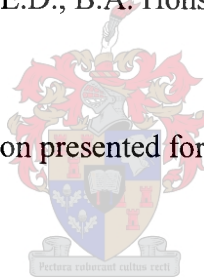# SOUTH AFRICAN HIGHER EDUCATION INSTITUTIONS AS LEARNING ORGANISATIONS: A LEADERSHIP PROCESS MODEL

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(B.A., U.E.D., B.A. Hons., M.Phil.)

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UNIVERSITY OF STELLENBOSCH

Promoter: Prof. C.A. Kapp (D.Ed)
Co-promoter: Prof. E.M. Bitzer (D.Ed)

September 2002

DECLARATION

I the undersigned, hereby declare that the work contained in this dissertation is my own original work and that I have not previously in its entirety or in part submitted it at any university for a degree.

Signature   Date

ABSTRACT

Reform is one of the most controversial elements in higher education and has therefore attracted much attention from within the academic community and from outside. The present higher education scene is characterised by demands for transformation and change, not only in South Africa but in Africa and the developed countries as well. The pressures and demands for change come from outside the field of higher education as well as from within. Some countries have been involved in the process of change and transformation for a period of over thirty years, while others have just embarked on the route or still have to start the change process.

The post-apartheid era has marked an era of profound change for South African higher education institutions with concomitant legislation to ensure the change process. If effective and successful transformation of higher education institutions and systems can take place in South Africa with new models of transformation and the effective integration of cultures and openness to change at all institutional levels, these models could be instructive not only to Africa but also to the rest of the world and to academic life universally. However, the demands for change worldwide indicates not only towards new legislation but also towards flexible approaches and new forms of institutional structures and leadership to accommodate the significant, rapid and fundamental changes taking place in higher education and the realisation that institutions of the future will be different from those of the past and the present.

In this study the influence of organisational models are used to establish a conceptual framework towards the development of learning organisations. The study reflects on how these new types of organisations will influence higher education institutions as organisations. It also considers what will be expected of higher education institutions to become learning organisations. Learning organisations have special qualities and higher education institutions or teaching institutions do not automatically qualify as learning organisations. The promise of the new millennium provides the higher education

community with the opportunity to take stock of their position and to find out if they possess the necessary skills and have the enabling structures to accommodate a new world. Becoming a learning organisation involves more than a paradigm shift for higher education institutions. It requires a revolution, a quantum leap towards individual recognition and growth, leadership development and empowerment and institutional learning. The Academic 'Process Leadership' Super structure provides the space, structure and process for higher education organisations to re-organise and re-create itself to fit the demands of a new world.

An analysis of leadership, leadership development and institutional change in higher education institutions brought to the fore that these institutions have not been effective in providing programmes that develop leaders because they simply do not know what is necessary for effective leadership development. Institutions do not have an in-depth understanding of leadership and they have not enculturated leadership development as a core aspect and activity in higher education institutions. There is grave concern regarding the development of 'soft' people skills. The qualitative research investigation into the process of change towards learning organisations in higher education institutions indicate that there are profound problems in the areas of leadership, leadership development, people management and satisfaction, knowledge management and learning dynamics. These areas form the core aspects within the new structures, that of learning organisations.

The insights gained from the process analysis of five higher education institutions indicate that the implementation of the academic leadership model as described in the study will provide individual leaders with the necessary leadership skills to fulfill their roles in the recreated empowered institutions. This process of leadership development, as indicated in the study, could enable institutions to become learning organisations.

OPSOMMING

Die huidige konteks van hoër onderwys dui daarop dat verandering een van die belangrikste, maar ook mees kontroversiële aspekte aangaande dié studieveld is. Die hoëronderwysomgewing asook hoëronderwysinstellings verkeer onder geweldige druk van beide binne en buite die akademiese gemeenskap om te verander.

'n Analise van die huidige stand van sake en konteks van hoëronderwysinstellings dui daarop dat verandering nie net in Suid-Afrika 'n faktor is en baie aandag geniet nie, maar dat Afrika sowel as die ontwikkelde lande ook onder geweldige druk verkeer om te transformeer. Sommige lande is al vir meer as dertig jaar betrokke by die proses van verandering. Dit wil egter voorkom dat sommige van die ander lande óf nog glad nie begin het nie óf pas begin het met die proses van verandering en transformasie.

Die tydperk ná 1994 en die oorgang na 'n nuwe demokratiese regering in Suid-Afrika was ook die begin van dramatiese verandering in die Suid-Afrikaanse hoëronderwysomgewing. Die kwessie van verandering is nie net in sekere nasionale beleidsdokumente aangespreek nie, maar ook in meegaande wetgewing. Indien Suid-Afrikaanse hoëronderwysinstellings in staat sou wees om nuwe modelle te kan akkommodeer en te kan verwesenlik terwyl hulle besig is met die transformasie- en veranderingsproses, kan hierdie modelle van nut en van waarde wees, nie net vir Afrika nie, maar ook vir die ontwikkelde wêreld en die internasionale hoëronderwysgemeenskap.

Nuwe strukture en modelle kan ongelukkig nie net deur wetgewing daargestel word nie. Instellings sal toeganklik moet wees vir moontlike nuwe vorms van leierskap, leierskapsontwikkeling en die konsep van veranderde strukture om sodoende te kan aanpas by die eise van 'n voortdurend veranderende wêreld en die geweldige impak wat verandering op hoëronderwysinstellings het. Hoëronderwysinstellings sal moet besef dat instansies wat op die toekoms gerig word nie kan vashou aan ou uitgediende

modelle nie. Toekomsgerigte modelle verskil van die huidige vorms, sowel as die van die verlede.

Die invloed van organisasiemodelle op hoëronderwysinstellings verskaf konseptuele verwysingsraamwerke vir die ontwikkeling van nuwe begrippe en konsepte. Dié konsepte help om rigting aan te dui en te bepaal wat van instansies verwag word om sodoende te kan verander na lerende organisasies. Dit is belangrik om kennis te neem dat lerende organisasies spesifieke eienskappe het en dat hoëronderwysinstellings nie sonder meer gereken en geklassifiseer kan word as lerende organisasies nie. Hierdie nuwe vorm van organisasiestruktuur sal 'n fundamentele invloed hê op institusionele prosesse asook op die manier waarop instellings in die toekoms bedryf sal word. In die nuwe millennium sal hierdie paradigmaskuif die geleentheid aan hoëronderwysinstellings voorsien om nie net revolusionêr te verander nie maar ook om 'n kwantumsprong te maak na die belangrike mens- en leervaardighede. Hierdie vaardighede is nie net noodsaaklik vir die ontwikkeling om 'n lerende organisasie te word nie, dit maak ook die kern uit van hierdie nuwe organisasies.

Die proses van akademiese leierskap en leierskapsontwikkeling, soos wat voorgestel word in die model van die Akademiese Leierskapsproses Superstruktuur sal aan instellings die geleentheid bied om die noodsaaklike leierskapsvaardighede te ontwikkel. Dit sal ook die kreatiewe en innoverende omgewing skep wat dit vir hierdie soort organisasie struktuur moontlik sal maak om nuut te kan ontwikkel en sodoende in staat sal stel om te kan herorganiseer binne 'n konteks van groter aanpasbaarheid.

Hierdie kwalitatiewe studie en navorsingsanalise ten opsigte van leierskap, leierskapsontwikkeling en die proses van verandering en transformasie het aangedui dat hoëronderwysinstellings in Suid-Afrika nie effektief ontwikkel ten einde lerende organisasies te word nie. Die ondersoek dui daarop dat instellings nie die onderliggende elemente van die begrip "leierskap" verstaan nie. Leierskap en leierskapsontwikkeling maak tans nie deel uit van die huidige institusionele kultuur nie.

Die studie het verder aangedui dat instansies nie voldoende aandag gee aan die belangrike en kernelemente van 'n lerende organisasie nie. Die kernelemente is leierskap, leierskapsontwikkeling, menslikehulpbronbestuur (*people management*) en die bevrediging wat individue put uit hulle werk (*people satisfaction*), kennisbestuur (*knowledge management*) en leerdinamiek (*learning dynamics*). Die tekortkominge van hierdie elemente wek groot kommer en drastiese aandag sal daaraan gegee moet word.

Die insig wat verkry is uit die studie en die proses evaluering van die vyf hoëronderwysinstellings dui daarop dat indien hierdie instellings die akademiese leierskapsmodel soos aangedui in die studie sou implimenteer, sou individue die geleentheid gebied word om as individuele leiers te ontwikkel. Dit sal aan instellings die geleentheid bied om nuwe strukture te skep om sodoende te kan voldoen aan die vereistes van 'n lerende organisasie.

Until one is committed,

there is hesitancy, the chance to draw back,

always ineffectiveness.

Concerning acts of initiative (and concern)

There is one elementary truth

the ignorance of which kills countless ideas

And splendid plans:

That the moment one definitely commits oneself

then Providence moves too.

All sorts of things occur to one

That would never otherwise have occurred.

A whole stream of events, issues from the decision,

raising in one's favour all manner of unforeseen incidents and meetings

and material assistance

which no man could have dreamt

would come his way.

Whatever you can do, or dream you can, begin it.

Boldness has genius, power and magic in it.

Begin it now.

[Goethe, in Gibson, 2001:308]

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Dedicated to

my family for their patience, support and understanding.

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- God, Almighty - Ps. 138:3 and Ps. 107:30.

In the day when I cried out, You answered me, and made me bold with strength in my soul. Then (I was) glad because (I was) quiet; So He guided (me) to (my) desired haven.	Die dag toe ek geroep het, het U my verhoor, my moedig gemaak met krag in my siel. Toe was (ek) bly, omdat dit rustig geword het, en Hy het (my) gelei na die hawe van (my) begeerte.
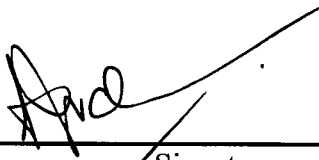
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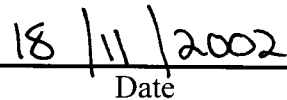
DECLARATION

I the undersigned, hereby declare that PAUL BENEKE has edited the language and layout contained in this dissertation.

_____
Signature

_____18_/11_/2002____
Date

STRUCTURE OF STUDY

SOUTH AFRICAN HIGHER EDUCATION INSTITUTIONS AS LEARNING ORGANISATIONS: A LEADERSHIP PROCESS MODEL

STUDY OF HIGHER EDUCATION TRANSFORMATION AND CHANGE

STUDY OF ORGANISATIONAL TRANSFORMATION AND CHANGE

ACADEMIC LEADERSHIIP AND LEARNING ORGANISATIONS

International Perspective

South Africa and Developing Countries
↓
Focussing on Africa

Organisational Theory

Higher Education Institutions as Organisations

Higher Education Institutions as Learning Organisations

Model Analysis

* Strategy for Change
* Leadership
  - Institutional
  - Individual
  - Administrative
* Learning Organisations

Methodological and Theoretical Framework

Qualitative Research Design
↓
Process Evaluation of Five Institutions

Results and Discussion

....

Conclusions and Recommendations

EXTERNAL ENVIRONMENT

ORGANISATIONAL ENVIRONMENT

INSTITUTIONAL ENVIRONMENT

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LIST OF ACRONYMS AND ABREVIATIONS

CHE	Council on Higher Education
CODESRIA	Council for the Development of Social Science Research in Africa
DoE	Department of Education
DOE	Department of Education
EFQM	European Foundation for Quality Management
EU	European Union
FET	Further Education and Training
HA	Historical Afrikaans Institution
HAI	Historical Advantaged Institution
HBI	Historical Black Institution
HDI	Historical Disadvantaged Institution
HE	Historical English Institution
MbO	Management by Objectives
MOE	Ministry of Education
NCHE	National Commission on Higher Education
NRF	National Research Fund
NQF	National Qualifications Framework
OECD	Organisation for Economic Co-operation and Development
RSA	Republic of South Africa
TQM	Total Quality Management
UK	United Kingdom
UNESCO	United Nations Educational, Scientific and Cultural Organisation
U.S.	United States
US	University of Stellenbosch
USSR	Union of Socialist Soviet Republics

COLOUR LEGEND

■	Institutional Leadership
■	Individual Leadership
■	Administrative Leadership and Management processes
■	Transformed institutional structure/ring/casing
■	Leadership empowerment structure
■	Institutional culture
■	Core role of academic leaders
■	Top management/level
■	Middle management/level
■	Ground level
☐	Institution A
☐	Institution B
■	Institution C
☐	Institution D
▦	Institution E
■	Average
■	Areas of concern (lowest value judgment)
☐	Areas with highest value judgment

If you can't imagine the future,

you can't possibly create it.

And if you can't create it

you probably won't be around to enjoy it.

Cotter, 1995:91.

CHAPTER 1 - OVERVIEW

ORIENTATION TOWARDS THE STUDY

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CHAPTER 1

ORIENTATION TOWARDS THE STUDY

1.1　　INTRODUCTION

Higher education in general and in South Africa in particular is experiencing challenging and turbulent times. In South Africa higher education institutions have entered a period that will fundamentally transform what they do and how they do it. The re-examination and restructuring of education at all levels are a logical consequence and sequel to the introduction of a new political dispensation and the transition from apartheid to democracy (Fourie, 1996:1).

The Education White Paper 3 (RSA DOE, 1997a:1) indicates: "South Africa's transformation from apartheid and minority rule to democracy requires that all existing practices, institutions and values are viewed anew and rethought in terms of their fitness for the new era". According to Figaji (1997:286) the vision for higher education transformation needs the total attention of leaders in higher education if they are to respond to the many forces for change. Higher education institutions will need the type of leadership, which can make a shift towards transformation and change and who can think newly and differently about their task as institutions of higher learning (Van der Westhuizen, 1998:2). These fundamental principles of change as indicated in the initial change documentation form the backbone of the directions and implementation timeframes as indicated in the new documentation (RSA DoE, 2001 RSA; MOE, 2001; CHE, 2000).

To be able to meet these principles and timeframes and be relevant and competitive internationally, institutions will continually need to expand their capacity to create the future. Institutions, which are able to capture all these forces of change, and systematically synergise them, will be those who will be able to make quantum leaps up the transformation ladder to the next stage "… that of becoming learning organisations" (Senge, 1990:14).

1.2   BACKGROUND TO THE PROBLEM

"Learning organisations represent a potentially significant evolution/revolution of (institutional) culture. So it should come as no surprise that such organisations will remain a distant vision until leadership capabilities they demand are developed" (Senge, 1996:311). Senge indicates further that this "new" sort of leadership development focuses on the roles, skills and tools for leadership in learning organisations.

Bennis (1993:15) argues that participants in these new institutions will have to use their minds more than ever before. "Fantasy and imagination will be legitimized in ways that today seem strange. Social structures will no longer be instruments of repression... but will exist to promote play and freedom on behalf of curiosity and thought".

People are attracted to a future full of possibilities and meaning begins to flow when we have committed to the (that) future. To be able to make the future happen we need a fundamental shift, and creative leadership in the way we think about the world, our understanding of relationships and the nature of our commitments (Jaworski, 1996:183-185). Institutions will find it hard to survive and flourish in the twenty first century unless individuals have learned to take active responsibility for their own behaviour, develop and share quality information and make use of empowerment to shape lasting solutions to fundamental problems (Argyris cited by Taylor, 1997:337).

The researcher has experienced the problems of transformation and change in her previous work place (a historical disadvantaged institution) as well as the need for effective and efficient academic and institutional leadership. This experience, as well as the demand for change as indicated in all the transformation papers and documents dealing with higher education change in South Africa (RSA, 1997; RSA DOE, 1997a; RSA DOE, 1996; NCHE, 1996) formed the background for the researcher to develop a model for academic leadership and transformation towards a learning organisation (Van der Westhuizen, 1998).

The model focuses on an interconnected and integrated process of institutional, individual and administrative leadership in higher education institutions in South Africa

(Van der Westhuizen, 1998:158-160). The three structures of leadership evolve and interact around the core leadership axis, an inner institutional culture ring that form the profile and scope for higher education institutions to transform towards and to become learning organisations (Van der Westhuizen, 1998:168-171). The process takes place within the environment and re-enforcement of the strategy for institutional transformation as described by Fourie (1996:289) (Van der Westhuizen, 1998:117-126).

The need and purpose of the study is, therefore, to use the dimensions and scope of the model: "The Dynamic Academic Leadership Structure" and the "Academic 'Process Leadership' Super Structure" (Van der Westhuizen, 1998:160-161) to evaluate and analyse the process of transformation and change towards learning organisations in higher education institutions in South Africa.

1.3   THE PURPOSE OF THE STUDY

1.3.1   Statement of the problem

"Traditionally higher education institutions have been slow to adapt to change. The demands for access and the transformation of higher education institutions have made it an imperative to accommodate change and to learn fast to adapt to change, to be of any significance in higher education in the twenty first century" (Van der Westhuizen, 1998:176).

The purpose of the study is to use the model: Academic leadership for transformation and change towards learning organisations (Van der Westhuizen, 1998) and more specifically "The Dynamic Academic Leadership Structure" and the "Academic 'Process Leadership' Super Structure" (Van der Westhuizen, 1998:160-161) to determine, evaluate and analyse the process of transformation and change, leadership and leadership development in higher education institutions in South Africa.

1.3.2   Sub-problems

The underlying aspects of the problem statement are described as the following sub-problems integrated in the dimensions and scope of the model for academic leadership towards a learning organisation as described by Van der Westhuizen (1998:116-173).

- Investigate leadership and leadership development in higher education institutions in South Africa.

- Evaluate and analyse the level of leadership development and transformation towards learning organisations in higher education institutions in South Africa in the areas (substructures) of:

  ° Institutional leadership,
  ° Individual leadership, and
  ° Administrative leadership.

1.3.3   The study

The aim in the development of the model: Academic leadership for transformation and change towards learning organisations, was to provide a synchronised model of alignment for academic leadership to be able to institutionalise and inculturate (Lancy, 1993:36) as well as manage the planned and structured changes to provide legitimate power and empowerment where purpose, vision and commitment to outcomes are jointly shared. This will provide a structure and enable higher education institutions to develop the special leadership skills and roles that institutions will need and implement creatively to suit the needs of institutions of higher learning (Van der Westhuizen, 1998:2).

The purpose and aim of this study is therefore, to analyse and evaluate the process of leadership and leadership development in the changing environment of higher education to accommodate the demands from stakeholders inside and outside the institutions and a futuristic oriented world. The scope and dimensions of the Academic Leadership model provided the criterion for evaluation of the change process in higher education institutions in South Africa. In order to accomplish this outcome, the following steps were followed:

- The researcher provided perspectives of change and the challenge for leadership development in higher education in South Africa as well as the developing countries, focusing on higher education in Africa. She also looked into, and discussed the international change and transformation debate with the main focus on what is happening in developed countries.

- An overview and conceptual framework of the development in organisation theory and research have been given to provide a background to higher education institutions as organisations and the development of the concept of learning organisations.

- The model for Academic Leadership and more specific the "Academic 'Process Leadership' Super structure" and the "Empowered Institution" (Van der Westhuizen, 1998:161;173), have been analysed and discussed by the researcher as an important building block of the study to provide a framework, better understanding and to incorporate new insight on the aspects of leadership, leadership development and the change of higher education institutions towards learning organisations. New insights and understanding has been used to extend and provide further dimensions to the Academic Leadership model.

- The researcher has grounded her understanding of knowledge, the world, and the individual in the world in the authority of theoretical tradition to provide a framework for the choice of research design.

- A qualitative investigation was done to evaluate the process of leadership, leadership development and transformation and change towards learning organisations at selected higher education institutions in South Africa.

1.4 RESEARCH DESIGN AND METHODOLOGY

The nature of scientific knowledge is, according to Babbie and Mouton (2001: xxiii;7;14), observing natural human activity and trying to interpret what we are observing as the foundation of our survival, thus indicating that scientists select phenomena from our everyday life (pragmatic world) and " 'make' these into objects of systematic and methodical inquiry" (epistemic interest). Mouton (1996:24), finds it useful to compare scientific research to a journey where a person undertakes a journey with a specific purpose in mind to reach a specific destination. Marshall and Rosssman

(1989:21) however, deliberate that social research is a "process of trying to gain a better understanding of the complexities of human interaction. Through systematic means, the researcher gathers information about interactions, reflects on their meaning, arrives at and evaluates conclusions, and eventually puts forward an interpretation of those interactions".

To be able to embark on this journey there are four epistemological questions one is confronted with:

- "What **methods** do we propose to use?" **Methods** indicate therefore, "the techniques or procedures used to gather and analyse data" related to the study.

- "What **methodology** governs our choice and use of the methods?" The **methodology** indicates "the strategy, plan of action, process or design lying behind the choice and use of particular methods and linking the choice and use of methods to the desired outcomes".

- "What **theoretical** perspective lies behind the methodology in question?" The **theoretical perspective** indicates the "philosophical stance informing the methodology and thus providing a context for the process and grounding its logic and criteria".

- "What **epistemology** informs this theoretical perspective?" The epistemology is the "theory of knowledge embedded in the theoretical perspective and thereby in the methodology" (Crotty, 1998:2-9).

This study aims to produce knowledge on institutional leadership, individual leadership and higher education institutions as learning organisation, in order to provide guidelines regarding leadership and leadership development as well as institutional learning and coping with change. The researcher has used the schematic presentation of Zuber-Skerritt (1995:16-17; 1998:133-134) to provide a theoretical framework (Figure 1.1) to answer the questions as indicated by Crotty (1998) and to provide the pillars of the scientific understanding and knowledge informing this scientific "journey".

The researcher has used a comprehensive review of the literature in three main fields of study to conceptualise a framework and develop and construct the model: Academic
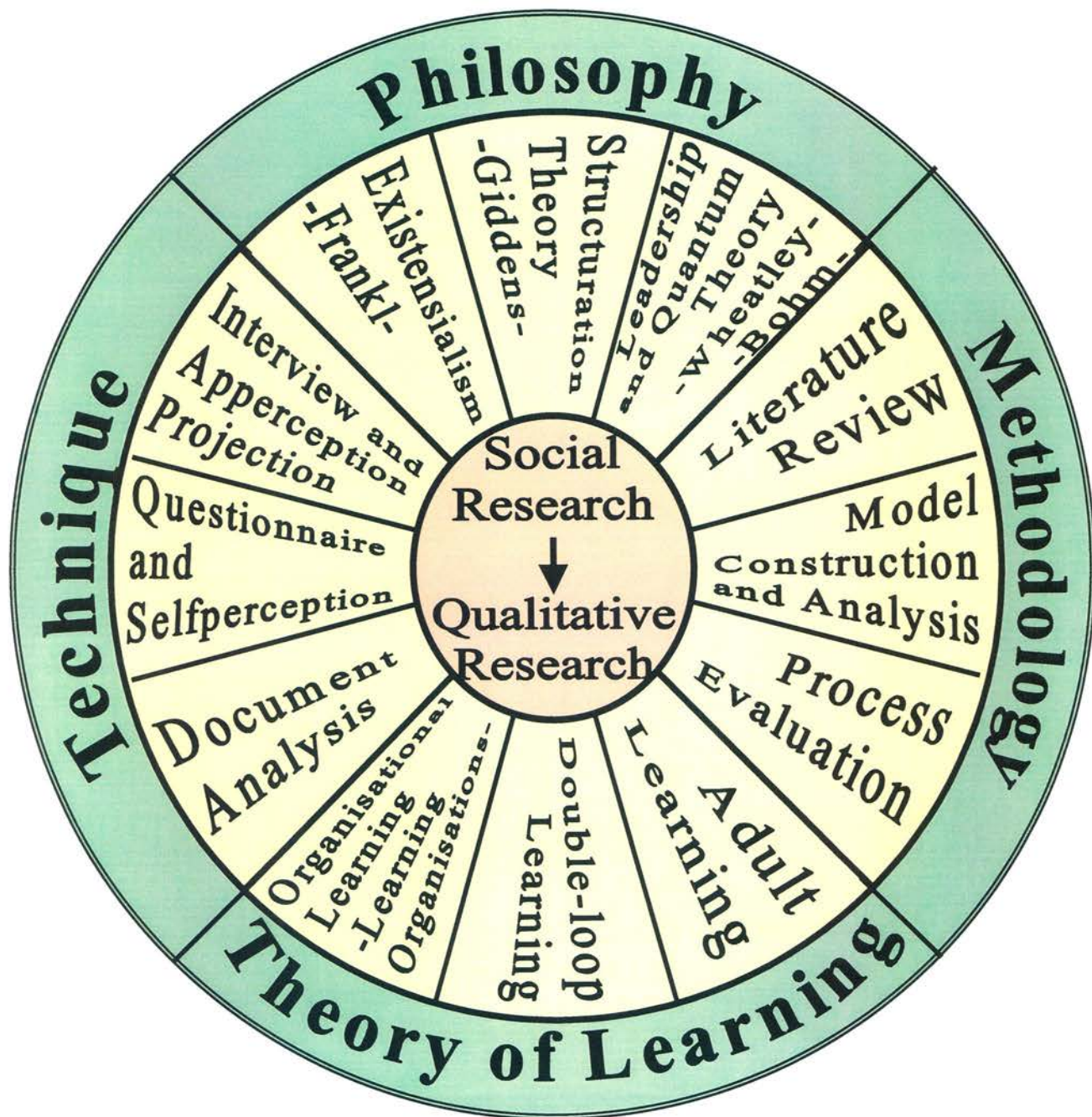
Figure 1.1   A theoretical framework for the Ph.D study – South African Higher Education Institutions as Learning Organisations: A Leadership Process Model.

Source: Zuber-Skerrit, 1998:133;134

Leadership for transformation towards learning organisations in higher education, in partial fulfillment of the requirements of her Masters degree in Higher Education. These three main fields of study are:

- Transformation,

- Leadership, and

- Learning Organisations.

Giere (cited by Mouton & Marais, 1990:139) argues that there is a fundamental relationship between the model and analogy and that the model suggests ways of answering questions and that "… models as the basis of analogies do play an important role in scientific research".

Keeves (1999:387) indicates that the purpose of building a model is that the model should be submitted to the test and that certain types of models lend themselves more readily to data collection and to testing. A normative model does not lend itself easily to testing, it indicates suggestions or guidelines on what could or should be done. The model proposed in the study can be classified as a normative model, as it indicates a process that could or should be implemented in higher education institutions.

Organisational change, leadership and leadership development are institutional decisions and for the purpose of the present study the researcher will use the model to look into (investigate) and evaluate the present situation in higher education institutions as far as leadership, leadership development and transformation towards learning organisations are concerned.

The researcher uses a qualitative approach to gain a greater depth and understanding of the process of leadership, leadership development, and transformation and change in higher education institutions in South Africa. The research design is an evaluation design that consists of a study in process evaluation driven by a model. The researcher has used in-depth interviews, questionnaires, content analysis and projective techniques to evaluate and analyse the process and level of leadership development and transformation towards learning organisations in higher education institutions in South

Africa.   Leadership in rectorate and middle management (deans and heads of departments), as well as individual leaders (ground level) in higher education institutions in South Africa were used in the sample. The study also includes a sample of five higher education institutions that consist of universities and technikons from different historical backgrounds in South Africa. The result of the investigation can in future be used as guidelines for institutional change as well as a needs analysis to develop programs and/or interventions for the purpose of leadership development. This, however, can be an area of further research after the completion of this study.

This study can, therefore, indicate guidelines for further research and programme development, as well as possible suggestions and guidelines to refine and adapt the model for academic leadership in higher education.

1.5   DELIMITATION OF THE FIELD OF STUDY

1.5.1   Orginisational studies of higher education

Significant developments in organisational theory have been made over the past thirty years, but their remains yet much to debate as how best to approach highly specialized organisations such as academic or higher education organisations. Studies on higher education organisation therefore, have developed in conjunction with the general theoretical development in organisational studies (Youn & Murphy, 1997:vii).

The theoretical developments in organisational studies of the past decades are mirrored in the literature on higher education/academic organisations, indicating studies of higher education environments, power, organisational culture and leadership, and internal and political processes. The development in higher education organisational studies must be seen and analyzed in the context of the major transformation and changes taking place in the higher education environment. It is no longer possible not to take notice of the influence of external factors as well as the effect of internal processes in the higher education environment (Youn & Murphy, 1997:x-xi).

All the aspects influencing transformation in higher education "… threatens an atrophy in leadership … in an era when leadership is of utmost importance" (Duryea, 1997:76; Vitz, 1998:111). The remedy for change must lie beyond the bounds of organisational factors and the forms of governance must serve the general values and commitments of those affected by them. Changes that should take place must therefore stem from deep within the higher education enterprise. Changes will have to be responsive to the changing conditions to transcend and move beyond, and not support the existing conditions (Vitz, 1998:113; Duryea, 1997:76;77).

The research project has both an organisational and a leadership focus. The researcher investigates the transformation process of higher education institutions into learning organisations as well as the leadership development in these specialized organisations in South Africa to meet the future.

1.5.2   Geographical delimitation of the study

The research concentrates on the contemporary issues and aspects of the higher education environment. A comparative perspective and framework are formed through the study of change and transformation in higher education in the developed world as well as developing countries focusing on Africa and more specific South Africa.

The purposeful sampling of the higher education institutions used in the qualitative research design and the process evaluation relied on the following premises:

- Institutions representing Higher Education in South Africa, i.e. Universities and Technikons.
- Institutions representing the historical past as well as the present in South Africa, i.e. historical disadvantaged institutions (HDI), historical advantaged Institutions (HAI), historical Afrikaans institutions (HA) and historical English (HE) institutions.

1.6   CLARIFICATION OF TERMS

The following terminologies need clarification due to their specific relevance on higher education organisational studies and the focus on the process of transformation towards learning organisations, leadership and leadership development in higher education institutions in South Africa.

1.6.1   Higher education

Before the 1950s higher education was hardly a field of scholarly studies. However, since the late 1960s "higher education has become a rapidly growing field of research (and) to a large extent, comparative in orientation" (Husén, 1993:3). Altbach (1985:4) indicates that higher education has increased in importance and is therefore an important subfield of study and that the field "... has been growing for more than thirty years (before 1985) and now stands on fairly firm intellectual roots". He indicates that research on higher education is widespread, diverse and reflects different orientations and interests, therefore the field of higher education is interdisciplinary or perhaps multi-disciplinary and the research reflects the many disciplines from which researchers have come.

