomes. The thesis considers these relationships against the backdrop of change in the Australian HE sector and more broadly of a move away from collegial decision making to a more managerial culture.

This chapter presents an overview of the thesis, commencing with a discussion of the contention that the nature of change in the sector in the last 20 years have created a massive impetus for ongoing workplace change in the sector as universities compete for greater funding. Key to their success is the quality of the management of workplace change, its inclusiveness and fairness in engaging employees. The chapter

then moves to describe the research question and hypotheses driving the thesis and outlines briefly, the methodology and limitations of the research.

## 1.1 Background to the Research

As indicated above, the Australian HE sector has seen significant change over the last twenty years through both the Dawkins and Nelson reforms. These reforms have catalysed a transformation in the way in which the sector is structured and secondly the way in which it is funded (Webber, 2002).

Whilst the nature of this change has seen a more commercial or market approach emerge in the management and operation of universities within Australia (Marginson, 2000) the nature of the Nelson reforms in respect of industrial relations in 2005 sought to regulate the nature of the workplace in the Australian HE sector. The Coalition Government introduced the Higher Education Workplace Reform Requirements (HEWRRs) which sought to limit the role of unions in the representation of staff as well as facilitate a move to a more individualised workplace (Thornton, 2005).

A key debate within the sector is that in the area of organisational decision making it has moved from a more pluralist (for instance the acceptance of multiple viewpoints informing decisions) to a more unitary (the expectations that decisions will be imposed by the dominant organisational party) environment (McInnis, 1998; Alexiadou, 2001). The extent to which this may, or may not have occurred, is a key feature in the exploration of this thesis. Further, whether this may be parallelled by a shift from collegiality to managerialism is also considered.

The key argument in the thesis is that the possibility of an approach to workplace change that encapsulates employee participation and ensures organisational justice could provide for balance between these conflicting arguments. It is pertinent then to consider briefly the role of employee participation and organisational justice in change management.

### 1.1.1 Workplace Change and Employee Participation

While drawing on the broad field of change management, this thesis focuses on the specific issue of workplace change. During the last 60 years as human resource management (HRM) theory has emerged and developed, the impact of effective change management in the workplace in terms of motivation, morale, productivity and communication has become an imperative (Allen, Jimmieson, Bordia, and Irmer, 2007). Much of this change management literature has aimed to provide managers with the tools to deliver effective change for their organisations.

One of the ways by which change is seen to be able to be better managed is through reducing the resistance to change (Lewin, 1947, 1951; Coch and French, 1948; Beer and Nohira, 2000). One form of employee participation is the concept of employees participating in the decision making processes of an organisation and this is the focus of the thesis. Employee participation encompasses a broad spectrum of engagement in the decision making process ranging from minimal (access to information) to complete (joint decision making) participation. (Pateman, 1970).

The term participative management used in this thesis refers to the concept that managers can use employee cooperation and involvement to enhance the operational effectiveness of an organisation (Marrow, 1957; Pojidaeff, 1995). In other words it can be seen as a measure of the extent to which employees are involved in the decisions which affect them. Whilst participative management has a strong degree of support from management practitioners (Collins, Ross and Ross, 1989; Tesluk, Vance and Mathieu, 1999), on another view, it has been criticised as a tool utilised by management to dominate employees and one which falls short of more advanced notions of industrial democracy (Lansbury and Wailes, 2002).

Employee participation in the change management process has been identified as leading to a greater acceptance of change and enhanced levels of employee trust in the actions of management in initiating and dealing with change (Morgan and Zeffane, 2003).

In examining employee participation and workplace change the thesis will explore the argument that a key approach to facilitate workplace change is through the fostering of employee participation. The contention that participative workplace change also results in fair workplace change is examined within both the literature as well as assessed in the provisions, perceptions and practices of the Australian HE sector.

### 1.1.2   Organisational Justice Theory

Organisational justice theory relates to the perceived fairness of processes, outcomes and interactions within the decision making processes of an organisation between those who manage and those who are managed (Tyler, 1987; Greenberg, 1990; Saunders, Thornhill and Lewis, 2002; Nowakowski and Conlon, 2005). Organisational justice has its roots in the justice theories attached to theories of legal and organisational decision making and is comprised of three forms of justice (Rawls, 1971). First, distributive justice, or the satisfaction with the outcome of a decision provides a measure of fairness for how justice is distributed amongst the disputants. Second, procedural justice, or the satisfaction with the process used to reach a decision refers to the experience of fairness by the disputants (Deutcsh, 1985; Masterson, Lewis, Goldman and Taylor, 2000). Third, in the mid 1980s Bies and Moag (1986) identified interactional justice, or the interpersonal treatment of the disputants which is believed to be a sub-component of procedural justice and indicates that the process must not only be experienced as being fair, it must be accompanied by a sense of being treated with respect and dignity (Tyler, 1991).

Together, the dimensions of organisational justice theory predict that employees will more readily accept a workplace change (they will perceive that distributive justice was delivered) if they perceive their experience of the process of change was fair (procedural justice) and that they were treated fairly in the process (interactional justice). Organisational justice theory therefore provides a substantial theoretical framework to consider the issues of workplace change and employee participation (McFarlin, and Sweeney, 1992; Tang and Sarsfield-Baldwin, 1996; Ashmos, Duchon, McDaniel, Jr, and Huonker, 2002). It is for this reason that organisational justice theory will operate as one of the underlying theoretical frameworks for this thesis.

## 1.2 Research Problem and Research Approach

To explore the research questions in this qualitative study of change management in the Australian HE sector a number of lines of enquiry were developed encompassing an international literature review, analysis of university enterprise agreements, survey of university staff involved in change management and interviews with a sub-set of the survey respondents. These lines of enquiry allow for both breadth and depth of analysis to take place as well as providing for methodological triangulation.

### 1.2.1 Research Questions

Having identified the research approach for the thesis, the overall research question is:

> *To what extent is employee participation in the management of workplace change delivering organisational justice within the Australian Higher Education sector?*

This question seeks to integrate the three themes of workplace change, employee participation and organisational justice. Further, it specifically seeks to analyse the relationship between the three themes in an Australian HE context. In order to answer the overall research question, the thesis identifies three research questions which drive the empirical study.

The first research question investigates the provisions made by universities for employee participation in workplace change.

> *To what extent has the Australian HE sector provided for employee participation in the management of workplace change?*

All Australian universities have their terms and conditions of employment government by an enterprise agreement. Whilst provisions for change represent policy rather than practice they are likely to indicate the nature of change management practice at a particular institution.

The second research question investigates the perceptions of employee participation in relation to workplace change.

> *To what extent do management and union representatives perceive fairness in the provisions and practices of the Australian HE sector to facilitate workplace change and foster employee participation?*

This question seeks to determine the extent to which employees are actually involved in change management at their institutions and whether they think those processes are fair. This question seeks to bring together the themes of employee participation and organisational justice in a change management context.

The third research question investigates the practices which might combine employee participation and fairness in relation to workplace change:

> *To what extent is it possible to identify organisational practices that facilitate workplace change and foster employee participation as well as deliver organisational justice within the Australian HE sector?*

This question seeks to find change management practices which are more likely than others to combine fair process with employee participation. The manner in which these three questions are examined methodologically is explored below and in more detail in Chapter 5.

## 1.3    Justification for the Research

The Australian HE sector is the third industry in Australia, as measured by share of export earnings, according to the Australian Bureau of Statistics and in turn represents a major source of economic activity with the sector accounting for approximately 5% of Gross Domestic Product (DEEWR, 2008). As such it is fundamental for the sector to be able to operate in a competitive and flexible manner. Whilst the necessity for workplace change is accepted it is argued that such change needs to be undertaken in

an effective and fair manner that seeks to ensure an engaged workplace. In this context the ability to recommend enhanced provisions and practices for workplace change is essential.

The findings of this thesis provide an opportunity for the Australian HE sector to both facilitate workplace change that is necessary to operate effectively at the same time as foster employee participation in such a manner that causes greater acceptance of workplace change and greater perceptions of organisational justice within the Australian HE sector.

## 1.4     Contribution of the Research

This thesis contributes to knowledge in four key ways. Firstly, it examines the relationship between facilitating workplace change through the context of fostering employee participation. It is evident that in any assessment of workplace change, there is a need to develop clear strategies to ensure that the resistance to change can be minimised and any adverse impacts associated with change can be reduced (Lewin, 1947, 1951). Employee participation in the change management process has been identified as leading to a greater acceptance of change and enhanced levels of employee trust in the actions of management in initiating and dealing with change (Morgan and Zeffane, 2003).

Secondly, it examines the extent to employee participation is utilised as a strategy for effectively managing the workplace and achieving organisational outcomes. There is strong evidence in the literature that enhanced employee participation is seen as a sound organisational practice and one that can work to the mutual advantage of both management and employees. From the initial development of a typology of participation by Pateman (1970) a key issue within employee participation is the degree and the form of the participation (Cotton, Vollrath, Froggat, and Lengnick, 1990).

Thirdly, it examines the issue of fair workplace change and the issue of perceived fairness in the management of workplace change. The relationship between workplace

change and employee participation can be considered through the lens of organisational justice. The question as to whether participants favour an emphasis on fair outcomes or distributive justice, fair processes or procedural justice, fair interpersonal treatment or interactional justice, is a key consideration in assessing the effectiveness of workplace change. The ideal change management process would seem to include high levels of distributive as well as procedural justice (Saunders et al, 2002).

Fourthly, and more explicitly, the thesis examines the issue of participative workplace change in the context of the Australian HE sector. The thesis examines provisions, perceptions and practices surrounding participative workplace change in an assessment of the Australian HE sector and the changes that have occurred within the sector during the last twenty years. The thesis makes a key contribution to research through an appraisal of organisational justice theory within the Australian HE sector as well as an examination of participative and fair practices that facilitate workplace change and foster employee participation in the Australian HE sector.

## 1.5    Overview of the Research Methodology

As explained in section 1.2 this thesis utilises three research questions that explore workplace change, employee participation and organisational justice in the Australian HE sector. The three areas under investigation are explained below and detailed in Chapter 5.

### 1.5.1   Provisions for Participative Workplace Change: Longitudinal Study

Enterprise agreements are negotiated settlements of the conditions of work and are an important source of organisational policy. They indicate the organisation's intentions and the spirit in which work will be conducted and as such they represent an important starting point to examine institutional provisions for employee participation within the context of workplace change. Following the Technology, Change and Redundancy (TCR) Decision, all federal awards were required to have a provision for employee participation in workplace change. Whilst legislation no longer requires

this, a version of the TCR (a workplace change clause) is present in the enterprise agreements of all Australian universities. As such, the first research question of the thesis required the analysis of the workplace change clauses of the 37 public universities over three rounds of enterprise bargaining spanning a 10 year period from 1997 to 2006 for both academic and general staff.

An examination of these provisions allowed for the assessment of the degree and form of employee participation and the extent to which they have evolved since 1997. The degree of participation was measured by assessing to what extent employees participate in workplace and how much impact they have on the decisions before being made. The form of participation was examined by considering the nature of how employees participate and whether this was through unions or other forms. In making this assessment the degree and form of employee participation in workplace change was measured through the use of a scale developed by the International Research Group (IRG, 1976) and subsequently used extensively throughout the employee participation literature.

### 1.5.2    Perceptions of Participative Workplace Change: Attitudinal Survey

An Attitudinal Survey of management and union representatives (both academic and general staff) of the Australian HE sector was undertaken to determine attitudes towards employee participation in the management of workplace change and perceived levels of perceived organisational justice. The sampling method involved distributing the survey to 580 management and union members drawn from the university senior executives and the union branch executives via access of Universities Australia and NTEU membership listings at all 37 public universities in Australia in September 2006. A total of 170 responses were received representing a 29% response rate.

Respondents were asked to reflect on a workplace change which occurred in the 12 months prior. This research study measured the reality of respondent's experiences of actual workplace change undertaken within their university and allowed for the formation of an important point of comparison with the provisions for employee

participation in workplace change as espoused in the analysis of enterprise agreements.

### 1.5.3    Practices for Participative Workplace Change: Participant Interviews

The third methodological stage involved undertaking 20 Semi-Structured Interviews drawn from amongst a (self nominated) sub-sample of the 170 respondents to the Attitudinal Survey. The purpose of the interviews was first, to allow participants to reflect on the results of the Attitudinal Survey and provide their reasons for the findings, particularly findings which pointed to perceptions of fairness/unfairness or participation/lack of participation. Second, given the experience of the interviewees with organisational change, the interviews also aimed at gauging the sorts of change management practices which might feasibly incorporate employee participation and organisational justice.

### 1.6    Limitations of Scope of Research

Clearly, like most studies, there are a number of limitations in the scope of the research undertaken within this thesis that need to be reported. Firstly, the research is undertaken within the context of the Australian HE sector, and with particular reference to recent change (between 1997-2006). Any findings made in this thesis will in turn be limited to the 'snapshot' of events which may not be typical of any one university. Further, the findings are limited to observations in universities and are likely not generalisable to other industries.

Second the survey pool was limited to those staff directly involved in workplace change by virtue of their roles on university senior executives or union branch executives. Whilst they may be in a good position to answer to change management practices in their organisation, it is a limitation of the study that a broader pool of staff were not surveyed. The numbers were restricted due to resources and time but a wider study of HE staff is clearly a recommendation for future research in the area.

## 1.7    Overview of the Thesis

The thesis is organised into 10 chapters, a bibliography and appendices. This chapter has dealt with the introduction to the research and its methodology. Chapter 2 explores, through a review of the international literature, the issues relating to employee participation. The chapter examines participation in decision making across the spectrum of participation from participative management to industrial democracy. The concept of employee participation in the Australian industrial relations system, and specifically the Australian HE sector, is also considered.

Chapter 3 moves the discussion on employee participation into the broader topic of workplace change. The chapter explores issues relating to resistance to change and processes that have been suggested to ensure effective management of workplace change. The chapter makes the argument that participation is a precursor to successful organisational change. Finally, the chapter considers workplace change in the context of the Australian HE sector.

Chapter 4 explores the concepts and research relating to organisational justice. The forms of procedural justice, distributive justice and interactional justice are considered as is the context in which this theory can be used as a means of providing a framework to assess the issues of facilitation of change and fostering of participation from both a management and employee perspective. The chapter makes the argument that organisational justice is a precursor to successful organisational change and notes that the sparse literature on organisational justice in the Australian HE sector indicates a research gap.

Chapter 5 details and justifies the use of the research methodology adopted to explore the research questions contained in the thesis. As indicated above, the research methodology involves an assessment of three research questions featuring a Longitudinal Study, an Attitudinal Survey and Semi-Structured Interviews. This three fold approach is undertaken in order to provide for breadth and depth of analysis as well as methodological and data triangulation through multiple lines of enquiry.

Chapter 6 describes the findings of the Longitudinal Study undertaken of the provisions for employee participation in workplace change within the EBAs of the Australian HE sector. This chapter examines the degree and form of employee participation within the workplace change provisions of the 37 public universities for academic and general staff and considers the manner in which the degree and form has changed over the last twenty years. The chapter reports that whilst the sector is making provision for the participation of employees in the management of workplace change, there has been a decline in the degree of participation and a change in the form of participation.

Chapter 7 explores the findings of the Attitudinal Survey undertaken with management and union representatives in relation to employee participation in the management of workplace change within the Australian HE sector. The chapter reports that there is significant divergence between management and union representatives in the sector in their attitudes towards employee participation, workplace change and perceptions of fairness.

Chapter 8 explores the findings of the Semi-Structured Interviews undertaken with 20 respondents drawn from a sub-sample of the Attitudinal Survey. The chapter reports that despite the findings of divergence between management and union representatives in respect of participation, change and fairness, there is evidence of convergence around dimensions of organisational justice as well as organisational practices that could produce fair participative workplace change in the Australian HE sector.

Chapter 9 brings together the findings of the three research questions and articulates the underlying themes of provisions for participative workplace change, perceptions of participative workplace change and practices for participative workplace change. This chapter presents a comprehensive discussion on the key findings of the thesis including the decline in the provision of participative workplace change, the divergence in perceptions of fairness and the convergence around dimensions of justice and organisational practices that facilitate workplace change and foster employee participation. The chapter also explores the relationship between participative workplace change and collegiality within the Australian HE sector. The

chapter also presents implications for theory and practice arising from the research findings.

Chapter 10 concludes the thesis by discussing the contributions and limitations of the research findings as well as highlighting possible future research that could be undertaken to further advance the contribution to knowledge presented in this thesis. The chapter summaries the case for participative and fair workplace change and concludes with an assessment of what constitutes fair workplace change in the Australian HE sector.

## 1.8    Chapter Summary

This chapter has laid the conceptual, theoretical and research foundations for the thesis. The concepts of employee participation within workplace change as well as an organisational justice framework and an Australian HE context have been identified and discussed. Within these three themes a research problem and an associated research approach have also been identified.

Further to these frameworks, associated research questions and hypotheses have been articulated and an overview given for the methodology of the three research studies. The chapter has then described the layout for the thesis, explaining the basis of each thesis chapter. Chapter 2 will now commence the discussion of the research literature which continues into Chapter 3 and concludes in Chapter 4.

# CHAPTER 2 - A REVIEW OF EMPLOYEE PARTICIPATION

## 2.0    Introduction

As explained in Chapter 1 this thesis examines the extent to which employee participation in workplace change delivers organisational justice within the Australian Higher Education sector. This chapter reviews the Australian and international literature in the field of employee participation. The key theme explored through this chapter is the contested range of definitions of participation and the various rationales for its use in the workplace for decision making in a change management context.

The chapter notes that employee participation is standpoint sensitive and this means there is a spectrum of definitions reflecting at one end, those who view employee participation as a means of enhancing productivity (at the expense of employee interests) to those who view it as a means of enhancing workplace democracy. Similarly, participation can also be described as lying on a spectrum from provision of information through to joint decision making.

The literature encompassed in this Chapter is broad and as such a number of clear themes have been considered. The chapter considers definitions, frames of reference, categories, rationales and perspectives of employee participation. It then moves to discuss three key issues: the nature of employee participation, the degree of employee participation and the form of employee participation. The chapter then specifically considers participation in workplace change before turning to change management in the Australian HE sector.

## 2.1    Definitions and Theories of Employee Participation

Defibnitiona and theries of employee participation was a central tenet of the Hawthorne studies (Mayo, 1933) which linked employee productivity to communication between employees and their employers. Apart from productivity, participation has been heralded as a means of self determination. For example the

Federal Department of Employment and Industrial Relations (DEIR, 1986) report 'Industrial Democracy and Employee Participation' depicted participation as:

> Employee participation describes the processes and practices for achieving a greater degree of employee influence in individual enterprises and workplaces. It is an essential part of the process of achieving industrial democracy when it enables employees to have a real influence on decision making which relates to matters affecting their working lives (DEIR, 1986).

More recently employee participation has been revived with a greater emphasis on teamwork accompanied by evidence that greater cooperation of employees leads to greater productivity benefits (Doucouliagos, 1995). Participation can take a number of forms and in the modern workplace it includes quality circles, quality of worklife programs, work teams, labor-management committees or even suggestion schemes (Levine and Tyson, 1990). In this sense participation can be seen as a set of programs involving workers and managers.

It has also been described as encompassing a spectrum ranging from minimal to complete employee involvement. (Pateman, 1970). In Pateman's typology, minimal participation was described as (at one end) employees playing a very limited role in the workplace whereas (at the other) complete participation involving employees operating as partners in workplace processes. Fenton-O'Creevy (2001) also saw participation of employees as lying on a spectrum: 'taken to mean the exercise of employees of influence over how their work is organised and carried out. Such influence may be quite weak as, for example, achieved through attitude surveys, or it may be relatively strong as, for example, exercised in semi-autonomous teams' (2001:25). The notion of a spectrum of participation is explored in more detail in section 2.2 in a consideration of the debate over the degree and form of participation.

From their review of the literature, Dachler and Wilpert (1978) identified four major theories for participation: democratic, socialist, human growth and development, and productivity or efficiency. These theories of participation were reconceptualised by

Teicher (1992) who categorised them into four groups: psychological theory, organisation theory, political theory and sociological theory.

According to Teicher (1992), psychological theory encompassed the notion that, 'people apply more effort and intelligence to tasks which they find psychologically satisfying'. Organisation theory was described as where an, 'organisation structure is a major factor in determining communications and decision making processes'. Political theory encompassed the view that, 'a management decision is justifiable when all persons affected are allowed to participate either directly or indirectly'. Finally, sociological theory predicted, 'the prerogatives of management increasingly will be challenged by a workforce which is better educated and has far greater expectations of employment than preceding generations' (1992:487-488).

Psychological and organisation theory consider the role of the employee or the role of the organisation in considering the nature of participation and in turn the expected benefit arising from the participation. Alternatively, political and sociological theory consider the wider context of the decision making process and the motivations of either management or employees in seeking to participate in organisational decision making processes.

These different theories about the nature of employee participation are fundamentally contradictory in nature which is due to the differing value systems underlying employee participation. These different value systems are captured well by Fox's (1974) discussion of different views in which employment relations can be perceived.

There is no single definition of employee participation and from the discussion above it is clear that the term has been used flexibly and for a range of purposes by governments and employers over time. This diverse approach reflects the different frames of reference by the users of employee participation. As perceptions of employee participation differ, the discussion on participative workplace change must be situated within a discussion of frames of reference. The following sections consider employee participation from the broader frames of reference: unitarist, pluralist and labour process and other perspectives. The discussion is not meant to be exhaustive

but rather illustrative of the complexity of defining a topic when its underlying paradigm is contested.


## 2.2    Unitarist Perspectives of Employee Participation

The key feature of the unitarist approach to employment relations is the assumption that all participants within the organisation seek the same goals, and that those goals are corporate rather than personal (Fox, 1974). The logical endpoint of striving towards these common organisational goals has been described as goodwill and co-operation between employees and their managers (Thompson and McHugh, 1995). However this applies only when employees and their employers actually share the same goals. Indeed, the unitarist approach is often seen as requiring the subordination of the goals of employees to the goals of employers. The strength of the role of management in the unitarist organisation arises from its hierarchical structure, which is argued to legitimise the decision making authority of those in management roles (Fulop, Linstead and Frith, 1999). This focus on senior managers who determine the agenda and strategy of HRM has been referred to as managerialist in orientation (Clark, Mabey and Skinner, 1998). The key unitarist organisational values include 'obedience, trust, mutual respect, paternalism, discipline, command and control' (Fulop et. al., 1999:128).

Power is construed negatively in a unitary structure because it is usually associated with conflict and thus inconsistent with well-intended management practice (Forster and Browne, 1996). Political behaviour or industrial action by employees within organisations tends to be viewed as unacceptable resistance which can threaten business interests and which should be challenged (Badham and Buchanan, 1996). Such resistance is seen as a breakdown of management authority and organistional stability (Velasquez, 1988). Given the reliance on cooperation, it is not surprising that unitarist management literature tends to downplay the reality of workplace politics. Unions have little role in the unitarist environment as they are seen to divide employee loyalty and introduce conflict (Fox, 1974).

Employee participation from a unitarist perspective implies a top-down or managerially imposed agenda. Such an approach would feature a limited scope for employees to make decisions within the workplace and operate in a tightly defined decision making environment. The exception to this would be in circumstances where workplace goals are truly shared by employers and employees as being equally important. In seeking those goals together, it is likely that a cooperative approach to participation will be taken. The idea of a United States human resources approach, which tried to manipulate employees to bind them into the organisation and insulate them from unions and their approach, differs from old fashioned paternalism. The different aspects of United States human resource strategy with regards to quality circles and consultative committees have changed in the last fifteen years as a much more cost driven style of management now embraces concepts such as staff engagement (Kochan, Katz and McKersie, 1986; Folger and Cropanzano, 1998).

A model of responsible autonomy (Friedman, 1977) provided a means to control production through the involvement of employees. Similarly, the period of bureaucratic control sought to provide a range of benefits to employees (job security, promotion) in exchange for increased production and loyalty.

By the 1980s, Walton (1991) had noted a shift from control models to commitment models in HRM practice of US workplaces. Others saw the dialogue of more progressive management ideas, particularly those attributed to HRM, as attempting a sleight of hand, by at once offering a vision of intelligent, empowered employees voluntarily contributing to organisational success, while not providing those employees with discretionary powers or freedom of action required to bring about the vision (Aktouf, 1992).

### 2.2.1 Participative Management

When considered in terms of the IRG (1976) scale for employee participation, participative management would be located at levels 1 to 3 where the participation by employees is more limited and generally occurs more in situations where managers provide information or identify clearly defined opportunities for employees to participate in organisational decision making.

Marrow (1957) established the theory of participative management which he defined as, 'the notion that employers can use workers to enhance the operational effectiveness of an organisation' (1957:36). Marrow had studied Lewin's 1947 work on resistance to change and sought to apply the concepts of participation as it related to change in his US manufacturing company. He found that employee productivity consistently increased when employees were allowed to make meaningful decisions about their own work. His research provided a foundation on which the benefits of participation, to both management and employees could be further explored.

Whilst participative management has a strong degree of support from many management practitioners, it has been criticised as being merely a tool utilised by management to dominate employees and one which falls short of notions of industrial democracy or worker control of the decision making process (Lansbury and Wailes, 2002). The authors also found that in many instances there was an apparent unwillingness by managers to embrace increased employee participation in workplace decision making. This resistance was also found by Gollan and Markey (2001) who wrote:

> Studies have shown that employees are willing to take on increased responsibility at work, but that this has not resulted in a greater willingness by employers to trust or give employees more participation and involvement in organisational decision making (2001:7).

The findings of Lansbury and Wailes (2002) and Gollan and Markey (2001) highlight the limitations in developing employee participation within organisations when there is a lack of management support to advance the concept. Parnell and Bell (1994) considered the willingness of managers to utilise employee involvement schemes within their workplaces and developed what they called the 'propensity for participative decision making scale'. They described this scale, as featuring two internal categories of organisational effectiveness and managerial power,

> propensity for participative decision making refers to the predisposition
> of a manager to employ participative decision making techniques within

the organisation…it is concerned with a present or prospective manager's proclivity for this partial shift in control and responsibility (1994:519).

These two categories of organisational effectiveness and managerial power provide a framework in which to consider how and why organisations consider employee participation and the rationale for how employee participation can differ in both the degree and form across various organisations.

The scale developed by Parnell and Bell (1994) identified three categories for managers' propensity for participative decision making. These were: 'low participation', where there is a combination of low organisational effectiveness and reduced managerial power; 'moderate participation', where there is either a combination of low organisational effectiveness and increased managerial power, or high organisational effectiveness and reduced managerial power; and 'high participation', where there is a combination of high organisational effectiveness and increased managerial power (1994:522).

The relevance of these three categories to the views explored in this thesis is that the degree and form that employee participation can depend on both the prevailing organisational climate as well as the past and future propensity for managers to accept and facilitate employee participation in the decision making process.

## 2.3    Pluralist Perspectives of Employee Participation

Fox (1971, 1973, 1974) is generally credited with having distinguished between unitarism and pluralism within organisational settings. Rather than envisaging the workplace as a unitary structure, Fox described workplace participants as coalitions of individuals and groups with divergent interests who agree to collaborate in such ways as to enable each to pursue their goals.

Pluralism challenged the managerial prerogative as espoused by the unitarist vision through framing managers as decision makers rather than those with absolute

organisational power. Pluralist decisions represent compromises, reached between participants within the workplace and in the context of the prevailing labour and economic circumstances. Pluralist accounts of organisational life acknowledge the pursuit of interests, the development of political behaviour, and the reality and ramifications of the imbalance of power (Pfeffer, 1992). Political behaviour, or industrial action in a pluralist environment is not therefore a challenge to management authority but rather then exercise of power by one workplace participant in competition or negotiation with another. Unions exist beyond the workplace so they are in effect a parallel power structure (Badham and Buchanan, 1996).

Through their role of facilitating employee participation, Fox (1974) maintained that unions play an important role in readjusting or balancing power in the workplace. Fox acknowledged that the role of trade unions as a:

> manifestation of one of the basic values of competitive, pressure-group, democratic societies of the Western model – that 'interests' have rights of free association and, within legal limits, of asserting their claims and aspirations'(Fox, 1974:262).

Employee participation from a pluralist perspective implies a broader scope for employees to participate in decision making. The sorts of structures required for participation would reflect the diversity of viewpoints expected in a workplace. Committee structures including union representatives and a range of employees and their managers are a likely combination. In this sense, the pluralist approach to participation is reflected in the reality of the modern workplace.

### 2.3.1 Employee Empowerment

When considered in terms of the IRG (1976) scale for employee participation, employee empowerment would likely rate in middle and higher stages of the scale where the participation by employees is more developed than participative management and whilst still occurring in defined opportunities for employees to participate in organisational decision making their capacity to influence decisions is greater.

Conger and Kanungo (1988:473) defined empowerment as 'the process by which a leader or manager shares his or her power with subordinates'. They further described three major benefits gained through the utilisation of empowerment within the workplace: firstly, the belief that empowered workers bring about increased organisational effectiveness; secondly, that the sharing of power with workers results in a more effective distribution of power within the organisation; and thirdly, that empowerment is an effective technique to build and maintain workplace teams.

These benefits can be seen to be distinguished from participative management in that they convey a far more active sense of organisational or workplace engagement rather than merely being involved or consulted in the decision making process. Rather than just an approach that maximises productivity there is also a focus on maximising morale and commitment with the organisation. This contrast is important because it directly articulates the greater degree of autonomy, and in essence organisational power, that arises when employees are empowered to make their own decisions as opposed to being able simply to participate in the process.

Empowerment is also a key concept addressed by Lawler's (1988; 1999) research on employee involvement in decision-making and the enhanced contribution that it can make to organisational processes. In other words Lawler explored the manner in which decision making processes can change when employees are empowered to make and implement their own decisions.

In an assessment of the Australian industrial relations system, McBride (1996) described the benefits that employee empowerment can have in ensuring increased efficiency and productivity within workplaces:

> The empowering of workers has been found to have significant cost savings. Some of these savings comes from the elimination of part of the overhead costs implicit in the traditional hierarchical organisation of the firm. Specifically, the empowering of workers eliminates the need for all those middle managers and first line supervisors whose

role in the Taylorist firm is essentially one of commanding and controlling these same workers (1996:44).

The distinction between empowerment and the concepts of participative management relates to not only the degree of participation but also the relationship to the issues of power and authority. Empowerment supports the notion that management or the organisation makes a proactive choice to share power with employees rather than the use of employee participation solely for the purpose of enhancing productivity. Savery and Luks (2001) described this distinction as follows: 'The purpose of employee empowerment is not only to ensure that effective decisions are made by the right employees but to provide a mechanism by which responsibility for those decisions is rested in individuals and teams' (2001:99). In other words the decision to empower the workforce is an active strategy that sees decision-making moved from management into workplace units.

To empower suggests that power needs to be shared with workers. The notion that there should be a greater degree of empowerment of employees during periods of change in order to better facilitate the organisational change was advocated by Conger and Kanungo (1988:477) who wrote:

> organisations that experience major changes or transitions have an increased likelihood of their employees experiencing powerlessness…organisational changes may seriously challenge employees' sense of control and competence as they deal with the uncertainty of change and accept new responsibilities, skills, and guidelines for action and behaviour (1988:476).

Employee participation in change is the key theme of this thesis and is taken up in more detail in Chapters 3 and 8.

## 2.3.2 Industrial Democracy

When considered in terms of the IRG (1976) scale for employee participation, industrial democracy can be considered in terms of the latter stages of the scale where

participation is well developed with employees afforded either joint access to decision making or employees have complete influence in respect of organisational decision making. Industrial democracy is where the form of employee participation features direct or shared control over workplace decisions and is generally regarded as providing benefits to both employees and employers (Pateman, 1970). Under industrial democracy, not only are employees consulted, they collectively make business decisions. Indeed, a decision made only by managers would not be regarded by the workforce as legitimate in an industrial democracy frame of reference.

This chapter has made the distinction between differing forms of employee participation and the manner in which they seek to provide access to participation within a decision making process. A similar distinction is made in relation to the concept of industrial democracy by Davis and Lansbury (1986) in their citing of a Federal Government policy discussion paper in the mid 1980s.

> Industrial democracy is the ideal, the goal to work towards…employee participation describes the processes that leads to a greater degree of employee influence and is an essential part of the process for achieving industrial democracy (1986:6).

The unresolved question in this power relationship is how to achieve the balance between the role of managers and the role of employees. On the one hand management is seen as having the primary role to manage the organisation or facilitate workplace change whilst on the other hand employees are seen as being appropriately empowered or having their involvement fostered in the workplace (Morgan and Zeffane, 2003).

Kleiner and Chen (1997) took up this concept in exploring the notions of resistance to change and the extent to which participation in the process is an effective management tool to address such resistance. They also made the link on the importance of leadership in initiating the change proposal and engaging employees in the process. They wrote 'leadership for change begins with an effective participative management team, the 'directive from the top' normally will not be received well and, therefore, faces much more resistance that often will hinder the execution of the

decision' (1997:318). In other words, when decisions have been reached through a broader cross section of employees participating in the process they are likely to be more positively received.

## 2.4    Labour-Process & Post-Modern Perspectives of Employee Participation

Related to the labour process perspective is the radical perspective, introduced by Fox (1974) as a critique of pluralism. Fox (1974) argued that the radical perspective differs from pluralism in the sense that the interests of the bourgeoisie are not seen as legitimate: Any strategy by a class-conscious proletariat to take up the class war against the bourgeoisie could hardly be reconciled with the pluralist notion of mutual survival (Fox, 1974:274). Fox's (1974) notion of trust based relations in organisations tied together the concepts of trust with discretion. He described the roles, rules and relationships of work as: the greater the discretion allowed to the worker over the labour process, the greater the trust in management.

The collaborative nature fostered by employee participation as espoused by pluralism is criticised in the radical perspective as reinforcing the strength and dominance of the ruling classes. This is because the radical view is underpinned by the belief that a disparity of power exists between those who own the means of production and those who depend on the means of production for their survival. This power is expressed directly in the workplace as control and direction over the production process, and indirectly in the hierarchical structures of control and the norms and values in the workplace.

The sociological theory of employee participation can be related to Fox's (1974) radical perspective which is exemplified since the 1980's by labour process theory which is a sub-set of radical theory. This theory argues that employee participation in the workplace occurs in a context of power inequality, where participants attempt to resolve issues according to rules designed to maintain existing power differentials. These labour process perspectives share the notion that division in society and in the workplace is based on embedded structures of power and economic distribution which characterises capitalist society (for example Braverman, 1974; Edwards, 1979; Clegg

and Dunkerly, 1980; Thompson, 1983; Knights, Willmott and Collingson, 1985). Thus, employment relations are shaped not only by the parties but by broader societal forces such as industrial relations legislation which 'sustains the power of capital, or relations of social dependence in the community which are transferred to the workplace' (Thompson and McHugh, 1995:145).

Labour process theorists posit that management can realise the full value of labour power through implementing forms of managerial control over workers. Some of these forms have involved the fragmentation and deskilling of work in an effort to decrease their reliance on the discretion of workers exercising their labour (Braverman, 1974). Others (for example Friedman, 1977) note that Taylorising the work process is not the only method to shift control to managers.

Post modern accounts of what can be regarded as the organisation, view relations as multiple, dynamic and occurring across transient boundaries (Palmer and Hardy, 2000). Interaction between workplace participants occurs through a dialogue which occurs through the interactions of the workplace actors. Hardy (1991) argued that the workplace is a site of struggle in which different groups compete to shape the social reality of that organisation in ways which suit their own interests. This is a highly political process in which not all voices are heard and not all voices are heard on equal terms. As a result of this imbalance, regardless of the mechanisms in place to foster employee participation, the workplace decision making processes generally favours management.

### 2.4.1   Employee Participation and Management and Union Relationships

An assessment of the impact of employee participation on management and union relationships is fundamental to the arguments contained in this thesis. In exploring management and union relationships further in this thesis, a pluralist approach has been adopted that recognises the role of unions participating within the workplace and the decisions made relating to workplace practices.

Conger and Kanungo (1988) argued that the role of unions in undertaking a direct form of participation for employers both legitimised their role in the workplace at the

same time as providing an enhanced basis to the relationship with management. The degree to which management and union relationships can be enhanced through a greater degree of employee participation was also explored by Atchison (1991:57) who saw it as core to the establishment of a meaningful employment relationship.

The management-union relationship was also explored in detail in Schwarz's (1990/1991) key research into the attitudes of management and unions on the nature of participation in the decision making process. This literature contributed to the nature and role of trade unions in the participative decision making debate in a broad organisational context and found that the facilitation of employee participation was the primary role for unions, or representative bodies, within a workplace setting. Whilst most workers valued the opportunity to participate, it was a role that needed to be performed by experienced professionals for the participation to be regarded ad effective by both managers and employees.

The relationship between union and management relations, in a context of participation, can also be considered in the context of the nature of the participation and the mechanisms by which it is undertaken. This approach was considered by Juravich and Harris (1993) who examined attitudes of employers and union representatives towards participative decision-making schemes, such as quality circles, and analysed the positive and negative attitudes towards such programs. They found that where there were mechanisms for unions to access employee participation schemes then the relationship between management and union representatives was positively enhanced.

In an Australian context, employee participation did not advance to the level or manner that was expected or desired through the 13 years of the Federal Labor Government. This was despite a reformist agenda of the government, the collaborative nature of the industrial relations environment through the various Accords and the release of a government Green paper on 'Industrial Democracy and Employee Participation'. Despite the apparently strong interest in models of participation and involvement there is a degree of comment in the literature that suggests that this was a result of union resistance to such schemes. Alternatively, employers countered that employee participation should be limited to issues surrounding occupational health

and safety and superannuation. To some extent this was a much an issue of perception and labelling of employee participation as it was an attempt to challenge unitarist forms of management control (Gollan and Markey, 2001).

Brown and Ainsworth (2000:12) described union opposition to employee participation when they wrote, 'it has been argued that in the 1980s and early 1990s that the unions conceded the terminological debate over what constituted employee participation and industrial democracy'. Lansbury, Davis and Simmons (1996) further elaborated on this when they wrote that unions,

> were less concerned with the label and more with the substance. Their focus remained on the influence of employees exert on decision making at work. Crucial are employee's rights and their actual experience of consultation and participation. (1996:31).

In his assessment of labour relations issues, Buchanan (1996) cited data from the 1995 Australian Workplace Industrial Relations Survey (AWIRS) survey and argued that, 'a good indicator of how managers treat their employees is revealed in the way they manage change' (1996:78). His analysis of the AWIRS data suggested that despite managers identifying themselves as participative, the responses of employees and unions indicated that decisions about workplace change were inevitably made by management and done with minimal consultation. Related to this issue was the fact that some employees did not wish to participate in decision making processes to the same degree as other employees.

The question over the influence of employees in the workplace and the role of participation is important to the nature of how employee participation schemes developed in Australia. Increased employee participation may be viewed by some as a weakening of managerial prerogative. Equally, many unions perceive increased employee participation as a threat to their role as the representatives of employees within the workplace. Whilst core to fostering greater input of employees into workplace decision making, the issue of employee participation schemes, are likely to challenge the role of unions as the representatives of employees. Having identified the

definitions and theories of employee participation the following section will consider the broader rational for employee participation.

## 2.5     The Rationales for Employee Participation

The rationales, or the benefits of employee participation have grown over the past 30 years from the change management literature from writers such as Lewin (1947, 1951) and Coch and French (1948). These early researchers demonstrated the value of engaging the participation of employees in organisational change or organisational development and articulated the benefits that could result through greater engagement and in turn less resistance or greater acceptance of change.

In addition to Lewin (1947, 1951) and Coch and French (1948) subsequent researchers have argued the merits of engaging employee participation in workplace decision-making. Despite the sometimes contested terrain over employee participation in workplaces, there has been growing research evidence pointing to a range of benefits to organisations arising from participation. These in turn have given rise to a range of rationales for the instigation of participation schemes. In exploring the rational for employee participation this section will consider three arguments advocated by Summers and Hyman (2005): the economic, social and governmental rationales.

The economic rationale relates to improving the performance of the organisation through financial participation, improved company performance, or reduced organisational costs arising from employee participation. The social rationale relates to a consideration of employee participation in the work-life of the employee which includes the issue of quality of working life, equality within the organisation, and the role of unions in terms of employee participation. The governmental rationale takes a perspective broader than the organisation and considers the impact of employee participation in the context the wider community through a greater workplace experience by employees (Summers and Hyman, 2005).

The rationale for participation can also be considered further in terms of the specific relationship to organisational decision-making as explored by Ashmos et al (2002). They identified the positive impacts that employee participation has across the context of the organisation in regards to enhanced communication, the facilitation of decision-making and the increase in overall levels of employee commitment. The specific focus of Ashmos et al (2002) was that employee participation enhances the operation of the organisation when there is 'influence sharing between hierarchical superiors and subordinates' (2002:197).

The nature of employee participation within an organisational context was further elaborated by Wilkinson, Dundon and Grugulis (2007) who argued in support of the role of participation as a means of building and maintaining the dynamic employment relationship rather than simply a means of enhancing productivity as would be the case for other factors of production. Wilkinson et al (2007) describe such a rationale for employee participation in the workplace as 'increasing understanding and commitment from employees and securing an enhanced contribution to the organisation' (2007:1279).

Alutto and Belasco (1972) identified a series of themes to explain the rationale for participation that in turn has become an established basis for an approach in which participation can be categorised. Their themes sought to explain the manner in which participation takes place. The first dealt with the importance of participation as the basis for greater acceptance of an organisational decision. This theme is consistent with the earlier work of Coch and French (1948) who noted the importance of participation as a means of addressing resistance to change through the engagement of employees in the decision making process.

The second of the themes was that of the perception that participation creates a greater sense of engagement of employees in organisations which in turn leads to an increased capacity to facilitate organisational outcomes. In other words if employees have been engaged in the decision making process then when there is a need to refine or revise these processes, the fostering of the greater level of engagement will result in the support for employees for revised operations. This issue is explored in more detail

in the analysis of employee participation in workplace change and taken up again in Chapter 3.

The third of the themes in exploring the rational for employee participation is that it results in increased satisfaction of employees which in turn leads to greater productivity and increased morale. Their work builds on earlier research by Pateman (1970) and argues in favour of the development of a more engaged workforce through the fostering of employee participation.

Another academic contributor to the development of rationales for employee participation in business decisions was Lawler (1988) who identified three approaches to describe the benefits of employee participation. Firstly, the 'parallel suggestion involvement approach' whereby, 'employees are asked to problem solve and produce ideas that will influence how the organisation operates' is a mechanism to directly involve employees in decisions which affect them. Secondly, the 'job involvement approach' which, 'focuses on creating individual jobs that give people feedback, increases their influence over how the work is done, requires them to use a variety of skills, and gives them a whole piece of work' represents an approach which allows employees to enhance their worklife experience. And thirdly, 'high involvement approach' which, 'tends to structure an organisation so that people at the lowest level will have a sense of involvement not just in how they do their jobs or how effectively the organisation performs, but in the performance of the total organisation' (Lawler, 1988:197-200)

These three approaches provide a contextual framework in which it is possible to consider the rationale for employee participation in workplace change. The parallel approach considers employees as having a direct capacity to influence their workplace. The job involvement approach considers the degree to which employees are in turn able to influence their own role. The high involvement approach considers the combination of both of these approaches and the broader impact of the employee on the wider organisation as a whole.

Employee participation strategies have evolved to dominate as a form of proactive human resource management and industrial relations strategies. For instance, Davis

and Lansbury (1989:34) explained that the importance of management-employee consultation at the workplace lies in the opportunity for employees to discover more about workplace issues and to influence their determination. Arguably, this represents an organisational approach that fosters employee participation supports management by creating a more participative and empowered workforce (Dunphy and Stace 1988).

Stanton (1993:19) identified the rationale for employee participation as enhancing the acceptance of change with his assessment of four key benefits evident in the participation literature that comprised:

1. Increased employee satisfaction
2. Higher employee morale and motivation
3. Improved organisational performance and effectiveness
4. Greater acceptance by employees of organisational change

These themes are consistent with the arguments that the fostering of employee participation can not only operate as a means of enhancing the productivity and flexibility of the workplace but that it can in turn do so through enhancing the level of engagement with the workforce.

This issue relating to the effectiveness of employee involvement and participation in the workplace was explored by Bertone, Brown, M, Cressey and Frizzell (1999) who identified four broad perspectives of effectiveness of participative practices. The first perspective is economic and considers the impact on increased production and efficiency of the organisation. The second perspective is political and considers the regulatory and labour environment of the workplace and the nature of the industrial legislation that relates to the management and regulation of the workplace. The third perspective is socio-psychological and considers engagement, motivation, and willingness to contribute to the workplace or in other words the nature and effectiveness of the employment relationship between the organisation and the employee. The fourth dimension is quality of working life and considers responsibility, discretion and status of employees and in turn their overall sense of engagement to the workplace.

Markey (2006) also discussed the arguments in favour of participation in an organisational context. Firstly, 'by allowing employees a voice in the workplace, participation may promote employee's sense of competence, self-worth and self-actualisation'. Secondly, 'employee participation has been advocated as a form of power sharing on the basis of democratic principles'. And thirdly, 'the case for employee participation has been upon the argument that it contributes substantially to organisational efficiency' (2006:344).

Similarly, Margulies and Black (1987) undertook a comprehensive review on the literature and theories surrounding participation and surmised that there eight major advantages that could be attributed to the use of participation in an organisational context. These eight advantages are as follows:

1. Greater understanding and acceptance of decisions by subordinates
2. Greater commitment to implement decisions
3. Greater understanding of the objectives
4. Greater fulfilment of psychological needs and therefore greater satisfaction
5. Greater social pressure on all members to comply with decisions
6. Greater team identity, co-operation, and co-ordination
7. Better means of constructive conflict resolution
8. Better decisions

It is evident from these advantages that again there is a consistency within the literature across the areas of enhancing employee engagement and workplace productivity as well as wider organisational benefits including enhanced participation and the acceptance of workplace change. In other words the literature almost supports a cumulative effect that arises from the benefits of employee participation.

Having explored the theories and frameworks of employee participation as well as considered them in the context of the rationale for employee participation this chapter will now consider the form of employee participation and then the form of employee participation in decision making.

## 2.6    The Degree and Form of Employee Participation

Within the debate over the theories and frameworks of employee participation, different degrees and forms of participation also underlie the argument. As has been discussed above in relation to unitarist and pluralist theories of employee participation, the degree of employee participation can range from nil or low level employee participation to high level employee participation or employee control. The forms of employee participation include financial, direct and indirect participation and are discussed in further detail in this section.

The first of these categories, financial participation, encompasses the situation where employees have some form of participation in the financial affairs of the organisations. The second of these categories, direct participation, can encompass a broad range of activities in terms of work life programs and social based activities. Thirdly, there is indirect participation whereby employees participate in organisational decision making which is the specific context explored in this thesis and explored in greater detail in the next section of this chapter (Summers and Hyman, 2005). The form of participation in decision making in this thesis focuses on indirect participation in managing workplace change.

A further aspect of participation in decision making besides the form of participation is how broad or narrow is the context of the issues under consideration. The extent to which the process of participation in decision making is formal or informal also needs to be assessed. These issues are captured in the literature which examines the six dimensions of participative decision making (Dachler and Wilpert, 1978; Locke and Schweiger, 1979; Cotton et al, 1988; Black and Gregersen, 1997). These six dimensions were well summarised by Black and Gregersen (1997) as: rationale; structure, form, issues, decision processes and degree of involvement. These dimensions of participative decision making are explored in the nest section.

## 2.6.1    Dimensions of Participative Decision Making

The first dimension argues that it is necessary to understand the 'rationale' for fostering participation in the decision making process. Black and Gregersen (1997)

identified two basic rationales for fostering employee participation that included a humanistic rationale which: 'argues that people have the right to participate in decisions that affect their lives' as well as a pragmatic rationale which, 'contends that participative decision making is an instrumental way to achieve higher productivity, efficiency, profits, or other valued organisational results' (1997:861).

The second and third dimensions of participative decision-making are 'structure' and 'form'. Dachler and Wilpert (1978) described the dimension of structure as involving a continuum from formal to informal, and the dimension of form involving a continuum of direct to indirect. These two dimensions are important to understanding the manner in which employees participate in decision-making, and will be further explored in the context of the Australian HE sector in more detail in Chapter 6.

The fourth dimension can be described as the 'decision issues' related to participative decision making. These issues concern how the nature of the decision impacts on the nature of the participation in the decision making process. They describe the types of decision issues as including: work and task design; working conditions; strategy issues; and capital and investment issues.

The fifth and sixth dimensions of participative decision making are the 'degree of involvement' and the 'decision process'. Black and Gregersen (1997) described the 'degree of involvement' as the extent to which employees were afforded the opportunity to participate in the decision making processes of the organisation whilst the 'decision process' was in essence the form in which the employee participated in the decision making and the manner in which they were able to impact on the decision making process.

Margulies and Black (1987) developed a model that integrates the last two dimensions: degree of participation and decision process, and described this as providing an effective framework in which to assess the nature of participative decision making within an organisational context. Their model explored the nature of the participation in decision making and they argued that, 'the degree of involvement could range from none to full participation for each of the five decision making processes' (1987:392).

In considering the role of employees in participating in decision making it is important to consider the roles that can be undertaken by employees. This concept was examined by Thompson and Kahnweiler (2002:273) who conducted a comprehensive analysis of the varying debates within the employee participation literature and identified four key themes in relation to the decision making processes:

- organisational systems and the environment must be created and maintained to support participation in decision making
- management must behave in ways that encourage and support participation in decision making
- employees must be motivated and have the skills to participate in the decision making process
- human performance and organisational outcomes will be different when participation in decision making occurs

These four themes provide a context in which to consider the nature of employee participation in decision making and the factors that need to be present for the participation to be effective for management and the employees. Further to this consideration about the roles of employees whilst participating in decision making, it is also necessary to consider the types and outcomes associated with participative decision making.

Cotton et al (1988) sought to examine the differing types of participative decision making and the different outcomes that may result. In determining what the distinct types of participative decision making were, they identified a classification system based on four distinct attributes: formal versus informal participation; direct versus indirect participation; the degree of employee participation; and the context of the decisions in which participation took place.

The Formal and informal designation of participation considered the context in which the participation of employees was formalised either through management agreement and workplace structures or whether it was more akin to other influences within the

organisation. Direct versus indirect participation was described as the manner in which the participation of employees took place and the extent to which it was via direct participation of employees or through indirect representation via a third party such as a trade union. Finally, the degree of employee participation considered the nature of the participation and the extent to which employees could influence workplace decisions whilst the context considered the nature of what decisions had they influence over (Cotton et al, 1988).

Formal versus informal participation as well as direct versus indirect participation built upon the earlier work of Patemen (1970) and Dachler and Wilpert (1978) and essentially provided a matrix approach along which the mode of participation could be assessed. Such a matrix oriented approach results in employee participation being considered in one of four dimensions: direct/formal; direct/informal; indirect/formal; indirect/informal.

Based this matrix oriented approach, Cotton et al (1988) identified what they believed were six distinct types of participative decision making as indicated in Table 2.1:

**Table 2.1: Degree of Employee Participation**

| TYPES OF PARTICIPATIVE DECISION MAKING | SUMMARY EXPLANANTION |
|---|---|
| 1.  Participation in work decisions | Focuses on the work, how it is organised, what is done and who does what |
| 2.  Consultative participation | Employees give their opinions, but typically do not have a veto |
| 3.  Short-term participation | Workers have complete influence but of limited duration and setting |
| 4.  Informal participation | Participation occurs informally through interpersonal relationships with managers |
| 5.  Employee ownership | Employees influence decisions through mechanisms such as boards of directors |
| 6.  Representative participation | Employees participate through representatives on boards or via unions |

Source: Cotton et al (1988)

These six types of employee participation provide an intersection of the degree as well as the context of the decision. In other words, the model represents a framework that allows for employee participation in decision making to be considered and evaluated based on the extent of influence the employee exercises in the decision making process as well as organisational context in which the decision is being undertaken.

This research allowed a closer scrutiny of the relationship between levels of participative decision making and associated outcomes. That is the extent to which the participation of employees in decision making is fostered and the subsequent outcome it in turn achieves within the organisation. The key findings of Cotton et al (1988) was that the satisfaction with, and the performance of, participative decision making schemes were reliant primarily on the degree and form of participation.

As such, and having considered the nature of employee participation, and identified a primary focus of this thesis on participative decision making, two key questions remain to be considered before considering employee participation in the context of workplace change. First, what degree of influence do employees have in participation schemes? And second, what form does participation take? These questions are considered in the next section which examines the degree and form of employee participation in decision making.

## 2.7    The International Research Group and Participative Decision Making

The notion of a scale of participation became the basis for the analysis of employee participation by the IRG (1976) through its key European industrial relations survey. The research undertaken in their project sought to better understand the nature of what was then seen to be the new and emerging concept of participation in the labour movement. The rationale for the study was described as follows:

> Pressures of social movements and labour organisations towards a
> more participative society have been growing. The new developments

promised to open up opportunities for a more equitable distribution of influence and power in organisations (1976:177).

At the time of their analysis the IRG (1976) identified an absence of effective understanding of the possible models of participation or the manner in which the participation could take place and set out to address this through three objectives within their research. These included: firstly, to undertake a, 'comparative analysis of the de facto organisational power distribution as generated by various de jure national industrial democracy schemes'; secondly, to undertake a 'comparison of outcomes and consequences of participation in terms of the organisations and people involved'; and thirdly, to, 'contribute with its scientific findings to the discussion about major issues of social policy' (1976:179).

This analysis identified a framework that encompassed a scale ranging from no employee participation through to complete employee participation. In other words, the model takes into account the degree of participation that indicates a level of employee control over decision-making rather than mere consultation or participation. The detailed stages in the model, as developed by the IRG (1976:203), articulating the degree of employee participation are identified in Table 2.2.

**Table 2.2: Degree of Employee Participation**

| IRG (1976) DESCRIPTOR | SUMMARY EXPLANATION |
|---|---|
| 1. No regulation | Where there is no workplace provision for employees to participate in decision making |
| 2. Information (unspecified) must be given to the group | Employee participation is limited to the provision of information from management |
| 3. Information (ex ante) must be given to the group | Employee participation is limited to the provision of information before a decision is made by management |
| 4. The right of initiative: group has the right to give an opinion about the issue on its own imitative | Employees are able to participate in workplace decision making by providing input and opinion |
| 5. Consultation of group obligatory: group must always be consulted prior to the decisions taken | There is a formal requirement that management must consult with employees in the workplace |
| 6. Joint decision making with group: group has veto power, must give its approval, the decision outcome is a result of bargaining | Employees participate in workplace decision making in conjunction with management with decisions made jointly |
| 7. Group itself has the final say | Employees are afforded full participation in workplace decisions and the capacity to make their own decisions |

Source: IRG (1976)

This degree of decision making model has formed the basis upon which nearly 30 years of research and analysis into the degree of employee participation has been undertaken. (Dachler and Wilpert, 1978; Nutt 1984; Cotton, Vollrath et al 1990; Black and Gregersen, 1997; Morgan and Zeffane 2003). The IRG scale was adopted for the present study and is further discussed in Chapter 5.

The notion of a scale or range for the degree of employee participation as developed by the IRG (1976) was similarly explored by Lansbury and Prideaux (1981) who identified four degrees of participation.

> Each describes a discrete phase in the process, ranging along a continuum of increasing control by employees or conversely, of diminishing control on the part of management (1981:328).

The four degrees of employee participation comprised: reporting, consultation, negotiation, and co-determination. The 'reporting' phase occurred when employees were advised by management of decisions that had already taken place. 'Consultation' featured management taking into account the views of employees before making a decision. 'Negotiation' arose where management and employees took differing positions in regards to an issue and reached agreement through compromise. Finally, 'codetermination' occurred where joint decision making took place within an organisation and where management and employees shared responsibility for outcomes.

The IRG (1976) also provided an assessment in respect of the form of employee participation that built upon the theoretical concepts of direct and indirect employee participation as described above. The IRG model featured four forms of employee participation. These four forms included: bi-partite participation (where management and unions as the representatives of employees interacted); tripartite participation (where management, unions and employees interacted); a dedicated consultative committee that was a standing forum for employee participation; or ad-hoc committees that were formed to consult on specific issues such as workplace change.

The degree and the form of employee participation in decision making are discussed in further detail in Chapter 5 as they form the basis of the scales used to assess the provision of employee participation in decision making within the Australian HE sector.

Having considered the differing manner in which the degree and form of employee participation can be conceptualised the following section of the chapter considers employee participation in an Australian context.

## 2.8    Employee Participation in an Australian Context

In order to understand the extent to which employees participate in an Australian context it is necessary to examine the development of this concept in an Australian industrial context.

One of the key landmarks in Australian industrial relations that enshrined the principle of employee participation in the management of workplace change was the Australian Industrial Relations Commission 1984 'Termination, Change and Redundancy Decision' (AIRC, [1984] 8 IR 34). This decision, now known as the TCR Decision, saw the incorporation into enterprise agreements of explicit clauses to guarantee employee consultation and participation in significant organisational change processes (Davis and Lansbury, 1989). Combet (2002), General-Secretary of the Australian Council of Trade Unions, described the importance of the outcome of this decision as 'the Australian Industrial Relations Commission first created a legal basis for formalised consultation at work in Australia' (2002:135).

Combet (2002) further described the impact of the change as far reaching in providing a foundation for ongoing employment participation in Australian workplaces. He described the TCR Decisions as providing a legal basis for employers to consult with their employees about a wide range of issues encompassing production, structure and technology.

Brown and Ainsworth (2000) described the TCR Decision as being a key development in relation to the participation of employees in the process of organisational change but one that in turn did not necessarily lead to any lasting increase in the participation of employees in wider workplace decision making. They stated that the TCR Decision provided employees with 'contingency powers' that they would be able to utilise in future periods of organisational change and further they provided access to key information sources that in the past they had not been privy to or had had to negotiate for.

The authors contrasted the access given to employees in workplace change decisions under the TCR Decision with the considerably greater employee participation afforded through the Federal and State occupational health and safety legislation (OHS) of the 1980s. In other words the OHS legislation provided a mandated basis upon which employees participated in decisions about workplace practices and were engaged as effective partners in the process whereas the TCR decision, whilst providing for employee participation, limited its applicability to a more consultative approach rather than a decision making approach.

Brown and Ainsworth (2000) further described the OHS legislation as providing a more developed form of participation by employees in workplace decision-making, albeit in a more limited area and argued that despite the fact that the participative requirements were relatively weak compared with other jurisdictions such as OHS, that participative practices were highly contested in the Australian workplace.

There was however no real enthusiasm for the incorporation of greater employee participation in organisational decision-making given the broader debate that was occurring in the Australian industrial relations context around award restructuring and enterprise bargaining which saw the introduction of negotiated conditions of work at the level of the enterprise rather than the sector or industry. Davis and Lansbury (1986) cited the preference by employers, as articulated through a Business Council of Australia report in the late 1980s, for a more limited form of employee participation as opposed to the desired position of the trade unions for a more developed form of industrial democracy:

Employee participation, with its primary focus on the individual employee, would contribute significantly to personal development, attitudinal change, healthy relationships at work, increased productivity and economic revitalisation. Industrial democracy, based on trade unions operating as the single channel of employee representation and communication and contractual or award based rights and entitlements, increases the risk of introducing further rigidities, conflicts, costs and counter-productive behaviour (1986:15).

This debate about the role of the employee in participating in the workplace and the extent to which this participation occurs at a direct level or in terms of an indirect union model gained greater attention following the TCR Decision where there was a statutory requirement for employee participation. Davis and Lansbury (1989) explored the extent to which employee participation in relation to workplace change was implemented following the TCR Decision in their analysis of the data recorded in the first of the Australian Workplace Industrial relations Survey (AWIRS) undertaken in 1990. This survey involved approximately 2,300 Australian workplaces, and in relation to issues of workplace change and employee participation, it found that whilst 86% of workplaces reported significant organisational change, over 75% of workplaces employees were not consulted or informed about the organisational changes which would affect employees (1989:114).

The subsequent AWIRS survey undertaken in 1995 found no real evidence of an increase in the use of employee participation in the process of workplace change although there was evidence of increased employee participation through union participation in enterprise bargaining and the development of greater workplace consultative mechanisms including consultative committees and joint bargaining teams (Bray, Waring, Macdonald and Le Queux, 2001:15).

The introduction of the concept of award restructuring in 1987 by the Australian Industrial Relations Commission was designed to move the national industrial relations system away from a more rigid award based centralised wage fixing environment to one where conditions of employment where negotiated between management and unions on an enterprise by enterprise basis. McBride (1996)

described this outcome in the context of the employment relationship when she wrote that: 'award restructuring explicitly sought the co-operation of labour and management' (1996:46).

The concept of co-operation between management and unions was consistent with the earlier debate about the use of employee participation as the basis for a more dynamic employment relationship. If award restructuring was to see conditions of employment negotiated between management and unions in a partnership then there would need to be an acceptance by management that employees, at least through their representatives, would directly participate in the negotiation of organisational decision making.

McBride (1996) further described the nature of an empowered workforce as one typified by: 'cooperation and accommodation between management and employees' (1996:42). The changes to the Australian workplaces brought about through the award restructuring process was clearly confirmed as moving the nature of workplace interaction to the level of the enterprise when the Australian Industrial Relations Commission released its statement of principles for enterprise bargaining (McBride, 1996).

The capacity to more effectively change programs within the workplace through the use and encouragement of employee participation was also articulated by Morgan and Zeffane (2003) who described the failure of many workplace change programs within Australia during the 1990s as a result of a lack of effective employee involvement:

> The frequency and scope of organisational change have precipitated a new focus on the nature, antecedents and consequences of trust for organisations and human resource management. The absence of consultation in Australian organisations indicates reluctance by management to initiate trust-building practice and, by implication, an assumption that employees cannot be trusted to make important decisions about their work activities. Involving people in decisions that affect them, enhancing the credibility of management and keeping

'surprising' changes to a minimum are all key recommendations for managing 'cynicism' (2003:69).

The scope for further encouragement of employee participation in an Australian context came to a relatively abrupt halt with the election of the Coalition Government in 1996 and the introduction of the *Workplace Relations Act* (1996). Combet (2002) described the adverse impact of the new legislation on employee participation as follows: 'The 1996 Workplace Relations Act unilaterally removed all provisions dealing with employee consultation from awards' (2002:137).

The extent to which the introduction of this Act shifted the focus for a participative workplace was described by Bray et al (2001): 'There is no longer any legislative requirement to consult with the workforce during the bargaining process for an enterprise agreement, or to establish a structure for any form of consultation during the operation of the agreement' (2001:15).

Despite the overwhelming support for participation in change, the industrial relations laws and political climate, driven by HR practices which individualise the employment relationship has, it is argued, led to less and not more meaningful consultation over change.

Having considered employee participation in the management of workplace change within the context of the Australian industrial relations system, it is necessary to explore the concept further within the context of the HE sector.

## 2.9    Employee Participation in a Higher Education Context

Currently, the Australian HE sector comprises 37 public universities. In the last 20 years there has been significant change in the HE sector in the Western nations of the United State, United Kingdom, Canada, Australia and New Zealand. As indicated in Chapter 2 this change has seen the creation of relatively new universities from what were traditionally colleges or institutes and a decreasing dependence on government funding (Webber, 2002; Healy, 2004). These universities find themselves operating

alongside well-established research intensive institutions that as organisations have been in operation for between 50 to 150 years. Some have argued the changes have also led to increased managerialism with its focus on productivity and efficiency (Bradley, 1995; Meek and Wood 1997).

This thesis contends that the HE sector, once known for its collegiality, might be considered an exemplar of participative practices but it is argued that given the import of 20 years of managerial reform, together with the changes in industrial relations aimed at removing collective practices, it is likely that the sector is not participative. This argument is continued in Chapter 4 and borne out in the discussion of findings in Chapter 9.

The HE sector has traditionally been seen as one that has a strong degree of employee participation within its decision-making processes, with this participation arising out of the collegial traditions of the HE sector in which universities were seen as communities of scholars and decision-making was a very pluralistic process (Bessant, 2002). However, the traditional collegial practices of the sector have been challenged during the last 20 years with increasing pressure on universities to operate in a more corporate manner.

Hardy (1991) described a major change management process within the Canadian HE sector and uses this to illustrate the relative merits of a pluralist approach, namely one where there are a multiplicity of decision makers, versus a unitarist approach, namely one where there is a narrow group of decision makers. Hardy (1991) described the tension in these approaches as:

> The pluralist perspective allows us to understand and manage conflicting decisions; whereas relying on the unitary model can be counterproductive. Where conflict [arising from change] is both a probable and legitimate occurrence, it is important to recognise the groups that will oppose the decision and take steps to negate their resistance (1991:133).