The field of higher education studies is placed in the broad field of educational sciences and therefore, has the distinct advantage to benefit from previous research in other fields of study.   In recent years concern for developing an articulation between higher education, business and labour markets stimulated, not only research, but also higher education reform. Among some of the first concerns of researchers on higher education was an effort to understand the nature of the contemporary academic system and higher education reform to make the higher education institutions more relevant to modern societies (Altbach, 1985: 5-31).

Gellert (1997:115) argues that the term "institutions of higher education" refers to broad sectors of tertiary education for which a secondary school qualification (earned at about the age of eighteen) is normally a prerequisite. As a field of study higher education takes account of the totality of post school education institutions such as universities,

technikons and colleges. This includes the functions of teaching, service, research and scholarship (Dressel & Mayhew cited by Fourie, 1996:9).

In the proposed structure for a National Qualifications Framework (NQF) in South Africa, the higher education and training band consists of levels five to eight, and can be obtained after completion of the Further Education and Training Band (FET) (RSA DOE, 2002:30; Olivier, 1998:5; NCHE, 1996:86). Institutions providing the services for this band are universities, technikons, colleges and technical colleges. Higher Education provides formal qualifications after completion of studies in the FET band.

1.6.2 Academic leadership

For the purpose of this study the main focus will be on academic leadership, however, academic leadership cannot be clarified unless the term leadership has not been looked at and related to management. Van der Westhuizen (1998: 63) indicates: "Management and leadership are often thought of as one and the same thing. There is however, important distinction between the two concepts". She cites Hersey and Blanchard (1988:51) who argues that leadership is a broader concept than management. According to them, management is thought of as a special kind of leadership where the achievement of organisational goals is paramount and leadership, on the other hand, occurs any time one attempts to influence the behaviour of an individual or a group. It seems therefore, that leadership has long-term and future-oriented perspectives. It provides a vision or a dream for their followers to reach to that looks beyond their immediate surroundings, while managers have short-term perspectives and focus on routine issues within their own immediate surroundings (Gardner, 1990 cited by Van der Westhuizen, 1998:63).

Kotter (1992:16;17) states that "… leadership and management are two distinctive and complimentary systems of action. Each has its own function and characteristic activities". He deliberates that "… management is about coping with complexity" and that good management brings a degree of order and consistency to key dimensions while "… leadership by contrast is about coping with change". Major changes are more and more necessary, and more change always demands more leadership.

Middlehurst (1993:1) indicates that: "the idea of leadership is complex, difficult to capture and open to numerous interpretations". Fiedler (1993:2) indicates that the term leadership has been applied to a wide variety of conditions. He cites the following people and conditions: "physical locale (Sells, 1976), group member motivation (House, 1976), organisational structure (Burns & Stalker, 1961), task difficulty and complexity (Vroom & Vroom, 1973), interpersonal relations (Fiedler & Garcia, 1987)", to name but a few.

Hollander (1993) on the other hand argues that leadership is more a process involving followership and not so much something the leadership possesses. He indicates that "… without followers there plainly are no leaders or followership". Hollander and Offerman (cited by Hollander, 1993:42) deliberate the point that by sharing power and allowing followers to influence them (leaders and leadership), leaders foster leadership skills in others and attain numerous gains through greater participation and involvement. Rost (1991:102;103) derives at his understanding of leadership from the work of Burns (1979:425). He indicates that "(L)eadership is an influence relationship among leaders and followers who intend real changes that reflect their mutual purposes".

Although much of the literature on leadership is based on research taken from the private commercial sector, leadership is relevant in universities (higher education), especially at the time of considerable change and transformation in higher education institutions (Middlehurst, 1993:67).

Opportunities exist in higher education institutions to exercise leadership in numerous different ways. Middlehurst (1993:67) argues that opportunities exist in intellectual leadership (founded and achieved in research, teaching and scholarship), academic leadership (influencing the direction of academic activities and areas of study), and at institutional level (demonstrating direction and administrative leadership). She indicates (Middlehurst, 1993:86) that academic leadership is necessary to guide and develop disciplinary and teaching directions; develop and implement research programmes; interpret values, collective purposes and interests; and that leadership must respond to change and transformation and should take people (academia) forward.

The "Dynamic Academic Leadership Structure", the "Academic 'Process Leadership' Super Structure" and the "Empowered Institution" are to be presented in the model: Academic leadership for transformation towards learning organisations in higher education (Van der Westhuizen, 1998:160-161;173), and focuses on three areas of leadership. These areas function within a process/strategy for institutional transformation. The areas are:

- Institutional leadership,

- Individual leadership, and

- Administrative leadership and management processes (Van der Westhuizen, 1998:157-161).

It is the responsibility of leadership to keep the institution in proper balance. Birnbaum (1988:203) defines the leading of a higher education institution as "both a science and an art". As a science the institution is directed by the understanding of structures, schedules, systems and power. As an art leadership process is informed by sensibility, connoisseurship and intuition. Leadership tries to create new realities and influence others. "To lead without science is ineffective, to lead without art is usually sterile" (Birnbaum, 1988:208).

1.6.3   Learning organisations

It is always difficult to predict the future. However, it is the responsibility of leadership to consider trends, to come up with possible scenarios and to contribute to the shaping of ideas and events (Middlehurst, 1993:194).   A learning organisations, therefore, "... harnesses the full brainpower, knowledge and experience available to it, in order to involve continuity for the benefit of all its stakeholders" (Mayo & Lank, 1994:viii).

According to Senge (1990:3), learning organisations are "... organizations where people continually expand their capacity to create the results they truly desire, where new and expansive patterns of thinking are nurtured, where collective aspirations is set free, and where people are continually learning how to learn together".

Transformation and change have influenced the workplace of higher education institutions. These institutions will have to learn that "no problem can be solved from the same consciousness that created it, we must learn to see the world anew" (Einstein, cited by Marquardt, 1996:15). Therefore, change and transformation in South African higher education institutions will have to be dealt with ' new' mindsets, knowledge and structures to be able to survive the future.

It is important to take on the challenge of change in higher education institutions, and to identify and to take on the specific actions to turn individual and team learning into organisational learning. Learning organisations must harness brainpower across the boundaries of an organisation and enable its employees to deliver maximum value (Lank, 1997:407). Higher education institutions must recognise the fact that teaching institutions do not automatically qualify as learning organisations. To be able to survive this new millennium, higher education institutions will have to strive to empower their workforce towards learning organisations. "Learning organizations are where global success is more possible, where quality is more assured, and where energetic and talented people want to be" (Marquardt, 1996:220). The changes in higher education correspond to the vision of a learning organisation now increasingly prevalent in knowledge-based industries (Gentle, 1997:159). Gentle cites Gibbs (1997:168) indicating that intellectual rigor and scholarship must be applied to quality enhancement at every level. Thus, it should provide a climate in which individual members are encouraged to learn and to develop their full potential, and then to extend this learning culture to include others to allow for a continuous process of organisational transformation (Pedlar, cited by Gentle, 1997:161).

1.6.4   Transformation

The term transformation is used in the context of the Education White Paper 3: A Programme for Higher Education Transformation (RSA DOE:1997a) that forms the backbone of higher education transformation in South Africa. It outlines a comprehensive set of initiatives and principles for change and transformation to meet the challenge of a new democratic South Africa. The National Plan for Higher Education (RSA MOE, 2001) is informed by these principles. The dialogue/debate, however, is no

longer about incremental change but about transforming higher education (in South Africa) altogether (Green, 1997:49). "The transformation of the structures, values and culture... is a necessity, not an option for South African higher education" (RSA DOE, 1997a:29).

The transformation of higher education institutions is a shift to a new realisation in thinking and understanding about the external and internal contexts of institutions, from higher education institutions to higher education knowledge systems or industries (Peterson & Dill, 1997:3). Fourie (1996:239) uses the strategy for transformation to start the process of thinking new and differently about the role of higher education institutions. The strategy for transformation includes the processes of re-aligning, redesigning, redefining and re-engineering to provide guidelines for higher education transformation. Cotter (1995:34;35;168) moots the point that "Yesterday's great (organisations) are dinosaurs, destined for extinction unless they redesign themselves in accordance with the new, future realities....The most successful (organisations) of tomorrow won't react to change, they'll act to make change happen ... building on continuous renewal".

1.6.5 Models

Mouton (1996:196) and Mouton and Marais (1990:140) argue that the "... term 'model' is probably one of the most ambiguous in the vocabulary of the social scientists... (and) that the heuristic (discovering) function is the most common characteristic of models".

Gorrel (cited by Mouton & Marais, 1990:141) gives a summary of the different characteristics of "percursive theoretical models". Gorrel indicates four characteristics:

- Models identify "central problems or questions concerning the phenomenon that ought to be investigated".
- "Models limit, isolate, simplify and systematize the domain that is investigated".
- "Models provide a new language, game or universe or discourse within which the phenomenon may be discussed".

- "Models provide explanation sketches and the means for making predictions".

A model can, therefore, be used to suggest new areas of research and evaluation, because "... certain relationships and dimensions are emphasized to an unusual degree" (Mouton & Marais, 1990:140).

1.7   RESEARCH QUESTION

Looking at the purpose and background as well as the delimitation of the field of study and the clarification of terminology, the research question could be formulated as follows:

Can academic leadership and the level and process of change in South African higher education institutions be investigated, evaluated and analyzed by using the model: Academic leadership for transformation towards learning organizations in higher education?

1.8   RESEARCH PLAN

In order to use the model: Academic leadership for transformation towards learning organisations in higher education as a criterion for a process evaluation, the following plan of action is followed:

Chapter 2 provides an overview of higher education in South Africa indicating new initiatives in the higher education process and their impact on institutional leadership. This chapter also provides an overview of higher education in developing countries with the focus on the African continent.

Chapter 3 focuses on an international perspective on higher education transformation looking more specifically at the developed countries. This chapter provides an overview of international debate on the need and trends for change.

Chapter 1   *Orientation towards the study*

In **Chapter 4** the focus is on higher education institutions as organisations, concentrating on the influence of organisational theory and the structure of organisations to provide a conceptual framework and understanding of the development of higher education institutions towards learning organisations.

Chapter 5 concentrates on the analysis of the model to provide a conceptual understanding of the process model for academic leadership towards learning organisations.

In **Chapter 6** the attention is devoted to the research methodology and research design of the study, indicating the authority of theoretical tradition, the understanding of a qualitative research design and an analysis of the units of evaluation and analysis.

In **Chapter 7** the data collected during the institutional visits regarding leadership, leadership development and transformation and change towards learning organisations are analysed and discussed.

Chapter 8 has as its aim to propose guidelines and leadership development initiatives to complement the demands for change and transformation of higher education institutions in South Africa and the expectations of a new century.

1.9   ETHICAL STATEMENT

It was expected of participants in the research process to provide a personal understanding and viewpoint of leadership, leadership development and the transformation and change process of the institution they represent. It was therefore, important to ensure the participants of confidentiality throughout the study therefore, any documentation that could possibly identify the individual participants or their institutions are not included as appendixes in the study.

1.10   CONCLUSION

The demand for change in higher education and more specifically higher education institutions places the focus on leadership within a changing environment. This chapter has provided evidence of the need for the research and therefore the need for a process evaluation of leadership, leadership development and transformation in higher education institutions in South Africa towards learning organisations. The attention was focused on the four epistemological questions regarding methods, methodology, theoretical perspective and epistemology informing this study indicating **what** was investigated, **why** it was investigated, **how** it was investigated and the **product** (result) of such investigation. The boundaries within which the research project was conducted were indicated. In the following chapters of the study, a host of related issues is addressed to provide a framework and a profound conceptual understanding towards the implementation of an evaluation design, driven by a model and possible guidelines for leadership and leadership development towards learning organisations in higher education institutions in South Africa.

"No problem can be solved from the same

consciousness that created it;

we must learn to see the world anew".

Albert Einstein (cited by Marquardt, 1996:15)

CHAPTER 2 - OVERVIEW

A PERSPECTIVE ON HIGHER EDUCATION CHANGE AND TRANSFORMATION IN SOUTH AFRICA AND DEVELOPING COUNTRIES

2.1	**INTRODUCTION**
2.2	**AN OVERVIEW OF HIGHER EDUCATION IN SOUTH AFRICA**
2.2.1	Background to change and transformation in South Africa
2.2.2	New initiatives in the higher education process
i	*The council on Higher Education (CHE) Task Team*
ii	*The National Plan for Higher Education*
2.2.3	The impact on institutional leadership
2.3	**HIGHER EDUCATION IN DEVELOPING COUNTRIES**
2.3.1	Introduction
2.3.2	The Developing Countries
2.3.3	The African Continent
2.4	**CONCLUSION**

CHAPTER 2

A PERSPECTIVE ON HIGHER EDUCATION CHANGE AND TRANSFORMATION IN SOUTH AFRICA AND DEVELOPING COUNTRIES

2.1   INTRODUCTION

"Education has always been associated with providing a better quality of life for human beings. It has been regarded as a major means of importing knowledge and skills to individuals and helping the process of social transformation" (Shukla and Kaul, 1998:11)

Reform is one of the most controversial elements in higher education and has therefore attracted much attention from within the academic community and from outside (Altbach, 1991:261). Altbach defines reform as a planned change in higher education - where it applies to change of basic structural, organisational, or curricular nature. However, this change process "involves the embedding of the reform, or perhaps the new institution, into the academic fabric" (Altbach, 1991:265).

2.2   AN OVERVIEW OF HIGHER EDUCATION IN SOUTH AFRICA

2.2.1   Background to change and transformation in South Africa

The Department of Education (2001:22) indicates that higher education has a critical role to play in the process of innovation and change in education in the post apartheid South Africa (post 1994 period). The role of higher education is to:

- Consolidate the new democracy through the development of critical citizenship.
- Drive national reconstruction and development in a rapidly globalizing world.

- Provide the range and quality of graduates and knowledge to assist in the development process.

A framework for higher education transformation was put into place and addressed the following two sets of conditions:

- South Africa is a middle-income developing country with a highly stratified race and class structure and great disparity between rich and poor.
- The post 1994 era and re-entry into the international arena occurred in a period of intensified globalization (Kishun, 1998:58-60).

The researcher addressed the changes in the South African system in her M Phil thesis (1998:26), and argued that the principles as derived from the initial documentation (NCHE,1996; RSA DOE, 1996; RSA, 1997; RSA DOE, 1997a; RSA DOE,1997b) and indicated in Table 2.1 should guide the transformation process. These principles form the philosophical background and guidelines and the route for transformation in South African higher education institutions.

It is however, natural for people to resist change. People must see the need for change and they must share in the vision for new institutional direction to ensure enduring change. They must participate willingly in the implementation. It is possible for leadership to serve as a catalyst for change. The institutions must be aware of the many actors, forces and principles in the change process, and institutional leadership and individual leadership must and can play a significant role in the transformation of all institutions. Different forms of, and viewpoints on leadership need to be constructed and used creatively to be able to fulfill the promise of change and transformation to try and make possible the mindset for a changed paradigm. Institutional leadership will therefore, be of increasing importance in the process of change and transformation (Van der Westhuizen, 1998:33; Green & McDade, 1991:17).

Higher education institutions are very complex and it is very difficult for any person to lead alone. Institutions often have multiple leaders on different forums and at different

levels, with different skills. It is expected of institutional leadership to capture the creativity of the individual and to be entrepreneurial in their thinking and realise that some of the most effective leaders are not the traditional ones.

Table 2.1   Fundamental principles of education transformation in South Africa

PRINCIPLES	IMPLICATIONS
• Equity and redress	Fair and equal opportunities regarding access, changing of teaching curriculum and the achievement of academic excellence.
• Democratisation	Transparent decision-making and a value system of respect, tolerance and the maintenance of well-ordered and peaceful communities.
• Development	To realize the socio-economic and socio-cultural potential of the country. Resources to mobilise: - production and application of knowledge, - building of human capacity, and - provision of lifelong learning opportunities.
• Quality	Aimed at the ideas of excellence and applying principles of quality to reach specific expectations and requirements.
• Effectiveness and efficiency	Achieve desired outcomes or objectives.
• Academic freedom	Absence of outside interference, censure or obstacles to achieve academic work and the precondition for critical experimental and creative thinking.
• Institutional autonomy	A high degree of self-regulation and administrative independence i.e. the power to govern without outside control but in tandem and harmony with the social and cultural values of supporting communities.
• Public accountability	The requirement to demonstrate responsible actions to one or more constituency.

Source: Adapted from Van der Westhuizen (1998, 26-32); RSA DOE (1997a:5-7).

2.2.2   New initiatives in the higher education change process

The White Paper of 1997, A Program for the Transformation of Higher Education (RSA DOE, 1997a) identified various and diverse social purposes (Table 2.2), that higher education in South Africa must serve, and set out various goals for higher education institutions which has to be pursued with particular urgency to address radical and comprehensive transformation and change of the South African higher education scene to meet the challenges of the twenty first century, and highly competitive global economy. A number of initiatives were therefore started within the realm of this change paradigm.

i)   *The Council on Higher Education (CHE) Task Team*

The Minister of Education, Professor Kader Asmal, requested the Council on Higher Education (CHE) during January 2000 to provide him with a set of concrete proposals to serve as guidelines for reconstructing the shape and size of the higher education system to fit the new democratic South Africa as well as the new century. Professor Asmal indicated in his Call to Action, on July 27 1999, that the shape and size of the South African higher education system could not be left to chance. The Minister, however, made it clear in a press statement, in May 2000, that the reconfiguration should be the key to prevent institutions in serious difficulties from being targeted for closure (CHE, 2000:5-7). A CHE Task Team was constituted in February 2000. The team identified a number of key problems and challenges (Table 2.3). The problems were loosely characterised as:

- "Structural (fundamental, long-standing contextual)" and
- "Conjunctural (immediate, contextual)".

The reconfigured system must pursue excellence and equity, a rational framework for innovation, collaboration within the public sector and private higher education providers, and must address the differentiation and diversity that is characteristic of most national systems of higher education (CHE, 2000:24).

Table 2.2   Purposes and goals for change and transformation in South African higher education institutions

PURPOSES	GOALS
• Attention to the pressing local, regional and national needs of the South African society and to the problems and challenges of the broader African context. • The mobilisation of human talent and potential through lifelong learning to contribute to the social, economic, cultural and intellectual life of a rapidly changing society. • Laying the foundations of a critical civil society, with a culture of public debate and tolerance, which accommodates differences and competing interests. • The training and provision of person-power to strengthen this country's enterprises, services and infrastructure. This requires the development of professionals and knowledge workers with globally equivalent skills, but who are socially responsible and conscious of their role in contributing to the national development effort and social transformation • The production, acquisition and application of new knowledge: a well organised, vibrant research and development system which integrates the research and training capacity of higher education with the needs of industry and of social reconstruction.	• Increased and proven participation within higher education to meet person-power needs and advance social equity. • Co-operative governance of the system, institutions and partnerships. • Promotion of quality and quality assurance through accreditation and assessment of programmes. • Incorporation of higher education programmes and qualifications within the National Qualifications Framework designed to promote articulation, mobility and transferability. • Improved institutional planning and management and the development of three- year institutional plans.

Source: CHE (2000:13)

Table 2.3   Key problems and challenges identified

PROBLEMS		CHALLENGES
Structural	**Conjunctural**	
Geographical location	**Decline** in student	**Effectiveness**
Continued and increased	enrollments in public higher	- Increase absolute
fragmentation of the system	education sector - due to:	numbers of graduates'
Major inefficiencies, i.e.	- Retention rates	level skills in labour
- Throughput rates	- 1999 – 15% participation	market.
- Graduation rates	rate of 20-24 cohort.	**Efficiency**
- Dropouts	**Crippling** effect on several	- Tied to quality and
- Repetition	institutions to continue to	planning at institutional
- Retention	fund activities (relationship	and system level
- Unit costs	between enrollments and	**Equity**
Skewed patterns of student	funding)	- Increasing race gender
distribution, i.e.	- Decline in Historical	and social class
- Fields of study	Black Institutions (HBI)	distribution of students
- Levels of study	- Increase in private higher	and staff
- Race and gender	education institutions.	- Financial access for
Poor patterns of race and	**Fragile** governance capacity	poor students
gender regarding academic	and persistence of crises in	- Targets for obtaining
and administrative staff.	some institutions.	student and staff equity
Low research outputs	**Higher** education information	
	systems inadequate:	
	- Lack capacity to provide	
	and process basic data	
	and information	
	- No culture of effective	
	institutional research.	

Source: CHE (2000:17-23)

The Task Team indicated that higher education institutions should be:

- Multipurpose institutions
- Have a minimum operational basis
- Contribute to the creation, dissemination and evaluation of new knowledge as well as new applications of knowledge.

These should be applied in a proposed structure with the following broad mandates:

- **The Bedrock institutions.** They will focus on undergraduates multipurpose study with limited post graduate programmes up to a taught masters level
- **Comprehensive post graduate and research institutions.** These are multipurpose institutions with quality undergraduate programmes, comprehensive postgraduate taught and research programmes up to doctoral level, and extensive research capabilities across a broad range of areas.
- **Extensive Masters and selective Doctoral institutions.** These are multipurpose institutions focusing on quality undergraduate programmes and extensive postgraduate and research programmes up to Masters level, as well as selective taught and research Doctoral level research programmes and select areas of research.
- **Distance education providers.** These institutions provide quality undergraduate programs, extensively taught and research postgraduate programmes up to Masters level as well as select taught and research programmes up to Doctoral level - all should be of a predominantly distance nature.
- **Private higher education.** These institutions operate as single-purpose institutions, but who could seek to function as multipurpose institutions within set criteria (Bitzer, 2000:143).

It is also important to note that the Task Team indicated that it is necessary to examine the current degree structure and have an increased participation rate of 20 percent (20 to 24 years cohort) over the next 10 to 15 years. They propose that the key requirements for the reconfiguration of the system must be put in a social framework (plan), explicit and realistic, timeframes, a new funding system, a sustainable and effective regulatory

framework, with all role players and stakeholders taking up their responsibilities to make the system work.

The Task Team (CHE, 2000:51-52) recommends a number of key interventions and requirements. They indicate that effective national steering planning and implementation capabilities must be developed, as well as implementation mandates. Institutional missions and strategic planning must be developed in alignment with institutional mandates. Rationalisation and inter-institutional collaboration should take place at regional level, and the building of inter-institutional collaboration in strategic areas is a necessity. Institutions should develop strategic planning capacities and education management information systems as well as financial planning capacities and systems. Another important area is the enhancing of the quality of learning and teaching, and the expanding of the use of information and communication technologies in teaching and learning. Development should also take place in student equity in select areas, staff equity and redress, and institutional redress. In addressing these aspects it will have major implications for personnel reconfiguration, the development of leadership, management and administrative capacity at all levels of the system. Institutions will therefore have to engage in periodic reviews of national planning and the achievement of policy and planning objectives.

The legislative framework to embark on this reconfiguration venture is in place. The Higher Education Act of 1997 provides the minister with the capability to act on the recommendations of the CHE. These recommendations also served as guidelines for the Minister of Education in the development of a National Plan for Higher Education.

ii)   *The National Plan for Higher Education*

The National Plan for Higher Education in South Africa was published in February 2001 (RSA MOE, 2001) by the Minister of Education and it gives effect to the vision for the transformation of the higher education system outlined in the Education White Paper 3 – A Programme for Higher Education Transformation (DOE, 1997a; RSA MOE, 2001). It is a response of the Minister to the advice received from the CHE on the restructuring of the higher education system (2001:13).

The national plan addresses five key policy goals and objectives that are central to achieving the overall goal of transformation of the higher education system. The overall goal is to address the problems of the past and take institutions into the twenty first century. The goals are summarised in Table 2.4.

The national plan provides the challenge for creativity and innovations through new possibilities and horizons. The framework maps strategies and signposts with far-reaching and wide-ranging implications. The challenge for South African higher education institutions is to reconstruct the system in a few short years, something that has taken other developed countries decades to accomplish.

2.2.3 The impact on institutional leadership

Although the CHE Task Team indicates the development of leadership, management and administrative capacities at all levels as one of the key requirements, it certainly is at a very low key in the document. The National Plan for Higher Education will have a tremendous impact on leadership and efficient leadership development to accommodate these tremendous changes and transformation. It is one thing to provide the paperwork for, and the intent to change - it is, however, another to bring about the change of mind and heart. Change (the intent to -) of the South African higher education system has started with the election of a new democracy in 1994 and gained momentum since 1996 with a number of important publications indicating the philosophy and the structure for change (NCHE, 1996; RSA DOE,1996; RSA 1997; RSA DOE, 1997a; RSA DOE, 1997b; Van der Westhuizen, 1998:26-27). The impact on the system since 1994, although slow and incremental, was dramatic. The demographic composition of institutions changed completely. In some cases it changed from having fewer than ten percent black students to more than sixty percent in a five-year period (Cloete, Bunting and Kulati, 2000:2). The system (the national plan for reconstruction, and leadership and leadership development) therefore demands an immediate and far reaching change as well as the development of the skills and leadership to bring it to its full consequence.

Table 2.4   The National Plan: Goals, objectives, outcomes and strategies

GOALS AND OBJECTIVES	OUTCOMES	STRATEGIES
Goal 1: • Producing the graduates needed for social and economic development	• Increased participation rates • Increased graduate outputs • Broadened social base of students • Increased recruitments from the SADC community • Changed enrolments by fields of study • Enhanced cognitive skills of graduates	• Increased participation rates and graduate outputs indicated in three year rolling plan through strategies, criteria and processes re. : - Improved efficiency, establish targets, funding linked with fulltime equivalent enrolments and academic development, and streamline permits and additional fees for SADC students. • Changed enrolments by fields of study indicated in three year rolling plan in terms of shape, profile balance, strategies and framework of all restructured programmes re. : - Shift of balance through funding and planning, increased enrolments in career oriented programmes and pre- and in-service teacher training, and development of programmes in marginilised programmes.
Goal 2: • Achieving equity in South Africa's higher education system	• Increased equity in access and success rates • Improved staff equity	• Increased equity and access rates: - Ministerial level: planning and funding to increase access and success of black, women and disabled students - Institutional level: strategies and time frames indicating increased access of black, woman and disabled students, redress of imbalances in programmes, success and graduation rates, sensitive teaching/learning processes. • Improved staff equity: - Ministerial level: possible scholarships for black, woman, and disabled; recruitment of academic staff from rest of Africa. - On institutional level: strategies, framework in three year rolling plans indicating employment equity plans. • Infrastructure for the disabled.

Goal 3: • Achieving diversity in South Africa's higher education system	• Diversity through mission and programme differentiation • Regulation of distance education programs • Establishment of a single dedicated distance education institution • Regulation of private higher education	• Mission and programme differentiation in submission of overall framework proposing programme mix for next five years. Funding in contact institutions only if programmes are approved as part of three year rolling plans. Higher Education Quality Committee (HEQC) prioritise review of postgraduate programmes in contact institutions. • Facilitate merger of distance education institutions. • New guidelines for registration and funding of student places.
Goal 4: • Sustaining and promoting research	• Increased graduate enrolments and outputs at the Masters and Doctoral levels	• Research funding: new formula based on research output, and earmarked funding to facilitate research collaboration. • Enhanced research output and quality through revised policies and procedures, and postgraduate programme review. • Increased graduate enrolments at Masters and Doctoral levels through funding scholarships and foreign students. • Institutional three year rolling plans indicating improved outputs at Masters and Doctoral level, the redress of imbalances, and recruitment of students from SADC and other developing countries.
Goal 5: • Restructuring the institutional landscape of the higher education system	• Programme and infra-structural collaboration. • New institutional and organisational forms	• Improving and promoting co-operation - ministerial funding under specific conditions. • Institutional level: requirements for proposed new programmes and closing of particular programmes. • Ministerial level: mergers and new institutional and organizational forms, and the establishment of national working group to investigate and advise, facilitate, initiate and request plans for mergers already in progress.

Source: RSA MOE (2001: 16-95)

Cloete et al (2000:8) describe the new South African institutional landscape as five 'ideal' types with no clearly demarcated boundaries between the different types:

- **Entrepreneurial** - expanding institutions, which are making full use of the new market environment.

- **Traditional elite** - retaining a strong sense of traditional mission while changing the race and gender composition of the student body.

- **Stable** - emerging institutions representing a mix of institutions with a historical less privileged position than those in the first two groups.

- **Unstable** - uncertain institutions where contestations amongst different governance and stakeholder structures exists.

- **Crisis-ridden** - experiencing acute crisis regarding conflict amongst different governance structures, lack of confidence in leadership and of financial management.

They report that most South African institutions have had a culture and tradition of administration rather than management. Responses towards change have ranged from managerial paralysis, the rise of managerialism to transformative governance (Cloete et al, 2000:8-16). However, dealing with restructuring and the demands of the National Plan, institutions will have to come to grips with how leadership and leadership development can help them reach an understanding of the kind and nature of institution that they really want and that will fit the future. It is however important to realise that while South Africa is involved in this change process as part of a broader community, the country is also part of Africa and is seen as a developing country.

2.3   HIGHER EDUCATION IN DEVELOPING COUNTRIES

2.3.1   Introduction

Third world nations, although standing at the periphery, are part of an "international knowledge system". It places these countries at a disadvantage in a system controlled by the advanced systems of industrial countries. The major higher education institutions are located in key countries of the industrial world such as the U.S. UK, Germany and France. They spend the major portion of research and development funds that are

globally available and are located where the major publishing and patenting takes place, influencing innovation, world science and technology (Altbach, 1998:198).

Malcolm Gillis, President of Rice University said on 12 February 1999 (World Bank, 2000:15):

> Today more than ever before in human history, the wealth - or poverty - of nations depends on the quality of higher education. Those with a larger repertoire of skills and greater capacity for learning can look forward to lifetimes of unpredicted economic fulfilment. But in the coming decades the poorly educated face little better than the dreary prospects of lives of quiet desperation.

Higher education, unlike other forms of capital, transcends more than economic returns. An educated society is informed. Education therefore, prepares people to make objective informed decisions and renders an environment for social and cultural innovation (Ransom, Khoo & Selvaratnam, 1993:2; Tapper & Salter, 1992:8). However higher education in many developing countries is in crisis (Neave & VanVught, 1994:14). The optimistic point of view perpetrated by the different authors above indicating that the expansion of higher education is the major condition for furthering modernisation and economic growth has lost attraction. Neave and VanVught indicate that the higher education policies of the early sixties created adverse and unexpected consequences in developing countries. Although enrolments increased dramatically in higher education institutions, public resources have not followed. Therefore, internal and external efficiency of many systems are low and many countries' governments have a major impact on the dynamics of the higher education system. Higher education therefore, needs new strategies and policies to solve the present higher education crisis. A major effort of all stakeholders involved are asked for to design and implement innovative solutions.

2.3.2   The Developing Countries

The concept "developing country" is not defined as a precise term. The World Bank defines the concept on the basis of income per capita, and on that basis more than eighty percent of the world's population lives in the developing countries (World Bank, 2000:

15). Rodney (1982:1) defines development as a many sided process. It implies increased skills and capacity, greater freedom, creativity, self-discipline, responsibility and material well being, at the level of the individual. Personal development is very much tied in with the state of society as a whole in the achievement of any of these aspects. Domatob (1998:24;38) cites the World Bank (1992) stating that "development strives to raise living standards and improve education … however, the quest for development is futile, empty and sterile if it lacks sustainability". Domatob argues that advances in African higher education are inextricably linked to the level of socio-economic progress and development in the respective countries.

The report of the Task Force on Higher Education in developing countries, include Africa, much of Asia, nearly all of Latin America and large parts of the former Soviet Union as part of their overview. The Task Force indicates that the developed countries are reacting quickly to the demands of a changing world with education as the major political priority. The importance of this statement is highlighted if it is seen in comparison with the statement of Peter Drucker (1996:1, cited by Di Massimo, 1998:100) who indicates that almost one half of all workers, as recently as the 1960s were involved in making or helping to make things. He argues that by the year 2000, no developed country will have more than one-sixth or one-eighth of its workforce in the traditional roles of making and moving good. By 1996 an estimated two-thirds of the United States (U.S.) employees worked in the services sector. Knowledge is becoming the (United States) most important product. These demands call for different kinds of workers and different kinds of organisations. According to the task force human capital in the U.S. is (now) to be at least three times more important than physical capital (World Bank, 2000: 15). As organisations try to survive in this rapidly changing world - higher education will have to make that "step up" as well. If this is true of the developed world, then the developing countries will have to find a way of sustainability in higher education. If they want to be able to compete in this knowledge economy, they will have to compete, or face a future of increasing exclusion, and being unable to develop and respond to the challenges and demands of this new century.

The importance of this development becomes clear in the statement of the Task Team who indicates that developing countries contain more than eighty percent of the world's population, but they account only for half of all its higher education students.

Higher education in developing countries will have to face the realities of this new world and reshape their response to the ongoing challenges. The current situation indicates that in the higher education system(s) of the developing countries many academic staff members have little (if any) graduate level training, teaching methods are outmoded, rote learning is common, textbooks are unavailable and unaffordable, and information and lack of resources are common. These are just a few of the many aspects developing countries are faced with (World Bank, 2000: 16-26). Therefore, based on the research conducted by the Task Force, developing countries will find it increasingly difficult to benefit from the global based economy.

2.3.3 The African Continent

Of all the countries listed in the World Bank report with less than five percent tertiary enrolments in 1995, thirty seven of the forty six countries are not from Africa and the other nine are situated in Asia. Table 2.5 gives a summary of the tertiary enrolments of Africa. Only Australia, Canada, France, Finland, Norway and the United States are countries with a fifty percent or more tertiary enrolment ratio.

Independence and the post independence era was one of euphoria and hope for higher education in Africa. The new nations saw higher education as the future, the key to development and well-being. However, political instability, military coups and the politicisation of higher education brought disillusionment, and indications were that a decline and decay of African campuses were an imperative. The quality of institutions continued to fall, and pessimism is seen as part of the future of the higher education system in Africa (Hayward, 1997:86;107).

The significance of the information in Table 2.5 is overwhelming. Ransom et al (1993: 26) argues that the African higher education sector is in crisis. Most African higher education institutions are unable to produce sufficient graduates with the necessary skills

Table 2.5   Tertiary enrolment ratios: 1995 in Africa.

Less than 5%	5% -15%	15% - 35%	35% -50%	50% +
• Mocambique • Lesotho • Swaziland • Malawi • Zambia • Angola • D.R. of Congo • Burundi • Tanzania • Rwanda • Kenya • Uganda • Somalia • Djibouti • Ethiopia • Eritrea • Central African Rep. • Cameroon • Nigeria • Benin • Togo • Equatorial Guinea • Ghana • Ivory of Coast • Liberia • Sierra Leone • Guinea • The Gambia • Senegal • Burkina Faso • Mali • Mauritania • Niger • Chad • Sudan • (Madagascar and Comoros)	• Zimbabwe • Botswana • Namibia • Congo • Gabon • Algeria • Morocco	• Libya • Egypt • South Africa* * 1999: 15% participation rate of 20 – 24 year cohort (CHE, 2000:20-24)		

Source: World Bank, 2000:12-13.

to make a meaningful and lasting contribution to the development process (Mutunga & Kiai, 1996:89). The continent of Africa is facing significant obstacles to overcome formidable impediments if it is to realise its potential and the dream of an African Renaissance. Change will not come easy for most of the countries. Their problems are deep-seated and it will require a sustained effort and commitment to change. Strategies for addressing these problems need to proceed from a common understanding of the underlying root causes and should not be judged as failures when judged by international standards of the world economies. The underlying problems are as follows:

- The absence of vision in higher education.
- The social and economic importance of higher education systems is not appreciated.
- The lack of political and financial commitment.
- Conditions of initial disadvantage.
- The disruption of globalisation.

The strategies required for change should be geared along the main concepts of social relevance, quality, improved institutional management and leadership, access to information which includes the use of new information and communication technologies, academic solidarity and international cooperation (World Bank, 2000:93-94; Matos, 1999:22; Domatob, 1998:115-131).

With the new millennium at hand problems for higher education institutions in Africa seems insurmountable. Domatob (1998:130) argues that if the mammoth political, economic and social catastrophes that endangers and jeopardises higher education is considered, it seems that failure of the system, and violation of academic freedom (Sall, 1996:5-6; Busia, 1996:14) seems inevitable in this new century and that the state of under development will continue (Ajayi, Goma & Johnson, 1996:195; Bigala & Moorad, 1998:205). Unless, new leaders emerge with new knowledge and who could provide a new economic structure to benefit higher education and provide systems within their unique culture and character of each specific region as well as of the continent (Mengue Me Engoung, 1992:67;70). "To advance the frontiers of knowledge is among the principal universal missions of the University (higher education) in the modern world. What African (developing countries) universities, contribute to the development and

progress of the African continent (developing world) become part of the world reservoir of knowledge, for the benefit of mankind as a whole" (Ajayi et al, 1996:215).

Moja (1995:19) indicates that a new approach towards higher education is based on the premise that governments in modern societies can no longer be conceived in terms of external government control of society. It should strive towards democracy with a co-production and, complementary and competing interests between state and civil society. African countries must address the major impediments to effective change. They will have to address the continued economic uncertainties, civil wars, repression and 'local' conflicts and the involvement of higher education in the struggles for political power. Although it seems that some African countries are ready and willing to face the future it seems likely that no improvement will happen for the next several years. However, if successful transformation of higher education systems can take place in Africa with new models of transformation and the effective integration of cultures and openness to change at all institutional levels, these modes could be instructive to the rest of the world and to academic life universally (Hayward, 1997:111).

2.4   CONCLUSION

"Things have got to change" (Obanya, 1999:547) in the developing countries and more so in Africa. A framework should result around:

- What the mission of higher education in Africa and the rest of the developing world in the twenty first century should be, and
- What steps should be taken to ensure that the mission is achieved.

The World Bank Task Team (World Bank, 2000:17;19;32) moots the point that:" Higher education has never been as important to the future of the developing world as it is right now. It cannot guarantee rapid economic development - but sustained success is impossible without it". People and leaders need to be developed with a set of human skills apart from having higher qualifications. They need to be capable of greater intellectual independence, be flexible, creative and lifelong learners. These skills will allow them to be able to survive in the knowledge revolution. Higher education

institutions as the prime creators and conveyors of knowledge must be at the forefront of efforts and interests to narrow the development gap between industrial and developing countries. According to Obanya, the search for the answers is to be done at the levels of policy, pedagogical/philosophical and operational (management and leadership) (Obanya, 1999:547 and1992:315).

Changes in the South African higher education system have taken place at these three levels, to meet the expectations of developing people with skills fitting the knowledge revolution and the future. The success of the change and transformation process will however, rely on how much change has taken place in the minds of people and how committed the individuals in institutions are to take up leadership roles and to see the process through.

"How people on a bridge in a storm perceive

the need and opportunity to move

appears to have as much to do with what

they bring to the encounter as with

the conditions of the storm itself".

Westerheijden, D.F. and Sorensen, K. 1999.

CHAPTER 3 - OVERVIEW

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CHAPTER 3

AN INTERNATIONAL PERSPECTIVE ON HIGHER EDUCATION TRANSFORMATION

3.1   INTRODUCTION

In chapter 2 the researcher provided a perspective of change and transformation and the challenge for leadership development in higher education in South Africa as well as the developing countries, focusing on higher education in Africa.

In chapter 3 the international change and transformation debate is discussed, with the main focus on what is happening in developed countries.

3.2   TRENDS FOR CHANGE

The researcher is using the literature review of her M Phil studies in Higher Education, where she looked into the international issues driving change and transformation in higher education to form the basis or first building block of the international debate and perspective on higher education change and transformation. Tables 3.1 and 3.2 give an overview of international trends for change as well as the actors and stakeholders in the process of change and how it relates to the South African situation.

3.3   THE INTERNATIONAL DEBATE ON THE NEED FOR CHANGE

The need for transformation in higher education formed part of the international debate as well as the deliberations, of at least the last thirty years of the previous century. (Van Damme, 2001: 416; Sporn, 1999:6-7; Van der Westhuizen, 1998:12-13; Armstrong, Thompson & Brown, 1997:1). At the beginning of the twenty first century the debate has not subsided and academics are still not sure of what to expect and how future change will affect the higher education field (Campion & Renner, 1995:77). In fact, if one looks at the number of books on higher education pouring into the system one has to wonder if

the debate is not really only starting now, and that the previous century was just the steam building up to the real thing, that of "accelerated change,… (and) a paradigm shift" (Miller & Miller, 2001: 181;183, Sadlak, 1998:100). As Neave (1996:305) describes it: "The Roman God of Fortune, Janus, had two faces and looked to the past as well as gazing into the future". Universities (higher education Institutions) are the

Table 3.1   Trends for change

INTERNATIONAL	SOUTH AFRICA
• Access	• Equity and redress
• Funding	• Democratisation
• Economic and social development	• Development
• Accountability and autonomy	• Quality
• Technology	• Effectiveness and efficiency
• Internationalization / globalization	• Academic freedom
	• Institutional autonomy
	• Public accountability

Source: Van der Westhuizen, 1998:12-32.

Table 3.2   Actors and stakeholders in the process of change

INTERNATIONAL	SOUTH AFRICA
• The role of government	• The role of government
• The public	• The public
• Academic staff members (faculty)	• All stakeholders (unions, organised business and industry, political parties etc.)
• Governing boards	• Academic staff members (teaching staff)
• Students	• Governing boards
• Institutional leadership	• Students
	• International bodies and funding agencies

Source: Van der Westhuizen, 1998:12-33; RSA DOE, 1997a.

gateway to the future (De Groof, Neave & Švec, 1998:3), however, the only problem is that the future is now, and that these new organisations/institutions must be with us now. It will offer new opportunities as well as new problems for leadership and it will demand new mindsets, skills and competencies from those within it (Ehrlich, 2000:99; Limerick, Cunnington & Crowther, 1998:1; Weil, 1994:22;25).

In many countries of the world rapid and fundamental changes in society, the economy and education has taken and are still taking place. Looking back at the last decade of the twentieth century and starting to climb the foothills of this new millennium, higher education is changing rapidly throughout the developed world. According to Farnham (1999:4-7) change has been incremental throughout the history of higher education. Currently, however, it is on a steadily accelerating trajectory throughout the developed world which is influenced by:

- Globalisation
- International economic integration
- Change in structure of economies
- Political changes reinforced by economic changes
- Social changes driving higher education reform
- Technological changes impacting on information and knowledge.

In essence, higher education is shifting from a stable elite system, to a mass, open unstable system increasingly driven by needs which are sometimes contradictory from forces inside and outside the system (Farnham, 1999:4-7). In the meantime many academics are still quietly holding on to the Oxbridge ideal, which emphasizes individual tuition, self paced work and intellectual freedom and recognition. The changes have influenced higher education both in terms of shape and delivery. The transformation in higher education has resulted from global economic pressures and the expected quality and excellence of people, entering this global workplace. The expectations from the global workplace are that these people should come from higher education institutions (Ehrlich, 2000:359; Watson, Modgil & Modgil, 1997:xv).

The understanding of many of the perceived educational problems and solutions, as well as the formulation of aspects which need to be addressed are often remarkably similar, either in terminology or in effect (Van der Westhuizen, 1998:12-13; UNESCO, 1998:22-28; Watson et al, 1996:xv).

Barnett (1997:5) states that higher education institutions are persuaded "… to orient their problems of study towards the world of work … and are encouraging institutions to become organizations". It puts the '(new) modern university' and for that matter modern higher education institutions in the midst of the learning society. The learning society takes learning about itself seriously. It takes learning to a Meta level of learning and invests in, and develops technological and communicative capacities. It develops greater rationality in its decision-making, it reflects upon itself, therefore learning about its decision-making and communicative capabilities. The idea of learning implies a society that is in control of itself and that is serious about change (Van der Westhuizen, 1998: 92-98).

Argyris (1999:107-108) argues that in order to meet the challenges for modern organisations, organisations need:

- Much more creative planning.
- To develop valid and useful knowledge regarding new products and processes.
- Increased and cooperative action - action with a culture of long-range commitment by all involved.
- Increased understanding of criteria for effectiveness that meets the challenges of complexity.

These aspects require and depend on individuals and groups with continuous and open access between them, using free and reliable communication where interdependence forms the basis for individual, departmental (and institutional) cohesiveness, and most important, where trust, risk-taking and helping each other is prevalent.

To be able to achieve these conditions organisations (institutions) require individuals who do not fear stating their complete views and are capable to work in groups, creating and maximizing the unique contribution of the individual, working to the principle that "none of us is as smart as all of us" (Bennis & Biederman, 1997:1). These individuals value and seek to integrate their contributions into a creative total and final contribution therefore finding the search for valid knowledge and the development of the best possible solution intrinsically satisfying. According to Argyris, these conditions are not suitable to the traditional pyramidical (hierarchical) structures and managerial controls. In fact, it has just the opposite effect. "For 20 years or more, business leaders have used a score of communication tools - focus groups, organizational surveys, management-by-walking- around, and others - to convey and to gather information, (which is) needed to bring about change. What *is* news is that these familiar techniques, used correctly, will actually inhibit the learning and communication that twenty first century corporations will require not just of managers (leaders) but of every employee" (Argyris, 1999:229).

Being part of a learning society implies that universities/higher education has major responsibilities of providing information, ideas, and schemas for action. Theories, such as those gained from imaginative scenarios do develop more informed decision making (and empowered individuals) to evaluate the higher education institutions regarding policies and technology to assist the learning society (Barnett, 1997:8;9). "A learning society is a significant practice.... A learning society, therefore, if it is to address the transformation it faces, will learn to become a different form of society ... (to reach) shared understanding and agreement" (Ranson, 1998a:2;254;270).

In understanding the demands of society and the workplace in higher education institutions, higher education is placed in the midst of the learning society. Therefore, purposefully making the learning qualities of the learning society its business and thus finding that radical change is necessary if it is to develop appropriately (Davies, 1985:99;104) and to advance in the process of becoming learning organisations.

3.4   HIGHER EDUCATION IN RESPONSE TO CHANGE - EVOLUTION OR REVOLUTION

The changing contexts of higher education within the social and economic world, place higher education institutions in the middle of the change debate. It stresses the importance of lifelong learning within a learning society and the need for higher education to help provide the skill for this development.

With the worldwide evolution in higher education, the most significant aspect has been the realization that the completion of a course should no longer mark the end of the educational process. With the adaptation to a different world and the acquiring of new knowledge, learning has become a lifelong process for everyone and as a consequence higher education is becoming more process oriented (Thompson, 1997: 1; Dill & Sporn, 1995: 3-7). Thompson (1997:2-4) and Farnham (1999: 4-7) indicate that one of the main forces for change has been the drive for international competitiveness. According to research, nations that have been the most successful in terms of competitiveness over the past couple of years are those who have developed a new type of educational system with a much broader base than the old one. Alongside specialization in academic or vocational subjects is expected to be competent in core skills, which generate adaptability, creativity and the flexibility to respond to changing demands. In other words - the foundation of this new model lies in the culture of lifelong learning (Van Heffen, Verhoeven & De Wit, 1999:28).

Sporn (1999:8-19) , Scott (1996: 115-116) and Candy (1994:185) provide a very clear formula of the changes and pressures resulting from the changing contexts of higher education (cf. Table 3.3).

Table 3.3   The changing nature of the university (higher education) environment

CANDY	SCOTT	SPORN
• The continual increase in the sheer amount of knowledge, including the amount required to function adequately in the modern world • The decreasing half-life of professional knowledge • The increasing influence of interdisciplinary understanding in the professions • The transition from an industrial world to an information-based society using increasingly sophisticated technology • Increasing internationalisation and the transition to a 'global village' • The changing shape of organisations and the people's roles within them • A move from an elite to a mass higher education system, with greater numbers of under-graduate students, a greater range of educational back-grounds, and a greater pressure to achieve more with fewer resources • A debate about the appropriate form of articulation between higher education and work, and higher education and other forms of education.	**External environment** • **Acceleration** - regarding innovation, production, individual lifestyles and relationships with the result of increased velocity and disturbing volatility • **Time-space** – ("u-chronia") – 'the end of History' where time has been replaced by instanteity and global villages Internet-ed together • **Risk** - the gain in power produced by technical innovation and social progress is increasingly overshadowed by the accumulation of risks • **Characteristics** – complexity, circularity and non-linearity - open and fluid patterns have replaced 'hard' equilibria, models of thought, behaviour and organization • **Reflexivity** - as traditional structures give way, ideas and institutions must be deliberately constructed and often re-constructed	**External environment** • Restructuring of the economy • Changing role of the state • Shifting demographics • New technologies • Increasing globalisation **Internal challenges and responses** • University reorganization • Transformed leadership, management and governance • Enhanced quality, programme review and evaluation • Applied research and technology transfer • Financial accounting and fundraising systems • Personnel restructuring

Source: Compiled from Sporn, 1999:8-19; Scott, 1996:115-116; Candy, 1994:185.

De Groof et al (1998:57) argues that flexibility, adjustments and innovation are characteristics that the market demands of students (Sadlak, 1998: 105). They are also features that ought not to be left aside by institutions of higher education. If institutions in their turn have to meet what appear to be society's expectations and demands, considerable revision is called for in the way institutional policy is formulated, discussed and determined. The key to this process is self-evaluation with respect to what the university (higher education) does, how it does it and, also how it is perceived by the different stakeholders (Drew & Bensley, 2001:64).

Van Meel (1997:12) states that there is a growing demand for more flexibility in higher education in the most OECD (Organisation for Economic Co-operation and Development) countries. It is the result of the interplay between several changes in the social economic environment. In Figure 3.1 Van Meel depicts an overview of the major parameters, which are forcing higher education institutions to reshape their external and internal organisation.

Candy (1997:170-171) cites Coyne (1996) who states the following in his article in The Toronto Globe and Mail - Privatize or Perish: The case for Blowing up our Ivory Towers,:

> 'What if the universities were privately owned? What if they were listed on the stock exchanges? What if professors held shares? What if universities could open new franchises, take over others, go out of business and start again? What if a "university" no longer meant a vast sprawl of concrete blocks on several square kilometers of suburban tundra, with residences and sportsplexes and boards of governors and student unions and an army of support staff to run them all, but rather small partnerships of entrepreneurial professors?

This viewpoint is in agreement with that of Boyer (cited by Ehrlich, 2000:64) indicating that higher education is part of the problem rather than the solution. Although higher education in many countries throughout the world has undergone dramatic and far-reaching change, the question still remains, have they changed enough or are higher education institutions so far behind the private sector that it is not possible to bust out of
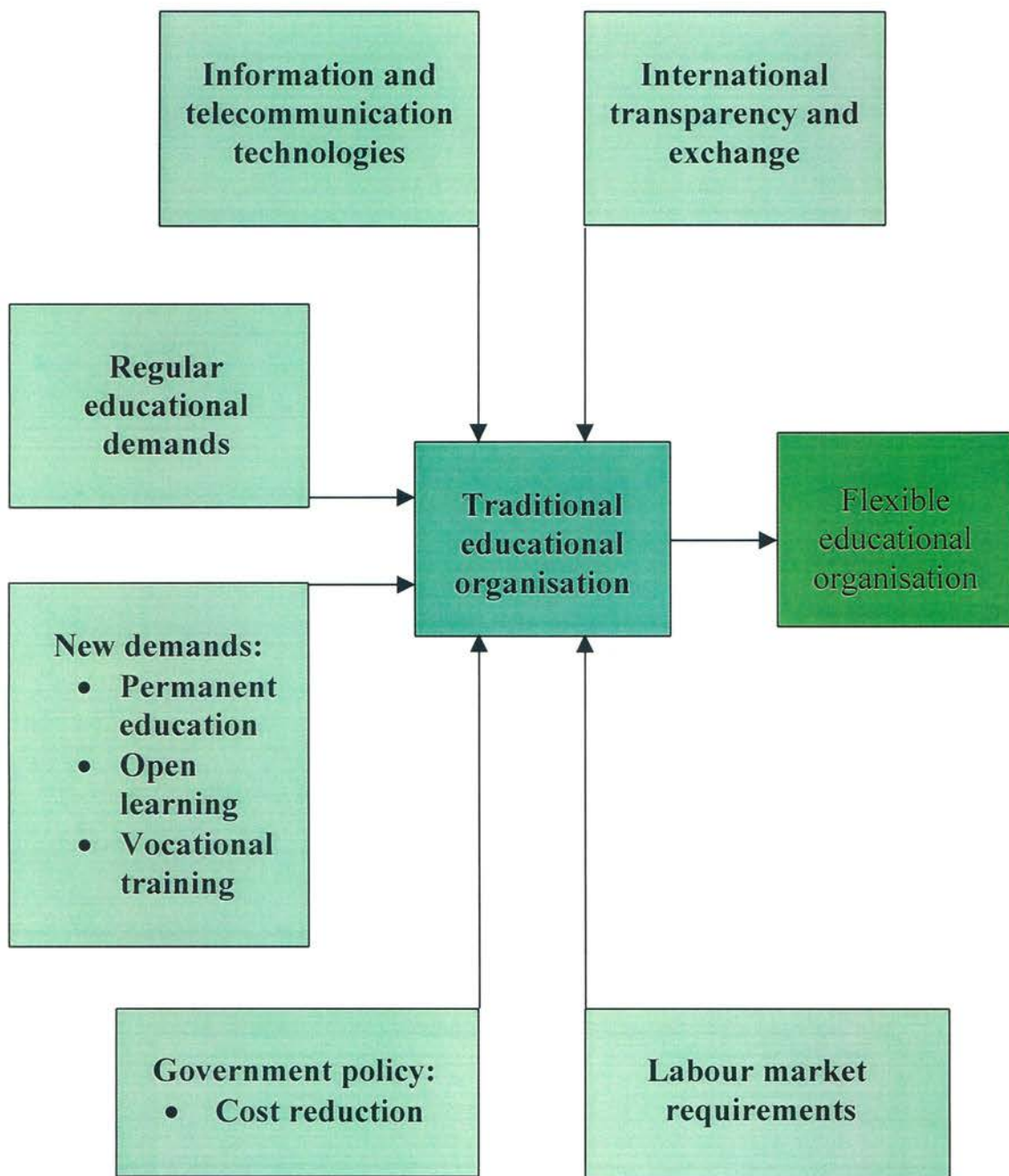
Figure 3.1   **Pressures towards more flexibility in higher education.**
Source: Van Meel, 1997:13

the ivory tower. The invasion of the private sector into the field of higher education indicates that the article of Coyne is no more a futuristic speculation and possibility. "Such initiatives are no longer on the fringes of conventional higher education, but are increasingly invading its core" (Candy, 1997:171).

The development and establishing of a multi-billion dollar knowledge industry outside of the established educational institutions are leading to the erosion of the monopoly the universities (higher education sector) have enjoyed in providing training and granting educational credentials with good currency in the private sector. It seems as if the private sector is responding in more direct and more effective ways to the needs of industry, the labor market as well as students (Gibbons, Limoges, Novotny and others, 1994:76). Perelman (1992:24) makes a very harsh statement when he argues that "contrary to what reformers have been claiming, the central failure of our education system is not inadequacy but excess … the principle barrier to economic progress today is a mindset that seeks to perfect education when it needs only to be abandoned".

Higher education institutions have to take into consideration that in today's environment, new knowledge is being acquired at a greater rate than ever before, to such an extent that knowledge gained a short while ago can be useless or obsolete. Advances in technology accelerate at a rate unimagined just a few years ago and job security is a thing of the past. Most people will not even stay in the same type of job very long (Thompson, 1997:3). Thompson cites Rogers and Freiberg (1994) who indicate that if education stays the same, by the year 2020 nearly fifty percent of all students (in higher education) will be educationally disadvantaged.

Many universities in the United Kingdom, Australia, New Zealand, as well as in other institutions internationally find that change takes place at breakneck speed. The environment and situations change by the hour and the uncertainty principle rules. It brings about an atmosphere within them in which forward planning appears futile (Ehrlich, 2000:21; Brown, 1997:184; Thompson, 1997:2-4).

Brown (1997:184-186).argues that three principles must support the actions of higher education institutions during change:

- "Any radical change that is proposed solely as a cost-cutting exercise is likely to be doomed to disaster".
- "Universities (higher education institutions) are not factories with production lines, nor are they financial corporations with the sole aim of making money".
- "Universities (higher education institutions) must remain a human face".

This does not mean that radical change in higher education institutions should not be welcomed. It should however - at all times - enhance the quality of students' learning and understanding as well as enrich the experience of those who work in the system (Gornitzka & Maassen, 2000:84). It should be remembered though, that universities are part of a nation's cultural patrimony, its historical memory and very often the founthead for political renewal and a revitalised sense of national self-awareness. In the words used in the Magna Charta universitatum Europearum, which in 1988, marked 800 years of the university in Europe, "...The University is an autonomous institution which produces and transmits culture in a critical way, through research and education" (De Groof et al, 1998:57). Change does not come easily. Higher education has a long history embedded in the traditional approach. Many staff members within the system began their careers long before this revolution and are still immersed in the old methods and traditions. Even for the most committed, enlightened and enthusiastic academic leader, adapting to change has been (and still is) not an easy task (Taylor, 1999:38;40, Weinstein, 1993:3;7)

Clarck (1997) cited by De Groof et al (1998:61) indicates that the dynamic process of deregulation/privatisation at the closing years of the twentieth century swept universities (higher education institutions) towards greater structural and organisational differentiation, which are necessary conditions for competition to take root and for academic entrepreneurship to flourish (Koelman & De Vries, 1999:165). The complexities of change, therefore necessitates new forms of collaboration, negotiation and agreement. That is, within the institution, between academic staff, managers of projects, institutional administration and leadership (De Groof et al, 1998:62).

According to Thompson (1997:5) it is therefore little wonder that there is a significant strategic gap between a rapidly changing environment which demands a very different higher education experience on the one hand, to the traditional model with deliverers of education finding it difficult to reject established paradigms that have always worked in the past, on the other.

Higher education institutions that failed to face up to change are unlikely to survive. Widespread institutional development with a new culture and ethos is taking place to accommodate the pressures and expectations of the twenty first century.

Looking at higher education transformation "… these collected changes represent, in the historical context of universities (higher education institutions) a revolutionary change with important consequences for institutional reform …" worldwide (Dill & Sporn, 1995:7).

The researcher will discuss in the following sections the development and change process of selected developed countries. The sample is based on the tertiary enrollment ratios of 1995 (World Bank, 2000:12-13) indicating countries with an enrollment ratio of >50% and, >35% and ≤50%. The sample will include the European Union (excluding the UK) where most of the countries fall with in these ratios. The United Kingdom (UK) with a ratio of >35% and ≤50%, Russia with >35% and ≤50%, Australia with >50% and the United States (US) with >50% ratios.

3.5   CHANGE IN THE EUROPEAN COMMUNITY

Dillemans, (1996:1-2) indicates that higher education institutions (" universities") have a skyline in Europe that is far from identical. They have a proud tradition and intellectual function currently celebrating their 500th, 600th, 700th or 800th years.   These institutions differ according to their history, tradition, and the situation and efforts to compete with modern trends or to respond to new challenges.   Universities are a European invention, which have helped to shape today's Europe.   The "European University" was founded in Bologna, Prague and Salamanca in the times of Erasmus. It obtained its new ambitions and prospectives first from the Kant-ideas, then from Von

Humboldt and Newman. The development of research joined these new ideas on education and became twofold strongly linked objectives of real Universities in modern times. This was consolidated by the "Bologna Charter of European Universities (1985) freedom in research and training, research and teaching defined as being inseparable, trustee of the European humanist tradition, transcending geographical and political frontiers ..." to which many universities in Europe and from elsewhere solemnly adhere (Dillemans, 1996:1-2).

Some thirty five years ago, organised Europe started working together, as a top-down approach between governments and mainly because of economic matters and problems within higher education. It brought a fascinating new perspective to the system, which provided European programmes for mobility and exchange of young intellectuals. The Maastricht Treaty has enlarged the scope of the European Union (EU) to the field of education and research, but at the same time the European authorities are expected to promote collaboration, and not uniformity into one standard type of European University, statute, programmes and diplomas. The focus is on cultural diversity and the development of university networks, which ought to be the driving force of hope for future generations, where the university will be the meeting place of future leaders and leadership development (Dillemans, 1996:3).