This shift from a more pluralist approach to management of the HE sector to a more unitarist approach has been highlighted due to the nature of the change that the sector has experienced particularly through the shift towards a more corporate and market driven approach to the HE sector. As such, whilst decision making has been perceived to be more flexible in the HE sector during the last 20 years, given the need to manage major change programs, the extent to which this has taken place over the last twenty years can be seen to have weakened.

This tension between the collegial nature of universities and the need to operate in a more corporate approach is also explored by Parker and Price (1994) who considered the nature of collegial versus managerial decision-making in a theoretical construct by contrasting the Weberian distinction between collegial and bureaucratic organisations. They described this distinction as follows:

> Collegial organisations, including universities, artistic associations, courts and legislators, are value rational, that is, they are directed toward an ethical or aesthetic principal for its own sake. Authority is derived from expertise, and because members' areas of expertise cannot be subordinated to others, equality is a defining characteristic of collegial organisations. In bureaucratic organisations, such as corporations or government agencies, authority is derived from ones position within a hierarchy (1994:918).

In other words the shift within the sector to a more hierarchical approach to management has had the consequence of bringing about a decline in the nature of participative workplace practices. This perspective was also supported by Connell and Savage (2001) who explored the relationship between collegiality and industrial relations was also explored in a US context. Their research analysed tenure, promotion and termination decisions based on the reliance on collegiality. They argued strongly in favour of the merits of collegiality as a means of enhancing participation within a workplace as it provided a clear commitment that employees within the sector were seen as active and equal participants in the decision-making processes.

The relationship between managerialism and participation was also considered by Currie and Vidovich (1997) whose paper examined the rise of managerialism and the impact that it has had on governance structures in universities. The research indicated that a key factor in the rise of managerialism is a decline in levels of employee participation. This relationship between managerialism and participation was also examined by Lafferty and Fleming (2000) who explored the impact of managerialism on the Australian HE sector. Their focus on corporate managerialism examined changed work practices amongst academic staff in the sector, and indicated that the entire employment relationship could be impacted upon by this change. They described the nature of the change as: 'The work done by academic staff in Australia has undergone a dramatic shift from its almost pre-industrial collegial character to a corporate-managerial world of mission statements and performance management' (2000:257).

This debate of the degree and form of employee involvement was also played out in the Australian HE sector with the introduction of the Higher Education Workplace Reform Requirements (HEWRRs). What was argued as being a desire to encourage greater employee participation in workplace decision-making was in essence a move to weaken the role of unions and move from a collective to an individual bargaining environment (Weller and VanGramberg, 2006).

The analysis provided above by Thompson and Kahnweiler (2002) provides a framework in which to consider the HE sector. It is evident from an assessment of the HE sector and its traditionally collegial decision making processes, the first and the third of their dimensions are seen to be met, namely well developed organisational systems to support employee participation and employees being motivated to participate in the decision making process. It is difficult to make an objective assessment about the extent to which the fourth category is met, namely that organisational outcomes are enhanced when employees participate, but given this is a core assumption within the sector we can assume that this category is met.

It is in the consideration of Thompson and Kahnweiler's (2002:277) second dimension, namely that, 'management must behave in ways that encourage and support participation in decision making', that the tension between managerialism and

collegiality emerges. The developments in the last 20 years within HE can be seen to have worked against this category with a move away from pluralist decision-making structures to more unitarist decision-making structures. This tension, in the name of perceived increased efficiency and productivity, lends support to the debate about what form of decision-making should operate within the sector into the future.

This issue of the preparedness and willingness of management to put in place systems and processes that support employee participation in organisational decision making is also explored by Tesluk et al (1999) in their consideration of participative work environments. They described the importance of the role of management in fostering employee participation as follows:

> When top management believes that employees have the knowledge and skills necessary to improve organisational performance, they are more likely to offer opportunities for participation through the employee involvement process. Also, senior managers who are committed to a participative approach are more likely to provide the organisational supports necessary for employee involvement systems (1999:274).

The importance of participative work practices within the context of the Australian HE sector has also been confirmed in an assessment of employee engagement undertaken as part of a series of climate surveys across nearly half of the universities in Australia. Langford, Parkes and Metcalf (2006) describe the participation of employees in the organisational decision making processes as: 'one of the strongest predictors of work outcomes' (2006:3). Langford et al (2006) surmise that the opportunity for participation in organisational decision making is a key factor in assessments of the broader organisational progress and passion.

As such, the moves over the last 20 years to weaken the level of collegial decision making within the HE sector suggests that there is then a reduction in the propensity to actively encourage employee participation in the decision making processes of the sector. At a time when there has been a greater move to encourage the participation of

employees in workplaces more generally, this direction questions the underlying philosophical commitment to employee participation within HE.

In making assumptions about the nature of employee participation within HE, and the assumption that sector operated traditionally on a collegial or pluralist basis, there is however an inherent flaw. The assumption that the sector is a homogenous sector is problematic with a considerable range of diversity across the nature, type, age, size and reputation of HE institutions. Such a view is articulated by O'Meara and Petzall (2007) in their consideration of the evolving culture of universities: 'While a common cultural thread may permeate higher education, each institution will develop a specific culture unique to its direction and purpose' (2007:87).

Given employee participation can be seen to be a concept that evolves along with organisational development, then to assume that all universities have the same degree and form of participative decision making in place requires further evaluation. Marchington, Wilkinson, Ackers and Goodman (1994) described three conclusions about the development and maturity of employee participation schemes. The first of these conclusions is discussed below:

> The first factor to be discussed…is employee attitudes and orientations, that is the meanings which employees place on employee involvement, [which is] to some extent…affected by the prior expectations which people bring with them to work, but plainly these can also be reinforced, adjusted or altered significantly depending on the circumstances within work (1994:880).

In their assessment on the changed nature of the role of academic work in Australia during the 1990s, Lafferty and Fleming (2000:260) identify six types of changes that typify the implementation of corporate managerialism.

The first of these related to the restructuring of universities along traditional managerial lines with the role of the Vice-Chancellor as chief executive. The second type of change came out of the introduction of performance management schemes for academic staff and a focus on measurable outcomes. The third associated change

arose from the weakening of academic tenure and the move to end the appointment of academic staff or employ them on a contract basis. The fourth change emerged as a result of a focus on what were deemed to be financially unviable smaller organisational units and the move to create larger and more efficient academic units within universities. The sixth change was the move across the sector to establish greater marketing profiles with a corresponding move towards competition across the sector. The last change was the impact on the HE sector in Australia of the wider industrial changes within the Australian industrial relations system and the move for enterprise bargaining to take place at the institutional level rather than at the sectoral level.

As discussed above, the period of the late 1980s saw a modest increase in the use of employee participation in an Australian industrial relations context partly driven through the TCR decision and the principles of the Labor government ACCORD. As a result of enterprise bargaining, each of the 37 public universities negotiated specific local conditions based on the underlying common national award. The history of having a common award containing the original change management provisions of the TCR Decision meant that the first round of enterprise agreements of Australian universities described participation in change management almost identically. In other words, most of the initial EBAs reflected the basic TCR Decision through the provisions of the underlying common award. This clause stated, 'the sound management of workplace change implies the timely involvement of people affected by change' (AIRC [1984] 8 IR 34).

Since the formation of the single sector award there have been four rounds of enterprise bargaining within the sector, each usually specifying a three-year duration. The first round covered the period of 1993-1996, the second: 1997-2000, the third: 2000-2003, and the fourth 2004-2007. In each round, universities moved further away from the common clauses in the original award as they took up the opportunity to tailor their collective agreements to local conditions, local performance expectations and from 2005, to meet the specifications of the government's Higher Education Workplace Reform Requirements (HEWRRs). The HEWRRs reforms prescribed the form of employee participation in organisational decision making processes within Australian universities. Rather than actively encouraging employee participation, the

HEWRRs were used to limit and exclude the role of unions as representatives or agents of staff, either in enterprise bargaining or organisational decision-making.

Whilst it could be argued that the HEWRRs had the effect of creating greater employee participation through an increase in the range of staff taking part and the input of non-union staff representatives, it must be questioned that this participation was a balanced form or one that essentially sought to move the sector from a collective to an individual approach. Further, the anecdotal observation across a number Australian universities post the introduction of the HEWRRs was that directly elected staff representatives were in fact endorsed NTEU nominees.

Further, the compulsory requirement to offer Australian Workplace Awards to Higher Education sector staff, which had been established in the Workplace Relations Act of 1996 but not implemented in Australian universities, was also seen as further evidence of this weakening of the traditional forms of indirect employee participation (Bray et al, 2001).

McInnis's (1998) study on the boundaries and tensions between the traditional academic employees and the emerging professional administrators described the pressure this places on universities as follows:

> Maintaining a balance between the traditional goals of universities and contemporary demands is vital to their continuity and their contribution to society. Many of those who take up administrative careers in universities are generally predisposed to appreciate the importance of scholarly values to the mission and goals of the university. It is less clear if the significance of institutional autonomy as widely understood and supported (1998:171).

The tension that this view describes indicates the nature of the HE sector in having shifted from one where there were greater notions of collegial decision making, and as such a more participative workforce, and the effect of the Coalition Government's industrial relations reforms has been to question the nature of this participative approach to the operation of the workplace.

The argument that there has been a decline in collegial decision making in the Australian HE sector is also advanced by some as a consequence of both the growth and corporatisation of the sector and, at the same time, the increase in government intervention. Thornton (2005) described the Australian HE sector as having experienced a considerable decline in collegiality:

> Instead of collegiality, in which decisions were made by the academic community as a whole, we now have a system of top-down managerialism whereby university decision making has become the prerogative of administrators, government officials and business representatives (2005:1).

This may be the case but the collegiality of the past may not be a desirable goal for the modern university. In an assessment of merging different campus cultures from amongst more traditional universities and more recent colleges of advanced education, Harman(K) (2002) describes collegiality as a 'unifying and powerful myth' (Harman(K), 2002:99).

Marginson (1999) identified that the shift away from traditional collegial decision making structures to those that were more executive in their operation resulted in a more contested view of consultation and by association employee participation:

> The principles animating structural innovation within universities are the sidelining, remaking or replacement of earlier collegial or democratic forms of governance, and the replacement of those forms of governance with structures that operationalise executive power, and selected mechanisms for participation, consultation and internal market research. There is a characteristic shift from the formal to the semi-formal: the new structures enable freedom of action and information flow, without the constraints of legislative forms and representative governance (1999:5).

The capacity for more participative processes and interactions to foster greater levels of perceived collegiality is supported by Thornton (2005) who attributes the decline in collegial decision making as impacting adversely on workplace satisfaction for academic staff:

> Collegiality and peer review, imperfect though they might be in practice, have long been distinguishing features of life in the academy, but they have been significantly eroded by the new style of top-down managerialism that allows little space for the voices of academics to be heard. The loss of control over the nature of the working environment can result in a decline in workplace satisfaction and an increase in stress (2005:6).

This loss of voice as described by Thornton (2005) supports the contention that greater participation by employees in the processes of organisational decision making can in turn contribute to positive perceptions of collegiality in the Australian HE sector.

This tension that arises from a shift away from a collegial environment to a managerial environment may be seen to be a natural evolution of the modern university and one that is not alien within a more corporate environment, however when it is exacerbated in the manner described above through an individualist approach to industrial relations it inevitably creates greater tension. This position, and its operation in a broader political context, is further articulated by O'Meara and Petzall (2007):

> The decentralisation of power and authority and the first attempts at deregulation created initial instability in higher education, but these principles accompanying managerialism were again symptoms of the neo-liberal philosophies pursued originally by successive governments in the US and the UK. The result has been an intensive review of the role and purpose of universities, academics and higher education from both political and social perspectives (2007:103).

The context of this broader political and social perspective in respect of employee participation within the Australian HE sector is further considered in the next chapter when the concept of workplace change is reviewed and discussed.

## 2.10    Chapter Summary

This chapter has explored issues relating to employee participation and more specifically employee participation within workplace change. The analysis in this chapter has considered definitions and theories of participation, unitarist and pluralist perspectives of participation, the rationale for participation, and participation in decision making.

A key factor to emerge from this analysis is that whilst there is a general agreement that participation can be a positive strategy there are key issues associated with the degree and form of the participation. What the analysis in this chapter has also revealed is that the debate about the degree and the form of employee participation is particularly relevant within the Australian HE sector, given prevailing debates about the extent to which collegial decision making in the sector has declined over the last 20 years with the move to a greater corporatist approach to the management of the sector.

In order to provide a more concerted analysis of the relationship between employee participation and workplace change, it is therefore necessary to analyse the issue of the perceptions of the fairness of workplace change and the extent to which employee participation in the management of workplace change contributes to increased perceptions of fairness. Chapter 3 undertakes a detailed review of the literature and issues relating to change, resistance to change and more specifically workplace change. Chapter 4 specifically examines the issue of organisational justice that provides a theoretical approach to assess the nature of employee participation in workplace change and again in the context of the Australian HE sector.

**CHAPTER 3 - A REVIEW OF WORKPLACE CHANGE**

**3.0     Introduction**

The previous chapter set the scene for the thesis by describing the definitions and viewpoints that have emerged in the literature in relation to employee participation. The chapter concluded that employee participation (particularly in decision making) is linked to key economic, social and governmental objectives. In particular, employee participation has been shown to lead to increased productivity in the workplace and greater social cohesion. On the basis of the findings in Chapter 2 the thesis argues that employee participation in decision making is an important predictor of the success of change management decision making. To explore this further, this chapter explores the international research in workplace change and its relationship to employee participation.

As noted in Chapter 1, despite the considerable focus on change and the management of workplace change in the HE sector, there has been little published on the extent to which change in the sector is seen as fair by those involved or whether it fosters participation. This chapter also explores this issue in the context of debate around notions of managerialism in the HE sector.

To answer these questions the chapter first considers the research on the nature of change, resistance to change, and strategies to manage workplace change. In doing so it explores the mechanisms available to measure the effectiveness or otherwise of the various change management approaches. It then moves to discuss workplace change in Australia and specifically, in the Australian HE sector. As part of this analysis the chapter explores the extent to which the sector employs collegial or managerial decision making as a feature of participative change management practices.

**3.1     The Nature of Change**

Change has become an accepted feature of the modern workplace (Weber and Weber, 2001; McLagan, 2002) and has become a popular paradox through the statement that

'change is constant'. In fact many organisations have developed a culture that change must be regularly undertaken to ensure the survival and productiveness of the organisation (Weber and Weber, 2001). In this sense the pervasiveness of change in organisational life is now widely accepted as an organisational good.

Change is a process that generally affects all participants in an organisation in some way regardless of whether it has a positive or a negative outcome or whether it is productive or destructive for the organisation. At its best, it can bring staff within an organisation together in a shared dynamic. On the other hand it can be disruptive and divisive. In a basic sense, to change something in an organisation means that something must have existed in the first place and that it will be different after the change process. Whether the change involves staff, systems, structures, leaders or the culture of the organisation, change involves a deliberative approach to revising and replacing what is currently in place (Fairfield-Sonn, 1993; Fuller, Griffin and Ludema, 2000).

Whilst it is important to understand the definitions of change, which are explored in more detail below, it is equally important to understand that change in itself has become a by-word for changing the nature of an organisation or a workplace. Often there is a degree of mystique surrounding the nature of change and if change is to be used effectively, either to facilitate future directions of an organisation or respond to financial or organisational pressures, then it is important to manage that change effectively (London, 2001). This section now moves to consider the more common definitions of change and the challenges that change brings.

### 3.1.1   Definitions of Change

Lewin (1947, 1951) was one of the early researchers in the area of change, particularly with his examination of the social responses to change and the psychological processes experienced by those involved with change. Lewin (1947, 1951) depicted organisational change as being a dynamic between the driving forces of change (often led by managers) and the competing forces of resistance (often attributed to employees). Lewin's (1947, 1951) research thus provided a foundation for assessing the behaviour of individuals experiencing organisational change and

provided a pre-cursor to notions of employee participation, involvement and empowerment in the organisation (as mechanisms to address resistance to change). Lewin (1947, 1951) was primarily interested in how organisations responded to change and not necessarily what constituted change in itself.

Since Lewin's (1947, 1951) seminal work there has been a surge of interest in change management. Three key definitions are presented here to illustrate the common focus of the change process. Schalk, Campbell and Freese (1998), like Lewin (1947, 1951), also defined change in the sense of how it puts the organisation in the centre of the phenomenon. Shalk et al (1998: 157) described change as 'the deliberate introduction of novel ways of thinking, acting and operating within an organisation as a way of surviving or accomplishing certain organisational goals'. This definition sees change as a planned process that occurs within an organisation which acts as a catalyst to new behaviours but the definition does not take account of the triggers which lead to change or the management of employees through that process. Similarly, Lines (2005) described the process as 'a deliberately planned change in an organisation's formal structure, systems, processes or product-market domain intended to improve the attainment of one or more organisational objectives.' (2005:10). Again, the key features of the definition focus on planning and the success of the outcomes to the organisation.

Hendry (1996) advocated a further approach to the definition of change, which identified three focal issues that were critical in the process of workplace change. The first of these was 'strategic business development' which suggested that workplace change arises out of changes in the development and operation towards the strategic direction of the organisation or workplace. The second was 'significant process innovations' which considers that workplace change arises due to product or process innovations either internal or external to the workplace. The third related to 'continuous improvement' that considers that workplace change is an evolutionary process arising from changes within the workplace (1996:637). Again, this definition focuses on organisational planning and delivery of benefits. The definitions point to the overall managerial focus on improving the organisational bottom line. However there is an interplay between individual and organisational change which contributes

to the overall success of the change program. Section 3.3 explores further the resistance factors to change.

### 3.1.2   Individual versus Organisational Change

Within the change management literature there is a focus on two distinct but related perspectives of organisational change: individual and organisational change. Firstly, change is often seen as being not personal in nature and relates only to the operations and structures of an organisation. Secondly, change is depicted as being about adjusting the human behaviour of those working within the organisation to the new conditions (Garg and Singh, 2007). The nature of the organisational versus the individual can be contradictory but also complementary as explored by Garg and Singh (2007):

> Organisational change has been associated with the visible changes in the organisation. Efforts are made in various areas like technology, structure, system, strategy, culture, etc. On the other hand, individual change represents the change in attitude, vision and target of an individual in the organisation. Change management is then defined as the effective management of a business-change (2007:46).

The authors suggest that winning the hearts and minds of the workers during the change process is likely to lead to effective business change. This concept is explored further in the discussion on participation of employees in the change process in Section 3.5.

London (2001) explored the impact of change in an Australian health setting and identified the importance of the change process in considering the place of the individual in the organisation. He observed that 'the adoption of new work practices or behaviours is more likely to be accepted if the benefits of change can be demonstrated to the people affected by the change' (2001:133). In making this observation, London brought together the elements of organisation and individual with a view to winning over change recipients as part of the process of change. Clearly, there is a small body of work which suggests that employee acceptance of

change is likely to have a major impact on the organisational success of the change. This is a key theme in the thesis and will be explored in more detail in Chapters 8 and 9.

This section provided an introduction to the chapter through reviewing a selection of definitions of organisational change which situate the organisation in the centre of the change program and which define the benefits as those belonging to the organisation. However, individual reactions to change were identified as being important to the success of the change. The chapter will return to these themes later but now turns to a more detailed consideration of theories of organisational change management.

## 3.2    Theories of Change

One of the features that emerges in an analysis of the change management literature is that there is no one theory that defines or explains organisational change. Theories of change and in particular organisational change often have a secondary focus on change per se with a primary focus on another theory such as culture, leadership, and decision-making. These concepts will be explored in more detail below.

Lewin (1947:13) described organisational change as being a combination of change and constancy: 'change and constancy are relative concepts; group life is never without change, merely differences in the amount and type of change exist'. His theory of resistance to change involved key phases that sought to explain how attitudes to change could be managed within an organisational change management theory depicting the phases of unfreezing, changing, and refreezing.

Lewin (1947) indicated that the first stage of change involves preparing the organization to accept that change is necessary or 'unfreezing'. This involves breaking down the existing practices before building a new way of operating the organisation. After the organisational uncertainty that is created in the unfreeze stage, the 'change' stage is where employees begin to resolve their uncertainty and move to accept the identified new ways to operate in the organisation. When the changes are taking shape and employees have embraced the new way in which the organisation

operates, then it is time to 'refreeze' and ensure that the changes are embedded into the day to day operations of the organisation.

Dunphy (1996) noted that there is an absence of consistent and widely accepted theory in the field of organisational change management. In his analysis of change theories he identified five factors that can inform a theoretical consideration of organisational change. These comprise: 'a basic metaphor' of the nature of the organisation; 'an analytical framework or diagnostic model' that assists in understanding the organisational change process; 'an ideal model of an effectively functioning organisation' which explains the directions for change and the values used to assess the change; 'an intervention theory' which explains how the change process will move the organisation; and 'a definition of the role of the change agent' that explains the initiator and manner of change (1996:543). Each factor is considered below.

Firstly, the 'basic metaphor' factor encourages the organisation to be considered as an open system and one that is in active interchange with its environment. This allows the organisation to be considered in the context of the wider prevailing economic, political and social forces. Secondly, the 'analytical framework' factor involves considering change as a series of processes or systems arising from the external environment. By analysing the external environment it is possible to identify the key variables to be managed during change. Thirdly, the 'ideal model' factor suggests the directions for the change and the values which will be used to assess the effectiveness of the change once completed. These can include workforce satisfaction, rate of growth or decline, opportunities to benchmark organisational performance. Fourthly, the 'intervention theory' factor outlines the approach the organisation will take in the management of organisational change and the specifics of when, where and how to initiate the change in the organisation. This features the design of integrated organisational change and related human resource management programs. And finally the 'definition of the change agent' allows for the role of management, as well as employees, to articulate their role in responding o the process of change. It recognises the differing interests of the parties within the organisation during the change process. Together, Dunphy's (1988) five factors provide a theoretical basis in which it is

possible to consider the nature of the organisation and then its relationship and interaction with the process of change.

Another prominent change management theory was provided by Van de Ven and Poole (1995). The authors developed a model of change that places primacy on two key dimensions of change, namely the unit of change, and the mode of change. Their typology of change identified four basic process theories of change; each characterised by a different event sequence and associated change mechanism (Weick and Quinn, 1999). The four theories comprised:

1. life cycle theories which considers change as part of the establishment of an organisation;
2. teleogical theories which considers change as a series of defined goals;
3. dialectical theories, which considers change as a form of organisational conflict; and
4. evolutionary theories which considers change as a natural form of organisational development.

These four theories place change in the context of how it occurs within the organisation and the manner in which it impacts on organisational development. Life cycle theory and evolutionary theory consider change as more of a gradual and natural process, the first relating to the establishment, growth and finally demise of an organisation through its natural life cycle, and the second relating to the ongoing development of the organisation as it adapts to its environment. Teleogical and dialectical theories of change consider workplace change more in the sense of discrete episodes in an organisation. The first relates to specific outcomes, and the second to organisational conflict. These theories are important as they can shape the manner in which both managers and employees address and respond to change.

An alternative theoretical approach to change management is that of De Wit and Meyer (1999) who describe two theories of change management: evolutionary and revolutionary. This typology in turn allows for two different sets of strategies to approach change management. Evolutionary change adopts a longer term focus, an approach that is more akin to continuous improvement and one that seeks to build

acceptance of change over a longer term period. Alternatively, revolutionary change focuses on an approach that is more radical, immediate, and involved targeted outcomes to ensure change is achieved. It can be discontinuous in the sense that it brings about changes which were not part of the original organisation's operations (De Wit and Meyer, 1999; Kenny, 2003).

The notion that there is no one definitive model for change has articulated by many of the change management writers (Palmer and Dunford, 2002; Kenny, 2003). The desire for a single theory of change, and the arguments against adopting such a concept, was articulated by Dunphy (1996): 'What we do need instead, however, as do all truly scientific fields, is not a single theory but comprehensive competing theories of change and a healthy debate about their respective value bases and biases (1996:545-546).

Dunphy (1996) proposed the view that organisational change is of itself a failure of the organisation to continuously adapt the organisation. The need to initiate change arises where continuous improvement has not been undertaken and the organisation requires corrective action. This view was also espoused by Weick and Quinn (1999:362): 'The basic tension that underlies many discussions of organisational change is that it would not be necessary if people had done their jobs right in the first place'. Weick and Quinn (1999) also discussed the concept of continuous change within the workplace and identified continuous change as ongoing, evolving and cumulative. They wrote that: 'The distinctive quality of continuous change is the idea that small continuous adjustments, created simultaneously across units, can cumulate and create substantial change' (1999:370).

The reality of the modern workplace is that it is more common to experience large forms of major change, or what is described in the literature as 'episodic change'. Such change is seen to be infrequent, discontinuous and deliberately intentional and requires systematic management agendas to ensure it is implemented in an orderly manner that does not seriously disrupt the workplace (Weick and Quinn, 1999).

Having considered some of the theoretical approaches to change management discussed above, and identified the issue of change in the context of the evolution of

the organisation, this chapter now moves to consider the notion of resistance to change before using this as a framework to consider strategies for managing workplace change.

## 3.3    Resistance to Change

The challenge of managing change is core to the operation of businesses and organisations. As described earlier, there has been an enormous rate of change both across society generally but also in the manner in which modern organisations operate. The challenge of change has been brought to prominence with the degree of technological change and made it a key emphasis for the management of organisations (Beer and Nohira, 2000; McLagan, 2002; Allen et al, 2007). Approaches to change management in the literature indicate that the way in which change occurs can challenge the operations of an organisation and can cause it to be paralysed until the change process has concluded. As explained by Carnall (1986): 'any significant change to an organization will disturb the established order of that same organization' (1986:747).

Understanding the manner in which staff in an organisation respond to the change and react to the impact of the change is also a major challenge. The emphasis on competitive advantage and the need for continuous improvement has its roots in the resource-based perspective of organisational development which sees change as a planned and natural feature of the dynamic of organisational development (Garg and Singh, 2007). Such a focus was evident from the organisation and operation-centred definitions of change. The sorts of challenges needed to manage change programs through to success involve understanding the range of factors which represent resistors to change.

Lewin's work spearheaded nearly half a century of literature and practice around the concept that there will be forces driving the change and forces of resistance to the change and that this change must in turn be managed to deal with this. Lewin (1947:14) wrote that: 'the practical task of social management, as well as the

scientific task of understanding the dynamics of group life, requires insight into the desire for and resistance to, specific change'.

Researchers since Lewin have sought to devise management strategies conducive to effective implementation of organisational change, or alternatively, strategies to deal with resistance to change (Coch and French 1948; Beer and Nohira 2000). However that the legacy of Lewin (1947, 1951) remains paramount in the change literature was described by Hendry (1996: 624):

> Scratch any account of creating and managing change and the idea that change is a three stage process which necessarily begins with the process of unfreezing will not be far below the surface. Indeed it has been said that the whole theory of change is reducible to this one idea of Kurt Lewin (1996: 624).

Within Lewin's (1947, 1951) focus on the process of preparing for the change, managing the change, and returning the organisation to stability post the process of change, he advocated a strong focus on dealing with the forces for change. Lewin (1947, 1951) conceptualised that there were forces working in favour of the change, or 'driving forces', as well as those working against the change, or 'resisting forces'. A successful approach to the management of workplace change was to minimise or eliminate the resisting forces and exploit the driving factors. He described these forces as:

> An issue is held in balance by the interaction of two opposing sets of forces – those seeking to promote change (driving forces) and those attempting to maintain the status quo (opposing forces) (1947:14).

The 'driving forces' that can support change might include the availability of new technology, economic pressure from competitors or changes in local or national legislation. The 'resisting forces' that can oppose change might include a firmly established organisational culture and climate or industry-specific customs. Lewin (1947, 1951) proposed that any process of organisational change can be thought in the

context of a dynamic balance, or equilibrium, of these forces working in different directions.

What emerged in the subsequent analysis of Lewin (1947, 1951) and his research is the concept of assessing these driving and opposing forces in the context of a 'force-field analysis'. Dent and Goldberg (1999) describe Lewin's force-field analysis as follows:

> Lewin saw work taking place within a system of roles, attitudes, norms, and other factors, any and all of which could cause the system to be in disequilibrium. Lewin's notion of a force-field analysis nicely encapsulates his perspective (1999:29).

In the consideration of managing resistance to change there has in turn been a greater focus on the strategies and actions that can be used to overcome the resisting forces. In considering the resisting and driving forces associated with change and the resistance to change, a number of researchers have sought to provide further detail in order to effectively frame strategies or models for managing workplace change. In considering these strategies there has been a focus on further understanding the individual and the organisational sources of resistance to change (Kotter and Schlesinger, 1979; Robbins, Millet, Cacciope and Waters-Marsh, 1994).

Building on the identification of the resisting forces with a view to managing them, Kotter and Schlesinger (1979) established that resistance was not just a phenomenon of employees. Indeed, organisations themselves created the conditions for resistance through the inertia of their powerfully stable systems and operations. The authors identified seven individual sources of resistance to change and identified for each of these the manner in which they could be managed as indicated in Table 3.1:

**Table 3.1: Individual Sources of Resistance to Change**

| SOURCE OF RESISTANCE | SUMMARY EXPLANATION |
|---|---|
| Habit | Habitual work practices can create resistance to change through reluctance to change behaviour |
| Low tolerance for change | Some employees welcome change whereas others fear the consequences |
| Fear of a negative economic impact | Fear of losing employment or experiencing adverse employment conditions ie wages etc |
| Fear of the unknown | Employees are unable or unwilling to visualise what the future may look like after the change |
| Desire not to lose something of value | The threat to the existing security of an employee can generate resistance to change in the workplace |
| Selective information processing | Negative attitudes towards change can result in employees only seeing the adverse outcomes associated with change |
| Belief that change does not make sense for the organisation | The resistance to change may be based in an informed understanding that arises from a limitation of the change process |

Source: Robbins et al (1994)

Kotter and Schlesinger (1979) then identified seven individual sources of resistance to change and identified for each of these the manner in which they could be managed as indicated in Table 3.1:

**Table 3.2: Organisational Sources of Resistance to Change**

| SOURCE OF RESISTANCE | SUMMARY EXPLANATION |
|---|---|
| Structural resistance or inertia | The bureaucratic nature of the organisation mitigates against change |
| Ignoring all factors that can be changed | Change that adopts a limited focus on one organisational aspect, rather than a holistic approach, can cause resistance |
| Threats to resources | Change that is likely to generate a redistribution of resources within the organisation can generate resistance |
| Threats to expertise | Change that is likely to generate a redistribution of resources within the organisation can generate resistance |
| Threats to power | Change that is likely to generate a redistribution of resources within the organisation can generate resistance |
| Group inertia | Organisational groupings can develop organisational habits that mitigate against change or resist the change |

Source: Robbins et al (1994)

These sources of individual and organisational resistance to change allow for a formulation of models for management workplace change that seek to overcome the resistance to change and in turn enhance the drivers for change. In this way the field of change management has been accompanied by strategies to manage resistance to change.

### 3.3.1   Managing Resistance to Change

Managers and researchers have for many years been seeking to find strategies to effectively manage resistance to change. An acceptance that there will be resistance to change and that this resistance needs to be managed, understood and mediated, allows organisations to plan how to effectively manage a change process before it occurs. (Lewin 1947, 1951; Coch and French, 1948; Beer and Nohira, 2000; Cummings and Worley 1997).

In considering there is resistance to change that needs to be effectively managed there is then a need to consider the strategies for effectively facilitating change outcomes. Kotter and Schlesinger (1979:111) identified a series of key strategies that can be used to deal with resistance to change. These strategies comprised: using *communication* to make staff aware of thee logic of the planned change, using *participation* to meaningfully engage staff in the process of change, *facilitation* of staff attitudes in order t drive support for the change program, *negotiation* with staff with a view to engaging in some form of exchange in order to generate reduced resistance to the change program, *manipulation and co-optation* which seek to covertly influence resistance to the change as well as directly win-over those demonstrating resistance to the change, and *coercion* whereby those directly resisting the change are threatened with adverse outcomes unless they support the change.

A staged approach to preparing effective strategies for managing resistance to change was also proposed by Pietersen (2002). This approach featured a similar emphasis on the importance of communication and employee participation and featured five steps for dealing with resistance to change. Firstly, to create a clear and compelling argument for change that articulates the logic behind the change proposal; secondly, to engage in regular and honest communication throughout the process of the change

program; thirdly, to maximise the participation of affected staff at every stage of the change program; fourthly, to directly engage with, and indeed challenge, those staff who remain key resisters to the change process; and fifthly, to maintain a focus on short-term wins through the change process so as to maximise a positive focus for the change program (2002:34-37).

A further model of managing resistance to change was articulated by Dunphy and Stace (1988) in their identification of contrasting theories of organisational change, that is incremental and transformative change, as well as contrasting methods of change, that is participation and coercion. From this analysis they identified four strategies for managing change that featured; participative evolution, charismatic transformation, forced evolution and dictatorial transformation (1988:327).

A key aspect of change management is to manage staff resistance by encouraging acceptance of the forthcoming change, gain cooperation during the change process and with any new practices as a result of the change. The manner in which change is communicated by management and the extent to which employees are afforded participation in decision making represent key strategies for managing resistance to workplace change (Bordia, Hobman, Jones, Gallois, and Callan, 2004).

Differences of perceptions between participants within the change process is likely to lead to greater anxiety around change and a failure to effectively facilitate the change process (Bordia et al 2004; Allen et al 2007). The authors point to the importance of engaging the participants within the change process. Indeed the concept of engaging employees in the change process as a means of ensuring successful change was observed early in formal change management research.

One of the ways of dealing with resistance to change is through communication. By giving meaning to the nature of change, through a clear communication that the change will result in differences to what is currently operating, allows for a greater understanding that there is in turn likely to be anxiety towards the change and a need to consider how to manage this anxiety (Cummings and Worley, 1997; Folger and Skarlicki, 1999). This has made the role of organisational communication so important in the change management literature  (Schweiger and Denisi, 1991; Lines,

2005; Allen et al, 2007; Martin and Huq, 2007). For instance, Allen et al (2007) identified that resistance to change primarily comes about through the uncertainty of change and that effective communication is a successful strategy for addressing change management. They wrote that: 'it is important to identify the processes through which employees acquire information during change and the factors that influence their attitudes and intentions towards the change event' (Allen et al, 2007:188).

Alternatively, the avoidance of communication about change has the impact of increasing anxiety about a change process and is in turn likely to lead to the change not being effectively implemented (Schweiger and Denis, 1991; Folger and Skarlicki, 1999; London, 2001). The extent to which the absence of communicating the change by those initiating the change, particularly when they are clear that it is going to take place, was illustrated by Schweiger and Denisi (1991): 'Regardless of its cause, any failure to communicate leaves employees uncertain about their futures, and it is often that uncertainty, rather than the changes themselves, that is so stressful for employees' (1991:110). Thus there is compelling evidence that communication with employees is a key component of delivering successful change.

Lines (2005) considered the role of the individual in effective change management in his exploration of attitudes towards organisational change. His work explored communication change to the wider organisational actors, as well as the need to be conscious that communication also needs to be specific for those directly affected by the change with a view to motivating and gaining cooperation from those individuals.

Bordia et al (2004:513) identified two types of change related communication strategies that can enhance change outcomes. These included the provision of information for employees about the proposed changes thus reducing the level of uncertainty and also utilising a participative mechanism which engages staff in the decision making process. The authors found that when employees are provided with access to information it allows them to develop a better understanding of the nature and consequences of change, and where they are able to participate in the 'tactical' decisions associated with change, employees' acceptance and openness will usually increase (Bordia, et al, 2004).

The notion that participation by those affected by change enhanced the management of change was identified first by Coch and French (1948). Their work, undertaken at a pyjama factory in Virginia in the US examined issues relating to resistance to change by employees. They wrote: 'groups that were allowed to participate in the design and implementation of the changes have much lower resistance than those that do not, participation through representation results in slower recovery than does total participation' (1948:524).

The identification that employee participation in the process of change represents a way of managing resistance and bringing about successful change is a key theme in this thesis and will be explored further in Section 3.5

### 3.3.2   Readiness for Change

An extension of the literature around managing the resistance of employees to change is the concept of readiness for change. The preparation of employees for a forthcoming change in their organisation is another key strategy for change management. This concept considers that change is best managed when there is preparedness for it and when those who are to be affected by it have come to accept that it will happen. Jones, Jimmieson and Griffiths (2005) described this readiness for change as:

> the extent to which employees hold positive views about the need for organisational change (ie change acceptance), as well as the extent to which employees believe that such changes are likely to have positive implications for themselves and the wider organisation (Jones et al, 2005:362).

Not only is readiness for change by employees seen to be a positive factor in overcoming resistance to change and ensuring effective change management, it is also identified as a possible predictor for determining when to undertake a change program. (Armenakis, Harris and Mossholder, 1993; Jones et al, 2005). During large scale change there is often an emphasis on the communication of the specific nature

of what the change will involve rather than providing a context to the change and the factors that have resulted in the change arising (Terry and Callan, 1997).

Readiness for change takes account of the fact that there will be differences arising from a change process and presupposes that this will in turn lead to resistance within an organisation. In assessing readiness for change managers need to identify the factors that are likely to be seen as being problematic within the change process (the resistance factors) and then address these in a pre-emptive way that is aligned to the context and culture of the organisation. These approaches include planning, communication, and vision setting for the type of organisational environment that is anticipated after the change process has been implemented (Armenakis et al, 1993). Such an approach considers change as an ongoing process and not just one that considers the beginning of the change process.

One way of creating staff readiness is by engaging employees in the change process. This has been noted to have a positive effect on future change programs. For instance, Weber and Weber (2001:291) noted: 'An organisational environment where employees have previously been involved in planning or implementing changes can help reduce resistance to new change efforts and also encourage employee's commitment to the change'.

The concept of creating readiness for change also focuses on the attitudes of employees within a workplace and their perceptions of the need or justification for change. The need to build a sense of preparedness to embrace new practices and a sense that the existing workplace conditions are ready for change has been described as major plank of the preparedness for change program (Schalk et al, 1998). One way of ensuring readiness to change is to gauge employee perceptions around the change. An understanding of the employee perceptions of change is important in understanding how participants experience change. It can be a valuable aid to identifying and dealing with resistance forces. The issue of dealing primarily with the perceptions of employees in the change process as a key focus of addressing the forces of resistance was an approach adopted by Self, Armenakis and Schraeder (2007) who undertook a study within a large United States corporation. Their approach was to determine whether a focus on the rationale for change and then the

associated perceptions of change in turn result in more receptive attitudes from employees. They found that where change was managed with this focus there was a more receptive response from affected employees to the change. Self et al (2007) described their results by indicating that:

> If the organisation has purposefully sought to demonstrate the necessity of introducing the change and its appropriateness, employees will perceive it as one more demonstration of the organisation's supportiveness. Because employees' perceptions of a supportive organisation are construed through the ongoing exchanges experienced with the organisation, failure to justify the change may signal a lack of support from the organisation, in turn affecting the willingness to embrace a change initiative (2007:226).

This relationship between identifying the approach to be undertaken in respect of the change is consistent with that advocated by Lewin (1947, 1951) in terms of dealing with the forces opposed to change as a means of overcoming resistance to change. It does however build further on Lewin's (1947, 1951) work in advocating that there it is important to deal with the perceptions of change, both in advance of and through the process, as there is in preparing for the change itself.

Having considered the issue of resistance to change and the associated concept of readiness for change, it is timely to consider the range of models developed to manage the change process. These are considered below.

## 3.4    Models for Managing Workplace Change

What is common in the approaches to managing change is the anticipation of the actions and reactions of those who are affected by the change and the ability to reduce the adverse impacts of these. It is fair to say that the vast number of models for organisational change rely either in part or in total on Lewin's (1947, 1951) seminal work which featured with the balance between managing the driving and resistance

forces of change. Accordingly, this section considers the models below in the context of Lewin's (1947, 1951) concepts of driving and resisting forces of change.

Kotter (1995) identified a model for managing workplace change that consisted of eight steps. Like Lewin (1947, 1951), his approach emphasised dealing with the resisting forces and managing these such that they became driving forces in the change process. Kotter's (1995) steps comprised: first, harnessing the external crises and opportunities facing an organisation to create a 'sense of urgency'; second, engaging the participants within an organisation around change through the creation of a 'powerful coalition'. The combination of a sense of urgency and the teamwork required to drive change through gives a sense of the dynamics of his model. Third, he called for articulating the desired end result of a change process through the creation of a 'change vision' and related to that, he prescribed 'communicating the vision' within the organisation through all available communication channels. Fifth, his model allowed for facilitating the implementation of the vision through 'empowering others to act' to alter systems, processes, policies and procedures. This step is the natural extension of the participation gained through the creation of the powerful coalition. Sixth, he recommended building and sustaining momentum for change through 'creating short-term wins' and publicising the success of managing change. Seventh, was 'consolidating improvements' arising from the change process and revising processes and operations that are inconsistent with the change vision; and finally 'institutionalising new approaches' by articulating the change efforts with future organisational success. The last step represents the refreezing depicted by Lewin (1947, 1951).

Similarly, Brewer's (1995) change model also described a series of deliberate stages of managing change with strategies to marshal organisational action against the resisting forces of change within the organisation. Brewer (1995) identified three approaches for change management: the rational approach, the strategic approach and the action oriented approach (1995:18).

The rational approach views the organisation or the workplace during change as a system with change managed by focussing on key inputs such as organisational development and employee participation. These inputs are utilised to manage change

in a planned and systematic approach. The strategic approach views change as a tool for strategic management and is more focussed on issues of organisational structure. It views the management of change as the imposition of actions which are controlled within the external environment of the organisation or workplace. The action oriented approach involved concepts such as transformational leadership, organisational transformation and issues of culture and environment. It considers change as; 'a negotiated social reality with a certain degree of shared (not necessarily agreed upon) interests among members of the group' (1995:21).

Zeffane's (1996) model for managing change involved two conceptual frameworks. The first framework involved identifying categories of change which comprised: the setting for the change, the organisation in which the change will occur, the manager who is initiating the change, the group of staff who will experience the change, and the results that the change is expected to deliver. The second conceptual framework, was designed to inform managers of change according to each of these categories, as well as the culture, assumptions and mind-sets of those involved in the change process. Zeffane's (1996) model emulates Lewin's (1947, 1951) concept of a force-field analysis in that it conceptualises the forces affecting change and allows for them to be considered and actioned accordingly.

Cummings and Worley (1997) advocated a model that featured five steps for change management. These steps comprised: creating a readiness for change, creating a vision for the future, developing political support, managing the transitions of change, and sustaining the momentum of change. Such an approach breaks change management down into definable and achievable steps that have a common theme of ensuring engagement in the process by the affected staff. This approach is consistent with the approach of Lewin (1947, 1951) in respect of considering the stages of unfreezing, changing and refreezing the organisation during the change process. This model places a strong emphasis on the creation of a climate of readiness for change by management actions that in turn aim to limit the resisting forces of resistance within the organisation at the same time as supporting the driving forces for change.

Victor and Franckeiss (2002) proposed: 'there are very few models or approaches that can provide organisations with a robust, integrated and pragmatic approach to enable

them to understand the dynamics of the change process and then proactively drive organisational change'(2002:35). Instead, their approach to the management of change comprised five dimensions of change. Their dimensions consisted of: direction, description, definition, delivery and development. The model focussed primarily on the role that management plays in the change process, however as with Lewin (1947, 1951) their emphasis was on undertaking a detailed approach to change management that considers the nature of the organisation prior to, during, and post the change, an approach which the authors described as cyclical or one that allows the organisation to engage in an approach that creates 'enabling strategies'.

Victor and Franckeiss (2002) further identified that for any change management process to be effective, it requires a focus on managing people. They described an approach that relies on resources, performance management, provision of rewards, and effective communication as being the keys to the engagement of staff. In other words, they supported the notion that change is the responsibility of management, however they further advocated a process that relied on ideas of increased employee involvement or as they described it, enablement.

The concept of combining the best elements of change from various models to develop a model for managing change best suited to the organisation was advocated by O'Shea, Mcauliffe and Wyness (2007) in their description of a framework for models of change. Their framework included three features. Firstly, they required that the model selected is both understood and comfortable to those seeking to initiate the change. Secondly, the selected model should align with the culture and behaviour of the organisation in which change will occur and thirdly, that the model must be comprehensive to understand and manage even the most complex features of the organisation experiencing change (O'Shea et al, 2007). In other words the strategy for change needs to operate in a context in which it is understood by staff, aligned to the culture of the workplace, and robust enough to deal with complex organisational change. Such an approach to managing change is aligned with the work of Lewin (1947, 1951) in respect of the focus on addressing the various forces that are impacting, positively or negatively, on the change.

A further approach for considering the management of workplace change was that developed by Self et al (2007), who indicate that the variable within an organisational change process can be categorised as featuring three factors; content, process and context. This framework indicated organisational change can be understood if attention is focussed on the following issues; firstly, the 'what' that is proposed to occur within the change initiative (content); secondly, the 'how' of what is proposed to be changed (process); and thirdly, the 'context' of the change or whether it is internally driven or externally initiated. This approach to change management is directly consistent with that advocated by Lewin (1947, 1951) in that it considers the readiness for change within the organisation, the need to consider the context of what will be changed or who the forces of resistance will be overcome and then the nature of how the organisation will look and operate post the change process.

This section overviewed some of the well known change management models in the international research literature. Most relate directly to the work of Lewin (1947, 1951) by providing specific information to HR managers on managing the driving forces (often through creation of a shared vision, communication and participation) as well as managing the forces of resistance (often through participation in the decision making process). Most of the models considered emphasise the importance of communication strategies through which employees come to accept the process of organisational change. Another key area of research into organisational change management is the area of measuring the success of change and this is considered in the next section.

### 3.4.1   Evaluating the Management of Workplace Change

So far this chapter has determined that change management in organisations is a product of the interaction between the driving forces promoting the change, the various forces of resistance to the change and the way these are managed both before and during the change process (Lewin 1947, 1951; Coch and French, 1948; Beer and Nohira, 2000). It was also established that providing employees with a means of participating in the change process is a factor likely to lead to successful change implementation (Cummings and Worley, 1997; O'Brien, 2002). Similarly, the

importance of addressing the perceptions of those affected by the change both in advance and through change has been highlighted (Self et al, 2007).

The concept of determining the effectiveness of change management or evaluating the strategies used to employ change programs is core to any understanding of the literature surrounding change management let alone employee participation (Carnall, 1986). In undertaking change it is therefore important to ensure that the nature of the change and the model applied to the change is itself reviewed in order to gauge the success of the change, better understand the nature of the organisation and allow for more effectively planned change programs into the future (Stewart and Kringas, 2003). In evaluating change it is also important to consider that evaluation of the change process will differ depending on the perspectives of those who are undertaking the evaluation. For instance, in evaluating organisational change that has resulted in loss of positions or a reduction in activities, the staff within the workplace are likely to evaluate the change process as being adverse, whereas management who initiated the change will likely assess the change as having met the requirements of the organisation (Stewart and Kringas, 2003). In other words the adverse outcome associated with the change causes it to be divisive between employees and management and as such it results in differing evaluations.

In a meta-analysis of the literature in respect of evaluating the effectiveness of organisational change, Robertson, Roberts and Porras (1993) identified what they believed were three key components. Firstly, to have change agents or organisational leaders focus on; 'systemic change in work settings as the starting point in change efforts and individual behaviour'; secondly, to accept that; 'negative behaviour change does not necessarily lead to negative organisational change outcomes'; and thirdly, that; 'well developed programs would provide practitioners with a better basis for choosing interventions than simply their personal preferences, values and styles'. The findings of Robertson et al (1993) indicate that the evaluation of change can be considered through systemic interventions, consideration of negative attitudes and clearly developed change programs.

Brewer (1995) identified a number of strategies to explore the concept of engagement with those affected by the change as a model of evaluation of effective change

management. The evaluation criteria comprised: a focus on the responses of individuals and how they reacted to the change; an assessment of how well the goals of the change were communicated at the outset of the change process; the role of the leader in managing the change process interactively with free-flowing communication; the meaningful engagement of those affected by the change; support for those who have participated in the crafting of the change process; and the canvassing of the opinions of those directly involved. As indicated earlier, an important finding in the literature is that involving employees in the change process is key to overcoming resistance to change and undertaking effective change management. The Brewer (1995) model bases its criteria on the extent to which employees were consulted and engaged in the change.

In the context of the empirical research undertaken within this thesis, the effectiveness of change is examined through the research of Victor & Fanckeiss, (2002). These authors were chosen due to the evidence of a well developed, and regularly cited, scale in relation to organisational change. In a consideration of the dimensions of effective organisational change, they prescribed eight criteria: the ability to present reasons for the change; the ability to argue that the change is necessary; the ability to describe the nature of the change; the ability to document the change process; the ability to achieve the goals of the change; the ability to actually implement the change itself; the ability to review the change process; and lastly, the ability to build consensus around the change. These dimensions will be discussed in further detail in Chapter 7 which considers the measurement of effectiveness of change in the Australian HE sector.

In assessing models for managing workplace change, and in considering the effectiveness of the change program, it is evident from an assessment of the literature that there is a greater emphasis on the models for change as opposed to the evaluation of the management of workplace change. This view is supported by Doyle, Claydon and Buchanan (2000) in their assessment of the mixed results of organisational change:

> Despite wide support for the view that change has become a central
> and challenging managerial responsibility, the literature focuses

mainly on theory building on the one hand, and on the development of prescriptive checklists on the other. Management perceptions of change outcomes, and of the change implementation process, have been largely ignored (Doyle et al., 2000, p. S59).

This section has identified that most models of change management are based on the work of Lewin (1947, 1951) and have a key focus on communication strategies as well as employee participation strategies. Also considered above were a number of evaluation models used widely to measure the success or otherwise of change and to make recommendations for the future. Having focused on resistance to and readiness for change, as well as consider models for managing and evaluating workplace change, the next section of this chapter builds on the work of Chapter 2 and specifically considers employee participation in the management of workplace change.

## 3.5    Employee Participation in the Management of Workplace Change

There is a well-developed stream within the literature that sees the merits and benefits of employee participation as a strategy for managing and facilitating workplace change within an organisational context. Pojidaeff (1995) described the benefits of managing change when employees actively participate in the process:

> Many organisations recognise the need for change, but are reluctant and afraid to implement the core principles and provide a truly participative work environment. As a result, they do not engage the whole organisation in the change process – the process is still being managed and controlled at the top. Only when everyone is deeply engaged in and responsible for change is it going to be successful (1995:46).

A more detailed assessment of employee participation and its relationship to workplace change was considered by Schwochau, S., Delaney, Jarley and Fiorito (1997) in research undertaken across approximately 500 US business units. They

stated that an analysis of employee participation using affective, motivational and cognitive models indicated correlation of a negative relationship between participation and resistance to change. Schwochau et al (1997:382) argued that; 'participation in the change process increases employees' commitment to change and breaks down barriers to change. Direct involvement in the change process enhances acceptance of change'.

Schwochau et al (1997) further advocated that employee participation earlier in the change process created advantages for the organisation. From an analysis of human resource policies and organisational outcomes the authors concluded that, 'the amount of [decision making] authority given to program participants to implement recommendations was consistently related to greater perceived support for changes' (1997:391).

In other words their study provides evidence of the benefits of fostering employee participation in the context of workplace change not just from the perspective of greater engagement of employees surrounding the change but also in respect of facilitating the change outcomes themselves.

This practical benefit of employee participation as a strategy for managing workplace change was further articulated by Gollan (2002) in his assessment of the state of involvement strategies in the management of change:

> Another theme that has emerged from recent changes in the workplace is the importance of employee participation in achieving successful organisational change. Creating and developing an organisational culture that provides a foundation for positive organisational change may involve a considerable investment of management time and resources. But the link between such change and employee participation arrangements is clear from a number of studies (2002:169).

This approach to successful organisational change being associated directly with participative workplace culture is a key concept that is of particular relevance when considering the Australian HE sector and is explored further in this chapter in Section

The establishment of a relationship between employee participation and the management of workplace change has a long developed history in organisational practice (Palmer and Dunford, 2002). The extent to which such participation is management or union initiated is a major topic within the industrial relations debate within Australia and internationally, particularly over the last 20 years with an increased focus on collective bargaining (Lansbury, 2000).

These issues relating to the appropriateness of the employee participation strategy in the context of the organisation were also explored by Lawler (1998) who identified three factors that can impact on the strategic choice of employee participation:

> The different approaches to involvement fit different types of businesses, situations and individuals. The key to effective utilisation of any of them is installing then in conditions to which they are suited. Three major factors need to be examined in deciding which approach to pick: (1) the nature of work and technology, (2) values of the key participants, and (3) the organisation's current management approach (1988:202).

Again, the importance of a participative approach to workplace change is highlighted through these findings and in particular the specific nature of the workplace and its operations. Not only the nature of the work undertaken, but also the manner in which it is valued by participants as well as management is again highlighted.

The participation of employees in workplace change processes was also explored by Wolverton (1998) in her assessment of a change program at a community college in the US. The process involved extensive collaboration and consultation, to the point where staff were not only involved early in the change process through formulation of the policy document but were also given the opportunity to reject the change proposal if they did not support its direction. Wolverton (1988) wrote that: 'policy provides one avenue for integrating change … especially if organisation members have the opportunity to reject the proposed change when they disagree with it' (1998:24).

## 3.6    Participative Workplace Change in an Australian Context

This section now moves to discuss workplace change in an Australian context and then more specifically, in the Australian HE context. Organisational and technological change in Australian workplaces in all industries during the last 20 years has been considerable and has occurred against a backdrop of changing industrial relations policy and legislation through the workplace reforms of the Labor Governments of the 1980s and the Coalition Government of the 1990s until 2007 (Kaye, 1999; Allen et al 2007). Other key forces have included globalisation, benchmarking, technological developments and economic conditions which have necessitated widespread organisational change across all industries. The nature of this change and its impact on Australian workplaces was described by Kaye (1999) who observed that: 'the pace of change with respect to social, political and economic environment experienced by many Australian organisations has increased the level of complexity that needs to be managed' (1999:582).

During the industrial relations reforms of the federal Labor Government in the late 1980s and early 1990s there was a move from a centralised wage fixing system and a national industrial relation scene to a more localised and workplace focussed industrial relations environment. This resulted in a move away from an industry wide approach to an enterprise based approach to workplace change (Bair and McGrath-Champ, 1998; Kaye, 1999; Lansbury, 2000). Kaye (1999) argued that the move to decentralised enterprise bargaining would see the workplace operate as the vehicle for much of the future change that was to occur, and made the point however that moving from an industry wide to an enterprise level approach needed more that just a reframing of approaches and rather a fundamental revision of workplace practices aligned to unique enterprise or local level issues. In other words the nature of individual workplaces would now be the focus for their own change management and industrial relations agenda rather than the wider industry issues.

The emphasis on improving productivity and increasing the efficiency of the workplace emerged in an Australian context during the late 1980s as part of the process of award restructuring and the move to enterprise bargaining. The National

Wage case of 1988 saw the establishment of the 'structural efficiency principle' which: 'encouraged the parties to identify new ways of working to increase productivity that went beyond removing restrictive work practices' (Smith et al, 1995:23).

The Business Council of Australia (BCA) was instrumental in bringing about legislative changes that facilitated workplace-based bargaining. The BCAs workplace reform agenda focussed on the individualisation of the employment relationship through contracts and the devolution of arbitration and conciliation to the level of the workplace which in turn sought to weaken or negate the role of unions or industrial tribunals (Bennett, 1994).

The BCA argued that the flexibility that would arise from these reforms would enhance the efficiency and productivity of the industry and that it would bring about changes at the workplace level that generated increased demand for skilled and autonomous workers. The result was arguably to facilitate an environment favourable to employers. Government policies have boosted employer power at the same time as removing power from individuals through de-institutionalisation and deregulation of the labour market (Peetz, 2006).

The nature of workplace change within Australia undertook a further dramatic shift with the election of the Howard coalition government in 1996 and the introduction of the *Workplace Relations Act (1996)*. Lansbury (2000) provided a concise overview of the nature of shift in these political changes on the Australian workplace:

> The process of enterprise bargaining was begun by the Hawke Labor government in the late 1980s, with the co-operation of the union movement, as an attempt to decentralise the employment relations system. More radical reforms have been introduced by the Howard government since the mid 1990s designed to individualise the employment relationship and reduce union involvement (2000:29).

The Howard government set about an industrial relations reform agenda that culminated in the introduction of 'Workchoices' through the *Workplace Relations*

*Amendment Act* (2005). Core to the focus of the government's industrial relations agenda was the move to an individualised approach to the workplace. Individual contracts, known as Australian Workplace Agreements (AWAs), had been introduced under the federal *Workplace Relations Act, 1996*. AWAs allowed employers and employees to negotiate directly on an individual basis. Under the Workchoices regime they were heralded as becoming the primary employment instrument despite controversial research showing that wage rises under AWAs have been found to be significantly lower than those obtained under unionised bargaining (Roan, Bramble and Lafferty, 2001).

Terms and conditions of AWAs were also generally harsher than those found in union agreements. For instance a greater prevalence of weekly working hours over 38 in AWAs compared with collective agreements (28.8 per cent compared to 11.8 per cent respectively) and AWAs were more likely to contain provisions which reduce payment for non-standard working hours and were less likely to contain provisions for training and staff development (Roan et al, 2001). Peetz (2001:9) argued that the low wage outcomes for recipients of AWAs was indicative of their 'inherently weaker bargaining position, and inherently weaker power, than employees under collective bargaining'.

The individualised focus on the workplace associated with the industrial relations changes of the Howard government also challenged the concept of taking a collective approach to the management of workplace change. Whilst these changes swept across all industries, the introduction of the Higher Education Workplace Reform Requirements (HEWRRs) in the HE sector was to bring about some radical reforms in a highly collective workforce.

## 3.7    Workplace Change in Higher Education

This section canvasses the key federal government change agendas for higher education including the Murray Report, Martin Committee, Dawkins Reforms and the Nelson reforms. The section concludes with a discussion on the increasing

corporatisation of universities and the balance between collegiality and managerialism in the sector and considers the nature of change management in the sector.

Change in the HE sector has received considerable attention in the research literature during the last decade, both in Australia and internationally (Ritter, 1998; Wolverton, 1998; Milliken, 2001, Taylor, 2006). Organisational change has been largely synonymous with an increased focus on issues of productivity and efficiency. This focus has involved all aspects of society and HE has been no exception, both in Australia and internationally (Milliken, 2001; Taylor, 2006). For instance, in an assessment of trends in tertiary education in the United Kingdom during the 1980s, Alexiadou (2001) described the shift in focus away from a social good to an economic commodity:

> The reforms in tertiary education are an illustration of wider changes across the public sector, and reflect the social and political changes that accompanied the shift towards informational capitalism, such changes include fragmentation and uncertainty and new forms of regulation of social life. The shift towards a primarily economic agenda was reflected in tertiary education in policy developments, with radical reforms of curriculum and institutions in order for both to be more relevant and responsive (to the needs of the economy), and efficient (2001:414)'.

This shift towards an economic agenda has been referred to the corporatisation of HE (Lafferty and Fleming, 2000; Thornton, 2005). It has driven the need for the HE sector to engage in a process of change management in order to ensure the effectiveness and efficiency of its operations. This has been particularly necessary in Australia because of the reduction in direct public funding which has made reliance on student fees vital to organisational survival and that has added greater impetus to the nature and rate of change (Marginson, 1996; Thornton, 2005; Taylor, 2006).

Before examining the development of the corporate university and the shift towards greater managerialism of the modern HEWRRS reforms, it is useful to reflect on the key drivers of change over the past 40 years. Considered below are the Murray

Report, the Martin Committee, the Whitlam Era, the Dawkins reforms and the Nelson reforms.

### 3.7.1   The Murray Report, the Martin Committee and the Whitlam Era

The Murray Report, or more formally the 'Report of the Committee on the Australian Universities' was published in 1957 commissioned by the Menzies government. It recommended a series of structural changes to ensure that academics had greater control over decisions regarding staffing, finance and courses and by the end of the decade, university councils had almost ceased to have any involvement in academic affairs (Bessant, 2002). The report contributed to the emergence of a strong participative culture in Universities. To some extent the Murray reforms can be thought of as having expanded the traditional culture of collegiality to all levels of the academic university hierarchy.

Another key effect of the Murray Report was to establish the basis for the operation of a national Australian HE system. Prior to this the system was essentially a state run operation with a major university operating within each state and established under state legislation and little or no emphasis on a national system of tertiary education (Bessant, 2002).

In the early to mid 1960s there was considerable expansion in the sector with a further five universities created and the establishment of the Australian Universities Commission. This Commission, chaired by University of Melbourne professor, Sir Leslie Martin undertook an inquiry into the future of Australian higher education. The Committee on the Future Development of Tertiary Education in Australia, which became known as the Martin Committee, led to a formalised 'binary divide' between universities as research and teaching institutions, and other higher education teaching institutions, mostly colleges of advanced education. The Martin Report, or more formally the 'Report of the Committee on the Future of Tertiary Education in Australia' was released in 1964 (Bessant, 2002).

Following on from the Murray Report and the Martin Committee, the election of a Federal Labor Government in 1972 saw further changes to the HE sector. One of the

key reforms of the Whitlam Labor Government was the move to abolish fees for tertiary education in 1973. This saw the number of HE places in Australia increase by in excess of 100,000 (Bessant, 2002). The Whitlam government also assumed increased financial responsibility for the higher education sector which paved the way for the greater reforms of the Dawkins era (Currie and Vidovich, 1997).

### 3.7.2    The Dawkins Reforms

The Hawke Federal Labor Government embarked on a period of major structural reform of tertiary education with the move to establish a 'Unified National System' that would bring to an end the binary divide that had been created following the Martin Committee. The then Minister for Education, Employment and Training, Senator John Dawkins, released a Green Paper, 'Higher Education: A Policy Discussion Paper' and a White Paper, 'Higher Education: A Policy Statement' in 1988.

The Dawkins reforms also resulted in shifting the approach to funding of the sector from direct government funding to a greater reliance on student fees (although subsided through the Higher Education Contribution Scheme) as well as demands for increased diversification of funding sources (Wood and Meek, 2002). During this time the sector underwent significant organisational change due to the amalgamations of smaller and non-research intensive institutions into universities. It also experienced significant industrial relations change, particularly in the area of wages setting, through award restructuring and structural efficiency initiatives in the first instance and later, the move to localised negotiations with the advent of enterprise bargaining.

The main industrial relations changes for universities during the award restructuring period arose from the rationalisation of a large number occupational awards to form a single award for academics and another for administrative staff, prescribing minimum terms and conditions of employment that encompassed the sector – the Australian Universities Academic and Related Staff (Salaries) Award 1987, and the Higher Education General and Salaried Staff (Interim) Award 1989, respectively. Shortly afterwards, in line with other industry sectors, the HE sector moved towards

institution-based enterprise agreements, negotiated directly between unions and university management (McBride, 1996).

### 3.7.3   The Nelson Reforms

The shift towards an individual industrial relations focus in the sector was further heightened by the Liberal National Coalition Federal Government under the Ministry of the Brendan Nelson through its Higher Education Workplace Reform Requirements (HEWRR). These reforms required universities to amend their EBAs or risk losing Commonwealth funding. The changes sought to extend to the sector the employment flexibility provisions contained within the *Workplace Relations Act (1996)* to enhance the business needs of the institution, promote direct employee-employer relationships (prohibiting the automatic involvement of unions), and to extend individual agreements to employees through Australian Workplace Agreements (individual contracts).

In introducing HEWRRs, Nelson argued that the Federal Government was moving to modernise the workplace relations of the universities in Australia. In announcing HEWRRs the Minister described the relationship to the broader industrial relations reform agenda of the Government:

> Today's announcement is in line with the Government's broader workplace relations reforms agenda and are designed to support a workplace relations system in the higher education sector focused on greater freedom, flexibility and individual choice (Nelson, 2005).

The Nelson reforms represent the latest of a series of initiatives which have resulted in sustained change within Australian universities over the past 20 years by both sides of politics. The election of a Federal Labor government in 2007 is likely to result in a continuation of change in the sector, and whilst at this point it is not possible to make a detailed assessment of what the future may hold, in respect of workplace relations, it is useful to note that the Rudd Government repealed the provisions of the HEWRRs in early 2008 and signalled an intent to allow universities to manage their own workplace relations:

> Through HEWRRs, the Howard Government forced universities to implement an ideologically driven industrial relations agenda in our institutions. The Rudd Labor Government trusts universities to manage their own workplace relations (Gillard, 2008).

What is likely from the (yet to be implemented) reforms of the new Federal Labor government is a continued focus on universities as businesses. This emphasis on the significant contribution of the Australian HE sector to the economy is a key feature of the Terms of Reference of the Bradley Review (DEEWR, 2008). This focus of the sector in terms of its economic contribution has been has been a theme in the evolution of change in the sector as Wood and Meek (2002) observed:

> Since the second half of the 1990s, there has been little debate about what are or should be the objectives and priorities of the nation's universities. Rather the steering of higher education has been given over to the market and the outcomes of market competition (2002:22-23).