3.5.1   European Universities (higher education institutions) in a changing society

Field (1995:150;151) indicates that since 1985 the European Union (EU) has made itself a force to be reckoned with in higher education. With the implementation of the Single European Act it has developed a series of extremely well established higher education programmes and has acquired new competencies and responsibilities in respect of education policy. These changes have taken place through the combined pressures of change towards European integration, the evolution of an international graduate labour market and European citizenship with its entitlements. However, even if the new policies are more significant than what they were previously, they still have some way to go before they will have a significant impact on institutional practice.

In 1994 details were set out in the new Socrates action programme for education, but with limited implications for higher education. These new measures called for higher education to support an expanding knowledge based economy that should contribute to a single labour market for highly qualified personnel. All these measures should be based on the concept of developing, generalizing and systemising lifelong learning and continuing training (Field, 1995:155).

The overwhelming change in the higher education sector was provoked by, both the explosive growth of science as well as entering the 'knowledge society', wherein knowledge is the real source of the wealth and progress of nations, and the main production factor for the twenty first century, more than labour or capital were in the previous century. The implication for higher education is that they have a decisive role to play as independent centers of learning and as sources of innovation in the future production process and technology that should promote European growth and technology in an international market and university (higher education) environment (Teichler, 1998:88).

Although hardly any of the institutions within the industrial societies of the Western world has experienced such comprehensive and rapid transformation and growth as tertiary education recently, most European higher education systems are lagging behind countries such as the United States and Canada (Gellert, 1997:114).

To be able to play a leading role in international markets, change and development in higher education had to take place in Europe. These developments brought revolutionary changes to the scope of the university (higher education institutions) tasks and the academic management of these institutions (Dillemans, 1996:5). These changes will expect leaders of European universities to embark on new forms of leadership and leadership development. Therefore, not only following the directions set by the European community, but also steering ongoing movement in the higher education system. The leaders will have to acknowledge the concept of continuous learning and that of the (lifelong) learning society.

3.5.2 New perspectives for European higher education

Dillemans (1996:5-6) argues that leadership in the European higher education institutions stand before huge tasks to guide and organise flexibility in academic careers and curricula, and operate with new criteria for academic development and progression. European higher education institutions will have to:

- Create national and international networks via contacts and contracts with colleagues of other institutions (Van der Wende, Beerkens & Teichler, 1999:86; Scott, 1998:119).

- Engage in new types of contact and projects with industry and introduce new tasks that institutions are required to perform by way of service to the community.

- Follow and implement new alternative models of education.

- Provide, not only research based knowledge, but also practical skills and abilities required in the labour market

- Deliver new programs of prestige and efficiency, and take responsibility for their quality as well as internal and external assessment (Van der Wende et al, 1999: 86-88; Huisman & Meek, 1999:121)

- Find answers for funding of international research as well as the threat and questioning of teaching linked with university research (Jenniskens & Morphew, 1999:105-109).

- Bring higher education institutions, with their own set of problems, closer together through the information highways (Van der Wende et al, 1999:90-91).

Many institutions have become more complex. Units have grown much larger, and the ultimate pursuit of quality and excellence is a demand which implies regular audits of administration, and more important - of the professors (academia) as well as the research efforts (Van Vught, 1996:185; 205). The demand for leadership is eminent. Dillemans (1996:7), who is the Rector of his institution, indicates that institutional leaders should surround themselves with well chosen and faithful staff with good management skills who should implement an institutional structure of " ... flat management, of the 'primus' or even better 'par' 'inter pares'". The ultimate aim should be the co-operation of all members of the university in real community, around a project. The type of project

where the university stands for quality education and research, "…with a specific profile and inspiration". The Rector and his Academic Board should be the centers of responsibility and personification in their thinking, listening, training, speaking, learning and empowering, and the implementation of the many new tasks and decentralised ways of organising "… leading them into the new knowledge society" (Dillemans, 1996:7).

The governance of higher education institutions as well as the effectiveness of the internal institutional decision-making processes and procedures is under discussion in many countries. It can be seen as a result of an emphasis on the more market-oriented approach with the increased focus on managerialism and businesslike structures to the steering of higher education systems. It can also be regarded as a logical consequence of an increased emphasis on institutional autonomy for the purpose of strengthening institutional administration and increased accountability in terms of value-for-money (Geurts & Maassen, 1996:69-70; De Boer, Goedgebuure and Van Vught, 1996:98).

3.5.3   Consequences for the academic profession in Europe

The pressures for change of the higher education environment have their own set of problems for the profession. The growth of numbers, at stages, in an uncontrolled manner did not always result in the best quality of the profession. The existing 'caretakers' of the profession often have no adequate financing and are so overwhelmed by the many different requirements that they lose their sense of the core activities in universities (higher education institutions). Research has become the most prestigious role and the key factor dominating international contracts. However, it impacts on the necessity of teaching at both graduate and undergraduate level. Teaching development and capability must be promoted in an environment that benefits research. Academic staff will also have to adapt their understanding of knowledge transfer to the fast moving world of virtual programs and information technology (Van Damme, 2001:427; Drew & Bensley, 2001:61; Croxford, 2001:53).

Another major consequence if change in Europe is the exodus of young people to the United States after their undergraduate studies. It has turned many of the universities into 'undergraduate institutions'. Student mobility as part of the ERASMUS programme

forms part of the vertical relationship between the European countries. However, with the preference of poor students, as well as students from poor countries, to attend institutions with better or higher quality qualifications and advanced study as the hallmark of the most prestigious institutions, student mobility tended to be one way instead of reciprocal (Teichler, 1998:90). Student mobility in Europe therefore, gives the indication that Europe is still less attractive for young researchers and scientists from the age of twenty five onward. It indicates an unfavourable climate for research and innovation in European institutions. The brain drain has an impact on economics as well as on creativity and innovative efficiency. There is also the impact of "brain loss" (Dillemans, 1996:9), which deals with the aspects of exclusion of talent because of the restrictions imposed and an unsociable climate (Van Damme, 2001:418-421; UNESCO, 1998:17;22; Van de Bunt-Kokhuis, 1997:184-188).

The importance of the role of 'the other' (than universities) higher education institutions comes to the fore in the critical issue of differentiation and diversification in tertiary education. There are various models on the table throughout the European countries. What is important is that different institutions should cater for different needs but not on different 'levels' or standards (Van Damme, 2001:423).

Teichler (1996:18) categorises institutions, in Europe, in an abstract form in terms of their prime functions:

- **Research institutions** – i.e. institutions exclusively or almost exclusively in charge of research.
- Institutions combining **research and teaching.**
- **Other teaching orientated** institutions of higher education.

The outcome of the institutionalisation process, however, is dependent on the characteristics of the innovation, which in turn are influenced by their compatibility regarding their context and profitability in economic terms and effectiveness (Van der Wende, Berkens & Teichler, 1999:74-77).

As far as education is concerned, funding still comes from public authorities and is therefore largely national, in terms of the European Community. However, the share of the European Community regarding research is growing. This impacts on the decision-making mechanisms envisaged for the European Community, and indicates to extensive intervention by the representatives of the different member states and the distribution towards research, which does not compare well with the relatively homogeneous American or Japanese systems. Dillemans (1996:12-13) feels that the responsibility of the international authority does not lie with the criteria for access, the framework of training and the organisation of education and research.

Although the relation between research and teaching has been scrutinized and academics been put under pressure, Teichler (1996:35) indicates that almost three-quarters of the European academics reported that they are interested in both teaching and research, and just more than a quarter saw their interest primarily in either teaching or research. They adhere to the principle of academic freedom that can be defined as: "… the freedom for the members of the academic community - that is teachers, students and scholars - to follow their own scholarly inquiries and are thereby not (to) be dependent on political, philosophical or epistemological opinions though there own opinions may lead them in this direction" (De Groof et al, 1998:85). They indicate that some European countries entrench academic freedom in their constitutions to provide security against authoritarian regimes of which they have experience in the historical background of their countries (De Groof et al, 1996:85).

What is interesting to note is that there is no single concept of university autonomy shared across the member states of the Council of Europe and that methods of control and procedures of accounting and accountability are far from uniform. In the process of organising and steering collective endeavour in Europe's higher education system, institutions have developed other forms of decision-making.

The decision-making is linked to the national history memory of institutions. It therefore differs from the imposed decision making of society's expectation that higher education will provide the qualifications, the skills and the abilities society needs. This in turn is based on the growing conditionality upon the system imposed by the pressure of

economic change. De Groof et al, (1998:130) indicate that society is prepared to back and support higher education on its own terms - terms that are rarely without strings. In return for their support society demands greater efficiency (in terms of the lower unit costs), fewer students dropping out, better preparation for employment and better and regular accountability regarding resources - how they have been used and what has been achieved.   These factors have profoundly altered the way and the understanding of higher education leadership and organisation within the European Community.   This involves significant revisions in the balance of power between academia, administration and leadership in the internal governance of these institutions.   Blasi (1999:32) argues that the task of higher education in the New Europe is to face the difficult but important challenge of the necessity of a "sturdy individual leadership and the equally fundamental co-operation of collegiate bodies". He indicates the importance of shared information of excellence as an accepted ideal without interfering with the diversity of local situations, traditions and cultures as well as individual solutions.

3.6   COPING WITH CHANGE IN THE UNITED KINGDOM

The United Kingdom (UK), although forming part of the Council of Europe, is discussed separately and was therefore, not included in the discussion of the changes taking place in the European Union.   According to McLean (1995:160) Britain has been standing apart from Western Europe since 1990 and looked more towards the North American model. However, their history is deeply linked with that of Europe.

3.6.1   Development of higher education in the United Kingdom

Higher education (learning) emerged in the UK with the creation and development of institutions at Oxford (1214) and Cambridge (1219) during the 12th and 13th centuries. The main reason for this development was the need of kings, bishops and landowners (the elite) to be trained men to conduct their affairs.   Before the Reformation St. Andrews (1411) Glasgow (1451) and Aberdeen (1495) were established with Edinburgh (1583) following during the Post Reformation era.   This 'first wave' of institutions was joined by a number of 'old' civic universities during Victorian Britain. A 'second wave' of development followed (1881-1962) with a 'third wave' of development of nine plate

glass institutions (these institutions were built at sites where there had been no existing university provision) and ten technological universities between 1961 and 1969 (Farnham, 1999:209-210)

During the decade 1970 to 1980 a massive expansion and radical change in higher and further education took place. Two conflicting pressures pushed the higher education system: "… to maximize its contribution to society and economy and to control public expenditure" (Phillips, 1994:169). Phillips (1994:180) argues further that these changes changed the character of higher education. It affected the student (range and background), the courses and range and type of institutions. However, more universities were created as well as fifty polytechnichons and additional teacher and further education colleges. In 1992 most of the institutions of higher education were upgraded to full university status (Halls, 1995: 1025; Wagner, 1995:15; Williams, 1991:24).

Wagner (1995:15;17) argues that the changes that took place in the last thirty years, have been ones of rapid change in the UK higher education system, and with the financial cuts of 1981, indicated the arrival of modern times for British higher education (Duke, 1992:11). The changes mainly concerned the issues of external life (finance, governance and structure) to make institutions more managerial, in other words, to bring about managerial efficiency and enhancing productivity (Duke, 1992:11;12). The internal issues of values, purpose, what is taught and how it is taught have been subject to far less change. This has resulted in a situation where the external changes have produced a mass higher education system and the lack of internal changes have retained the mold and values of an elitist system. The two worlds are out of balance and the imbalance is the cause of many tensions and dysfunctions presently experienced by the higher education system.

Edwards (1997:223) states that during the decade 1987 to 1997, higher education in the UK has undergone a revolution with dramatic expansion in enrollments, aggressive regulation by government of funding regulations, increased accountability and new drives to generate additional revenues. The 1992 Education Act re-created a single system of universities where artificial distinctions between higher education institutions were removed and differentiation was to be delivered not through structure but through

mission and purpose (Farnham, 1999:211;Blake, 1997:47; Halls, 1995:1025; Wagner, 1995:15-17). It will be difficult to find one set of rules for the future direction of higher education institutions. However, the integrative changes of this era seek to create change from within. The rapid expansion to mass higher education in the UK made a reversal to an elite system impossible (Wagner, 1995:20). Schuller (1995:11) cites Halsey who argues that "…(It) is difficult to disagree with Martin Trow that in the last ten or twelve years British higher education has undergone a more profound reorientation than any other system in the industrial world". With the massification of higher education and therefore the change from the elite system to one of mass participation with over thirty percent of eighteen year-old school leavers entering higher education, it is expected that the participation rate in higher education would have increased to forty percent by 2000 (Ford et al, 1996:8)

3.6.2   Incentives for change

The incentives provided by the British government and the expansion of the system resulted in an influx of students entering the system via the non-traditional routes. This has changed the student profile with more students older than 21 as well as more part-time students (in many institutions making out the majority). The change in student profile also indicates a change in the choice of institution, courses, learning and assessment. Students are increasingly looking for environments of study to suit their individual learning styles and career aspirations (Ford et al, 1996:14).

Schuller (1995) also indicates that the higher education system should (or could?) respond to the changes in the following way:

- Higher education should continue to grow but not by pumping the same model into still bigger sizes and squeezing more students into the system.
- Most of the expansion of initial higher education should take place in the further education sector, and the articulation between further and higher education should be improved so that further education is recognised as part of the higher education sector.

- For the sake of mass higher education more emphasis should be placed on shorter and broader provision as the foundation for higher education.

- Part-time provision will become the norm and should be funded on par with full-time provision.

- The distinction between initial and continuing education will become more blurred while continuing education will increasingly diversify.

- The relationship between teaching and research must continue to change to reflect both specialization and integration (Taylor, 1999:3-7; Schuller, 1995: 12-13).

In order to gain the improvements in efficiency and effectiveness that the new system demands, higher education institutions need to consider the implementation of new organisational structures, new learning methods, new delivery methods enhanced by information and communication technology as well as new partnerships and collaborations (Ford et al, 1996:10).

Farnham (1999:213-214) indicates that the National Committee of Inquiry into Higher Education (1997) saw the overall aim of higher education "…as being to enable society to make progress through an understanding of itself and its world: in short to sustain a learning society". They derived at four broad purposes of higher education:

- To inspire individuals to develop their capacities and capabilities to the highest potential on a lifelong basis to be well equipped for work, to contribute effectively to society and to achieve personal fulfillment.

- To increase knowledge and understanding to the benefit of the individual (themselves), the economy and society.

- To serve the needs of an adaptable society with the above mentioned knowledge basis at all levels.

- To play a major role in shaping a democratic, civilized and inclusive society.

In response to the perceived needs of industry there has been a shift away from discipline-focused degrees to the acquisition of the kind of skills, which can be directly used in employment. Through the control of the public purse, funding councils have used their power to steer the system to respond to perceived industrial needs and to pull

the financial strings (regarding accountability and control) over both teaching and research. Institutions found themselves in a situation where they had to compete for both student and research income. Ford et al (1996: 11-12) argues that this competition is likely to change the face of the new higher education sector for the twenty first century. In the competition for students (particularly post graduate) institutions have been increasingly entering the global educational markets and more particularly in the Pacific Rim Countries.

To be able to compete therefore, means that the higher education institutions in the UK cannot just look for efficiency gains to cope with external changes, but must also engage in continuous improvement of the effectiveness of their learning environments (internal changes). Ford et al (1996:11) state that "we do not yet have a settled system, and we may never have one again"

3.7   CHANGE IN RUSSIA

Educators in Russia find themselves part of a "cataclysmic" social, economic and political change and transformation after decades of subordination and the goals of communist rule (Kerr, 2000:131). This did not only affect the education system in total, but also the higher education institutions. The "new" Russia was formed with the formal dissolution of the USSR in December 1991 (Jones, 1994:xiii).

By November 1992, forty percent of the population was below the poverty line and the political uniformity of the past had crumbled. This resulted in weak central authorities and an ill defined path ahead. The most important consequences were however, that the prestige of education dropped severely and it became very difficult to finance education in general. A higher education qualification no longer holds much promise of a job or a successful career. The changing economic circumstances and the devaluation of the prestige of higher education qualifications played a major role in the changed attitude towards higher education (Kerr, 2000:135; Nikandrov, 1995:819-827; Adelman, 1994: 290). It is expected of educationalists (schools, institutions) to solve their own educational problems after having being dictated to for the preceding seventy years. One can therefore, clearly state that the Russian education system is ill equipped to deal with

change. It will be the responsibility of educational leadership to develop and provide the knowledge, vision and attitudes to form a new emerging society (Jones, 1994:xiii).

Blazer (1994:27;40) argues that the education system in Russia is in the midst of changes even more sweeping than those envisioned during perestroika. This might be parallel with the revolution in education that was carried out from the 1920s to the early 1930s. Emphasis on the development of human potential is reflected in the proposed increase in the number of students to be admitted to higher education, in place of the previous priorities of demographics, economics and labour force concerns.

3.7.1   Implications for higher education institutions in Russia

Higher education institutions are challenged in a number of ways to deal with change and are expected to look at the following aspects and consider the need to:

- Change their governance and management structures to more democratic ones that would allow more autonomous behaviour towards total academic self-management.
- Change their curricula to match the transformation from Socialist economies to market economies.
- Change their mission from mainly teaching-oriented to incorporate research.
- Allow for the implementation of new policy in higher professional education.
- See that the repudiation and liquidation of centralized planned management and monopoly of the state in the establishment of higher education institutions take place.
- Allow the foundation and support of the non-state sector of higher education.
- Compete with a new sector of private higher education institutions of various kinds.
- Support the elimination of ideology and ideological control towards democratized systems and academic freedom.
- See that bureaucratic regulation of institutions and the academic communities are eliminated.
- Support the elimination of the isolation from international research networks. (Westerheijden & Sorensen, 1999:13; Popov, Kudryavstev, Ivanov & Volkova, 1998:337-338).

Bestuzhev-Lada (1999:28) indicates that the problems in higher education are totally due to specialization and public education as a whole, a system that is characterized by:

- Strong inertia affecting the prestige of qualifications.

- Overproduction of mediocre and poor degree-holding specialists at a time of a growing shortage of good specialists.

- A spread of bribery and corruption in order to be admitted into higher education and to pass the succeeding exams.

- The bogus nature of most higher education institutions regarding qualifications of academics and the conditions of the institutions.

- Formalism of courses that does not reflect future careers.

These aspects are of major concern and will require new initiatives and a new breed of leaders who will address these problems and deal with legislation on higher education that is in a constant state of development (Popov et al, 1998:342). Tangian (2000:31) states that higher education must take into account the task of dealing decisively and fully with the new requirements. He argues that "…to *take into account* does not mean just to adapt; rather, it means to *foresee, to anticipate, to influence, to direct* ". Institutions have to compete with the perception(s) that higher education is no longer important and necessary (or even useful) for gaining access to the most lucrative types of activity such as buying and reselling. New profitable business opportunities are more attractive to young people than studies. The increasing financial needs forced students (those who choose to study) to earn money to supplement student stipends and they have to move into a market after graduation where layoffs and unemployment are rife. "These problems - the preoccupation with money, and a lowered standard of living, the questionable importance of education and threat of unemployment", all have an significant impact on the decisions about education and career, and make them wonder if the choices of education still have any relevance today and will it be useful in the future (Adelman, 1994:291-292).

These aspects have an influence on all developments, changes and transformation within the Russian higher education system, academic leadership and institutional

reconfigurations to address the future and the relevancy of the higher education system for the new century.

3.8   CHANGE AND TRANSFORMATION IN AUSTRALIA

The history of Australian higher education can roughly be divided into three periods:

- The Long Boom (period up to the Second World War)
- The Post-war Boom (era to the mid 1970s)
- Significant reorganization period (the mid 1970s into the1990s – the present?) (McCollow & Knight, 1993:9-10).

3.8.1   A historical overview

The Australian higher education preceded the formation of the Commonwealth of Australia in 1901 (Kelso & Leggett, 1999:293). The Australian university (higher education system) was established within seventy years of settlement. The university of Sydney was inaugurated in 1850 and Melbourne in 1853 (Wilson, 1997:195). These institutions as well as the universities of Adelaide and Hobart brought with them a long and proud history that were loosely based on the Oxbridge or Dublin model (Wilson, 1997:213;218, Sheehan, 1996:14)

.

By the end of the nineteenth century technical institutions and teachers colleges formed part of the higher education landscape. However, the modern era of higher education in Australia began in 1957 when the ruling Prime Minister, Robert Menzies, invited Sir Keith Murray, the chairman of the universities Grants Committee in Great Britain, to chair a committee to investigate how best the universities may serve Australia at a time of great social and economic development within the Australian nation (Wilson. 1997:196).

In 1973 the Government took over the total funding responsibility for higher education. This sowed the seed for profound changes. From 1976 onwards, with the marked deterioration of the economy, external forces became increasingly assertive and

influenced the internal mission(s) of the institutions. Value for money was high on the agenda and the financial brakes were placed on institutions from 1977, for the following ten years (Sheehan, 1996:14-16; Karmel, 1990:256).

Australia embarked on a process of restructuring its higher education in 1987. It is a change process of which the equivalent had never been seen or thought possible. A number of complex reasons had much to do with the restructuring process. For the sake of international economic empowerment the Australian government of the day argued that higher education institutions was not producing the right skills. Higher education was seen as part of the solution of Australia's economic problems. The restructuring occurred against the larger backdrop of global restructuring towards; high technology, flexible labour markets and skilled workers (Smyth, 1995:51-52).

These reforms were built on the premise - and the conviction - that higher education institutions only have a limited capacity to promote internal change and to adjust to external forces. Change will have to be imposed on them for real change to happen (Karmel, 1990:48).

A range of measurements to reform and transform the Australian Higher Education were introduced by the then minister for employment, education and training (John Dawkins), in a number of policy papers during 1987 and 1988, which was characterized by the following features:

- The role of higher education to develop highly skilled productive workers to restructure the existing industries to high technology industries.
- Internally self-sufficient institutions less reliant upon federal income, entering into collaborative funding arrangements with industry, as well as a partial to full users-pay principle of tertiary tax, and the payment of full fees.
- Centrally devised economic initiatives towards prescribed government objectives assessed by means of performance indicators.
- Amalgamation of the significant number of institutions for the purpose of efficiency (economics of scale) to create a unified national system of institutions. Central control achieved through profiling academic programmes to meet national objectives.

- Central control regarding research and research funding to meet national priorities (Smyth, 1995:55-54; Maslen & Slattery, 1994:23-38).

3.8.2 The impact of change on Australian higher education

It is needless to say that these changes created quite a reaction. Smyth (1995:59) cites Bartos (1990:12) who argues that the transformation led to a system of autonomous institutions, which behaved like private corporations in competition with one another to offer teaching services at the lowest price. Dawkins was criticized for his instrumentalisation of knowledge, industrialisation of institutions and selective economistic viewpoint which ignored the traditional notion of holistic education and replaced it with an academic assembly line delivering a specific range of products (Smyth, 1995:59-74).

Farnham (1999:344) (cf. Table 3.6) groups higher education systems worldwide into categories. He indicates that Australia together with the United Kingdom falls into the category of extensive change. Change that had, and still has, significant impact on the higher education systems of both countries.

The substantial changes in Australian higher education in the 1990s have resulted in a redefinition of roles and the redrawing of rigid boundaries amongst institutions. In January 1997 a review chaired by West, looked into the prospects for Australian higher education over the next twenty years. The review considered the 'core system-level issues' of the role of higher education in society and the economy that will impact on, and change the demand for higher education over the next two decades. The Australian Higher Education Council lists the following as the principal purposes of Australian higher education institutions in their response to change:

- Appropriately qualified Australians - Education should enable them to take a leadership role in the intellectual, cultural, economic and social development of the nation and all its regions.
- The creation and advancement of knowledge.

- The application of knowledge and discoveries to the betterment of communities in Australia and overseas (Kelso & Leggett, 1999:294;306).

These purposes define the three traditional pillars of scholarship, teaching, research and service in a modern idiom and it is seen as a "return to the original mission of the university in society" (Kelso & Leggett, 1999:307).

In line with the principle of massification, student enrollments in Australian Higher Education increased from around 14,000 in 1939 to around 600,000 1995. Kelso and Leggitt (1999:297) indicate that since 1992 there has being a decline in the numbers of school leavers (17-20 year cohort) and an increase in mature students (+ 25's) seeking entry into higher education institutions, as well as an increase from 28 percent (1980) to 62 percent (1995) in contracted postgraduate students (cf. also 2.3.3). The UNESCO statistical Yearbook 1999 (11-473) gives the total enrollment figure for higher education in 1997 as 1,041,648. The higher education massification revolution launched in 1988 was skillfully consolidated. However, the priorities of a new era forced the rethinking of the priorities for a new century (Maslen & Slattery, 1994:38).

Maslen and Slattery (1994:242) argue that although institutions have dealt with change the fact remains that higher education institutions (universities) around the world are deeply troubled institutions. They indicate that the key issue for Australian higher education institutions to tackle is the matter of the university's new identity - an identity for a new and compelling future - a concept of major significance for leadership and leadership development as well as institutional re-organisation.

3.9   CHANGE AND TRANSFORMATION IN THE UNITED STATES OF AMERICA

3.9.1   Introduction

The influence of history, politics and culture were responsible for a highly decentralised, complex and pluralistic system of higher education in the United States (U.S.) (Horton, 1999:260). Change and transformation in the U.S. higher education system takes place at

different levels with a good deal of inevitability in that change (Palmer, 1998:157). Higher education institutions operate on a continuum from public to private classification, where changes and educational reform are partly the result of state legislatures (responding to political pressures) that regulate the actions or the needs of institutions. Institutions range from research universities to undergraduate colleges and from comprehensive universities to community colleges (Sabloff, 1995:111-112). However, the American higher education system is the world's largest education system and the most productive regarding research, knowledge production and distribution as well as the training of high-level personnel (Altbach, 1998:55). Its lead over the academics of Europe and the East is substantial and it has a high reputation abroad as well (Bennett, 1998:1).

3.9.2   A historical overview

The basic university model of the American system is European and goes back to the medieval universities of Paris and Bologna. Altbach (1998:58) states that, the earliest models were English, and copied from Oxford and Cambridge. The early American colleges trained a small elite and were religiously oriented. At the beginning of the nineteenth century the higher education system expanded impressively, but kept to a narrow curriculum steeped in the classical studies and languages. These new institutions were symbolic of the new growing nation and middle-class development. The end of the nineteenth century saw the emergence of graduate education and the rise of the public universities. These institutions combined several key ideas in American higher education. It included the concept of direct service to society, liberal education as the cornerstone of undergraduate studies, and the emphasis on research. These concepts had significant impact on the higher education system. At the beginning of the twentieth century the American higher education system imported the German concept of academic research and the ideal of academic freedom.

The contemporary American university was thus, shaped by the English liberal arts tradition, the German research concept, and the land-grant public universities. These changes took place over a long period of time and it was easier for academic innovators to establish new institutions rather than to reform existing institutions (Horton, 1999:

261). Altbach (1998:59) argues that by 1910 the basic structure of the research oriented American university was entrenched, however, the large "multiversities" (Kerr, 1995:1) underwent their most dramatic expansion between 1950 and 1970, and their orientation and structure date back to the early twentieth century. This indicates a very slow incremental and often partly successful change process.

3.9.3   Change in the American system

Bowen (1996:5) raises the point that American higher education faces real problems and that it can benefit from constructive criticism. The American twentieth century higher education institution is based on a dichotomy. Altbach (1998:68) argues that it has a "…unique combination of considerable institutional stability, even conservatism, on the one hand, and the ability to adjust to new demands and directions … (that) is not the result of careful planning but rather of evolution". He indicates repeatedly that established institutions have been the most resistant to basic change. However, there has been a great deal of change at the periphery but with no master plan for higher education. Decisions about the structure of higher education, the licensing of public colleges and universities, and funding rests primarily with each of the fifty states, with the states relying heavily on federal funds to supplement state subsidies (Horton, 1999: 262; Franzosa, 1996:126). The fact that there is no master plan available to deal with change caused institutions to have a considerable degree of autonomy, self-governance and self-regulation, and have dealt with change in different ways and varying extents (Bennett, 1998,:2; Trow, 1993:40). This indicates therefore, that academic change takes place without central planning but not without direction and it is functioning in a very flexible and open system, a system that is not directly comparable to that of Europe or any other system for that matter. Kerr (1994:5-6) deliberates that higher education in the US has some well established patterns of behaviour that are likely to continue and that will have an influence on the future of the higher education system (Table 3.4).

The higher education system in the United States has grown from 563 institutions in 1869, to 2,556 in 1970, and 4,064 institutions in 1997 - 1998 (U.S. DOE, 2001:201; U.S. Census Bureau, 2000:183; Van Patten, 2000:15; UNESCO, 1999:11-467). This tremendous growth has resulted in a multitude of problems that has affected the higher

education system in the latter part of the twentieth century, which lead to criticism from within and without (Smith & Webster, 1997:109-110).

Table 3.4   Patterns of behaviour influencing change

ASPECTS INFLUENCING CHANGE	PATTERNS
• Trends in attendance rates (18 – 21 age cohort).	1890 - 3% 1940 - 16% 1950 - 30% 1990 - 40% 2000 - 50% (although an estimate, it has been achieved: World Bank, 2000:12-13) 2013 - 60% (estimate)
• Changing size and age composition.	• Total size of population expected to stay fairly stable. • Changing age groups – significant shift to older age groups.
• Shifts in racial and ethnic composition of population minority groups as percentage of total population	1990 - 20% 2000 - 30% (estimate) 2050 - 45% (estimate)

Source: Compiled from Kerr, 1994:5-7.

All these influences could be summarized as follows:

- State legislature, government cutbacks, inflation and economic downturn influenced public policy regarding expenditure and resulted in severe fiscal problems and trimmed budgets at institutions.

- Demographic changes indicate that there will be a decline in the population of college young people (18 – 21 age cohort) in many areas.

- Hardly any institutions have closed that could influence retrenchments at various levels.

- The concept of tenure (lifetime appointment) is under attack and a more market-related / organisational system is advocated.