It is likely that the corporatisation of universities and increasing managerialism (Bessant, 2002; Thornton, 2005) emerging from the changes imposed on the HE sector will influence the nature of change management and the extent to which employees are involved. Increasing individualisation in a collectivised sector is likely to have an impact on how employees participate in decisions that affect them and the extent to which collegiality exists is also in question. These issues are explored in the next section and then considered in the discussion of the empirical findings of the thesis in Chapter 9.

### 3.7.4 Corporatisation and Commercialisation of the Australian HE Sector

During the period of the 1950s and 1960s the Australian HE sector experienced strong growth and was seen as a key contributor to the development of Australian society. This emphasis on the role of universities as contributors to society and nation continued through the period of the 1970s following the move to make the Australian HE sector more accessible during the Whitlam era and the associated reforms that

sought to increase participation across the sector. It was the Labor governments of the 1980s which provided the first impetus to shift away from universities being seen as solely a community good and a sector in which there began to emerge clear shifts towards a user pays environment. Education had now evolved to become part of a greater individual perspective of education in a market economy and an industry operating within a broader and more interconnected global environment (Meek and Goedegebuure, 1989).

In essence the Australian HE sector has been transformed from its more traditional educational structure and operations into one that now operates alongside other large bureaucracies or corporations. O'Meara and Petzall (2007) go so far as to indicate that the sector has completely shifted to operate akin to organisations within the private sector:

> In response to continued economic rationalist pressures, universities have been marketised, unified, privatised and corporatised. The internal culture has also changed and is now similar to that of the private sector, with education as the trading commodity (2007:71).

Corporatisation of the sector can be described as both structural and functional. University Vice Chancellors are commonly known as Chief Executive officers and the separation of academic and administrative roles has created a stronger focus on the 'corporate group' at the top of the university hierarchy. O'Meara and Petzall (2007).

Thornton (2005) identifies the emergence of corporate practices within universities as a response to the creation of a consumer culture in higher education. In the Australian context she attributes this to firstly, the introduction of the Higher Education Contribution Scheme (HECS), secondly the growth of fee-paying postgraduate courses and the introduction of fee-paying undergraduate courses, and thirdly, the establishment of 'for-profit' private universities (2005:2-3).

Thornton (2005) indicates that in responding to this consumer culture universities have in turn embraced corporatisation:

> Corporatisation involves a dramatic turn-around in the modus operandi of universities. As they enter the market as entrepreneurs, they assume the trappings of the market and competition policy. Universities can expect the corporatist trend to continue, making greater inroads to university autonomy and modes of governance, despite all the rhetoric of de-regulation (2005:4)'

The increased move towards corporate practices within the Australian HE sector is also advocated by Currie (2005) who describes the move away from a community of scholars and to an environment that focuses primarily on entrepreneurialism and competition. Currie (2005) argues that the corporatisation of the sector has effectively eliminated the notion of community within universities and that this loss of community has in turn meant a loss of collegiality.

### 3.7.5 Collegiality and Managerialism

Not surprisingly, against this backdrop of change the place of collegiality is questionable in a corporatised HE environment. Whilst collegiality has been described as making organisational decisions through consultation with a broad range of participants, managerialism features organisational decisions made by a narrower management group (Milliken, 2001). It represents the centralisation of power rather than the decentralisation of power seen in a collegial environment. Collegiality can be said to have its basis in pluralism, or the acceptance of multiple viewpoints affecting decisions (Fox, 1974), while managerialism may be likened to a more unitary approach, in which the expectations are that management decisions will be followed by organisational members (McInnis, 1998; Alexiadou, 2001). This section considers collegiality in more detail first before moving to explore the contention that managerialism has increased as the dominant approach to university management.

Collegiality has been described as the process where 'an administrative act is only legitimate where it has been produced by the co-operation of a plurality of people according to the principle of unanimity or of majority' (Weber, 1978:278). Whilst this can be viewed as an ideal situation, more critically, collegiality had its limits in practice and was essentially restricted to the privilege of senior academics,

predominantly male and exclusive of junior academics, women and general staff (Cassidy, 1998; Bessant, 2002).

The examination of collegial decision making in the HE context supports the argument that the degree of participation in organisational decision making is crucial to employee perceptions of a collegial decision making environment. It supports Waters' (1989) assessment of collegiality in his analysis of the writings of Max Weber. His observation was that an 'administrative act' or decision made within an organisation can only be regarded as legitimate when it has been endorsed by a plurality of people or a majority of organisational participants (1989:952). This concept supports the notion that a decision would be seen to be collegial where it had been considered by all those affected by the outcome.

This assessment of collegiality was explored by Waters in his: 'universally recognised characteristics of collegial authority' (1989:955). These characteristics comprised: expertise, equality and consensus. Based on these characteristics, Waters (1989:956-958) elucidated the nature of collegial organisations as comprising:

1. An emphasis on 'theoretical knowledge' or the operation of the organisation primarily in terms of the use and application of theoretical knowledge
2. The existence of a 'professional career' whereby employees are conceived of as professionals
3. The operation of 'formal egalitarianism' – where there is the presence of performance oriented systems
4. The evidence of 'formal autonomy' or the presence of collegial organisations are self-controlling and self-policing organisational practices
5. The use of processes for the 'scrutiny of product' in which organisations have a maximum stress on peer evaluation and informal control
6. The use of 'collective decision making' and the constitution of collective forums in which decisions are made.

Managerialism has been described as a concentration on the interests of management which has resulted in a closer examination of the processes and responsibilities of management. The importation of HRM policies, strategies and its underlying unitarist

ideology into the HE sector has led to a concept of managerialism which reflects a commitment to the values of individualism, efficiency and entrepreneurship. Clarke and Newman (1993) suggested that managerialism refers to the aim of making management the driving force of a competitively successful society by providing leadership through the transformation of culture. The authors stated that managerialism breaks the traditional conception of managers as organisational functionaries or bureaucrats trapped by an organisational culture which values rule-following above innovation. The new management role was described as: 'visions, missions, leadership by example, intensive communication processes and thorough attention to the realm of symbols are the mechanisms for creating the cultural conditions which mobilize and harness enterprising energy' (1993, 430).

The notion of managerialism arises from the more corporatist model of organisational management which focuses the organisation squarely on market competitiveness. In a strict definition the term managerialism can be seen as a greater attempt by management to control the actions and behaviours of a group of professionals who previously may have had greater autonomy over their work practices (Gleeson and Shain, 1999). This has necessitated taking a managerialist approach according to Davis (2004):

> the shift in management cultures within universities and the
> weakening of the traditional community of scholars approach to
> internal governance have intensified as universities have been forced
> to adopt commercial values. Managerialism is less ideology than a
> predictable response to changed circumstances (2004:5).

The rise of managerialism in higher education has been observed elsewhere. Mok (1999) examined the concept of managerialism within the HE sector in her article on the 'McDonaldisation of Higher Education in Hong Kong'. She described the rise of managerialism as a by-product of the changes of the last 20 years: 'On the management front, collegiality is becoming less important, whilst the terms of the new discourse are mission statements, system outputs, appraisal, audit, decision making and control, strategic plans, cost centres, partnerships and public relations (1999:118)'. Similarly, Pollitt (1993) described managerialism in the UK HE sector as

an emergence of a defence of the right of managers to manage in the context of increased demands for a more market oriented approach to the management of the HE sector.

The findings of increased managerialism have been confirmed in Australia. In his study of Deans and Heads in the HE sector Harman (2002:53) identified that: 'Australian higher education institutions have moved from largely collegial to much more corporate styles of university management'. In the context of workplace change, and the manner in which change is managed within the sector, Harman (2002) found evidence of the emergence of a 'divide' between academic leaders and their staff: 'social relations in faculties and departments seem likely to change, with increased gulfs developing between deans and heads on the one hand' (2002:69).

The rise of managerialism in the tertiary education sector was a theme also examined by Alexiadou (2001:415), who noted that: 'managers have had to develop new organisational structures, in order to cope with the pressures of change, and the paradox of combining freedom of responsibility of managing their budgets within tighter than ever central and market controls'. This assessment of managerialism identifies it as a response to the changed nature of the section and the ongoing corporatisation that has been discussed above.

The move away from a collegial method of operation is identified as a response of Vice-Chancellor's and university executives by O'Meara and Petzall (2007). They advocate that whilst it can be:

> argued that the collegium model is non-existent (or at least severely eroded) in contemporary Australian universities, the characteristics of leaders in this system may be inferred. Vice-Chancellors in this model would gain their 'authority' through their ability to orchestrate consultation (2007:76).

The extent to which consultation has emerged as the panacea for collegial decision making in the Australian HE sector, in the context of workplace change, will be

further canvassed in Chapter 4 in the consideration of perceptions of fairness and organisational justice.

It is a contention of this thesis that the increasing managerialism in the university sector brought about through the cumulative changes imposed by governments since the 1980s has influenced the way change is managed at an institutional level. It is likely that change is driven by managers through centralised and powerful management structures and that without a collegial framework to discuss and participate in the decisions of that change, consultation with employees is the main form of participation. The extent to which this more managerial culture has adversely (or otherwise) impacted on decision-making processes for change management, employee participation and organisational justice will be examined in more detail in Chapters 6, 7 and 8. That managerialism at has been associated with a decline in participative decision-making is explored in detail in Chapter 3.

## 3.8    Chapter Summary

This chapter explored the concepts of organisational change, resistance to change, and the management of workplace change. The chapter demonstrated that whilst there are numerous models of change and change management most have their links to the seminal work of Karl Lewin (1947, 1951). A number of factors have been found to be important in facilitating effective change management. These include the role of addressing the forces of resistance to the change, understanding the relative power balance in the change process, the role of employee participation, the drivers of the change and the suitability of methodologies to evaluate and learn from the change.

The chapter then moved to a discussion of change management in the HE sector. It demonstrated that much of the change has been driven by successive government reforms. Since the federal Labor governments of the 1980s the nature of the imposed changes has created a more corporatist and market oriented set of universities in Australia. Accompanying this has been the growth of managerialism as the dominant management structure and style. Arguably, this has been at the expense of collegiality in the sector. It was contended that the rise of managerialism will have a bearing on

the way change in the sector is managed, and in particular to the extent to which employees are able to participate in decision making around change plans. This will be explored empirically in Chapters 6, 7 and 8.

The next chapter moves to a discussion of organisational justice and links this discussion to workplace change, particularly in the Australian HE sector.

**CHAPTER 4 - A REVIEW OF ORGANISATIONAL JUSTICE**

**4.0     Introduction**

Chapters 2 and 3 reviewed the literature in relation to employee participation and workplace change. The key findings to emerge from this review were the merit of adopting a workplace change strategy that features active participation in the process of those who are affected by the change. An approach that features employee participation is argued to be effective in dealing with resistance to change and increase the overall effectiveness of the change.

This chapter extends the discussion of employee participation in workplace change to the literature on organisational justice. It is argued here that simply adopting a participative strategy does not ensure that the change program will be viewed as fair by employees. It is argued that using an organisational justice model to drive the change program will ensure that employee participation is likely to lead to greater commitment to the changes. This chapter commences with an analysis of fairness in decision making before moving to a detailed consideration of organisational justice and its key components of procedural, distributive and interactional justice.

The chapter then analyses the extent to which organisational justice is an effective approach to manage workplace change. This issue is considered in light of the Australian HE sector. The chapter also provides an approach for the measurement of organisational justice in the context of participative workplace change drawing on the international literature.

**4.1     Perceptions of Fairness and Workplace Justice**

Fairness is a key interest of people in general. In the workplace, fairness in decision making is viewed critically by employees who ensure that they receive justice in the process. Indeed, most definitions of decision making fairness are measured through the perceptions of those affected by the decision. Lind and Tyler (1988) argued that, given employees acknowledge the authority of managers over their employment

relationship, they are aware that decisions made by management may be exploitative or unfair. As such, employees respond to this situation by measuring decisions against their own principles of fairness. Decisions which pass the fairness 'test' of employees are in turn more likely to be accepted by them and the authority making the decisions is more likely to be trusted in the future.

The perception of justice is thus highly subjective. The basis of the assessment of justice lies in equity theory and social comparison processes. In short, individuals rely on an assessment of the principles of balance and correctness, elements of both equity theory (Deutsch, 1985) and social comparison processes, to assess if a decision is fair or otherwise. In any given situation, an individual will assess their input and outcomes in comparison to the input and outcomes of others operating in the same environment. This represents the overall balance of the action. The principles of balance and correctness predict that individuals compare the decision to their own standards of right and wrong as well as the consistency and accuracy of the decision. Decisions considered unbalanced (or unfair) will be acted upon by employees through retaliation (sabotage or industrial action for instance) or withdrawal (absenteeism or turn over). The principles of balance and correctness are usually applied at three levels: outcomes, procedures and systems, and in order to be regarded as just, all three levels must be considered to be fair by the individual (Turner, 1993).

The application of the principles of justice, fairness, equity, balance and correctness within a workplace context is therefore a natural progression from the discussion above. However this is not without challenge given that whilst the workplace operates along social lines, it does so in a differing and corporate context. The workplace is governed by commercial and strategic considerations, which are often dominated by the need to deliver profits to shareholders or deliver accountability to governments. From a management point of view, concepts such as fairness and justice can be perceived as limitations to the efficient operation of the workplace.

The counter argument to considering fairness and justice as limitations in the workplace can be found within Rawls' (1971) principles of justice encompassing fairness, liberty, equality of opportunity and the needs principle, which argue that only social and economic differences that are to the benefit of the least advantaged are

'permissible' measures of fairness. As such, the application of these principles to a workplace context imples that corporate objectives must not be incompatible with individual liberties or human needs (Esquith, 1997). Given the importance of fairness to humans, organisational fairness or justice, needs to be considered in terms of how organisations can ensure that fairness is delivered to employees in the policies and practices of their operations.

## 4.2    The Theory of Organisational Justice

The term 'justice' needs to be flagged here as being problematic in nature. First, it has its use in other (usually legal) contexts which gives it a set of definitions and practices. Second, it has been the subject of some academic debate (Volosinov, 1973) on the basis that it is difficult to argue against an obvious good such as organisational justice. Despite these obstacles, the term is an important and useful vehicle to describe fairness at work arising from the interaction of procedural, distributive and interactional justice as will be discussed below. First, as described above, employees who perceive unfairness are likely to retaliate in some way usually to the detriment of the organisation. Second, as established in Chapter 3, the participation of employees in change management has been shown to increase the success of that change. This thesis argues that organisational justice, or the perceptions of fairness by employees in the change process is another key factor in successful change management.

Organisational justice is the study of people's perception of fairness in organisations and features three specific forms of perceptions towards justice:

- Distributive justice which considers perceptions of fairness of outcomes and takes into consideration issues such as equity, equality, and needs (Adams, 1965; Blau, 1968; Greenberg, 1990),
- Procedural justice which emphasises the importance of fairness of the methods or procedures used  and takes into consideration issues such as decision criteria, voice, control of the process (Thibault and Walker, 1978; Folger, 1987; Greenberg, 1990,

- Interactional justice which is based on the perceived fairness of the interpersonal treatment received, whether those involved are treated wish sensitivity, dignity and respect, and also the nature of the explanations given (Bies and Moag, 1986; Tyler, 1991; Masterson et al, 2000)

The initial contribution to the modern field of organisational justice is credited to J.S. Adams (1965) who introduced the concept of the 'equity theory' (Greenberg, 1990; Poole, 2007). Equity theory was described as being the value of a reward to an individual being in proportion to the effort exerted. This theory identified the issue of equity in terms of the fairness of outcomes as perceived by employees in relation to pay and promotion.

Thibaut and Walker (1978) identified that employees could perceive the process of reaching a decision differently to how they perceived the outcome. Their empirical study into dispute resolution is regarded as the most influential of the modern procedural justice researchers (Poole, 2007). In other words, the process taken to make the decision impacted on employees' notions of fairness more than did the outcome. Bies and Moag (1986) defined the concept of interactional justice which identified that employees also perceive the relative fairness of decisions based on how they had been treated during the decision making process. These three elements of organisational justice are detailed below.

### 4.2.1 Distributive Justice

Distributive justice refers to the fairness of the outcome of a particular decision making process. There are three key aspects to measuring the fairness of a decision (or outcome): equity, equality and need (Deutsch, 1985). In essence, decisions based on equity mean that rewards are distributed proportionally based on the input of each participant. Adams' (1965) seminal work on equity theory identified that employees who had unfairly been overpaid would feel 'guilty' while employees who had been undeservingly underpaid would feel 'angry'. These adverse emotional states were argued to result in employee behaviour that would in turn be less co-operative and less productive.

In equity theory, two other processes may be used to distribute rewards. Equality of distribution means that everyone is allocated the same reward. The process of allocating rewards can sometimes violate the equity norm when rewards are distributed equally to all participants regardless of their contribution. Of course there are occasions on which the distribution of rewards on the basis of equality is considered to be the fairest decision making outcome. Finally, Adams (1965) identified that outcomes are also distributed according to the needs of the recipients. When the circumstances leading to the distribution of rewards are considered, the decision to distribute rewards based on either equality or need is therefore considered fair. This concept has in turn been identified as justice motivation theory, referring to the motivation of the allocator of the rewards (Lerner, 1977). Whether an outcome is perceived as fair or not by those affected will depend on the motivation or desired outcome of the allocator as well as the reasons provided for the decision (Deutsch, 1985).

The three measures of judgement: equity, equality and need are generally non-inclusive conditions for assessing whether an outcome was fair. Cobb, Folger et al (1995) whose research has informed the development of the scales used in this thesis identify that: 'distributive justice criteria compete with one another in terms of what is considered fair by those who receive allocations based on them' (1995:139). The measures of fairness described by Cobb, Folger et al (1995) are taken up in the next chapter describing the methodology for this thesis.

Deutsch (1985) argued that in systems where fostering personal development is the primary goal, need becomes the key principle of distributive justice. A conceptual approach to considering justice motivation theory involves considering the decision being made by a close friend. In this case, justice motivation theory argues that the decision will be made according to the needs of the friend affected by the decision. Alternatively, if the relationship to the decision maker is more removed, then the person is recognized merely as an individual. In this case an allocator will be more inclined to distribute rewards according to equality, or alternatively if the individual is recognised as performing a particular role, then equity will apply (Greenberg, 1987).

Distributive justice is defined as the perception of fairness of the outcomes of decision making (Blancero, 1995; Rahim, Magner and Shapiro, 2000; Dietz and Fortin, 2007). Rahim et al (2000:13) described one of the key criteria for assessing the fairness of outcomes as equity: 'which relates to whether employees believe the outcomes they have received are in accord with their contributions to the organisation'.

In a consideration of the early development of the concept of distributive justice, Cohen (1987) identified that the nature of distributive justice was about what kind of role participants were given within an organisation in relation to a decision and the basis of the allocation of outcomes in a decision making environment. Cohen (1987) described this relationship as:

> entail[ing] four central dimensions. These are (1) things allotted receipts – to (2) persons – recipient units – whose relative shares can be described (3) by some functional rule and judged (4) by some standard (1987:20).

In other words the relationship could be considered by virtue of the outcome of a process, those experiencing the outcome, the basis of determining the outcome and then the assessment in which it was considered fair or otherwise.

Similarly, Luo (2007) also wrote of the allocative function of distributive justice as 'the distribution of benefits and harms, rewards and costs, and other things that affect the well-being of the individual members of a group or community' (2007:646). Luo (2007) explained that outcomes could vary in relation to distributive justice depending on whether they were individual-related or group-related.

Whilst the emergence of scholarship in distributive justice was seen in the literature as providing a basis to understand the fairness of the outcomes of the decision, by itself distributive justice is only one part of the justice framework. The process of decision making and the extent to which employees are involved in it and how they are treated has been identified as a key measure employees use to judge whether the decision is fair.

### 4.2.2   Procedural Justice

In reaching their theory of procedural fairness, Thibault and Walker (1978) reviewed the legal practices of the United States and the United Kingdom in contrast to those of Western Europe. The contrast between adversarial systems (US and UK) compared with inquisitorial system (Western Europe) gave rise to interpretations of justice versus truth. Thibault and Walker (1978) found that participants were more likely to favour decisions where there was seen to be fairness in the process of reaching a decision arising out of the participation or involvement by participants. In other words, procedural justice is defined as fairness in the process of decision making (Blancero, 1995; Rahim et al, 2000; Dietz and Fortin, 2007). Rahim et al (2000) described the range of criteria that have been established for procedural justice as the presence of formal procedures that:

> ensure decisions are based on accurate information, are applied consistently over time and across people, provide an opportunity to voice one's opinions during decision making, allow for the appeal of bad decisions, suppress personal bias on the part of decision makers, and ensure that decisions are made in a moral and ethical manner (2000:13).

The essence of procedural justice is the scope afforded to participants to be involved with and participate in the process of decision making. The importance of this engagement is articulated by Poole (2007:730): 'People are more likely to perceive that a decision is fair if they feel that they have had a voice or sense of process control'.

The concept of procedural justice has been broadly explored across the management and participation literature. Masterson et al (2000) undertook research exploring the link between procedural justice and organisational participation. Their research examined issues of procedural justice and its relationship with a range of organisational interactions. They found that where there was greater perceived fairness around the areas of procedural justice, organisational participants had experienced greater levels of organisational participation. Similarly, a study

examining the role of procedural justice in a university environment, albeit with a specific focus on issues of equality between staff salary increases, identified some of the decision making dynamics of the HE sector (Hartman, Yrle and Galle, 1999). The study concluded that where fair procedures in decision making were afforded to employees, there was a greater sense of engagement with the decision. Hartman et al (1999:347) conclude that; 'if an employee receives an unfavourable outcome but believes that the decision-making process was fair, the employee will be less likely to challenge the decision making authority'.

Luo (2007) identified procedural justice as 'individual's perceptions about the fairness of formal procedures governing decisions involving their treatment and benefits' (2007:646). Luo (2007) stated that procedural justice contains both structural elements, such as the systems or processes operating in an organisation, and work relationships, such as trust and social harmony between work units (2007:646). Luo (2007) also identified that procedural justice occurs when decision making processes are impartial and are perceived by all parties as being fair.

There are several accepted 'rules' of procedural justice which have their history in natural justice and due process. These rules provide the procedure to be followed when determining a matter such as a transgression of workplace policy by an employee. The rules are also applicable to any decision making process of an organisation and workplaces are not immune to the rigor of due process (for example many dismissal claims are on the basis of denial of due process). There are six basic rules. First, the person charged must have an opportunity to be presented with, in writing and in sufficient detail, the charges against him or her and the proposed penalty (McDermott and Berkeley, 1996). This may entail an investigative process in order to obtain sufficient evidence to make the charge (Miller, 1996). In a workplace change context this step may mean providing employees with adequate information about the change.

The second rule is the right for the employee to present a defence. This may be in writing or in person (Barrett, 1999). Generally, this requires a hearing to be arranged and the employee must be given a suitable notice to attend. Most workplace policies which call for a hearing (for instance poor performance interviews) allow the

employee to bring a representative. This is an important feature of procedural fairness because it enhances the employee's voice and assists in balancing power between the employee and the employer (Hechscher, 1994). In a workplace change context, this step would be facilitated through a consultative process which takes into account employees' opinions of the change and allows them to bargain for those collectively through a representative. Much research on procedural justice points to the importance of employee participation in the resolution of the conflict or the determination of the decision as the basis for their perceptions of fairness (Lind and Tyler, 1987; Tyler, 1991; Folger, 1977; Thiabut and Walker, 1975). Folger (1977) for instance, found that when employees had 'voice' in the workplace grievance procedure, they were more likely to find the procedure fair and accept the outcome of the dispute.

Third, procedural justice requires that the hearing be conducted before an impartial person or panel. For hearings within the workplace conducted by supervisors, senior managers and panels, this requirement gives rise to an important training need in terms of understanding the role of fairness and ethics (Barrett, 1999). In a workplace change context, fair process would require that supervisors are seen as not being biased but taking into account employee suggestions in the change process.

Fourth, the impartial person or panel must provide reasons for the decision made (Jameson, 1999). The decision should be provided to the employee in writing and should provide a clear rational explanation for the outcome of the dispute. Daly (1995:416) suggested that

> the process of explaining decisions in a change context helps employees to adapt to the change because the lack of explanations is often regarded by employees as unfair, generating resentment toward management and toward the decision.

Fifth, the employee should be given a right of appeal if dissatisfied with the decision of the hearing. This is an important part of most decision making processes, as it allows employees to challenge decisions that are perceived as wrong or detrimental to their interests (Beugre, 1998). The final requirement of due process is that the steps of

the decision making process should be conducted in a timely manner in order to provide justice to the disputants.

In summary, procedural justice is measured subjectively by individuals in a decision making process. Of key importance to this perception is the extent to which individuals are involved in the process itself and are able to have their say. Patterson et al (2000) noted that: 'procedural justice is important to employees because it offers some control over the process and outcomes of decisions, thereby reassuring them about the likely fairness of their long-term outcomes (2002:394). In this sense, procedural justice helps to explain the positive effects of employee participation in change (noted in Chapter 3) and this issue is taken up in the discussion in Chapter 9. In addition to being a subjective measurement, procedural justice has also been defined as a series of six rules which are objectively defined and used mainly in formal justice procedures such as courtrooms but also for formal workplace procedures such as poor performance interviews where it is better known as due process.

The final form of organisational justice is interactional justice which is the manner in which participants perceive how they were treated during the decision making process. The section turns now to examine the work of Bies and Moag (1986) on interactional justice.

### 4.2.3 Interactional Justice

In the mid 1980s, Bies and Moag (1986) established that not only were the outcome and the process important in determining the relativeness fairness of a decision, but that the interpersonal treatment of participants by the decision maker was crucial. The interactional element of perceptions of justice emerges through the way in which individuals experience interpersonal treatment in a decision making process. Rahim et al (2000) noted that: 'people also react to their perceptions regarding the social sensitivity of the interpersonal treatment they receive from decision makers' (2000:14). Similarly, Luo (2007) defined interactional justice as:

individuals' perceptions of the quality of interpersonal treatment received during the enactment of organisational decisions and procedures and includes various 'human-side' behaviours displaying social sensitivity, such as respect, honesty, dignity, and politeness, performed by the originator of justice toward the recipient of justice (2007:647).

Interactional justice highlights the importance of the social or behavioural context to the decision beyond a purely outcome or process context. If participants perceived they were being treated unfairly then this was likely to lead to a perception of unfairness in both outcome and process. Conversely, Masterson et al, 2000 found that employees are more supportive of decisions and decision makers when they experience interactions that are perceived to be fair (Masterson et al, 2000).

Colquit, Wesson, Porter, and Ng (2001) described two sub-forms of interactional justice as interpersonal justice and informational justice. Interpersonal justice focuses on the extent to which employees are 'treated with politeness, dignity, and respect', whereas informational justice focuses 'on the explanations provided to people that convey information about why procedures where used in a certain way or why outcomes were distributed in a certain fashion' (2001:427). This definition relates to the legal principle of natural justice described in the section 4.2.2 Procedural Justice, which holds that the decision maker must provide reasons for the decision and is the main principle behind court case decisions being delivered by the judge. In the context of the workplace, this implies that people have a need for explanations relating to the nature of workplace change.

The findings of Colquit et al's (2001) study suggest that interactional justice occurs not only through the process of treating people with respect and dignity during a decision making process but it also extends to the quality of information supplied which could be used either to assist with the decision making process or to help explain how a decision was made. Together with Masterson et al's (2000) observation that good interpersonal treatment is linked to greater trust in the decision maker, interactional justice emerges as a powerful tool with which to manage an

organisational change process. Another key observation in interactional justice research was that made by Tyler (1991).

Tyler (1991:23) argued that employees placed greater importance on being treated politely and courteously than simply having their rights dealt with. In other words, he noted that offering due process to employees does not in itself guarantee fairness. This is also something which Poole (2007:741) grappled with more recently:

> Administrators and policy makers often provide employees with opportunities to voice concerns and make recommendations during the decision making process, albeit from employees' perspectives it is often too little voice and too late in the process to be meaningful (2007:741).

Due process will only be seen as fair if it is accompanied by respectful treatment of the employee. It is a key finding because it suggests that employee participation in change management may not be considered fair unless those involved are treated well in the process. Further, adding the observations of Masterson et al (2000) and Colquit et al (2001) that fair treatment results in greater trust in the decision maker and fair treatment is enhanced through the provision of quality information, it is clear that participative change management may be guaranteed greater success if these elements form part of the change strategy. These issues are discussed in section 4.5 below and in the findings of the empirical work for this thesis in Chapter 8 and discussed in Chapter 9.

The shape of organisational justice in a workplace arises from the interaction of the distributive, procedural and interactional justice components and this is discussed in the next section.

## 4.3    The Relationship between the Forms of Organisational Justice

There is considerable discussion in the literature on the relationship between the differing components of organisational justice. This section considers the relationship

between distributive justice, procedural and interactional justice and the impact that they have on each other.

Walker, Lind and Thibaut (1979) identified three relationships that exist between procedural and distributive justice. Firstly, the perception of procedural justice may impact on the perception of distributive justice. The authors explained that if the process was not perceived as fair, then the outcome is likely to be perceived as unfair, regardless of whether or not it was actually unfair. In other words, being afforded procedural justice is a predictor of acceptance of the outcome. McFarlin and Sweeney's (1992) 'procedural-primary model' confirmed this observation by demonstrating that regardless of the perceptions of the outcomes of decisions in organisations, the primary factor that will affect perceptions of fairness is the process used to make the decision, or procedural justice (1992:25). This was also observed in Brockner and Wisenfeld (1996) study in which the authors noted that: 'individuals' reactions to outcome favourability depend on the degree of procedural fairness with which the decision is planned and implemented' (1996:190). Finally, Blancero (1995) explored the importance of the contribution of procedural and interactional justice in fostering of perceptions of fairness in an assessment of grievance systems in the United States. Blancero (1995) found that:

> the nature of the outcome was the major determinant of distributive
> justice ratings. However the more important, and interesting finding,
> pertains to the moderating effect of procedural justice. The moderator
> effect suggests that an unfavourable outcome can be perceived as
> favourable if it is attached to a fair process (1995:87).

The key point of Blancero's (1995) study is that not only is procedural fairness a predictor of acceptance of the outcome, it also predicts that employees will accept an adverse outcome as long as they are afforded procedural justice. The findings suggest that procedural justice is a more important justice perception (for an organisation) than is distributive justice. This has been found elsewhere. Fryxell and Gordon (1989) also noted that fairness of the process is more important than the fairness of the outcome in their observations of police and government decision making. They argued that the overall judgement of fairness in legal and political matters was more

strongly affected by the procedures adopted rather than the outcomes achieved (1989:852). The notion that a fair process may be paramount in determining whether organisational justice has been afforded was also observed by Kim and Mauborgne (1991) who noted that:

> this tendency for perceptions of procedural justice to enhance perceptions of outcome fairness and favourability, and hence to contribute both directly and indirectly to the outcome satisfaction of organisational members, has been termed the 'fair process' effect (1991:128).

Given the importance of this finding to change management, the issue is taken up in more detail considering the empirical findings of the thesis in Chapter 9.

The second of the relationships identified between distributive justice and procedural justice is that if the outcome of a process is perceived at the outset as being negative or unfair, then this will adversely impact on the perception of the process itself. This observation is particularly relevant in the context of workplace change where the outcome may be perceived as adverse at the outset. The relationship between, and the importance of procedural justice in relation to distributive justice, is well evidenced in the organisational justice literature (Tyler, 1987; Folger and Greenberg, 1985). This relationship was also discussed by Blancero (1995) in a study of fairness perceptions in relation to grievance systems. Blancero (1995) identified that: 'an unfavourable outcome can be perceived as favourable if it is attached to a fair process (1995:87)'.

The third relationship between distributive and procedural justice identified by Walker et al (1979: 1403) was that they are perceived independently of each other (1979:1403). In essence the authors argued that the two forms of organisational justice were unrelated in terms of the perceptions of participants to a decision making process and operated distinct of each other in the perceptions of employees. To better appreciate how these relationships might exist, Walker et al (1979) argued that it was necessary to consider the nature of the participation in the decision making process. The authors identified that there could be three types of perspectives that could be considered. Firstly, there were the perspectives of those who directly participated in

the decision making, secondly, the perspectives of those who did not participate in the decision making but were affected by its outcomes, and thirdly, the perspectives of those who did not participate and were not affected by the outcomes. The rationale for identifying these three groups was that the perception of fairness associated with the decision making process would be different for each. Those who directly participated in the decision making are likely to have a greater understanding and be able to make an informed assessment of the outcome and the process. Those who were affected by the outcome (but did not participate) would hold a positive or negative perception of the decision making process but could not appreciate the process. Those who did not participate and were not affected would be less likely to be able to make an informed assessment of whether the outcome or process was fair.

Walker et al (1979:1417) concluded their analysis by finding that the key variable in the issue of the relationship between distributive and procedural justice was that of participation: 'participation will result both in the perception that a comparatively fair procedure was employed and in enhancement of the perception that distributive justice was obtained, regardless of the outcome'. The importance of employee participation in fostering perceptions of fairness is a key issue in this thesis and is considered further in Chapter 9.

Whilst there is a consensus in the literature of the distinct nature between distributive justice and procedural justice, there is some debate about the extent to which procedural justice and interactional justice are considered variations of the same theme (Cohen-Charash and Spector, 2001). For instance, Cropanzano, Prehar and Chen (2002) suggested that interactional justice, or interpersonal treatment, is linked to disputant's perceptions of the process of organisational decision making and therefore concluded it was a form of procedural justice rather than a separate form. They wrote that procedural and interactional justice: 'can be seen [as] part of the process by which an allocation decision is made. Procedural justice refers to the formal aspects of the allocation process, whereas interactional justice refers to the social aspects of the process' (2002:326). The authors identified that procedural justice is related to employees' associations with the procedural aspects of the decision and that interactional justice related to employees' associations with aspects related to the manager or supervisor (the social aspects of the decision making). In

other words, interactional justice was attributed to the decision maker rather than to the process.

In their assessment of fair process Morris and Leung (2000) suggested it consisted of the interactions of both procedural justice and interactional justice. They argued that fair process could provide a foundation for organisations to ensure that decisions that were perceived to have an adverse outcome, downsizing or organisational change, could be moderated through a focus on fair process (2000:114).

In an assessment of the nature of the three forms of justice, Cohen-Charash and Spector (2001) supported the predominant view in the literature that the three forms of organisational justice each have differing impacts. In doing so they argued that through their meta-analysis of almost 200 separate studies in relation to each of the three forms of justice that there was evidence to support the existence of three distinct forms of organisational justice. In addition to identifying an evidence base for the three forms of justice they considered a range of organisational factors in order to assess whether any one form was greater than the others in determining perceptions of fairness. They found that the influence of factors in relation to the three forms of justice was related to the situation in which the question of fairness was being considered (2001:310).

Cropanzano, Bowen and Gilliland (2007) explored the nature of the interaction between all three forms of justice and indicated that the evidence of the last 20 years empirically supported the interaction of all three forms of justice. The authors considered the possible benefits that an integrated justice environment (where all three forms of justice were present) could provide to organisations. They identified four key contributions of such an environment comprising justice, building trust and commitment, improving job performance, fostering employees organisational citizenship behaviours, and building customer satisfaction and loyalty.

The interaction between the differing forms of justice was also analysed by Luo (2007) who identified that the most effective manner in which organisational change could be conducted was for participants to share high levels of both distributive and procedural justice. She identified the context of organisational change as important as

it often featured an environment where the parties had differing goals: 'distributive justice helps establish…fair collective gains, and procedural justice helps establish an effective channel for realising these gains' (2007:651).

McFarlin and Sweeney (1992) wrote that: 'both distributive and procedural justice are important predictors of work outcomes. Distributive justice tended to be a stronger predictor of personal outcomes than procedural justice, whereas the reverse was true for organisational outcomes' (1992:634).

This section reviewed the literature relating to the three organisational justice measures: distributive, procedural and interactional and considered the interplay between them. Interactional justice appears to be part of the procedural justice framework and together they form a powerful predictor of acceptance with an outcome (distributive justice) even when that outcome is adverse for the participants. The research points to the importance of employee participation in decision making processes and their ability to voice their concerns and provide feedback in forming the decision. This raises the issue of employee voice and it is pertinent now to turn to a discussion of voice.

## 4.4    Employee Voice as a Determinant of Fairness

The concept of voice was identified by Hirschman (1970) who saw it as being the extent to which an employee is able express views and be heard in workplace decision making processes. Hirschman (1970) established what became known as the 'exit-voice'-loyalty model of dissatisfaction'. This model illustrated that employees feeling dissatisfaction with an organisational decision will either exit (leave the organisation) or voice their dissatisfaction through some action (strike, bans, for instance) and attempt to change the situation. The decision to exit or voice was in turn affected by the person's loyalty to the organisation. In other words, loyal employees were less likely to exit when dissatisfied and would voice their concerns whilst employees who were less loyal or less engaged felt less inclined to voice their concerns and as such would leave the organisation (Saunders, 1992).

If voice is used it is seen to contribute positively to the process of change, whereas if voice is not used, albeit that the process was perceived as relatively fair, there is then a capacity to recast the process as unfair and lacking in engagement with those affected (Folger, 1977). That is, by allowing employees to participate in the process of change and voice their views or concerns there is greater capacity to generate perceptions of change that are fair. The link between this finding and the evidence from procedural and interactional justice research is evident. As Kim and Mauborgne (1991) expressed it, this is the fair process effect.

In describing the features of procedural justice, Cobb et al (1995) identified that the central theme was the participation of those affected. They described this as providing employees with 'voice' which the authors referred to as: 'the opportunity to express their views and have their interests known' (1995:140). The authors identified three features of procedural justice in change management. Firstly, voice is used in the reconstruction of the ground rules in the organisation after a change process has occurred. Secondly, voice is used in the capacity to seek recourse for decisions arising during a change process that was seen as unfair. Thirdly, voice is used by all participants affected by the change process and the capacity for all affected to contribute to the decision making process.

Sheppard (1985) noted that: 'presence or absence of voice in particular has not yet been contrasted to the presence or absence of more general process control to determine the relative importance of voice in perceptions of fairness' (1985:954). In other words whilst direct voice is seen to be an important part of the capacity to achieve fairer perceptions of organisational change, there are other forms in which participation can take place including what Sheppard defined as the efficacy principle, the checks and balance principle and the right of say principle. These concepts are further explored below.

Sheppard (1985) explored the relationship between the use of voice in the decision making process and its relationship to justification or the explanation of the decision that had been made. He suggest that first, the efficacy principle arises when participants perceive the process is fair when they have had a degree of control over a process leading to a favourable outcome. Second, he described a checks and balances

principle which focuses on the use of voice in relation to justification and is most commonly found in the form of an appeal process after a decision that is perceived as adverse. The third, the right of say principle, suggests that as long as voice contributes to the decision making process and is considered in the provision of the justification, then the process will be perceived to be fair (Sheppard, 1985).

If participants play no role in the decision they are less likely to perceive it is fair. If they play a limited role, for instance one where their views are consulted or they can appeal a decision, the process is likely to be perceived as more fair. If they have a greater role and contribute to the decision making process, then the theory suggests that not only will the process be perceived as fair but so will be the outcome.

Bies and Shapiro (1988) described the importance of voice and justification in the determination of justice and fairness within organisational decision making in their linking of voice to increased perceptions of a fair process and the linking of justification to increased perceptions of a fair outcome. They described this relationship as follows:

> a voice procedure that creates feelings of procedural fairness may serve as a decision-maker strategy to maintain people's support for an unfavourable decision. Similarly, a justification may minimise the appearance of impropriety by a decision maker, which may provide a necessary cushion of support when bad news occurs (1988:683).

Daly and Geyer (1994) in their assessment of organisational justice as a means of assessing fairness in large scale organisational change, identified voice as being consistent with procedural justice and justification as being consistent with distributive justice. Clearly, the interplay between participation in a decision making process, procedural and interactional justice and voice are related concepts. Future research focusing on the interconnection between these theories will prove useful to extend organisational justice theory. This chapter now moves to bring together the areas of organisational justice and workplace change.

**4.5    Organisational Justice and Workplace Change**

The research considered thus far in this chapter points to a picture of how fairness at work is constituted. The elements of procedural and interactional justice have been linked to employee acceptance of decisions and faith in their decision makers. These findings have particular importance for the management of organisational change and this section now considers the link between organisational justice and workplace change in more detail.

As described above Kim and Mauborgne (1997:69) articulated their notion of the 'fair process effect' in change management by identifying three principles: engagement, explanation and expectation. Engagement was described as the process of involving individuals or employees in the decision making process in matters which affect them and either seeking their input or allowing them to comment on the ideas of others. Engagement in this context is linked both to employee participation and to aspects of procedural and interactional justice which call for the involvement of participants.

The author's second component of the fairness effect is 'explanation' which was described as the process where all those involved in a decision are able to understand why final decisions are made and demonstrates that the engagement process has contributed to the decision making. The concept of explanation has links with the requirement under natural justice to provide reasons for decisions and corresponds to Colquit et al's (2001) finding that interactional justice comprises an information exchange step.

The third fairness effect principle identified by Kim and Mauborgne (1997) was 'expectation' which the authors described as clarity. They wrote that once decisions have been made they need to be adhered to consistently and organisational participants need to understand the implications of the decision. (Kim & Mauborgne, 1997). Again, this principle relates to the requirement in procedural justice that individuals should be provided with reasons for a decision which affects them.

Van der Heyden, Blondel and Carlock (2005) considered the concept of fair process and expanded upon the Kim and Mauborgne (1997) principles. The rationale for their

five-step model was to embed the three principles in a more explicit decision making framework. The five steps in the fair process model consisted of:

1. Engaging and framing the issue with a view to identifying optimal options
2. Exploring the implications and eliminating non-viable options
3. Deciding and explaining which option to implement
4. Implementing and executing the decision in conjunction with those affected
5. Evaluating and learning the implemented decision and learning from errors (Van der Heyden 2005:8)

Van der Heyden et al (2005) concluded their assessment of fair process by stating that fair process is not an abrogation of management prerogative but rather a commitment to a greater degree of participation in the workplace. They described this as follows:

> Fair process does not require that businesses become democracies where decisions are made by majority vote. Fair process recognises that certain members have greater responsibility over the final decisions, and therefore are given greater authority and control. Fair process has everything to do with how authority is exercised but is not about refuting this authority (2005:20).

The contribution that organisational justice can make to effective workplace change was also considered by Covin and Killman (1990:237-239) who identified 14 measures of effectiveness in organisational change that considered the dimensions of distributive justice and procedural justice. They identified two categories within these fourteen dimensions: positive-impact issues and negative-impact issues. The key findings identified were: 'the perspective from which an individual views a change process may influence the types of issues he or she views as having an important impact'. Positive-Impact Issues were defined as those that were likely to facilitate workplace change and address possible resistance from those affected by the change. Negative-Impact Issues were defined as those that were likely to impede workplace change and fail to address possible resistance from those affected by the change. Table 4.1 identifies the positive- and negative- impact issues:

**Table 4.1: Degree of Employee Participation**

| POSITIVE-IMPACT ISSUES | NEGATIVE-IMPACT ISSUES |
|---|---|
| Visible management support and commitment for a change | A perceived lack of management support by employees |
| Careful advance preparation for a successful change | The imposition of change on employees by senior managers |
| Active encouragement of employee participation in the change | Inconsistency in the actions of key managers through the change process |
| A high degree of communication with employees through the change | The establishment of unrealistic expectations on the outcome of the change |
| Articulation of a strong business-related need for change | The lack of meaningful participation for employees in the change |
| A reward system for employees that supports the necessary changes | Poor communication and a failure to share information or inform employees |
| | Absence of clarity around the program for the change |
| | A failure to appropriately identify responsibility for the change |

Source: Adapted from Colvin and Killman (1990)

Colvin and Killman (1990) concluded that an assessment of the impact issues highlights the importance of procedural and interactional justice in determining the delivery of positive-impact issues and the avoidance of negative-impact issues. They also highlighted the finding that: 'substantial evidence also exists to support the importance of employee participation in the change process' (1990:243).

It is evident from the positive and negative impact issues the importance that employee participation plays in attitudes towards perceptions of fairness. It features as both a positive and a negative issue; that is if present it creates a positive impact whilst if absent it creates a negative impact. What is also evident from the dimensions of effective workplace change identified by Colvin and Killman (1990) is that the majority of the dimensions are processes associated rather than outcome associated.

Poole (2007) reinforced the importance that employee participation has in respect of perceptions of fairness and organisational justice through a study of workplace change in the Canadian education system. She found that:

> Employees expect to receive accounts for decisions that deviate from the advice they provide – they may accept decisions that contradict their advice if decision makers can satisfactorily explain why the decision was necessary or appropriate. Meaningfully involving employees and their unions in the decision making process will provide a sense of voice and may lead to stronger perceptions of procedural justice (2007:741).

Cobb et al (1995) identified the role that procedural justice plays within the context of organisational change noting that: 'perceptions of procedural fairness, will affect fairness assessments of the change program and, most likely, perceptions of how fair will be the renewed organisation to emerge from that program' (1995:140). As indicated earlier, many researchers have found that procedural justice is a more effective indicator of organisational justice than distributive justice because it contributes to both commitment and satisfaction of employees with organisational decision making whereas distributive justice only contributes to satisfaction with the outcome. Kim and Mauborgne (1991) articulated this view as: 'when the process by which the decisions are made is viewed by those affected to be procedurally just, the higher order attitudinal forces of commitment, trust and social harmony as well as the lower order force of outcome satisfaction result within organisational members' (1991:125). The authors suggest that participative change conducted in a fairness framework will result in attitudinal change amongst participating employees.

The role of interactional justice in change management is also an important predictor of successful change. Cobb et al (1995) identified a number of interactions that leaders can perform during organisational change based on a series of fairness indicators. The first of these is described as 'causal' whereby the leader provides an environmental context which drives the change and in which the employee must operate. That is, by facilitating an environment that is informed and engaged the leader can ensure change is well received. The second is described as 'ideological'

whereby the leader identifies the overarching goals and philosophy of the organisation that justify the change process. That is, the articulation of the rational for change provides a context in which employees can consider the actual change proposal. The third is described as 'referential' and involves the leader providing an understanding of the change in the frame of reference of the organisation that the change process will facilitate. That is, by articulating the specific nature of the change that is proposed, the leader can provide a meaningful point of reference with which the employee can engage. The last is 'penitential' and takes an explicit basis of the leader apologising for adverse change outcomes (such a stance recognises that there will be adverse periods of change and that there are best acknowledged and explained).

The contribution that these interactional aspects can make in workplace change was articulated by Cobb, Folger et al (1995) in their discussion of the role that justice played in workplace change:

> Because organisational change involves changes in policies, procedures and resource allocations, issues of fairness are inherent in change programs. Justice research has shown that organisations and leaders perceived as fair command loyalty, commitment and trust (1995:135).

It is evident from the analysis of the literature that organisational justice and participative decision making provide an effective approach to the management of workplace change (Ashmos et al, 2002). It is however, difficult as Folger and Skarlicki (1999) point out to focus on just one form of justice:

> If managers attempt to create a fair workplace by focussing only on one form of justice, their success at reducing…resistance may be limited. This is because one form of justice can be offset and futile in the presence of unfairness in another form. Managers can derive benefit in terms of lower levels of …resistance from attending to all three forms of justice (1999:42).

Folger and Skarlicki (1999) considered the merits of the relative contributions of the three forms of justice in their discussion on organisational justice as a strategy for effective change management. They argued that whilst it was possible to identify that each of the different forms of justice may have differing impacts, what was more interesting was the interaction of the three forms of justice and what indications this interaction could provide in predicting behaviours of employees to resist change: 'the relationship between fairness and resistance to change is not a straightforward one, and managers can benefit from an understanding of how the three forms of justice interact to predict resistance to change' (1999:42).

Kickul, Lester and Finkl (2002) study of justice interventions during what they described as radical organisational change determined the importance of a combined approach of the various forms of justice and the merits of integrating fair outcomes, fair procedures and fair interactions. They described the impact of the combination of these forms: 'the best way for organisations to protect themselves from negative consequences that can be associated with organisational change is to be proactive in establishing clear and fair procedures and make an extra effort to ensure that all employees are treated with respect and dignity' (2002:484).

In other words, Kickul et al (2002) advocated that by focussing on procedural justice and interactional justice organisations are better able to ensure the creation of an environment that facilitates workplace change in a manner that achieves the outcomes of the change and ensures staff resistance to change is minimised.

This section reviewed the impact of perceived fairness of the process and the associated interactions of justice in change management. The key findings confirmed that where change management had afforded procedural and interactional justice employee commitment to change outcomes was attained. This thesis argues that change management programs would benefit from the incorporation of the justice principles. This raises the question of how to incorporate fairness into the change management process and this is discussed next.

## 4.6 Identifying an Approach to Measuring Organisational Justice

Whilst much has been written on the theory of justice, there has been relatively little testing of the concepts empirically. Before considering the scales that have been adopted to measure perceptions of fairness in workplace change in this thesis, it is important to consider the seminal work of Greenberg (1987, 1988, 1990) who, over a period of a number of years, identified the need for a 'methodological improvement' in the manner in which organisational justice was researched.

Greenberg (1987, 1988, 1990) indicated that such an improvement could be considered in the context of the scope, the setting and the scaling of organisational justice: 'With only a few exceptions, it is clearly the case that most of what is known about organisational justice is derived from studying people's reactions to negative situations' (1990:420). He indicated that there was a need for researchers to consider not just the adverse outcomes of organisational justice but to take a broader consideration of all outcomes and associated perceptions, including those perceived positively as well as negatively. Such a perspective would strengthen the understanding about how organisational justice is measured and lead to greater understanding of the factors that impact perceptions of fairness. In respect of measuring of organisational justice, Greenberg (1990) identified that there needed to be a consideration of the: 'scope, setting and scaling'. Scope related to the differing positive and negative reactions associated with justice, setting related to the organisational context in which justice was perceived, and scaling rerlated to the specific measures used to determine perceptions of justice (1990:420-422).

Greenberg (1987, 1988, 1990) further argued that organisational justice studies could be considered in a more meaningful context if the perception of fairness as was measured in relation to the perception of related issues such as satisfaction. The argument for such an approach was that whilst there may be perceptions of fairness there may still be perceptions of dissatisfaction. This view is canvassed in Chapter 7 when perceptions of fairness are considered in conjunction with perceptions of facilitating workplace change and perceptions of fostering employee participation.

Having considered Greenberg (1987, 1988, 1990) and his assessment of methodological measurement of organisational justice, the rest of this section canvasses the approaches to measuring organisational justice through an examination of its key dimensions: distributive, procedural and interactional justice. The section concludes with a discussion of the measurement model selected for the empirical work reported in Chapters 5 and 7.

Through the development of organisational justice theory, there have been numerous research studies that have sought to develop the capacity to methodologically measure organisational justice. Bies and Moag (1986) considered the perceptions towards organisational justice in relation to job applications, Tyler (1987) considered perceptions towards organisational justice in a legal environment, and Cropanzano and Folger (1991) considered perceptions of organisational justice related to worker motivation. In more recent research studies the areas in which perceptions of justice have been measured have been further considered including Ambrose and Cropanzano (2003) in relation to promotion decisions and Ambrose and Schminke (2003) in relation to organisational support and supervisory trust.

In considering the various research that has been undertaken in the measurement of organisational justice, this thesis has identified two studies where there were clear articulation of the dimensions surrounding each of the forms of justice. These two studies, Cobb, Folger at al (1995) and Paterson, Green and Carey (2002) had formed their dimensions based on a 'meta-analysis' of organisational justice research. In particular, these two studies considered the perceptions of organisational justice in the context of organisational change which is a key focus of this thesis.

In an assessment of the literature on organisational justice and organisational change, Cobb, Folger et al (1995) identified five dimensions of distributive justice (1995:137-140) which they used to measure fairness of outcomes in an organisational setting:

1. The final decision was based on merit
2. The decision impacted equally on all participants
3. The needs of the organisation were considered
4. The needs of the participants were considered

5. Appropriate compensation was provided for adverse decisions

These five dimensions identify a series of outcome related measures for which it is possible to measure the perceptions of participants in the context of workplace change. The authors concluded that these dimensions of organisational justice provide the opportunity to measure the perceptions of employees regarding the outcomes of organisational change.

Paterson, Green et al (2002) developed a measurement scale for procedural justice in an organisational change management context. The study related to organisational change undertaken in both private and public sector organisations. They identified six dimensions of procedural justice (2002:400):

1. Decisions were made consistently
2. Decision making processes were impartial
3. Decisions were based on accurate information
4. Opportunities were provided to employees to have input
5. Compatibility of the process with organisational ethics and values
6. Appropriate mechanisms to appeal the decision

The model for measuring organisational justice detailed by Paterson, Green et al (2002) also included six dimensions of interactional justice (2002:400):

1. There was honesty in the decision making process
2. Staff were treated courteously during the process
3. Staff had their rights respected during the process
4. The decision making process was devoid of prejudice
5. Decisions that were made were appropriately justified
6. Decisions that were made were communicated transparently

Paterson, Green et al (2002) discussed these dimensions of procedural justice as allowing for the perceptions of employees regarding both the procedures and the interactions of organisational change being able to be measured.

Having identified the various scales drawn from the literature above to identify an approach for measuring organisational justice it is now possible to identify a series of organisational justice dimensions which will be explored in further detail in Chapters 5, 6, 7 and 8.

Table 4.2 summarises the dimensions of procedural, distributive and interactional justice based on the models by Cobb, Folger et al (1995) and Paterson, Green et al (2002).

**Table 4.2: Degree of Employee Participation**

| Procedural Justice | Distributive Justice | Interactional Justice |
|---|---|---|
| Decisions are made consistently | The final decision is based on merit | There is honesty in the decision making process |
| Decision making processes are impartial | The decision impacts equally on all participants | Staff are treated courteously during the process |
| Decisions are based on accurate information | The needs of the organisation are considered | Staff have their rights respected during the process |
| Opportunities are provided for employees to have input | The needs of the participants are considered | The decision making process is devoid of prejudice |
| There is compatibility of the process with organisational ethics and values | Appropriate compensation is provided for adverse decisions | Decisions that are made are appropriately justified |
| There are appropriate mechanisms to appeal the decision | | Decisions that are made are communicated transparently |

Source: Adapted from Cobb, Folger et al (1995) and Paterson, Green et al (2002)

This section examined the key approaches for measuring organisational justice within the context of participative workplace change. The model selected to measure distributive, procedural and interactional justice for this study was also outlined and is described in more detail in Chapter 5. This chapter now moves to discuss the issue of organisational justice in the context of the HE sector.

## 4.7    Organisational Justice and Workplace Change in Higher Education

This thesis situates itself in the nexus between participative workplace change and organisational justice in the HE sector. Chapter 2 reviewed the key literature on organisational change and determined that workplace change was most effective, and better received by employees, when those affected by the change participated in the decision making associated with the workplace change. Chapter 3 then moved to examine the international literature on employee participation finding that there is considerable evidence that supports the participation of employees within organisational decision making although there are contested views on the degree and form that this participation can and should take. This chapter has also determined that participation is a key element of organisational justice because it enhances employee voice and contributes to procedural and interactional justice, two elements which predict the success of organisational decision outcomes.

It remains now to consider the nature of change, participation and fairness in the HE sector. As has been indicated in Chapters 2 and 3 the HE sector has experienced considerable level of workplace change during the last 20 years and in addition there has been some debate over the nature of employee participation and in particular, whether there has been a decline in collegial decision making.

Beyer & Lodahl (1976) outlined the relationships between management and employees in the HE sector in the US and the UK, highlighting the importance of participation in the decision making processes. The authors approached the research on participation in the sector from the perspective of organisational culture. In essence, the study indicated that the HE sector had evolved from a traditionally pluralistic decision making environment where there were expectations that major decisions would feature a strong degree of participation not only by those affected but by all interested parties within the organisation to an environment in which decisions were made by a limited number of managers in senior positions with little opportunity for broader consultation or important.

In the Australian HE sector, Williamson (2005) found a relationship between the changing nature of academic work and the weakening of favourable perceptions of

procedural justice. Williamson (2005) undertook a study of performance management in the context of a move to individualised employment conditions which involved interviews of staff from four universities. Williamson (2005) found that there was a 'level of management desire to remove certain elements of procedure' in implementing performance management schemes. He indicated that the rationale by management in doing this was for the purposes of efficiency but that: 'the genuineness of this assertion has not yet been tested (2005:630)'.

Williamson (2005) identified that the changes to the nature of the 'collectivist employment relations history' is not only evidenced by perceptions of academic employees in the move to a less fair workplace but is also one that undermines the concept operating in a collegial manner. The notion of collegial decision making was canvassed in Chapters 2 and 3 in a discussion of universities being environments where there has been a tradition of pluralistic decision making. Beyer and Lodahl (1976) defined the concept of collegial decision making as a relationship between the amount of influence exercised by unit heads relative to that exercised by faculty members. If the unit head had more influence than faculty members, then the unit was considered bureaucratic. Where faculty staff possessed more influence then the unit was considered collegial (1976:111).

In a further case of a perceived decline in collegial decision making and associated staff perceptions of unfair workplace change, Kenny (2008) explored the introduction of a workload allocation model in an Australian university. Kenny (2008) highlighted that despite endorsement for a particular model coming from affected staff the management chose a different course of action and that this was unable to be challenged due to: 'no mechanism was in place to hold management to account and limited opportunities existed to question decisions'. Kenny (2008) attributes this to the decline of collegiality and the: 'trend of individualising the workplace' (2008:17).

Van Rhyn & Holloway (2004) also explore the loss of employee participation and the decline of collegial decision making in the context of a restructure in an Australian university. They describe the adverse reaction of staff to the process as follows:

The saga to date was consistent with the literature, a classic one of a top down change management process which was on the verge of a significant breakdown because of the continued alienation of staff from any meaningful engagement with the process (2004:8).

Van Rhyn & Holloway (2004) go on to advocate a process for managing workplace change within higher education which is consistent with more traditional collegial decision making and that recognises that: 'the best approach to change management is one that actively involves all staff' (2004:9).

Karriker (2007) also explored the relationship between organisational justice, workplace change and collegiality in a recent study that examined attitudes towards workplace change that had occurred after a structural realignment in a teaching school within a United States public university. In this study he examined the impact on perceived levels of fairness after a change process where there had been detailed engagement and consultation with the affected staff. On assessing the reason for the perception of fairness and an apparent increased sense of collegiality as a result of the communication that took place between the leadership and those responsible for the implementation of the structural change, he concluded that 'proactive procedural justice' can result in employees viewing organisational change within HE more favourably. Karriker (2207) described the relationship of procedural fairness to collegiality in the context of achieving 'buy-in' from employees: 'Perhaps it is justice-induced acceptance or 'buy-in' that leads to organisational effectiveness, well beyond what might be accomplished with change alone' (2007:340).

It has been contended that the collegial structure of universities is likely to contribute to more highly developed organisational justice environments than other organisational structures (Ambrose & Schminke, 2003). In making this connection the authors described two organisational structure types: the mechanistic and the organic. Mechanistic organisational structures were described as featuring stringent rules and bureaucratic structures and were found to be less likely than organic organisations (less formalised and more flexible in nature) to have a positively moderating effect on organisational justice. This finding is important in a consideration of organisational justice in the HE sector, given that the implication arising from this research is that

the bureaucratic nature of the HE sector is in itself a mitigating factor against an organisationally just environment.

The issue of organisational justice within the Australian HE sector is considered in the context of the relationship between transformational leadership and resistance to change in a study undertaken by Cheng and Petrovic-Lazarevic (2004). This study argued that public universities had been confronted with the requirement to 'do more with less' and that the response to this had been a series of restructures and downsizing activities (2004:2). This study considered the adverse impact of change and the varying impacts that it had on the differing dimensions of organisational justice:

> When change is definite, organisational justice on the fairness dimension of both the outcome of change and the process of change becomes important in mediating consent or resistance to change. Distributive injustice leads to the seeking of retributive justice by employees, whilst procedural injustice also gives rise to interactional injustice being perceived by employees (2004:4)

This research provides some insight into the limited application of organisational justice literature in the Australian HE sector, with the key finding that change in the HE sector has significantly dismantled any notion that collegiality operates as a form of employee participation. This finding reinforces the themes explored through Chapters 6, 7 & 8 in respect to the empirical work undertaken for this thesis on the perceptions of fairness of HE staff in relation to workplace change.

## 4.8    Chapter Summary

This chapter examined the theories of organisational justice and detailed its sub elements of distributive, procedural and interactional justice. The interaction between the elements was described as providing the balance in overall organisational justice. Procedural and interactional justice were argued to be important precursors of employees' satisfaction with the outcome of a management decision. Those

employees afforded procedural and interactional justice (through participative processes) were found in the international research to be more inclined to accept the outcome of a workplace decision even when that outcome disadvantaged them. It was argued that procedural and interactional justice are important factors necessary for successful organisational change because they predict acceptance of the change.

The chapter considered measuring organisational justice before detailing the specific measures selected for this study. The chapter concluded with a consideration of organisational justice in the context of the HE sector. It was noted that despite a lack of research in this area, it is apparent that traditional notions of collegial decision making have more recently given way to more bureaucratic or managerially driven decision making.

This chapter ends the literature review for the thesis having commenced with the issues in change management and employee participation in Chapters 2 and 3 respectively. The next chapter details the research methodology for this thesis.

## CHAPTER 5 - RESEARCH METHODOLOGY

## 5.0 Introduction

The preceding three chapters analysed the international research literature relating to workplace change, employee participation and organisational justice. These three key themes provide the analytical framework for the thesis. Firstly, it has been established that effective workplace change can be achieved when those who are directly affected by the change participate in the change process. Secondly, whilst employee participation in workplace change is important, there remains a broad spectrum across the degree and form in which this participation takes place. Thirdly, organisational justice can provide a theoretical framework in which to assess employee participation within workplace change, specifically through the lens of the perception of fairness.

In addition to these three themes the contextual setting of this thesis is the Australian HE sector. From the literature, it is evident that this sector has experienced considerable workplace change through the last 20 years amidst the debate that the changes have led to a decline in collegial decision making. In order to explore theses themes in more detail, this thesis is framed around three research questions outlined in Chapter 1. This chapter revisits the research questions and details the methodology utilised to answer them and the steps taken to ensure reliability and validity of the study.

## 5.1 Research Questions

Chapter 1 provided the overall research question for the thesis:

> *To what extent is employee participation in the management of workplace change delivering organisational justice within the Australian Higher Education sector?*

This question draws together the three themes of workplace change, employee participation and organisational justice. Further, it specifically seeks to consider the relationship between the three themes in an Australian HE context. In considering

how to answer this overall research question three distinct research questions emerged.

The first research question takes up the issue of the workplace provisions for employee participation in relation to the management of workplace change.

> *To what extent has the Australian HE sector provided for employee participation in the management of workplace change?*

The Australian HE sector makes provision for participative workplace change practices through the enterprise bargaining process, but it is contended that the degree and form of employee participation will have declined over the last 10 years given the evidence outlined in Chapter 2. Section 5.2, below, discusses how this research question was operationalised.

The second research question explores the perceptions of fairness in the provisions for, and practices of, employee participation in relation to the management of workplace change.

> *To what extent do management and union representatives perceive fairness in the provisions and practices of the Australian HE sector to facilitate workplace change and foster employee participation?*

It was established in Chapter 4 that fairness is a contributing factor to the acceptance of change. This question was designed to explore the extent to which fairness or unfairness contributes to successful change in the sector. The operationalisation of this question is outlined in Section 5.3.

The third research question considers the issue of workplace practices for employee participation in relation to the management of workplace change.

> *To what extent is it possible to identify organisational practices that facilitate workplace change and foster employee participation as well as deliver organisational justice within the Australian HE sector?*

This question explores the types of practices which are in use in the HE sector which staff consider to be exemplars of bringing about workplace change through participation. This question was designed to explore the extent to which the sector might boast some 'best practice' participative practices which may assist other organisations in managing effective change. The operationalisation of this question is discussed in Section 5.4.

The results of these three research questions are presented in Chapters 6, 7 and 8 and brought together in a discussion in Chapter 9 of the relationship between the provision, perception and practice of participative workplace change within the context of the Australian HE sector. The operationalisation of the three research questions is detailed in sections 5.2, 5.3 and 5.4 below.

## 5.2    Provisions for Participative Workplace Change – Longitudinal Study

Research Question 2 asked:

> *To what extent has the Australian HE sector provided for employee participation in the management of workplace change?*

In order to answer Research Question 1 a longitudinal study in the form of an analysis of the provisions for employee participation contained in the enterprise bargaining agreements (EBAs) of the 37 public universities in Australia for both academic and general staff was undertaken. EBAs are negotiated settlements between unions and management or between groups of workers and management that result in the setting of workers' terms and conditions of work. There have been three rounds of enterprise bargaining in the HE sector since the inception of EBAs in 1991. Since 1984 Australian awards have been required to include a change management clause that specifies the manner in which change will be implemented in the organisation and these are now regular features of EBAs (see Chapter 3). These agreements are an important source of organisational policy and for our purposes they provided the

means to examine espoused policy for employee participation within workplace change.

As nearly half the 37 universities had separate EBAs for their academic and general staff, both groups were recorded separately in the longitudinal study. Further, the provisions for employee participation in workplace change were assessed by each of the 7 sector types of universities within Australia to determine whether there was any evidence of a relationship between the type of university and the degree and form of participation. These sector groupings included: the Group of Eight, the Innovative Research Universities, the Australian Technology Network, the New Generation Universities and the Regional Universities (DEST, 2005).

Two specific areas were analysed in each of the three rounds of EBAs: the degree of employee participation and the form of employee participation. The ranking of the degree of participation was based on a scale developed by the International Research Group (IRG) (1976) in their study on industrial democracy in Western Europe which defined employee participation as being: 'measured by the degree of access to the decision making process' (1976:201). The IRG (1976) scale (see Table 5.1) designated numerical values ranging from 1 to 7 to a spectrum of 'no participation' through to 'complete participation' respectively.

By way of definition, 'no participation' indicated the absence of any employee participation in the process. The next category: 'provision of information' indicated employees would be provided with access to information about a decision but with no participation in the decision making process. A more moderate form of employee participation was identified as 'provision of information before a decision is made' reflecting a window of opportunity for employee participation in the decision making process. The fourth category was defined as 'the right of employees to comment' providing for a mandated opportunity to provide feedback. The fifth category, 'obligatory consultation' ensured consultation of employees as a right in itself whilst the sixth category, 'joint decision making with employees' reflected a high degree of participation in the sense that there was active participation through some form of joint committee or decision making body. The final category, 'complete employee participation was defined as the participation of employees in all facets of the decision

making process from conception through to implementation (IRG, 1976:203). Table 5.1 depicts the scale in descending order of the degree of employee participation.

**Table 5.1: Degree of Employee Participation**

| AREA OF ANALYSIS | MEASURE OF ANALYSIS |
|---|---|
| Degree of Employee Participation | 1. No regulation<br><br>2. Information (unspecified) must be given to the group<br><br>3. Information (ex ante) must be given to the group<br><br>4. The right of initiative: group has the right to give an opinion about the issue on its own imitative<br><br>5. Consultation of group obligatory: group must always be consulted prior to the decisions taken<br><br>6. Joint decision making with group: group has veto power, must give its approval, the decision outcome is a result of bargaining<br><br>7. Group itself has the final say |

Source: IRG (1976)

The other measure used in the longitudinal survey was the form of employee participation (Table 5.2). This included the type of committee or team used as the vehicle for employees to participate, and it was measured by reference to the actual wording in the EBA referring to the structure of employee participation. After reading all change management clauses in the 37 university EBAs, it was evident that four forms of employee participation across the three enterprise bargaining rounds could be described. These comprised Joint Consultative Committees (JCCs), tripartite arrangements, bipartite arrangements and Change Management Committees (CMCs).

By way of definition, a JCC is a committee established in many EBAs to operate as a standing committee for employer and employee consultation or consideration of disputes. Bipartite arrangements differ from JCCs in that they are an explicit

arrangement between management and unions and do not include provision of broader staff (for example, non unionised staff) involvement. Tripartite arrangements are a relatively new phenomenon incorporating unions, management and employees (who are not members of the union). Finally, a change management committee is a committee specifically constituted for consultation during the management of a workplace change process and usually comprises management and union representatives.

**Table 5.2: Form of Employee Participation**

| AREA OF ANALYSIS | MEASURE OF ANALYSIS |
|---|---|
| Form of Employee Participation | Joint Consultative Committee<br><br>Tripartite Involvement (management, staff & unions)<br><br>Bipartite Involvement (management and union)<br><br>Change Management Committee |

Source: IRG (1976)

The findings of the longitudinal study are provided in detail in Chapter 6. The operationalisation of Research Question 2 is now discussed.

**5.3    Perceptions of Participative Workplace Change – Attitudinal Survey**

Research Question 2 asked:

> *To what extent do management and union representatives perceive fairness in the provisions and practices of the Australian HE sector to facilitate workplace change and foster employee participation?*

The second research question deals with the issue of the perceptions of participative workplace change by those involved in the change. This question was operationalised by undertaking a survey of the attitudes of senior management and union representatives in Australia's 37 public universities on the fairness of participative workplace change. Section 5.5 sets out the details of the data collection. The selection of this senior group of survey participants was made on the basis that they are most directly involved in workplace change and would be able to answer from direct experience. It is however accepted that this sample is, in turn, not completely representative of line managers, middle managers or lower level staff who may have voiced different opinions on the fairness or otherwise of change. The sample thus represents a limitation to the study but also points to an area for future research and this is taken up in Chapter 10.

By undertaking an attitudinal survey of senior management and union representatives, from both academic and general staff, it was intended to measure the reality of employees experiences of actual participative workplace change undertaken within their university and accordingly allow for an important point of comparison with the provisions for participative workplace change provided for in the EBAs identified in the longitudinal study. In effect the two research questions together aimed to provide a 'rhetoric versus reality' view of participative change management in the sector by comparing espoused policy against actual practice.

Alternative approaches to conducting the attitudinal survey were considered such as a series of case studies but this was discounted because the time required for such a exercise was beyond the that available for the present study. An empirical analysis of industrial disputes lodged with the Australian Industrial Relations Commission was also considered for this research but again discounted, as it would have involved a very narrow sample arguably in a more adversarial context and in a very formalised and legalistic environment. Nevertheless, these are both avenues for further research in the field.

The attitudinal survey instrument (Appendix 5) was developed using a combination of existing scales across the three key themes of the thesis: workplace change (Victor and Franckeiss, 2002), employee participation (IRG, 1976) and organisational justice

(Cobb, Foger et al, 1995 and Paterson, Green et al, 2002). These were described in detail in Chapters 2, 3 and 4

The indicators used to measure workplace change (Victor and Francekeiss 2002:36-40) consists of eight measures:

1. The ability to present reasons for the change
2. The ability to argue that change is necessary
3. The ability to describe the nature of the change
4. The ability to document the change process
5. The ability to achieve the goals of the change
6. The ability to implement the change process
7. The ability to review the change process
8. The ability to build consensus around the change

The scale for assessing employee participation was the degree of employee participation scale (IRG, 1976:203) which was used in the longitudinal study. As discussed above, the seven elements in the scale comprised:

1. No regulation
2. Information (unspecified) must be given to the group
3. Information (ex ante) must be given to the group
4. The right of initiative: group has the right to give an opinion about the issue on its own imitative
5. Consultation of group obligatory: group must always be consulted prior to the decisions taken
6. Joint decision making with group: group has veto power, must give its approval, the decision outcome is a result of bargaining
7. Group itself has the final say

The organisational justice scale comprised three different subscales based on the three known dimensions of organisational justice: distributive justice (the fairness of the outcome), procedural justice (fairness of the process) and interactional justice (fairness of the interpersonal treatment). These dimensions were described in detail in

Chapter 4. The scale for assessing distributive justice was developed by Cobb, Folger et al (1995:137-140). They identified five indicators of distributive justice:

1. The final decision was based on merit
2. The decision impacted equally on all participants
3. The needs of the organisation were considered
4. The needs of the participants were considered
5. Appropriate compensation was provided for adverse decisions

The scale for assessing procedural justice was developed Paterson, Green et al (2002:400) who identified six indicators for procedural justice:

1. Decisions were made consistently
2. Decision making processes were impartial
3. Decisions were based on accurate information
4. Opportunities were provided to employees to have input
5. Compatibility of the process with organisational ethics and values
6. Appropriate mechanisms to appeal the decision

Finally, the scale for assessing interactional justice was developed by Paterson, Green et al (2002:400) who identified six indicators for interactional justice:

1. There was honesty in the decision making process
2. Staff were treated courteously during the process
3. Staff had their rights respected during the process
4. The decision making process was devoid of prejudice
5. Decisions that were made were appropriately justified
6. Decisions that were made were communicated transparently

Each of the five areas of the survey (change, participation and the three justice areas) utilised a five point Likert Scale ranging across the following answers: very low, low, neutral, high and very high. For each question there was also an opportunity to provide written comments to support or illustrate the answer.

The next section turns now to the operationalisation of Research Question 3.


## 5.4    Practices for Participative Workplace Change – Participant Interviews

Research Question 3 asked:

> *To what extent is it possible to identify organisational practices that facilitate change and foster participation as well as deliver organisational justice within the Australian HE sector?*

The third research question deals with the issue of practices for participative workplace change as identified by senior management and union representatives directly involved in the management of workplace change. This question was operationalised by undertaking 20 interviews. The participants selected for these interviews were drawn from management and union respondents to the attitudinal survey.

Semi-Structured Interviews were seen as providing a strong qualitative research approach that could provide greater insight into the nature of the divergence found between management and union representatives in the Attitudinal Survey (Yin, 1994). In addition to providing a form of validation and reliability for these earlier results, it was also designed to provide insight into whether there was possible convergence between management and union respondents when considered from the perspective of both the 17 dimensions of organisational justice as well as specific organisational practices for participative workplace change.

To answer the third research question a series of interviews were conducted to determine which organisational change practices (if any) could be enhanced through participative workplace change. Research Question 3 sought to expand on the findings of the attitudinal survey and to see whether there were some workplace practices that would lend themselves more readily to participation and were considered more fair than others. The details of participants interviewed for Research Question 3 are provided in section 5.5 on data collection. The interviews occurred six to nine months

following the administration of the survey by which time the data had been analysed and participants were provided with a summary of the findings. The findings, which are detailed in Chapter 7 displayed significant divergence of opinion between management and union representatives. Interviewees' reflections on the findings, and particularly the level of divergence and areas of convergence, were recorded as part of the interviews.

Interviewees were asked a series of three questions across five separate areas described in the model of organisational change described by Victor and Franckeiss (2002):

1. Change management;
2. Employee participation;
3. Distributive justice;
4. Procedural justice; and
5. Interactional justice

Consistent definitions of these five areas were explained to the interviewees so that responses could be readily compared. Interviewees were then presented with the findings of the attitudinal survey and were asked to comment on these. The first question for each of the five areas asked interviewees to reflect on the findings of divergence in the results between management and union responses in the attitudinal survey:

> *To what extent do you think this finding of divergence is an accurate reflection...?*

The second question for each of the five areas contained two parts. First, participants were asked to reflect on the survey results in relation to their perceptions on the facilitation of workplace change and the fostering of employee participation:

> *What do you think it suggests about the effectiveness of universities in the Australian HE sector in facilitating **workplace change** and in fostering **employee participation**?*

Interviewees were then asked to consider each of the dimensions of organisational justice (as set out in the scales for the attitudinal survey) and make a high or low impact assessment in relation to their capacity to facilitate workplace change and to foster employee participation. This question specifically sought to move interviewees away from commenting on the attitudinal survey findings and focus on their own view of the importance of each justice factor. Further, it endeavoured to determine whether an organisational justice approach could identify any areas of possible convergence between management and union participants that the earlier attitudinal survey had not elicited. The second question was:

> *For each of the justice dimensions, how would you assess them (high or low) with regard to their capacity to facilitate workplace change and foster employee participation?*

The final question for each of the five areas involved participants being asked to identify organisational practices that they had observed, experienced or initiated, where they had perceived that there had been convergence between management and union representatives in relation to workplace change:

> *Can you identify organisational practices in relation to workplace change that might lead to greater convergence between management and union views…?*

It was anticipated that the results of the interviews would provide three key findings in relation to the contribution to the research questions for this thesis. Firstly, that the in-depth qualitative nature of the interviews would allow for a validation, or otherwise, on the divergence (or convergence) between management and union representatives towards participative workplace change. Secondly, that it would allow for a detailed assessment of the perceptions of justice in relation to workplace change and employee participation, and specifically whether this organisational justice lens may indicate areas where there was greater convergence than otherwise suggested by the results of the attitudinal survey. Thirdly, that it would allow for an identification of particular organisational practices that both management and union participants

could agree upon as providing a basis to recommend practices in the Australian HE sector that could facilitate and foster participative workplace change.

## 5.5    Data Collection

As outlined above, data was collected for this study from three distinct sources: an empirical analysis of enterprise bargaining agreements; the views of selected management and union representatives from an attitudinal survey; and detailed reflections and observations from the interviews with a sub-set of the management and union representatives who responded to the questionnaire. This section sets out the details of how the data was collected.

### 5.5.1    Longitudinal Study Data Collection

Three EBA rounds for the Australian HE sector were examined on the basis that the period covered about 10 years which was, arguably, a sufficient enough time span to allow for meaningful analysis of changes in policy. Further, the final round occurred at the time of data collection for this thesis so it was timely to include it. It was decided to commence the analysis of the three EBA rounds from Round II rather than Round I. This was because Round I (1994-1996) represented the initial establishment of institution-based EBAs that had arisen from a sector wide award restructuring process. As a result the clauses relating to participative workplace change were initially identical in each of the 37 Universities. Thereafter the effects of negotiation had their effect. Round I was treated in this thesis as the benchmark from which other changes occurred. That benchmark was determined by the workplace change clause in the sector awards, the Australian Universities Academic and Related Staff (Salaries) Award 1987, and the Higher Education General and Salaried Staff (Interim) Award 1989, which described the nature of participative workplace change as follows:

> *The parties acknowledge that the sound management of workplace change requires the involvement of the people who will be directly affected by the change.*

Round II covered the period of 1997-1999, Round III covered 2000-2002, and Round IV covered the period of 2003-2006. The EBAs were accessed through the Commonwealth Government web based register of awards and agreements called WageNet and accessed on line through www.wagenet.gov.au. Enterprise agreements, having been certified by the AIRC, were obtained for all 37 public universities for each of the three rounds. Where separate agreements existed for academic and general staff these were also obtained.

A copy of the full listing of enterprise agreements across the three rounds can be found at Appendix 1 and Appendix 2. These two appendices list each of the relevant EBAs across the three rounds and the specific workplace change clause.

The agreements were then analysed and the degree and form of employee participation was classified utilising the two scales developed based on the IRG (1976) research. This analysis was undertaken within each round for each university before moving to the next round. This process of analysis and classification was repeated on three separate occasions to validate the classification decision.

The summary listing for the analysis and classification is included in Appendix Three and examples of the clauses and their classification are discussed in further detail in Chapter 6. Hard copies of all the clauses across the three rounds of the Longitudinal Study have been maintained as part of the records of the doctoral study and are available for more detailed consideration.

### 5.5.2    Attitudinal Survey Data Collection

The attitudinal survey was piloted with three senior executives and three union executive members from the Workplace Consultative Committee of Victoria University. The pilot involved these six staff completing the survey and then being interviewed to ascertain the ease of understanding of the questions, the flow of the differing sections of the survey, as well as the use of language and terminology.

Following the pilot, some minor changes were made to the questionnaire. These changes were in the areas of language in relation to definitions of what constituted

workplace change and what constituted employee participation. The questionnaire was also changed to enhance layout and ease of flow in answering subsequent questions following consultation with pilot respondents.

A survey database was constructed manually from the publicly accessible websites of the Australian Vice-Chancellors' Committee and from the website of the National Tertiary Education Union (NTEU) and included names, phone numbers, email addresses and mail addresses. The survey was then dispatched via hard copy mail with a reply-paid envelope. The rationale for a hard copy survey rather than an electronic one rested on a belief that the sample group were in receipt of substantial volumes of email including email based survey requests. Alternatively the use of a traditional paper based survey was more likely to attract greater attention and interest. A supporting letter was included, signed by both the Vice-Chancellor and National Tertiary Education Union President of Victoria University encouraging recipients to complete the survey. The researcher was successful in negotiating this bipartite approach in order to demonstrate to potential respondents that the research was primarily concerned in findings that would be of assistance to both management and union representatives.

The survey was administered in September 2006 to a sample group of 580 staff across the 37 public universities. The sample group was made up of two sub-samples: 228 staff employed as senior executives (both academic and general) within the universities and 352 staff employed as union executives (both academic and general) within the universities. Following the dispatch by mail a total of 134 surveys (23%) were returned within four weeks. An email reminder was sent encouraging the return of the survey and indicating the initial response rate received. The benefits of this 'multi-modal' approach to survey distribution, that is a combination of mail and email, was recommended by Woong Yun and Trumbo (2000:26) who concluded: 'we believe that the differences detected in the response groups indicate that using multi-mode survey techniques improve the representativeness of the sample, without biasing other results'.

Finally, 170 responses were received representing a response rate of 29%. This comprised a total of 55 management responses (from 228 sent out); a response rate of

24% and a total of 115 union responses (from 352) representing a response rate of 33%. The response rate by employment type of the respondent group comprised 58% academic staff and 42% general staff. In the case of the management respondents there were 56% academic and 44% general and in the case of union respondents there were 58% academic and 42% general.

Response rates were also broken down into university groupings operating within the Australian HE Sector. The Group of Eight features the eight oldest universities in Australia established before the 1950s and with a research-intensive focus. The Innovative Research Universities are the seven universities that were established during the 1960s and 1970s and have a targeted research focus to their activities. The Australian Technology Network features five universities that were established during the 1980s that had come out of backgrounds as institutes of technology. The New Generation Universities features ten universities that were established during the 1990s and generally were the product of amalgamations of former colleges of advanced education. The Regional Universities feature seven universities that were established between the 1950s and the 1990s and are based in regional or rural centres (Australian Education Network, 2007). The response by sector type ranged from 27% for the Group of Eight Universities to 34% for the Regional Universities.

The 55 management respondents allowed for broad comparison of their attitudes towards change to be compared to union respondents. However, meaningful comparisons across role types within sector type could not be done, as the sub samples were small. Similarly, given the total number of union responses was more than double those of management, the ability to compare academic and general responses, without breaking these categories down into management and union role type was problematic. As such, and for the purposes of further analysis, the remaining sections of the survey were analysed with regard to the attitudinal differences between management and union responses as well as attitudinal differences between sector types with an emphasis on identifying where there was convergence or divergence of opinion in regards to issues of the facilitation of workplace change management, the fostering of employee participation, and the perceptions of organisational justice.

### 5.5.3 Semi-Structured Interviews Data Collection

Participants were sourced directly from the administration of the attitudinal survey. Question 20 of the survey asked respondents whether they were willing to participate in an interview. Thus, the participants for the interviews were self selected but had to be reduced from a larger pool of volunteers, for reasons of the limited resources available to the researcher. A total of 76 of the 170 respondents to the Attitude Survey indicated preparedness for a follow-up interview.

Of these respondents an equal number of Academic Management, Academic Union, General Management and General Union representatives (5 in each category) were selected. Interviewees were drawn from across 13 of the 37 public universities and from across two states and one territory. The basis for the selection was to provide a relative representation across university sector types as well as representation across a broad geographic area.

The 20 interviewees selected broadly represented the university sector types. There were seven from New Generation Universities, five from Group of Eight Universities, and three each from the Australian Technology Network Universities, the Innovative Research Universities and the Regional Universities. Gender representation was more difficult to balance than sector balance (given that participants had self-selected themselves for eligibility for follow-up interview), with 13 male participants and seven female participants finally selected.

To arrange the interviews, participants were contacted via email and provided with a copy of a Working Paper written by the researcher that contained the aggregate results for the attitudinal survey as well as a copy of the questions to be conducted for the interview (Appendix 6).

In accordance with the requirements of Victoria University, approval was granted by the University Ethics Committee to conduct interviews and surveys based on the following criteria:

- The interviews were voluntary and participants could choose to exit the interview at any time;
- The participants remained anonymous and unidentifiable by reference to their positions or location;
- The institutions remained un-named and unidentifiable.

Interviewing commenced in early March 2007 and concluded in June 2007. The scheduling of interviews was determined in consultation with the interviewees. Interviews with all parties took were between one and two hours duration and were conducted at the workplace of each respondent. In all cases interviews were held during paid time. With prior permission, all interviews were recorded. Comprehensive notes were also taken during the interview session. All interviews were then transcribed.

## 5.6    Justification of Research Methodology

In considering approaches to research methodology, Denzin and Lincoln (2005:22) identified the need for a specific research paradigm in which to consider the research question which provides: 'an interpretative framework, a basic set of beliefs that guides actions'. Based on an analysis of the three themes of workplace change, employee participation and organisational justice, this thesis utilised a methodology that explored the provision, perception and practices associated with employee participation in workplace change in the Australian HE sector.

The justification for this approach is that it sought to assess the extent to which provision was made for participative workplace change, the extent to which this was perceived as fair by key participants from the sector, management and union representatives, and finally the extent to which there were practices that management and union representatives felt could provide for organisational justice in participative workplace change.

This approach considered three lines of complementary enquiry that in turn sought to provide triangulation of the research findings. These lines of enquiry have been

described above. The issue of triangulation is explored in further detail below in the assessment of the reliability and validity of the research undertaken in the thesis.

## 5.7     Reliability and Validity

Reliability and validity have been identified as being necessary in order to represent essential criteria for the design of research (Kirk and Miller, 1986; Yin, 1994). The following discussion outlines the measures taken in this thesis to ensure adherence to the principles of reliability and validity.

### 5.7.1     Data Triangulation and Methodological Triangulation

Triangulation refers to the use of multiple data sources, perspectives and methods to confirm the conclusions derived from the data (Schwandt, 1997). Data triangulation is achieved when data is collected from a number of sources such as from actors from different levels of participants within a workplace or sector. In this thesis participants comprised management and union executives across the Australian HE sector who were surveyed and a sample of them interviewed. The thesis also analysed utilised a variety of techniques were employed including a literature review, an empirical analysis of enterprise agreements with a longitudinal approach, an attitudinal survey explored experiences and perceptions of fairness towards employee participation in workplace change, as well as interviews with management and union executives in relation to the perceived divergence over participative workplace change that arose from the attitudinal survey. The most important reason for using multiple sources of evidence is to develop converging lines of inquiry, thus triangulation (Kirk and Miller, 1986; Yin, 1994).

At each level of inquiry in this thesis, there has been a level of data triangulation. For instance, the results of the longitudinal study were used to develop the questions administered in the attitudinal survey. The results of the attitudinal survey were in turn used to inform the questions explored within the Semi-Structured Interviews.

### 5.7.2 Construct and Internal Validity

Construct validity refers to the soundness of the design of case study or survey measures to ensure that they accurately reflect the topic being investigated (Kirk and Miller, 1986; Yin, 1994). Using multiple sources of evidence, particularly in data collection, assists in creating construct validity by generating convergent lines of inquiry towards the same outcome. A series of supportive pieces of evidence that provide clear links between the questions asked and the data collected provides a means of confirming the findings with its empirical source and is a form of construct validity. The ability to check interview and research findings against the views of selected management and union representatives provided not only a means of triangulation but also a check on the soundness of the research design. Importantly, this also provided a means to ensure internal validity by seeking to eliminate other factors not explored which may have been causal but were ignored in the study. Overall, there was a systematic attempt in the thesis to correlate the empirical evidence in the provision of participative workplace change, with the attitudinal evidence towards the perception and practices of participative workplace change, in conjunction with the key themes that emerged from within the literature which, it is argued, has maximised the construct validity of the thesis.

### 5.7.3 Reliability

Reliability refers to the capacity for other researchers to replicate the results having chosen to investigate the same topic using the same procedures (Kirk & Miller, 1986; Yin, 1994). This means that the research procedure must be well documented and contain traceable evidence which links the conclusions to the findings. The thesis utilised and has retained notes taken, which draw together the themes within the literature with the empirical findings. Further, databases of the analysis of the enterprise agreements, the analysis of the survey responses, and the interview results have also been retained. These sources of documented processes and observations are available for scrutiny.

Having considered the justification for the research methodology it is now necessary to consider the possible identified limitations associated with the research studies.

## 5.8    Limitations of Research Methodology

In adopting any research methodology there will inevitably be limitations and it is important to acknowledge these. For this work, three limitations are identified. Whilst some present scope for further research, none arguably, detract from the integrity and value of the study at hand.

The first limitation is that the context for the research is limited to the HE sector in Australia, and to public universities. Private universities are not included in this study. The TAFE sector has also undergone considerable change and future research will be needed to evaluate participative change in these institutions and whether it differs from the public HE environment in order to gain a more comprehensive picture of the management of change and participation in the sector as a whole.

The second limitation is that the participants of the survey and interviews are from senior management and from senior union representatives rather than a wider range of HE participants. Whilst a broader sample size of lower and middle level staff may have provided a more accurate picture of workplace change in Australian HE for those arguably most affected by it, this was not possible given the resources available to the researcher. Such a large scale study remains an area of future research which will shed further light on change management in the sector. The present study limits itself to the feedback from those who had direct experience of the change process, its consultative mechanisms and information regarding the effect of the change.

Finally, it was a limitation of the study that only 20 interviews were conducted. With greater resources this limitation could be overcome in future research. There were also only a small number of women who participated in the interviews and this too is a limitation, particularly given the relatively even numbers of women and men employed in the sector. The limitations arose from relying on self nomination of survey respondents and also because of limited resources and time available to the researcher. Again, a larger sample of women may have led to some different

conclusions on the nature of participative practices and future research should address this also.


## 5.9    Chapter Summary

This chapter identified the three research questions which have driven the enquiry into workplace change, organisational justice and employee participation in the HE sector. The chapter detailed the operationalisation of each question and described the longitudinal study of EBAs, an attitudinal survey of senior HE management and union representatives, and interviews with a smaller sample of the management and union respondents to the survey.

This chapter has also revealed the processes used in the data gathering and addressed the issues of reliability and validity associated with the study. The methodology was justified and three limitations of the study were discussed. Chapters 6, 7 and 8 now move to discuss the findings of the study. Chapter 6 commences this process with the findings of the longitudinal analysis of EBAs.

# CHAPTER 6 – PROVISIONS FOR EMPLOYEE PARTICIPATION IN WORKPLACE CHANGE IN AUSTRALIAN HIGHER EDUCATION

## 6.0    Introduction

The previous chapter outlined the three research questions driving this study and their associated approaches to collecting data on change management in the Australian HE sector. These included a longitudinal study of the change management clauses in HE enterprise agreements, a survey of the attitudes of senior staff across the sector and a series of interviews with key staff on the fairness of the change process and the opportunities for employee participation. This Chapter reports the findings of the first of the research questions through investigating the provisions for participative workplace change across the sector.

The first research question considered the issue of the EBA provisions pertaining to employee participation in workplace change. The research question asked:

> *To what extent has the Australian HE sector provided for employee participation in the management of workplace change?*

The chapter draws upon the academic literature and the empirical research conducted for this thesis to trace the development and transformation of change management provisions in enterprise agreements since the inception of enterprise bargaining in 1991. The chapter commences with a discussion of the degree and form of employee participation in workplace change before moving to consider the types of provisions in the HE sector and their implications for participative and fair change management.

## 6.1    Provisions for Participative Workplace Change

As described in Chapter 2, the landmark case in Australian industrial relations that enshrined the principle of employee participation in managing workplace change was the Australian Industrial Relations Commission's 1984 'Termination, Change and Redundancy Decision' (AIRC [1984] 8 IR 34). This decision, which came to be

known as the TCR Decision, saw the incorporation into awards, and (later) enterprise agreements, of explicit clauses to guarantee employee (and union) consultation and participation in significant workplace change processes (Davis and Lansbury, 1989).

The AIRC decision acknowledged that procedures for notification, consultation and provision of information to workers, has traditionally been settled by negotiation in Australia and that this principle should drive the decision to enforce change management provisions into the Australian award system. That said, the AIRC decided that it was, nevertheless, vital to include a requirement for consultation to take place with employees and their representatives 'with employees and their representatives as soon as a firm decision has been taken about major changes in production, program, organization, structure or technology which are likely to have significant effects on employees' (AIRC [1984] 8 IR 34). The terms of the TCR clause required employers to provide written notification to their workforce on all relevant information pertaining to the change including the effect of the change on employees.

In contrast to the range of empirical studies on employee participation in Australia which were canvassed in Chapter 2, there is a significant gap in research on participation under the TCR clause (Brown and Ainsworth, 2000). This thesis sought to go some way in bridging that gap by exploring the manner in which Australian universities have expressed the TCR Decision in their EBAs and how, over successive EBAs, the clause may have altered the degree and form of employee participation in the management of workplace change.

It was explained in Chapter 2 that employee participation strategies have evolved to dominate as a form of human resource management and industrial relations strategies. Chapters 3 established that participation of employees was linked with successful change management outcomes and in Chapter 4 it was shown that participation was an essential predictor of perceptions of workplace justice. The role of participation thus presents itself as a key criteria for organisational decision making. For instance, Davis and Lansbury (1989:34) explained that the importance of management-employee consultation at the workplace lies in the opportunity for employees to discover more about workplace issues and to influence their determination. Arguably,

an organisational approach that fosters employee participation supports management by creating a more participative and empowered workforce (Dunphy and Stace, 1988).

In considering the degree of employee participation, debate in the research has centred on concepts of employee participation and industrial democracy. Some have held that they are variants of the same theme (Black and Gregersen, 1997). Others have referred to fundamentally different roles for employees in each process that relate to the degree of influence or power they exert within the organisation (Teicher, 1992). What is certain is that the literature on employee participation is vast and often contradictory (Collon, 2003). At times, unions and employers have (for different reasons) promoted participation schemes. For instance, unions can view worker participation as a means of deriving greater power and control over business decisions whilst employers can use worker participation to improve productivity and efficiency.

The form of employee participation can dictate both the depth and the timing of the participation (Harley, Hyman and Thompson, 2005). For instance, the timing of employee participation has been described as important a factor in designing a participation strategy as the degree of involvement itself (Teicher, 1992; Black and Gregersen, 1997). This is because the participation of employees might occur well before any change and encompasses their engagement throughout the entire process, including accepting their input into the type and extent of change. The early timing, in this case, would enhance the depth of employee participation. Alternatively, it might entail late and minimal employee input, perhaps to gain endorsement of a management decision.

In an industrial relations context, the form of employee participation is critical to understanding the nature of the employment relationship (Marchington, 2005). It can be argued that enterprise bargaining is a form of industrial democracy with its focus on bargaining over conditions between employers and the representatives of employees. On the other hand, participation suggests a type of decision making more akin to consultation rather than bargaining. Thus, it is not surprising that employee participation is described as encompassing a broad spectrum of activity ranging from minimal to complete participation in the decision making process (Pateman, 1970).

The notion of a scale of employee participation became the basis for the analysis of employee participation by the IRG (1976) through its key European industrial relations survey. This analysis identified a model that encompassed a scale ranging from 'no employee participation' through to 'complete employee participation'. The IRG scale is explained in full in Chapter 3 and is summarised in Section 6.3 below. The IRG model takes into account a key issue in the research in relation to the nature of depth or degree of participation that indicates a level of employee control over decision making rather than mere consultation (Marchington, 2005). The model has been subsequently widely used in research into employee participation (Dachler and Wilpert, 1978; Nutt 1984; Cotton, Vollrath et. al., 1990; Morgan and Zeffane, 2003). For these reasons it was decided to utilise the model in the present study.

## 6.2    Higher Education Participative Change Management Provisions

This chapter reports on an analysis of EBA change management clauses utilising the IRG (1976) model to examine the evolution of the TCR Decision in the Australian HE Sector. Each clause in the EBAs from each of the 37 Australian public universities was classified according to the degree and form of participation according to the IRG (1976) scale. The findings are discussed below in Section 6.3 and Appendix 3 provides the raw data for each university.

In addition to the extensive organisational change program across Australian HE institutions that has occurred during the last 20 years, the sector also experienced significant industrial relations change, particularly in the area of wages setting. This was achieved through the 1980s and 1990s, first in the processes of award restructuring and the structural efficiency principles, and then through enterprise bargaining. Award restructuring resulted in the rationalisation of significant occupational awards to form a single award for academics and another for general staff, prescribing minimum terms and conditions of employment. These awards are the Australian Universities Academic and Related Staff (Salaries) Award 1987, and the Higher Education General and Salaried Staff (Interim) Award 1989, respectively. Shortly afterwards and from 1993 onwards, in line with other industry sectors, the HE

sector moved towards institution-based enterprise agreements, negotiated directly between unions and university management.

The impetus for change in the sector was further heightened by the more recent development in 2005 by the then Coalition Federal Government through its Higher Education Workplace Reform Requirements (HEWWRs) (Department of Education, Science and Training, 2005). The changes sought to link funding of the sector to the introduction of enterprise agreements which: enhanced the business needs of the institution, promoted direct employee-employer relationships (prohibiting the automatic involvement of unions), and extended individual agreements to employees through Australian Workplace Agreements (AWAs) (individual contracts) (Nelson, 2005). These reforms required universities to amend their EBAs or risk losing between 2.5 per cent and 7.5 per cent of Commonwealth funding.

As a result of enterprise bargaining, each of the 37 public universities negotiated specific local conditions based on the underlying national award provisions. There have been four rounds of enterprise bargaining within the sector, each prescribing a three-year duration. The first round covered the period of 1993-1996, the second: 1997-2000, the third: 2001-2003, and the fourth 2004-2006. The actual start date of agreements differs across institutions so these dates are indicative of the overall cycle of the sector. The history of having common award provisions for change management processes enshrined in the TCR Decision meant that there was a high degree of commonality in the first round of enterprise agreements of Australian universities. In other words, almost all of the initial EBAs reflected the basic TCR Decision of the underlying common award.

As indicated in Chapter 5, the beginning point for the longitudinal analysis of EBA provisions for change management was from the second EBA round in 1997 and extended through to the fourth round in 2006. The initial provision for employee participation in workplace change in the Australian HE sector came from the *Australian Post-Compulsory and Higher Education Academic Salaries (Consolidated) Award (1989)* and the *Higher Education General and Salaried Staff (Interim) Award (1989)* which described the nature of participative workplace change as follows:

*The parties acknowledge that the sound management of workplace change requires the involvement of the people who will be directly affected by the change.*

The next section turns to the analysis of the change management provisions in the final three rounds of EBAs in the sector: Rounds II, III and IV, and reports on the changing nature of the degree and form of employee participation for workplace change as universities moved to further tailor the provisions to their own change management needs.

### 6.2.1 The Degree of Employee Participation

The extent to which employees participate in HE workplace change was a key research question for this thesis and this section considers the degree of employee participation provided by HE EBAs. As described in Chapter 5 the degree of employee participation gauged by the EBA provisions was measured on a scale developed by the IRG (1976) revised to use the following terminology:

1. There was no employee participation
   (No employee participation)
2. Employees were provided with information on the change
   (Provision of information)
3. Employees were provided with information before a final decision was made
   (Information before final decision)
4. Employees had the right to comment on the change
   (The right to comment)
5. Employee consultation was an obligatory part of the change process
   (Obligatory consultation)
6. Employees were joint decision makers in the change management process
   (Joint decision making)
7. Employees had complete participation in the change management process
   (Complete employee participation)

The descriptors listed under each item in parentheses are the summary descriptor used throughout the rest of the chapter and the associated figures.

In Round I, all universities had separate EBAs for academic and general staff. By Round II just over half the universities had separate EBAs for academic and general staff (55 per cent) and the remaining universities had combined these into one single instrument. This reflects a national move towards combined institution-wide agreements. By Round IV the vast majority of universities (95 per cent) had a common EBA for all staff.

For each of the three rounds of enterprise bargaining the workplace change clause was selected and analysed against the IRG scale listed above. The full list of the EBA clauses across the three rounds can be found in Appendix 1 (Academic Staff) and Appendix 2 (General Staff). To demonstrate how the EBA clauses were assessed for the degree of employee participation using the IRG scale, Tables 6.1 through to 6.5 below provide extracts from selected EBAs of the five sector types of universities for four items of the scale. The detailed assessment can be found at Appendix 3.

**Table 6.1: Group of Eight Universities – Degree of Employee Participation**

| DEGREE | GROUP OF EIGHT UNIVERSITIES |
|---|---|
| **Joint Decision Making** | "The parties agree that, when an issue has been identified which may require action and which may lead to significant effects on staff, *they will jointly determine* whether change is necessary" |
| **Obligatory Consultation** | "Where university senior management proposes a major change to work organisation *the university will consult* with its staff members and unions in advance about the need for change" |
| **The Right to Comment** | "The university shall discuss with employees the introduction of changes, the effects the changes are likely to have on employees and *give prompt consideration to matters raised by employees*" |
| **Info. Before Fin. Decision** | Not assessed at this degree. |

Source: EBA Analysis (n=37)

**Table 6.2: Innovative Research Universities – Degree of Employee Participation**

| DEGREE | INNOVATIVE RESEARCH UNIVERSITIES |
|---|---|
| **Joint Decision Making** | "The parties agree that genuine consultation involves a commitment to an open and active process of *joint decision making*" |
| **Obligatory Consultation** | "When the university proposes change of this nature, *it will first consult* with the union about the need for change, the scope of the change and identification of affected staff" |
| **The Right to Comment** | "Consideration of issues which may lead to workplace change shall be *discussed with staff members liable to be directly affected prior to a final decision* being taken to proceed with such changes" |
| **Info. Before Fin. Decision** | Not assessed at this degree. |

Source: EBA Analysis (n=37)

**Table 6.3: Australian Technology Network – Degree of Employee Participation**

| DEGREE | AUSTRALIAN TECHNOLOGY NETWORK |
|---|---|
| **Joint Decision Making** | "When the university proposes a significant change to work organisation *it will determine with the union* about the need for change" |
| **Obligatory Consultation** | "*Consultation over workplace change shall occur* as soon as practicable after the change is first contemplated" |
| **The Right to Comment** | "Where the university has determined that initiatives are likely to result in significant effects for staff, then those staff shall be advised and *have the right of comment* on the proposals" |
| **Info. Before Fin. Decision** | Not assessed at this degree. |

Source: EBA Analysis (n=37)

**Table 6.4: New Generation Universities – Degree of Employee Participation**

| DEGREE | NEW GENERATION UNIVERSITIES |
|---|---|
| **Joint Decision Making** | "The best practice management of workplace change requires the *collegiate involvement of the persons who will be affected by change in determining* its planning and implementation" |
| **Obligatory Consultation** | "If a decision is taken to proceed with change, *the university will consult* with unions and employees about the implementation of that change" |
| **The Right of Comment** | "All employees likely to be affected by the reform process will have the opportunity to discuss the reform with the university and *to comment on the proposed documentation*" |
| **Info. Before Fin. Decision** | "When the university has developed a proposal for any substantial organisational change *it will inform the affected staff* and their union" |

Source: EBA Analysis (n=37)

**Table 6.5: Non-aligned Universities – Degree of Employee Participation**

| DEGREE | NON-ALIGNED UNIVERSITIES |
|---|---|
| **Joint Decision Making** | "The consultation process should ensure that all relevant staff are consulted and that *staff are jointly involved* in the final decision" |
| **Obligatory Consultation** | "Where the university is contemplating workplace change of a significant nature, *the university shall consult with the staff* members likely to be affected and discuss with their unions" |
| **Right of Comment** | "The university *shall give due consideration to matters identified by staff* members and their unions" |
| **Info. Before Fin. Decision** | "Where a head of cost centre has identified a need for organisational change, *they shall inform staff* within the relevant cost centre" |

Source: EBA Analysis (n=37)

Figure 6.1 and Figure 6.2 provide histograms depicting the degree of employee participation espoused in university EBAs over the last three rounds for academic and general staff respectively. In the case of academic staff (Figure 6.1) the analysis indicates that Obligatory Consultation (IRG Degree Rating 5) is the main type of

participation for these employees and had increased from 54 per cent to 59 per cent from Round II to Round IV. Joint Decision Making (IRG Degree Rating 6) declined from 27 per cent in Round II to 8 per cent in Round IV. The Right to Comment (IRG Degree Rating 4) increased from 19 per cent to 27 per cent. No university recorded scores on Complete Participation (IRG Degree Rating 7) or the two lower measures of Provision of Information (IRG Degree Rating 2) or No Employee Participation (IRG Degree Rating 1).

In the case of General Staff (Figure 6.2) the analysis indicates that Obligatory Consultation (IRG Degree Rating 5) was also the main degree of employee participation. This had slightly declined from 62 per cent in Round II to 59 per cent in Round IV. Joint Decision Making (IRG Degree Rating 6) declined from 19 per cent in Round II to 8 per cent in Round IV. The Right to Comment (IRG Degree Rating 4) increased from 19 per cent to 27 per cent. Again, no university recorded scores on Complete Participation (IRG Degree Rating 7) or the two lower measures of Provision of Information (IRG Degree Rating 2) or No Employee Participation (IRG Degree Rating 1). The results reflect the convergence over time of academic and general staff provisions. This has meant a sharper decrease for academic staff than for general staff in the level of intensity of participation as both converged towards Obligatory Consultation (IRG Degree Rating 5).

Interestingly, earlier EBA versions were more likely to provide academic staff with Joint Decision Making (IRG Degree Rating 6) status than general staff perhaps reflecting the greater bargaining power of the former group. Nevertheless, for both groups Joint Decision Making (IRG Degree Rating 6) declined over the last three EBA rounds by over 60 percent while there was almost a 50 percent increase in The Right to Comment (IRG Degree Rating 4). Further, the analysis demonstrates that whilst the convergence reflects an overall decrease in the degree of participation from the original clause, it has delivered, at least in a policy sense, the guarantee of some form of consultation with staff in the change management process in all university types.

**Figure 6.1: Degree of Employee Participation in EBAs– Academic Staff**
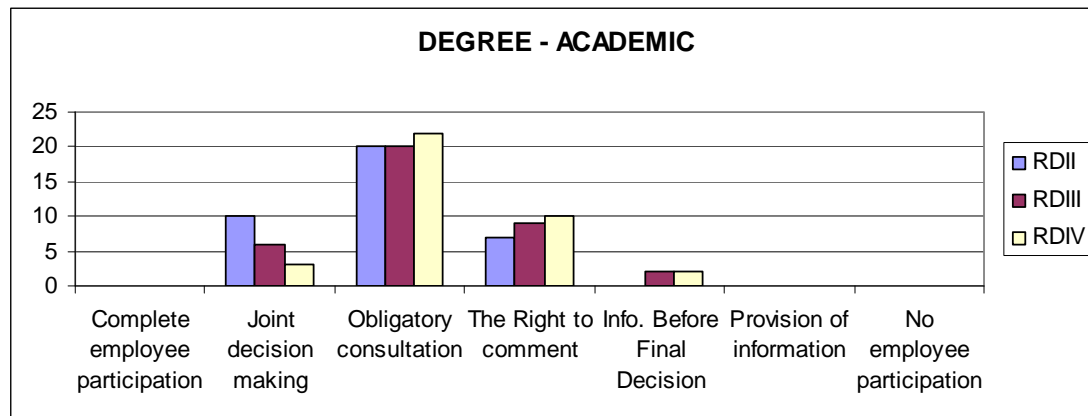


Source: EBA Analysis (n=37)

**Figure 6.2: Degree of Employee Participation in EBAs – General Staff**
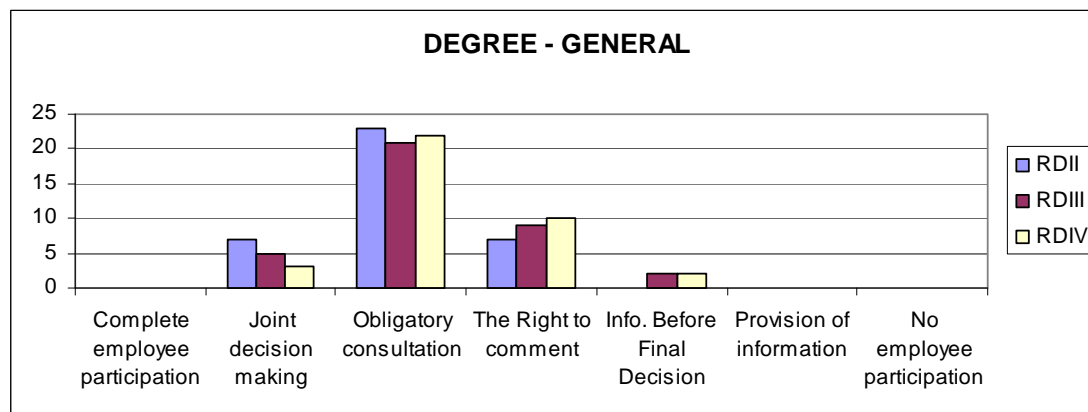


Source: EBA Analysis (n=37)

### 6.2.2   Form of Employee Participation

In addition to the degree to which HE employees participate in change management decisions, this thesis explored the form in which this participation took place. As outlined in Chapter 5, the scale used to measure the form of employee participation was that developed by the IRG (1976) and revised using the following terminology:

1. Change was managed through the Joint Consultative Committee
   (Joint Consultative Committee)
2. Change was managed as a process between management, staff and unions

(Tripartite Participation)

3. Change was managed as a process between management and unions
   (Bipartite Participation)

4. Change was managed as a process between management and staff
   (Management and Staff)

5. Change was managed through a specific Change Management Committee
   (Change Committee)

The descriptors listed under each item in parentheses are the summary descriptor used throughout the rest of the chapter and the associated figures.

For the purposes of the EBA analysis, the second form of bipartite participation, management and staff (IRG Form Rating 4), was not included as across the four rounds there were no universities that featured change management that excluded unions. Whilst HEWRRs made provision for staff representatives in addition to union representatives, it did not exclude union representatives from the processes.

Figure 6.3 and Figure 6.4 depict histograms representing the form of employee participation for academic and general staff respectively. In the case of academic staff (Figure 6.3) the analysis indicates that Tripartite Participation (IRG Form Rating 2) is the main form of employee participation and has grown from 62 per cent in Round II to 78 per cent in Round IV. Tripartite participation represents the gathering of management representatives, union representatives and non-union employees in change management committees. Bipartite Participation (IRG Form Rating 3) significantly declined from 24 per cent in Round II to 3 per cent in Round IV. Bipartite participation represents the combination of management representatives and union representatives to form the change management committee. The use of Joint Consultative Committees (IRG Form Rating 1) fluctuated but overall declined from 24 per cent in Round II to 3 per cent in Round IV. Joint Consultative Committees are committees established in accordance with the provisions of an enterprise agreement and provide a forum to consider disputes arising under the agreement as well as a forum for broader issues relating to workplace consultation. The use of specific Change Committees (IRG Form Rating 5) increased from 3 per cent in Round II to 11 per cent in Round IV. Change committees are committees specifically established to

manage a workplace change process and are normally identified in the workplace change clause of the enterprise agreement.

In the case of general staff (Figure 6.4) the analysis indicates that, like their academic counterparts, Tripartite Participation (IRG Form Rating 2) is the main form of employee participation and has increased from 62 per cent in Round II to 78 per cent in Round IV. Bipartite Participation (IRG Form Rating 3) significantly declined from 19 per cent in Round II to 3 per cent in Round IV. Use of a Joint Consultative Committee (IRG Form Rating 1) has recorded some fluctuation but overall declined from 11 per cent in Round II to 8 per cent in Round IV. The use of Change Committees (IRG Form Rating 5) increased slightly from 8 per cent in Round II to 11 per cent in Round IV.

**Figure 6.3: Form of Employee Participation – Academic Staff**
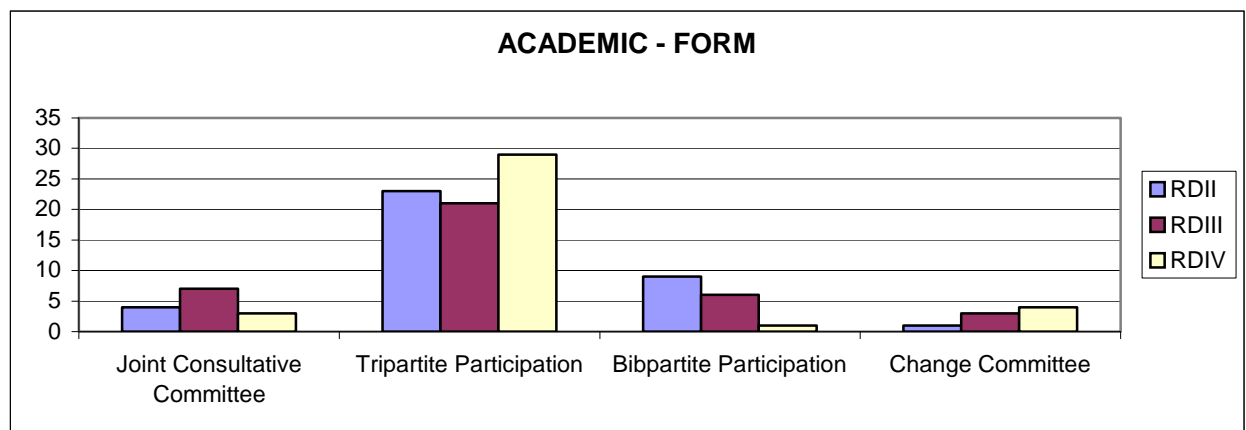


Source: EBA Analysis (n=37)

**Figure 6.4: Form of Employee Participation – General Staff**



GENERAL - FORM
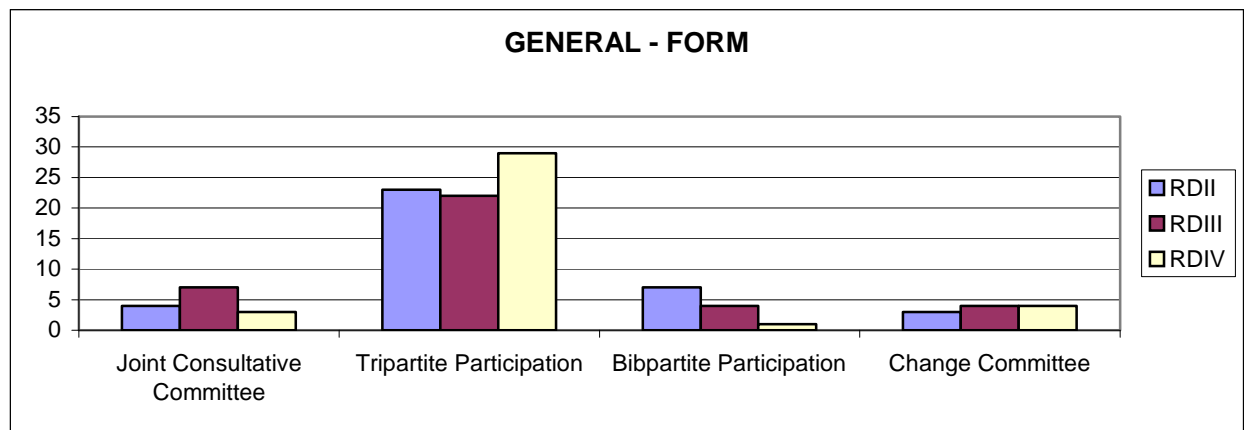
Source: EBA Analysis (n=37)

**Table 6.6: Combined Total for Form of Employee Participation**

| FORM | ROUND II | ROUND III | ROUND IV |
|---|---|---|---|
| Joint Consultative Committee | 11 per cent | 19 per cent | 8 per cent |
| Tripartite Participation | 62 per cent | 58 per cent | 78 per cent |
| Bipartite Participation | 22 per cent | 14 per cent | 3 per cent |
| Change Committee | 5 per cent | 9 per cent | 11 per cent |
| TOTAL | 100 per cent | 100 per cent | 100 per cent |

Source: EBA Analysis (n=37)

Table 6.6 combines the changes in the form of employee participation for both academic and general staff. The findings of this study show that the form of employee participation, like the degree of participation had changed over time in University EBAs. The research found an overall increase in the use of Tripartite Participation (IRG Form Rating 2) as the primary form of employee participation. In other words, universities were engaging not only unions but non-union members in their committee structures to deal with change. Similarly, the use of Change Committees (IRG Form Rating 5) increased. In contrast, the use of Joint Consultative Committees (IRG Form Rating 1) declined across the three rounds, as did the use of Bipartite Participation

(IRG Form Rating 3). The next section examines whether the degree and form of employee participation in change management according to university EBAs varies between institutional types.

### 6.2.3   Degree and Form of Participation across University Types

Over the last decade, the Australian HE sector has seen the emergence of four key sector groupings of universities. In order to determine whether the degree and form of participation differed between these university types, the data was clustered according to the type of university (Group of Eight, Innovative Research Universities, Australian Technology Network, New Generation Universities or Non Aligned Universities) (DEST, 2005). Whilst acknowledging that these sector types do not form perfectly representative groups the 37 public universities in Australia have been classified as follows:

- *The Group of Eight* (Go8) comprises the eight older research intensive universities;
- *The Innovative Research Universities* (IRU) comprises six universities established during the expansion of higher education in Australia that took place during the 1960s and 1970s era;
- *The Australian Technology Network* (ATN) comprises five universities with common backgrounds as institutes of technology; and
- *The New Generation Universities* (NGU) comprises 10 universities formed during the Dawkins era;
- *The Regional Universities* (REG) comprises 8 universities operating in regional centres.

To compare the degree of participation between sector types, a mean score for the degree of employee participation was calculated for each of the last three EBA rounds. Table 6.7 sets out each of the university types against an EBA round. The mean score corresponds to the IRG scale for degree of participation (1-7 see Section 6.3.1 above). The higher the mean score, the greater and more intense, the degree of participation.

**Table 6.7: Means by University Type – Degree of Employee Participation**

| UNIVERSITY TYPE | Mean (round 1) | Mean (round 3) | Mean (round 4) |
|---|---|---|---|
| Group of Eight | 5.06 | 5.00 | 4.88 |
| Innovative Research Universities | 5.25 | 4.67 | 4.50 |
| Australian Technology Network | 4.70 | 4.70 | 4.60 |
| New Generation Universities | 5.11 | 4.90 | 5.00 |
| Regional Universities | 5.00 | 4.63 | 4.63 |
| SECTOR MEAN TOTAL | 5.04 | 4.80 | 4.75 |

Source: EBA Analysis (n=37)

In order to ascertain the significance of the variation between the means in respect of the degree of employee participation across the three EBA Rounds a Statistical test of Analysis of Variance was undertaken (ANOVA). The results of the ANOVA are indicated in Table 6.8 below:

**Table 6.8: ANOVA Testing: Degree of Participation Sector Types**

| SECTOR TYPE | ROUND II | ROUND III | ROUND IV |
|---|---|---|---|
| Go8 | 5.06 | 5.00 | 4.88 |
| IRU | 5.25 | 4.67 | 4.50 |
| ATN | 4.70 | 4.70 | 4.60 |
| NGU | 5.11 | 4.90 | 5.00 |
| REG | 5.00 | 4.63 | 4.63 |
| SIGNIFICANCE | 0.39 | 0.59 | 0.18 |

Source: EBA Analysis (n=37)

The variation is found to be significant when less than 0.05 and given the result across all three rounds was greater than 0.05 it can be concluded that *there is no significant variation between the means for degree of employee participation*.

The findings demonstrate that across the Australian HE sector, four of the five groups demonstrated a decline in the degree of employee participation as detailed in their EBA change clauses, albeit the New Generation Universities experiencing a slight increase between Round III to Round IV (but still demonstrating an overall decline). The Innovative Research Universities experienced the greatest decline and moved from having the highest degree of employee participation in Round II to the lowest degree of employee participation by Round IV. The implications of these findings are discussed in Chapter 9 in relation to change management in the sector.


## 6.3    Chapter Summary

This chapter reported the findings of a longitudinal study of workplace change provisions in the EBAs within the Australian HE sector. The findings demonstrate that whilst the sector has provided and retained mechanisms for employee participation in workplace change there has been a decline in the degree of participation over the 10 years from 1997 to 2006 as outlined in change EBA change provisions.

The chapter also reported on the form in which employee participation takes place in the sector and demonstrated that there has been a decline in the use of bipartite employee participation and an increase in the use of tripartite employee participation. There has also been a decline in the use of consultative committees matched by a corresponding increase in change committees. The implications for change management and workplace justice of the declining degree of participation and the changes made to the form of participation are considered further in Chapter 9.

The next chapter moves the current discussion from the rhetoric of EBA policy to the reality of change management practices by examining the perceptions of university staff towards their change management experience in their university.

## CHAPTER 7 – PERCEPTIONS OF EMPLOYEE PARTICIPATION IN WORKPLACE CHANGE IN AUSTRALIAN HIGHER EDUCATION

### 7.0    Introduction

This chapter moves beyond the research on workplace provisions for employee participation in HE change presented in Chapter 6 to investigate the perceptions of actual change practice in three key areas: the effectiveness of the facilitation of workplace change; the extent of fostering of employee participation and the perceived fairness of workplace change. In doing so the chapter reports on the findings of the second of the research questions.

The second research question asked:

> *To what extent do management and union representatives perceive fairness in the provisions and practices of the Australian HE sector to facilitate workplace change and foster employee participation?*

As Chapter 6 restricted itself to observations made of workplace policy provisions for employee participation in change, it is now pertinent to examine the possible shifts in actual employee participation in workplace change arising from the introduction of the Higher Education Workplace Reform Requirements (HEWRRs) in 2005 by the Commonwealth Government and to gauge whether the resulting change is perceived as effective and fair. The HEWRRs reforms have, amongst other things, required universities to ensure that EBAs make provision for management and staff participation (as opposed to management and union participation) (DEST, 2005).

### 7.1    Perceptions of Participative Workplace Change

This chapter reports on a survey conducted in all 37 Australian universities to gauge the perceptions of staff involved in the change process. The survey was described in detail in Chapter 5 and is considered briefly again below in section 7.2. A copy of the survey is provided in Appendix 5.

Measures for the effectiveness of workplace change used in the survey were based on the work by Victor and Fanckeiss, 2002) who prescribed eight criteria : the ability to present reasons for the change; the ability to argue that the change is necessary; the ability to describe the nature of the change; the ability to document the change process; the ability to achieve the goals of the change; the ability to actually implement the change itself; the ability to review the change process; and lastly, the ability to build consensus around the change.

Given that successful workplace change is regularly associated with the participation of employees in the change process as discussed in Chapters 2 and 3 the survey measured the perceived degree of employee participation in the process. To do this the attitudinal survey adopted the scale of employee participation developed by the IRG (1976).

Finally, as discussed in Chapter 4 fairness has been long considered an important dimension of successful change management. Fairness can be examined according to the principles of organisational justice (procedural, distributive and interactional). To do this the survey utilised the Cobb et al (1995) model. These measures of organisational fairness are discussed in the Methodology in Chapter 5 and considered further below.

## 7.2     Perceptions of Participative Workplace Change in Higher Education

This section explores the perceptions of academic and general staff to workplace change they have experienced within the Australian HE sector and the extent to which it contrasts with the provisions articulated in the EBAs. The survey was distributed to 580 staff from the 37 public universities in Australia. The sampling of staff is described in Chapter 5 but briefly consists of those staff members employed as Senior University Executives (ie Vice-Chancellors, Deputy Vice-Chancellors and Pro Vice-Chancellors) as well as Senior Union Executives (ie Branch Presidents, Branch Secretaries, Branch Executive Officers). These staff members were selected on the basis of their direct involvement in university change processes.

There were 170 responses representing a response rate of 29%. Of the total respondents there were 55 management responses (a rate of 24%) and 115 union responses (a rate of 33%). Given the sample size all percentages have been rounded to whole numbers. Table 7.1 outlines the response rates and demographics of the attitudinal survey. There were five responses where not all answers were provided or where the respondents were unclear in terms of their responses, as such for the subsequent analysis there are 165 responses that have been analysed and five that are recorded as 'no answer'.

Section 1 of the Attitudinal Survey asked for 'Demographic Details' which included the respondent's employment status, position type and university type. It is also asked respondents to identify the length of their employment in the sector and whether they were a member of the joint consultative committee in their university.

**Table 7.1: Attitudinal Survey Responses**

| TYPE | MGT TOT | MGT RSP | % | UNION TOT | UNION RSP | % | SAMP TOT | TOT RSP | % |
|------|---------|---------|-----|-----------|-----------|-----|----------|---------|-----|
| **ATN** | 39 | 10 | 26 | 56 | 17 | 30 | 95 | 27 | **28** |
| **GO8** | 59 | 17 | 29 | 87 | 22 | 25 | 146 | 39 | **27** |
| **IRU** | 34 | 6 | 18 | 55 | 24 | 44 | 89 | 30 | **34** |
| **NGU** | 62 | 16 | 26 | 102 | 31 | 30 | 164 | 47 | **29** |
| **REG** | 34 | 6 | 18 | 52 | 21 | 40 | 86 | 27 | **31** |
| **TOT** | **228** | **55** | **24** | **352** | **115** | **33** | **580** | **170** | **29** |

Source: Attitudinal Survey (n= 170)

The management respondents were at the level of Vice-Chancellor, Deputy Vice-Chancellor, Pro Vice-Chancellor and Executive Director and drawn from the Senior Executive listings provided by universities to the Australian Vice-Chancellor's Committee. The union respondents were at the level of President, Vice-President, Secretary and Executive Member and drawn from the Union Executive listings provided by branch executives to the National Tertiary Education Union.

As detailed in Table 7.1 the overall response by sector type ranged from 27 per cent for the Group of Eight Universities to 34 per cent for the Innovative Research Universities. Taking union and management responses separately, responses from management representatives was highest from the Group of Eight Universities (29 per cent) compared to the Innovative Research Universities and the Regional Universities and Universities both with the lowest response rate of 18 per cent. Union responses were lowest from the Group of Eight Universities (25 per cent) and highest from the Innovative Research Universities (43 per cent).

Following the demographic section of the Attitudinal Survey, three subsequent sections examined the effectiveness of the sector to facilitate workplace change, the effectiveness of the sector to foster employee participation, and perceptions of fairness of the change. This chapter now turns to examine these remaining areas. Each of the three areas of the survey utilised a five point Likert Scale ranging: very low, low, neutral, high and very high. For each question there was also an opportunity to provide written comments to support or illustrate the answer. A copy of the Attitudinal Survey is provided in Appendix 5.

### 7.2.1  Facilitating Effective Workplace Change

Section Two of the Attitudinal Survey focussed on perceptions of whether their experience of workplace change was effective in bringing about the desired change. In particular, respondents were asked to rate the effectiveness of the change processes within their organisation (Question 12). The question used a scale developed by Victor and Franckeiss (2002) that identified eight dimensions to measure the effectiveness of workplace change processes. The survey adopted these measures in relation to the effectiveness of the university to:

1.  Present reasons for the change
2.  Argue that the change was necessary
3.  Describe the nature of the change
4.  Document the change process
5.  Achieve the goals of the change
6.  Implement the change process

7. Review the change process

8. Build consensus around the change

For the purposes of comparison, very high and high responses were combined to provide a 'favourable' measure of effectiveness for all eight effectiveness measures as well as a rating for overall effectiveness. Overall effectiveness was determined by asking respondents (Question 13) to 'describe the effectiveness of facilitating workplace change' after having rated the effectiveness against each of the items in the scale identified above (Table 7.2)

**Table 7.2: Change Management Effectiveness – By Staff and Role Type**

| Rating | STAFF TYPE | | | | ROLE TYPE | | | |
|--------|--------|------|--------|------|-----------|-----|-------|-----|
| | Academic | | General | | Management | | Union | |
| Very Low | 17 | 17% | 10 | 14% | 0 | 0% | 27 | 23% |
| Low | 30 | 31% | 30 | 42% | 1 | 2% | 59 | 51% |
| Neutral | 15 | 15% | 11 | 15% | 3 | 5% | 23 | 20% |
| High | 26 | 27% | 10 | 14% | 36 | 65% | 0 | 0% |
| Very High | 6 | 6% | 10 | 14% | 14 | 25% | 2 | 2% |
| No Answer | 4 | 4% | 1 | 1% | 1 | 2% | 4 | 3% |
| | 98 | 100% | 72 | 100% | 55 | 100% | 115 | 100% |

Source: Attitudinal Survey (n= 165)

As indicated by the figures in blue, in terms of change management effectiveness, management respondents were 90 per cent favourable compared to only 2 per cent of union respondents. In other words, the vast majority of university managers believed that the change implemented achieved its desired organisational objectives and was effective. The findings indicate a significant divergence between management and union respondents in relation to their perceptions of effective workplace change (Figure 7.1). Whilst this finding is arguably intuitive on the view that union representatives would likely oppose change and management representatives would support the change (being the drivers of the change), it needs to be remembered that the respondents are senior appointees who all had direct experience in the formulation and implementation of the changes they are describing. The level of discrepancy in the responses requires further consideration and this is taken up in the discussion in Chapter 9.