- Changes have taken place regarding curricular offerings and program (course) selections.

- Many institutions have cut support services.

- Morale has gone down.

- Demands and a public outcry for accountability has increased.

- Expansion of private higher education institutions.

- The ever increasing number of part-time and term appointments (hired mainly to teach).

- The influence of the non-tenure system on research and research outputs.

- The changing concept of scholarship with a greater emphasis on teaching and learning and the increasing demand for new methods of teaching and learning.

- Alienation of academia from administrative authority (Dickeson, 1999:1-17;Altbach, 1998:51-91; Palmer, 1998:1-8; Bennett, 1998:3-6; Trow, 1996:227-267; Fairweather, 1996:185-206; Sabloff, 1995:113-120; Roche, 1994:7-15).

These aspects indicate and refer to the relations of institutions to the people, groups, institutions in the society who support them, as well as the relations of members of a particular institution which, in its broadest terms indicates accountability (Trow, 1998:23; and Trow, 1996:227; McCoy, 1995:53; Munitz, 1995:22; Berdahl & McConnell, 1994:57-58). Trow (1998:28;36 & 1996:232) makes a distinction between:

- **External and internal accountability**, where external accountability is the obligation of higher education institutions towards their supporters and society at large in assuring a faithful pursuing of their mission and an honest and responsible use of resources. Internal accountability on the other hand, is the accountability of peers towards one another and how well they perform their scholarship duties.

- **Legal and financial accountability,** where legal accountability reflects the obligation to report how the institution is dealing with resources according to law, and financial accountability indicates if resources have been used for the purpose for

which they were given (internal and external financial audits by external independent bodies).

- **Academic accountability** is the obligation to tell groups (and individuals) inside and outside the institution if and how the resources have been used for effective teaching, learning (creation of knowledge) and public service.

According to Bennett (1998:11) academic institutions need to turn the light upon themselves and should therefore, be open to correction. These new pressures, especially the focus on the different forms of accountability, pressurise institutions into finding alternative forms of leadership and organisational structures to meet these new demands. Bowen (1997:18) and Bowen (1996:5) indicate that the debate regarding higher education has been one-sided. It has focused attention on the problems and weaknesses of the system and neglected to concentrate as well on the strengths, and the contributions of the system to the American society. The deficiencies, limitations and occasional absurdities are nothing compared with their positive accomplishments and their potential.

Kerr wrote in the preface (1963) of his book: "The uses of the University" that "…universities in America are at a hinge of history: while connected with their past, they are swinging in another direction" (Kerr, 1995:xiii). He indicates however in the preface (1994) (both prefaces included in fourth edition of the book) that "… the mirror is still showing the same reflections" and that higher education is marking "…a still 'newer' swinging in another direction" (Kerr, 1995:ix-x). Although the outcome of changes might be different, it is the continuous changes and transformation that impacted on and changed the shapes and sizes of the American university. Kerr (1994:125) indicated the periods of minor, major and transformational change that has influenced higher education in the US (Table 3.5). He anticipates transformational changes for this new millennium and argues that there will be a constant conflict between the "pride of the old and the aspirations of the new, (and) between diversity and excellence". There will be a quickening of pace for institutions and a vigorous competition across all of higher education. In a world lead by knowledge, leadership abilities and leadership development will be even more important elements of society and higher education (Ehrlich, 2000:99;361; Lerner & Simon, 1998:470; Gilley, 1991:133;136).

Table 3.5   Decades of the twentieth century in terms of change and/or conflict involving American higher education

DECADES	CHANGE AND/OR CONFLICT
1900 - 1910	• Minor
1910 - 1920	• Major
1920 - 1930	• Minor
1930 - 1940	• Major
1940 - 1950	• Major
1950 - 1960	• Major
1960 - 1970	• Transformational
1970 - 1980	• Transformational
1980 - 1990	• Minor
1990 - 2000	• Major (anticipated)
2000 - 2010	• Transformational (anticipated)

Source: Kerr, 1994:125

3.5.1   Views on the future

The new American institution should be able to maintain a dynamic equilibrium between the different tensions indicated and it should build the new structures according to the following characteristics:

- Institutional autonomy, faculty independence, academic freedom, strong impartial public governance and decisive institutional leadership.
- Increasing private support as well as increasing public accountability and social commitment.
- Campus culture rooted with international orientation.
- Academically independent, but constructively partnered.
- Knowledge based but student centered, and research driven but learning-focused.
- Technology sophisticated but community dependant.

- Quality obsessed, but procedurally efficient.

- Professionally attuned, but humanly informed (Rhodes, 1999:168-172)(cf. Table 3.7)

Vest (1997:470) argues, that American higher education institutions do not have a choice anymore – they have to change. He argues that they do not like change, but that they must become less fearful, less resistant and more responsive to change. Institutions should get serious about responding to change and they should lead change. Higher education institutions must reinvigorate a commitment to excellence in their society. To regain the commitment to excel needs a belief in excellence and a commitment to the future. "To foster such a goal academic leaders need to be teachers and sources of inspiration to a much broader public than we seem to reach. This will require listening to the dreams, aspirations, and values of people in this country (U.S.)" (Vest, 1997:56). For universities (higher education institutions) to survive, they will have to adapt to the changed external environment that has changed rapidly and markedly in a way that suggests that the U.S. higher education institutions are facing not a temporal fluctuation but a fundamental structural change to which they must adapt or face decline (Rhodes, 1997:164).

Altbach (1998:69 & 1997:3) states that in the U.S. "the problem of shifting from a mode of expansion to one of (a) 'steady state' or decline has been serious". The fact that the academic community has not been able to make the change has aggravated the problem. Rhodes (1999:173) however, argues that the American University (higher education institutions) are not in trouble or in decline. They are world-class institutions (Dickeson, 1999:1; Altbach, 1997:3) and provide a benchmark for the rest of the world. Rhodes (1999:173) maintains that the American institutions need to change and aspire to the new characteristics, not because they are weak, but because they are strong. They must realise that change for the sake of change brings no benefits but that responsible change is the requirement for their continuing strength. The essential aspects for leadership in the future is to bring about these fundamental changes and characteristics of new institutions and the necessary commitment as well as the intellectual and emotional support and behaviour of academic staff (Johnstone, 1997:148).

3.10   THE UNIVERSITY OF THE TWENTY FIRST CENTURY

3.10.1 Introduction

Kerr (2001:150, and 1995:115) quotes the words of Heraclitus that "nothing endures but change". He argues, however "…that everything else changes, but the university mostly endures". He reminds us that about eighty-five institutions in the Western world established by 1522 still exist in recognizable forms, with similar functions and with unbroken histories. These include the Catholic Church, the parliaments of the Isle of Man, of Iceland, and of Great Britain, several Swiss Cantons, and seventy universities. He reflects "Kings that rule, feudal lords with vassals and guilds with monopolies are all gone. These seventy universities however are still in the same locations with some of the same buildings, with professors and students doing much the same things, and with governance carried on in much the same ways…. (T)he eternal themes of teaching, scholarship, and service, in one combination or another continue". This indicates that there is no best way of doing things or reacting to change, only different ways (Kerr, 1995:126). Even the concept of a "knowledge industry" goes back a long way to at least 1892 and Thomas Huxley who stated: "…the medieval university looked backwards; it professed to be a storehouse of old knowledge…. The modern university looks forward, and is a factory of new knowledge" (Kerr, 1995:159).

Lucas (1994:229-316) in his dialogues with the past reflects that the temptation runs high to draw parallels between past and present, between what was yesterday and what is today (and what should be the future – tomorrow). However when looking at aspects from Plato to today the following were discussed as part of the aspects of change:

- Disinterested learning.
- Faculty power and governance.
- Academic autonomy and freedom.
- Curricular conservation.
- Educational aims and ideas.

- Inclusivity and elitism.

- Knowledge as social construction.

- Academic conventions, rites and rules.

This indicates that the more things change, the more they remain the same (Taylor, 1999:16-17; Bargh, Scott & Smith, 1996:172; Scott, 1984:213;235; Belknap & Kuhns, 1977:3-7; Johnson, 1971:30;52;96).

Farnham (1999:343) analyzed recent changes in higher education policy in fifteen countries. He found that the exact direction and depth differ (Table3.6), but it appears that all the higher education systems experience similar trends affecting the

Table 3.6   Indicative rates of change in national higher education systems

RATES OF CHANGE	COUNTRIES
• Extensive	• Australia • United Kingdom
• Significant	• Finland • The Netherlands • Sweden • Belgium (Flemish speaking) • Canada
• Moderate	• Ireland • Spain • Belgium (French speaking) • Malaysia • United States
• Restricted	• France • Germany • Italy • Japan

Source: Adapted from Farnham, 1999:345; Bitzer, 2001:149.

institutions. This has important and significant repercussions on the life of higher education institutions. Change in higher education institutions have thus been universal and uniform, though uneven and with different intensities.

3.10.2 The institution of tomorrow

To anticipate the future is always hazardous and often foolhardy, however, "(W)e should all be concerned about the future because we shall have to spend the rest of our lives there" (Kettering cited by Kerr, 1994:xiii; Deurinck, 1974:1). The institution of tomorrow should be about 'higher learning'. Aronowitz (2000:1) states that it becomes harder "…to find a place where learning, as opposed to 'education' and 'training' is the main goal". There is no question that the need for learning institutions (higher education institutions) will become increasingly important in a knowledge driven future. Duderstadt (1999a:1) argues that the real question is not whether higher education will be transformed, but rather - how and by whom? He indicates that the challenge of change should be seen as an opportunity and not as a threat. Barnett (2000:166-168) defines the state of affairs which higher education institutions find them in as "supercomplexity". He argues that "supercomplexity" is characterized "fundamentally by uncertainty, unpredictability, challenge ability and contestability". It will be the responsibility of the institutions to attend to this "supercomplexity" and embrace the challenges of this "supercomplexity".

How the present may evolve into the future should not be a prophetic forecast for higher education institutions. Higher education institutions should derive meaning for their future through a significant change in methodology (and process). The changed methodology should be applied in designing concepts for the future. Fischer-Appelt (1996:3) states that "…(T)he most important and most characteristic aspect to the structure of human life is to be able to seize (and) to act toward the future dimension". Being at the foothills of the twenty first century, everybody involved in higher education will have to deal with open-ended, multiple solutions that encourage alternative scenario building for a variety of future possibilities (Van Patten, 2000:9).

Institutions that are facing crisis situations are forced into adaptation due to environmental pressure to initiate change processes, which aim at making the institution(s) more resilient. An important factor for change has been the personal commitment of leadership in times of crisis and the fact that change should not be viewed as crisis but as opportunity. Institutions need an entrepreneurial culture, differentiated structures, shared governance, professional management and committed leadership (Sporn, 1999:267-270). Rhodes (1997:167-168) echoes the same sentiment when he indicates that for institutions to remain flexible and responsive to societal needs will require bold, decisive and visionary leadership, effective and imaginative management of resources at all levels, commit to clients, a general willingness to come to terms with new expectations, the restoration of the community and new patterns of governance.

Future scenarios should include the organisation of creativity and innovation, networking in a globalized world, a knowledge intensive society and the power of technology. Higher education institutions will have to be able to function as umbrella organisations to guide and combine flows of knowledge and to enable systems of lifelong learning (Van Ginkel, 1999:85-87 & 1994:67-80).

The institution of the future will be different from the past and the present as summarized in Table 3.7. It is important to understand that although the future is shaped with demands from pressures outside the higher education institutions, the change will come only from within the institutions – the future lies within the individual (academic) in the institution. The challenges for change, worldwide over a period of time, seem to be similar for all the different countries and institutions. The most visible differences (if any) are in how these challenges are met. The crucial aspect for higher education institutions is, therefore, the capacity to be responsive to this challenge while still being responsible as well as accountable for their actions (Brown, 2001:5, & Weber, 1999:16).

The promise of a new millennium provides the higher education community with the opportunity to take stock of their position in the higher education field and to find out if they possess the necessary skills and have the enabling structures to accommodate a new world. The age of "supercomplexity" compels institutions to reinterpret and reinvigorate

Table 3.7   Future trends in higher education

PRESENT (Kierstead)	FUTURE (Kierstead)	FUTURE (Rhodes)
• Industrial era paradigm • Mono cultural • Answer centered • Competitive structure • Extrinsic motives • Age-specific • Semester operations • Lockstep sequence of courses • Local and national scope • Location bound • Technology enhanced instruction • Pre-selected contents and goals instructor evaluated • Protected cite for passage to adulthood	• Information-era paradigm • Trans-cultural • Problem-centered • Co-operative structure • Intrinsic motives • Cross-generational • Time-free • Developmental and interest related • Global scope • Location-free • Human-technology partnership • Participant controlled goals and content • Instructor/employee/student evaluated • Competitive marketplace for learners	• Institutional autonomy • Lively faculty independence • Vigorous academic freedom • Strong and impartial public governance • Decisive, engaged leadership • Privately supported • Public accountable • Socially committed • Campus rooted • Internationally oriented • Academically independent • Constructively partnered • Knowledge-based • Student centered • Research driven • Learning focused • Technology sophisticated • Community dependent • Quality obsessed • Procedurally efficient • Professionally attuned • Humanly informed

Source: Kierstead, 1999:6; Rhodes. 1999:168-172.

their activities and to take on the dual responsibility not only of "compounding uncertainty but also of helping (institutions) to live with uncertainty" (Barnett, 2001:172).

The world faces quantum change. The struggle for the soul of the university (higher education institutions) will therefore, be won on the innovative side. To construct a new beginning from the chaotic environment will involve internal excellence, coping with external criticism, and serving the society well. These new transformative initiatives and new institutions will require new ways of learning. Rowley, Lujan and Dolence (1998:228) indicate that the new learning will not only affect student learning and programmes, but also institutional learning, designs and structures. The new way of learning will form the core of the new structures that will be pluralistic and not dominated by a single model. Future models will evolve from differentiation and not from cloning. Institutions will have to be involved in careful planning and analysis of the institution's character - a process that will help institutions to turn into learning communities with unique skills of excellence, leadership and scholarship. Challenges for the future will provide opportunities to shape the sorts of universities (higher education institutions) that will be fit for purpose for a new century (Gilley, 1991:168). Munitz (1995:47) cites Good who argues that "the status quo is not going to be maintained ... get out there with a vision for the future, not a justification of the past". She called for some "statesmanlike leadership ...to begin to articulate what the real appropriate role of the university is in today's society" as well as the future.

3.11   CONCLUSION

It is part of the fundamental nature of higher education institutions that they will be constantly changing (Edwards, 1994:141), and it goes without saying that if flexibility, adjustment and innovation are characteristics that the labour market demands of students. They are also features that ought not to be left aside by institutions of higher education. It cannot be business as usual in the higher education sector. This attitude has failed and it will continue to fail unless systems change occurs (Van Patten, 2000:97; Lerner & Simon, 1998:479). Karmel (1990:24) argues, that higher education institutions are living organisms with interacting academics and students, coming and going, joining and

leaving all the time. Institutions have a past too often forgotten, a present to be criticized and a future to be remodeled.

It is therefore, imperative for institutions, in their turn, to meet what appear to be society's expectations. Considerable revision is called for in the way institutional policy is formulated, discussed and determined. The key to this process is self-evaluation with respect to what the university (higher education institution) does, how it is done as well as how it is perceived by the different stakeholders. The university (higher education institutions) stands as the 'gateway to the future', it therefore bears great responsibility to the needs and demands of society (De Groof et al, 1998:3;57). In the words of Winston Churchill (cited by Munitz): "The empires of the future are the empires of the mind". If we address explicitly those concerns and expectations lurching treacherously below the social surface, and encourage the academic staff members and their vice chancellors to speak and work accordingly to their best imaginative spirits, then higher education institutions will be the driving force behind those empires of the mind (Munitz, 1995:48).

"But if we believe what we profess

concerning the worth of the individual,

then the idea of individual development

within a framework of ethical purpose

must become our deepest concern,

our national preoccupation,

our passion, our obsession"

Gardner,1984:128

CHAPTER 4 - OVERVIEW

THE LEARNING ORGANISATION/INSTITUTION: THE INFLUENCE OF ORGANISATIONAL THEORY ON HIGHER EDUCATION

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CHAPTER 4

THE LEARNING ORGANISATION / INSTITUTION: THE INFLUENCE OF ORGANISATIONAL THEORY ON HIGHER EDUCATION

4.1   INTRODUCTION

The focus of change and transformation on South African higher education, the developing countries, the international arena, and the impact it will have on institutional structures, leadership and leadership development and institutional learning have been discussed in Chapters 2 and 3. The discussion brought to the fore, that although the pressures for change and transformation are mostly of an external nature, change will have to come from within. It is unquestionable, that hope for the future will be based on the inevitable and the accelerated dependence upon knowledge and learning. Duderstadt (1999:49) argues that we could rather aspire to a "culture of learning" than thinking of an "age of knowledge" that would create learning environments throughout life.

The growth of the concept of lifelong learning has an impact on higher education. Therefore, the essence of higher education is to connect people into learning communities (Daniel, 1996:17). Gillespie (2001:161-163) indicates that the concept of "learning communities" has been applied (and successfully implemented) in small group student learning. He argues that the concept of learning communities invites us to an enlarged understanding of the entity of the academy as learning communities where we willingly allow the concept to infuse and enhance our daily academic work. "No matter what the committee, no matter how onerous or difficult its charge and task may be, if its members think of themselves as learning from each other, the task will be less onerous, the interaction with others will be more positive (or less negative), and the change will be better executed than is the case without the infusion of the concept of (a learning) community"

Ford et al (1996:51) defines a learning environment as "a community with its own culture and values...(that) shapes the attitude of both staff and students". It will thus incorporate traditional values such as respect for opposing and differing opinions, and integrity in professional development, scholarship and the pursuit of knowledge. In understanding the language and the concept of a learning community, the positive spirit of the community seeks to resolve differences and reach appropriate and healthy compromises. They commit themselves to work towards shared goals and will therefore, treat all members with dignity and respect. It lifts the concept of understanding to another dimension in our daily lives that will enrich the life of the member (academic). It will lead to greater understanding of the entire academic world and will bring greater satisfaction to each of us as individuals and will lead to less conflict and enhanced effectiveness (Ranson, 1998a:1;2).

In the business world, new organisational forms are redefining organisations. If higher education institutions want to survive the future, academic leaders will have to stop talking about change and start implementing change in order to provide their students with the structures, programmes and example of thinking, working and learning in the new metaphor – that of learning organisations (Rowley et al, 1998:228-229: Van der Westhuizen, 1998:115; Gilley, 1991:118).

4.2   DISTINGUISHING CHARACTERISTICS OF ACADEMIC INSTITUTIONS

Barnett (1970:7) states that higher education is "...a set of traditions with medieval origins and having a wide international currency ...(that serve as a) testimony to intentions, embodied in special institutions regarding educational processes which reflects certain kinds of values and are designed to have particular kinds of outcome(s)". Pelikan (1992:24) on the other hand, laments the aspect that in the studies of the university as an institution, too often the consideration of the university as an idea is lacking. In contrast Cohen and March (1986:3) describe universities (higher education institutions) as "prototypic organised anarchy" which has problematic goals, unclear technology (or processes) and fluid participation. However, these factors do not indicate

that the university is a bad and a disorganized organisation, but that it is a problem to describe and difficult to understand and to lead.

Newman (cited by Turner, 1996:xv) " ...defines a university as a place for universal knowledge [in order to mandate the presence of theology as a science of sciences]." He indicates that this argument provides important models for other aspects of education. He sees the university "...as a human institution that may and should produce a person of broad knowledge, critical intelligence, moral decency, and social sensitivity" in order to be able to attain moral virtue.

It is clear that the idea of the university, and "the university institutions of the day" (Melody, 1997:72; Gitlow, 1995:1) have been the subject of intensive debate throughout the entire history of the universities. Melody avers that the debate has been most vigorous when the university of the time was under attack by the dominant institutions in society – church, state and in more recent times, business as well as the public as a dominant stakeholder. Although higher education qualifications are in great demand in most parts of the world, the structures, systems and outputs are in question. This has resulted, in the past few years, as considerable change in the leadership and management of higher education across the world, with a significant reshaping of the role and shape of higher education institutions and their place in society.

Barnett (2000:2) argues: "... [i]f we are going to construct a new university (higher education institution), both as an idea and as a set of practices, we need to have an understanding of the challenges that are besetting (these) institutions". The term 'university' appears often in the study. As such it is used to describe a specific institution that represents a higher education institution especially in its traditional form and as described in many publications. However, the term 'university' simply fails to acknowledge the considerable diversity that exists in any mass system of higher education, as it is known today. The researcher addressed the problem of academic leadership from this pluralistic viewpoint, but was confronted with text dealing with the history and the tradition of the university. As the diversity in higher education was born from the understanding of the 'university', the researcher transferred the concept of 'university' to higher education institutions. Barnett (2000:11) indicates that we have to

"…put aside some familiar and even much cherished notions of the university", because of the considerable diversity that exists today, "…so that we can move and develop a new idea of the university" He states that the notion of the "Western University" is at an end but argues that a new "university" can arise. "The future that beckons … is not just a new order. It is an order with new possibilities" These new institutions have a "… new *habitus*, a new location in society, a new ordering of perceived value and a new register of meaning and understanding across its new and enlarged audience" (Barnett, 2000:13).

4.3   THE UNIVERSITY (HIGHER EDUCATION INSTITUTION) AS AN ORGANISATION

Universities have existed since the early Middle Ages (cf. Chapter 3). Maassen, Neave and Jongbloed (1999:1) state that they are "extremely successful organisations, given that they have been able to survive since their origin in more or less the same organisational form, despite the tremendous changes taking place in their external environments". Because of the fact that knowledge is at the heart (the central concept) of higher education, higher education institutions – and more specific, the university – have been organised from the beginning as a "social structure for the advancement and transmission of knowledge" (Van Vught, 1994:32). Higher education institutions (universities) are usually not formally viewed as organisations, but tend to be seen as institutions. Gross (1971:22) argues that as institutions they provide locations and 'atmospheres' in which individuals can set their own goals and at the same time perform something essential for the community. He indicates that neither of the two views clarifies much about the system. A better understanding might however be achieved if higher education institutions are seen as organisations. Presthus (cited by Gross & Etzioni, 1985:1) states that the (our) society is an organisational society, because we are born in, educated by, and spends our lives working for organisations. We even pray and spend our leisure time in organisations, and if and when we die we are certified dead by organisations (Abrahamson, 1993:xi).

Wide spectrums of metaphors have been used to describe the organisation and organisational life of universities and higher education institutions. Rhoades argue in his chapter on organisation theory in the Encyclopedia of Higher Education: "(M)ost of the

significant scholarship on higher education draws on organisation theory, sometimes explicitly, in reference to particular conceptual frameworks, and sometimes implicitly, in analyzing organisations or organisation contexts" (Rhoades, 1992:1884). Higher education institutions are complex organisations that link them to bureaucratic administration but they also exhibit critical distinguishing characteristics regarding their decision-making process (Sporn, 1999:37-40). De Boer (1996:84) paraphrases Mintzberg (1979;1983) and Galbraith (1977) stating:

> A governance (organisational) structure reflects the distinction among roles, functions and authorities over several bodies and/or individuals and the achievement of co-ordination among them. It is a set of two agreements, needed to meet two fundamental and opposing requirements with respect to every organised human activity: the division of labour into various tasks to be performed, and the co-ordination of these tasks to accomplish.

De Boer calls this the backbone of an organisation and regards this more specifically as 'rules of the game'. He cites Ostrom (1986), North (1990) and Scott (1995) who argue that institutions can be considered as 'rules of the game'. North (1991:3) suggests that "institutions are the rules of the game in a society or ... are the humanly devised constraints that shape human interaction and to reduce uncertainty" by, providing a stable (though not necessary efficient) structure to every day life. Ranson et al (1980:3) defines an organisational structure as "...(a) complex medium of control which is constantly produced and recreated in interaction and yet shapes that inter action. Structures are constituted and constitutive".

This viewpoint is congruent with the institutional theory in Organisational Sociology of Institutionalized Organisations (Meyer & Rowan, 1977, Rowan, 1982 and Di Maggio & Powel, 1983 in Scott, 1994:471-529). These writers argue (in different papers) that formal organisational structures arise as reflections of rationalized institutional rules where the elaboration of these rules in modern states and societies accounts for the expansion and increased complexity of formal organisational structures. Abrahamson (1993a:92) indicates that institutionalisation refers to "those processes and methods by which the organization inculcates a set of strategic values in the individuals who work in the organization". The elements of rationalized formal structure are deeply ingrained in

and reflect, widespread understandings of social reality in modern societies (Maassen & Gornitzka, 1999:299; Meyer & Rowan, 1977:474). Meyer and Rowan (1977:485) argue that organisations can be ordered on a continuum where at one end there are production organisations under strong output controls and whose success depends on the management of relational networks and at the other end there are institutionalised organisations whose success depends on the confidence and stability achieved by isomorphism with institutional rules. It is very important to note that organisations face two very general problems when their success depends on isomorphism with institutional rules. The first problem is related to activities and demands for efficiency, that creates conflicts and inconsistencies in relation to specific ceremonial rules and outcomes. Secondly, ceremonial rules imbedded in the system and transferred from one generation to the other and that is couched at high levels of generalization, can come in conflict with change and it can lower the university's (higher education institution's) ability to solve immediate problems. Institutionalised organisations conform to these generalizations and must maintain the appearance that the 'myths' actually work. The demands on higher education institutions bring them to the point where the structure is inconsistent with work requirements. Higher education institutions (organisations), therefore, promise reform because the present is pictured as unworkable and the future is filled with promising reforms of both structure and activity. By acknowledging and defining higher education institution structures as lying in the future, makes the current structure illegitimate (Meyer & Rowan, 1977:487).

Middlehurst (1993:61-63) indicates that a range of changing metaphors have captured the essence of organisational life in different milieus. She explains that entrepreneurial and cybernetic metaphors and images have been adopted within the higher education literature to draw attention to the changes that have taken place. These images also apply to new systems that have developed as a consequence of the continuous changing circumstances. Middlehurst stresses that "…an important feature of these perspectives is the concern with the organizations ability to learn by changing their behaviour to meet new challenges". However, there are some fundamental characteristics of higher education institutions (organisations) that have an effect on their ability as well as their capacity for change (Maassen & Gornitzka, 1999:301).

One needs to keep in mind that these institutions are the creations of human beings with a durability and relative stability that will have an impact on human preferences, choice and actions. All institutional change is affected by purposive human beings, believing to do better by changing the existing rules of the game (De Boer, 1996: 85). This argument links with that of Greenfield (1975:71) and Gray (1995:29) who states that "...human action and intention (are) the stuff from which organizations (are) made" and that "...only individuals can have goals". Organisations are definitions of social reality; definitions and redefinitions, if we should see the social construction of reality as a continuing process during which the social world is made and remade. The study of organisations therefore, becomes the analysis of processes where members (for example, academia) are constantly seeking to make sense of the reality within which they are working and by doing so, making explicit their beliefs and values as members of such organisations (McCulloch, 1997:77). The need for both, individuals and organisations, to engage in continuous adaptation, enhancement, empowerment and innovation is ongoing. The pressures for change are increasing and not decreasing. The capabilities and skills to manage change quickly and efficiently is becoming essential for the future of higher education organisations and the people within these institutions.

4.3.1   Organisation theory and higher education

Organisation theory can be seen as a field of study occupied and exploited by a number of , often overlapping, theory groups that have extremely porous boundaries and weak interdependencies between each other so that they form a loosely coupled network of intellectual activity (Reed, 1992:130). Rhoades (1992:1884) argues that organisational theory covers much ground and it takes on the assumptions, perspectives, concepts and methods of study fields (disciplines) such as psychology, political science or sociology, depending on the substantive focus. Research in organisation theory touches on fields as diverse as case studies in Psychology dealing with the fit between organisational structures and individual personality and the understanding of the organisational environment on the one hand to studies of the establishment and demise of individual organisations.

Rhoades indicates that in the latter part of the twentieth century, organisation theory has changed and evolved in several respects that are relevant to the study of higher Education. The move has been from a technical and mechanistic systems approach to an emphasis on political and symbolic systems that shape organisations as well, from a focus on individual and/or small samples of organisations to large(r) organisational systems and populations. The studies on changes in perspective, and reflections on change in higher education are also similar and have drawn extensively on the theories and methods used in organisational studies (Rhoades, 1992:1884-1885).

Early research sought to find understanding of organisations and bureaucracies as well as providing typologies and characteristics to use as standards of comparison and classification of individual organisations. The international focus of closed system research were on organisational effectiveness and efficiency and how it related to goal setting, clarity of goals and consensus. Research looked into aspects such as size, complexity, authority, relationship, productivity, technology and nature of work performed. In fact, research considered all the aspects that were relevant to the development of organisation theory, leadership (psychology) and a number of other related fields. The emphasis, however, later changed from the internal variables, to the influence of the environment on the organisation including the political and symbolic side of organisational systems (open systems) (Van der Westhuizen, 1998:34-65; Rhoades, 1992:1884-1886).

Open systems theory implies that organisations (like organisms) are "open" to their environment and must achieve an appropriate relationship with that environment in order to survive. Open systems theory has generated many new concepts for thinking about organisations. It includes concepts such as openness, homeostasis, entropy, structure, function differentiation, integration, variety, equifinality and system evolution (Morgan, 1986:44-45). Some of the Open system approaches were:

- **Structural contingency theory**, that studied the fit between the form of an organisation and its environment (task environment).

- **Resource dependency theory**, which emphasized the political dimension of organisation environment relations and of the internal organisational response to the environment (interaction and networking of, and with organisations).

- **Institutional theory**, with emphasis on power relations, symbols and the meaning that people make of and attach to organisational forms.

- **Strategic choice theory**, follows the line of thinking in contingency theory (deals with the extent to which managerial work is the same or unique across different types of organisations) but emphasizes the importance of choice in decision-making, and the varying interests, goals and power in determining the decisions.