**Figure 7.1: Change Management Effectiveness: Favourable Rating**
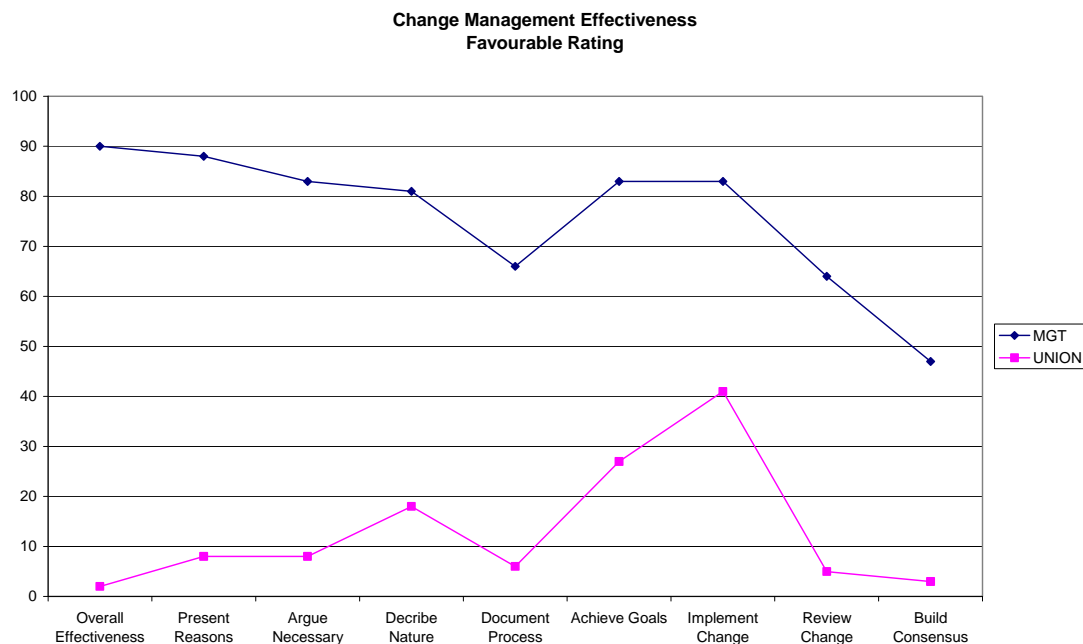


Source: Attitudinal Survey (n= 165)

Not all of the eight measures were equally opposed by management and union respondents. There is some convergence, or agreement around the dimensions of the 'capacity to implement change' (as perceived by unions) and the 'capacity to build consensus' (as perceived by management). In the first instance, the capacity to implement change might reflect the ability of university management to force change through rather than its capacity in terms of good change management skills. A total of 12 comments were provided by management respondents and 42 comments by union respondents on this issue. Typical of management respondent's written responses to this question reinforce the notion that university management has the power drive through change:

> *The real issue is around management and union interpretation of the word consultation – the change job gets done but it is always hard (Academic Manager Representative).*

*Under the previous EBA individuals had the capacity to delay, frustrate and hijack a change process in their own interest thereby negatively affecting the whole group. Under our new EBA this capacity has been reduced (General Manager Representative).*

Despite the theme of management power to drive change, some management commentators noted the importance of balancing collegiate change with commercial imperatives:

*To be effective into the future the processes need to gravitate towards the commercial realities whilst still retaining some of collegial features that make a university environment what it is (General Manager Representative).*

The issue of management representatives' confidence in pushing through change is taken up in the next chapter which reports the findings of interviews with a sample of survey respondents. Similarly, the fact that both groups agree that the capacity to build consensus is relatively low suggests that there is considerable work to be done if there is to be greater consensus between management and unions in facilitating workplace change. Indicative of this are typical comments by union representatives about the attitude of university managers which may stifle consensus building:

*The university adopts an intransigent managerial attitude and fights any counter arguments as threats to its managerial authority rather than engage in a meaningful dialogue (Academic Union Representative).*

*Management are only interested in achieving balanced budgets and meeting KPIs rather than a real effort in relation to meaningful change or actual participation of staff (General Union Representative).*

The rhetoric and reality of change management consultation is highlighted in this union representative's response which describes the process of consultation after the decision has been made by university management:

> *There is an increasing trend for universities to make decisions and then consult. I recognise that most managers put in place complex mechanisms to consult but our current approaches remain too adversarial (Academic Union Representative).*

Others indicated that the adversarial consultation process has been driven by government rather than by university management:

> *I think that in the last round of enterprise bargaining there was a dramatic shift away from fair workplace change motivated by the insistence of the government to introduce the HEWRRS. Whilst I think management took up the challenge many were uncomfortable with this and if removed I think the fairness could return (Academic Union Representative).*

Despite the positive overall rating of effectiveness of the workplace change processes noted by management representatives, slightly less favourable ratings were given to the ability to 'document the change process', 'review the change process' and, as noted above, 'build consensus around the change process'. On the other hand, union representatives responded slightly more favourably to their institution's ability to 'describe the nature of the change', 'achieve the goals of the change', and 'implement the change' than the overall rating of effectiveness for change management. These areas of critical evaluation by management and unions of the workplace change process may point to some scope to explore enhanced practices to facilitate workplace change in relation to some of these specific dimensions. This is a matter taken up in the next chapter and discussed further in Chapter 10.

As indicated by the figures in blue, when the results were considered by sector type, it was found that Group of Eight respondents (combined responses from management and union) were consistently more favourable (46 per cent rating it high or very high)

about the effectiveness of workplace change compared to the rest of the sector. Respondents from the Regional Universities were consistently less favourable (66 per cent rating it low or very low) when compared to the overall sector (Table 7.3).

**Table 7.3: Change Management Effectiveness – By Sector Type**

| Rating | GO8 | | IRU | | ATN | | NGU | | REG | |
|--------|-----|------|-----|------|-----|------|-----|------|-----|------|
| | | | | | **SECTOR TYPE** | | | | | |
| Very Low | 2 | 5% | 1 | 3% | 6 | 22% | 9 | 19% | 9 | 33% |
| Low | 11 | 28% | 16 | 53% | 9 | 33% | 15 | 32% | 9 | 33% |
| Neutral | 8 | 21% | 6 | 20% | 0 | 0% | 9 | 19% | 3 | 11% |
| High | 12 | 31% | 6 | 20% | 7 | 26% | 7 | 15% | 4 | 15% |
| Very High | 6 | 15% | 0 | 0% | 4 | 15% | 6 | 13% | 0 | 0% |
| No Answer | 0 | 0% | 1 | 3% | 1 | 4% | 1 | 2% | 2 | 7% |
| | 39 | 100% | 30 | 100% | 27 | 100% | 47 | 100% | 27 | 100% |

Source: Attitudinal Survey (n= 165)

In order to ascertain the significance of the variation between the means in respect of the perceptions of institutions to facilitate workplace change a Statistical test of Analysis of Variance was undertaken (ANOVA). The results of the ANOVA are indicated in Table 7.4 below:

**Table 7.4: Change Management Effectiveness – ANOVA**

| CATEGORY | STAFF TYPE | | ROLE TYPE | | SECTOR TYPE | |
|----------|------------|------|-----------|------|-------------|------|
| | Academic | 2.69 | Management | 3.84 | Go8 | 3.39 |
| | General | 2.66 | Union | 1.85 | IRU | 2.69 |
| | | | | | ATN | 2.45 |
| | | | | | NGU | 2.48 |
| | | | | | REG | 2.29 |
| *SIGNIFICANCE* | | *0.89* | | *1.976E-26* | | *0.02* |

Source: Attitudinal Survey (n= 165)

The variation is found to be significant when less than 0.05 and whilst there is no significant variation in relation to staff type *there is a significant variation in relation to both role type and sector type*.

In the case of Role Type the variation between management and union responses in respect of perceptions of facilitating workplace change is significant. In the case of sector type the result of the Group of Eight is significantly more favourable than the other institutions in respect of facilitating workplace change *(Go8 Mean: 3.39 compared to Rest of Sector Mean 2.48, Variation: 0.0009).*

### 7.2.2    Fostering Employee Participation

Section Three of the Attitudinal Survey focussed on perceptions towards fostering employee participation. The intention of this section was to determine the extent to which staff perceive their university encourages employees to participate in change, fosters their involvement in committees, establishes information exchange and decision making processes. The Attitudinal Survey included reference to an extract from the original award provision for change management consultation (see also Chapter 6 section 6.2):

> *It is acknowledged that sound management of workplace change requires the involvement of those who will be directly affected by the change.*

This statement was included in the Attitudinal Survey to provide a benchmark for respondents to consider the degree of employee participation expected in the original award for academic and general staff. In Chapter 6, the EBAs of the 37 Australian universities were examined to gauge the extent to which this clause might have altered over the 10 years of EBA rounds and found a trend for EBAs to converge on a form of obligatory consultation.

In response to the question of whether workplace change requires the participation of staff directly affected, a significant majority of management respondents (90 per cent) and union respondents (92 per cent) indicated their agreement. This significant agreement between management and union respondents is not surprising given the highly normative nature of the question. However, when asked whether the processes

for managing workplace change at their university actually provided for employee participation there was a considerable difference of opinion. Management respondents (92 per cent) strongly agreed compared to only 30 per cent of union respondents. The difference of opinion highlights not only the difference between rhetoric and reality in implementing participative workplace change in the sector, but also the difference between the respondents in what constitutes participation for their purposes. This is considered in the discussion of Question 17, below.

In response to the question of what should be the major focus of institutions: facilitating workplace change or fostering employee participation the survey sought to obtain an indication of the relative priorities of people management and technical change management. Management and union respondents were consistent in their majority response of a 'combination of change and participation' (71 per cent for both management and union). Again, on this philosophical point, this indicates a significant convergence between management and union respondents. The Attitudinal Survey then explored three further questions regarding employee participation in the management of actual workplace change. The first of these questions asked respondents to rate their answer along a seven-point scale for measuring the degree of employee participation as developed by the IRG (1976):

1. There was no employee participation
2. Employees were provided with information on the change
3. Employees were provided with information before a final decision was made
4. Employees had the right to comment on the change
5. Employee consultation was an obligatory part of the change process
6. Employees were joint decision makers in the change management process
7. Employees had complete participation in the change management process

Question 17 of the Attitudinal Survey examined the degree of employee participation in the management of workplace change:

> *'Which of the following [statements] best describes the degree of employee participation in the [change] process?*

Figure 7.2 depicts the responses to this question against each of the seven items on the IRG scale. The results show the sharp divergence between management and union respondents on most points of the scale.

**Figure 7.2: Employee Participation: Degree of Employee Participation**



DEGREE OF EMPLOYEE PARTICIPATION
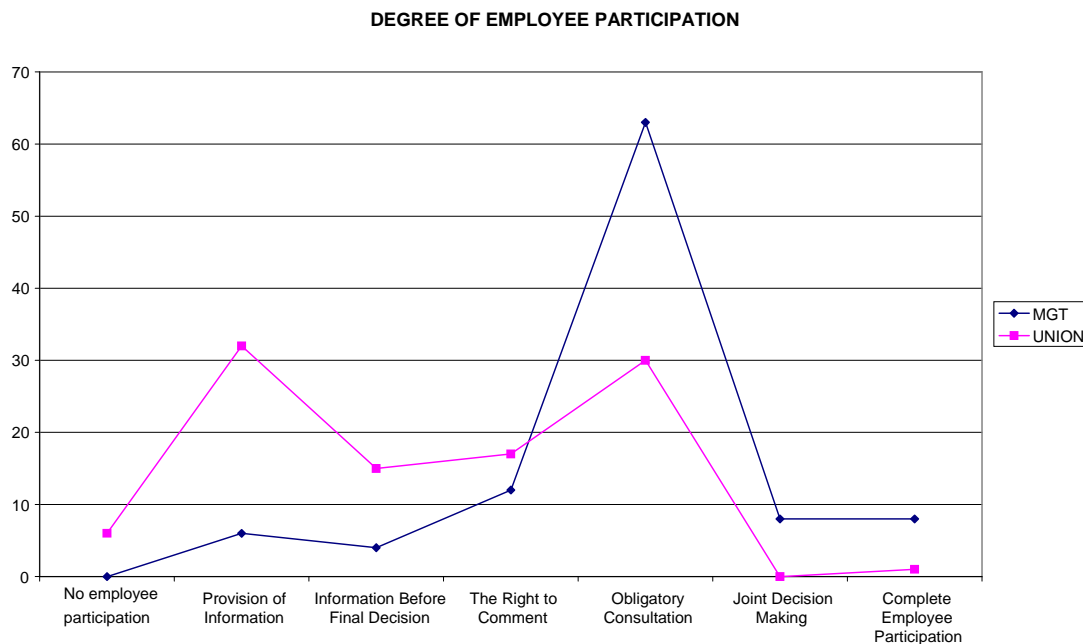
Source: Attitudinal Survey (n= 165)

Most management representatives indicated that the degree of employee participation ranked at the fifth level of the scale, Obligatory Consultation (63 per cent). Unions on the other hand ranked it at the both the second level, Provision of Information (32 per cent) as well as at the fifth level Obligatory Consultation (30 per cent) indicating there is a fundamental difference between the expectations of union and management representatives regarding the degree of actual participation. A total of 15 comments were provided by management representatives and 60 comments by union representatives on this issue. Typically, management representatives indicated the difficulty of utilising participation when there were intractable issues such as redundancies on the change agenda:

> *The general decision or direction of change does not necessarily*
> *require participation and in fact participation may make it much more*

*difficult to effect. Participation in implementation is useful but when it is participation in deciding redundancies this is problematic (Academic Manager Representative).*

Similarly, another management representative noted that participation slows down the change management process and this is an area requiring improvement:

*Employee participation slows things down and needs more work, but good proposals and well thought through initiatives usually go ahead with most staff supporting them (General Manager Representative).*

Another theme which emerged in management responses was that change management was increasingly a university wide issue leaving little room for local participation by staff:

*Many more decisions are being made university wide and don't afford local participation and as such it is hard for those who only occupy a 'small patch' to comprehend (General Manager Representative).*

Union responses were varied on the issue of the degree of participation. Generally union representatives felt that whist a form of consultation was often experienced, it was generally meaningless as staff opinions did not appear to be taken into consideration in the change plan:

*The forms of consultation are gone through but employee opinion is discarded unless it supports an apparently pre-determined management outcome. Consultation is quickly seen to be a sham (Academic Union Representative).*

Another theme in the union representative responses was that university management was not taking advantage of the benefits of involving staff in the change process:

*The participation and involvement of staff is often overlooked yet can lead to greater acceptance in the end (General Union Representative).*

In order to ascertain the significance of the variation between the means in respect of the perceptions of institutions to foster employee participation a Statistical test of Analysis of Variance was undertaken (ANOVA). The results of the ANOVA are indicated in Table 7.5 below:

**Table 7.5: Employee Participation Effectiveness – ANOVA**

| CATEGORY | STAFF TYPE | | ROLE TYPE | | SECTOR TYPE | |
|---|---|---|---|---|---|---|
| | Academic | 2.54 | Management | 3.60 | Go8 | 2.65 |
| | General | 2.52 | Union | 2.00 | IRU | 2.56 |
| | | | | | ATN | 2.38 |
| | | | | | NGU | 2.56 |
| | | | | | REG | 2.40 |
| *SIGNIFICANCE* | | *0.90* | | *4.606E-21* | | *0.88* |

Source: Attitudinal Survey (n= 165)

The variation is found to be significant when less than 0.05 and whilst there is no significant variation in relation to staff type and sector type *there is a significant variation in relation to role type*. In the case of Role Type the variation between management and union responses in respect of perceptions of fostering employee participation is significant.

### 7.2.3   Perceptions of Organisational Justice

The fourth section of the Attitudinal Survey focussed on perceptions of fairness in the management of workplace change. The intention of this part of the survey was to explore the extent to which respondents believed they had been afforded organisational justice in terms of the fairness of the decision making process and its outcomes. Organisational justice was defined in Chapter 4 as consisting of three types of justice: distributive, procedural and interactional justice. Question 20 of the Attitudinal Survey (see Appendix 5) asked respondents to consider the extent to which they had been afforded distributive justice, or the perceived fairness of the

outcomes of change. Respondents were asked to rate their answer to this question on a scale developed by Cobb et al (1995) in relation to the dimensions of distributive justice:

1.  The final decision was based on merit
2.  The decision impacted equally on all participants
3.  The needs of the organisation were considered
4.  The needs of the participants were considered
5.  Appropriate compensation was provided for adverse decisions

Overall fairness of outcome was determined by asking respondents (Question 21) to 'describe the effectiveness provisions for distributive justice that is fairness of the outcome' after having rated the effectiveness against each of the items in the scale identified above. As with previous questions, responses indicating 'very high' and 'high' were combined to provide a 'favourable' measure of overall outcome fairness. As indicated by the figures in blue, in terms of overall perceptions of the fairness of the outcomes of the change decision making processes, 78 per cent of management respondents rated the change outcome as high or very high in terms of being fair compared to only 4 per cent of union respondents (Table 7.6).

**Table 7.6: Fairness of Outcome – By Staff and Role Type**

| Rating | STAFF TYPE | | | | ROLE TYPE | | | |
|---|---|---|---|---|---|---|---|---|
| | Academic | | General | | Management | | Union | |
| Very Low | 13 | 13% | 8 | 11% | 0 | 0% | 21 | 18% |
| Low | 33 | 34% | 27 | 38% | 2 | 4% | 58 | 49% |
| Neutral | 20 | 20% | 18 | 25% | 8 | 15% | 30 | 25% |
| High | 23 | 23% | 14 | 19% | 33 | 63% | 4 | 3% |
| Very High | 5 | 5% | 4 | 6% | 8 | 15% | 1 | 1% |
| No Answer | 4 | 4% | 1 | 1% | 1 | 2% | 4 | 3% |
| | 98 | 100% | 72 | 100% | 52 | 100% | 118 | 100% |

Source: Attitudinal Survey (n= 165)

Figure 7.3 plots the management and union representatives' responses against each of the five justice indicators as well as providing their response to overall fairness. The Figure demonstrates again the considerable divergence between management and union respondents on most indicators for fairness. Arguably, this research shows the

operation of different perceptions and different frames of reference between management and union representatives regarding what constitutes fair outcomes. There were three written responses by management representatives and 26 from union representatives provided in this section. Management representatives tended to believe that adverse outcomes were experienced by a minority of staff only and this tended to flavour the change experience overall:

> *The fairness of outcomes are often assessed as being in relation to all staff whereas most adverse outcomes are in relation to a minority of staff (Academic Manager Representative).*

Typical of union representative responses was the belief change management was conducted in a way which depersonalised individuals rendering it less likely to focus on fairness:

> *In considering the fairness of the outcome unfortunately in my perception most staff are perceived as units and not real people (Academic Union Representative).*

**Figure 7.3: Distributive Justice Dimensions: Favourable Rating**

DISTRIBUTIVE JUSTICE FAVOURABLE RATING
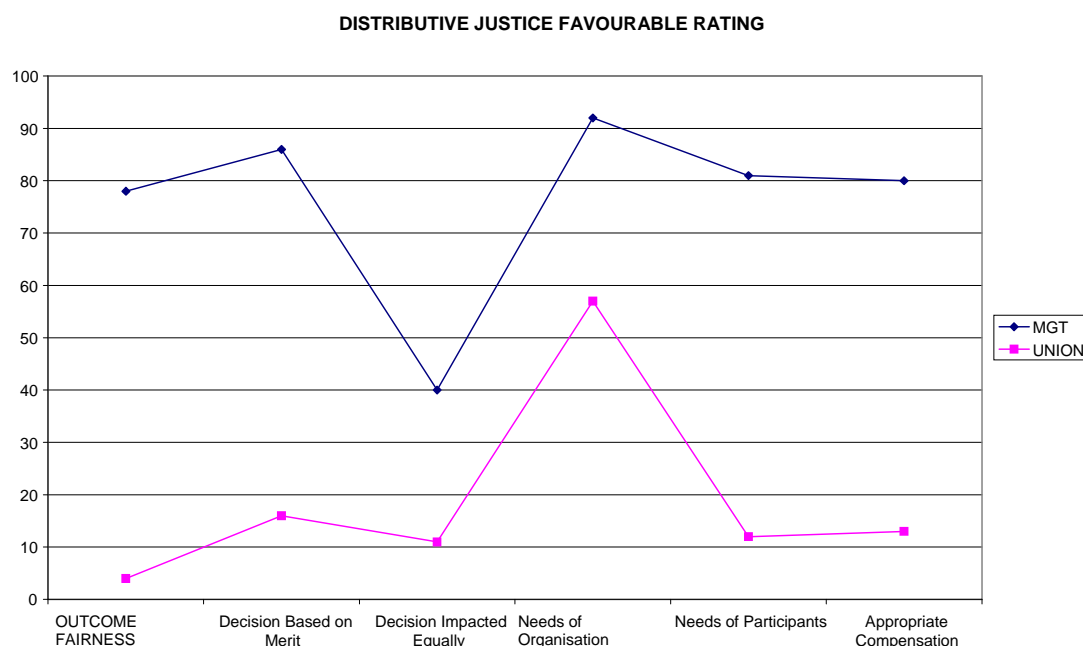
The degree of greatest divergence (>70 per cent) occurs between management and union respondents in relation to the dimension of 'the decision was based on merit'. Here, management respondents (86 per cent) indicated their strong confidence that change management decisions were based on merit whilst the perceptions of union representatives were quite the opposite (16 per cent). Other areas of dispute were that workplace change was undertaken more according to the needs of the organisation than the needs of its employees (management 81 per cent versus union 11 per cent) and that appropriate compensation was provided arising from workplace change (management 80 per cent versus union 12 per cent).

In order to assess whether perceptions of fairness were concentrated in some sector types over others, the data was arranged in sector type as indicated in Table 7.7. As indicated by the figures in blue, some variations were found with the Group of Eight universities responding more favourably overall, particularly in regard to the extent to which the decision impacted equally on all participants and the provision of appropriate compensation. The Regional Universities again occupied the other end of the spectrum with respondents generally rating less favourably on these two measures. The findings suggest that overall workplace change was perceived as being more fairly implemented in the Group of Eight universities than the Regional Universities.

**Table 7.7: Fairness of Outcome – By Sector Type**

| Rating | SECTOR TYPE | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | GO8 | | IRU | | ATN | | NGU | | REG | |
| Very Low | 4 | 10% | 4 | 13% | 3 | 11% | 4 | 9% | 6 | 22% |
| Low | 10 | 26% | 10 | 33% | 11 | 41% | 19 | 40% | 10 | 37% |
| Neutral | 9 | 23% | 9 | 30% | 3 | 11% | 15 | 32% | 2 | 7% |
| High | 13 | 33% | 6 | 20% | 5 | 19% | 8 | 17% | 5 | 19% |
| Very High | 3 | 8% | 1 | 3% | 3 | 11% | 0 | 0% | 2 | 7% |
| No Answer | 0 | 0% | 0 | 0% | 2 | 7% | 1 | 2% | 2 | 7% |
| | 39 | 100% | 30 | 100% | 27 | 100% | 47 | 100% | 27 | 100% |

In order to ascertain the significance of the variation between the means in respect of the perceptions of Distributive Justice a Statistical test of Analysis of Variance was undertaken (ANOVA). The results of the ANOVA are indicated in Table 7.8 below:

**Table 7.8: Perceptions of Fairness of Outcome - ANOVA**

| CATEGORY | STAFF TYPE | | ROLE TYPE | | SECTOR TYPE | |
|---|---|---|---|---|---|---|
| | Academic | 2.68 | Management | 3.94 | Go8 | 2.86 |
| | General | 2.75 | Union | 2.11 | IRU | 2.71 |
| | | | | | ATN | 2.67 |
| | | | | | NGU | 2.76 |
| | | | | | REG | 2.36 |
| *SIGNIFICANCE* | | *0.72* | | *5.957E-28* | | *0.60* |

Source: Attitudinal Survey (n= 165)

The variation is found to be significant when less than 0.05 and whilst there is no significant variation in relation to staff type and sector type *there is a significant variation in relation to role type*. In the case of Role Type the variation between management and union responses in respect of perceptions of fairness of outcome is significant.

Question 22 of the Attitudinal Survey (Appendix 5) raised the issue of procedural justice, or the perceived fairness of the procedures. The responses to this question featured a scale developed by Paterson et al (2002) in relation to the dimensions of procedural justice. The scale was described in full in Chapter 5 and is reproduced below:

1. Decisions were made consistently
2. Decision making processes were impartial
3. Decisions were based on accurate information
4. Opportunities were provided to employees to have input
5. Compatibility of the process with organisational ethics and values
6. Appropriate mechanisms to appeal the decision

Respondents were asked to rate the change management process against each item on the scale. Following this they were invited to provide a rating of overall fairness of process (Question 21) to 'describe the effectiveness provisions for procedural justice, that is fairness of the process'. Table 7.6 depicts the responses to this section showing that, as indicated by the figures in blue, 91 per cent of management respondents rated their change as high or very high on the procedural justice scale compared to only 6 per cent of union respondents (Table 7.9).

**Table 7.9: Fairness of Process – By Staff and Role Type**

| Rating | STAFF TYPE | | | | ROLE TYPE | | | |
|---|---|---|---|---|---|---|---|---|
| | Academic | | General | | Management | | Union | |
| Very Low | 16 | 16% | 9 | 13% | 1 | 2% | 24 | 21% |
| Low | 27 | 28% | 25 | 35% | 2 | 4% | 50 | 43% |
| Neutral | 16 | 16% | 15 | 21% | 1 | 2% | 30 | 26% |
| High | 25 | 26% | 17 | 24% | 35 | 64% | 7 | 6% |
| Very High | 10 | 10% | 5 | 7% | 15 | 27% | 0 | 0% |
| No Answer | 4 | 4% | 1 | 1% | 1 | 2% | 4 | 3% |
| | 98 | 100% | 72 | 100% | 55 | 100% | 115 | 100% |

Source: Attitudinal Survey (n= 165)

This significant divergence again, suggests the operation of a different set of expectations in relation to procedural justice operating between management and union respondents. Figure 7.4 provides the results for each scale item for this question.

**Figure 7.4: Procedural Justice Dimensions: Favourable Rating**
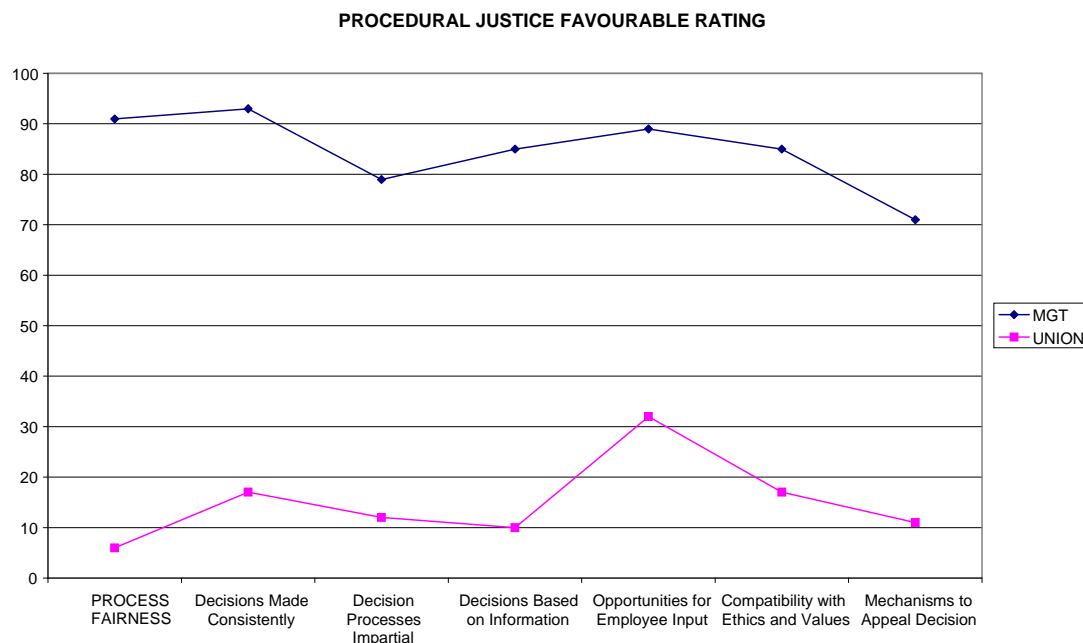


Source: Attitudinal Survey (n= 165)

This question elicited strong divergence on all indicators. Two items provided a divergence greater than 70 per cent between management and union representatives. The first was in relation to the item: 'decisions were made consistently' where 93 per cent of management ranked this favourably compared to 17 per cent of union representatives. The second was in relation to the item: 'decisions were based on accurate information'. Here, 85 per cent of management representatives rated the item favourably compared 10 per cent of union representatives. There were 5 written responses from management representatives and 20 from union representatives to this section. The discrepancy between the fairness perceptions of the parties is well illustrated by the following written comments. Management representatives generally reflected having little choice to push through change which could then be perceived as being unfair:

> *In a case where an area is bleeding financially with no money to pay wages why should the process be delayed to allow long appeal processes? (General Manager Representative).*

Others offered explanations that change strategies were often misunderstood by employees not at the centre of the decision making process:

*Misrepresentation, by design or default, and sometimes misunderstanding, are common because most participants beyond the core lack enough understanding to understand the motivation for change (Academic Manager Representative).*

Union representatives typically referred to a rhetoric versus reality between the espoused change process and what actually eventuated in terms of fairness:

*There is dissatisfaction with the duplicity of management in presenting a procedure that has no real affect on the outcome (Academic Union Representative).*

Despite the prevailing view of unfair change processes, one union commentator noted that the rhetoric of unfairness is often more severe than the reality of change:

*Most workplace change is perceived to be unfair but I think this is an over generalisation and that there are many instances of collaborative change typified by goodwill and collaboration (General Union Representative).*

In order to gauge whether there were any differences between university types in terms of procedural fairness the data was sorted against sector types. Table 7.10 details the findings for 'overall fairness of process' against each sector type. As indicated by the figures in blue, the Group of Eight universities again responded more favourably overall with 44 per cent of respondents rating overall fair process as high or very high. Interestingly, almost as many 41 per cent rated the change process low or very low. The Regional Universities and the Australian Technology Universities responded less favourably overall to procedural fairness (52 per cent).

**Table 7.10: Fairness of Process – By Sector Type**

| Rating | GO8 | | IRU | | ATN | | NGU | | REG | |
|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | **SECTOR TYPE** | | | | | |
| Very Low | 7 | 18% | 3 | 10% | 5 | 19% | 6 | 13% | 4 | 15% |
| Low | 9 | 23% | 11 | 37% | 9 | 33% | 13 | 28% | 10 | 37% |
| Neutral | 6 | 15% | 9 | 30% | 4 | 15% | 10 | 21% | 3 | 11% |
| High | 10 | 26% | 6 | 20% | 5 | 19% | 14 | 30% | 6 | 22% |
| Very High | 7 | 18% | 1 | 3% | 2 | 7% | 3 | 6% | 2 | 7% |
| No Answer | 0 | 0% | 0 | 0% | 2 | 7% | 1 | 2% | 2 | 7% |
| | 39 | 100% | 30 | 100% | 27 | 100% | 47 | 100% | 27 | 100% |

Source: Attitudinal Survey (n= 165)

In order to ascertain the significance of the variation between the means in respect of the perceptions of Procedural Justice a Statistical test of Analysis of Variance was undertaken (ANOVA). The results of the ANOVA are indicated in Table 7.11 below:

**Table 7.11: Perceptions of Fairness of Process - ANOVA**

| CATEGORY | STAFF TYPE | | ROLE TYPE | | SECTOR TYPE | |
|---|---|---|---|---|---|---|
| | Academic | 2.79 | Management | 4.10 | Go8 | 3.10 |
| | General | 2.86 | Union | 2.18 | IRU | 2.82 |
| | | | | | ATN | 2.60 |
| | | | | | NGU | 2.88 |
| | | | | | REG | 2.58 |
| *SIGNIFICANCE* | | *0.75* | | *8.02E-27* | | *0.55* |

Source: Attitudinal Survey (n= 165)

The variation is found to be significant when less than 0.05 and whilst there is no significant variation in relation to staff type and sector type *there is a significant variation in relation to role type*. In the case of Role Type the variation between management and union responses in respect of perceptions of the fairness of process is significant.

Question 24 of the Attitudinal Survey (Appendix 5) examined interactional justice, or the perceived fairness of the interpersonal treatment experienced by participants in the decision making process. Respondents were asked to rate their responses according a

scale developed by Paterson et al (2002) in relation to the dimensions of interactional justice. The scale was described fully in Chapter 5 and is reproduced below:

1. There was honesty in the decision making process
2. Staff were treated courteously during the process
3. Staff had their rights respected during the process
4. The decision making process was devoid of prejudice
5. Decisions that were made were appropriately justified
6. Decisions that were made were communicated transparently

Respondents were asked to rank each of the six indicators against their perception of interactional justice. They were then invited to provide a rating of overall fairness of interpersonal treatment (Question 25) to 'describe the effectiveness provisions for interactional justice, that is fairness of the treatment of staff'. Again, for the purposes of comparison, 'very high' and 'high' responses were combined to provide a 'favourable' measure of overall fair treatment. Table 7.12 provides the findings for overall fair treatment. As indicated by the figures in blue, the vast majority of management respondents (89 per cent) indicated that overall, fair interpersonal treatment was afforded to all those affected by the change compared to only 9 per cent of union representatives (Table 7.12).

**Table 7.12: Fairness of Treatment – By Staff and Role Type**

| | STAFF TYPE | | | | ROLE TYPE | | | |
|---|---|---|---|---|---|---|---|---|
| Rating | Academic | | General | | Management | | Union | |
| Very Low | 21 | 21% | 8 | 11% | 1 | 2% | 28 | 24% |
| Low | 25 | 26% | 27 | 38% | 1 | 2% | 51 | 44% |
| Neutral | 13 | 13% | 12 | 17% | 3 | 5% | 22 | 19% |
| High | 24 | 24% | 16 | 22% | 31 | 56% | 9 | 8% |
| Very High | 11 | 11% | 8 | 11% | 18 | 33% | 1 | 1% |
| No Answer | 4 | 4% | 1 | 1% | 1 | 2% | 4 | 3% |
| | 98 | 100% | 72 | 100% | 55 | 100% | 115 | 100% |

Source: Attitudinal Survey (n= 165)

Figure 7.5 provides respondents' ratings to all six items as well as their overall rating. Figure 7.5 demonstrates the disparity between management and union respondents on all six measures. Half the items showed a divergence of perception between

management and union representatives over 70 per cent. These were: 'there was honesty in the decision making process'; 'staff had their rights respected during the process'; 'decisions that were made were appropriately justified'; and 'decisions that were made were communicated transparently'. These are significant indicators of fair treatment and this issue is taken up further in Chapter 7 and discussed in Chapter 9.

**Figure 7.5: Interactional Justice Dimensions: Favourable Rating**



INTERACTIONAL JUSTICE FAVOURABLE RATING
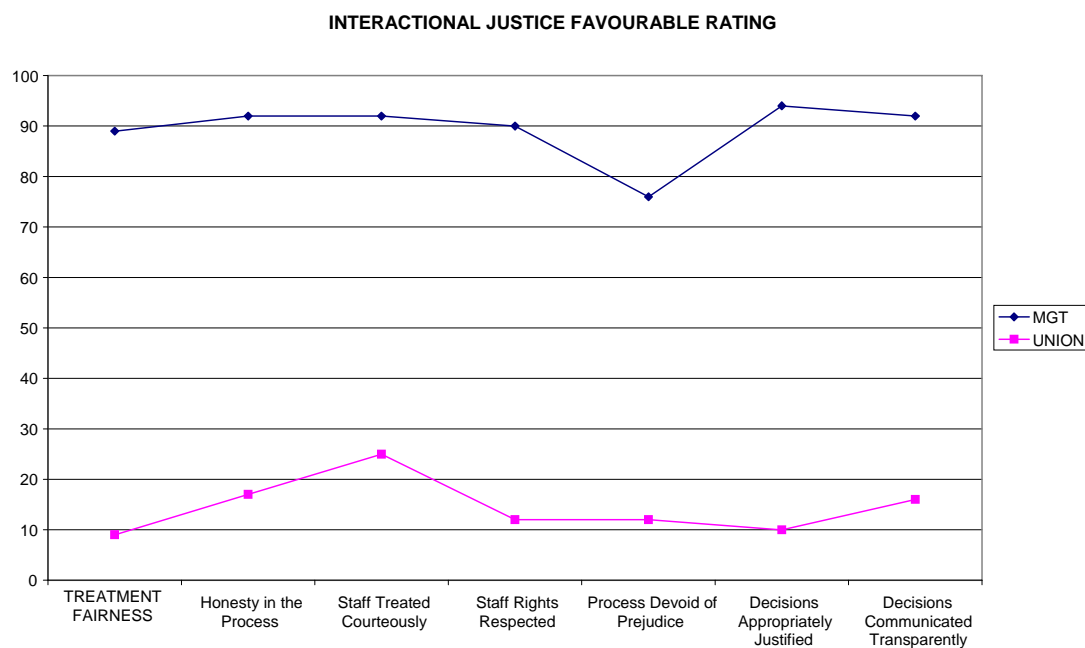
Source: Attitudinal Survey (n= 165)

There were 3 written comments from management representatives and 20 comments from union representatives for this section. Management representatives were more likely to attribute the sense of unfair treatment to a minority of those affected by the change who then create an overall perception of unfair treatment:

> *From my perspective the treatment of those involved in change is usually very good for most staff but can be adversely perceived due to the views of those directly affected (Academic Manager Representative).*

Union responses focused on management's proclivity to drive through change regardless of people and their treatment:

> *I don't think management particularly cares about fairness of interpersonal treatment. Their perceived focus is the need of the university albeit driven through an increasing managerialist agenda (Academic Union Representative).*

Other commentators noted the futility behind the positions of the protagonists in the university change process which compels each to a particular role along an inevitable path towards organisational change:

> *The pace of change in the sector now means that both management and unions are together on a roller coaster and as such should co-operate more (Academic Manager Representative).*

> *I think unfortunately that regardless of their intentions it seems as if both managers and unions are obliged to support their own positions no matter what each case represents (General Union Representative).*

In order to gauge whether there were differences in perceptions of fair treatment between the different types of university the data was clustered according to sector types. Table 7.13 provides the overall rating of interactional justice against the five sector types. As indicated by the figures in blue, respondents from the Group of Eight universities were again polarised in their responses with 44 per cent indicating a favourable rating for interactional justice but as many again (47 per cent) rating it low of very low. Again, the Regional Universities and the Australian Technology Universities responded less favourably overall (56 per cent).

**Table 7.13: Fairness of Treatment – By Sector Type**

| Rating | GO8 | | IRU | | ATN | | NGU | | REG | |
|--------|-----|------|-----|------|-----|------|-----|------|-----|------|
| | | | | | **SECTOR TYPE** | | | | | |
| Very Low | 8 | 21% | 4 | 13% | 5 | 19% | 7 | 15% | 5 | 19% |
| Low | 10 | 26% | 9 | 30% | 10 | 37% | 13 | 28% | 10 | 37% |
| Neutral | 4 | 10% | 8 | 27% | 4 | 15% | 8 | 17% | 1 | 4% |
| High | 9 | 23% | 7 | 23% | 4 | 15% | 14 | 30% | 6 | 22% |
| Very High | 8 | 21% | 2 | 7% | 2 | 7% | 4 | 9% | 3 | 11% |
| No Answer | 0 | 0% | 0 | 0% | 2 | 7% | 1 | 2% | 2 | 7% |
| | 39 | 100% | 30 | 100% | 27 | 100% | 47 | 100% | 27 | 100% |

Source: Attitudinal Survey (n= 165)

In order to ascertain the significance of the variation between the means in respect of the perceptions of Distributive Justice a Statistical test of Analysis of Variance was undertaken (ANOVA). The results of the ANOVA are indicated in Table 7.14 below:

**Table 7.14: Perceptions of Fairness of Treatment - ANOVA**

| CATEGORY | STAFF TYPE | | ROLE TYPE | | SECTOR TYPE | |
|----------|-----------|------|-----------|------|-------------|------|
| | Academic | 2.73 | Management | 4.12 | Go8 | 2.92 |
| | General | 2.84 | Union | 2.14 | IRU | 2.86 |
| | | | | | ATN | 2.60 |
| | | | | | NGU | 2.88 |
| | | | | | REG | 2.48 |
| *SIGNIFICANCE* | | *0.62* | | *1.27E-25* | | *0.66* |

Source: Attitudinal Survey (n= 165)

The variation is found to be significant when less than 0.05 and whilst there is no significant variation in relation to staff type and sector type *there is a significant variation in relation to role type*. In the case of Role Type the variation between management and union responses in respect of perceptions of the fairness of treatment is significant.

## 7.3    Chapter Summary

This chapter reported the findings of an Attitudinal Survey conducted in all 37 Australian public universities which explored the perceptions of the effectiveness of facilitating workplace change, the effectiveness of fostering employee participation, and perceptions of the fairness of workplace change. The findings demonstrate divergence between management and union respondents in their experience of, and attitudes towards the process of participative workplace change. Whilst this divergence might be argued to be somewhat predictable given the often polarised positions of management and union representatives in most industries, the extent of the divergence is so large that it also suggests that action is required so that management and unions can better understand and appreciate their respective goals in workplace change.

The identification of specific dimensions of organisational justice provides a starting point to consider practices that facilitates fairer workplace change. Given that workplace change is now firmly a feature of Australian HE, these findings point to the need for a focus on practices that enhance employee participation in the management of workplace change. The next chapter considers the opportunity for greater shared expectations of the change process through as series of in-depth interviews with a sample of respondents to the Attitudinal Survey.

# CHAPTER 8 – PRACTICES FOR EMPLOYEE PARTICIPATION IN WORKPLACE CHANGE IN AUSTRALIAN HIGHER EDUCATION

## 8.0    Introduction

The previous two chapters described the rhetoric of participative workplace change arrangements in university EBAs (Chapter 6) and the reality of the participative experience perceived by union and management representatives through an attitudinal survey (Chapter 7). The findings demonstrated that the sector initially afforded quite a high degree of employee participation in workplace change mandated in the original award clause and based on the TCR decision. However, by the fourth round of bargaining the degree of employee participation espoused in university EBAs had declined and the form of the participation had shifted from bipartite (employer- union committees) to tripartite (employer – union – non-union employees).

Chapter 7 explored the attitudes of management and union representatives towards workplace change processes they had actually experienced and found the experiences of union representatives were polarised from those of management representatives in the areas of facilitating effective workplace change, fostering employee participation and affording organisational justice. In essence, management respondents were profoundly more positive about the effectiveness, fairness and inclusiveness of their change processes than were union respondents. This chapter reports the findings of the third of the research questions which delves into practices that have the potential to facilitate workplace change while fostering employee participation and fairness in the Australia HE sector.

The chapter commences by introducing the third research question before moving to evaluate the findings of the semi structured interviews conducted to answer this question. The chapter considers the interviewee's responses to the results of the Attitudinal Survey in the areas of effectiveness of change, participation in the change process and the fairness of the change. The chapter concludes with an analysis of the findings of the interviews in relation to the sorts of principles and practices which might afford participation and fairness.

## 8.1 Practices that Facilitate and Foster Participative Workplace Change

The third research question investigated the issue of the sorts of successful change practices interviewees believed had led to employee participation in their institution:

> *To what extent is it possible to identify organisational practices that facilitate workplace change and foster employee participation as well as deliver organisational justice within the Australian HE sector?*

As indicated in Chapter 5 this thesis adopted three distinct themes in its conceptual framework: workplace change, employee participation and organisational justice. The final research question sought to bring together each of these themes in a consideration of possible ways forward for participative change in the sector. This was done through a series of semi-structured interviews with 20 respondents to the earlier Attitudinal Survey. The selection of the 20 interviewees was described in Chapter 5 and Appendix 6 contains a copy of the semi-structured interview. The interviewees represented academic staff managers, general staff managers, academic union and general staff union representatives.

Interviewees were asked to reflect on a series of questions relating to three sections of the Attitudinal Survey:

1. Workplace Change
2. Employee Participation in Workplace Change
3. Perceptions of Fairness in Workplace Change (distributive, procedural and interactional justice)

Importantly, for each of the three sections, interviewees were presented with the aggregate findings of the Attitudinal Survey. It was intended to obtain their considered response regarding the findings and to ask them how change management in the sector could move to a common ground of understanding (if any) between management and union representatives.

The questions put to the interviewees for each of the three sections were as follows (and presented in full in Appendix 6):

> *Q1. To what extent do you think this finding of divergence is an accurate reflection...?*

> *Q2. What do you think it suggests about the effectiveness of universities in the Australian Higher Education sector in facilitating **workplace change** and in fostering **employee participation**?*

> *Q3. For each of the justice indicators, how would you assess them (high or low) in regard to their capacity to facilitate workplace change and foster employee participation?*

> *Q4. Can you identify organisational practices in relation to workplace change that might lead to greater convergence between management and union views...?*

## 8.2 Interviewee responses to the divergence found in the Attitudinal Survey

In reflecting on the overall findings of the Attitudinal Survey, interviewees were asked to indicate the degree (if any) of their surprise at the divergence of opinions between management and union representatives. As described in Chapter 7, the opinions of the survey respondents were extremely polarised for the effectiveness of change, the extent of employee participation, and all three indicators of organisational justice. Figure 8.1 indicates the responses of management interviewees and Figure 8.2 indicates the responses of union interviewees for each of the areas discussed during the interviews.

**Figure 8.1: Management Responses to Findings of Divergence**
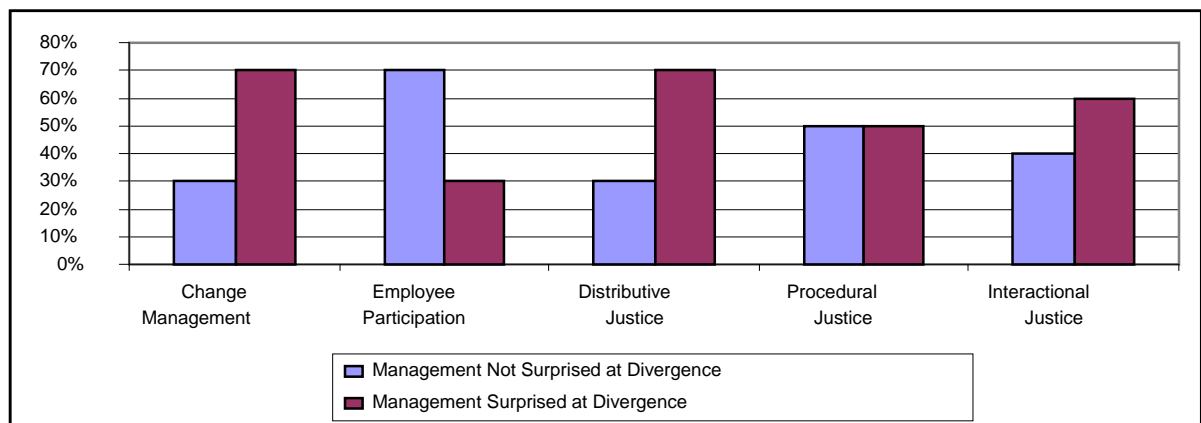


Source: Semi-Structured Interviews (n=20)

**Figure 8.2: Union Responses to Findings of Divergence**
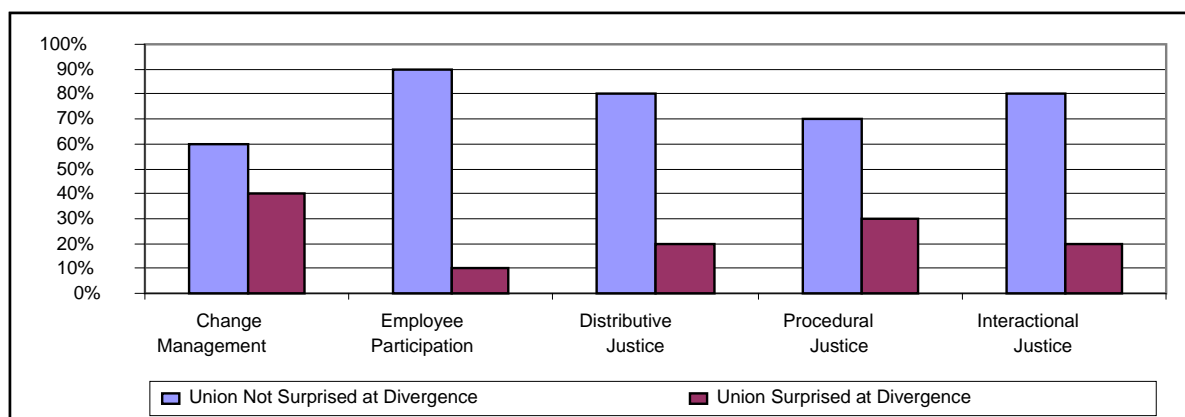


Source: Semi-Structured Interviews (n=20)

As described in Chapter 7, management survey respondents were overwhelmingly positive about the effectiveness, fairness and inclusiveness of change in their universities whilst union respondents were very negative. It is evident from Figure 8.1 that, in general management interviewees were consistently surprised at the degree of divergence expressed in the results of the Attitudinal Survey. They were clearly taken aback at the negativeness of the union representatives' responses. The two areas where they were either not that surprised were in the extent to which the change process afforded employee participation and the extent to which procedural justice was afforded. This seems to acknowledge that employee participation and procedural justice may not have been as strongly promoted as the management survey respondents indicated. On the other hand, union participants were generally

consistently not surprised at the degree of divergence. The findings go some way to describe the nature of change in HE and the chasm between the expectations of management and union players. This is explored in more detail in Chapter 9.

Having considered the overall picture of interviewee's reactions to the aggregate results it is pertinent now to turn to the findings in each of the three areas (change management effectiveness, employee involvement and perceptions of fairness) in more detail.

### 8.2.1    Facilitating Workplace Change

The first area of investigation related to the effectiveness of Australian universities to facilitate workplace change. As described above the Attitudinal Survey used the five attributes of workplace change identified by Victor and Franckeiss (2002) which were outlined in Chapter 5. The results of the Attitudinal Survey found considerable divergence between management and union respondents with managers indicating a 90 per cent favourable rating of the effectiveness of workplace change processes compared to only 2 per cent of union respondents (Chapter 7, section 7.2.1). Table 8.1 illustrates the interviewees' reactions to the aggregate findings of the Attitudinal Survey for change management effectiveness.

**Table 8.1: Change Management Effectiveness – Management and Union**
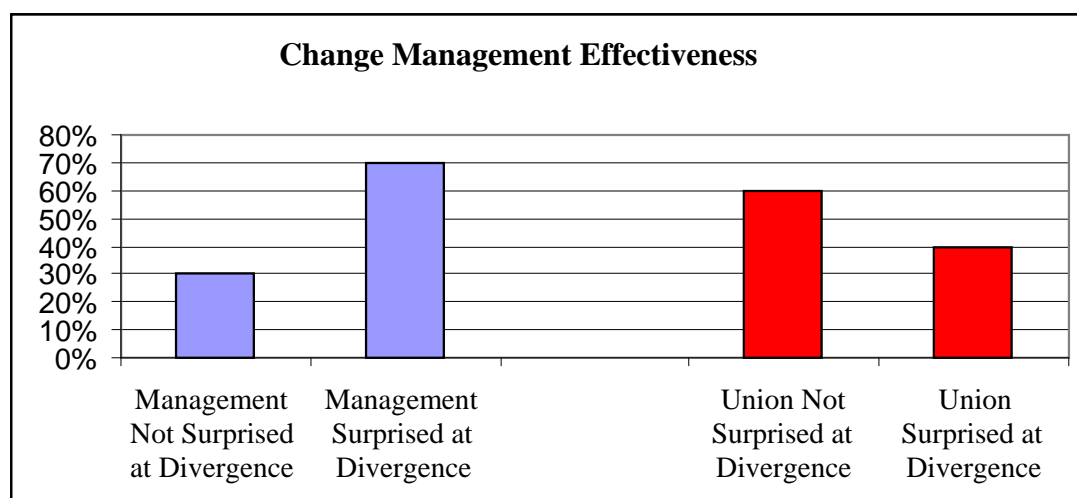


Source: Semi-Structured Interviews (n=20)

The results in Table 8.1 indicate that a majority (70 per cent or 14 of 20) of management interviewees were surprised at the degree of divergence found in the Attitudinal Survey. On the other hand, the results indicate that generally, union interviewees (60 per cent or 12 of 20) were not surprised to see that opinions between management and union respondents were so polarised. In explaining their surprise at the divergence of opinions found in the survey, management interviewees tended to believe that union and management in the sector were highly stereotyped and so this dominated the survey results. Typical comments along these lines made by management interviewees were:

> *Both values* [ie management and union survey responses] *are more extreme than I would have thought and to a degree reflect the reciprocal stereotyping of the two parties with one focussed on the institution and the other focussed on the staff who are participants in the process (Academic Manager)*

> *I think it's more a reflection of the industrial processes around change management as opposed to the sort of change management that academics write about (General Manager)*

On the other hand, a minority of university managers interviewed felt it may reflect on management's tendency to over-rate their success in change management.

> *The degree of the divergence surprises me and I think is reflective of the fact that managers see things as more effective than they actually are (Academic Manager)*

Others found it inexplicable and that contributed to their level of surprise:

> *Some divergence didn't surprise me but that degree of divergence I find very interesting and wouldn't have anticipated it al all (General Manager)*

Union interviewees also believed that the sector was highly stereotyped and many found this had influenced the predictable positions taken by survey respondents.

> *I think that the degree of divergence is a symptom of the two sides just taking a stance (Academic Union Representative)*

> *The degree of divergence seems enormous but there are fundamentally different interests involved so I'm not really that surprised at the divergence per se (General Union Representative)*

A larger group of union interviewees explained the tendency for university management to overestimate the results of change:

> *I am slightly surprised at the optimism of management in the change process and think that it suggests that management thinks of the goal in a very different way from unions and staff so their assessment is one of what is effective for them (Academic Union Representative)*

> *The people with the power see things as more favourable than those who are the victims of change and are in less control (General Union Representative)*

### 8.2.2    Fostering Employee Participation

The second area of change management investigated using the Victor and Franckeiss (2002) model related to the capacity of the Australian HE Sector to foster employee participation in workplace change. The Attitudinal Survey presented a scale for measuring the perceived degree of employee participation as developed by the IRG (1976). The results of the Attitudinal Survey found considerable disagreement between management and union respondents with a majority (63 per cent) of management respondents indicating that employee participation consisted of Obligatory Consultation (consultation of employees as a right in itself) while a smaller majority of union respondents (32 per cent) indicated it was merely Provision of Information (a window of opportunity for employee participation in the decision

making process) (Refer Section 7.2.2). The level of divergence indicated by respondents demonstrates a fundamental misperception of the involvement employees have in change. The responses indicate that management considered the opportunity for consultation was at a far greater level (on the scale) than did union respondents.

**Table 8.2: Fostering Employee Participation – Management and Union**
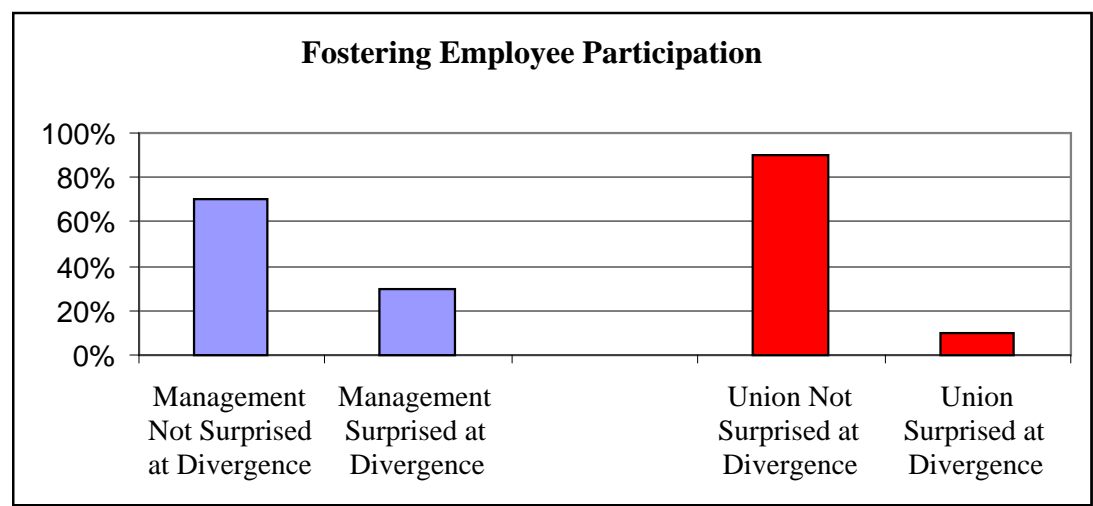


Source: Semi-Structured Interviews (n=20)

When the findings of the Attitudinal Survey for employee participation were put to the interviewees (Table 8.2) the results show that a majority of management interviewees (70 per cent or 14 of 20) and union interviewees (90 per cent or 18 of 20) were not surprised at the degree of divergence in relation to the nature of employee participation. The responses from both groups indicate there was almost an expectation that there could be no convergence between management and union representatives in relation to how employee participation might be expected to be undertaken:

> *The adversarial model of industrial relations would almost mandate that unions would say that there is never enough consultation because its part of the process. I've never heard a union rep say there was more consultation than we needed (General Manager)*

*I think that management makes up its mind and then essentially goes through the motions so they will provide information but I think that it's rare that the opinions of the employees are seriously considered (Academic Union Representative)*

In the same vein, some explained that at the heart of the disjuncture was the very different conception of participation anticipated by management and union representatives:

*Both groups are right in their assessment and it is my suspicion that a lot of what management thinks is obligatory consultation turns out to be the provision of information and unions expect that it will only ever be information provision (Academic Manager)*

*The provision of information is what it is all about and I wouldn't call it consultation in the true sense of the word (Academic Union Representative)*

*I think that management think that they are providing consultative processes but whether or not they undertake that or not is an entirely different process (General Union Representative)*

Others believed the results belie a lack of understanding of the change management process:

*These findings seem to indicate that staff and unions look upon themselves as only needing to receive the information which says to me that they are admitting a limited capacity to understand change (Academic Manager)*

Finally, some believed that there is a selectiveness about staff consultation including who to consult and not to consult:

*Sometimes there is a group of staff that you might want to involve all the way through the process because they are experts whereas other times you want to say to staff you are not going to consult to death about an issue (General Manager)*

*Management only consult with staff and unions because they believe that they have to do it (General Union Representative)*

The union interviewees' comments depict university managers as erroneously believing the level of consultation they provide is more intense than it actually is while management respondents depict union interviewees as being likely to consider any form of consultation as less than what they sought. These points are taken up further in Chapter 9.

### 8.2.3   Perceptions of Distributive Justice

The final area explored with the interviewees was related to their perceptions of whether workplace change was fair. As described in Chapter 5, three indicators for justice were utilised. The first of the three justice indicators was distributive justice. Here, interviewees were asked to consider whether the outcomes of their university change processes were fair. The Attitudinal Survey scale for assessing distributive justice was developed by Cobb et al (1995:137-140). They identified five indicators of distributive justice:

1. The final decision was based on merit
2. The decision impacted equally on all participants
3. The needs of the organisation were considered
4. The needs of the participants were considered
5. Appropriate compensation was provided for adverse decisions

As described in Chapter 7 the results of the Attitudinal Survey found a considerable divergence between respondents with 78 per cent of managers indicating that the outcomes of workplace change were fair compared to only 4 per cent of union respondents. (Refer Section 7.2.3) When this result was put to the interviewees, 70 per

cent (or 14 of 20 )of university managers indicated their surprise at the degree of divergence in the survey (Table 8.3). On the other hand, the majority of union interviewees, (80 per cent or 16 of 20), were not surprised.

**Table 8.3: Perceptions of Distributive Justice – Management and Union**
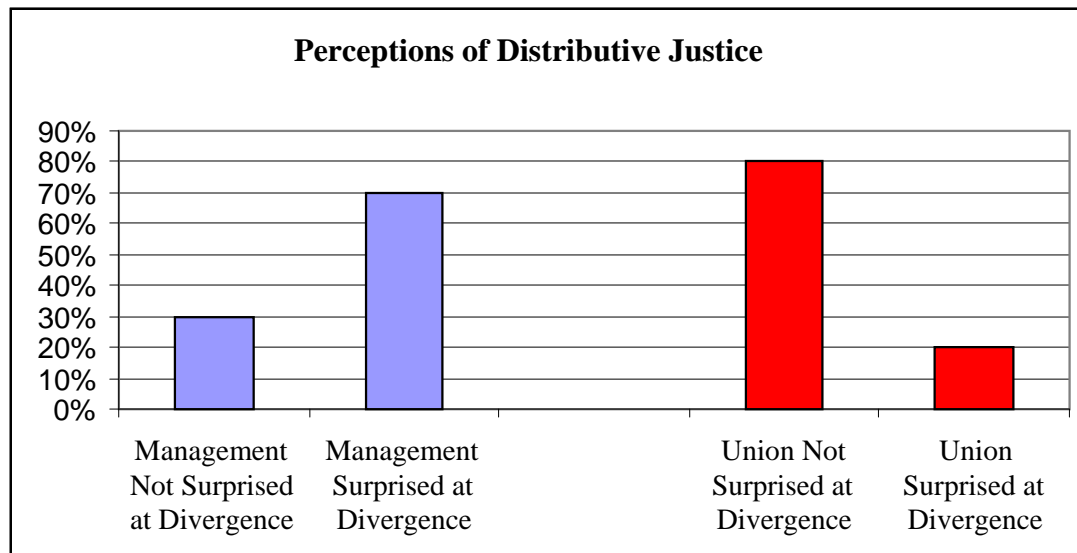


Source: Semi-Structured Interviews (n=20)

When invited to provide an explanation for the finding that union representatives so strongly believed that change outcomes were unfair whilst management believed the opposite, most management interviewees generally described the almost inevitable unfairness of outcomes associated with workplace change:

> *I think that it is inevitable and essentially structural. My view is that the union are essentially spending 80 per cent of their time defending the indefensible (Academic Manager)*

> *Anybody going into a change process realises there are winners and losers and you can make provisions for losers in some senses but I think that going into it and saying we are going to get it is right is wildly over optimistic (Academic Manager)*

Others pointed to the failure by unions to appreciate the role of management in having to bring in change for the benefit of the organisation, rather than focusing on individual needs:

> *The management view is looking through a management lens and management can't really consider the needs of individual participants as they need to look at the needs of the organisation (General Manager)*

> *Senior managers would say that for too many years change has met the needs of the individuals and not the needs of the organisation (General Manager)*

Union responses also acknowledged the inevitable nature of unfair outcomes:

> *I think that fairness is not dependant on systems but on people and the people who are at the receiving end feel the pain whereas those in management fondly imagine that its only a system and the systems are working OK but if you are on the receiving end then you feel strongly about the issue (Academic Union Representative)*

> *When I think of distributive justice and the fairness of the outcomes I certainly think they are inevitably geared towards the institution (Academic Union Representative)*

Others highlighted the unrealistic or impersonal view of manager's definition of fair outcomes:

> *Unfortunately management seem to have the opinion that if you retrench someone that it constitutes a fair outcome (General Union Representative)*

*I think that there is a helicopter view by management of the outcomes*
*because they inevitably are unable to focus on the micro level of the*
*organisation (General Union Representative)*

### 8.2.4   Perceptions of Procedural Justice

The second indicator of fairness investigated related to interviewees' perceptions of the provisions for processes that were perceived as fair (procedural justice) in workplace change. The Attitudinal Survey scale for assessing procedural justice was developed Paterson et al (2002:400) who identified six indicators for procedural justice:

1. Decisions were made consistently
2. Decision making processes were impartial
3. Decisions were based on accurate information
4. Opportunities were provided to employees to have input
5. Compatibility of the process with organisational ethics and values
6. Appropriate mechanisms to appeal the decision

The results of the Attitudinal Survey had found considerable divergence between management and union respondents with 91 per cent of management respondents attesting their processes were fair compared to only 6 per cent of union respondents (Refer Section 7.2.3). Again, this finding was put to the interviewees for their comment.

**Table 8.4: Perceptions of Procedural Justice – Management and Union**



**Perceptions of Procedural Justice**
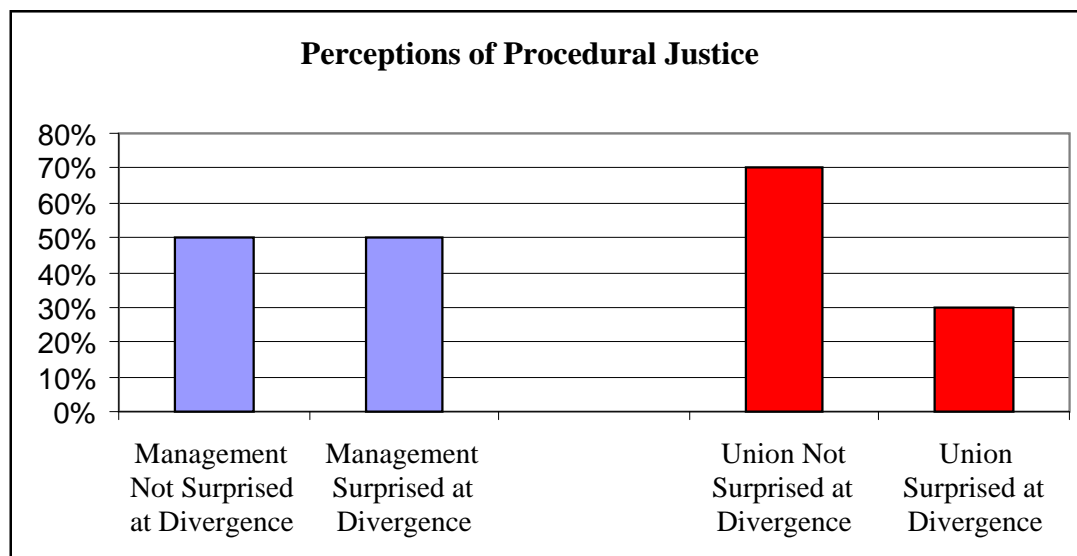
Source: Semi-Structured Interviews (n=20)

Table 8.4 depicts the responses of the interviewees to the issue of procedural justice. Clearly, from Figure 8.4, management interviewees were split in their view of the level of divergence with 50 per cent (or 10 of 20) opting for surprise. Alternatively, a clearer majority of union interviewees (70 per cent or 14 of 20) indicated they were not surprised that survey respondents were so polarised. The responses of management interviewees demonstrate the mixed nature of their views and again the almost inevitable acceptance that it is not possible to achieve processes that facilitate fair workplace change in the sector:

> *Very few people in management would go into the process with a deliberate attempt to be unfair even though there are going to be winners and losers. From the union's point of view you know you are going to be representing the losers and picking up the mess so I can understand their low response (Academic Manager)*

> *People will say we have a fair process and we've agreed on the procedure but they don't actually want you to use that, whereas management says we have an agreed upon process so we are going to use it (Academic Manager)*

> *I think that this is more a reflection of the inherent adversarial nature and is regardless of what might be the reality – it is an ingrained perception (General Manager)*

One manager blamed unions for their lack of policing the fairness of change:

> *It's a singular failure from the unions' point of view if they haven't been able to negotiate fairer procedures and get the employers to stick to them (General Manager)*

Union interviewees were again not surprised at the lack of agreement between management and union survey respondents on the issue of fair change processes. Their responses at interview suggest that some believe that university managers have been compelled to push through change as part of their response to a directive conservative federal government regardless of their own thoughts on the fairness of the process:

> *There are obvious tensions between management and the processes because it is evident some managers are not happy with the way it is going. There was an inevitable party line that management was towing (Academic Union Representative)*

Union representatives also suggested that management often verbalised one thing but did the other. Interestingly, the cause of the mixed messages was attributed to lack of control over the change process:

> *I think that unions see management as talking the talk but not walking the walk. They might not have the processes in place to do what they said they were going to do (General Union Representative)*

> *There are two cultures at play here. The official one where we must be adversarial and the unofficial where we can co-operate. The official culture is prevalent but it is lessening (General Union Representative)*

Others indicated that reliance on procedurally fair steps in the EBA is an insufficient means of guaranteeing procedural justice:

> *The divergence comes about through the framework of the Enterprise Agreement. Management usually think they've interpreted the process...but it is essentially ticking all the boxes however the Enterprise Agreement will only take you so far (Academic Union Representative)*

### 8.2.5   Perceptions of Interactional Justice

The third fairness indicator investigated related to interviewees' perceptions of whether there was fair interpersonal treatment (interactional justice) in relation to workplace change. The Attitudinal Survey scale for assessing interactional justice was developed by Paterson et al (2002:400) who identified six indicators for interactional justice:

1. There was honesty in the decision making process
2. Staff were treated courteously during the process
3. Staff had their rights respected during the process
4. The decision making process was devoid of prejudice
5. Decisions that were made were appropriately justified
6. Decisions that were made were communicated transparently

The results of the Attitudinal Survey found considerable divergence between management and union respondents with 89 per cent of management respondents indicating that interactional justice was afforded compared with only 9 per cent of union respondents. (Refer Section 7.2.3)This data was put to the interviewees for comment.

**Table 8.5: Perceptions of Interactional Justice – Management and Union**

**Perceptions of Interactional Justice**

| | |
|---|---|

A bar chart with the title "Perceptions of Interactional Justice". The y-axis shows percentages from 0% to 90% in 10% increments. Four bars are shown:
- Management Not Surprised at Divergence: 40% (purple)
- Management Surprised at Divergence: 60% (purple)
- Union Not Surprised at Divergence: 80% (red)
- Union Surprised at Divergence: 20% (red)
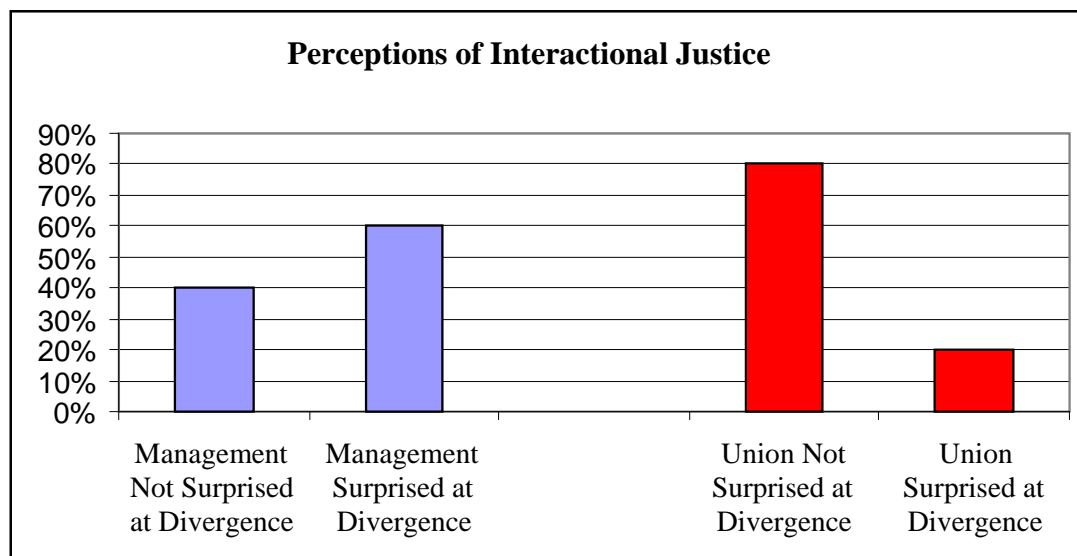
Source: Semi-Structured Interviews (n=20)

The results in Table 8.5 indicate that the majority (70 per cent or 14 of 20) of management interviewees were surprised that union representatives perceived that staff had not been treated fairly but (80 per cent or 16 of 20) of union interviewees were not surprised by the polarised survey response. The explanations provided by management interviewees yet again demonstrate that whilst there is surprise at how far apart the two groups are there is a continued sense of 'fait accompli' about the entrenched systemic issues which is borne out by the power play and lack of maturity between union and management in the implementation of change:

> *I think this reflects the nature of the power relationship between the parties. Both are clearly wrong and it should be somewhere in the middle (Academic Manager)*

> *I think that it reflects the nature of the adversarial environment that we have from an industrial perspective (General Manager)*

> *I would have thought that universities are more mature organisations and that the people in them are intelligent and can interact professionally (Academic Manager)*

219

One referred to a lack of skills in dealing with individuals and conflict:

> *Inexperienced leaders find the interpersonal conversations very hard and as such they tend to give off the wrong message (General Manager)*

Union interviewee's explanations depict a lofty university management which may have distanced and protected itself from the real effects of change on people.

> *The isolation of management from most people they're dealing with leads to a kind of formality or just a lack of contact over time (Academic Union Representative)*

> *I believe that it is hard to reassure someone of a fairness of interpersonal treatment when it is in no way a shared process (Academic Union Representative)*

> *I continue to remain amazed at how unconscious management is of its own impact (General Union Representative)*

One commentator noted that the negative effects of change are too easily emphasised by some.

> *If you're the management and you are the one responsible for the development and implementation of change you don't generally think of yourself as someone who sets out to treat people badly, but equally I've had experiences where those affected by the change exaggerate and overstate how badly they've been treated (General Union Representative)*

This section detailed a number of areas where university managers and union representatives diverged in their opinions of how participative workplace change was managed in their institution. The findings of the Attitudinal Survey described in Chapter 7 described a sector polarised in its experience of change, participation and

fairness. The reactions of interviewees to these findings were typically of surprise (to management) but not to union representatives. All offered some insight into why these differences exist. Many interviewees put down the differences to the stereotyped views that accompany the adversarial industrial relations system thus forcing parties into traditionally opposed positions. However, this oversimplifies the issues and does not explain the number of areas of convergence that are considered below.

One interesting finding is that university managers appear to over-estimate the effectiveness of their workplace change processes and outcomes and also over-estimate the level of participation undertaken. This over-estimation may blind managers to the true effect of the impact of workplace change on the workforce and may explain some of the divergence found in the survey. Arguably, their ill founded confidence may have contributed to both a lack of understanding of the change management process and perhaps to a 'crash through' mindset when it comes to managing change. The issue is discussed further in Chapter 9.

Despite the foregoing comment, the section demonstrated that neither union representatives nor managers believe the other deliberately sets out to be unfair. The fact that the changes were perceived as being unfair by many interviewees (both managers and union representatives) is partly explained by the fact that these changes are generally implemented to benefit university systems and processes rather than its people. Some managers saw this as being inevitable and that resistance was thus futile. It also points to the existence of a possible underlying desire to work more collaboratively in relation to workplace change but an inability to move beyond the current practices. In this sense, it is pertinent that many referred to the prescriptiveness of the government reforms which have dictated many of the change management initiatives and which may have contributed to the 'crash through' management style. The chapter now turns to the possibility of collaborative change management processes.

### 8.2.6   Convergence on Organisational Justice

This section considers the sorts of change management practices which lend themselves to organisational justice based on the experience of the interviewees.

Interviewees were asked to consider the relative impact of each of the 17 organisational justice indicators (see Appendix 7) in relation to their capacity for facilitating workplace change and fostering employee participation. The 17 indicators comprise five for distributive, six for procedural and six for interactional justice outlined in the previous sections. Interviewees were asked to rank each of the 17 indicators as either having a high or low impact on the facilitation of workplace change and the fostering of employee participation.

The responses to these impact assessment questions found there was a mutual convergence (that is a convergence between management and union executives) in relation to nine of the 17 organisational justice indicators. In other words, these nine indicators arguably represent an overarching framework for fair change management in the sector. All nine indicators were rated as having a high impact on both the facilitation of workplace change and the fostering of employee participation.

Of these nine justice indicators, a sub-set of six of the indicators were rated as having a high impact by all four cohorts of academic managers (AM), general managers (GM), academic unionists (AU) and general unionists (GU). That is whilst nine of the indicators were favoured by a majority of management and union interviewees, there were a sub-set of six indicators that were rated as having a high impact by academic and general managers as well as academic and general union executives. The individual high impact rating for each cohort of interviewees is included in Table 8.6.

**Table 8.6: Individual Justice Indicators Demonstrating Convergence**

| HIGH CHANGE & AND HIGH PARTICIPATION | AM | GM | AU | GU | TOT |
|---|---|---|---|---|---|
| Opportunities for employee input | 4 | 5 | 4 | 5 | **18** |
| Decision making processes were impartial | 3 | 5 | 4 | 4 | **16** |
| Decisions communicated transparently | 4 | 4 | 4 | 4 | **16** |
| Staff were treated courteously | 3 | 5 | 4 | 3 | **15** |
| Decisions were made consistently | 3 | 3 | 3 | 5 | **14** |
| Decision making devoid of prejudice | 3 | 3 | 3 | 3 | **12** |

The six normative indicators, and their corresponding organisational justice category, are detailed in Table 8.7. The Table demonstrates that of the six indicators three are procedural justice measures and three are interactional justice measures. Interestingly, no distributive justice measures were agreed upon by the interviewees. This means that interviewees nominated indicators which are important to fair process and fair treatment above fair outcome. It is a finding which has been reported elsewhere and is discussed in Chapter 9. Table 8.7 also shows the percentage and number of those who endorsed the indicator among the 20 interviewees.

**Table 8.7: Aggregated Justice Indicators Demonstrating Convergence**

| JUSTICE INDICATORS | per cent endorse | number endorse |
|---|---|---|
| Opportunities provided for employee input (Procedural Justice) | 90 | 18 |
| Decision making processes impartial (Procedural Justice) | 80 | 16 |
| Decisions communicated transparently (Interactional Justice) | 80 | 16 |
| Staff treated courteously during process (Interactional Justice) | 75 | 15 |
| Decisions made consistently (Procedural Justice) | 70 | 14 |
| Decision making devoid of prejudice (Interactional Justice) | 60 | 12 |

Arguably, these results suggest that if workplace change processes feature: opportunities for employee input; impartial decision making; transparent communication of decisions; courteous treatment of staff; decision making that is consistent and devoid of prejudice, then there should be a strong likelihood of facilitating workplace change as well as fostering employee participation in an environment that is perceived to be fair. Clearly these are normative sentiments but the high level of agreement on this particular set of principles requires further exploration and this issue is taken up further in Chapter 9.

### 8.2.7    Convergence on Organisational Practices

Because the set of six organisational justice principles in Tables 8.6 and 8.7 represent highly aspirational sentiments, they may be difficult to apply in a practical workplace change exercise. The findings suggest that in theory the parties are able to agree on what constitutes fair process in managing workplace change but it is evident that in practice this is not being achieved. To explore this further interviewees were asked to indicate the organisational practices in their institution which they felt had offered evidence of effective participative workplace change. These practices were identified by participants as a result of being asked to identify organisational practices that they had initiated or participated in and which they felt were effective in facilitating workplace change and fostering employee participation. Table 8.8 identifies the organisational practices identified by management and union interviewees.

**Table 8.8: Individual Organisational Practices and Justice Indicators**

| PARTICIPANT IDENTIFIED ORGANISATIONAL PRACTICES | AM | GM | AU | GU | TOT |
|---|---|---|---|---|---|
| *Evidence based change proposals* that articulate the rationale and provides the facts that support the proposal | 4 | 3 | 4 | 2 | **13** |
| *Early initiation of discussions* about change processes rather than engagement after proposals are developed | 4 | 4 | 3 | 2 | **13** |
| *Consultation as an open dialogue* rather than an adversarial exchange of information | 2 | 3 | 5 | 2 | **12** |
| *Locally empowered processes* that allow for affected organisational to propose and review change | 3 | 2 | 3 | 4 | **12** |
| *Provision of an Options Paper* with scope for consultation before the release of a Formal Change Plan | 3 | 3 | 3 | 2 | **11** |
| *Face to face* communication of the change to those that are directly affected by the change | 3 | 2 | 3 | 2 | **10** |

Source: Semi-Structured Interviews (n=20)

Table 8.9 identifies the six organisational practices nominated by a majority of interviewees across the management and union cohorts as well as including an indication of the level of endorsement across the four interviewee cohorts in terms of the percentage and number of responses.

**Table 8.9: Aggregated Organisational Practices and Justice Indicators**

| ORGANISATIONAL PRACTICES | percent endorse | number endorse |
|---|---|---|
| Evidence based change that articulates the rationale to support the proposal | 65 | 13 |
| Early initiation of change rather than engagement after Change Plan developed | 65 | 13 |
| Consultation as an open dialogue rather than an exchange of information | 60 | 12 |
| Locally empowered processes that allow for affected areas to review change | 60 | 12 |
| Provision of an Options Paper with input before the release of a Change Plan | 55 | 11 |
| Face to face communication of the change to those that are directly affected | 50 | 10 |

Source: Semi-Structured Interviews (n=20)

These organisational practices identify a series of approaches that can in turn be used to facilitate workplace change and foster employee participation in a manner that would be favourable received by management and unions. These organisational practices provide a tangible basis for the framing of participative workplace change in such a manner that aligns with the perceptions of what both management and union representatives perceive as delivering organisational justice.

The results of this analysis suggests that the organisational practices in Tables 8.8 and 8.9 combined with the justice indicators in Tables 8.6 and 8.7 may point to an opportunity for more effective participative workplace change by providing a tool-kit

of 'best practice' principles to implement workplace change. The bipartisan support for these practices provides a possible path for the reform of workplace change provisions and practices within the Australian HE sector that could in turn allow for convergence of beliefs and values as well as the facilitation of workplace change and the fostering of employee participation. The issue of a best practice model for implementing change in the sector is considered further in Chapter 9.


**8.3     Chapter Summary**

This chapter reported the findings of the interviews held with a sample of 20 that explored the reflections of participants when shown the divergence of opinion between management and union respondents based on the results of the Attitudinal Survey reported in Chapter 7. The chapter has reported findings suggesting that the parties may resort to stereotyped views based on the adversarial industrial relations system which forces them into opposing corners. Nevertheless, parties on both sides identified that change in universities is primarily designed to benefit systems and processes and not people and that this contributes to the feeling of unfairness and dissatisfaction with workplace change.

Despite the often vast distance between the views of management and union on the effectiveness and fairness of workplace change, there were areas of convergence on a range of values around organisational justice. By uncovering the difference between the reality and the rhetoric of workplace change, or normative values of fairness, it appears that in the HE sector, if not elsewhere, it is easier to agree in principle than in practice. Finally the chapter has identified a number of specific organisational practices, viewed by participants as providing a foundation for a tangible basis upon which to build fairer and more effective participative workplace change practices.

This chapter has considered the practices for participative workplace change and these findings need to be considered in light of the findings of preceding two chapters that have considered provisions for and perceptions of participative workplace change.

A detailed assessment of the impact of the practices for employee participation in workplace change will now be considered in Chapter 9, when the results of the three studies are considered collectively in discussion of the overall research question of the thesis.

# CHAPTER 9 – FINDINGS AND DISCUSSION: ORGANISATIONAL JUSTICE AND PARTICIPATIVE WORKPLACE CHANGE

## 9.0    Introduction

Having considered the findings of the three research questions in the preceding chapters, this chapter brings them together with the underlying themes of the thesis: provisions for participative workplace change, perceptions of participative workplace change and practices for participative workplace change in the Australian HE sector. In integrating these themes the focus becomes an assessment of what constitutes fair workplace change in Australian HE.

The thesis has thus far identified that the Australian HE sector has made provisions for employees participating in the management of workplace change but the degree of that participation has declined over the past 10 years and the form of participation takes has changed to include non-unionised staff. Perceptions of fairness in relation to participative workplace change was found to be significantly different for management and union representatives, raising questions of whether change management in Australian universities conforms with the concepts of workplace justice. It was also found that despite this divergence there nevertheless exists scope for a shared understanding of what constitutes fair process for organisational change.

These findings have occurred amidst an environment where the Australian industrial relations system has moved from being predominantly collective towards introducing individual employment arrangements. In the HE sector this has largely been driven by the Howard Coalition government's HEWWRs reforms which made funding contingent on moving towards individualised employment arrangements and a flexible work practices (Chapter 2). At the same time there has been some debate over the move of the HE sector from more collegial to a more managerial decision making practices.

Despite the changes, the EBA provisions for employee participation in workplace change continue to allow for some sort of collective decision making. It is these provisions of participative workplace change and the related questions of workplace

justice that this chapter will now discuss with a view to answering the overall research question: to what extent does employee participation in the management of workplace change deliver organisational justice the Australian HE sector?

The chapter commences with a discussion of the decline of participative workplace change identified in this thesis before moving to the question of why management and union representatives in the sector are so polarised in their opinions of whether workplace change has been fair. Finally the chapter considers the implications of the findings of this thesis for theory and practice and makes observations about how the Australian HE sector may consider the future of fair workplace change.

## 9.1    The Decline of Participative Workplace Change in Australian HE

The period of industrial relations reforms that began under a federal Labor government in the mid 1980s heralded a focus on greater levels of enterprise based decision making and more flexible work practices in terms of the introduction of award restructuring and the move away from centralised wage fixing (McBride, 1996). The impetus for these changes was the quest for greater organisational efficiency and productivity by organisations. Initially, the period of industrial change during the 1980s and early 1990s was governed by an agreement between government, employer associations and the trade union movement (the ACCORD) that saw greater co-operation between employers and unions (Bray et al, 2001). This was highlighted in 1984 by the Termination, Change and Redundancy decision of the AIRC (Brown and Ainsworth, 2000) which provided for mandatory consultation with employees affected by workplace change (McBride, 1996 and Bray et al, 2001).

Despite the increased level of localised workplace change, and the emphasis on industrial co-operation under the Labor government, there was not the anticipated development of industrialised employee participation schemes that had been developed by social democratic governments most notably in Scandinavia. Davis and Lansbury (1986, 1989) described the more moderate form of participative workplace change in Australia as being due to the desire by both management and unions to

focus more on consultation as a form of participation rather than introduce more advanced notions of industrial democracy such as works councils (see Chapter 2).

Despite the limitation in the possible development of participative workplace change in Australian industrial relations the TCR decision did herald in a formalised environment into which employee participation in the management of change remained a feature of awards and EBAs through to the present day. Decentralisation of bargaining through the EBA process in the HE sector has served to retain approaches to participative workplace change at a localised level rather than as a single national approach. This has led to variations in the extent to which different organisations provide for employee participation.

The Australian industrial relations system underwent another period of substantial change following the introduction of the Coalition Federal Government in 1996 and the introduction of the *Workplace Relations Act (1996)*. There began a move away from a unionised and collective focus to a more individualised approach. In the context of this legislation, and amidst continued organisational change and restructuring across most workplaces, participative workplace change took on a new dynamic in Australia in the sense that it was envisaged to be a matter directly between employers and their employees (without the involvement of unions).

As has been discussed in Chapter 3, the Australian HE sector experienced significant change during this period with considerable intervention within the sector made at the behest of the Commonwealth Government. The extent to which these altered the nature of university life and the nature of university workplaces was explored by Harman (2003) who described the situation as:

> dramatic and far reaching changes occurred in Australian higher
> education throughout the decade of the 1990s. These changes touched
> on numerous aspects of Commonwealth higher education policy and
> university life (2003:1).

The importance of the role of the federal government in driving these changes forms a key focus of the nature of the external environment in altering the operation and

approach of universities. Harman (2003) described the intent of the Commonwealth Government in mandating changes in the Australian HE sector through the linking of efficiency gains in the context of linked funding increases for operating grants and wage increases:

> The Government's aim was to unlock rigidities within institutions and enable greater flexibility in course offerings and innovation in the delivery of education services (2003:31).

This external influence was to further continue into the late 1990s and early 2000s with the focus moving to greater individualisation of the HE workplace. In this environment, the first of the research questions in this thesis considered the issue of participative workplace change by examining the extent to which the Australian HE sector made provision for employee participation in workplace change. The first research question was as follows:

> *To what extent has the Australian HE sector provided for employee participation in the management of workplace change?*

The key findings in relation to the provisions for employee participation in the management of workplace change in Australian HE are identified below:

- The Australian HE Sector makes provision for the participation of employees in the management of workplace change
- During the period 1997 to 2006 there was a decline in the degree of employee participation in the management of workplace change
- During the period 1997 to 2006 there was a shift in the form of employee participation from bipartite to tripartite which indicates that there has been a shift away from unions as the primary representatives of employees to a mix of union and employee representatives.
- There has been a consistent decline in the degree of participation relatively equally across the Australian HE Sector

As discussed in Chapter 6, the analysis undertaken of EBAs across the 37 public universities in Australia found that there had been a decline in the degree of employee participation across each of the three rounds encompassed in the period 1997-2006. The nature of the decline was a move away from a sector standard for 'employee consultation was an obligatory part of the change process' to one where there is an increased shift towards 'employees had the right to comment on the change'. Rather than workplace change recognising the role of employees to be consulted on the process the shift heralds an approach that is more aligned to the provision of information.

It is evident from the analysis that the Australian HE sector provides for a level of employee participation in the management of workplace change across all university types and can therefore be seen to have accommodated the provisions of the TCR Decision, albeit in a weakened form.

The thesis also found there has been a change in the form of employee participation over the period 1997 to 2006. The sector has seen a considerable move to tripartite participation (that is management, unions and staff representatives) as the dominant form of employee participation with bipartite participation (that is management and union representatives) almost disappearing. The shift is largely explained by the focus on non-unionised staff both in the *Workplace Relations Act 1996* and in the HEWRRS legislation. These pieces of legislation have encouraged direct relationships between employer and employee and have been used to reward universities with greater funding in exchange for introducing individual contracts. The change towards this type of tripartite consultation has been accompanied by a decline in the use of joint consultative committees in the HE sector. Again, this might be because of the connotation of union involvement in consultative committees. Despite the changes, union participation in change management has not been eradicated in the sector, but there has been a considerable move away from workplace change being managed in conjunction with the industrial representatives of the workforce as part of the focus during the last decade on a more individualised workplace.

It is speculated here that the decline in the degree and the weakening of the form of participation was part of a gradual process over the three EBA rounds and that during

the last round the focus was on compliance with the provisions of the HEWRRs. By tying funding to the reforms it is likely that this led to a degree of acquiescence by union representatives leading to the failure to afford employees the degree of participation that previously existed in the workplace provisions. Together with the evidence from the Attitudinal Survey and the Semi-Structured Interviews it is clear that employees have been less involved in decision making and believe that their needs were subordinated to the needs of the organisation (Chapter 7 and 8). The findings suggest that the decline in the degree of participation has been matched by a more dominant role in the determination of workplace change by university managers. This supports a premise that the Australian HE sector has adopted a more managerial approach to employee participation in the management of workplace change. Seen in the context of the politics of workplace change in Australian HE, the shift also represents the increasing individualisation of workplace relations. The trend is not confined to universities and has been reported across the broader public sector (Baird and Lansbury, 2004; Anderson, Griffin and Teicher, 2005).

The findings suggest that government intervention through policy and legislation has created an environment where change management is driven by university managers which has contributed to a greater degree of managerialism in the sector.

The thesis found no evidence of a significant decline in participation for any one of the sector groupings when compared with the rest of the sector. In other words, the decline of employee participation was a feature of all Australian universities for the period of 1997 to 2006. With the election of a federal Labor government in 2007 one can speculate on the shape of participation to come and this is likely to represent the ongoing tensions between management-led flexibility and employee consultation. Universities Australia (the organisation representing the 37 Vice-Chancellors) has indicated a preparedness to support the retention of a collective bargaining environment within the sector. However, they have also indicated their strong desire for a more flexible workplace, and are likely to resist union pressures to significantly amend the provisions of the HEWRRs that introduced non-union representatives into the bargaining arrangements within the sector (Universities Australia, 2008). However, the NTEU has campaigned for an end to the HEWRRs and their action is anticipated to bring about a full scale revision of the provisions introduced by the

HEWRRs. Further, the NTEU has made a return of union representation in workplace change processes a key feature of the forthcoming EBA round (National Tertiary Education Union, 2008). This debate will feature heavily in the coming round of EBAs (Round V) which are likely to commence during mid 2008 and following the approval by the federal Parliament of the new workplace relations laws. Together with the foreseeable changes arising from the review of HE announced in March 2008 (DEEWR, 2008) the pace of change in the sector is unlikely to falter.

Having discussed the findings of the first research question and found evidence of a decline in the provisions for participative workplace change in Australian HE, this chapter will now consider the perceptions of fairness of workplace change.

## 9.2    Divergent Perceptions of Fair Workplace Change in Australian HE

Whilst researchers such as Lewin (1947, 1951) and Coch and French (1948) made the case for engaging in the change process those who are affected by the change, it was the contributions to this debate by authors such as Pateman (1970) and Dachler and Wilpert (1978), who examined in greater detail the motivations for participation and the different contributions that those who participate can bring to a decision making process. The key argument to emerge through this process is the extent to which participation in the decision making process in turn results in greater acceptance of the decisions and more acceptance of the change outcomes.

The interaction of fairness with employee participation in workplace change was articulated well in the theory of organisational justice by Greenberg (1987, 1988, 1990). The emergence of organisational justice as a distinct theory in the literature provided a clear basis upon which to place the fairness of the relationship between workplace change and employee participation. This thesis has made the link between employee participation and organisational justice by suggesting that there is a parallel between being involved in the decision making process and the requirements of procedural and interactional justice (Chapter 4 and 7). Indeed the second research question asked:

*To what extent do management and union representatives perceive fairness in the provisions and practices of the Australian HE sector to facilitate workplace change and foster employee participation?*

The key findings in relation to the provisions for employee participation in the management of workplace change in Australian HE are indicated below:

- There is evidence of significant divergence between management and unions in their perceptions of the ability of the Australian HE sector to facilitate workplace change which fosters employee participation

- There is evidence of significant divergence between management and unions relating to the ability of the Australian HE sector to provide fair outcomes, fair procedures and fair interactions

- There is no finding of significant divergence between academic and general staff in relation to facilitating workplace change, fostering employee participation or perceptions of organisational justice.

- There is evidence that the Go8 Universities are perceived as significantly more effective in facilitating workplace change than other sector types

- There is no finding of significant difference between sector types in relation to fostering employee participation or perceptions of organisational justice

As indicated in Chapter 7, the Attitudinal Survey found that there was considerable divergence in the opinions of management and union representatives in the extent to which they perceived workplace change, employee participation and the dimensions of organisational justice. Management representatives generally perceived participative workplace change to be effectively facilitated, employee participation to be fostered and displayed an overall sense that change was fair. Alternatively, union representatives perceived workplace change to be poorly facilitated, employee participation to be under utilised and pointed to the unfairness of change. The perceptions of unfairness of change by union representatives and the seeming lack of awareness of this by university managers is a key issue which needs to be addressed in the sector if fair change processes are to be adopted. This would be advisable on economic grounds alone given the evidence that employees treated unfairly will often

retaliate in ways which can affect organisational productivity (Cropanzo and Greenberg, 1997; and more generally Chapter 4). The finding is not confined to the HE sector. Indeed Jones, Watson, Hobman, Bordia, Gallois and Callan (2008) in their study of health sector employee perceptions of complex organisational change found that managers were more likely than employees to view the change as favourable.

The findings provide evidence that participative workplace change is generally undertaken in order to improve efficiency and productivity and would normally require the cooperation and good will of employees. The importance of this co-operation in enhancing productivity in the Australian HE sector was identified in an assessment of academic productivity by Marinova and Newman (2005). Their findings indicate the importance of sustaining academic productivity through sustained engagement of employees during times of change. This finding is further supported in the context of change in the HE sector internationally in an assessment by Gumport (2000) of the relationship between organisational change and institutional imperatives in the United States. Gumport (2000) identifies that the drivers for organisational change have increasingly become economic and political and as such there has been a shift away from the 'academic locus of reform' that has meant that: 'the management of public higher education institutions faces formidable legitimacy challenges' in undertaking organisational change (2000: 69)

In carrying out the change agenda it appears that most university managers may be out of touch with the level of perceived unfairness by their employees. This finding is consistent with other research in the area of organisational change which has identified a disconnect between those initiating change and those experiencing the change (Reichers, Wanous and Austin, 1997; Goodman and Truss, 2004). Reichers et al (1997) describe this as 'change cynicism' arising out of differing experiences of change:

> Those at the top may view changes as interesting challenges or as appropriate and timely responses to changing competitive conditions. Those lower down may see them as necessary evils or as the incomprehensible actions of a top management group out of touch with day-to-day operations (1997: 48).

Interviews of senior university staff revealed that whilst many managers were surprised to hear of the divergence of perceptions of fairness, some were able to explain that change was indeed unfair and inevitably so (Chapter 7). They pointed to government mandates for change which left little choice than to implement efficiency measures which paid greater attention to the requirements of the organisation than to staff member needs. If they were explaining a form of managerialism, in this context it is a somewhat reluctant managerialism.

The Attitudinal Survey has found a significant level of divergence, or difference of perceptions between senior management and unionists, in the key areas of effectiveness in facilitating effective workplace, fostering employee participation and delivering fairness of outcome, process and interactions. This might be argued to be a predicable result – the polarisation of responses from a predominantly management and union biased set of respondents. However, this is too simplistic as much workplace change in the sector has been imposed by government leaving managers little choice but to implement and often to tight timelines which they themselves recognised as leaving them little alternative than to push through the change.

This divergence is consistently reported in relation to role type (the management or union role of the respondents). However, there is no finding of significant divergence in relation to staff type (the academic or general classification).

The implications of the findings of this management driven change for the Australian HE sector is that despite considerable evidence that participation of employees in workplace change is linked with the success of the changes, employees in the sector do not feel meaningfully engaged in the process. Clearly, in this context, fair process is a casualty of the focus on organisational efficiency. This in turn comes at the expense of the capacity of workplace change to be managed in a manner which is both strategic and consultative. Kenny (2008) describes this flawed approach within the Australian HE sector as arising due to a focus by management on 'control and predictability' rather than a 'shared vision which is an inherently consultative process that values the multiple perspectives of people within an organisation' (Kenny,

2008:14). The Australian HE sector is further complicated by the extent of government intrusion into the management of their change processes.

The findings also show that the experience of workplace change is certainly not homogenous across the sector. The analysis of variance statistical testing undertaken across each of the areas of workplace change, employee participation and the dimensions of organisational justice found that more than other university types the respondents from Go8 Universities demonstrated their belief that their institutions effectively facilitate workplace change (see Chapter 7). To this extent the Go8 universities demonstrated the greatest level of agreement between management and union representatives that workplace change is effective and fair. This is not to say that respondents in the Group of Eight actually consider change to be effective and fair, rather that the degree of difference between them is smaller than that found in other sector types.

Marginson (1999) also found evidence that supported the premise that organisational change was more effectively conducted in the more traditional universities and cited evidence of this as being the presence of 'relatively healthy academic cultures' (1999:4). Despite the fact his study was done prior to the HEWRRs reforms it supports the contention that the presence of established decision making processes in these universities results in management and union perceiving their university as being able to effectively manage workplace change.

Notably, academics also display a greater commitment to their GO8 universities and this could also account for their greater faith in organisational outcomes. In a study on affective commitment of Australian business academics, Ferrer and Van Gramberg (2007) found that academic staff in Go8 universities had higher levels of commitment than any other sector type:

> The academics within the Go8 have the highest levels of commitment
> from all the groups and, when considered alone, can be said to be
> committed to their universities (2007:10).

Others have found that employees who are committed to their organisations are more likely to view change outcomes more favourably than non-committed employees (Martin, Jones and Callan, 2005). This may also be a factor contributing to the greater faith by staff in Go8 universities to change management. The extent to which higher perceived levels of collegiality can be seen to be operating within the Go8 universities can to a large extent be attributed to the fact they have an historical advantage in respect of the Australian HE sector. This distinction of the Go8 based on their older heritage was a point explored by Marginson (1999) in his assessment of diversity and convergence in the Australian HE sector.

It is apparent that staff from Go8 universities have relatively more faith in the ability of their managers to deliver effective change than staff from other sector types, although nearly one third of the respondents still give a low rating in respect of change management.

Workplace change is an important aspect of organisational decision making because it determines the future activities of a university and the key change management theories predict that workplace change is more successful when employees are directly involved (Lewin, 1947, 1951; Victor and Franckeiss, 2002). Change in the HE sector during the last 20 years has been accompanied by a decline in collegial, or pluralist, decision making and a rise in managerial, or unitarist, decision making (Bessant, 2002; Harman, 2002). This thesis has demonstrated that there has been a lessening of employee participation in university decision making with regards to change and this has been accompanied by a feeling of unfairness of the change process. The employment relations climate created through this environment raises key questions for the future of participation and of the role (if any) of collegiality in university life.

As has been argued in earlier chapters, this thesis has contended that the essence of collegial decision making is the presence of a plurality of views in decision making. As was reported in Chapter 3, Water's (1989) observed that collegiality was akin to: 'an administrative act [which] is only legitimate when it has been produced by the co-operation of a plurality of people according to the principle of unanimity or majority' (1989:952). Management led change such as described in this thesis has shifted

notions of collegiality in the sector towards managerialism. The shift away from collegial decision making in the Australian HE sector was also identified by Marginson and Considine (2000) in their study of the 'Enterprise University' which asserted that despite the differences in governance and leadership between the five university types they identified, they have all seen a shift from a collegial to a more managerial focus in operations.

Overall, the thesis has found that change management is problematic in the HE sector. It is seen as unfair by union representatives and some managers and over time has guaranteed less intensive employee participation. Chapter 7 revealed a number of areas where university managers and union representatives believed there might be some change management practices based on organisational justice theory and these are discussed below.

In considering organisational justice and participative workplace change this thesis does not seek to support a return to more traditional collegial decision making structure, but rather provide a forum for discussion in the sector for a range of participative workplace change principles and practices within the modern Australian university. The return to the old order of collegiality is in essence at odds with the operation of the modern university as described by Marginson (1996):

> I very much doubt that the answer lies in returning to the earlier systems of collegial governance, at least in their traditional forms. They were elitist, hierarchical, unaccountable outside the college, exclusive of junior academics and of general staff; and exclusive of women. They were also inefficient: slow to respond, and unable to initiate new things (Marginson, 1996:126).

Rather than call for the sort of collegial decision making structures described by Marginson, this thesis has sought to explore to what extent employee participation in the management of workplace change is delivering (or has the capacity to deliver) organisational justice within the Australian HE sector.

**9.3    Convergent Practices for Fair Workplace Change in Australian HE**

The thesis canvassed the areas of ideal organisational practices in relation to facilitating workplace change fostering employee participation in its third research question:

*To what extent is it possible to identify organisational practices that facilitate workplace change and foster employee participation as well as deliver organisational justice within the Australian HE sector?*

The key findings in relation to the provisions for employee participation in the management of workplace change in Australian HE are indicated below:

- Management Representatives are significantly more favourable in their attitudes towards the capacity of their university to facilitate effective change, foster participation and organisational justice
- Union Representatives are significantly less favourable in their attitudes towards the capacity of their university to facilitate effective change, foster participation and organisational justice
- Interviewees identified a number of procedural and interactional justice measures that they believe can facilitate effective workplace change and foster employee participation. These measures were: providing opportunities for employee input, impartial decision making processes, communicating decisions transparently, treating staff courteously during change, making decisions consistently, and making decisions devoid of prejudice
- There is evidence of convergence between management and unions in relation to some key organisational practices which are perceived as being fair by both groups. These practices were: evidence based change proposals, early initiation of change proposals, consultation as an open dialogue, locally empowered processes for change, provisions for change via an options paper, and face to face communication with those affected by change.

As discussed above management interviewees generally indicated surprise at the findings of divergence on a number of questions but on further questioning they were able to explain the systemic inevitability of the unfairness of change and the imposed approach to workplace change with the consequent adverse impact this had on interpersonal treatment. Given managers' rationalisations for the union representatives' negative responses, it is likely that the union representatives are closer to the truth of what is happening in workplace change in universities. That the changes are perceived as being unfair and focused on organisations rather than people is at odds with the stated commitment (based on the TCR decision) within EBAs in respect of participative change. Such an outcome challenges the very basis of any approach by management to work to facilitate workplace change at the same time as fostering employee participation.

Union representatives were generally not surprised at the findings of divergence but did point to a level of unrealistic expectations about the processes of participative workplace change. Many agreed that no matter what the degree of participation it is likely that it would be perceived as being insufficient. This finding of adverse employee perceptions is consistent with other findings in respect of workplace change within the HE sector and again can be seen to be related to dissatisfaction with the move away from a more collegial workplace (Hull, 2006).

The adverse perceptions of staff within the Australian HE sector to workplace change was also highlighted in the research of Anderson (2004) who studies the responses of academic staff to a 2001 Senate inquiry into the Australian HE sector. Anderson (2004) identified that submissions to the inquiry highlighted the: 'widespread demoralisation within universities…and the animosity aroused by managerial practices.' (2004:194).

On an initial assessment, the interviewees' reflections on the divergence between management and union responses appears to provide little hope for achieving a balance between workplace change, employee participation, and organisational justice. The divergence between the parties paints a picture of a deeply polarised workplace, particularly in relation to the issues surrounding workplace change and employee participation. What is also evident is that much of this polarisation stems

from the responses to the external environment and the intervention by the Coalition federal government in the area of workplace relations within the Australian HE sector over the period 1997-2006.

Federal government intervention in the Australian HE sector has thus affected employee relations in a considerable way. Neo-liberal governments are generally defined by their laissez faire characteristics of governing so the intrusiveness of the Howard government has been significant, as a departure from laissez faire management and because of its effect on the relations between employers and employees in the most fundamental and vulnerable area of industrial relations: workplace change. The result, in the HE sector has been that change management has occurred at some pace and in general it has been perceived by staff as delivering results for the organisation. This thesis has shown though that these results have been delivered largely at the cost of human participation and sense of fairness at work. Gollan and Patmore (2003) noted the same phenomenon of declining participation and employee voice in their study of partnerships at work in Australian, New Zealand, US and UK workplaces. The authors call for a revitalisation of workplace democracy perhaps in the form of consultative managerialism.

In his examination of change in the Australian HE sector Harman (2006) found that whilst many academics 'have made remarkably successful transitions to a more entrepreneurial environment' the extent of the adverse impact on the HE sector workplace cannot be underestimated:

> the dominant view [is] that major changes in the policy and management environment have had major adverse impacts on academics and that transition to the new order has been painful and damaging (2006:170).

What Harman (2006) describes as painful and damaging could well reflect the sense of unfairness by university staff observed in this thesis. The fact that the effects of the changes are seen as inevitable by university management perhaps reflects the unavailability of participative mechanisms which could provide an avenue of support for staff during the change process.

The findings identify that the gulf between the parties in relation to their experience of workplace change is illustrated by a resigned acceptance by management that workplace change is unlikely to be fair and reflected by the union view that there is no attempt to aspire to fairness.

Despite the areas of divergence of opinion between university managers and union representatives, the thesis identified a number of areas which may point to the adoption of fair processes for change management. Of key interest in the findings of the Semi-Structured Interviews was the degree of convergence between management and union representatives on the dimensions of organisational justice that were most likely to facilitate workplace change and foster employee participation. To this extent a number of principles and organisational practices were identified in Chapter 8 and are briefly considered here.

The 'fair workplace change principles' are summarised below. The principles are normative and reflect the aspirations of both management and union interviewees towards fair change management. It was speculated in Chapter 8 that these principles could provide a framework for guiding change management.

- Opportunities provided for employee input (Procedural Justice)
- Decision making processes impartial (Procedural Justice)
- Decisions communicated transparently (Interactional Justice)
- Staff treated courteously during process (Interactional Justice)
- Decisions made consistently (Procedural Justice)
- Decision making devoid of prejudice (Interactional Justice)

In finding evidence of organisational practices that can facilitate workplace change and foster employee participation despite the range of divergent perceptions it is clear that the key issue to emerge is the desire by all participants, at least in principle, to achieve fair processes and fair interactions in managing workplace change.

It was an interesting finding that all principles represented aspects of procedural (3 of 6) and interactional (3 of 6) justice rather than those of distributive justice which were ranked much lower by interviewees. The phenomenon, that the overall concept of fairness is judged by the extent to which procedural (including interactional) rather than distributive justice is afforded, has been discussed elsewhere (Kim and Mauborgne, 1991; Morris and Leung, 2000). Procedural and interactional justice, therefore have an important role to play in the change management process because they are powerful predictors of acceptance of change. The implications of this finding for management practice and theory is discussed below in sections 9.6 & 9.7.

Chapter 8 also elucidated six organisational practices where these principles might operate effectively. The identification of shared workplace practices that can facilitate workplace change and foster employee participation, and the related aspect of participative decision making and organisational justice dimension, are illustrated below in Table 9.1:

**Table 9.1: Practices for Participative Workplace Change**

| SHARED WORKPLACE PRACTICE | PARTICIPATION/JUSTICE ASPECT |
|---|---|
| Evidence based change that articulates the rationale to support the proposal | Procedural Justice via a requirement that arguments for change are evidence based |
| Early initiation of change rather than engagement after Change Plan developed | Procedural Justice via a requirement for change to be articulated before the plan |
| Consultation as an open dialogue rather than an exchange of information | Participative Decision Making via consultation being a sharing of ideas |
| Locally empowered processes that allow for affected areas to review change | Participative Decision Making via opportunities at the local level for input |
| Provision of an Options Paper with input before the release of a Change Plan | Procedural Justice via a requirement for a conceptual discussion before the change |
| Face to face communication of the change to those that are directly affected | Interactional Justice via managers and employees discussing the changes |

The implications of these findings, both in terms of the justice dimensions and the organisational practices, are considered later in this chapter in more detail. Having highlighted the key findings of the thesis in respect of the three research questions identified in Chapter 4, this chapter will now consider the integration of these findings in answering the overall research question.

## 9.4 Answering the Overall Research Question

As indicated in Chapter 1, in considering the issue of employee participation in the management of workplace change, this thesis adopted an overall research question that focussed on the issue of organisational justice:

*To what extent is employee participation in the management of workplace change delivering organisational justice within the Australian Higher Education sector?*

This question focused on the issue of the delivery of organisational justice via employee participation in the management of workplace change. It is evident from the findings of the three research questions that whilst the sector provides for at least some level of employee participation in workplace change there is considerable disagreement by management and union representatives in respect of organisational justice. Overall, it is concluded that the Australian HE sector is failing to deliver the desired levels of organisational justice in relation to employee participation in the management of workplace change.

This finding that the Australian HE sector is failing to deliver organisational justice, at least in terms of the mutual perceptions of managers and employees, is in many ways not surprising given the state of change in the sector during the last two decades and the extent to which this has been adversely perceived by employees (Currie and Vidovich, 1997; Anderson, 2004).

The thesis has found that employees within the Australian HE sector, and to some degree managers as well, are perceiving that workplace change is not effectively fostering employee participation and, even more damning, not effectively facilitating the change itself. Rosewarne (2005) attributes the emergence of this situation to not only: 'the assault on organised labour in the University Sector' by the Howard Government but also the 'acquiescent leadership' by university management (2005:189&197).

This finding of a failure to deliver organisational justice via participative workplace change in the Australian HE sector is consistent with the observations of others in respect of the higher education sector internationally. In an assessment on the emergence of 'new managerialism' in the UK higher education sector, Deem (1998) highlights the shift to less consultative management practices as a result of the shifting focus of 'organisational regimes' which have adopted a greater emphasis on productivity and efficiency at the expense of employees participating in decision making.

This thesis has canvassed three reasons behind the perception of unfair organisational change. First, neo-liberal government reforms have largely driven the change agenda in universities making it contingent on funding. Second, the rise of managerialism has contributed to a greater focus on efficiencies and outputs and this could be why staff members believe change is about processes and not humans. Third, it is likely that university managers do not always readily avail themselves with mechanisms which can increase participation and facilitate fair processes.

This thesis does not contend that this failure to provide desired levels of organisational justice is a symptom of, or evidence for, a decline in collegial decision making, rather it contends that if there is a greater emphasis on processes and interactions that are perceived as fair by both management and union representatives then there will be an increase in perceived levels of organisational justice. This issue will be further explored in Chapter 10 in considering further research opportunities arising from this thesis.

Having discussed the major findings of the thesis in light of the international literature the thesis now turns to the implications of the findings for theories of participative decision making and organisational justice before examining the implications for practice.

## 9.5 Implications for Theory

The findings from this study have some implications for theory. Five theories considered here are: Participative Decision Making, Theory of Voice and Justification, Social Exchange Theory and Organisational Citizenship Theory, and Organisational Justice Theory.

Participative Decision Making is a theoretical framework for examining the different ways in which employees participate in organisational decision making (Dachler and Wilpert, 1978; Locke and Schweiger, 1979; Cotton et al, 1988; Black and Gregersen, 1997). This thesis has explored this theoretical framework in the context of the Australian HE sector and explored not only the rationale for such participation but also the issues that are able to be decided on a participative basis. Further, the thesis has contributed to a greater understanding of the degree and form of employee participation in decision making through assessment of the IRG scale for participation (IRG, 1976).

The 'theory of voice and justification' has been attributed to the work of Folger (1977) and Bies and Shapiro (1988) based on the earlier work of Hirschman (1970). As was identified in Chapter 4 the 'theory of voice and justification' argues that allowing employees' voices to be heard in organisational decision making along with the right to be provided with a justification for workplace decisions constitutes the basis for workplace fairness (procedural justice). It is argued that this thesis has demonstrated that voice and justification are strong theoretical concepts in understanding participative workplace change and make a strong argument for ensuring that in facilitating workplace change there is an active approach to fostering employee participation as is identified in the original award provisions of the Australian HE sector.

Social Exchange Theory (Blau, 1964) and Organisational Citizenship Theory (Organ, 1988) were identified in Chapter 4 as providing theoretical grounds for the development and maintenance of engaged employees and a participative workplace. These concepts both recognise the importance of an employee engaging in a social exchange within the organisation as well as identifying a sense of citizenship or

belonging within the organisation. The mutual convergence between management and union representatives in the Semi-Structured Interviews confirmed the importance of employees directly participating in the management of workplace change and provides an indication that when considered objectively there is a shared belief by managers and employees that employees should be engaged with workplace decisions and in turn encouraged to more strongly identify with the organisation.

The primary theoretical framework explored in this thesis is that of organisational justice theory. Whilst organisational justice theory has been argued to arise through the work of Adams (1965) in relation to distributive justice, Thibault and Walker (1978) in relation to procedural justice, and Bies and Morag (1986) in relation to interactional justice, it is Greenberg (1987, 1988, 1990) who is attributed with the integration of these theories into organisational justice theory. But it was Cobb et al (1995) and Paterson et al (2002) who through the articulation of a total of 17 dimensions of organisational justice were able to create a model which could measure the extent to which organisational justice is afforded.

It can be argued that Organisational Justice Theory has provided a theoretical framework through which to consider perceptions of fairness of participative workplace change (Cobb, Folger et al, 1995; Paterson et al, 2002). By identifying a framework to assess the perceptions of fairness of outcomes, processes and interactions, organisational justice has meant it has been possible to measure the perceptions of managers and employees in respect of workplace change. The thesis has provided an indication of how organisational justice can be measured and the findings provide evidence within the Australian HE sector that organisational justice is not mutually perceived to be occurring. Despite this absence of mutual perceptions of fairness, organisational justice theory provides a theoretical framework around which it is possible to identify the factors that may cause managers or employees to view workplace change as being unfair. Such a framework then allows scope to enhance practices such that there is greater opportunity for mutual perceptions of fairness.

A key finding of the thesis was that management and union interviewees relied almost entirely on procedural justice and interactional justice related dimensions in their

nomination of the six principles of fair workplace change (Section 9.3). This is a phenomenon which has been widely reported. Researchers have argued that interactional justice and procedural justice are the key measures of fairness perceived by individuals and together these will overcome even an unfair outcome (Tyler, 1987; VanGramberg, 2006). The thesis confirms the finding and supports the theory and has some important implications for the management of workplace change which is discussed further in Section 9.6.2 below.

## 9.6     Implications for Practice

Having considered the implications for theory it is pertinent to consider the implications for practice arising out of the research undertaken in this thesis. Based on the findings of the three research questions this thesis identifies two major implications for change management practice in the Australian HE sector. These two identified areas comprise enhanced provisions for participative workplace change and enhanced practices for participative workplace change. It is argued that if these areas where undertaken then there would in turn be a corresponding increase in the perceptions of fairness, or organisational justice.

### 9.6.1   Enhanced Provisions for Participative Workplace Change

Based on the findings of the first research question, which found a decline in the degree and form of employee participation in the management of workplace change, it is argued that the Australian HE sector has an opportunity to revise the clauses relating to workplace change in future enterprise bargaining agreements and move towards a more inclusive form of staff participation. Each will be discussed below.

As was identified in Chapter 6, the original clause in the awards for academic and general staff made a clear indication that employee participation in the management of workplace change was key principle. The wording of the original clause was as follows:

*The parties acknowledge that the sound management of workplace change requires the involvement of the people who will be directly affected by the change.*

The EBA Analysis found that across three rounds of enterprise bargaining, this commitment has been weakened in various ways by many of the universities. A number of universities which were rated as having a lower degree of employee participation than the sector average have put caveats on the general principle of participation. This can be demonstrated by the statements below:

*The parties acknowledge that continual organisational change is necessary to respond to changes in the external environment and to maintain and improve the University's performance, in particular, to enhance the competitiveness and financial viability of the University and to maintain and enhance its activities (Regional University).*

*Organisational change may be required to enable the University to achieve excellence in teaching, learning and research, to meet the changing needs of students, internal clients and the wider community and to deliver its services within finite resources (New Generation University).*

In both indicative cases the insertion of a preamble that seeks to justify the change has the effect of weakening the underlying principle. This can be contrasted by the two examples below which reflect universities that have been rated more highly than the sector average.

*Consultation means a process by which the parties exchange information about a matter or issue, hold discussions to explain points of view, and take into account the views of the other party/parties. Consultation does not necessarily mean that an agreement can be reached. However, consultation does require that the views of staff members who will be affected by the change, and of the Union, must be taken into account and considered before a decision is made by the University. The aim of consultation is to make changes*

252

*as smooth as possible for both the University and its staff (Group of Eight University).*

*It is agreed that a fundamental principle of effective change management is the involvement of all those who are affected by the proposed changes. The parties acknowledge that organisational change will be effected most positively with the involvement and active participation in planning and implementation by the persons who will be affected by the change (Regional University).*

Despite the differing approaches of both of these clauses, the focus is clearly on seeking to put workplace change into a context where positive change is associated with employee participation.

It is argued that if the Australian HE sector is committed to the participation of employees in the management of workplace change then universities need to ensure a demonstrated and explicit statement to this effect in enterprise bargaining agreements. Whilst it is acknowledged that the context and rationale for change is important, as the review of the literature, and the findings of the research questions demonstrate, an explicit and clear commitment for provisions that foster employee participation need not be seen as a means of limiting the need to facilitate workplace change.

In relation to the form of employee involvement it is accepted that this has been an area where there has been significant external government intervention through the provisions of the HEWRRs legislation. The move by many universities in the last reported round (Round IV) to expand the degree of employee participation beyond union representation is likely to be a key issue in the forthcoming enterprise bargaining round with the NTEU having made removal of the HEWRR provisions a key part of the Log of Claims (NTEU, 2008).

What is argued is that given the nature and rate of workplace change is unlikely to reduce in the foreseeable future, the opportunity exists to put in place clear mechanisms that foster the participation of employees. One way of enhancing the provision of employee participation would be to create a dedicated workplace

consultative committee that comprised a balanced representation of senior and middle managers as well as union and staff representatives. The capacity for the sector to use these committees to engage employees in the management of workplace change can be seen to have benefit for both management and employees in that a standing workplace consultative committee would develop a sense of proficiency in considering the impact of change proposals that an ad-hoc committee cannot do. The benefit of such standing workplace consultative committees has been found to be a practice that has been implemented successfully in a range of organisations and sectors (Axelrod, 1992; Combet, 2002; Forsyth, 2002).

It is also suggested that this workplace consultative committee could take on the role of ensuring that the 'fair workplace change principles' identified above were adhered to in change proposals into the future. Such a role would ensure that the support for these principles operated on a shared basis rather than necessarily being solely advocated by employees or managers.

## 9.6.2   Enhanced Practices for Participative Workplace Change

The section above identified two changes based on the findings of the EBA analysis and the Attitudinal Survey. This section considers enhanced practices for participative workplace change that have arisen from the Attitudinal Survey and the Semi-Structured Interviews including stakeholder management and six organisational practices which foster the justice principles. Further, the findings of this study and others (Tyler, 1987; Kim and Mauborgne, 1991; Morris and Leung; 2000) suggest that procedural justice measures provide a better indication of the acceptance of change than do distributive justice measures. This means that a focus on procedural justice in the recommendations is likely to heighten the acceptance of the change outcomes.

The findings of the Attitudinal Survey and the Semi-Structured Interviews demonstrated a sense of unrealistic perceptions by managers and union representatives. Management representatives are overly optimistic in their positive assessment of fair, participative change whilst union representatives are overly pessimistic in their negative assessment. It is argued that participative workplace

change in the Australian HE sector could be enhanced by more realistic perceptions by both parties.

It should be noted from the survey that both management and union respondents considered that workplace change usually took into account of the needs of the organisation more strongly than it did the needs of the employees. A change management program addressing a greater focus on the needs of employees could focus more positively on how the change will address employee needs. A change management program with a stakeholder analysis and risk assessment based on the needs of different staff groups (and their potential threat to the change project) would be one way of moving towards a greater understanding between the parties of the impact on the needs of staff and the organisation. This type of approach is known as 'stakeholder management' and is commonly used in public and private sector organisations including for example housing and construction (Hart and Sharma, 2004). They describe the process of managing large scale change in private sector organisations and the merit of stakeholder management as providing a firm with the capacity to: 'consider in its strategic management process not only those groups who can affect it but also those who are affected by its operations'. (2004:9).

Six organisational practices were reported by management and union representatives which from their own experience, had facilitated workplace change as well as fostered employee participation. The thesis argues that the incorporation of such practices into universities may lead to greater perceptions of organisational justice. The practices go to the core of the research questions of this thesis: the capacity of the Australian HE sector to deliver organisational justice in its participative workplace change practices.

In advocating these practices it is important to consider them from the perspective of seeking to facilitate workplace change as well as foster employee participation. The adoption of these organisational practices by university managers would see a focus on outcomes that support organisational directions with the participation of university employees. Such an approach is consistent with that advocated by Kenny (2008) in his assessment of efficiency and effectiveness in the Australian HE sector:

the role of managers needs to shift from being controllers of pre-determined outcomes to designers of organisations that facilitate higher order organisational learning (2008:18).

This approach of management seeking to facilitate workplace change at the same time as fostering the participation of employees is further supported by Van Rhyn and Holloway (2004) who argue for a collaborative approach to the management of workplace change but generally but explicitly within the Australian HE sector. Van Rhyn and Holloway (2004) advocate a partnership approach to workplace change:

> The management role becomes one of facilitation and not the usual top-down dictatorial change management decision making process. Senior managers and employees are equal participants in the change process. The result is a more effective organisational change with enhanced employee engagement in, and ownership of, the outcome(s) and minimising, if not eliminating, resistance (2004:6-7).

Van Rhyn and Holloway (2004) cite the importance of establishing their partnership approach to change as being based in the establishment of agreed processes and practices that can give meaning to the partnership and avoid the traditional adversarial approach. In the context of the justice dimensions explored above the organisational practices are accordingly discussed in further detail.

The first proposed organisational practice based on the findings of the thesis is the preparation of *evidence based change* proposals for the consideration of employees that articulates not only the rationale for the proposed workplace changes but does so in such a way that it seeks to garner support for the proposed changes. Such an approach would involve the preparation of detailed proposals for consideration that allowed those affected by the change to not only understand what is proposed by the change but why the change is proposed. It is recognised that in recommending the preparation of evidence based change proposals the change process will be more lengthy than may be desirable by university management. However this step could be factored into the change management plan and it is argued here that in the context of greater staff participation, and with greater emphasis on procedural justice measures,

there is an increased likelihood of staff acceptance of the change (Tyler, 1987; Kim and Mauborgne, 1991; Morris and Leung; 2000).

The second proposed organisational practice is the *early initiation of change* with those who are to be affected by the workplace change rather than what has emerged as the more common practice of releasing a draft Change Plan. Whilst the release of a draft Change Plan provides a mechanism for engaging the views and feedback of employees it is evident from both the Attitudinal Survey and the Semi-Structured Interviews that many employees see participation after the release of a draft Change Plan as essentially a fait accompli with the decisions regarding change a foregone conclusion. The practice of engaging affected staff early in a change process has been identified as a key feature of successfully communicating change and generating greater eventual acceptance (Hearn, Graham, Rooney and Petelin, 2002; Garg and Sing, 2006; Allen et al, 2007).

The third proposed organisational practice is *consultation as an open dialogue* and not simply a process whereby employees are provided with information. As the thesis has shown from the EBA Analysis, over the last 10 years there has been a move away from active participation of employees during workplace change to a practice whereby information is provided but little opportunity is given for this to be a two way dialogue. A move to institute employee participation that saw active engagement of ideas and the reflection of views obtained through such consultation in final change plans would increase the perception of meaningful fostering of employee participation. Whilst wide scale and open dialogue can be logistically challenging, the views gained from consulting the workplace could in turn be considered by the type of consultative committee identified above. Such an approach is consistent with the identified successful features of employee participation schemes identified within the literature (Gollan, 2002: Beaumont and Hunter, 2007; Wilkinson et al, 2007).

The fourth proposed organisational practice is a *locally empowered process* for employees in the management of workplace change that in turn would allow for the area affected by the change to review and contribute to the change process. As can be seen in the responses to the Semi-Structured Interviews union and management representatives have identified that workplace change has become too distanced from

those that it directly affects and has become a more institution wide approach. As has been identified in other workplaces, the introduction of practices that bring about greater devolution of workplace change to the level of employees or organisational units is argued to in turn allow for a greater appreciation of the rational and options for change (Axelrod, 1992; Combet, 2002; Forsyth, 2002).

The fifth proposed organisational practice is the *provision of an options paper* before the release of any formal Change Plan. Such an approach is resonant with traditional public sector practices whereby a green paper identified a preliminary concept and then white paper identified a final proposal as part of a decision making process (Samuelson, 1996). The preparation of a green paper articulating the preliminary concept for workplace change would allow wide opportunity for employee participation before the preparation of a white paper for the final proposed workplace change. This approach, which is a common practice within the public sector, seeks to move the perception of change from a fait accompli to a more informed process that not only facilitates change but fosters participation (Ritter, 1998; Stewart and Kringas, 2003; Sebalj et al, 2007).

The sixth proposed organisational practice is that *face-to-face communication* be undertaken between management and employees in relation to workplace change. This practice resonates with the key principles of interactional justice and was identified by both management and union representatives during the Semi-Structured Interviews. The advent of technology and larger scale change in universities has resulted in a de-personalising of the change process and seen calls for a greater focus on personalising change (Goodman & Truss, 2004; Lines, 2005). Face to face communication as a practice to facilitate workplace change is also consistent with some of the strategies identified in the literature to manage resistance to change (Kotter and Schlesinger, 1979).

These six recommended organisational practices provide a foundation upon which management and union representatives can seek to provide enhanced practices for employee participation in the management of workplace change. As with the recommended changes for enhanced provisions for employee participation in the management of workplace change, it is argued that further rounds of enterprise

bargaining in the Australian HE sector provides an opportunity to consider these recommended practices. Chapter 10 provides an indication of subsequent research that could be undertaken to advance these recommended practices.

## 9.7    Chapter Summary

This chapter has undertaken a detailed discussion of the three themes of this thesis and their relationship to the findings of the three research questions. The chapter began with the contention that there is significant evidence within the literature that effective workplace change occurs when those who are directly affected are active participants. Further, the international literature confirmed that satisfaction with decision making was directly related to the extent to which participants were afforded procedural justice. On the basis of these theories the thesis made the assertion that fair and participative change is likely to lead to greater acceptance of the final outcome of the change.

The findings of the thesis confirm that in the Australian HE sector there is an absence of these conditions (participation and fairness). The thesis found that participation in the change process has declined (both in degree and form) and that change was perceived as being unfair. In light of the these findings this thesis concludes that in answer to the research question, in respect of participative workplace change, the Australian HE sector is failing to deliver the level organisational justice desired by its participants.

From this, the chapter identified the contributions of this study to the theories of Participative Decision Making, Voice and Justification, Social Exchange and Organisational Citizenship, and Organisational Justice. The findings demonstrate that employees value the opportunity to participate in decision making processes but that to make this meaningful there needs to be clear scope for their voices to be heard, for decisions to be justified, as well as for opportunities for employees to engage with and have a sense of belonging within the organisation. In respect of organisational justice theory, the chapter has highlighted the importance of procedural justice and

interactional justice as providing a framework for ensuring fairness and overcoming adverse outcomes.

Finally, the chapter detailed six areas in which organisational change practices might incorporate the principles of justice and participation. These included the areas of:

- Evidence based change that articulates the rationale to support the proposal
- Early initiation of change rather than engagement after Change Plan developed
- Consultation as an open dialogue rather than an exchange of information
- Locally empowered processes that allow for affected areas to review change
- Provision of an Options Paper with input before the release of a Change Plan
- Face to face communication of the change to those that are directly affected

The next chapter concludes the thesis and summarises the key findings.