- **Population ecology theory**, focuses on and holds as principle assumption that, inertial pressures from within organisations influence change more through external selection processes than their adaptation to the environment

- **Network theory**, focuses on lateral patterns of exchange, interdependent flow of resources and the reciprocal lines of communication. Organisations are social networks acting in an environment of other organisations and relevant groupings, while action, attitude and behaviours of people are analyzed as contingent upon the position in the network. (Rhoades, 1992:1885-1886; Van der Westhuizen, 1998:46; Sporn, 1999:37-53).

4.3.2   Influence of organisation theory on higher education

It is needless to say that organisation theories and methods have impacted and considerably influenced the study of higher education as systems and as organisations. The insights it provides are apparent in three areas:

- **Governance** – how are higher education institutions/organisations governed?

- **The division of labour** – among and within higher education institutions/ organisations.

- **Bases of order (leadership and management)** – who holds the system together? Is it shared beliefs or is it co-ordination through the state, or through market exchanges of individuals and organisations? (Rhoades, 1992:1886).

Birnbaum (1988:1) deliberates that in order to learn how higher education institutions work, it is a requirement to see them as "organizations, as systems, and as inventions".

- **As organisations** they are groups of people in different roles working together toward achieving common objectives within a formal system.
- **As systems** the focus is on the dynamics of how the 'whole' and 'parts' interact within common characteristics.
- **As inventions** they are linked to symbols, which indicate their differences.

He argues that as an organisation higher education institutions have problems of governance, organisation (which include management) and leadership due to certain organisational and institutional constraints which is embedded in the thinking of how systems work and how they should work, and how we make decisions towards -, and sense of -, the achievement of their (the institution's) goals.

4.3.3   Managerialism – or scientific management and higher education

To protect their vulnerable position in the changing higher education scene, higher education institutions have embraced scientific management techniques as a way of securing more control over their work, while responding to public and government demand, to boost the efficiency and quality of their enterprise (Shumar, 1995:92). Many institutions have therefore applied industrial models to 'university work'. However, many of these models find their industrial origins in the remote past and are already shunned by many contemporary organisations. Higher education institutions cling to aspects such as Taylorism (founder of the scientific management movement, an efficiency movement that sought to optimize effort to secure more autonomy) that dates back to the beginning of the twentieth century, goal setting (management by objectives in industry) dates back to the 1950s, and Fordism (standardisation in mass production and rigid commodification) (Clark & Astuto, 1992:955). Higher Education has been transformed into a "factory", where work is governed by managerial directives and is hierarchically structured to maximize the division of labour. This model gives administrators critical power while leaving academic staff members in the role of labourers. This follows the factory model where scholars are labourers in the sweatshop

of thought (Shumar, 1995:84). Some sectors of business and industry are openly rebelling against conventional industrial and mechanistic ideologies and are effecting approaches that entail greater participation, autonomy and democracy for employees. This leads to greater flexibility and responsiveness, and in turn seeks to minimize hierarchy and favours multi-skilling, teamwork and autonomy (Campion & Renner, 1995:77-82; Shumar, 1995:87-90).

Bess (1988:2) propounds that forces and issues such as autonomy, multiple missions, varied technologies, new sources of funding and influence have led to modern day higher education institution(s) and "what is certainly the least understood forms of organization in the modern world".

4.3.4   Theories of higher education organisation

A number of theories have emerged to describe and determine how higher education institutions are organised (Table 4.1) and should be organised in the future (Table 4.2). Higher education institutions have become complex systems within which different organisational models coexist, very often very uncomfortably and uneasily. Bargh et al (1996:15) argue:

> It is rather like an archaeological site. In the lowest layer is the idea of the 'Collegium' ruled by academic elders; in the next layer is the notion, popular in the 1960s, of the university as a political system in which issues of representation and participation were dominant, next up is the corporate ideal that came into its own post-Jarratt and post-incorporation, and relied on line management bureaucracy, finally, on the surface is the idea of the university as a creative organization, its seperate 'businesses' orchestrated by a strategic center. These different organizational models are closely related to the increasing scale and complexities of universities (higher education institutions).

The closed internal world of the bureaucracy, political and anarchical models and the contradictions and tensions manifested in these paradigms are less explicit in the models which see institutions in terms of the dynamic interactive systems of cybernetic, entrepreneurial and network systems.

Dill and Sporn (1995:214) indicate that the organizational structure and management of higher education institutions can best be understood as a function of two complimentary processes, differentiation and integration, based on the contingency organisational model (Fig. 4.1). This model indicates that organisational design is dependent on the environment and implies that there is **no best way** to organise. To be able to achieve the integration, decentralization, flexibility and adaptability needed for change, Dill and Sporn argue that the network model offers much promise. In this model the concept contrasts with traditional views of structure in business and industry, but is in line with the traditional collegiate form of university organisation (Fig. 4.2). However, the new demands of change are at a scale and complexity indicating that the traditional forms of collegiality and networks are inadequate. Structural innovation is needed at the collective level where assets, knowledge and competence are distributed throughout the institution and resides in multiple locations.

This form of adaptation of higher education institutions remains a very complex objective (Dill and Sporn, 1995:218-219) (cf. Table 4.2). The work of Braun (1999:248-250) however, comes as a surprise, indicating that in the evaluation of institutional reform in the UK, U. S., Netherlands, Switzerland, Germany, Italy and France, two different models of new managerialism are emerging. He describes it as:

- **The efficiency-oriented model** - which emerged from the former systems of Germany, France, Italy and Switzerland with a bureaucratic history. The focus of this model is to introduce the managerial philosophy with a more utilitarian belief system, lesser substantive autonomy and more procedural freedom.
- **The client/market-oriented model** - an approach, which is found in the U.S., UK and Netherlands. Here the focus is part of a neo-liberal governmental strategy of decentralization, privatization and attempts to create a new client oriented perception and attitude in institutions.

Table 4.1   Organisational models of higher education

THEORY	DESCRIPTION/FEATURES
• **Bureaucratic model** Baldridge, 1971	• Networks of social groups dedicated to limited goals and organised for maximum efficiency. • Basically a mechanistic model grounded in the work of Weber (1947) and extended in the principles of scientific management.
• **Collegial model** Millet, 1962 and 1978; Baldridge, 1971	• Academic community model • Based on the assumption of the human resources school where the individual is placed above the organisation in terms of priority (a community of scholars with full participation, decision-making of academic staff and administrating their affairs)
• **Political model** (Conflict model) Baldridge, 1971	• A miniature political system with the policy formation as the key issue. • The division of labour in complex fragmented organisations with displaced goals around subunits (subcultures) and not the organisations as a whole. This brings pressure on the decision-making process from a number of angles using power and force.
• **Anarchical model** (Garbage can model, matrix model) Cohen and March, 1974 (Ambiguity model) Middlehurst, 1993	• Based on "loosely coupled" structures and processes influencing decision-making that are encumbered by different agendas. Therefore, the decisions of the system are produced by the system, intended and controlled by no one (Birnbaum, 1988: 153).
• **Rational model** (Corporate rationality)	• Bigger influence of external stakeholders
• **Professional model**	• Main focus is on the characteristics of the staff where expertise is based on the competence and experience of the individual (with personal influence and following, and a license to practice on the basis of specialist knowledge and skills) • The working relationship is conceived as a partnership of independent individuals. • Autonomy in decision taking and policy making are key parts and often takes place through committees.

• **Cybernetic model** Morgan, 1986	• Based on a living organism with a brain, capable of being flexible, resilient and inventive in relation to new situations. • Use self-correcting mechanisms that monitor organisational function, bringing attention to cues or negative feedback to implement spontaneous corrective action
• **Dual-Organisation model** Millet, 1978	• Based on a faculty hierarchy and an administrative hierarchy. • A structure involving one set of arrangements and participants deciding issues of academic affairs, and a different set of arrangements and participants deciding issues of institutional (administrative affairs). • Coherence of duplication does not seem to be important and it makes a distinct differentiation between the process of learning and the environment of learning.
• **Subjective model** Greenfield, 1973; 1979	• Based on a non-linear perspective seen through subjective or symbolic (interpretive) lenses. • Seen as a system of reality invented through the continued interaction of the participant (Bensimon et al, 1989: 31). • Interaction takes place in a fluid equivocal world.
• **Entrepreneurial model**	• Innovation and creativity. • Entrepreneurial culture with strengthened steering core, enhanced development, a diversified funding and self-defined autonomy. • Institution exploits its strengths in order to take advantage of and achieve maximum political and financial gains relying on the initiative and risk-taking of individuals and groups in different parts of the system with a clear institutional managerial framework from the top (Middlehurst, 1993: 62).
• **Network model**	• Based on the contingency organisational model. • Emphasize extensive horizontal integration and communication, interaction and socialization. • Resources allocation and distribution on a shared basis. • Competence through institutional networks of individuals engaged in mutually supporting actions.

(Network model continuous from previous page)	• Integration facilitated through shared values and common standards. • Organisations are social networks focusing on boundary spanning relationships characterizing organizational function. • Networks provide a structure of lateral exchange with reciprocal lines of communication between individuals and/or groups.
• **New managerialism (managerialism) model**	• A more controlled, efficiency and client/market-oriented model • Increased administrative power and influence, compared to decreased influence from academic staff. Resulting in increased administrative spending and decreased spending for teaching. • Administrator the major extension (bridge) between institution and environment translating demands into service • Includes characteristics of priority setting (more steering – MBO – ' Management by Objectives') which, influence institutional actions. • Managerial autonomy influenced by governmental legislation regarding responsibility and accountability, and the implementation of further evaluation procedures influencing orientation towards the 'client' and the 'market'.

Source: Compiled from Millet, 1962:234-235 & 1978:12-19; Baldridge, 1971a:1-19 & 1971b:9-26; Baldridge, Curtis, Ecker & Riley, 1977:9-25; Morgan, 1986:87; Bess, 1988:2-5; Birnbaum,1988:153; Bensimon, Neumann & Birnbaum, 1989:31; Rhoades, 1992, 1887-1890; Middlehurst, 1993:49-64; Dill & Sporn, 1995:216-219; De Boer, 1996:89; Clark,1998:147; Rowley, Lujan & Dolence, 1998:111; Braun, 1999: 257; Sporn, 1999:55;275;280.

Table 4.2   Proposed future models

THEORY	DESCRIPTION/FEATURES
• **Conglomerate model** (Rowley, Lujan & Dolence, 1998)	• Institution is a holding company that connects programmes from education to entertainment. • Central investment strategy. • Buys and sells units to blend products and to be profitable. • Flexible strategy • Connective and open to movement and ideas.
• **Contractor model** (Rowley, Lujan & Dolence, 1998)	• Flexible structure. • Consumer orientated. • Customizes educational models from teaching to research and service. • Advanced just in time learning and lifelong learning. • Institution acts as developer of requisite learning resources. • Provides a structure for customized learning. • Connective and open to movement and ideas.
• **Cultural model** (Rowley, Lujan & Dolence, 1998)	• Institution as a culture. • Restructured institution to new architecture for learning. • Redefined roles and teaching skills. • Address clashes on all professional working levels. • Flexible, consumer oriented and the ability to link resources. • Ability to change existing (old) culture. • Connective and open to movement and ideas.
• **Market model** (Lank,1995)	• Institution is a marketplace (consumer driven market). • Sell or trade goods or services. • Loose price structure. • Consumers bargain over need. • Very flexible, decentralized and loose restrictions. • Connective and open to movement and ideas (Lank cited by Rowley, Lujan & Dolence, 1998:111-113)

• **Strategic model** (Van Vught, 1995)	• Connective and open to movement and ideas. • Managerial changes. • Focus on quality and accountability integral to change. • Assumed responsibility for own strategic fate. • Proactive. • Links with bureaucratic rules (model? p 111) (Van Vught, 1995, cited by Rowley, Lujan & Dolence, 1998: 109-113).
• **Learning Organisation model** (Van der Westhuizen, 1998; Rowley, Lujan & Dolence, 1998).	• Constant reinventing and reorganising. • Flexible. • Flat structure. • Creative and entrepreneurial. • Institutional and individual learning. • Skills and roles development for leadership. • Use change to benefit institution. • Can change very fast. • The IQ of two or more is greater than that of one. • Nourish a knowledge infrastructure. • A total paradigm shift in thinking about higher education. • A model for individual empowerment.

Source: Rowley, Lujan & Dolence, 1998:109-113; Van der Westhuizen, 1998:173-175.

Despite the wide variety and influence of different models, Bargh et al, (1996:172) and Fairweather (1996:172) propose that research evidence points to the fact that higher education institutions remained in many respects, in spite of the cumulative effect of turbulence and change, inherently traditional and conservative organisations. They argue that the "…appeal of corporate models seems to have been qualified by the old academic culture that values intellectual mutuality, organisational collegiality and institutional autonomy that still strongly persists…" although a new culture of new business orientation is demanded (Bargh et al, 1996:172).

	ORGANISATIONAL DESIGN	
	1950s	**1990s**
ENVIRONMENT	**Growth**	**Post-Industrial**
STRUCTURE	• High Differentiation • Low Integration	• High Differentiation • High Integration

Figure 4.1   Higher education organisational design changes from 1950s – 1990s
Source: Dill & Sporn, 1995:216
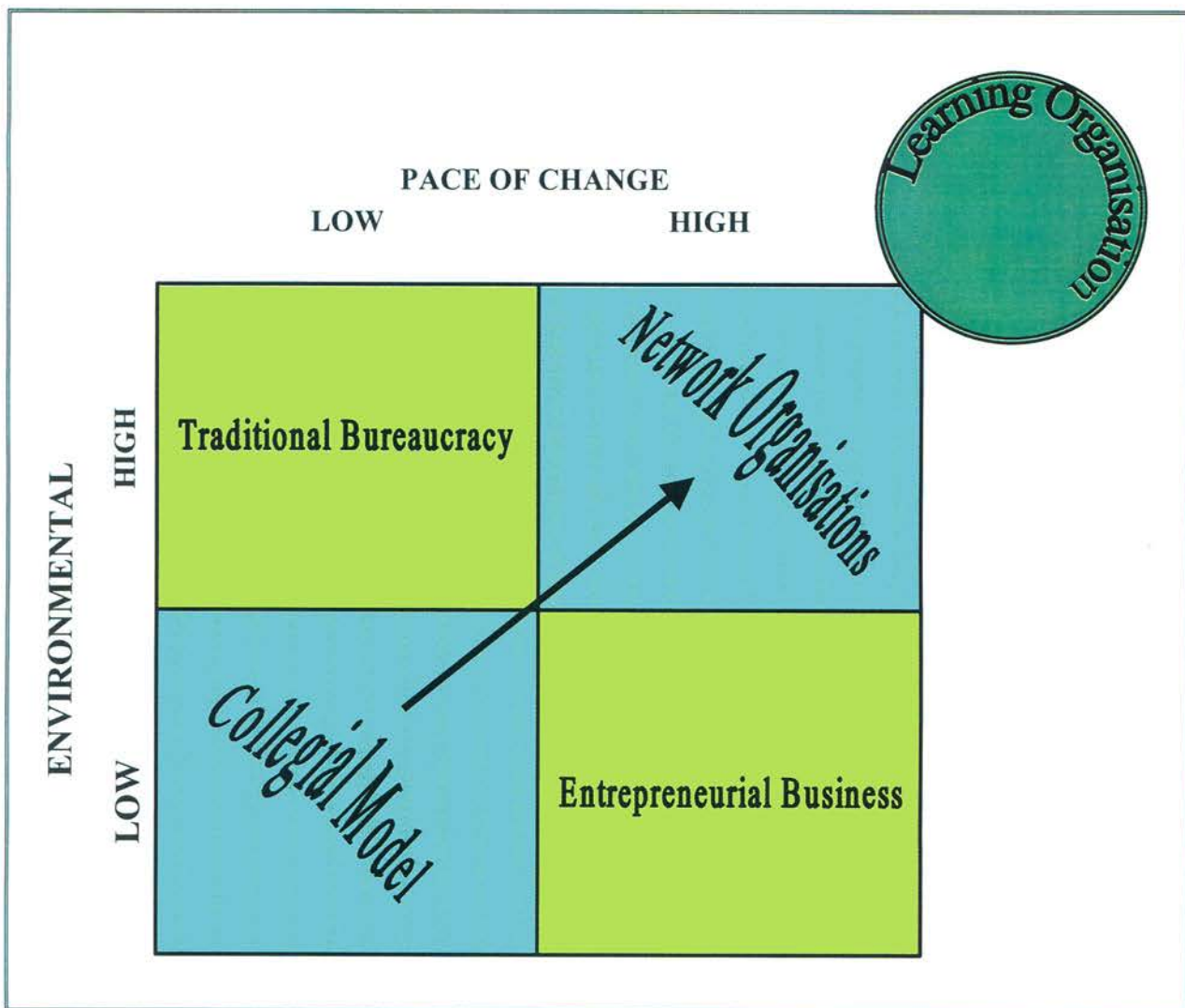
Figure 4.2   Trends towards Network models and Learning Organisations
Source: Adapted from Dill & Sporn, 1995:217.

This large and varied number of documented organisational models (cf. Table 4.1 and Table 4.2) indicates a direct influence of organisational theory on higher education institution organisational models. It is therefore important to look at organisational theory development as influenced by a number of writers in this field.

4.4 THE STRUCTURE OF ORGANISATIONS

In the field of organisation studies various theories have been developed and applied over the years. These theories enabled us to examine and understand different aspects of organisations. To understand the university (higher education institution) as an organisation it is necessary to look at what the different writers on organisation theory are saying. Pugh and Hickson (2000:ix) give an exposition of the work of leading authors whose ideas are the subject of interest and debate and whose concepts and theories illuminated organisational issues during the latter part of the nineteenth century as well as the twentieth century. They have organised the overview under the following headings as indicated in Table 4.3. The purpose of this outline is not to embark on a lengthy discussion of the writers on organisational theory but to form a conceptual framework towards the development of theory regarding the learning organisation and thus, organisational change and learning and the role of 'people' development and leadership in these organisations. However, the large number of writers on these aspects indicate to some extend that these issues have influenced the debate on organisational theory (Table 4.3).

4.4.1 A conceptual change towards learning, and organisational change

i)   *The organisation as a machine (structuralist models)*

The historical insight of Max Weber sees the rational-legal authority system with its bureaucratic organisational form as the dominant institution of modern society. He uses the name "bureaucracy" (Ray, 1999:181-187; Beetham, 1996:1;9; Bax, 1991:164). In terms of his own definition this type or form of organisation is linked to a modern machine with its "precision speed, unambiguity, knowledge of files, continuity, discretion, unity, strict subordination, reduction of friction and of material and personal

Table 4.3   Writers on organisations

Organisational information	Authors
• **Structure of organisations**	Weber, M. (1864-1920); Gouldner, A.W. (1920-1980); Pugh, D., Child, J., Hickson, D. & the Aston Group (1950s); Woodward, J. (1916-1971); Jaques, E. & the Glacier Investigations (1950s-1980s); Chandler, A.D. (1960s-1980s); Williamson, O.E. (1970s-1980s); Mintzberg, H. (1970s-1980s); Handy, C., (1970s-1990s); Bartlett, C. & Ghoshal, S. (1980s-1990s).
• **Organisational environment**	Burns, T. (1960s-1990s); Lawrence, P. & Lorsch, J. (1960s-1980s); Thompson, J.D. (1960s); Pfeffer, J. & Salancik, G.R. (1970s); Miles, E.R. & Snow,C.C, (1970s-1990s); Hannan, M.T. & Freeman, J.H. (1980s-1990s); Hofstede, G. (1980s-1990s).
• **Functions of organisations**	Barnard, C.I. (1930s-1940s); Brown. W. (1960s); Vickers, G. (1960s01970s); Bakke, E.W. (1930s-1960s); Etzioni, A. (1960s); Silverman, D. (1970s-1980s).
• **Organisational practices**	Parkinson, C.N. (1950s-1970s); Peter, L.J. (1960s).
• **Management of organisations**	Faol, H. (1910s); Urwick, C.F. (1940s-1950s) Brech, E.F.L. (1940s-1990s); Taylor, F.W. (1940s); Braverman, H. (1970s); Follett, (1920s-1940s); Drucker, P.F. (1950s-1990s); Sloan, A.P. (1960s); Peters, T.J. & Waterman, R.H. (1980s-1990s); Ouchi, W. (1980s); Kanter, R.M. (1979s-1990s); Weick, K.E. (1970s-1990s).

• **Decision-making in organisations**	Simon, H.A. (1950s-1960s); March, J.G. (1960s-1980s); Lindblom, C.E. (1950s-1960s); Vroom, V.H. (1960s-1970s); Crozier, M. (1960s-1980s); Tannenbaum, A.S. (1960s-1980s).
• **People in organisations**	Mayo, E. (1930s-1940s); Likert, R. (1960s-1970s); McGregor, D. (1960s); Blake, R.R. & Mouton, J.S. (1980s), Schein, E.H. (1970s-1980s); Herzberg, F. (1950s-1970s); Fiedler, F.E. (1960s-1980s); Trist, E. (1909-1993) & the Tavistock Institute (1950s-1980s); Lawler, E.E. (1970s-1980s).
• **Organizational change and learning**	Di Maggio, P.J. & Powell, W.W. (1980s-1990s); Pettigrew, A. (1970s-1990s); Argyris, C. (1950s-1990s); Senge, P. (1990s); Morgan, G. (1980s-1990s).
• **Organisations in society**	Michels, R. (1930s); Burnham, J. (1960s); Whyte, W.H. (1950s); Boulding, K.E. (1950s); Galbraith, J.K. (1950s-1970s); Schumacher, E.F. (1970s).

Source: Compiled from Pugh & Hickson, 2000.

costs" (Pugh & Hickson, 2000:6). It is in direct contrast with the common usage where bureaucracy is synonymous with inefficiency, red tape, excessive writing and recording, and inefficient administration (Odhams Dictionary, Smith & O'Loughlin:154). Abrahamson (1993a:3) indicates that the everyday meaning of bureaucracy is "illegitimate power" where the term is an exponent of an administration, standing above and beyond the reach of the people and that sometimes collaborates with power groups beyond democratic control.

According to Weber the bureaucratic organisation optimizes a highly efficient system of coordination and control. He postulates an 'ideal type' bureaucracy (Corwin, 1987:10). There is a bureau for the safe keeping of records (and knowledge). Authority is based in the office, commands are obeyed, specialist experts are appointed and the number of professional managers with their own departments is increased. Because of this expertise

and knowledge, precise calculations about a definite given allows for predictions that can be made about future events (Beetham, 1996:3;9). These organisations set norms and need to enforce them, they have rules and regulations and issue orders which must be obeyed if the organisation is to function effectively. In other words - for the organisations to be effective and efficient the organisational structure requires bureaucratic authority (Gross & Etzioni, 1985:78;80-83). With the increasing industrialization of the twentieth century bureaucracy became the dominant method of organizing and became characteristic of other areas of society such as education, government and typical of all the institutions of modern society - as Weber predicted "bureaucracy would engulf the world" (Corwin, 1987:11; Pugh & Hickson, 2000:4-7; Garston, 1993;4-5).

The Aston group (including the work of Pugh, Hickson and Child) tried to understand organisations as working wholes where members should be seen from multiple perspectives. They worked from the perspective of the reciprocal question ' does man make organisation or does organisation make man?' They assumed that both happen all the time and they, therefore tried to link:

- Organisational structure and functioning.
- Group composition and interaction
- Individual personality and behaviour (Pugh & Hickson, 2000:14).

ii)   *The organisation and its environment*

Lawrence and Lorsch (cited by Pugh & Hickson, 2000:65) used the organisation and environment approach to highlight three elements in their approach to understand organisational behaviour and indicated that:

- It is people who have purpose and not organisations.
- People have to come together to coordinate their different activities into an organisations' structure.
- The effectiveness of organisations is judged by the adequacy with which members' needs are satisfied through planned actions with the environment.

The study of Lawrence and Lorsch showed in their study of organisations that there was no one "best way" to organise (Gross & Etzioni, 1985:169). They argue that it is in order to cope effectively with their external environments that organisations develop units to deal with some conditions outside the organisation (Pugh & Hickson, 2000:65, Corwin, 1987:151). They reject the idea that one particular structural form (e.g. the bureaucracy of Weber) or one particular motivational approach is the best, instead they indicate that appropriateness is the key (Hassard, 1993:32-44). Thus, "for organizations to be effective there must be a good fit between structure and its context" (Corwin, 1987:150).

iii)   *The management of organisations*

Mary Parker Follett (1868-1933) (Pugh & Hickson, 1993:156) is interested in general questions about how organisations work of which the most fundamental are: What do you want employees to do and how do you control and guide employees conduct in work and social relations? Her work provides an insight on how organisations, leadership and power are dealt with as human problems. She indicated that:

- Responsible people must be in direct contact regardless of their positions in the organisation.
- People concerned should be involved in the policy or decisions while these are being formed.
- All factors have to be related to one another.
- Co-ordination is a continuing process.

An executive decision is a '**moment in process**', because so many people contributed to the process where combined knowledge and joint responsibility are critical. Authority and responsibility are derived from the actual function performed and not from the place in the hierarchy (Pugh & Hickson, 1993:159; 2000:162). She sees the idea of the organisation as an integrative unity where orders are taken from the situation and not from another person. She strengthens the idea of unity of power with joint responsibility where multiple leadership is developed. "(Appointed) leaders must become aware of the groups in which they work and must regard their job as being concerned with drawing

out the abilities and contributions of individual members. They must know how 'to create a group power rather than express a personal power' " (Pugh & Hickson, 2000:158). The basis of Follett's thinking is the concept of partnership. The core of her contribution is that in a democratic society (appointed) leaders (management), are to arrange the situation in such a manner that people co-operate readily of their own accord.

The work of Peter Drucker begins with a view of top management and its critical role in the large corporation. In his work with corporations he identifies management as the central problem area and it is the managers and their control of the decision-making structure that breath life into organisations and society.

He addresses the effectiveness of managers and managerial work (Pugh & Hickson, 2000:159). As managers are responsible for organisations, they are evaluated in terms of their economic performance in the present, the short-term and long-term. He argues that it is therefore, the job of management to organise resources to achieve satisfactory performance and that objectives enable management to explain, predict and control activities. Objectives force managers to plan in detail what the business must aim at and therefore to work out ideas in achieving these aims. "Management by Objectives (MbO) – his brain child - involves spelling out what is meant by managing a business" (Pugh & Hickson, 1993:146). The most important aspect of 'MbO' is the effect it has on the individual manager and how it enables the organisations to develop management (according to Drucker, the most important resource). As management is a group function, it is expected of the chief executive to pick the best managerial group to be more effective. Drucker indicates that effectiveness can be learned. The system of 'MbO' allows managers to evaluate their own performance and it in return strengthens the learning process. The result is, therefore, that organisational goals are reached by having common people achieve uncommon goals (Pugh & Hickson, 2000: 159-162; 1993:146-148).

Drucker (1988:45[521]) argues that in the future, organisations will have fewer than half the levels of management as compared to the 1980s. Research found that whole layers of management never lead or made decisions. They only served as relays to pass messages and signals. He indicates that the information-based organisations of the future

will resemble more closely the business of a century ago. The knowledge (and specialist) worker will primarily be at the bottom, working with their minds, directing themselves and doing work that continuously differs. The "new" organisations will require greater self-discipline and greater emphasis on individual responsibility (Drucker, 1988: 47[523]). He relates this structure to the metaphor of a large symphony orchestra where the players (instrumentalists) are specialists with each having their own, but the same, score playing together creating great music under the guidance of the conductor (Drucker, 1988:49[525]).

There will be (and are) a growing need for experienced business people to go back to school. Drucker argues that there have been three major evolutions in the structures of organisations. The first (1895 and 1905) distinguished management from ownership and therefore established management as work and task in its own right. The second evolution took place in 1925 with the introduction of the command and control organisations with some, which still exists today. The third period started during the late 1980s with the shift from command and control to the information-based organisations of the knowledge worker (specialists), which brought with it the managerial challenge of the future (Drucker, 1988:53[529]).

Pugh & Hickson (2000:167-172; 1989:102-106) indicates that Peters and Waterman, in their study of excellence found in their discussions with top management on organising for success and how it is tackled in excellent companies, that they (top management) could not stick to the formal aspect of managing (the organisation chart, the budget plan, the balance sheet, the control graph). These highly analytical tools and concepts are inherently conservative (Waterman, 1994:17), they lead to detailed forecasting, planning and tight control - in short these systems abhor mistakes and do not value and encourage experimentation. These inherently conservative approaches cannot capture the distinctive nature of the excellent firms who innovate. A much wider range of processes must be considered. "It must cover much that will be classified as informal, intuitive, irrational, intractable, but which cannot be ignored.... It has much or more to do with the way companies excel (or fail) as do the formal structures and strategies" (Waterman, 1994:25).

The innovative companies favour the following:

- A 'can do' and 'lets try' approach.

- In favour of experimentation.

- Keep in touch informally.

- Keep an open door system at all levels.

- Small task force with short deadlines.

- Listened regularly and carefully to their customers.

- Obsession about customer service.

- They foster many leaders and many innovators.

- In favour of and supports creativity.

- Supports practical risk-taking.

- They value the capabilities and productivity of the ordinary members of the organisation.

- Performance and personal achievement stem from commitment and mutually high expectations.

- They have shared values regarding achievement (Pugh & Hickson, 2000:168-170; 1989:103-105).

"This explicit understanding of and commitment to, a system of values is probably the single most important key to excellence.... Less successful firms either do not know what their values are, or have a set of objectives, but seem only to get fired up about quantitative ones" (Pugh & Hickson, 2000:170). Excellent companies know their business, they have elegantly simple underlying structural forms and systems, and they push autonomy downwards. They have core values - as key to the enterprise - of quality, reliability, action, regular informal communication, and quick feedback, in short they are brilliant at the basic. They tolerate some chaos in return for quick action and regular innovation, and they have a strong leader who values a culture of excellence (Pugh & Hickson, 2000:171; 189:106). In his book Thriving on Chaos, Peters states that there are "no excellent companies". The business world is changing so fast that even the company/organisations that were designated as excellent previously are not safe anymore (Peters, 1992:xxi). The chaos in the information technology markets worldwide at

present is a very good example of this. "The concept of leadership, is crucial to the revolution now underway - so crucial that we believe the words 'managing' and 'management' should be discarded. Management with its attendant images – cop, referee, devil's advocate, dispassionate analyst … connotes controlling and arranging and demeaning and reducing. 'Leadership' connotes unleashing energy, building, freeing, and growing" (Peters & Austin, 1985:xix).

Peters argues that all organisations must continue to face up to the need for a revolution in organisations. Their basic aims must be: enhanced responsiveness through greatly increased flexibility and continuous short cycle innovation in five major areas, i.e. customer responsiveness, fast-paced innovation, flexibility through empowering people, loving change and building new systems (Pugh & Hickson, 2000:171).

Waterman (1994:17-25) indicates that top performing organisations are different because of their organisational arrangements. They are better organised in meeting the need of their people and their customers. These organisations allow their people to:

- Feel in control.
- Have something to believe in.
- Be challenged.
- Engage in lifelong learning.
- Be recognized for achievements.

These organisations are also continuous innovative, share values and culture and acknowledge the importance of the various skills of the people employed. In the words of Peters (1994:xii): "Work and business can be creative and exciting. A hoot. A growth experience. A journey of lifelong learning and constant surprise".

Kanter (1983:27) found in her research that the entrepreneurial spirit that produces innovation is associated with the concept "integrative" which is a particular way of approaching a problem. This implies a "willingness to move beyond received wisdom, to combined ideas from unconnected sources, to embrace change as an opportunity to test limits". She states that seeing programmes integratively is to see them as wholes

related to wholes. In this way established practices are challenged and can it be affected by new experiences. She argues that there is three general needs for change:

- Improving the quality of working life.
- Creating equal employment opportunities for women and minorities.
- Opening opportunities for reanalyzing aspirations of employees to make better use of the tenants in contributing to the corporation (Pugh & Hickson, 2000:180).

She carried out a study of "change masters" (corporate entrepreneurs) who are capable of anticipating the need for, and of leading productive change. She found that innovative organisations have the willingness to see problems as wholes and find solutions to move beyond what is possible and therefore, to challenge established practices. Entrepreneurial organisations are willing to operate at the edges of their competence, dealing with what they do not yet know. She suggests that to "awaken" so many non-innovative, older and troubled firms they should aim to reawaken the spirit of enterprise to arouse the potential for entrepreneurs. Entrepreneurs (and entrepreneurial organisations) "… always operate at the edge of their competence, focusing more of their resources and attention on what they do not know … than on controlling what they already know. They measure themselves not by standards of the past … but by visions of the future" (Kanter, 1983:28). For corporations to be able to be like this they must encourage a culture of pride in organisational achievements, the reduction of layers in the hierarchy, the improvement of lateral communication and the empowerment of people lower down the organisation to have the authority and the resources to exploit their ideas (even cutting across established segments and boundaries) (Pugh & Hickson, 1987:116).

Kanter defends the point that all managers have two jobs, those of handling today's issues, and getting ready for the future. To be able to get ready for the future the organisation must be a "change-adept organisation" that "anticipates", creates and responds effectively to change (Kanter, 1997:3). In a "Global Reach of the World Leadership Survey" she and her colleagues found that the idea of change is a confirmed part of corporate life (Kanter, 1997:200). It is therefore important to build the employees' capacity to produce more change productively. She indicates three levels in

organisations where change should take place: change projects, change programmes and change-adept organisations.

For this to happen people must be innovative, professional and competitive, and they must have closer relationships with key partners. Organisations must shift from bureaucracies to flexible, customized and innovative structures that are flatter, less hierarchical and agile (Kanter, 1997:4;27).

Karl Weick sees organisations as "sensemaking systems" which continuously and nonstop create and re-create conceptions of themselves and of all around them. Their members continually reaffirm to one another the truths of this reality as they see it and the correctness of what should be done about it. Sensemaking is more than interpretation. People build up a view of themselves and what is going on, and at the same time interpret what was their own view in the first-place. He states that: "people know what they think when they see what they say" (Weick, 1995:18).

Organisational 'sensemaking' has at least seven distinguishing characteristics. It is:

- **Identity** - grounded in identity construction (sensemakers perpetually redefine their notion of themselves).
- **Retrospective** – a never-ending reconstruction of experience.
- **Enactive** of sensible environments - people make sense of their worlds. They implant their own reality as part of the environment they face.
- **Social** - sensemaking occurs with and in relation to other people.
- **Ongoing** - sensemaking is always a process, it never stops.
- **Extracted cues** - focused on and by extracted cues, growing from familiar points of reference.
- **Plausibility** - driven by plausibility rather than accuracy. The changing world moves on before a precise account of it can be formulated, the full action accuracy is impossible. We cannot know what the appropriate action should be until we are involved in doing something, seeing what happens and making sense of it (Pugh & Hickson, 2000:185-187; Weick, 1995:17-61).

Behind a facade of numbers, objectivity and accountability, organisations and their appointed leaders "... wade amidst guesswork, subjectivity and arbitrariness". He urges people to stamp out nouns and to make use of verbs. Verbs capture the action that lays down the path for sensemaking and its keeps things moving. Verbs remind people that they are confronting the activity of the environment and point to the actions to be committed to. Verbs bring one closer to the dynamics of a process (Weick, 1995:188). He encourages organisations to keep in mind not to panic in the face of disorder and not to do one (major) thing all at once (the consequences of what you are doing can show up indirectly and much later). They should take note that chaotic action is preferable to orderly inaction, and that the most important decisions are often the least apparent. There is no solutions, no simple answers and they are rarely right or wrong. Organisations must learn to live with improvisation and they should stamp out utility. To adapt and conform too much today, an organisation can rule out some options for the future. Some space must be kept so that fresh future repertoires of action may be opened up. Organisations should not be boxed in one conventional form, their map is their territory and they should 'rechart' the organisational chart. Organisations must be visualized as evolutionary systems and they must be aware of what they can and should change. But most of all they should take pleasure and have fun in other solutions, new situations and more complex alternatives (Pugh & Hickson, 2000:188, citing Weick, 1979).

iv)   *Decision-making in organisations*

March (Pugh & Hickson, 2000:195-196) says: "What has to be done is not clear, nor how to do it". In this topsy-turvy world, views and aims are changing and so are the alliances between those concerned. He has a cognitive approach to understanding and decision-making and rationality. He uses the term "organized anarchies" and "garbage can" model (Pugh & Hickson, 2000:199; Bolman & Deal, 1997:241; Corwin, 1987:35; Cohen, March & Olsen, 1972:30;31).

In this description of organisations and their decision-making processes, he indicates that they (organisations) have three general properties:

- They discover goals from what the organisation is doing, rather than by defining them clearly in advance.
- Institutions work more by trial and error than by knowing what it is doing.
- These institutions have fluid participation of who is involved and what is constantly changing.

All organisations must live with uncertainty and must be aware that decision-making processes are learning processes – organisational learning takes place. People should act sometimes before they think in order to discover new goals in the course of that action. They should make decisions with consequences for the future in the knowledge that they do not know what will be wanted in the future. March argues, that decision-making needs a scope of foolishness and that playfulness allows this and it is therefore, a deliberate suspension of the normal rational rules so that we can experiment. We need to play with foolish alternatives and inconsistent possibilities. He suggests the following five guidelines for play in organisations (March cited by Bolman & Deal, 1997:231):

- Read goals as hypotheses to be changed.
- Do not ignore what you feel, take intuition as real.
- Treat hypocrisy as part of transition.
- Accept memory as an enemy.
- Consider experience as a theory that is not fixed history but as a theory of what happened which we can change if that helps us to learn.

Bolman and Deal (1997:243;248) provide four symbolic roles for plans in universities from the work of Cohen and March (1974) that is relevant for organisations as well. They indicate that:

- **Plans are symbols** - academic organisations provide few "real" pieces of objective evidence evaluating their performance. No one knows how institutions are really

doing, and planning is more a signal of revitalising of failure and that the possibility of improvement is around the corner.

- **Plans become games** - training is a test of will where benefits come rather from the process than the results.

- **Plans become excuses for interaction** - in developing a plan, it forces discussion, which may increase interest and commitment and occasionally yields positive results but rarely accurate forecasts.

- **Plans become advertisements of an institutional attractiveness for investments by public donors.**

The research of March and Cohen found that institutional leaders (college presidents) indicated in their responses between the linkages of plans and decisions, that nothing suggests that the results (outcomes) would have been any different a quarter of a century later. Institutional processes is also more an action of appearance of institutional leaders, and less of action. If they want to make a difference they have to construct new myths that will alter beliefs and generate faith (Bolman & Deal, 1997:248).

The work of Vroom confirmed previous findings that participation in decision-making have positive effects on attitudes and motivation, but it also showed that the amount, or size of influence this had was in direct correlation with certain personality characteristics of the participants. He indicates that authoritarians and persons with weak independence needs are unaffected by the opportunity to participate, where as egalitarians and those with strong independence needs develop more positive attitudes and greater motivation for effective performance through participation (Pugh & Hickson, 2000:205; 1989:133; Gross & Etzioni, 1985:50).

Tannenbaum however, suggests that 'Hierarchy' is divisive, it creates resentment, hostility and opposition. Participation reduces disaffection and increases the identification of members with the organisation. Through the participation process elected leaders empower individual leadership and increase its control by giving up some of its authority (Pugh & Hickson, 2000:215; 1989:143).

His research challenges the commonplace view that control should be unilateral, from the leader to the led. Leaders have greater control when the led also have greater control. Although it is important to diminish the slope of hierarchies, his evidence suggests that people are more interested in exercising greater control themselves than in exactly how much control others may have (Bolman & Deal, 1997:300:308).

v)   *People in organisations*

The views of the writers on people in organisations are that people not only work for the organisations, they are the organisations. Organisations are therefore systems of independent human beings. They regard the organisations as a "natural system" – "an organism" whose processes have to be studied in their own right, rather than a "formal system" that is a mechanism designed to achieve particular ends. They brought into prominence that people in organisations must be understood as human beings, how they are motivated, how their needs for growth and development may be satisfied and brought in line with the organisational culture and how effective leadership development can take place (Pugh & Hickson, 2000:222).

Mayo's work on the use of the insights of the social sciences to secure the commitment of the individual(s) to meet the ends and activities of the organisation, formed the basis of the Human Relations movement or school. He believed that industrialization would cause the disintegration of traditional social groups and therefore made it his concern to provide a new home and place of security for the atomized individual (Pugh & Hickson, 2000:227; Gross & Etzioni, 1985:44;76).

McGregor proposed in his work the concepts of Theory X and Theory Y. He indicates the following underlying assumptions about human motivation in Theory Y:

- The ordinary person does not dislike work.
- People will exercise self-direction and self-control in the service of objectives to which they are committed.
- The satisfaction of the individual's self-actualising needs could be the most significant reward towards commitment.

- The average human being can learn not only to accept, but also to seek responsibility.

- Many more people are able to contribute creatively to the solutions of organisational problems than do so.

- The potentialities of the average person are not being fully used.

Theory X, and other hand, represents the opposite: workers must be kept in line by rules and they can only be directed by threats and punishments, or rewards, which McGregor thought were wrong. He believes that workers want to be productive and that management must be smart enough to align jobs with the workers needs (Van Patten, 2000:41; Pugh & Hickson, 2000:231; Bolman & Deal, 1997:101;105-106; Gross & Etzioni, 1985:53).

Schein describes the psychological contract as a key factor which determines the motivation of individuals in organisations. This contract includes economic components such as pay, working hours, job security but also more implicit concerns such as being treated with dignity, gaining some degree of work autonomy, having opportunities to learn and develop. This career development perspective brings into practice the understanding of the dynamics of career development and the feeling individuals have about the culture of the organisations. Leadership plays a key role in maintaining and transmitting the culture and to manage cultural change. He insists that organisations are cultures and gives the following formal definition: "A pattern of shared basic assumptions that a group learned as it solved its problems of external adaptation and integration that has worked well enough to be considered valid and therefore to be taught to new members as the correct way to perceive, think, and feel in relation to those problems" (Schein, 1992:12).

Herzberg concentrated on job satisfaction and found that the five factors mentioned the most frequently regarding job satisfaction was achievement, recognition, the attraction of the work itself, responsibility and advancement. These factors are those stemming from people's need to realise their human potential for perfection. People need to understand, to achieve, to experience psychological growth. These needs are very powerful motivating drives. He advocates an approach through the motivation-hygiene theory that suggests that jobs be enriched to include the motivating factors in order to bring about an

effective utilization isolation of people and to increase job satisfaction. Hertzberg saw job enrichment as central to motivation where enrichment meant giving workers more freedom, authority, greater challenges, accountability and using more skills as opposed to adding more dull tasks to a tedious job (Pugh & Hickson, 2000:224-247; Bolman & Deal, 1997:130; Gross & Etzioni, 1985:50).

vi)   *Organisational change and learning*

Environments are changing at an increasing rate and in increasing complexity. Factors and situations may arise over which the organisation has no control or even no knowledge, and may cause significant change. It is important that leaders have to understand the need for change and to be consciously working to achieve it. They have to acquire a capacity for learning to accommodate continuous development to bring about the necessary change.

Argyris focuses on individual and organisational learning. In his article in 1957, The Individual and Organization: Some problems of mutual adjustment (In Cooper, 2000:651-674), based on the research in his book Personality and Organisations (1957), he defines personality and the development of the self, and the basic properties of the 'formal organisation' indicating the incongruence between the needs of a mature personality and a formal organisation. He debates the point that the dilemma existing between the need of the individual and the demands of the organisation is a "basic continual problem, posing an eternal challenge to the leader" (Argyris, 1957:24[674]).

A way must be found to create an organisation where the individuals can obtain optimum expression and the organisation may obtain optimum satisfaction. He indicates that organisations only learn through the individuals in the system. Individual learning however, is facilitated or inhibited by the internal "ecological system" which he calls an organisational learning system (Argyris, 1999:157). His theory on single- and double-loop learning influences how individuals and groups solve problems and make choices to correct them (He borrowed the term from cybernetics). He states that single-loop learning takes place "whenever an error is detected and corrected without questioning or altering the underlying values of the system" (Argyris, 1999:68). It occurs when matches

are created or when mismatches are corrected. Double-loop learning, however, takes place when "mismatches are corrected by changing actions" (Argyris, 1999:68), first by examining and changing the governing variables and then the actions. The changed or inferred governing variables drive and guide the actions of the individuals acting as agents of learning. Argyris argues that learning has not occurred until a match or a mismatch, therefore the invented solution, is produced. Single- and double-loop learning are required by all organisations within two implicit assumptions:

- Intervention should begin at the highest levels of the organisation to implement the learning.
- Learning must begin at the individual level and then spread to the organisational level.

He defines learning not only as problem solving (the focus on identifying and correcting errors). For learning to persist all individuals need to look inwards as well - to reflect critically on different behaviour, identity, the ways they contribute to the organisations problems, and change the way they act. In short "they must learn how the very way they go about defining and solving problems can be a source of problems in its own right" (Argyris, 1999:127).

Senge, a systems theorist, focuses on learning and how to cope with continuous change in a complex world in order to be successful. He argues that organisations have to become "Learning Organisations" and indicates that it is not easy for organisations to learn. This is due to:

- Excess commitment of individuals to their own positions.
- Blame always allocated externally, away from the immediate group (the enemy is out there).
- Illusion of taking charge.
- Focusing on immediate events as explanations.
- Being unaware of slow, gradual processes that present greater threats than immediate events.

- The delusion that learning comes only from experience.

- The myth of top management being agreed and united (Pugh & Hickson, 2000: 282-283).

These disabilities can be overcome when organisations practice his proposed five disciplines: that of personal mastery, mental models, shared vision, team learning and systems thinking (Senge, 1990:5-12; Senge, Kleiner, Roberts, Ross & Smith, 1994:6;9-12). Systems thinking is the discipline that integrates and fuses the five disciplines into a meaningful process of theory and practice, it continually reminds the institution(s) that the whole can exceed the sum of the parts. By practicing these disciplines the individual becomes enlightened and aware of his ignorance. Excellence is something the individual strives for and by practicing these disciplines the individual becomes a lifelong learner. This has the effect that learning organisations are always in the state of practicing the disciplines of learning. The new organisations require new leadership roles, while the new leadership roles require new leadership skills (Senge, 1996:298; Van der Westhuizen, 1998:89;142).

The development of organisation theory influenced the role of the individual in the organisation as well as conceptualised new organisational structures to accommodate the different viewpoints and all the aspects of change and transformation that took place in the environment. The previous discussion not only highlighted the development structure but also the major role players that influenced the new way of thinking.

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4.4.2   The emergence of the new organisation

The development of organisational theory with the accompanying initial view of the worker/employee, and techniques for achieving high production through corporations were "challenged by successive waves of thinking and ultimately vanquished by the philosophy of empowerment" (Limerick, Cunnington & Crowther, 1998:29).

Limerick et al, (1998:29-46) summarized the development in organisasional and management theory in four management blueprints with the philosophy of empowerment underlying the fourth blueprint (Table 4.4).

Table 4.4   **The four management blueprints**

	FIRST BLUEPRINT	**SECOND BLUEPRINT**	**THIRD BLUEPRINT**	**FOURTH BLUEPRINT**
	Classical	*Human*	*Systems*	*The collaborative organisation*
Organisational forms	• Functional • Mechanistic • Organic	• Interlocking • Matrix	• Contingency • Divisional	• Loosely coupled networks and alliances
Management principles	• Hierarchy	• Supportive relationships	• Differentiation	• Empowerment and collaborative individualism
Managerial processes/forms	• Management functions	• Democratic leadership	• Open systems analysis	• Management of meaning
Managerial skills	• Person-to-person control	• Goal setting • Facilitation	• Rational/ diagnostic	• Empathetic • Proactive
Managerial values	• Efficiency • Productivity	• Self-Actualisation • Social support	• Self-regulation	• Social sustainability • Ecological balance

Source: Limerick, Cunnington & Crowther, 1998:30

i) *The first management blueprint*

This blueprint, the child of the Industrial Revolution and a traditional classical approach, dominated western thinking from the beginning of the twentieth century to well into the 1930s and it was concerned with increasing productivity and industrial outputs. This mass production system was based on internal consistency relying on principles of specialisation, centralisation and formality within a fundamentally hierarchical system, where "managers were concerned with the principles, processes and skills that made the hierarchy work" (Limerick et al, 1998:29-32).

ii)   *The second management blueprint*

The Great Depression brought the divide between the first and second blueprint. The depression brought forward different needs, which challenged the accepted capitalist society and the focus shifted from the formal organisation to the informal workgroup. A new conception and understanding of people emerged, with the focus on meeting the social needs but neither as an independent individual nor as developing specific self-control. This concept was centered on the collective nature of humans and the recognition of the human factor in work. It lasted until the recession of 1957 -1958 with the emphasis shift in focus from human relations to human resources. Economic efficiency were given equal recognition with human needs and relations (Wren, cited by Limerick et al, 1998:33)

The focus expanded with an emphasis shift concerned with the interface between the individual in the group, and organisational effectiveness and the emergence of the flat hierarchy (as an organisational form), interlocking groups and distant supervision. This implies group support, wide spans of control and managerial focus on supportive leadership with the concern of setting objectives, facilitation of personal and group growth and the evaluation of performance by end results. This blueprint persisted well into the 1970s (Limerick et al, 1998:32-35).

iii)   *The third management blueprint*

The second management era came to an end around the 1970s and the competitive organisational environment required focusing on the emergence of a new managerial paradigm with an emphasis on what was going on outside the organisation. The focus on the environment and the emergence of the open systems model management made a distinct difference between the previous mechanistic system and the new organic form. The open system with its set of interrelated parts operated in a dynamic environment where the substance was people, not tasks. It was a system that de-emphasized the hierarchy and used a corresponding interlocking flexible group structure with shared norms, beliefs and values where people operate with self-control and mutual adjustment. This approach emphasized the unity of the team and downplayed the importance of

individual differences. However, by the 1980s the emergence of fierce individualists transformed the nature of these organisations that was based on interdependence, openness, unified systems rationality and objectivity and cohesive teamwork (Limerick et al, 1998:35-43).

iv)   *The fourth management blueprint*

During this era it became clear that under the conditions of discontinuity it was not system theory that was problematic, but the development of the open systems model which was inherently reactive and based on unitary assumptions. Literature in the early 1990s brought a new set of features to the attention. It became clear that discontinuity, loosely coupled systems, synergies and alliances, collaborative individualism, social sustainability and holism were the name of the game. This paradigm extends the model from loose coupling within organisations to loose coupling between organisations that allows institutions/organisations to change from within and from without (Limerick et al, 1998:41-45).

Limerick et al (1998:xii) depicts the essential elements of the new organisation in Figure 4.3. It focuses on the individual to increase understanding and not as variables that enables causal generalizations, which bring distance. It also emphasizes the process rather than the structure. "In a world in which the only stable locus of activity is the individual, and where that individual is changing and is involved in changing multiple systems of action, structural paradigms become so cumbersome that they lose utility" (Limerick et al, 1998:247).

The structural design must move to an action perspective with a truly process-oriented theory, which will embrace new innovative concepts, insight, creativity and explanations. A third point of focus is that of conceptualization rather than universalism. "The issue is not so much one of understanding behaviour in context …it is one of understanding behaviour with context" (Burgess-Limerick, cited by Limerick et al, 1998:249; Limerick et al, 1998:247). "People-as-agents position themselves within context, redefining it, shift the boundaries between self and context, experiment with it and use its possibilities to craft self and compose their life-streams" (Kondo, cited by

Limerick et al, 1998:249). Individuals in these organisations have the confidence to create and invent their own reality, a value driven system with shared transcendental values and meanings to create emancipated, empowered, collaborative organisations (Limerick et al, 1998:252).

Discontinuous change	Organisational change	New managerial focus	New managerial competencies
Economic change • Disorganised capitalism	*Structure* • Networks • Boundaryless organisations	*Metastrategic management* • Identity, vision and operating systems of management	*'Soft' competencies* • Empathy • Trust • Managing symbols
Social change • Post-modernism	*Culture* • Collaborative individuals	*Micro-strategic management* • Ecological processual and shared leadership perspectives	*'Hard' Competencies* • Negotiation • Political • Contracting
Interpersonal change • Neo-humanism	*Strategy* • Entrepreneurship • Alliances • Invention through action learning		*Network control technology* • JIT • TQM • Kanban • Broadbanding • Multiskilling

Figure 4.3   The essential elements of the new organisation
Source: Limerick, Cunnington & Crowther, 1998:xii

4.5   TOWARDS A LEARNING ORGANISATION

4.5.1   Introduction

"If a society is changing, it needs to learn how it is changing and thus… needs to change the way it learns" (Ranson, 1998:4). Ranson cites the work of Husén (1974; 1986;1990) and points out the important influence of his work on educational studies and practice. Husén concentrated on reflection upon, and reform of traditional forms of learning. He has been at the center of education reform in Sweden since 1940. Husén argued that education need to reform to meet the needs of a changing society towards the creation of a learning society through the concept of lifelong learning. Daniel (1997:7-8) describes the term lifelong learning as the need for people to continue their education and training throughout life to prepare them for multiple careers. He argues that the term learner designates a role and not a person. The concept, lifelong learning, has an impact on institutions and they are therefore challenged to be more flexible. As the 'learner' is also part of, and employed by these institutions, they should also be part of this 'new thinking' and the renewal of higher education institutions.

4.5.2   The learning university/higher education institution

Duke (1992:xi) states that "organisations as well as individuals can learn", the question however is, do universities (higher education institutions), really learn? He argues that "organisations" can make use of "new information, adapt their identities, purposes and priorities to new environments and circumstances, change and survive". The question however is - do universities (higher education institutions) adapt to new circumstances, and how far are they on the road to becoming 'Learning Organisations'? - an organisation that both learns and fosters learning. Universities have an abiding fascination for the inquiring mind, and the number of academia involved in researching change and new ways of learning, as well as authoring books are seen in the numbers of books flooding the market. The question however still remains, in spite of all the information available, whether higher education institutions, as teaching and learning institutions, adopt and adapt to the new paradigm of lifelong learning? Duke (1992:4) argues that "… learning is a normal human activity which occurs throughout life….If

learning throughout life is vital to the individual, so too is it to the whole society". Rowley et al (1998:53) indicate that learning will be 'lifelong' and the competition over new knowledge and information will be intense, therefore the society that will step up to educational change will most likely prevail in the future.

Blasi (1999:29) cites Webb who indicates that in order to survive and grow in a knowledge society we need strong interpersonal skills from well-rounded individuals who are not looking for a controlled and regimented environment. These people are capable of living with uncertainty, keen to find solutions to complex problems and are committed to lifelong learning. Higher education must change from an organisation that fosters learning to a learning organisation. The institution must be a knowledge-generating organisation, it must transform from within. It must learn and transform while it scans, evaluates and implements (uses) new information (Rowley et al, 1998:23). New learning will be driven by creativity, it will be inquisitive and will be prone to adding and refining ideas crucial for the future. The learning organisation therefore addresses events as they unfold and in the process they acquire knowledge regularly while constantly upgrading and refining it to enable institutions to improve the use of it and to decide to which knowledge to put it. This enables them to shift direction as required. As they gain knowledge, they evolve their processes and assess results continually, but most important of all they learn from each other (Van Patten, 1999:195; Rowley et al, 1998:56;110; Van der Westhuizen, 1998:111-115: Kline & Saunders, 1993:23;130).

Becoming a learning organisation involves more than a paradigm shift for higher education institutions. It requires a change in how we think about higher education, shifting the focus from traditional to futuristic, from cloning the past that is embedded in policy, process and requirements which are largely disconnected from the rest of the world, to a new birth and a new future of enabling the mind and empowering the individual (Horibe, 1999:6; Teare & Dealtry, 1998:117; Davies, 1985:104). Gentle (1997:159) states that the change in the environment of higher education corresponds to the vision of a learning organisation, an organisation that is now increasingly prevalent in the knowledge based-industry and society.

4.5.3   Managing change in higher education institutions

Literature reviewed in chapters two and three indicate that in many respects, it seems that higher education is at a watershed (cf. 2.2.3; 2.3.3; 3.4 and 3.10.2). Rush (1995:4) asserts that on the one side there are centuries of deep tradition and inertia framed by high public esteem and a tight linkage between higher education institutions and society, but on the other hand there are important and meaningful challenges to the centuries of history, tradition and inertia. These challenges are brought to the fore by the dramatic change in social demands and the public uneasiness of higher education. Change, however is not a rational process but a process of its "expressing values in new ways, under new conditions" (Taylor, 1999:38). Up to this point change in higher education has been more an adaptation (Sporn, 1999:37:281).

Sporn (1999:28) puts adaptation in an environmental perspective. She argues that higher education institutions are part of a larger societal environment and indicates how institutions need to change due to trends and developments in society (Figure 4.4). She links her adaptation theory to the turbulence in the higher education arena, where change and adaptation is more evolutionary and not a revolutionary process - a change process, with incremental change, often indicating changes only at the margins/periphery for the purpose of appearance. This evolutionary process can either be seen as an opportunity or a threat in higher education institutions and can therefore be used for improvement or as destruction.

Fairweather (1996:4) cites Ashby who noted that higher education institutions (universities) have not devised sufficient built-in mechanisms for change, and therefore change needs to be imposed from the outside. However, a number of people, mostly from outside the academia believe that the dramatic nature as well as the compressed time scale that is characteristic of change and of our time, will drive not evolution but revolution. There are serious doubts whether the pressing challenges of the present towards the future and the powerful forces driving change, will allow for gradual change and adaptation (Duderstadt, 1999:50). "Stasis and incrementalism" will prevail
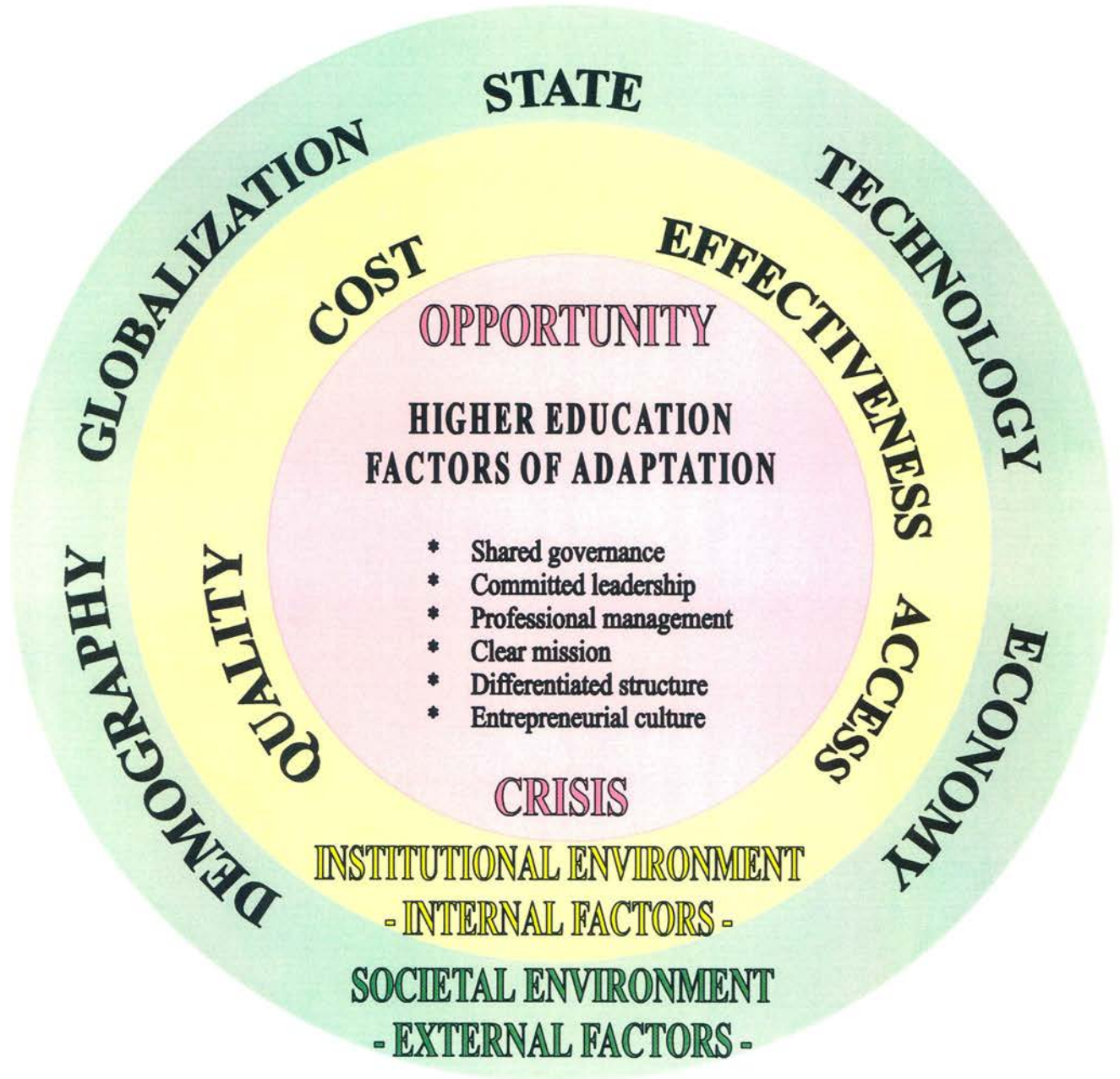
Figure 4.4   **Adaptation in Higher Education**
Source: Sporn, 1999:281

and higher education institutions will resist the call to change and in that way keep on to preserve the organisation and its culture unless a crisis is at hand (Duderstadt, 1999:50; Rush, 1995:13; McCoy, 1995:52).