## CHAPTER 10 – CONCLUSION

## 10.0    Introduction

Australian universities have been the focus of federal government change initiatives for the past 20 years. In more recent times change has been led through a neo-liberal agenda driven by goals of greater efficiency and a shift of the sector from a collective bargaining environment to increased individualised and non-union arrangements. With limited available research on the effectiveness, fairness and involvement of employees in change management in the HE sector, a key goal of this thesis was to map the terrain by examining the perceptions of key staff in the sector. This was achieved by conducting three sets of original, empirical research.

First, the analysis of the federal enterprise agreements for all 37 publicly funded universities for the period of 1997-2006 found there whilst all universities provide some mechanism for employee involvement in workplace change, the level of intensity of this involvement fell over the period of analysis. This indicated that, at a workplace policy level, there were perhaps fewer opportunities for employees to be involved in change management decision making than in the past.

Second, a survey of key senior staff members sourced through the executive members of Universities Australia and National Tertiary Education Union determined that the perceptions of effectiveness, fairness and level of employee involvement in university change was polarised with management respondents indicating a more positive change environment than union respondents.

Third, a series of interviews with a sample of those who responded to the survey provided a more in-depth view of the reasons behind the polarised responses to change. The interviews also unveiled a number of areas where union and management representatives believed change could be delivered in a fairer manner.

This Chapter provides the conclusion for the thesis as well as summarising the key findings and their implications for the management of change in the HE sector.

## 10.1  Making the Case for Participative and Fair Workplace Change

The central argument in this thesis is that successful workplace change requires a meaningful level of employee involvement in the change management process accompanied by the belief of those involved that the change process is fair. Driving this argument is the evidence identified from the academic literature and from this thesis for a relationship between effective workplace change, employee participation and organisational justice.

The literature in respect of employee participation found that whilst there are debates around the degree and the form of employee participation, workplaces that feature established employee participation schemes in turn report higher levels of employee engagement (Dunphy and Stace, 1988; Schwochau, 1997; Thompson and Kahnweiler, 2002). The literature in respect of workplace change found that change was most effectively implemented when those who were directly affected by the change participated in the process (Cummings and Worley, 1997; Victor and Franckeiss, 2002; Self et al 2007). The literature in respect of organisational justice found that perceptions of fairness with organisational outcomes, processes and interactions provide a clear mechanism to assess the perceptions of justice surrounding workplace decisions (Cobb et al, 1995; Folger and Skarlicki, 1999; Paterson et al, 2002).

The literature analysed in this thesis considered the concept of employees participating in the process of workplace change and identified the evidence of a spectrum across which employee participation can occur. Theories of voice and justification, social exchange theory and organisational citizenship were utilised as means of explaining and predicting the effects of employee participation. In respect of organisational and workplace change, the thesis also identified the importance of engaging those affected by the process of change as an effective means of dealing with resistance to change and facilitating workplace change. The thesis further identified organisational justice as means of considering of the fairness of outcome, the fairness of processes and the fairness of interpersonal treatment as providing for the forms of organisational justice: distributive, procedural and interactional justice.

**10.2    Participative Workplace Change - Provisions, Perceptions and Practices**

Having explained that participative and fair workplace change are the prime antecedents of effective change management the thesis investigated three research questions in the context of the HE sector. The three lines of enquiry were employed to provide methodological triangulation of the findings comprising an analysis of the EBAs of all 37 Australian public universities through the three rounds of enterprise bargaining since 1997 survey of 580 staff involved in HE change management and a series of in-depth interviews with 20 of the survey respondents.

The thesis determined that HE enterprise agreements provide for employee participation in workplace change. This means that at a policy level, the first antecedent for effective change management, employee involvement, is present in all public Australian universities. On the face of this evidence it could be surmised that change management in the HE sector would have a good chance of success given the mandatory involvement of those involved. However, analysis of the survey and interviews demonstrated that this is not necessarily the case.

First, the level of employee participation in practice may be less than that envisaged by the EBA clause with most union interviewees reporting that a degree of employee participation that was lower that than for which the EBAs made provision.

Second, the picture of change management in the HE sector is complicated by the disparity of views on effectiveness, involvement and fairness by management and union representatives surveyed. The thesis demonstrated that management representatives hold a perhaps unrealistically, positive view on the fairness and level of participation in change and union representatives are overly ambitious in the expectations of their role and involvement in change management.

Third, the interviews demonstrated that, when shown the findings of the survey, management respondents (after expressing surprise at the polarity between the responses of the parties) largely agreed that change was driven according to

organisational needs rather than employee needs; that it was inevitably unfair and that it was imposed rather than based on consultation.

The profound disagreement between the parties on the key elements of managing workplace change (participation and fairness) means that the sector could not be described as providing for organisational justice. In other words, the second key antecedent for effective change, organisational justice is largely missing in change management in the Australian HE sector.

Despite the conclusion that the Australian HE sector is failing to deliver mutual perceptions of organisational justice in relation to participative workplace change in the Australian HE sector, the thesis also identified scope for enhanced organisational practices that could both facilitate workplace change and foster employee participation.

## 10.3    Participative and Fair Workplace Change in Australian HE

In order to achieve fair workplace change the Australian HE sector, theory suggests it needs to incorporate the organisational justice dimensions and ensure that participative workplace change encompasses a focus on fairness of procedures and fairness of interpersonal treatment. By designing participative workplace change practices that focus on strategies that feature engagement, explanation and expectation with employees, this thesis has argued that there exists capacity to enhance the delivery of organisational justice in the participative workplace change practices of the Australian HE sector.

The thesis found that fair workplace change may be achieved through the following organisational practices:

- Evidence based change that articulates the rationale to support the proposal
- Early initiation of change rather than engagement after Change Plan developed
- Consultation as an open dialogue rather than an exchange of information
- Locally empowered processes that allow for affected areas to review change
- Provision of an Options Paper with input before the release of a Change Plan
- Face to face communication of the change to those that are directly affected

The thesis also found that perceptions of fair workplace change could be considered using a framework based on procedural and interactional justice indicators:

- Opportunities provided for employee input (Procedural Justice)
- Decision making processes impartial (Procedural Justice)
- Decisions communicated transparently (Interactional Justice)
- Staff treated courteously during process (Interactional Justice)
- Decisions made consistently (Procedural Justice)
- Decision making devoid of prejudice (Interactional Justice)

Finally, it can be stated that organisational justice provides a 'third way' for managers and employees in the Australian HE sector to move forward in developing a set of practices to be followed to ensure procedural and interactional justice principles are adhered to in the change process. In this sense, a return to a form of collegiality for the purpose of participative and fair workplace change may be restored to university life. Whilst the thesis has not focussed on the debate between managerialism and collegiality as a primary theme it has presented evidence to suggest that there has been a decline in the level of collegiality as a form of plurality in decision making in Australian universities. Reconceptualising collegiality as a fairness mechanism may go some way to assisting the implementation of fair workplace change and increasing mutual perceptions of organisational justice in the process. This reconceptualising of collegiality would also feature an increased focus on the fairness of procedures and the fairness of interactions in relation to the operations of the sector.

**10.4    Conclusions**

This thesis explored employee participation in workplace change within the Australian HE sector in the light of organisational change and justice theories. Drawing on empirical data and a review of the surrounding Australian and international literature, in conjunction with the theoretical perspectives outlined in Chapters 2, 3 and 4 (particularly those of employee participation, workplace change and organisational justice), the thesis has questioned the quality of the workplace change experience for Australian HE staff and has made recommendations based on the findings and supported by theory to facilitate fair and participative workplace change. In conclusion, the research conducted in this thesis has suggested that:

1. Evidence from the thesis supported by Australian and international literature suggests that employee participation in the management of workplace change is an effective strategy for reducing resistance to change, increasing acceptance of change and bringing about effective change.

2. Organisational justice theory, and in particular procedural justice, is a predictor of employee acceptance of change.

3. The Australian HE Sector makes provision for the participation of employees in the management of workplace change but the level of participation declined over the period 1997 to 2006 relatively equally across the sector.

4. During the period 1997 to 2006 there was a shift in the form of employee participation from bipartite to tripartite which indicates that there has been a shift away from unions as the primary representatives of employees to a mix of union and employee representatives.

5. Management and union representatives differ significantly in their perceptions that change in the Australian HE sector is effective and fosters employee participation with managers overly positive and unions overly negative.

6. Management and union representatives differ significantly in their perceptions that change in the Australian HE sector provides fair outcomes, fair procedures and fair interactions with managers overly positive and unions overly negative.

7. No Australian university was found to be effective in facilitating workplace change. However, the Group of Eight Universities are significantly more effective as perceived by their staff than the other sector types.

8. No Australian university was found to successfully foster employee participation or was perceived as providing organisational justice in the management of change and this was consistent across all sector types.

9. Evidence from the Australian and international literature demonstrates that the dimensions of procedural and interactional justice are the key elements that facilitate workplace change and foster employee participation. The thesis supports these theories by demonstrating that university managers and union representatives believe that if change processes feature: *opportunities for employee input*; *impartial decision making*; *transparent communication of decisions*; *courteous treatment of staff*; and *decision making that is consistent and devoid of prejudice*, then there is a strong likelihood that workplace change will be facilitated effectively and employee participation will be fostered.

10. The thesis provided a set of organisational practices that may inform the implementation of successful change in the sector. These practices were supported equally by management and union representatives as being likely to facilitate workplace change and foster employee participation: *Evidence based change* that articulates the rationale to support the proposal; *Early initiation of change* rather than engagement after Change Plan developed; *Locally empowered processes* that allow for affected areas to review change; *Provision of an Options Paper* with input before the release of a Change Plan; and *Face to face communication* of the change to those that are directly affected.

**10.5    Chapter Summary**

This chapter concludes the thesis and its study of employee participation in the management of workplace change within the Australian HE sector. This thesis has contributed to the field through the presentation of a broader view of workplace change within the sector than was previously available. This extended view provides an exploration of the rhetoric and reality behind change in the workplace, through the eyes of its managers and union representatives, and within the context of change and justice theories relating to the workplace as well as changes imposed through federal government reform policies.

The thesis makes the case for participative workplace change in which workplace justice is the key framework for decision making and implementation strategies. The thesis has found evidence of provision for participative workplace change, evidence of divergence in respect of perceptions of fair workplace change, as well as evidence of a capacity for enhanced perceptions of fairness through specific practices for participative workplace change.

The thesis has also found that in many ways it is the processes and interactions of workplace change that determine the perceptions of justice in the context of participative workplace change in the Australian HE sector. In this context it can be said that when considering participative workplace change in the Australian Higher Education sector that the justice adage of Lord Chief Justice Hewart (Rex vs Sussex Justices, 1924) is appropriate: "*justice should not only be done, but should manifestly and undoubtedly be seen to be done".*

**BIBLIOGRAPHY**


Adams, J.S. (1965). 'Inequity in Social Exchange' In L. Berkowitz Ed *Advances in Experimental Social Psychology*, Vol. 2: 267-299, Academic Press, New York.

Aktouf, O. (1992). Management and Theories of Organizations in the 1990s: Towards a Critical Radical Humanism? *Academy of Management Review*, 17(3):407-431

Alexiadou, N. (2001). 'Management identities in transition: A case study from further education.' *The Sociological Review* 49(3): 412-435.

Allen, J., Jimmieson, N. Bordia, P. and Irmer, B. (2007). 'Uncertainty during organizational change: Managing Perceptions through Communication.' *Journal of Change Management* 7(2): 187-210.

Alutto, J. A. and Belasco, J. A. (1972). 'A typology for participation in organizational decision making.' *Administrative Science Quarterly* 17: 117-125.

Ambrose, M. L. and Cropanzano, R. (2003). 'A longitudinal analysis of organizational fairness: An examination of reactions to tenure and promotion decisions.' *Journal of Applied Psychology* 88(2): 266-275.

Ambrose, M. L. and Schminke, M. (2003). 'Organization structure as a moderator of the relationship between procedural justice, interactional justice, perceived organizational support, and supervisory trust.' *Journal of Applied Psychology* 88(2): 295-305.

Anderson, G. (2004). 'Voices from the chalkface: the Senate Inquiry into the capacity of public universities to meet Australia's higher education needs.' *Studies in Higher Education* 29(2):185-200.

Anderson, E., Griffin, G., and Teicher, J. (2002) 'The Changing Roles of Public Sector Unionism.' *International Journal of Employment Studies* 10(2): 47-81.

Armenakis, A., Harris, S. G. and Mossholder, K. W.. (1993). 'Creating Readiness for Organizational Change.' *Human Relations* 46(6): 681-704.

Armenakis, A. A. and Bedeian, A. G. (1999). 'Organisational Change: A review of Theory and Research in the 1990s.' *Journal of Management* 25(3): 293-315.

Ashmos, D. P., Duchon, D., McDaniel, Jr, R. R. and Huonker, J. W. (2002). 'What a mess! Participation as a simple managerial rule to 'complexify' organizations.' *The Journal of Management Studies* 39(2): 189-206.

Atchison, T. J. (1991). 'The Employment Relationship: Un-tied or Re-tied?' The *Academy of Management Executive* 5(4): 52-.

Axelrod, D. (1992). 'Getting everyone involved: how one organisation involved its employees, supervisors, and managers in redesigning the organisation' *The Journal of Applied Behavioural Science* 28(4): 499-509.

Badham, R. and Buchanan, D. (1996). 'Power-assisted steering and the micropolitics of organizational change: A research agenda' *Paper presented to the Australian and New Zealand Academy of Management Conference*, Wollongong, December.

Baird, M. and Lansbury, R. (2004). The changing structure of collective bargaining in Australia. *The New Structure of Labour Relations*. H.C.Katz, W.Lee and J.Lee. Cornell University Press

Baird, M. and McGrath-Champ, S. (1998). 'The mercurial nature of Australian HRM under enterprise bargaining'. *Asia Pacific Journal of Human Resources* 43(1):155-173.

Barrett, E. (1999). 'Justice in the workplace? Normative ethics and the critique of human resource management'. *Personnel Review* 28(4): 307-318.

Beaumont, P. and Hunter, L. (2007). 'The process of consultation: responding to challenge.' International Journal of Human Resource Management 18(7): 1228-1245.

Beer, M. and Nohira, N. (2000). 'Cracking the Code of Change.' *Harvard Business Review* May-June: 133-141.

Bennett, L. (1994). *Making Labour Law in Australia. Industrial Relations, Politics and Law*, Law Book Company, Sydney.

Bertone, S., Brown, M., Cressey, P. and Frizzell, C. (1999). *Developing Effective Consultative Practices*. Melbourne, South Pacific Publishing.

Bessant, B. (2002). 'A climate of fear': from collegiality to corporatisation. *The subversion of Australian universities*. J. Biggs and R. Davis. Wollongong, Fund for Intellectual Dissent.

Beugre, C. D. (1998). 'Implementing Business Process Reengineering. The Role of Organizational Justice' *Journal of Applied Behavioural Science*, 34(3):347-360

Beyer, J. M. and Lodahl, T. M. (1976). 'A comparative study of patterns of influence in United States and English universities.' *Administrative Science Quarterly* 21(1): 104-129.

Bies, R. J. and Moag, J. S. (1986). Interactional Justice: Communication Criteria of Fairness. *Research on Negotiation in Organizations*. R. J. Lewicki, B. H. Sheppard and M. H. Bazerman. Greenwich, JAI Press. 1.

Bies, R. J. and Shapiro, D. L. (1988). 'Voice and Justification: Their Influence on Procedural Fairness Judgements.' *Academy of Management Journal* 31(3): 676-685.

Black, J. S. and Gregersen, H. B. (1997). 'Participative decision making: An integration of multiple dimensions.' *Human Relations* 50(7): 859-878.

Blancero, D. (1995). 'Non-union Grievance Systems: System characteristics and fairness perceptions.' *Academy of Management Journal*: 84-88.

Blau, P. M. (1968) *Interaction: Social Exchange*, Macmillan.

Bordia, P., Hobman, E., Jones, E., Gallois, C. and Callan, V. J. (2004). 'Uncertainty During Organizational Change: Types, Consequences and Management Strategies.' *Journal of Business and Psychology* 18(4): 507-532.

Bradley, C. (1995). 'Managerialism in South Australian Universities.' *Labour and Industry* 6(2): 141-153.

Braverman, H. 1974 *Labor and Monopoly Capital: The Degradation of Work in the Twentieth Century*, Monthly Review Press, New York.

Bray, M., Waring, P., Macdonald, D. and Le Queux, S. (2001). 'The 'Representation Gap' in Australia.' *Labour and Industry* 12(2): 1-31.

Brewer, A. M. (1995). *Change Management: strategies for Australian organisations*. NSW, Allen and Unwin.

Brockner, J. and Wiesenfeld, B. M. (1996). 'An integrative framework for explaining reactions to decisions: Interactive effects of outcomes and procedures.' *Psychological Bulletin* 120(2): 189-208.

Brown, M. and Ainsworth, S. (2000). 'A Review and Integration of Research on Employee Participation in Australia 1983-1999.' *Centre for Employment and Labour Relations Law Working Paper* 18: 1-19.

Buchanan, J. (1996). 'Labour relations in the 90s.' *Management* November: 20-22.

Callan, V. J. and Terry, D. J. (1997). 'Employee Adjustment to Large-scale organisational change.' *Australian Psychologist* 32(3): 201-210.

Carnall, C. A. (1986). 'Toward a Theory for the Evaluation of Organisational Change.' *Human Relations* 39(8): 745-766.

Cassidy, B. (1998). 'Hierarchy and Collegiality in Australian Universities.' *Australian Humanities Review* 2: 43-48.

Cheng, J.S.L. and Petrovic-Lazarevic, S. (2004). 'The role of effective leadership in doing more with less in public universities'. *Department of Management Working aper Series 27/04*, Monash University

Clark, T., Mabey, C. and Skinner, D. 1998 'Experiencing HRM: The Importance of the Inside Story' in Mabey, C., Skinner, D. and Clark, T. eds. *Experiencing Human Resource Management*, Sage, London.

Clarke, J. and Newman, J. (1993). 'The Right to Manage: A Second Managerial Revolution?' *Cultural Studies*, 7(3): 427-41

Clegg, S.R. and Dunkerly, D. (1980). *Organisation, Class and Control*, Routlege and Kegan Paul, London.

Cobb, A., Folger, R. and Wooten, K. (1995). 'The role justice plays in organizational change.' *Public Administration Quarterl*y 19(2): 135-151.

Coch, L. and French, J.R.P. (1948). 'Overcoming resistance to change.' *Human Relations* 1: 512-533.

Cohen, R. L. (1987). 'Distributive justice: Theory and research ' *Social Justice Research* 1(1): 19-40.

Cohen-Charasha, Y. and Spector, P. E. (2000). 'The Role of Justice in Organizations: A Meta-Analysis.' *Organizational Behaviour and Human Decision Processes* 89(2).

Coling, A. and Meek, V. L. (2006). 'Twelve Propositions on Diversity in Higher Education.' *Higher Education Management and Policy* 18(3): 31-54.

Collins, D., Ross, R. A. and Ross, T. L. (1989). 'Who Wants Participative Management? The Managerial Perspective.' *Group and Organization Studies* 14(4): 422-445.

Colquitt, J. A., Conlon, D. E., Wesson, M. J., Porter, C. and Ng, K. Y. (2001). 'Justice at the millennium: A meta-analytic review of 25 years of organizational justice research.' *Journal of Applied Psychology* 86(3): 425-445.

Combet, G. (2002). Employee consultation in an Australian context: The Works Council debate and trade unions. *Partnership at Work: The challenge of employee democracy*. P. J. Gollan and G. Patmore. NSW.

Conger, J. A. and Kanungo, R. N. (1988). 'The empowerment process: Integrating theory and practice.' *Academy of Management Review* 13(3): 471-482.

Connell, M. A. and Savage, F. A. (2001). 'The Role of Collegiality in Higher Education Tenure, Promotion, and Termination Decisions.' *Journal of College and University Law* 27: 833-858.

Cotton, J. L., Vollrath, D. A., Froggat, D. A. and Lengnick, M. L. (1988). 'Employee participation: Diverse forms and different outcomes.' *Academy of Management Review* 13(1): 8-22.

Cotton, J. L., Vollrath, D. A., Froggat, D. A. and Lengnick, M. L. (1990). 'Fact: The form of participation does matter - A rebuttal to Leana, Locke, and Schweiger.' *Academy of Management Review* 15(1): 147-153.

Covin, T. J. and Kilmann, R. H. (1990). 'Participant Perceptions of Positive and Negative Influences on Large-Scale Change.' *Group & Organization Studies* 15(2): 233-248.

Cropanzano, R., Bowen, D. E. and Gilliland, S.W. (2007). 'The Management of Organizational Justice.' *Academy of Management Perspectives* 21(4): 34-48.

Cropanzano, R. and Folger, R. (1991), "Procedural justice and worker motivation", in Steers, R.M., Porter, L.W. (Eds), *Motivation and Work Behavior*, 5th ed., McGraw-Hill, New York, NY, pp.131-43.

Cropanzano, R., Prehar, C. A. and Chen, P. Y. (2002). 'Using social exchange theory to distinguish procedural from interactional justice.' *Group & Organization Management* 27(3): 324-352.

Cummings, T. G. and Worley, C. G. (1997). *Organizational Development and Change*, South-Western College Publishing.

Currie, J. (2005). Organisational Culture of Australian Universities: Community or Corporate. *Higher Education Research and Development Society of Australia Annual Conference*. Sydney: 5-16.

Currie, J. and Vidovich, L. (1997). Centralisation and Devolution through Corporate Managerialism in American and Australian Universities. *Australian Association for Research in Education*. Brisbane.

Dachler, H. P. and Wilpert, B. (1978). 'Conceptual dimensions and boundaries of participation in organisations: A critical evaluation.' *Administrative Science Quarterly* 23(1): 1-39.

Daly, J.P. (1995).'Explaining Chjanges to Employees: The Influence of Justification and Change Outcomes on Employees' Fairness Judgements' *Journal of Applied Behavioural Science*, 31:317-372.

Daly, J. P. and Geyer, P. D. (1994). 'The Role of Fairness in Implementing Large-Scale Change: Employee Evaluations of Process and Outcome in Seven Facility Relocations ' *Journal of Organizational Behaviour* 15(7): 623-638.

Davis, E. and Lansbury, R. D. (1986). *Democracy and Control in the Workplace*. Melbourne, Longman Cheshire.

Davis, E. M. and Lansbury, R. D. (1989). Worker participation in decisions on technological change in Australia. *New Technology*. G. J. Bamber and R. D. Lansbury. London, Unwin Hyman.

Davis, G. (2004). 'Tiers or Tears? The Regulation of Australian Higher Education'. *Melbourne Politics Lecture*. Melbourne: 1-12.

De Wit, B. and Meyer, R. (1999). *Strategy Synthesis - Resolving Strategic Paradoxes to Create Competitive Advantage*. London, International Thomson Business Press.

Deem, R. (1998). 'New Managerialism and Higher Education: The Management of Performances and Cultures in Universities in the United Kingdom.' *International Studies in Sociology of Education* 8(1):

Dent, E. B. and Goldberg, S. G. (1999). 'Challenging 'resistance to change'.' The *Journal of Applied Behavioural Science* 35(1): 25-41.

Denzin, N.K. and Lincoln, Y.S. (2005) *The Sage Handbook of Qualitative Research*. Thousand Oaks, Sage Publications.

Department of Employment and Industrial Relations (DEIR) (1986) *Industrial Democracy and Employee Participation*, AGPS, Canberra.

Department of Education, Employment and Workplace Relations (DEEWR) (2008) *Review of Australian Higher Education Discussion Paper*. Canberra: AGPS.

Department of Education, Science and Training (DEST) (2005) *Higher Education Workplace Relations Requirements* (HEWRRs) – Draft Guidelines. Canberra: AGPS.

Deutsch, J. (1985). *Distributive Justice*, Yale University Press, New Haven.

Dibella, A. J. (2007). 'Critical Perceptions of Organisational Change.' *Journal of Change Management* 7(3-4): 231-242.

Dietz, G. and Fortin, M. (2007). 'Trust and Justice in the formation of joint consultative committees.' *International Journal of Human Resource Management* 18(7): 1159-1181.

Doucouliagos, C. 1995. 'Worker participation and productivity in labor-managed and participatory capitalist firms: A meta-analysis'. *Industrial and Labor Relations Review*, Vol. 49, no. 1, 58-77.

Doyle, M., Claydon, T. and Buchanan, D. (2000),'Mixed results, lousy process: the management experience of organizational change', *British Journal of Management*, Vol. 11, pp. S59-S80, Special Issue.

Dunphy, D. C. (1996). 'Organisational Change in Corporate settings.' *Human Relations* 49(5): 677-700.

Dunphy, D. C. and Griffiths, A. (1998). *The sustainable corporation : organisational renewal in Australia*. NSW, Allen and Unwin.

Dunphy, D. C. and Stace, D. A. (1988). 'Transformational and Coercive Strategic for Planned Organizational Change: Beyond the O.D. Model.' *Organization Studies* 9(3): 317-334.

Edwards, R. (1979). *Contested Terrain: The Transformation of the Workplace in the Twentieth Century*, Heinmann, London.

Esquith, S. (1997). 'John Rawls and the Recent History of Public Administration' *Journal of Management History*, 3(4):328-341.

Fairfield-Sonn, J. (1993). 'Moving beyond vision: Fostering cultural change in a bureaucracy.' *Journal of Organizational Change Management* 6(5): 43-55.

Fenton-O'Creevy, M. (2001). 'Employee involvement and the middle manager: Saboteur or scapegoat?' *Human Resource Management Journal* 11(1): 24-40.

Ferrer, J. and VanGramberg, B. (2007) 'The Ongoing Battle for Organisational Attachment: The Affective Commitment of Australian Business Academics. *Proceedings of the 21$^{st}$ Annual Conference of the Australian and New Zealand Academy of Management (ANZAM).*

Folger, R. (1977). 'Distributive and Procedural Justice: Combined Impact of 'Voice' and Improvement on Experienced Inequity.' *Journal of Personality and Social Psychology* 35(2): 108-119.

Folger, R. (1987). 'Distributive and procedural justice in the workplace ' *Social Justice Research* 1(2): 143-159.

Folger, R., and Cropanzano, R. (1998). *Organizational Justice andHuman Resource Management*. Thousand Oaks, CA: Sage.

Folger, R. and Skarlicki, D. (1999). 'Unfairness and resistance to change: hardship as mistreatment.' *Journal of Organizational Change Management* 12(1): 35-50.

Forster, J. and Browne, M. (1996). *Principles of Strategic Management*, Macmillan, Melbourne.

Forsyth, A. (2002). Giving employees a voice over business restructuring: A role for works councils in Australia. *Partnership at Work: The challenge of employee democracy.* P. J. Gollan and G. Patmore. NSW.

Fox, A. (1971). 'Collective Bargaining' *Industrial Sociology and Industrial Relations Research Paper 3* HMSO London, in Flanders ed, Penguin, Harmondsworth

Fox, A. (1973). 'A social Critique of Pluralist Ideology' in Child, J ed *Man and Organisation* Allen and Unwin, London.

Fox, A. (1974). *Beyond Contract, Work, Power and Trust Relations*, Faber and Faber, London.

Friedman, A. L. (1977) *Industry and Labour: Class Struggle at Work and Monopoly Capitalism*, Macmillan.

Frenkel, S.J. (1988). 'Australian Employers in the Shadow of the Labor Accords' *Industrial Relations: A Journal of Economy and Society* 27(2)**:**166–179

Fryxell, G. and Gordon, M. (1989). 'Workplace Justice and Job Satisfaction as Predictors with Union and Management.' *Academy of Management Journal* 32(4): 851-866.

Fuller, C., Griffin, T. and Ludema,J. (2000). 'Appreciative future search: Involving the whole system in positive organization change.' *Organization Development Journal* 18(2): 29-41.

Fullop, L., Linstead, S. and Frith, F. (1999). 'Power and Politics in Organizations' in Fulop, L. and Linstead, S. eds *Management a Critical Text*, Macmillan Business, South Yarra.

Garg, R. K. and Singh, T. P. (2006). 'Management of Change - A Comprehensive Review.' *Global Journal of Flexible Systems Management* 7(1/2): 45-61.

Gillard, J. (2008). 'Taking the foot of government off the throat of universities' *Department of Education, Employment and Workplace Relations Media Release.* mediacentre.dewr.gov.au/mediacentre/Gillard/Releases

Gleeson, D. and Shain, F. (1999). 'Managing ambiguity: Between markets and managerialism--a case study of 'middle' managers in further education.' *The Sociological Review* 47(3): 461-490.

Gollan, P. J. (2002). Employee information and consultation: new directions for the UK. *Partnership at Work: The Challenge of Employee Democracy*. P. J. Gollan and G. Patmore. NSW.

Gollan, P.J. and Patmore, G. (2003). Eds. *Partnership at Work: The challenge of employee democracy.* Pluto Press, Annandale

Gollan, P. J. and Markey, R. (2001). 'Additional forms of employee representation in Australia.' *ACIRRT Working Paper* 64: 1-25.

Goodman, J. and Truss, C. (2004). 'The medium and the message: communicating effectively during a major change initiative'. *Journal of Change Management* 4(3): 217-228.

Greenberg, J. (1987). 'A Taxonomy of Organizational Justice Theories.' *Academy of Management Review* 12(12): 9-22.

Greenberg, J. (1988). 'Cultivating an Image of Justice: Looking Fair on the Job.' *Academy of Management Executive* 2(2): 155-158.

Greenberg, J. (1990). 'Organizational Justice: Yesterday, Today and Tomorrow.' *Journal of Management* 16(2): 399-432.

Gumport, P. (2000). 'Academic restructuring: Organisational change and institutional imperatives' *Higher Education*. 39:67-91

Hardy, C. (1991). 'Pluralism, Power and Collegiality in Universities.' *Financial Accountability & Management* 7(3): 127-.

Harley, B., Hyman, J., & Thompson, P. 2005 'The paradoxes of Participation' in Harley, B., Hyman, J., & Thompson, P.(eds) Participation and Democracy at Work: Essays in Honour of Harvie Ramsey, Palgrave Macmillan, Hampshire.

Harman, G. (2006) 'Adjustment of Australian Academics to the New Commercial University Environment' *Higher Education Policy* 19(2): 153-172

Harman, G. (2002) 'Academic Leaders or Corporate Managers: Deans and Heads in Australian Higher Education 1977 to 1997' *Higher Education Management and Policy* 14(2): 58-77

Harman, G. (2003). 'A perspective on a decade of change' *in The National Report on Higher Education (2001)*, Department of Education, Science and Training, Canberra, pp. 1-41.

Harman, K. (2002) 'Merging Different Campus Cultures into Coherent Educational Communities: Challenges for Higher Education Leaders' Higher Education 44(1): 91-114

Hart, S.L. and Sharma, S. (2004). 'Engaging Fringe Stakeholders for Competitive Imagination' *Academy of Management Executive* 18(1):7-18.

Hartman, S. J., Yrle, A. C. and Galle, W. P. (1999). 'Procedural and distributive justice: Examining equity in a university setting.' *Journal of Business Ethics* 20(4): 337-351.

Healy, G. 2004 'At a Crossroads: The Howard Government higher education reforms' *Campus Review* 14(22): 9

Hearn, G., Graham, P., Rooney, D. and Petelin, R. (2002). 'The benefits of not managing change and not communicating.' *Australian Journal of Communication* 29(3): 59-70.

Hechscher, C. (1994). Beyond Contract Bargaining: Partnerships, Persuasion and Power *Social Policy*, 25(2):18-26.

Hendry, C. (1996). 'Understanding and creating whole organizational change through learning theory.' *Human Relations* 49(5): 621-642.

Hirschman, A. O. (1970). *Exit, Voice, and Loyalty: Responses to Decline in Firms, Organizations, and States.* Cambridge, MA: Harvard University Press.

Hull, R. (2006). 'Workload allocation models and 'collegiality' in academic departments.' *Journal of Organizational Change Management* 19(1):38-53.

International Research Group (IRG). (1976). 'Industrial Democracy in Europe (IDE): An international competitive study.' *Social Science Information* 15(1): 177-203.

Jameson, J.K. (1999). 'Toward a Comprehensive Model for the Assessment and Management of Intraorganizational Conflict: Developing the Framework' *International Journal of Conflict Management*, 10(3):268-294.

Jones, R., Jimmieson, N. and Griffiths, A. (2005). 'The Impact of Organizational Culture and Reshaping Capabilities on Change Implementation Success: The mediating role of Readiness for Change.' *Journal of Management Studies* 42(2): 361-386.

Jones, L., Watson, B., Hobman, E., Bordia, P., Gallois, C. and Callan.V. (2008). 'Employee perceptions of organisational change: Impact of hierarchical level' Leadership and Organization Development Journal 29(4): 294-316

Juravich, T. and Harris, H. (1993). 'Mutual gains? Labor and management evaluate their employee involvement programs.' *Journal of Labor Research* 14(2): 165-186.

Karriker, J. (2007). 'Justice as Strategy: The Role of procedural Justice in an Organisational Realignment.' *Journal of Change Management* 7(3-4): 329-342.

Kaye, L. (1999). 'Strategic human resources management in Australia: The human cost.' *International Journal of Manpower* 20(8): 577-587.

Kenny, J. (2008) 'Efficiency and Effectiveness in Australian Higher Education' Australian Universities Review 50(1): 11-19

Kenny, J. (2003). 'Effective project management for strategic innovation and change in an organizational context.' *Project Management Journal* 34(1): 43-53.

Kickul, J., Lester, S. and Finkl, J. (2002). 'Promise breaking during radical organizational change: do justice interventions make a difference?' *Journal of Organizational Behaviour* 23: 469-488.

Kim, W. and Mauborgne, R. (1991). 'Implementing Global Strategies: The role of procedural justice.' *Strategic Management Journal* 12: 125-143.

Kim, W. and Mauborgne, R. (1997). 'Fair Process: Managing in the Knowledge Economy.' *Harvard Business Review* July-August: 65-75.

Kirk, J. and Miller, M. (1986). *Reliability and Validity in Qualitative Research*. Newbury Park, SAGE Publications.

Kleiner, B. and Chen, S. (1997). 'Management.' *Australian Company Secretary*: 318320.

Knights, D., Willmott, H. and Collingson, J. (1985). 'Power and Identity in Theory and Practice' *Sociological Review*, 33(1):22-46

Kochan, T.A., Katz, H.C., and McKersie, R.B. (1986). *The Transformation of American Industrial Relations*. New York, NY: Basic Books.

Kotter, J. (1995). 'Leading Change: Why Transformation Efforts Fail.' *Harvard Business Review* 73(2): 59-67.

Kotter, J.P. and Schlesinger, L.A. (1979). 'Choosing strategies for change' *Harvard Business Review*, 57(2): 106-114

Lafferty, G. and Fleming, J. (2000). 'The restructuring of academic work in Australia: Power, management and gender.' *British Journal of Sociology of Education* 21(2): 257-267.

Langford, P.H., Parkes, L.P., & Metcalf, L. (2006). 'Developing a structural equation model of organisational performance and employee engagement'. *Proceedings of the Joint Conference of the Australian Psychological Society and the New Zealand Psychological Society*, Auckland, New Zealand.

Lansbury, R. D., Davis, E. M. and Simmons, D. (1996). 'Reforming the Australian Workplace through Employee Participation.' *The Economic and labour Relations Review* 7(1): 29-45.

Lansbury, R. D. (2000). 'Workplace Change and Employment Relations Reform in Australia: Prospects for a New Social Partnership?' *The Drawing Board: An Australian Review of Public Affairs* 1(1): 29-45.

Lansbury, R. D. and Davis, E. M. (1992). 'Employee Participation: Some Australian Cases.' *International Labour Review* 131(2): 231-249.

Lansbury, R. D. and Prideaux, G. J. (1981). 'Industrial Democracy: Toward an Analytical Framework.' *Journal of Economic Issues* 15(2): 325-338.

Lansbury, R. D. and Wailes, N. (2002). The meaning of industrial democracy in an era of neo-liberalism. *Partnership at Work: The Challenge of Employee Democracy*. P. J. Gollan and G. Patmore. NSW.

Lawler III, E. E. (1988). 'Choosing and involvement strategy.' *The Academy of Management Executive* 2(3): 197-204.

Lawler III, E. E. (1999). 'Employee involvement makes a difference.' *The Journal for Quality and Participation* 22(5): 18-20.

Lerner, M.J. (1977). 'The Justice Motive: some Hypotheses as to its Origins and Forms' *Journal of Personality*, 45(1):1-52

Levine, David L., and Laura D. Tyson, (1990). "Participation, Productivity, and the Firm's Environment," in *Paying for Productivity*, Alan Blinder ed., Bookings, Washington, D.C., 183-243.

Lewin, K. (1947). 'Frontiers in group dynamics: Concept, method and reality in social sciences; social equilibria and social change.' *Human Relations* 1: 5-41.

Lewin, K., (1951). *Field Theory in Social Science*, Harper & Row, New York

Lind, E. A. and Tyler, T. R. (1988). *The Social Psychology of Procedural Justice*. New York: Plenum Press.

Lines, R. (2005). 'The structure and function of attitudes towards organizational change.' *Human Resource Development Review* 4(1): 8-32.

Locke, E. A. and Schweiger, D. M. (1979). Participation in decision making: One more look. *Research in Organizational Behaviour*. B. M. Staw. Greenwich, JAI Press. 1: 265-340.

London, J. (2001). 'Employee's perception of workplace change.' *Australian Health Review* 24(4): 128-134.

Luo, Y. (2007). 'The Independent and Interactive Roles of Procedural, Distributive and Interactional Justice in Strategic Alliances.' *Academy of Management Journal* 50(3): 644-664.

Machiavelli, N. (1513). *The Prince*.

Marchington, M., Wilkinson, A., Ackers, P. and Goodman, J. (1994). 'Understanding the meaning of participation: Views from the workplace.' *Human Relations* 47(8): 867-894.

Marginson, S. (2007) 'Higher Education: The 2007 Federal Election and Beyond' *Keynote address to the annual conference of the Higher Education Research and Development Society of Australasia (HERDSA).*

Marginson, S. (2000). 'The Enterprise University in Australia'. *Leading and Managing* 6(2): 98-112.

Marginson, S (1999). 'The Enterprise University comes to Australia'. *Proceedings of the Annual Conference of the Australian Association for Research in Education (AARE)*

Marginson, S. (1996). 'University Organisation in an Age of Perpetual Motion'. *Journal of Higher Education Policy and Management.* 18:2.

Marginson, S. and Considine, M. (2000). *The Enterprise University: Power, Governance and Reinvention in Australia*. London, Cambridge University Press.

Margulies, N. and Black, J. (1987). 'Perspectives on the Implementation of Participative Programs.' *Human Resource Management Journal* 16: 385-412.

Marinova. D and Newman, P. (2005). 'Academic Productivity and the Changing Research Funding Models in Australia: What is the true picture' In Zerger, A. and Argent, R.M. (eds) MODSIM 2005 International Congress on Modelling and Simulation. Modelling and Simulation Society of Australia and New Zealand, December 2005, pp. 170-176. ISBN: 0-9758400-2-9.

Markey, R. (2006). 'The internationalisation of representative employee participation and its impact in the Asia Pacific', *Asia Pacific Journal of Human Resources*, pp. 342-63.

Marrow, A. J. (1957). 'Management by participation'. *Man and Work in Society*. E. L. Cass and F. G. Zimmer. New York, Van Nostrand: 33-48.

Martin, A., Jones, E. and Callan, V. (2005). 'The role of psychological climate in facilitating employee adjustment during organisational change'. *European Journal of Work and Organizational Psychology* 14(3):263-289.

Martin, T. and Huq, Z. (2007). 'Realigning Top Management's Strategic Change Actions for ERP Implementation: How specializing on just cultural and environmental contextual factors could improve success.' *Journal of Change Management* 7(2): 121-142.

Masterson, S., Lewis, K., Goldman, B. and Taylor, M. (2000). 'Integrating justice and social exchange: The differing effects of fair procedures and treatment on work relationships.' *Academy of Management Journal* 43(4): 738-74.

Mayo, E. (1933). The human problems of an industrial civilization. Macmillan Press, New York.

McBride, H. (1996). 'Back to the Future: The new industrial relations system.' *Australian Rationalist* 43: 42-49.

McDermott, P. E. and Berkeley, A.E. (1996). *Alternative Dispute Resolution in the Workpalce. Concepts and Techniques for Human Resource Executives and Their Counsel,* Quorum Books, Wetport, Connecticut

McFarlin, D. B. and Sweeney, D. B. (1992). 'Distributive and Procedural Justice as Predictors of Satisfaction with Personal and Organizational Outcomes.' *Academy of Management Journal* 35(3): 626-637.

McInnis, C. (1998). 'Academics and professional administrators in Australian universities: Dissolving boundaries and new tensions.' *Journal of Higher Education Policy and Management* 20(2): 161-.

McLagan, P. (2002). 'Change Lead.' *Training and Development* 56(11): 26-31.

Meek, V.L. and Goedegebuure, L.C.J. (1989) 'Change in Higher Education: The Australian Case' *Australian Educational Researcher* 16(4): 1-25

Meek, V.L. and Wood, F.Q. (1997) 'The Market as a new Steering Strategy for Higher Education.' *Higher Education Policy* 10(3/4):253-274.

Miller, P. (1996). 'Strategy and the Ethical Management of Human Resources' *Human Resource Management Journal*, 6(1):5-18.

Milliken, J. (2001). 'Surfacing the Micropolitics as a Potential Management Change Frame in Higher Education.' *Journal of Higher Education Policy and Management* 23(1): 75-84.

Mok, K. H. (1999). 'The cost of managerialism: The implications for the 'McDonaldisation' of higher education in Hong Kong.' *Journal of Higher Education Policy and Management* 21(1): 117-.

Morgan, D. and Zeffane, R. (2003). 'Employee involvement, organizational change and trust in management.' *International Journal of Human Resource Management* 14(1): 55-75.

Morris, M. W. and Leung, K. (2000). 'Justice for all? Progress in Research on Cultural Variation in the Psychology of Distributive.' *Applied Psychology: An International Review* 49(1): 100-133.

National Tertiary Education Union. (2008). *Our Universities Matter*. NTEU Campaign for a Better Higher Education System.

Nelson, B. (2005). 'Modernising workplace relations in our universities.' *Department of Education, Science and Training Media Release.* www.dest.gov.au/Ministers/Media/Nelson

Nowakowski, J. and Conlon, D. (2005). 'Organizational Justice: Looking Back, Looking Forward.' *The International Journal of Conflict Management* 16(1): 4-29.

Nutt, P. C. (1984). 'Types of organizational decision processes.' *Administrative Science Quarterly* 29(3): 414-450.

Organ, D. W. (1988). *Organizational Citizenship Behaviour: The Good Soldier Syndrome*. Lexington, Lexington Books.

O'Brien, G. (2002). 'Participation as the key to successful change – a public sector case study.' Journal of Leadership and Organisation Development 23(8):

O'Meara, B. and Petzall, S. (2007). *Recruitment and Selection of Vice-Chancellors for Australian Universities.* Ballarat, Victorian Universities Regional Research Network Press.

O'Shea, J. A., Mcauliffe, E. and Wyness, L. (2007). 'Successful large system change: At what cost?' *Journal of Change Management* 7(2): 107-120.

Palmer, I. and Dunford, R. (2002). 'Who says change can be managed? Positions, perspectives and problematics.' *Strategic Change* 11(5): 243-251.

Palmer, I. and Hardy, C. (2000). *Thinking About Management* Sage, London.

Parker, L. E. and Price, R. H. (1994). 'Empowered managers and empowered workers: The effect of managerial support and managerial perceived control on workers' sense of control over decision making.' *Human Relations* 47(8): 911-929.

Parnell, J. A. and Bell, E. D. (1994). 'The propensity for participative decision making scale: A measure of managerial propensity for participative decision making.' *Administration & Society* 25(4): 518-533.

Pateman, C. (1970). *Participation and Democratic Theory*. London, Cambridge University Press.

Paterson, J. M., Green, A. and Carey, J. (2002). 'The measurement of organizational justice in organizational change programmes: A reliability, validity and context-sensitivity assessment.' *Journal of Occupational and Organizational Psychology* 75: 393-408.

Peetz, D. (2006). *Brave New Workplace – How Individual Contracts Are Changing our Jobs*. Allen and Unwin

Peetz, D. (2001). *Individual Contracts, Collective Bargaining, Wages and Power* Centre for Economic Policy Research, Australian National University, Discussion Paper No. 437, September.

Pfeffer, J. (1992). *Managing With Power: Politics and Influence in Organisations*, Harvard Business School Press, Boston.

Pietersen, W. (2002). 'The Mark Twain Dilemma: The theory and practice of change leadership'. *The Journal of Business Strategy* 23(5):32-37.

Pojidaeff, D. (1995). 'The core principles of participative management.' *The Journal for Quality and participation* 18(7): 44-47.

Pollitt, C. (1993). *Managerialism and the Public Service: Cuts or Cultural Change in the 1990s?* London, Blackwell.

Poole, W. (2007). 'Organizational Justice as a framework for understanding union-management relations in education'. *Canadian Journal of Education* 30(3):725-748.

Rahim, A. and Magner, N. and Shapiro, D. (2000). 'Do justice perceptions influence styles of handling conflict with supervisors?: What justice perceptions precisely?' *The International Journal of Conflict Management* 11(1).

Rawls, J. A. (1971). *A Theory of Justice*, Cambridge: Harvard University Press.

Reichers, A., Wanous, J. and Austin, J. (1997). 'Understanding and managing cynicism about organizational change' *Academy of Management Executive* 11(1): 48-59.

Rex vs Sussex Justices, Ex parte McCarthy ([1924] 1 KB 256, [1923] All ER 233)

Ritter, L. (1998). 'Power and perspectives: a historian's analysis of the management of change at Charles Sturt University from a federation to a centralised model.' *Journal of Higher Education Policy and Management* 20(1): 77-88.

Roan, A., Bramble, T., and Lafferty, G. (2001) 'Australian Workplace Agreements in Practice: The 'Hard' and 'Soft' Dimensions' *Journal of Industrial Relations*, 43(4):402-421

Robertson, P., Roberts, D. and Porras, J. (1993). 'Dynamics of planned organizational change: assessing empirical support for a theoretical model'. *Academy of Management Journal* 36(3):619-634.

Robbins, S.P., Millet, B., Cacciope, R. and Waters-Marsh, T. (1994). *Organisational Behaviour: leading and managing in Australia and New Zealand*. Brisbane, Prentice Hall.

Rosewarne, S. (2005) 'Workplace 'Reform' and the Restructuring of Higher Education', *Journal of Australian Political Economy* 56: 186-206.

Samuelson, P. (1996). 'Intellectual property rights and the global information economy' *Communications of the ACM*. 39(1):23-28.

Saunders, D.M. (1992). 'Introduction to Research on Hirscman's Exit, Voice and Loyalty Model' *Employee Responsibilities and Rights Journal* 5(3): 187-190.

Saunders, M., Thornhill, A. and Lewis, P. (2002). 'Understanding Employee's Reactions to the Management of Change: An Exploration through an Organisational Justice Framework.' *Irish Journal of Management* 23(1): 85-108.

Savery, L. K. and Luks, J. A. (2001). 'The relationship between empowerment, job satisfaction and reported stress levels: Some Australian evidence.' *Leadership & Organization Development Journal* 22(3): 97-104.

Schalk, R., Campbell, J. W. and Freese, C. (1998). 'Change and employee behaviour.' *Leadership & Organization Development Journal* 19(3): 157-163.

Schwandt, T.A. (1997). *Qualitative Inquiry: A Dictionary of Terms*, Thousand Oaks, CA.

Schwarz, R. M. (1990/1991). 'Participative decision making and union-management cooperative efforts: Attitudes of managers, union officials, and employees.' *Review of Public Personnel Administration* 11(1/2).

Schweiger, D. M. and Denisi. A. S. (1991). 'Communication with Employees Following a Merger: A Longitudinal Field Experiment.' *Academy of Management Journal* 34(1): 110-135.

Schwochau, S., Delaney, J., Jarley, P. and Fiorito, J. (1997). 'Employee participation and assessments of support for organizational policy changes.' *Journal of Labor Research* 18(3): 379-401.

Sebalj, D., Hudson, S., Ryan, J and Wight-Boycott, J. (2007). 'Alliance through Change.' *Journal of Higher Education Policy and Management* 29(3): 275-287.

Self, D., Armenakis, A. and Schraeder, M. (2007). 'Organizational Change Content, process and Context: A simultaneous self analysis of employee reactions.' *Journal of Change Management* 7(2): 211-229.

Sheppard, B. H. (1985). 'Justice is no simple matter: Case for elaborating our model of procedural fairness.' *Journal of Personality and Social Psychology* 49(4): 953-962.

Stanton, E. S. (1993). 'Employee participation: A critical evaluation and suggestions for management practice.' *S.A.M. Advanced Management Journal* 58(4).

Stashevsky, S. and Elizur, D. (2000). 'The effect of quality management and participation in decision making on individual performance.' *Journal of Quality Management* 5(1): 53-65.

Stewart, J. and Kringas, P. (2003). 'Change management-strategy and values in six agencies from the Australian Public Service.' *Public Administration Review* 63(6): 675-688.

Summers, J. and Hyman, J. (2005) *Employee Participation and Company Performance: A Review of the Literature*. York, Joseph Rowntree Foundation.

Tang, T. L. and Sarsfield-Baldwin, L. J. (1996). 'Distributive and procedural justice as related to satisfaction and commitment.' *S.A.M. Advanced Management Journal* 61(3): 25-.

Taylor, J. (2006). ''Big is Beautiful'. Organisational Change in Universities in the United Kingdom: New Models of Institutional Management and the Changing Role of Academic Staff.' *Higher Education in Europe* 31(3): 251-273.

Teicher, J. (1992). Theories of employee participation and industrial democracy: towards an analytical framework. *Contemporary Australian Industrial Relations Readings*. B. Dabscheck, G. Griffin and J. Teicher. Melbourne, Longman Cheshire.

Terry, D. J. and Callan, V. J. (1997). 'Employee adjustment to large-scale organisational change.' *Australian Psychologist* 32(3): 203-210.

Tesluk, P. E., Vance, R. J. and Mathieu, J. E. (1999). 'Examining employee involvement in the context of participative work environments.' *Group & Organization Management* 24(3): 271-299.

Thibaut, J. and Walker, L. (1978). 'A Theory of Procedure.' *California Law Review* 66: 541-566.

Thompson, P. (1983). *The Nature of Work: An Introduction to Debates on the Labour Process*, Macmillan Business, London

Thompson, P and McHugh, D. (1995). *Work Organisations: A critical Introduction,* Macmillan Business, London.

Thompson, M. A. and Kahnweiler, W. M. (2002). 'An exploratory investigation of learning culture theory and employee participation in decision making.' *Human Resource Development Quarterly* 13(3): 271-288.

Thornton, M. (2005) 'Universities: The Governance Trap and What to Do About It' *Wednesday Night at the New International Bookshop,* Australian Fabian Society, Association for the Public University

Turner, M.E. (1993). 'Organizational Justice: The Search for Fairness in the Workplace' *Personnel Psychology*, 46(4):932-936

Tyler, T. R. (1987). 'Procedural Justice Research.' *Social Justice Research* 1(1): 41-65.

Tyler, T. (1991). 'Procedure or Result: What do Disputants want from Legal Authorities?' In Mackie, K.J ed *A Handbook of Dispute Resolution ADR in Action*, Mackie, K.J. ed Routledge Press

VanGramberg, B. (2006) *Managing Workplace Conflict* Federation Press, Sydney.

Van de Ven, A. H. and Poole, M. S. (1995). 'Explaining Development and Change in Organizations.' *Academy of Management Review* July 1995(3): 510-541.

Van der Heyden, L., Blondel, C. and Carlock, R. (2005). 'Fair Process: Striving for Justice in Family Business.' *Family Business Review* 18(1): 1-21.

Van Rhyn, D. and Holloway, D. (2004) 'How not to do change management' *Australian Universities Review* 47(1): 5-9

Velasquez, M. (1988). *Business Ethics*, Prentice Hall, Engelwood Cliffs.

Victor, P. and Franckeiss, A. (2002). 'The five dimensions of change: an integrated approach to strategic organizational change management.' *Strategic Change* 11(1): 35-42.

Volosinov, V.I. 1973 *Marxism and the Philosophy of Language*, New York University Press, New York.

Walker, L., Lind, E. and Thibaut, J. (1979). 'The Relationship between Procedural and Distributive Justice'. *Virginia Law Review* 65(8):1401-1420.

Walton, R. E. (1985). 'From Control to Commitment in the Workplace' *Harvard Business Review*, 63(2): 77-85

Waters, M. (1989). 'Collegiality, Bureaucratization, and Professionalization: A Weberian Analysis.' *The American Journal of Sociology* 94(5): 945-.

Webber, R. (2002). 'The Impact of Economic Liberalism on Australian Academic's Research Activities.' *Just Policy* 27(August): 29-37.

Weber, P. S. and Weber, J. E. (2001). 'Changes in employee perceptions during organisational change.' *Leadership & Organization Development Journal* 22(6): 291-300.

Weick, K. (1995). *Sensemaking in Organisations*. Thousand Oaks, Sage Publications.

Weick, K. and Quinn, R. E. (1999). 'Organizational Change and Development.' *Annual Review of Psychology* 50: 361-387.

Weller, S. and VanGramberg, B. (2008) Facilitating Change and Fostering Involvement: A Study of the Australian Higher Education Sector. *Proceedings of the Twenty Second Conference of the Association of Industrial Relations Academics of Australia and New Zealand (AIRAANZ)*.

Weller, S. and VanGramberg, B. (2007) Attitudes Towards Workplace Change in the Australian Higher Education Sector: A Tale of Divergence and a Case for Reform. *New Zealand Journal of Employment Relations*. 33:2.

Weller, S. and VanGramberg, B. (2007) Perceptions of Fairness in the Management of Workplace Change in the Australian Higher Education Sector: A Study of Employee Involvement Provisions in Workplace Agreements. *Proceedings of the Twenty First Conference of the Association of Industrial Relations Academics of Australia and New Zealand (AIRAANZ)*.

Weller, S. and VanGramberg, B. (2007) Management of Workplace Change in the Australian Higher Education Sector: A Study of Employee Involvement Provisions in Workplace Agreements. *Journal of Higher Education Policy and Management*. 29:1.

Weller, S. and VanGramberg, B. (2006) Provisions for Employee Involvement in Change Management: A study of Australian higher education workplace agreements. *Proceedings of the Twentieth Conference of the Association of Industrial Relations Academics of Australia and New Zealand (AIRAANZ)*.

Wilkinson, A., Dundon, T. and Grugulis, I. (2007). 'Information but not consultation: exploring involvement in SMEs.' *International Journal of Human Resource Management* 18(7): 1279-1297.

Williamson, A. (2005). 'Individualism and collectivism within the academic employment relationship: a changing Australian higher education employment relations agenda. *Proceedings of the 2005 Conference of the Higher Education Research and Development Society of Australasia (HERDSA)*.

Wolverton, M. (1998). 'Champions, Agents and Collaborators: leadership keys to successful systemic change.' *Journal of Higher Education Policy and Management* 20(1): 19-30.

Woong Yun, G. and Trumbo, C. (2000). 'Comparative response to a survey executed by Post, Email & Web Form.' *Journal of Computer-Mediated Communication* 6(1):0-0.

Wood, F. and Meek, V. L. (2002). 'Over-reviewed and Underfunded? The evolving policy context of Australian higher education research and development.' *Journal of Higher Education Policy and Management* 24(1): 7-25.

Yin, R.Kr. (1994) *Case Study Research Design and Methods*, Second Edition, Applied Social Research Methods Series, Vol. 5, Sage, Los Angeles.

Zeffane, R. (1996). 'Dynamics of strategic change: Critical issues in fostering positive organizational change.' *Leadership & Organization Development Journal* 17(7): 36-43.

**LIST OF APPENDICES**

**Appendix One:      Academic Staff EBA Clauses across Rounds II, III, IV**

**Academic Staff Enterprise Agreements Round II**

| UNIVERSITY | TITLE | CLAUSE | YEAR |
|---|---|---|---|
| **ACT and NATIONAL** | | | |
| Australian Catholic University | ACU Academic Staff EA | Consultation on Organisational Change | 1997 |
| Australian National University | ANU EA | Managing Change | 1997 |
| University of Canberra | UC EA | Management of Organisational Change | 1996 |
| | | | |
| **NEW SOUTH WALES** | | | |
| Charles Sturt University | Academic Staff EA | Managing Change | 1996 |
| Macquarie University | Macquarie University EA ACADEMIC STAFF | Managing Workplace Change | 1997 |
| Southern Cross University | SCU EBA ACADEMIC STAFF | Management of Change | 1997 |
| University of Newcastle | The University of Newcastle Academic Employees Enterprise Agreement 1995 | Managing Change in the Workplace | 1996 |
| University of New England | Academic Staff EA | Managing Organisational Change | 1997 |
| University of New South Wales | Academic Staff EA | Managing Change in the Workplace | 1997 |
| University of Sydney | Academic and Teaching Staff EA | Managing Change | 1997 |
| University of Technology, Sydney | Enterprise Agreement (Academic) | Managing Change in the Workplace | 1997 |
| University of Western Sydney | University of Western Sydney Academic Staff EA | Change Management and Consultation | 1997 |
| University of Wollongong | Academic Staff EA | Managing Change | 1997 |
| | | | |
| **NORTHERN TERRITORY** | | | |
| Northern Territory University | NTU Academic Staff EA | Introduction of Change | 1995 |
| | | | |

| | | | |
|---|---|---|---|
| **QUEENSLAND** | | | |
| Central Queensland University | CQU EBA (Academic Staff) | Introduction of Technological, Organisational and other changes | 1997-1999 |
| James Cook University | JCU EBA | Consultation on Organisational Change | 1997-1999 |
| Griffith University | Academic Staff Certified Agreement | Management of Change | 1997-1999 |
| University of Southern Queensland | USQ EA ACADEMIC STAFF | Organisational Change | 1996-1999 |
| University of the Sunshine Coast | USC EBA | Management of Change | 2001-2003 |
| Queensland | Enterprise Agreement for Academic Staff | Restructuring and Managing Change | 1997-1999 |
| Queensland University of Technology | EBA (Academic Staff) | Managing Change | 1997-1999 |
| | | | |
| **SOUTH AUSTRALIA** | | | |
| Adelaide | U of A Enterprise Certified Agreement | Consultation of Major Organisational Change | 1997 |
| Flinders | Flinders University Enterprise Certified Agreement | Managing Change | 1997 |
| South Australia | Academic and General Staff EA | Managing Change | 1997 |
| | | | |
| **TASMANIA** | | | |
| University of Tasmania | University of Tasmania Academic Staff Agreement | Managing Change in the Workplace | 1998 |
| | | | |
| | | | |

| VICTORIA | | | |
|---|---|---|---|
| Deakin University | DU EBA | Consultation Organisational Change | 1997 |
| La Trobe University | La Trobe University EBA | Organisational Change | 1997 |
| Monash University | Enterprise Agreement (Academic and General Staff) | Consultation about change | 1995 |
| RMIT | RMIT Academic and General Staff EA | Introduction of Major Change | 1996 |
| Swinburne University | SUT General and Academic Staff Certified Agreement | Management of Change | 1997 |
| University of Ballarat | UB EA | Management of Organisational Change | 1997 |
| University of Melbourne | UM EA | Introduction of Change | 1997 |
| Victoria University | VU EBA | Consultation on Organisational Change | 1996 |
| | | | |
| WESTERN AUSTRALIA | | | |
| Curtin | Academic Staff Enterprise Agreement | Consultation and Change Management | 2000-2003 |
| Edith Cowan | Edith Cowan University Academic Staff Certified Agreement | Management of Change | 1997-2000 |
| Murdoch | MU (Academic Staff) EA | Managing Organisational Change | 1997-2000 |
| Western Australia | UWA Academic Staff Agreement | Consultation on Organisational Change | 1997-1999 |

**Academic Staff Enterprise Agreements Round III**

| UNIVERSITY | TITLE | CLAUSE | YEAR |
|---|---|---|---|
| **ACT and NATIONAL** | | | |
| Australian Catholic University | ACU Academic Staff EA | Managing Change | 2000-2003 |
| Australian National University | ANU EA | Managing Change | 2000-2003 |
| University of Canberra | UC EA | Management of Organisational Change | 2000-2003 |
| | | | |
| **NEW SOUTH WALES** | | | |
| Charles Sturt University | Academic Staff EA | Managing Change | 2000-2003 |
| Macquarie University | Macquarie University EA | Managing Workplace Change | 2000-2003 |
| Southern Cross University | SCU EBA | Managing Change in the Workplace | 2000-2003 |
| University of Newcastle | The University of Newcastle Academic Employees Enterprise Agreement 2000 | Managing Change in the Workplace | 2000-2003 |
| University of New England | Academic Staff EA | Managing Organisational Change | 2001-2003 |
| University of New South Wales | Academic Staff EA | Managing Change in the Workplace | 2000-2003 |
| University of Sydney | Academic and Teaching Staff EA | Managing Change | 1999-2002 |
| University of Technology, Sydney | Enterprise Agreement (Academic) | Managing Change in the Workplace | 2000-2003 |
| University of Western Sydney | University of Western Sydney Academic Staff EA | Change Management and Consultation | 2001-2003 |
| University of Wollongong | Academic Staff EA | Managing Change | 2000-2003 |
| | | | |
| **NORTHERN TERRITORY** | | | |
| Northern Territory University | NTU General Staff EA | Introduction of Change | 2001-2003 |
| | | | |
| | | | |

| QUEENSLAND | | | |
|---|---|---|---|
| Central Queensland University | CQU EBA (Academic Staff) | Introduction of Technological, Organisational and other changes | 2000-2003 |
| James Cook University | JCU EBA | Consultation on Organisational Change | 2000-2003 |
| Griffith University | Academic Staff Certified Agreement | Management of Change | 2000-2003 |
| University of Southern Queensland | USQ EA | Introduction of Organisational Change | 2000-2003 |
| University of the Sunshine Coast | USC EBA | Management of Change | 2001-2003 |
| Queensland | Enterprise Agreement for Academic Staff | Restructuring and Managing Change | 2000-2003 |
| Queensland University of Technology | EBA (Academic Staff) | Managing Change | 2000-2003 |
| | | | |
| **SOUTH AUSTRALIA** | | | |
| Adelaide | U of A Enterprise Certified Agreement | Consultation of Major Organisational Change | 2000-2003 |
| Flinders | Flinders University Enterprise Certified Agreement | Managing Change | 2000-2003 |
| South Australia | Academic and General Staff EA | Managing Change in the Workplace | 2000-2003 |
| | | | |
| **TASMANIA** | | | |
| University of Tasmania | University of Tasmania Academic Staff Agreement | Managing Change in the Workplace | 2000-2003 |
| | | | |
| | | | |

| **VICTORIA** | | | |
|---|---|---|---|
| Deakin University | DU EBA | Consultation on Major Workplace Change | 2000-2003 |
| La Trobe University | La Trobe University EBA | Organisational Change | 2001-2003 |
| Monash University | Enterprise Agreement (Academic and General Staff) | Consultation about change | 2000-2003 |
| RMIT | RMIT Academic and General Staff EA | Introduction of Major Change | 2000-2003 |
| Swinburne University | SUT General and Academic Staff Certified Agreement | Management of Change | 2000-2003 |
| University of Ballarat | UB EA | Management of Change including Security of Employment | 2000-2003 |
| University of Melbourne | UM EA | Introduction of Change | 2001-2003 |
| Victoria University | VU EBA | Organisational Change | 2000-2003 |
| | | | |
| **WESTERN AUSTRALIA** | | | |
| Curtin | Academic Staff Enterprise Agreement | Consultation and Change Management | 2000-2003 |
| Edith Cowan | Edith Cowan University Academic Staff Certified Agreement | Management of Change | 2000-2003 |
| Murdoch | MU (Academic Staff) EA | Management of Organisational Change | 2000-2003 |
| Western Australia | UWA Academic Staff Agreement | Consultation on Organisational Change | 1999-2002 |
| | | | |

**Academic Staff Enterprise Agreements Round IV**

| UNIVERSITY | TITLE | CLAUSE | YEAR |
|---|---|---|---|
| **ACT and NATIONAL** | | | |
| Australian Catholic University | ACU E | Managing Change | 2005-2008 |
| Australian National University | ANU EA | Managing Change | 2005-2008 |
| University of Canberra | UC EA | Management of Organisational Change | 2004-2006 |
| | | | |
| **NEW SOUTH WALES** | | | |
| Charles Sturt University | CSU EA | Managing Change | 2005-2008 |
| Macquarie University | Macquarie University EA | Managing Workplace Change | 2003-2006 |
| Southern Cross University | SCU EBA | Facilitation of Change | 2005-2008 |
| University of Newcastle | The University of Newcastle Academic Employees Enterprise Agreement 2004 | Managing Substantial Workplace Change | 2004-2006 |
| University of New England | Academic Staff EA | Managing Organisational Change | 2003-2006 |
| University of New South Wales | Academic Staff EA | Managing Change in the Workplace | 2003-2006 |
| University of Sydney | Academic and Teaching Staff EA | Managing Change | 2003-2006 |
| University of Technology, Sydney | Enterprise Agreement (Academic Staff) | Managing Change in the Workplace | 2004-2006 |
| University of Western Sydney | University of Western Sydney Academic Staff EA | Organisational Change | 2005-2008 |
| University of Wollongong | Academic Staff EA | Managing Change | 2005-2008 |
| | | | |
| **NORTHERN TERRITORY** | | | |
| Charles Darwin University | CDU EA | Introduction of Change | 2005-2007 |
| | | | |
| | | | |

| QUEENSLAND | | | |
|---|---|---|---|
| Central Queensland University | CQU EBA (Academic Staff) | Introduction of Change | 2005-2006 |
| James Cook University | JCU EBA | Consultation on Organisational Change | 2005-2006 |
| Griffith University | Academic Staff Certified Agreement | Change Management | 2003 - 2006 |
| University of Southern Queensland | USQ EA | Introduction of Organisational Change | 2005-2008 |
| University of the Sunshine Coast | USC EBA | Management of Change | 2005-2008 |
| University of Queensland | Enterprise Agreement for Academic Staff | Managing Major Change | 2005-2008 |
| Queensland University of Technology | EBA (Academic Staff) | Managing Change | 2005-2008 |
| | | | |
| SOUTH AUSTRALIA | | | |
| Adelaide University | U of A Enterprise Certified Agreement | Major Organisational Change | 2005 |
| Flinders | Flinders University Enterprise Certified Agreement | Managing Change | 2004 |
| South Australia | Academic and General Staff EA | Managing Change in the Workplace | 2004 |
| | | | |
| TASMANIA | | | |
| University of Tasmania | University of Tasmania Academic Staff Agreement | Managing Change in the Workplace | 2005-2008 |
| | | | |
| | | | |

| **VICTORIA** | | | |
|---|---|---|---|
| Deakin University | DU EBA | Consultation on Major Workplace Change | 2005-2008 |
| La Trobe University | La Trobe University EBA | Facilitation of Change | 2005-2008 |
| Monash University | Enterprise Agreement (Academic and General Staff) | Consultation about Change | 2005-2008 |
| RMIT | RMIT Academic and General Staff EA | Introduction of Major Change | 2005-2008 |
| Swinburne University | SUT General and Academic Staff Certified Agreement | Management of Change – Organisational Restructuring | 2004 |
| University of Ballarat | UB EA | Management of Change including Security of Employment | 2000-2003 |
| University of Melbourne | UM EA | Managing Change | 2004 |
| Victoria University | VU EBA | Organisational Change | 2005-2008 |
| | | | |
| **WESTERN AUSTRALIA** | | | |
| Curtin University | Academic Staff Enterprise Agreement | Consultation and Change Management | 2005-2008 |
| Edith Cowan | Edith Cowan University Academic Staff Certified Agreement | Management of Change | 2005-2006 |
| Murdoch | MU (Academic Staff) EA | Managing Organisational Change | 2004-2006 |
| Western Australia | UWA Academic Staff Agreement | Consultation on Organisational Change | 2005-2008 |
| | | | |

**Appendix Two:    General Staff EBA Clauses across Rounds II, III, IV**

**General Staff Enterprise Agreements Round II**

| UNIVERSITY | TITLE | CLAUSE | YEAR |
|---|---|---|---|
| | | | |
| **ACT and NATIONAL** | | | |
| Australian Catholic University | ACU General Staff EA | Organisational Change | 1997 |
| Australian National University | ANU EA | Managing Change | 1997 |
| University of Canberra | UC EA | Management of Organisational Change | 1996 |
| | | | |
| **NEW SOUTH WALES** | | | |
| Charles Sturt University | Charles Sturt University (General Staff) EA | Managing Change | 1997 |
| Macquarie University | Macquarie University EA GENERAL STAFF | Managing Workplace Change | 1997 |
| Southern Cross University | Southern Cross University EBA GENERAL STAFF | Management of Change | 1996 |
| University of Newcastle | The University of Newcastle General Staff Enterprise Agreement 2005 | Managing Change in the Workplace | 1996 |
| University of New England | University of New England General Staff EA | Managing Change in the Workplace | 1997 |
| University of New South Wales | UNSW General Staff EA | Managing Change in the Workplace | 1997 |
| University of Sydney | University of Sydney (General Staff) EA | Technological Change | 1997 |
| University of Technology, Sydney | UTS Enterprise Agreement (Support) | Change and Improvement in the Workplace | 1996 |
| University of Western Sydney | University of Western Sydney General Staff EA | Change Management and Consultation | 1997 |
| University of Wollongong | General Staff EA | Managing Change | 1997 |

| | | | |
|---|---|---|---|
| **NORTHERN TERRITORY** | | | |
| Northern Territory University | NTU General Staff EA | Introduction of Change | 1996 |
| | | | |
| **QUEENSLAND** | | | |
| Central Queensland University | CQU EBA (General Staff) | Introduction of Technological, Organisational and other changes | 1997-19993 |
| James Cook University | JCU EBA | Consultation on Organisational Change | 1997-1999 |
| Griffith University | General Staff Certified Agreement | Management of Change | 1997-2000 |
| University of Southern Queensland | USQ EA GENERAL STAFF | Change | 1996-1999 |
| University of the Sunshine Coast | USC EBA | Management of Change | 2001-2003 |
| Queensland | Enterprise Agreement for General Staff | Restructuring and Managing Change | 1997-1999 |
| Queensland University of Technology | EBA (General Staff) | Managing Change | 1997-2000 |
| | | | |
| **SOUTH AUSTRALIA** | | | |
| Adelaide | U of A Enterprise Certified Agreement | Consultation of Major Organisational Change | 1997 |
| Flinders | Flinders University Enterprise Certified Agreement | Managing Change | 1997 |
| South Australia | USA Academic and General Staff EA | Managing Change | 1997 |
| | | | |
| **TASMANIA** | | | |
| University of Tasmania | University of Tasmania General Staff Agreement | Managing Change in the Workplace | 1996 |
| | | | |
| | | | |

| | | | |
|---|---|---|---|
| **VICTORIA** | | | |
| Deakin University | DU EBA | Consultation on Organisational Change | 1997 |
| La Trobe University | La Trobe University EBA | Organisational Change | 1997 |
| Monash University | Enterprise Agreement (Academic and General Staff) | Consultation about change | 1995 |
| RMIT | RMIT Academic and General Staff EA | Introduction of Major Change | 1996 |
| Swinburne University | SUT General and Academic Staff Certified Agreement | Management of Organisational Change | 1997 |
| University of Ballarat | UB EA | Management of Change including Security of Employment | 2000-2003 |
| University of Melbourne | UM EA | Introduction of Change | 1997 |
| Victoria University | VU EBA | Consultation on Organisational Change | 1996 |
| | | | |
| **WESTERN AUSTRALIA** | | | |
| Curtin | General Staff Enterprise Agreement | Introduction of Change | 1997-2000 |
| Edith Cowan | Edith Cowan University General Staff Certified Agreement | Management of Change | 1997-2003 |
| Murdoch | MU (General Staff) EA | Managing Organisational Change | 1997-2000 |
| Western Australia | UWA General Staff Agreement | Consultation on Organisational Change | 1996-1999 |

**General Staff Enterprise Agreements Round III**

| UNIVERSITY | TITLE | CLAUSE | YEAR |
|---|---|---|---|
| **ACT and NATIONAL** | | | |
| Australian Catholic University | ACU General Staff EA | Managing Change | 2000-2003 |
| Australian National University | ANU EA | Managing Change | 2000-2003 |
| University of Canberra | UC EA | Management of Organisational Change | 2000-2003 |
| | | | |
| **NEW SOUTH WALES** | | | |
| Charles Sturt University | Charles Sturt University (General Staff) EA | Managing Change | 2000-2003 |
| Macquarie University | Macquarie University EA | Managing Workplace Change | 2000-2003 |
| Southern Cross University | Southern Cross University EBA | Facilitation of Change | 2000-2003 |
| University of Newcastle | The University of Newcastle General Staff Enterprise Agreement 2000 | Managing Change in the Workplace | 2000-2003 |
| University of New England | University of New England General Staff EA | Managing Organisational Change | 2000-2003 |
| University of New South Wales | UNSW General Staff EA | Workplace Change Processes | 2003-2006 |
| University of Sydney | University of Sydney (General Staff) EA | Managing Change | 1999-2002 |
| University of Technology, Sydney | UTS Enterprise Agreement (Support) | Managing Change in the Workplace | 2000-2003 |
| University of Western Sydney | University of Western Sydney General Staff EA | Change Management and Consultation | 2001-2003 |
| University of Wollongong | General Staff EA | Managing Change | 2000-2003 |
| | | | |
| **NORTHERN TERRITORY** | | | |
| Northern Territory University | NTU General Staff EA | Introduction of Change | 2001-2003 |
| | | | |
| | | | |

| | | | |
|---|---|---|---|
| **QUEENSLAND** | | | |
| Central Queensland University | CQU EBA (General Staff) | Introduction of Technological, Organisational and other changes | 2000-2003 |
| James Cook University | JCU EBA | Consultation on Organisational Change | 2000-2003 |
| Griffith University | General Staff Certified Agreement | Management of Change | 2000-2003 |
| University of Southern Queensland | USQ EA | Introduction of Organisational Change | 2000-2003 |
| University of the Sunshine Coast | USC EBA | Management of Change | 2001-2003 |
| Queensland | Enterprise Agreement for General Staff | Restructuring and Managing Change | 1999-2002 |
| Queensland University of Technology | EBA (General Staff) | Managing Change | 2000-2003 |
| | | | |
| **SOUTH AUSTRALIA** | | | |
| Adelaide | U of A Enterprise Certified Agreement | Consultation of Major Organisational Change | 2000-2003 |
| Flinders | Flinders University Enterprise Certified Agreement | Managing Change | 2000-2003 |
| South Australia | USA Academic and General Staff EA | Managing Change in the Workplace | 2000-2003 |
| | | | |
| **TASMANIA** | | | |
| University of Tasmania | University of Tasmania General Staff Agreement | Managing Change in the Workplace | 2000-2003 |
| | | | |
| | | | |

| VICTORIA | | | |
|---|---|---|---|
| Deakin University | DU EBA | Consultation on Major Workplace Change | 2000-2003 |
| La Trobe University | La Trobe University EBA | Organisational Change | 2001-2003 |
| Monash University | Enterprise Agreement (Academic and General Staff) | Consultation about change | 2000-2003 |
| RMIT | RMIT Academic and General Staff EA | Introduction of Major Change | 2000-2003 |
| Swinburne University | SUT General and Academic Staff Certified Agreement | Management of Change | 2000-2003 |
| University of Ballarat | UB EA | Management of Change including Security of Employment | 2000-2003 |
| University of Melbourne | UM EA | Introduction of Change | 2001-2003 |
| Victoria University | VU EBA | Organisational Change | 2000-2003 |
| | | | |
| WESTERN AUSTRALIA | | | |
| Curtin | General Staff Enterprise Agreement | Consultation and Change Management | 2000-2003 |
| Edith Cowan | Edith Cowan University General Staff Certified Agreement | Management of Change | 2000-2003 |
| Murdoch | MU (General Staff) EA | Management of Organisational Change | 2000-2003 |
| Western Australia | UWA General Staff Agreement | Consultation on Organisational Change | 2001-2003 |

**General Staff Enterprise Agreements Round IV**

| UNIVERSITY | TITLE | CLAUSE | YEAR |
|---|---|---|---|
| **ACT and NATIONAL** | | | |
| Australian Catholic University | ACU EA | Managing Change | 2005-2008 |
| Australian National University | ANU EA | Managing Change | 2005-2008 |
| University of Canberra | UC EA | Management of Organisational Change | 2004-2006 |
| | | | |
| **NEW SOUTH WALES** | | | |
| Charles Sturt University | CSU EA | Managing Change | 2005-2008 |
| Macquarie University | Macquarie University EA | Managing Workplace Change | 2003-2006 |
| Southern Cross University | SCU EBA | Facilitation of Change | 2005-2008 |
| University of Newcastle | The University of Newcastle General Employees Enterprise Agreement 2004 | Managing Substantial Workplace Change | 2004-2006 |
| University of New England | General Staff EA | Managing Organisational Change | 2003-2006 |
| University of New South Wales | General Staff EA | Managing Change in the Workplace | 2003-2006 |
| University of Sydney | General Staff EA | Managing Change | 2003-2006 |
| University of Technology, Sydney | Enterprise Agreement (General Staff) | Managing Change in the Workplace | 2004-2006 |
| University of Western Sydney | University of Western Sydney General Staff EA | Organisational Change | 2005-2008 |
| University of Wollongong | General Staff EA | Managing Change | 2005-2008 |
| | | | |
| **NORTHERN TERRITORY** | | | |
| Charles Darwin University | CDU EA | Introduction of Change | 2005-2007 |
| | | | |
| | | | |

| **QUEENSLAND** | | | |
|---|---|---|---|
| Central Queensland University | CQU EBA (General Staff) | Introduction of Change | 2005-2006 |
| James Cook University | JCU EBA | Consultation on Organisational Change | 2005-2006 |
| Griffith University | General Staff Certified Agreement | Change Management | 2003 - 2006 |
| University of Southern Queensland | USQ EA | Introduction of Organisational Change | 2005-2008 |
| University of the Sunshine Coast | USC EBA | Management of Change | 2005-2008 |
| University of Queensland | Enterprise Agreement for General Staff | Managing Major Change | 2005-2008 |
| Queensland University of Technology | EBA (General Staff) | Managing Change | 2005-2008 |
| | | | |
| **SOUTH AUSTRALIA** | | | |
| Adelaide University | U of A Enterprise Certified Agreement | Major Organisational Change | 2005 |
| Flinders | Flinders University Enterprise Certified Agreement | Managing Change | 2004 |
| South Australia | Academic and General Staff EA | Managing Change in the Workplace | 2004 |
| | | | |
| **TASMANIA** | | | |
| University of Tasmania | University of Tasmania General Staff Agreement | Managing Change in the Workplace | 2005-2008 |
| | | | |
| | | | |

| **VICTORIA** | | | |
|---|---|---|---|
| Deakin University | DU EBA | Consultation on Major Workplace Change | 2005-2008 |
| La Trobe University | La Trobe University EBA | Facilitation of Change | 2005-2008 |
| Monash University | Enterprise Agreement (Academic and General Staff) | Consultation about Change | 2005-2008 |
| RMIT | RMIT Academic and General Staff EA | Introduction of Major Change | 2005-2008 |
| Swinburne University | SUT General and Academic Staff Certified Agreement | Management of Change – Organisational Restructuring | 2004 |
| University of Ballarat | UB EA | Management of Change including Security of Employment | 2000-2003 |
| University of Melbourne | UM EA | Managing Change | 2004 |
| Victoria University | VU EBA | Organisational Change | 2005-2008 |
| | | | |
| **WESTERN AUSTRALIA** | | | |
| Curtin University | General Staff Enterprise Agreement | Consultation and Change Management | 2005-2008 |
| Edith Cowan | Edith Cowan University General Staff Certified Agreement | Management of Change | 2005-2006 |
| Murdoch | MU (General Staff) EA | Managing Organisational Change | 2004-2006 |
| Western Australia | UWA General Staff Agreement | Consultation on Organisational Change | 2005-2008 |
| | | | |

## Appendix Three:     EBA Degree and Form Assessment Scores

| UNIVERSITY Academic Staff | STATE | SECTOR | STAFF | DEGREE RD II | FORM RD II | DEGREE RD III | FORM RD III | DEGREE RD IV | FORM RD IV |
|---|---|---|---|---|---|---|---|---|---|
| ADELAIDE | SA | 1 | 1 | 5 | 2 | 5 | 2 | 5 | 2 |
| ANU | ACT | 1 | 1 | 5 | 2 | 5 | 2 | 5 | 2 |
| CANBERRA | ACT | 4 | 1 | 5 | 2 | 5 | 5 | 5 | 5 |
| CDU | NT | 5 | 1 | 4 | 2 | 4 | 2 | 4 | 2 |
| ECU | WA | 4 | 1 | 5 | 2 | 4 | 2 | 4 | 2 |
| FLINDERS | SA | 2 | 1 | 5 | 3 | 5 | 3 | 5 | 3 |
| GRIFFITH | QLD | 2 | 1 | 6 | 2 | 5 | 2 | 5 | 2 |
| JCU | QLD | 5 | 1 | 6 | 2 | 5 | 2 | 5 | 2 |
| MAQUARIE | NSW | 2 | 1 | 5 | 3 | 4 | 3 | 4 | 2 |
| MELBOURNE | VIC | 1 | 1 | 4 | 2 | 4 | 2 | 4 | 2 |
| MONASH | VIC | 1 | 1 | 4 | 5 | 4 | 5 | 4 | 5 |
| MURDOCH | WA | 2 | 1 | 6 | 2 | 5 | 5 | 4 | 2 |
| NEWCASTLE | NSW | 2 | 1 | 5 | 2 | 4 | 2 | 4 | 2 |
| SWINBURNE | VIC | 5 | 1 | 6 | 2 | 6 | 2 | 6 | 2 |
| SYDNEY | NSW | 1 | 1 | 6 | 2 | 5 | 1 | 5 | 1 |
| UNE | NSW | 5 | 1 | 5 | 2 | 3 | 2 | 3 | 2 |
| UQ | QLD | 1 | 1 | 6 | 3 | 6 | 3 | 5 | 5 |
| USA | SA | 3 | 1 | 5 | 3 | 5 | 2 | 5 | 2 |
| UTS | NSW | 3 | 1 | 5 | 2 | 5 | 2 | 5 | 2 |
| UWA | WA | 1 | 1 | 5 | 3 | 5 | 3 | 5 | 2 |
| UWS | NSW | 4 | 1 | 5 | 1 | 5 | 1 | 5 | 5 |

| UNIVERSITY General Staff | STATE | SECTOR | STAFF | DEGREE RD II | FORM RD II | DEGREE RD III | FORM RD III | DEGREE RD IV | FORM RD IV |
|---|---|---|---|---|---|---|---|---|---|
| ADELAIDE | SA | 1 | 2 | 5 | 1 | 5 | 1 | 5 | 5 |
| ANU | ACT | 1 | 2 | 5 | 5 | 5 | 5 | 5 | 5 |
| CANBERRA | ACT | 4 | 2 | 5 | 2 | 4 | 2 | 4 | 2 |
| CDU | NT | 5 | 2 | 6 | 5 | 6 | 5 | 5 | 5 |
| ECU | WA | 4 | 2 | 5 | 2 | 5 | 1 | 5 | 1 |
| FLINDERS | SA | 2 | 2 | 5 | 3 | 4 | 3 | 4 | 2 |
| GRIFFITH | QLD | 2 | 2 | 5 | 2 | 5 | 2 | 5 | 2 |
| JCU | QLD | 5 | 2 | 6 | 2 | 5 | 2 | 5 | 2 |
| MAQUARIE | NSW | 2 | 2 | 5 | 3 | 5 | 2 | 5 | 2 |
| MELBOURNE | VIC | 1 | 2 | 4 | 2 | 4 | 2 | 4 | 2 |
| MONASH | VIC | 1 | 2 | 4 | 5 | 4 | 5 | 4 | 5 |
| MURDOCH | WA | 2 | 2 | 5 | 2 | 5 | 2 | 5 | 2 |
| NEWCASTLE | NSW | 2 | 2 | 5 | 2 | 5 | 2 | 5 | 2 |
| SWINBURNE | VIC | 5 | 2 | 6 | 2 | 6 | 2 | 6 | 2 |
| SYDNEY | NSW | 1 | 2 | 5 | 1 | 5 | 1 | 5 | 3 |
| UNE | NSW | 5 | 2 | 6 | 2 | 5 | 5 | 4 | 2 |
| UQ | QLD | 1 | 2 | 5 | 3 | 5 | 3 | 5 | 2 |
| USA | SA | 3 | 2 | 5 | 2 | 5 | 2 | 5 | 2 |
| UTS | NSW | 3 | 2 | 5 | 2 | 4 | 2 | 4 | 2 |
| UWA | WA | 1 | 2 | 4 | 2 | 4 | 2 | 4 | 2 |
| UWS | NSW | 4 | 2 | 5 | 2 | 3 | 2 | 3 | 2 |

**Appendix Four:      Potential Interview Sample Summary**

| ROLE TYPE | MANAGEMENT | UNION |
|---|---|---|
| **ACADEMIC** | **ATN**<br>• CURTIN, RMIT | **ATN**<br>• CURTIN, CURTIN, CURTIN, QUT, RMIT, UNISA |
| | **GO8**<br>• ANU, UQ | **GO8**<br>• MONASH, UNSW, UQ, UQ, UQ |
| | **IRU**<br>• NEWCASTLE | **IRU**<br>• GRIFFITH, LA TROBE, LA TROBE, MACQUARIE, MACQUARIE, MURDOCH, MURDOCH, MURDOCH, NEWCASTLE, NEWCASTLE, NEWCASTLE |
| | **NGU**<br>• CDU, UWS | **NGU**<br>• ACU, ACU, BALLARAT, EDITH COWAN, EDITH COWAN, SCU, SCU, USC, USC, USQ, USQ, UWS |
| | **REG**<br>• UOW | **REG**<br>• DEAKIN, UNE, UNE, UNE |
| **GENERAL** | **ATN**<br>• - | **ATN**<br>• CURTIN, SWINBURNE, UNISA, UTS |
| | **GO8**<br>• ANU<br>• MELBOURNE<br>• UNSW<br>• UWA | **GO8**<br>• MELBOURNE, MONASH |
| | **IRU**<br>• GRIFFITH<br>• MURDOCH | **IRU**<br>• LA TROBE, LA TROBE, LA TROBE, LA TROBE, NEWCASTLE |
| | **NGU**<br>• ACU<br>• VU, VU, VU | **NGU**<br>• BALLARAT, CQU, VU, VU |
| | **REG**<br>• CSU | **REG**<br>• JCU, UTAS |

| ROLE TYPE | SECTOR TYPE | LOCATION |
|---|---|---|
| Academic Management x5 | ATN x 3 | Melbourne x 13 |
| Academic Union x5 | GO8 x 6 | Canberra x 2 |
| General Management x5 | IRU x 3 | Greater Sydney x 5 |
| General Union x 5 | NGU x 6 | |
| | REG x 2 | |

**Appendix Five:       Attitudinal Survey**

**INFORMATION TO PARTICIPANTS:**

I would like to invite you to be a part of a study into:

**PERCEPTIONS OF ORGANISATIONAL JUSTICE WITHIN THE
MANAGEMENT OF WORKPLACE CHANGE IN THE
AUSTRALIAN HIGHER EDUCATION SECTOR**

This survey is being undertaken as part of my doctoral studies at Victoria University.

The research project examines the manner in which workplace change is managed in the Australian Higher Education sector, and in particular the extent to which employee participation affects perceptions of fairness.

As part of the project, this survey seeks to gain an understanding of attitudes and experiences in relation to change management, employee involvement and organisational justice.

The survey is being administered during September 2006 to a sample of approximately 650 people. The sample group is comprised of the members of University Senior Executive Groups and members of University Staff Union Executives in publicly funded Australian universities.

The survey is completely confidential, and has been given ethics approval by the Victoria University Human Ethics Research Ethics Committee.

Questions regarding the survey, or the doctoral research, can be directed to the Doctoral Candidate:

Stephen Weller
Doctoral Student
Victoria University
stephen.weller@vu.edu.au

Questions regarding the ethics approval can be directed to the Doctoral Supervisor:

Associate Professor Bernadine VanGramberg
Head, School of Management
Victoria University
bernadine.vangramberg@vu.edu.au

PLEASE RETURN YOUR COMPLETED SURVEY FORM IN THE REPLY PAID ENVELOPE PROVIDED BY FRIDAY 15 SEPTEMBER 2006.

If you have any queries about the ethics approvals associated with this project, you may contact the Secretary, Victoria University Human Research Ethics Committee, Victoria University, PO Box 14428, Melbourne, VIC, 8001 phone (03) 9919 4710.

## SECTION ONE
## DEMOGRAPHIC DETAILS

1. Please describe your employment status within your university
   (Mark one box only)

   ☐ Academic staff
   ☐ General Staff

2. Please describe your position within your university
   (Mark one box only)

   ☐ Senior management representative (ie VC, DVC, PVC)
   ☐ Management representative (ie Dean, Director)
   ☐ Senior staff union representative (ie Branch President, Vice-President)
   ☐ Staff union representative (ie Branch Executive Officer)

3. Please provide the name of your university
   (This information will not be released in the findings of the study)

   --------------------------------------------------------------------------------------------------------

4. How long have you been employed within your university?
   (Mark one box only)

| Less than one year | 1 to 2 years | 3 to 5 years | 6 to 10 years | More than 10 years |
|:---:|:---:|:---:|:---:|:---:|
| ☐ | ☐ | ☐ | ☐ | ☐ |

5. Are you a member of the Joint/Workplace Consultative Committee within your
   university?
   (Mark one box only)

   ☐ Yes
   ☐ No

## SECTION TWO
## WORKPLACE CHANGE

This section includes questions regarding your knowledge and experiences of the management of workplace change within your university.

For the purposes of this survey, management of workplace change is defined as organisational or structural change within the workplace.

6.  Please indicate your level of awareness of the change management provisions in your university as expressed in the Enterprise Bargaining Agreement, policies or elsewhere.
    (Mark one box only).

☐  I am aware of the provisions
☐  I have read the provisions
☐  I fully understand the provisions
☐  Other (please describe)

-------------------------------------------------------------------------------------------------

-------------------------------------------------------------------------------------------------

-------------------------------------------------------------------------------------------------

7.  Describe the extent to which you have participated in the processes within your university relating to the management of workplace change?
    (You may mark any number of boxes)

☐  I have prepared and implemented a change plan
☐  I have assisted/advised in the preparation or implementation of a change plan
☐  I have participated on a committee that developed/negotiated a change plan
☐  Other (please describe)

-------------------------------------------------------------------------------------------------

-------------------------------------------------------------------------------------------------

-------------------------------------------------------------------------------------------------

The next questions relate to the actual change process in your university. In responding to these questions, you are asked to consider a **recent change** in which you were involved within the university. This may include a restructure of an organisational unit, discontinuation of services or staffing changes.

8.  Please describe the change process you will focus your answers on:
    (Mark one box only).

    ☐ Restructure of an organisational unit (ie faculty/school/department)
    ☐ Discontinuation, reduction or relocation of services
    ☐ Staffing change, service delivery re-profiling, or campus closure
    ☐ Other (please describe)

    ----------------------------------------------------------------------------------------------------

    ----------------------------------------------------------------------------------------------------

    ----------------------------------------------------------------------------------------------------

9.  With respect to the change you have nominated, how would you rate the **effectiveness** of the change processes in relation to the following issues?

|  | Very Low | Low | Neutral | High | Very High |
|---|---|---|---|---|---|
| The ability of the university achieve the identified goals of the change | 1 | 2 | 3 | 4 | 5 |
| The ability of the university to describe the nature of the change | 1 | 2 | 3 | 4 | 5 |
| The ability of the university to document the change process | 1 | 2 | 3 | 4 | 5 |
| The ability of the university to implement the change process | 1 | 2 | 3 | 4 | 5 |
| The ability of the university to review the change process | 1 | 2 | 3 | 4 | 5 |
| The ability of the university to build consensus around the change | 1 | 2 | 3 | 4 | 5 |

10. In the last three years, have you participated in any other change processes in addition to your nominated change management process?

    ☐ Yes
    ☐ No

11. If yes, how many change management processes have you participated in during the last three years?
(Mark one box only)

| Between one and three | Between four and six | Between seven and nine | Between nine and twelve | More than twelve |
|:---:|:---:|:---:|:---:|:---:|
| 1 | 2 | 3 | 4 | 5 |

12. If yes, would you how would you rate the **effectiveness** of these change processes in relation to the following issues?

|  | Very Low | Low | Neutral | High | Very High |
|---|:---:|:---:|:---:|:---:|:---:|
| The ability of the university achieve the identified goals of the change | 1 | 2 | 3 | 4 | 5 |
| The ability of the university to describe the nature of the change | 1 | 2 | 3 | 4 | 5 |
| The ability of the university to document the change process | 1 | 2 | 3 | 4 | 5 |
| The ability of the university to implement the change process | 1 | 2 | 3 | 4 | 5 |
| The ability of the university to review the change process | 1 | 2 | 3 | 4 | 5 |
| The ability of the university to build consensus around the changes | 1 | 2 | 3 | 4 | 5 |

13. Overall how would you describe the **effectiveness** of the change management processes within your university in terms of facilitating strategic objectives **AND** ensuring participation of affected staff?

| Very Low | Low | Neutral | High | Very High |
|:---:|:---:|:---:|:---:|:---:|
| 1 | 2 | 3 | 4 | 5 |

Comments:

-----------------------------------------------------------------------------------------------------

-----------------------------------------------------------------------------------------------------

-----------------------------------------------------------------------------------------------------

## SECTION THREE
## EMPLOYEE PARTICIPATION IN WORKPLACE CHANGE

The next questions relate to the participation of employees within the change management processes of your university.

14. The underlying award provisions of the Australian Higher Education sector state that '…the sound management of workplace change requires the involvement of, and consultation with, those staff who will affected by that change'.

    Do you agree that effective change management requires the participation of, and consultation with, those staff affected by that change?

    ☐ Yes
    ☐ No

    Comments:

    ----------------------------------------------------------------------------------------------------

    ----------------------------------------------------------------------------------------------------

    ----------------------------------------------------------------------------------------------------

15. If yes, do you believe that the change management processes of your university provide for this participation and consultation?

    ☐ Yes
    ☐ No

16. Do you believe that employee participation in the management of workplace change is the primary factor that will support the effective implementation of change?

    ☐ Yes
    ☐ No

    Comments:

    ----------------------------------------------------------------------------------------------------

    ----------------------------------------------------------------------------------------------------

    ----------------------------------------------------------------------------------------------------

17. When considering the change management process for your nominated change (see question 9), how would you describe the **degree of employee participation** in the process?
(Mark one box only)

☐ There was no employee participation

☐ Employees were provided with information on the change

☐ Employees were provided with information before a final decision was made

☐ Employees had the right to comment on the change

☐ Employee consultation was an obligatory part of the change process

☐ Employees were joint decision makers in the change management process

☐ Employees had complete participation in the change management process

18. When considering the change management process for your nominated change (see question 9), how would you describe the **form of employee participation** in the process?
(Mark one box only)

☐ Change was managed through a Joint/Workplace Consultative Committee

☐ Change was managed as a process between management, staff and unions

☐ Change was managed as a process between management and unions

☐ Change was managed as a process between management and staff

☐ Change was managed through a specific Change Management Committee

19. With respect to the change you have nominated (see question 9), how would you rate the **effectiveness** of the change processes within your university in relation to the following issues?

| | Very Low | Low | Neutral | High | Very High |
|---|---|---|---|---|---|
| The degree of employee participation in the change management process | 1 | 2 | 3 | 4 | 5 |
| The form of employee participation in the change management process | 1 | 2 | 3 | 4 | 5 |

## SECTION FOUR
## PERCEPTIONS OF FAIRNESS IN WORKPLACE CHANGE

This section includes questions regarding your attitudes and perceptions of organisational justice within your university. For the purposes of this survey, organisational justice is defined as perceptions of the fairness of the decision making process and its outcomes.

20. Distributive justice refers to the perceived fairness of the **outcomes** achieved as a result of a decision making process. Please indicate your response to the following statements in relation to issues of distributive justice in regards to your nominated change management process (see question 9).

|  | Strongly Disagree | Disagree | Neutral | Agree | Strongly Agree |
|---|---|---|---|---|---|
| I felt the outcome of the final decision was based on merit | 1 | 2 | 3 | 4 | 5 |
| I felt the decision impacted equally on all levels of participants in the organisation | 1 | 2 | 3 | 4 | 5 |
| I felt the needs of the organisation were considered in the change management process | 1 | 2 | 3 | 4 | 5 |
| I felt the needs of the participants were considered in the change management process | 1 | 2 | 3 | 4 | 5 |
| I felt appropriate compensation was provided for perceived adverse change decisions | 1 | 2 | 3 | 4 | 5 |

21. Overall how would you describe the provisions for **distributive** justice, that is fairness of the outcome, in the change management processes of your university?

| Very Low | Low | Neutral | High | Very High |
|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 |

Comments:

---------------------------------------------------------------------------------------------

---------------------------------------------------------------------------------------------

---------------------------------------------------------------------------------------------

22. Procedural justice refers to the perceived fairness of the **procedures** used in a decision making process. Please indicate your response to the following statements in relation to issues of procedural justice in regards to your nominated change management process (see question 9).

|  | Strongly Disagree | Disagree | Neutral | Agree | Strongly Agree |
|---|---|---|---|---|---|
| I felt that change management decisions were made consistently | 1 | 2 | 3 | 4 | 5 |
| I felt the decision making processes were impartial | 1 | 2 | 3 | 4 | 5 |
| I felt the decisions were based on accurate information | 1 | 2 | 3 | 4 | 5 |
| I felt there were opportunities provided to employees to have input into decision processes | 1 | 2 | 3 | 4 | 5 |
| I felt there was compatibility of the decision making process with organisational ethics and values | 1 | 2 | 3 | 4 | 5 |
| I felt there were mechanisms to appeal the decision | 1 | 2 | 3 | 4 | 5 |

23. Overall how would you describe the provisions for **procedural** justice, that is the fairness of the process, in the change management processes of your university?

| Very Low | Low | Neutral | High | Very High |
|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 |

Comments:

-------------------------------------------------------------------------------------------------

-------------------------------------------------------------------------------------------------

-------------------------------------------------------------------------------------------------

24. Interactional justice refers to the perceived fairness of the **interpersonal treatment** experienced by participants in a decision making process. Please indicate your response to the following statements in relation to issues of interactional justice in regards to your nominated change management process (see question 9).

|  | Strongly Disagree | Disagree | Neutral | Agree | Strongly Agree |
|---|---|---|---|---|---|
| I felt there was honesty in the decision making process | 1 | 2 | 3 | 4 | 5 |
| I felt that workers were treated courteously during the decision making process | 1 | 2 | 3 | 4 | 5 |
| I felt that staff had their rights respected in the decision making process | 1 | 2 | 3 | 4 | 5 |
| I felt that the decision making process was devoid of prejudice | 1 | 2 | 3 | 4 | 5 |
| I felt that decisions that were made were appropriately justified | 1 | 2 | 3 | 4 | 5 |
| I felt that decisions that were made were communicated transparently | 1 | 2 | 3 | 4 | 5 |

25. Overall how would you describe the provisions for **interactional** justice, that is the fairness of the treatment of staff, in the change management processes of your university?

| Very Low | Low | Neutral | High | Very High |
|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 |

Comments:

--------------------------------------------------------------------------------

--------------------------------------------------------------------------------

--------------------------------------------------------------------------------

26. Overall how would you rate **staff perceptions** of organisational justice associated with the management of workplace change within your university?

| | Strongly Disagree | Disagree | Neutral | Agree | Strongly Agree |
|---|---|---|---|---|---|
| Staff are more interested in the **fairness of the outcome** as opposed to the process | 1 | 2 | 3 | 4 | 5 |
| Staff are more interested in the **fairness of the process** as opposed to the outcome | 1 | 2 | 3 | 4 | 5 |
| Staff are more interested in the **fairness of their treatment** by management during the change | 1 | 2 | 3 | 4 | 5 |

27. Overall how would you rate **management perceptions** of organisational justice with the management of workplace change within your university?

| | Strongly Disagree | Disagree | Neutral | Agree | Strongly Agree |
|---|---|---|---|---|---|
| Management are more interested in the **fairness of the outcome** as opposed to the process | 1 | 2 | 3 | 4 | 5 |
| Management are more interested in the **fairness of the process** as opposed to the outcome | 1 | 2 | 3 | 4 | 5 |
| Management are more interested in the **fairness of their treatment** of staff during the change | 1 | 2 | 3 | 4 | 5 |

28. Overall, how would you describe the perceived provisions for organisational justice in the management of workplace change within your university?

| Very Low | Low | Neutral | High | Very High |
|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 |

Comments:

--------------------------------------------------------------------------------------------

--------------------------------------------------------------------------------------------

## SECTION FIVE
## CONCLUSION

29. Do you have any final comments you wish to make about the management of workplace change in your university? Or alternatively about employee participation or organisational justice within these processes?

--------------------------------------------------------------------------------------------

--------------------------------------------------------------------------------------------

--------------------------------------------------------------------------------------------

--------------------------------------------------------------------------------------------

--------------------------------------------------------------------------------------------

--------------------------------------------------------------------------------------------

--------------------------------------------------------------------------------------------

--------------------------------------------------------------------------------------------

--------------------------------------------------------------------------------------------

--------------------------------------------------------------------------------------------

30. Are you willing to be interviewed in more detail about your views on organisational change in your university for my research?

☐ Yes
☐ No

If yes please provide your contact details below.
This information will not be released in the findings of the study.

--------------------------------------------------------------------------------------------

--------------------------------------------------------------------------------------------

--------------------------------------------------------------------------------------------

--------------------------------------------------------------------------------------------

THANK YOU FOR YOUR TIME IN ANSWERING THIS QUESTIONNAIRE

YOUR CONTRIBUTION TO THIS DOCTORAL RESEARCH IS APPRECIATED

**Appendix Six:        Semi-Structured Interview Questions**


**EMPLOYEE PARTICIPATION IN THE MANAGEMENT OF
WORKPLACE CHANGE: A STUDY OF ORGANISATIONAL PRACTICES
IN AUSTRALIAN HIGHER EDUCATION**


**CONSENT FORM FOR PARTICIPANTS**

We would like to invite you to be a part of a study into the management of workplace change in the Australian Higher Education sector, and in particular attitudes towards organisational justice.

CERTIFICATION BY SUBJECT

I,       [Participant's Name]
Of      [Participant's Suburb]

certify that I am at least 18 years old and that I am voluntarily giving my consent to participate in the study:

*Employee Participation in the Management of Workplace Change: A Study of Organisational Practices in Australian Higher Education*

being conducted at Victoria University by Associate Professor Bernadine VanGramberg, Doctoral Supervisor, and Stephen Weller, Doctoral Student.

I certify that the objectives of the study, together with any risks and safeguards associated with the procedures listed hereunder to be carried out in the research, have been fully explained to me by:

Stephen Weller, Doctoral Student

and that I freely consent to participation involving the use on me of these procedures:

Confidential and anonymous taped interview

I certify that I have had the opportunity to have any questions answered and that I understand that I can withdraw from this study at any time and that this withdrawal will not jeopardise me in any way.

I have been informed that the information I provide will be kept confidential.


Signed:
Date:

Any queries about your participation in this project may be directed to the researcher
Associate Professor Bernadine VanGramberg, Head, School of Management, 03-9919-4489.

If you have any queries or complaints about the way you have been treated, you may contact the Secretary, Victoria University Human Research Ethics Committee, Victoria University, PO Box 14428, Melbourne, VIC, 8001 phone (03) 9919 4710

**EMPLOYEE PARTICIPATION IN THE MANAGEMENT OF WORKPLACE CHANGE:**
**A STUDY OF ORGANISATIONAL PRACTICES IN AUSTRALIAN HIGHER EDUCATION**

## INFORMATION SHEET FOR PARTICIPANTS

**Statement of project:**

The research will involve Focus Group Interviews with management and union representatives in the Australian Higher Education sector. The interviews will explore participant attitudes towards divergence between management and union representatives in attitudes towards organisational justice. The Project is being conducted at Victoria University by Associate Professor Bernadine VanGramberg, Doctoral Supervisor, and Stephen Weller, Doctoral Student.

**Nature of research:**

It is proposed to undertake Focus Group Interviews with twenty staff across the Australian Higher Education sector. Each interview is anticipated to be in the order of one hour duration. The interviews will explore participant attitudes towards divergence between management and union representatives in attitudes towards organisational justice.

**Date of commencement of project:**

It is proposed to undertake the interviews during the period July to August 2007. The total duration of the period of interviews is expected to be ten weeks.

**Number and type of participants:**

The twenty interview participants are members of University Senior Executives and University Staff Union Executives within the Australian Higher Education Sector. The initial source of the participants was the publicly available data, accessed from the Australian Vice-Chancellor's Committee Contacts website and the National Tertiary Education Union Contacts website. The twenty interview participants are a subset of the respondents to the Attitudinal Survey who gave their consent for a follow up interview.

**Confidentiality:**

The actual taped interviews and the transcribed notes will not at any time identify the name of the participant or their institution. The only information that will be used in reporting the responses of the respondents will be employment type and role type. In most instances the data will be aggregated to reflect the twenty responses with aggregation taking place at the level of role type and employment type.

**Contact:**

Any queries about your participation in this project may be directed to the researcher
Associate Professor Bernadine VanGramberg, Head, School of Management, 03-9919-4489

If you have any queries or complaints about the way you have been treated, you may contact the Secretary, Victoria University Human Research Ethics Committee, Victoria University, PO Box 14428, Melbourne, VIC, 8001 phone (03) 9919 4710

EMPLOYEE PARTICIPATION IN THE MANAGEMENT OF WORKPLACE CHANGE:
**A STUDY OF ORGANISATIONAL PRACTICES IN AUSTRALIAN HIGHER EDUCATION**

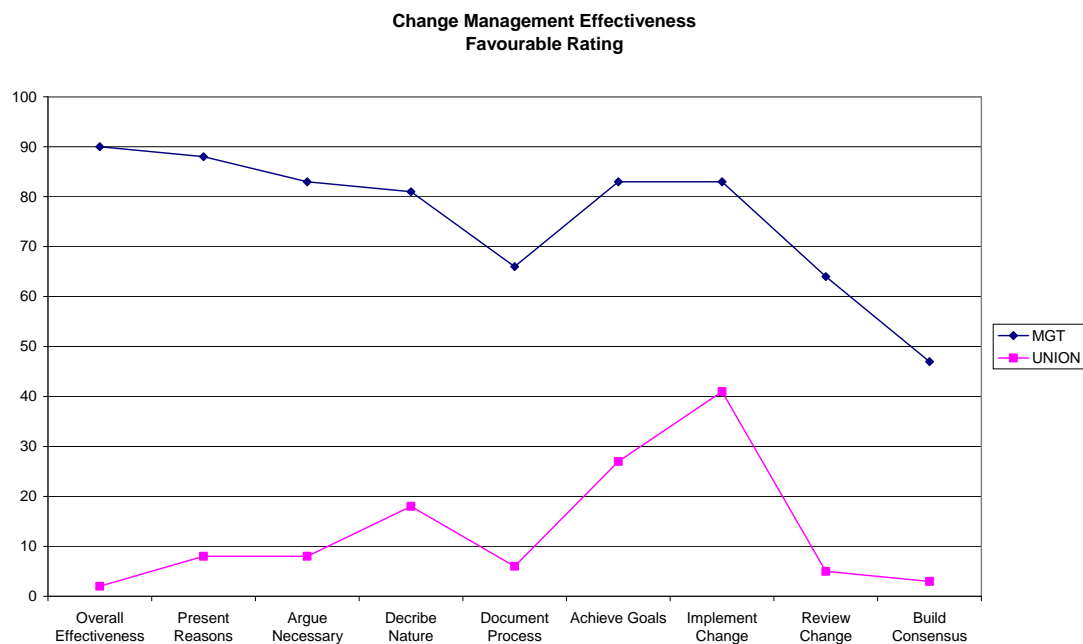**FOCUS GROUP INTERVIEW QUESTIONS**

WORKPLACE CHANGE

The responses to an Attitudinal Survey of management and union representatives found *divergence* in the views about the ability *facilitate workplace change.*

Eight dimensions of change management were identified as follows:
- Present reasons for the change
- Argue that the change was necessary
- Describe the nature of the change
- Document the change process
- Achieve the goals of the change
- Implement the change process
- Review the change process
- Build consensus around the change

In terms of overall effectiveness of the change management processes, management respondents were 90% favourable compared to union respondents who were 2% favourable.

**Change Management Effectiveness**
**Favourable Rating**



1. To what extent do you think this finding of divergence is an *accurate reflection* of the ability of Australian Higher Education to facilitate workplace change?

2. What do you think it suggests about the *effectiveness* of Australian Higher Education to facilitate workplace change?

3. Can you identify *organisational practices* that might lead to a greater convergence between management and union views around facilitating workplace change?

EMPLOYEE PARTICIPATION IN THE MANAGEMENT OF WORKPLACE CHANGE:
**A STUDY OF ORGANISATIONAL PRACTICES IN AUSTRALIAN HIGHER EDUCATION**

**FOCUS GROUP INTERVIEW QUESTIONS**

EMPLOYEE PARTICIPATION

The responses to an Attitudinal Survey of management and union representatives found *divergence* in the views about the ability to *foster employee participation.*

Eight dimensions of employee participation were identified as follows:
- There was no employee participation
- Employees were provided with information on the change
- Employees were provided with information before a final decision was made
- Employees had the right to comment on the change
- Employee consultation was an obligatory part of the change process
- Employees were joint decision makers in the change management process
- Employees had complete participation in the change management process

Most management representatives indicated the degree of employee participation was Obligatory Consultation (63%) compared to the majority union response of Provision of Information (32%).

**DEGREE OF EMPLOYEE PARTICIPATION**
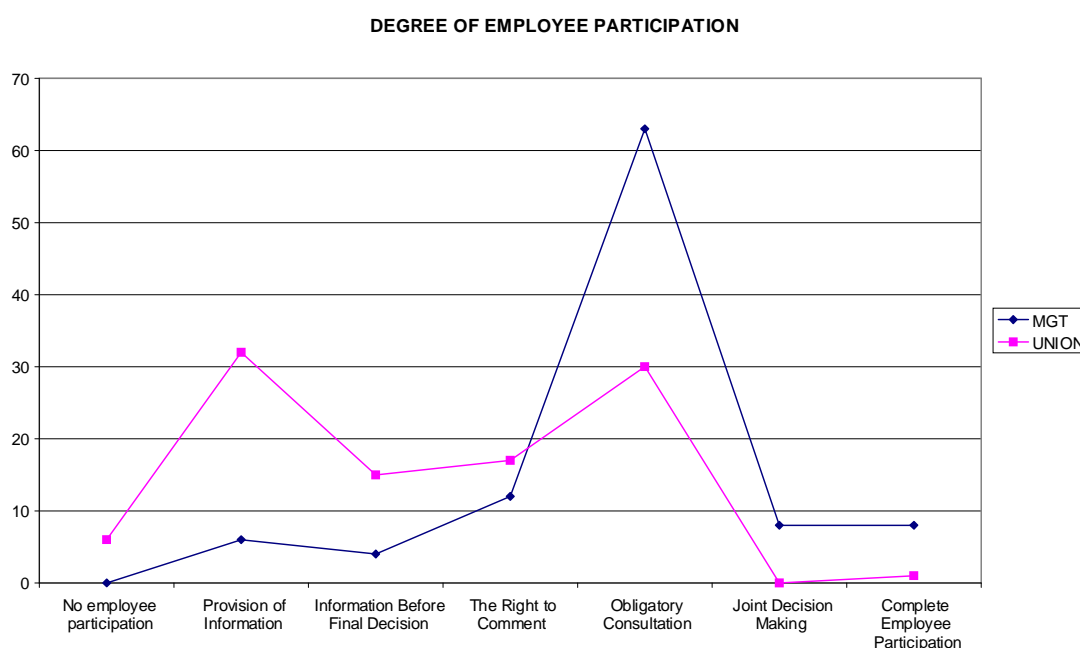


4.  To what extent do you think this finding of divergence is an *accurate reflection* of the ability of Australian Higher Education to foster employee participation?

5.  What do you think it suggests about the *effectiveness* of Australian Higher Education to foster employee participation?

6.  Can you identify *organisational practices* that might lead to a greater convergence between management and union views around fostering employee participation?

EMPLOYEE PARTICIPATION IN THE MANAGEMENT OF WORKPLACE CHANGE:
**A STUDY OF ORGANISATIONAL PRACTICES IN AUSTRALIAN HIGHER EDUCATION**

**FOCUS GROUP INTERVIEW QUESTIONS**

DISTRIBUTIVE JUSTICE: PERCEIVED FAIRNESS OF THE OUTCOMES

The responses to an Attitudinal Survey of management and union representatives found *divergence* about the ability of workplace change processes to *provide distributive justice.*

Five dimensions of distributive justice were identified as follows:
- The final decision was based on merit
- The decision impacted equally on all participants
- The needs of the organisation were considered
- The needs of the participants were considered
- Appropriate compensation was provided for adverse decisions

In terms of overall perceptions of the fairness of the outcomes of workplace change, 78% of management respondents were favourable compared to only 4% of union respondents.

**DISTRIBUTIVE JUSTICE FAVOURABLE RATING**
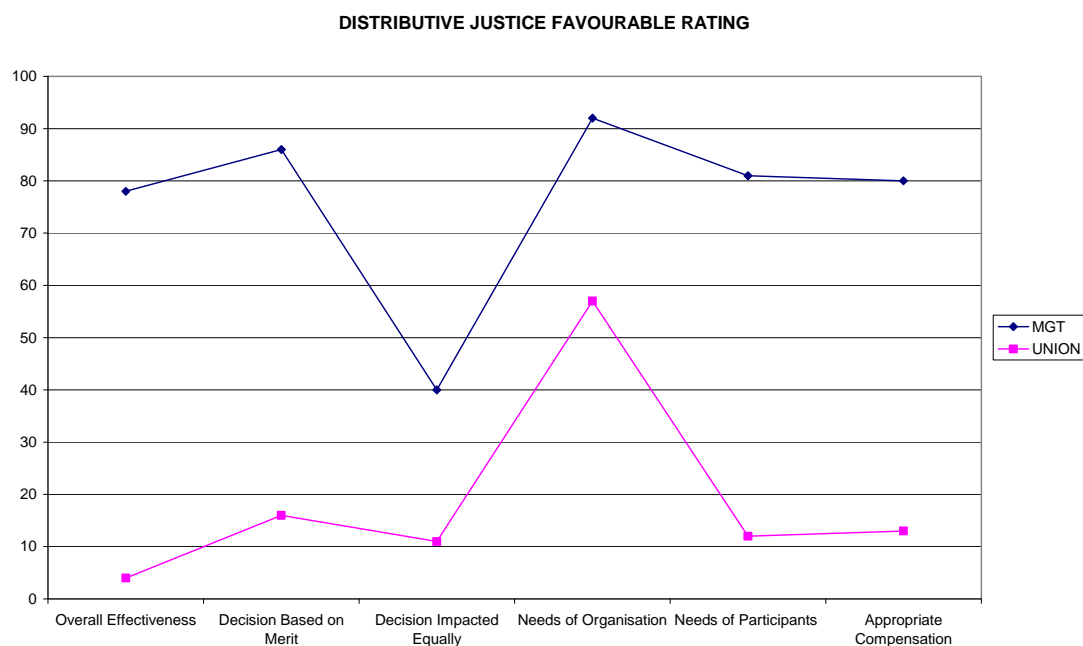


7. To what extent do you think this finding of divergence is an *accurate reflection* of the state of distributive justice in Australian Higher Education workplace change processes?

8. For each of the distributive justice dimensions, *how would you rate* them (high or low) in regards to their capacity to facilitate organisational efficiency and foster employee involvement?

9. Can you identify *organisational practices* in relation to workplace change that might lead to greater convergence between management and union views around distributive justice?

EMPLOYEE PARTICIPATION IN THE MANAGEMENT OF WORKPLACE CHANGE:
**A STUDY OF ORGANISATIONAL PRACTICES IN AUSTRALIAN HIGHER EDUCATION**

**FOCUS GROUP INTERVIEW QUESTIONS**

PROCEDURAL JUSTICE: PERCEIVED FAIRNESS OF THE PROCESS

The responses to an Attitudinal Survey of management and union representatives found *divergence* in the views about the ability of workplace change to *provide procedural justice.*

Six dimensions of procedural justice were identified as follows:
- Decisions were made consistently
- Decision making processes were impartial
- Decisions were based on accurate information
- Opportunities were provided to employees to have input
- Compatibility of the process with organisational ethics and values
- Appropriate mechanisms to appeal the decision

In terms of overall perceptions of the fairness of the process of workplace change, 91% of management respondents were favourable compared to only 6% of union respondents.

**PROCEDURAL JUSTICE FAVOURABLE RATING**
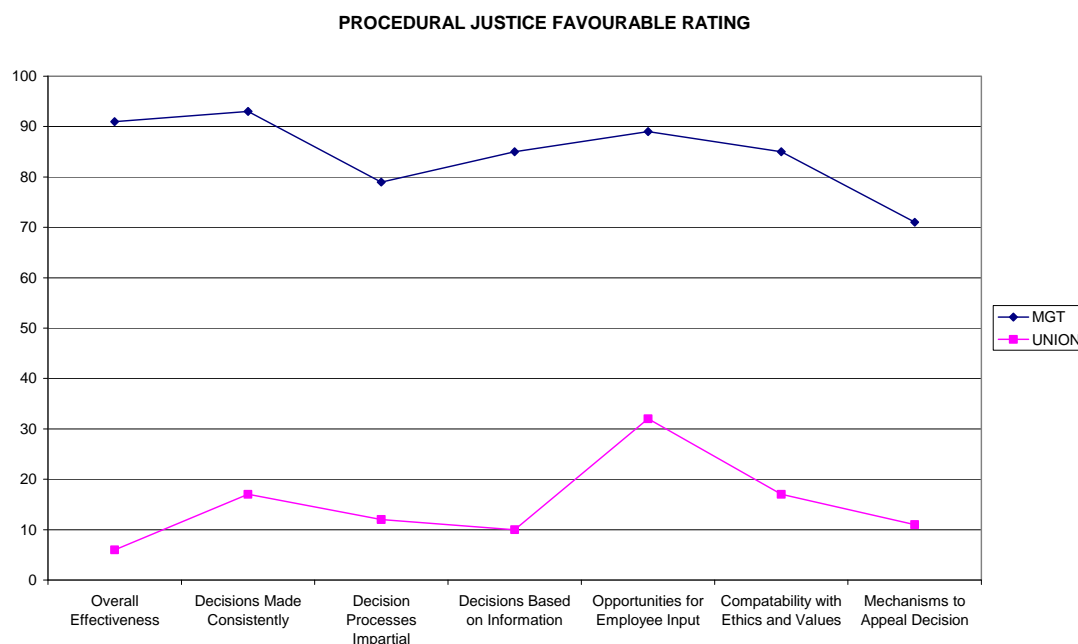


10. To what extent do you think this finding of divergence is an *accurate reflection* of the state of procedural justice in Australian Higher Education workplace change processes?

11. For each of the procedural justice dimensions, *how would you rate* them (high or low) in regards to their capacity to facilitate organisational efficiency and foster employee involvement?

12. Can you identify *organisational practices* in relation to workplace change that might lead to greater convergence between management and union views around procedural justice?

EMPLOYEE PARTICIPATION IN THE MANAGEMENT OF WORKPLACE CHANGE:
**A STUDY OF ORGANISATIONAL PRACTICES IN AUSTRALIAN HIGHER EDUCATION**

**FOCUS GROUP INTERVIEW QUESTIONS**
INTERACTIONAL JUSTICE: PERCEIVED FAIRNESS OF INTERPERSONAL
TREATMENT

The responses to an Attitudinal Survey of management and union representatives found *divergence* in the views about the ability of workplace change to *provide interactional justice.*

Six dimensions of interactional justice were identified as follows:
- There was honesty in the decision making process
- Staff were treated courteously during the process
- Staff had their rights respected during the process
- The decision making process was devoid of prejudice
- Decisions that were made were appropriately justified
- Decisions that were made were communicated transparently

In terms of overall perceptions of the fairness of interpersonal treatment of workplace change, 89% of management respondents were favourable compared to only 9% of union respondents

**INTERACTIONAL JUSTICE FAVOURABLE RATING**
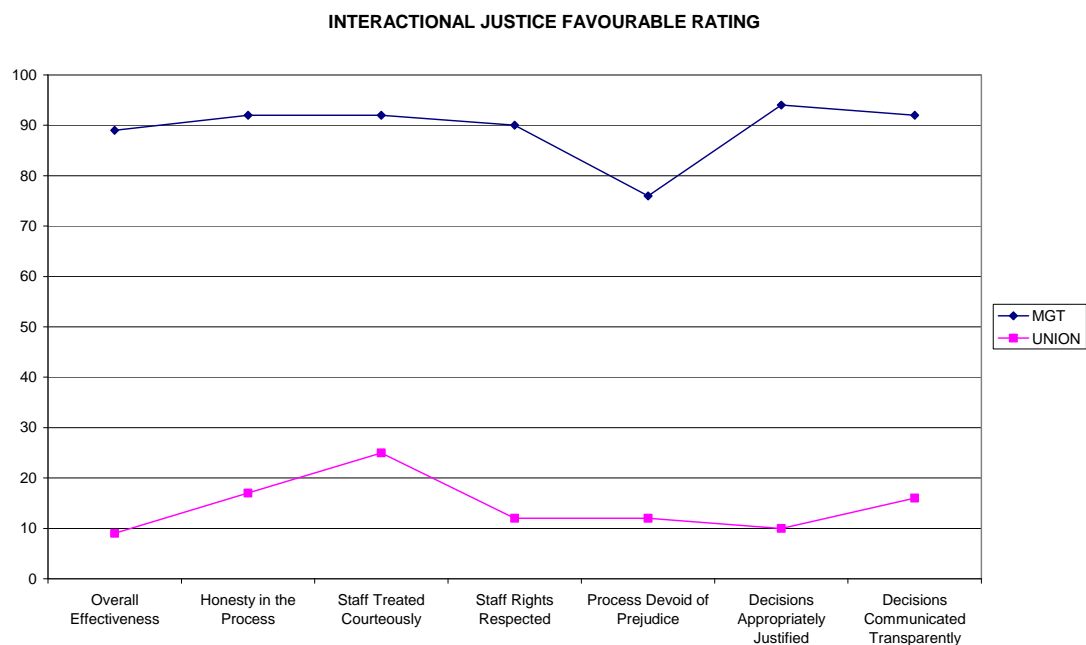


13. To what extent do you think this finding of divergence is an *accurate reflection* of the state of interactional justice in Australian Higher Education workplace change processes?

14. For each of the interactional justice dimensions, *how would you rate* them (high or low) in regards to their capacity to facilitate organisational efficiency and foster employee involvement?

15. Can you identify *organisational practices* in relation to workplace change that might lead to greater convergence between management and union views around interactional justice?

# Appendix Seven:   Change and Participation Matrix

| HIGH CHANGE & LOW PART. | AM | GM | AU | GU | TOT |
|---|---|---|---|---|---|
| **DISTRIBUTIVE JUSTICE** | | | | | |
| The final decision based on merit | 2 | | | 1 | **3** |
| The decision impacted equally | 1 | 1 | 2 | | **4** |
| The needs of the organisation considered | 2 | 3 | 1 | 2 | **8** |
| The needs of the participants considered | | | | | |
| Appropriate compensation | 2 | | | 1 | **3** |
| **PROCEDURAL JUSTICE** | | | | | |
| Decisions were made consistently | 1 | | 1 | | **2** |
| Decision making processes were impartial | 1 | | | | **1** |
| Decisions based on accurate information | 2 | | 1 | | **3** |
| Opportunities for employee input | 1 | | | | **1** |
| Compatibility with ethics and values | | | | 1 | **1** |
| Appropriate mechanisms to appeal | | | 2 | 1 | **3** |
| **INTERACTIONAL JUSTICE** | | | | | |
| Honesty in the decision making process | 2 | 1 | | | **3** |
| Staff were treated courteously | 2 | | | | **2** |
| Staff had their rights respected | | | 1 | | **1** |
| Decision making devoid of prejudice | 1 | | 1 | | **2** |
| Decisions appropriately justified | | | | | |
| Decisions communicated transparently | 1 | | | | **1** |
| **TOT** | **18** | **5** | **9** | **6** | **38** |

| HIGH CHANGE & AND HIGH PART. | AM | GM | AU | GU | TOT |
|---|---|---|---|---|---|
| **DISTRIBUTIVE JUSTICE** | | | | | |
| The final decision based on merit | 2 | 3 | 5 | 3 | **13** |
| The decision impacted equally | 1 | 2 | 3 | 2 | **8** |
| The needs of the organisation considered | | 2 | 3 | 2 | **7** |
| The needs of the participants considered | 3 | | 3 | 2 | **8** |
| Appropriate compensation | 3 | 1 | 3 | 2 | **9** |
| **PROCEDURAL JUSTICE** | | | | | |
| Decisions were made consistently | 3 | 3 | 3 | 5 | **14** |
| Decision making processes were impartial | 3 | 5 | 4 | 4 | **16** |
| Decisions based on accurate information | 2 | 5 | 3 | 5 | **15** |
| Opportunities for employee input | 4 | 5 | 4 | 5 | **18** |
| Compatibility with ethics and values | | 5 | 2 | | **7** |
| Appropriate mechanisms to appeal | 2 | 2 | | 2 | **6** |
| **INTERACTIONAL JUSTICE** | | | | | |
| Honesty in the decision making process | 2 | 4 | 5 | 4 | **15** |
| Staff were treated courteously | 3 | 5 | 4 | 3 | **15** |
| Staff had their rights respected | 2 | 5 | 3 | 4 | **14** |
| Decision making devoid of prejudice | 3 | 3 | 3 | 3 | **12** |
| Decisions appropriately justified | 2 | 2 | 5 | 5 | **14** |
| Decisions communicated transparently | 4 | 4 | 4 | 4 | **16** |
| **TOT** | **39** | **56** | **57** | **55** | **207** |

| LOW CHANGE & LOW PART. | AM | GM | AU | GU | TOT |
|---|---|---|---|---|---|
| **DISTRIBUTIVE JUSTICE** | | | | | |
| The final decision based on merit | | | | | |
| The decision impacted equally | 1 | 2 | | 3 | **6** |
| The needs of the organisation considered | 3 | | 1 | 1 | **5** |
| The needs of the participants considered | 1 | 1 | | 1 | **3** |
| Appropriate compensation | | | 1 | 2 | **3** |
| **PROCEDURAL JUSTICE** | | | | | |
| Decisions were made consistently | 1 | | | | **1** |
| Decision making processes were impartial | 1 | | | 1 | **2** |
| Decisions based on accurate information | | | 1 | | **1** |
| Opportunities for employee input | | | | | |
| Compatibility with ethics and values | 4 | | 2 | 4 | **10** |
| Appropriate mechanisms to appeal | 2 | 2 | | 3 | **7** |
| **INTERACTIONAL JUSTICE** | | | | | |
| Honesty in the decision making process | | | | | |
| Staff were treated courteously | | | | | |
| Staff had their rights respected | 2 | | | | **2** |
| Decision making devoid of prejudice | | 1 | | 2 | **3** |
| Decisions appropriately justified | 1 | 2 | | | **3** |
| Decisions communicated transparently | | | | | |
| **TOT** | **16** | **8** | **5** | **17** | **46** |

| LOW CHANGE & HIGH PART. | AM | GM | AU | GU | TOT |
|---|---|---|---|---|---|
| **DISTRIBUTIVE JUSTICE** | | | | | |
| The final decision based on merit | 1 | 2 | | 1 | **4** |
| The decision impacted equally | 2 | | | | **2** |
| The needs of the organisation considered | | | | | |
| The needs of the participants considered | 1 | 4 | 2 | 2 | **9** |
| Appropriate compensation | | 4 | 1 | | **5** |
| **PROCEDURAL JUSTICE** | | | | | |
| Decisions were made consistently | | 2 | 1 | | **3** |
| Decision making processes were impartial | | | 1 | | **1** |
| Decisions based on accurate information | 1 | | | | **1** |
| Opportunities for employee input | | | 1 | | **1** |
| Compatibility with ethics and values | 1 | | 1 | | **2** |
| Appropriate mechanisms to appeal | 1 | 1 | 3 | | **5** |
| **INTERACTIONAL JUSTICE** | | | | | |
| Honesty in the decision making process | 1 | | | | **1** |
| Staff were treated courteously | | | 1 | 2 | **3** |
| Staff had their rights respected | | | 1 | 2 | **3** |
| Decision making devoid of prejudice | 2 | 1 | 1 | | **4** |
| Decisions appropriately justified | 1 | 1 | | | **2** |
| Decisions communicated transparently | | 1 | 1 | 1 | **3** |
| **TOT** | **11** | **16** | **14** | **8** | **49** |