Higher education institutions must shape and determine their future and their destiny aggressively. Drucker (1992:339) notes in Managing for the Future: The 1990s and beyond, that "(I)n a crafts society, which ours essentially was until late in the nineteenth century, major changes occurred perhaps every eighty years....Today...it is probably every sixty days". To cope with the continuous change of the future Drucker declares that "paradox, ambiguity, uncertainty" are new words in management literature. These words acknowledge both the speed and complexity of change and it describes the human feeling towards, or in response to change.

An understanding of the key factors for enhancing change in higher education is important (Van der Westhuizen, 1998:116-119). McCoy (1995:75-78) deliberates that higher education institutions should develop a more nimble and flexible capacity to address these factors and institutions should turn constraints into opportunities. She provides ten key dimensions for enhancing change. (Table 4.5). These tasks should be faced collectively and individually. People are therefore the key to change (Johnson, 2000:120). According to a Chinese Proverb:

> If you want one year of prosperity, grow grain.
> If you want ten years of prosperity, grow trees.
> If you want one hundred years of prosperity,
> **grow people.**
> (Kouzes and Posner, 1990:161)

The empowerment and the development of the leadership skills of the individual become very important. If people are the key to change, they must identify what to change, help to create new processes and find and innovate ways how to adapt to them. Institutional leaders must rise to the challenge and prepare individual leaders in higher education institutions for change and transformation (Van der Westhuizen, 1998:126-136; McCoy, 1995:78).

Table 4.5   Key factors for enhancing change

KEY FACTOR	INFLUENCE
Normalisation of change	• Change and experimentation are the norm rather than the necessity during crisis. Ongoing learning and leadership processes are important.
External focus	• Institutions must build functioning linkages with the external world and enterprises to stay current and in touch.
Importance of leadership	• Leadership capacity and leadership development at varying levels are critical to the success of institutions.
Management of tension between centralization and decentralization	• To build interactive institutions, it is essential to establish incentives and vehicles that foster cross-unit interaction and commitment to institutional goals.
Faculty engagement (academic staff)	• Active leadership and leadership roles of individual faculty are important to bring about real change.
Role of technology	• Institutions must be aggressive in the application of technology to academic and administrative processes – Co-operative partnerships must be developed to spread the costs.
Importance of management function	• Develop the capacity to improve the asset position of institutions to create a base of flexibility in under-girding change.
Focus on implementation	• Develop a culture of change with sustained and committed institutional leadership.
Dynamics of accountability	• Academy must take a strong leadership role to define terms in which the enterprise and its components will be evaluated and assessed
Forging new co-operative endeavours	• Redefine the traditional organisational boundaries and form strategic alliances with industry, business and other educational and cultural institutions.

Source: McCoy, 1995:75-78; Van der Westhuizen, 1998:116-162.

4.5.4   Leadership towards renewal and a new order

In the previous section (cf. 4.5.3) the importance of institutional change is discussed. However, it is one thing to initiate change, but quite another to try and complete the process of change and transformation. Institutions should seriously ask the question if they do have the leadership, the courage and the will to see the important task of change and transformation through to completion (Dickeson, 1999:23). Fenstermacher (1999:7) distinguish between three types of institutional change: repair, reform and renewal. He defines it as follows:

- **Repair** - fixing something that is broken. That is without alteration of the underlying structure or function.

- **Reform** - extensive revision or reformulation with a corresponding overhaul of the structure and function.

- **Renewal** – Re-invigorating of and re-engagement of what is often already available (in place) but little used.

In the previous two chapters reform, and to be more specific, higher education reform has been discussed and analysed, indicating that higher education reform has been on the agenda for a number of decades in different countries. The analysis of reform, as it is taking place in higher education, raises questions of how leaders make sense of the changing context and how they are enabled to respond constructively to the challenging environment of a new world order (Macbeath et al, 1996:242). Daniel (1996:10) indicates and stresses the fact that the agenda for higher education renewal challenges the popular concepts of academic quality.

Although 'reform' is the operating word and concept, the researcher wants to emphasise the concept of 'renewal' (Duderstadt, 1999:1). In 4.5.2 and 4.5.3 the growth of people, the development of the individual as well as the recognition of the potential of individual skills are highlighted. Within the conceptual understanding of renewal (Fenstermacher, 1999:7) - the potential of the individual has always been available and in place in higher education institutions, but due to the mechanistic and hierarchical structures of institutions, it has not always been recognized and/or used to the advantage of the

institutions. Although individual academic skills and research were (and still are) acknowledged and approved of it has not been used for the purpose of institutional learning and knowledge creation. In fact, Rush (1995:16) deliberates that higher education institutions "have become academic condominiums where individual faculty (academic staff) members pursue their disciplines to enhance their professional standing without regard to the institution in which they work". This attitude has loosened academic staff members' connection to their institution(s) and has drawn them away from institutionally defined goals towards the more specialized concerns of faculty (academic) research, publication, professional service and personal pursuits (May & Zemsky, cited by Rush, 1995:16).

The conceptions of leadership have evolved from the heroic individual view to a more complex interactive engagement of the potential and the skills of the individual as well as the external and internal settings in which the individual functions (Van der Westhuizen, 1998:161; McCoy, 1995:69). The pressures of change have implications for both the external as well as the internal aspects of leadership at all levels of the institution. Middlehurst (1993:83-85) indicates that leadership tasks will consist of reshaping higher education institutions (universities) in the light of the demands of the future while staying true to the enduring values from the past. She links the understanding of the leadership process to that of learning where new understandings and knowledge are achieved by making links with existing knowledge. Leadership requires an understanding of the present position, making sense of reality, as well as the future (goals) so that connections can be made with existing conceptual maps.

It is important to note that such transformation will require flexibility and pragmatism as well as the ability to accommodate and adapt to the different demands and expectations of all stakeholders inside and outside of higher education institutions. Levine and Crom (1994:29), see the emphasis shifting away from 'total quality management' with its largely technically driven aspects to an emphasis on 'total quality leadership', which marries the technical side with the human side. Change and transformation are discontinuous and unpredictable. Effective and total leadership will express itself, therefore, in different ways. There is however, one common constant regardless of

country and culture, and this is the individual who is at the sharp end of managing change (Macbeath et al, 1996:247).

Leadership should aim to take people forward with their consent and commitment. Individual leadership development acknowledges this aspect and empowers the individual as well as the institution (Van der Westhuizen, 1998:172-173). Adaptive solutions are hard to define. Adaptive solutions require members of the organisations (institution) to take responsibility for the problematic situation that face them. Leadership has to take place everyday and cannot be the responsibility of the few. Leadership as seen in this light requires a learning strategy. "The adaptive demands of our time require leaders who take responsibility without waiting for revelation or request. One can lead with no more than a question in hand" (Heifetz & Laurie, 1997:197). Van Patten (2000:42) sites Gardner who states that the call(ing) for leadership serves to define and articulate the most cherished social and individual human goals that society values so highly. It articulates goals that lift people away from petty preoccupations, carry them above conflict and unite them in the pursuit of objectives worthy of their best efforts. Leadership will have to operate in an environment not influenced by the spirit of the times. In this new century civility, comity, compassion, humanism, respect for others and realising the potential of the individual will be essential for the maintenance of civilisation and therefore the survival of higher education institutions (Van Patten, 1999:196; Van der Westhuizen, 1998:135-136).

4.6 CONCLUSION

It is clear that the development of organisational theory plays a significant role in the development and functioning of higher education institutions as organisations. The importance of the development of new structures to meet the future, that of learning organisations is not a question any more but an imperative. However, a number of aspects need to be addressed and questions need to be answered.

Duke (1992:xi;xii) raises the following questions: " do universities (higher education institutions) really learn?... how far are they 'learning organisations'? How do they adapt (change) to new circumstances?" The effectiveness of leadership and leadership

development will be tested ultimately, by its ability to prepare individual leaders to meet and act on the challenges of change and transformation. To handle change successfully institutions should include the essential ingredient of leadership, vision and imagination. Cowan (1997:117) indicates that mechanisms must be in place to provide individuals with the skills to cope with the imposed mechanisms of change. This must be a systematic and strategic approach to cope with change. Coping with change reduces the possibility of "surrendering helplessly to the unknown" (Cowan, 1997:117). "In a situation where the past is all too familiar, the future untried and the present uncertain, a clearly defined understanding of what makes for effective leadership is of utmost importance. Learning how to use that understanding to (develop towards learning organisations and to) make more effective leaders is essential. The Dynamic Academic Leadership structure, The Academic 'Process Leadership' Super structure and the Empowered Institution as defined and illustrated by Van der Westhuizen (1998: 160;161;173) forms the basis for such development and provides the understanding as well as the process for institutions to develop towards learning organisations and will be discussed in the next chapter.

The greater the trust and devolution

of power, it seems,

the greater is the real power of the leader –

the collective power of followership

rather than single leadership

Alder, 1995:125

CHAPTER 5 - OVERVIEW

A CONCEPTUAL UNDERSTANDING OF THE PROCESS MODEL FOR ACADEMIC LEADERSHIP TOWARDS LEARNING ORGANISATIONS

5.1	**INTRODUCTION**
5.2	**BACKGROUND TO THE MODEL**
5.2.1	Research regarding the model
5.2.3	Looking into a new world – a new paradigm
5.3	**THE ACADEMIC 'PROCESS LEADERSHIP' SUPER' STRUCTURE AND EMPOWERED INSTITUTION**
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CHAPTER 5

A CONCEPTUAL UNDERSTANDING OF THE PROCESS MODEL FOR ACADEMIC LEADERSHIP TOWARDS LEARNING ORGANISATIONS

5.1   INTRODUCTION

In the previous chapters, chapters two, three and four, the researcher has looked into and dealt with a conceptual change in organisational theory, higher education institutions as organisations, the impact of change on higher education institutions and leadership development in these institutions. The number of publications especially in the last decade illustrates the development in the field of leadership and leadership development, and the significance and importance of these aspects. However, in the higher education field, specific work on leadership and the influence of leadership in the development of learning organisations is very limited. Issues on leadership are incorporated in work dealing with higher education management, governance, change and institutional presidency.

 The researcher embarked on a study of leadership and leadership development (Van der Westhuizen, 1998). She developed a model for academic leadership and has brought it into the context of the higher education institution as a learning organisation. In this chapter the researcher will discuss and analyse the model: The Academic 'Process Leadership' Super structure and the "Empowered institution" (Van der Westhuizen, 1998:161;173), not as a duplication and justification of previous research, but as an important component (building block), framework and understanding of leadership, leadership development and the change of higher education institutions towards learning organisations.

5.2   BACKGROUND TO THE MODEL

5.2.1   Research regarding the model

Lawson and Shen (1998:255; Van der Westhuizen, 1998:122-126) argue that in order for organisational change to take place, individuals need to change. To change the organisation, strategies of organisational development and organisational transformation need to be implemented. In the development of this model, the researcher conducted a literature review of the general aspects regarding change and transformation in higher education, the development in the field of leadership and leadership development, as well as learning organisations, aspects that form mostly part of the business and organisational vocabulary and are not necessarily described and used in higher education studies. The necessity for individual change, organisational development and organisational transformation was clearly spelt out in the research. "The Dynamic Academic Leadership structure", "The Academic 'Process Leadership' Super Structure" and the " Empowered Institution" (Van der Westhuizen, 1998:160; 161;173) are, therefore, the result of reviewing concepts from different fields of study (transformation and change, leadership and organisational studies), describing the information in 'new language' and portraying it in a different context indicating and confirming the definition of a model (Mouton, 1996:195-198; Mouton & Marais, 1990:50;139-141; Van der Westhuizen, 1998:4-6). The bibliography and resources underwriting the research (1998 - the development of the model) (Van der Westhuizen, 1998:178-195) are an important part and informs the research for this study.

5.2.2   Looking into a new world – a new paradigm

One can argue that it is possible to apply the same principles regarding higher education institutions when dealing with institutional change and transformation as what Cotter (1995:4-5) has said of organisations dealing with change:

> Organizations require periodic revolution, not just constant evolution. …Power in most large organizations remains in the hands of 'caretakers', who inherited their business rather than invented them. Since they're not accustomed to rethinking or transforming their

> organizations these managers continue to rely on incremental change, striving vainly to predict rather than to invent the future. Success in the future will come to those with the ability to cast aside old assumptions and reinvent themselves in surprising new ways.

He states that almost 200 of the 500 largest companies (organisations) in the United States of America have disappeared in the 'past' fifteen years (until 1995). Managers are so hypnotised by the present and focused on the day-to-day problems and short-term goals that they act as if the lightning will strike anyone accept themselves in an environment where one has to recognise that today's organisations are history (Cotter, 1995:4-5). The tradition of higher education institutions has made of institutional leaders custodians of the past and caretakers of a continuous evolution where a revolution is needed (Duderstadt, 1995:50). Despite their performance - although performance and excellence are indicated as a goal, and even if they (institutions) fail, higher education institutions have been bailed out, time and time again. The quest for change, as indicated in the previous chapters, demands new attitudes and new skills for higher education leadership to deal with the future - a future, which is now. Jaworski (1996:183-185 cited by Van der Westhuizen, 1998:117) states that we need a fundamental shift as well as creative leadership in the following aspects to make the future happen (the dynamics of predictable miracles). We need a paradigm shift:

- **In the way we think about the world**: We have to realise that the world is not fixed and we can, through a sense of possibility, create the future every moment. The world around us (our world, communities and organisations) will only change if we change.

- **In our understanding of relationship**: We live in a world that is fundamentally connected and relationships is the organising principle of how we reach outward to other things. It is only at this stage that we begin to see and accept one another as legitimate human beings.

- **In the nature of our commitment**: The power of commitment does not only lie in the dedication and disciplined way that we do and stick to something, but also with the willingness and integrity that we are prepared to trust in the future and to create that future (Jaworski cited by Van der Westhuizen, 1996:117).

Jaworski (1996:185) argues that people are attracted to a future full of possibilities and meaning begins to flow when we have commitment to that future. The people you work with and the people who have an influence on your life are the very people you need in relation to your commitment while creating the future (Van der Westhuizen,1998:117).

"The Academic 'Process Leadership' Super structure" and the "Empowered Institution" (Van der Westhuizen, 1998:161;173) focus on the potential and the development of individuals to deal with, be committed to, and help create institutional change for the future. The model is based on:

- **Transformation** - to form new 'mental models'.
- **Leadership** - to empower the individual and those around him/her for the future.
- **Learning organisations** - to be empowered and to live the future as a reality. (Van der Westhuizen, 1998:16)

The National Plan for Higher Education in South Africa, as well as the demands and challenges for change in the developing and the developed world, are responsible for a far-reaching ripple effect regarding the certainty of uncertainty. Any plans that look right today may turn out to be dead wrong tomorrow. If higher education institutions just tread water and deal with legislation, believing they deal with the future, nothing has changed.

It is difficult, sometimes, for some people in organisations and institutions to recognize the possibility that they actually have and can make other choices. Innovation and learning have replaced obedience and conformity as the key skills needed for success and to reform into new configurations again and again, as new challenges arise. Human intelligence has become the key economic resource for any enterprise. It is simply no longer a question of being better at what one does. It is important to do and "be" in a totally different way. Literature indicates that the pace of the world has not only quickened but is at a lightning pace. Transformation seems to lap transformation and the time available for development before the next transformation has seemingly shrunk to the point of no existence. Acknowledging the skills and potential of the individual in the institution, nurturing creativity and strong diagnostic problem-solving skills becomes significantly more important than enforcing obedience and conformity (Osguthorpe &

Patterson, 1998:41-51; Van der Westhuizen, 1998:117-119; Cotter, 1995:5;24;80). The future for higher education institutions therefore, is changing the mind-set of people as indicated in the model (Van der Westhuizen, 1998:116-173) as well as in the words of Cotter (1995:146) "Changing your mindset make the impossible become possible". In the process of change and transformation one has to "...take a stand and make a declaration to create a new reality (Van der Westhuizen, 1998:116; Varela cited by Jaworski, 1996:179).

5.3 THE ACADEMIC 'PROCESS LEADERSHIP' SUPER STRUCTURE AND EMPOWERED INSTITUTION

"The Academic 'Process Leadership' Super structure (Van der Westhuizen, 1998:161) (Diagram 5.1) is based on two models:

- A "Strategy for transformation" that provides the "space for change" (Van der Westhuizen, 1998:157) as depicted by Fourie (1996:289) and described by Van der Westhuizen (1998:117-126;157;167) (Diagrams 5.2a and 5.2b).
- "The Dynamic Academic Leadership structure" (Van der Westhuizen, 1998:160-160a) that describes the three sub-structures of "Individual Leadership, Institutional Leadership and Administrative Leadership and Management processes (Van der Westhuizen, 1998:126-155; 160-160a) (cf. Diagram 5.3).

The three models are in fact one complete (w)holistic unit to embrace the potential of the individual, the challenge of change, the scope and profile for a learning organisation as well as a 'flat' hierarchical structure (Van der Westhuizen, 1998:169-171;173) (Diagrams 5.4, 5.5, 5.6 and 5.7)

5.3.1 A strategy for transformation

The strategy for transformation as posed by Fourie (1996:289) (Diagram 5.2a & 5.2b) is not a linear process but consists of "...four interconnected perpetual and mutually reinforcing sub-processes".
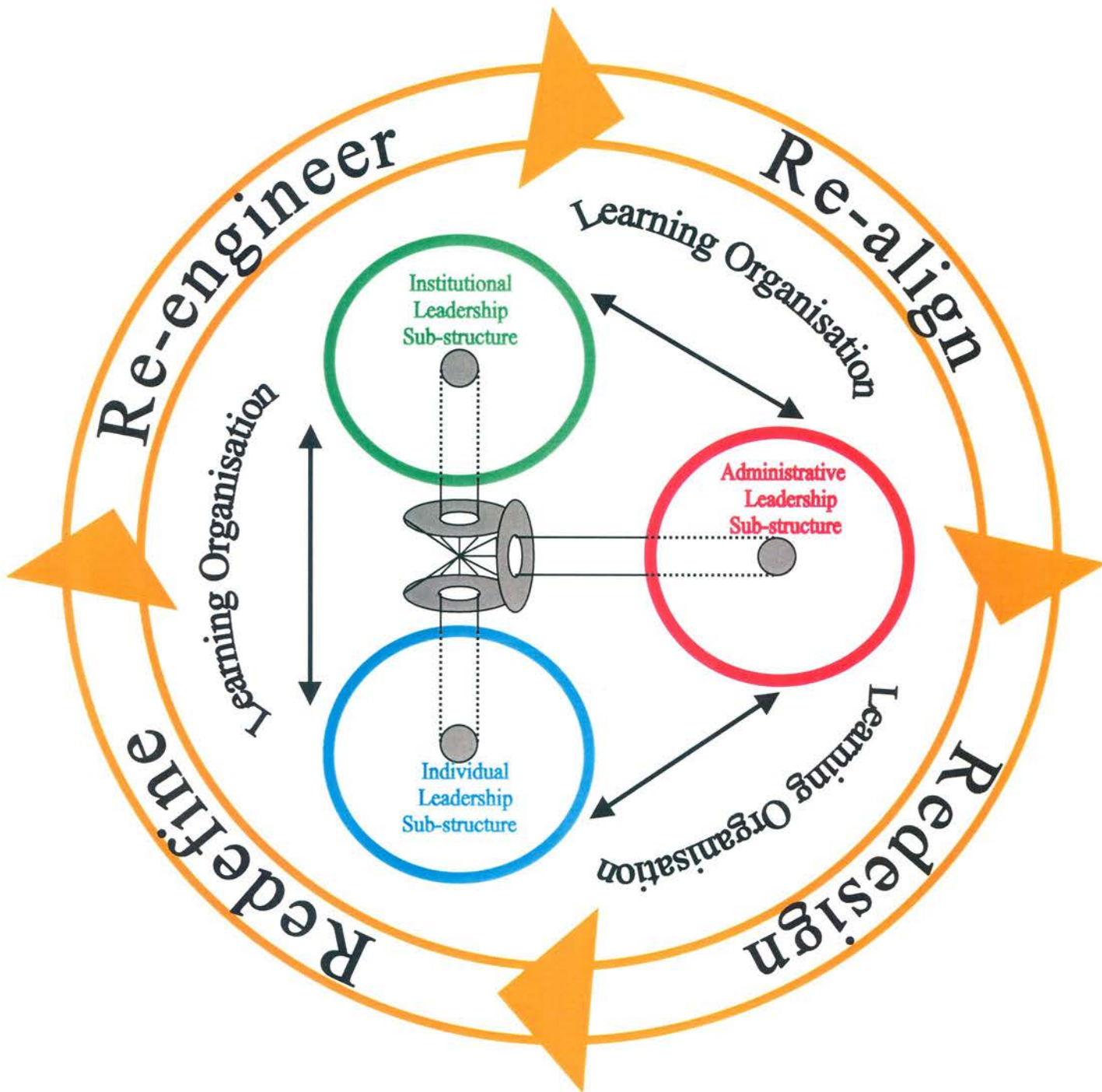
Diagram 5.1   The Academic 'Process Leadership' Super structure
Source: Van der Westhuizen, 1998:161
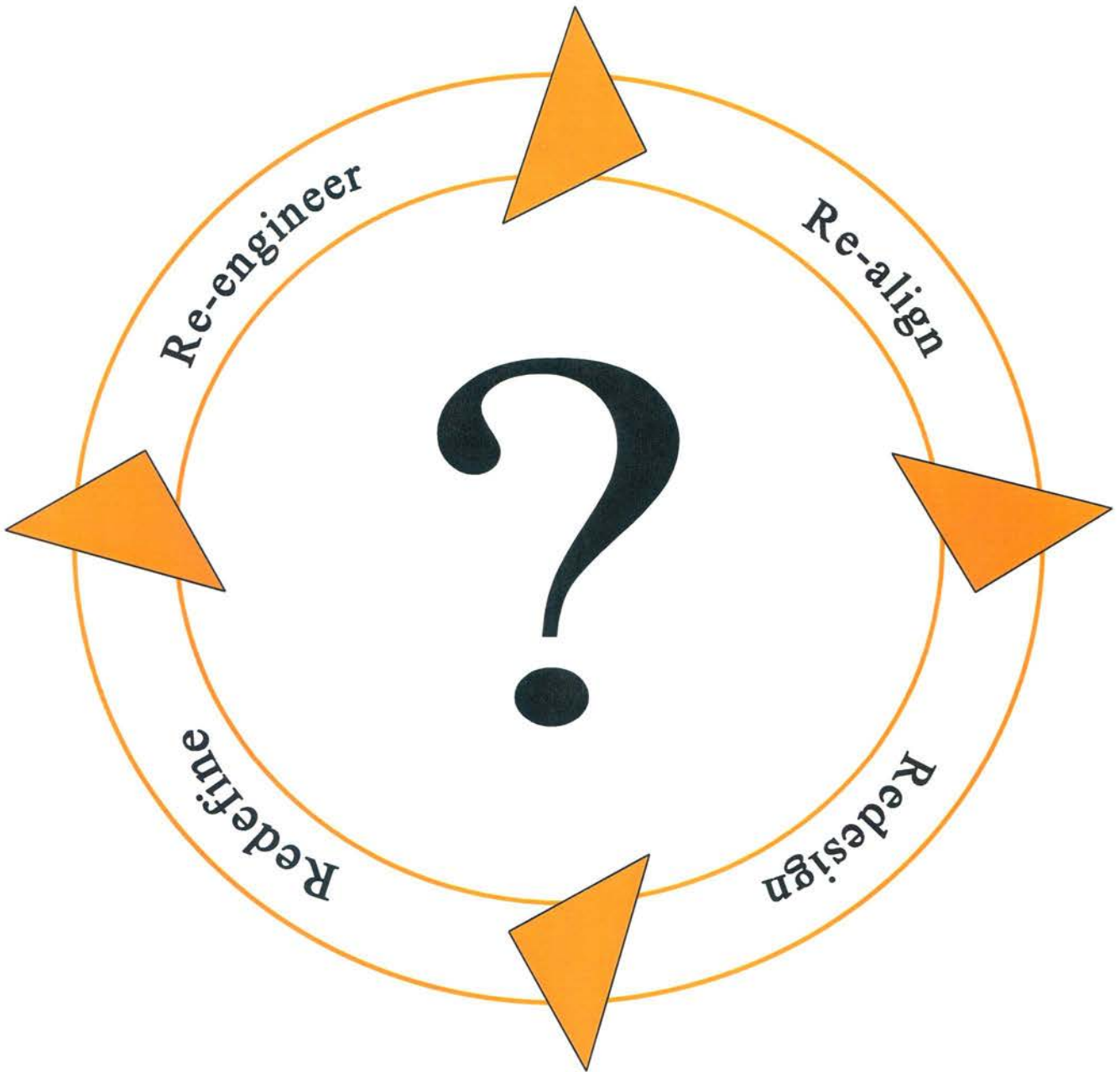
Diagram 5.2a   A strategy for transformation providing the 'space' for change
Source: Fourie, 1996:289 cited by Van der Westhuizen, 1998:157
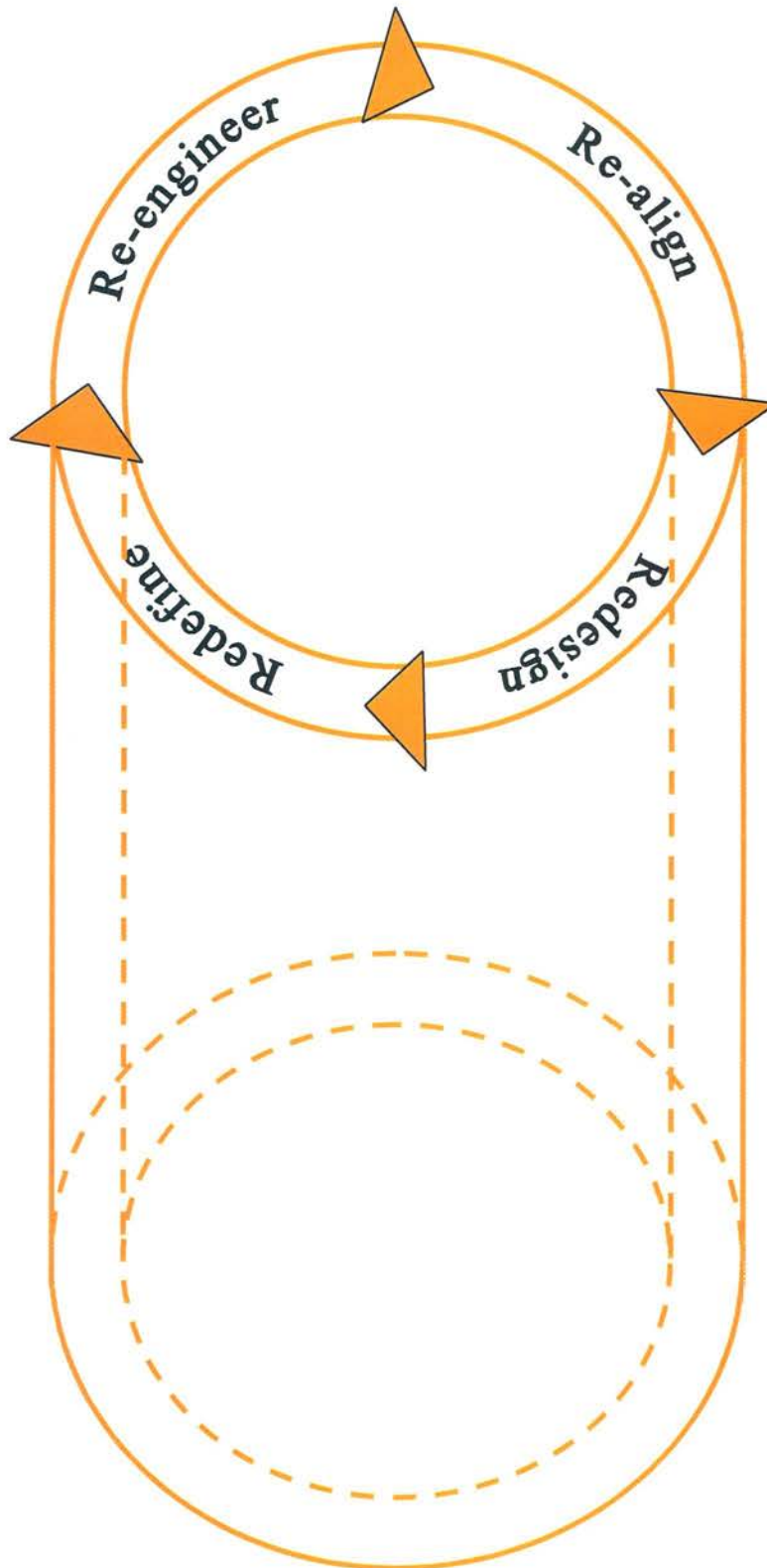
Diagram 5.2b   The cylindrical casing of the strategy for transformation
Source: Van der Westhuizen, 1998:167
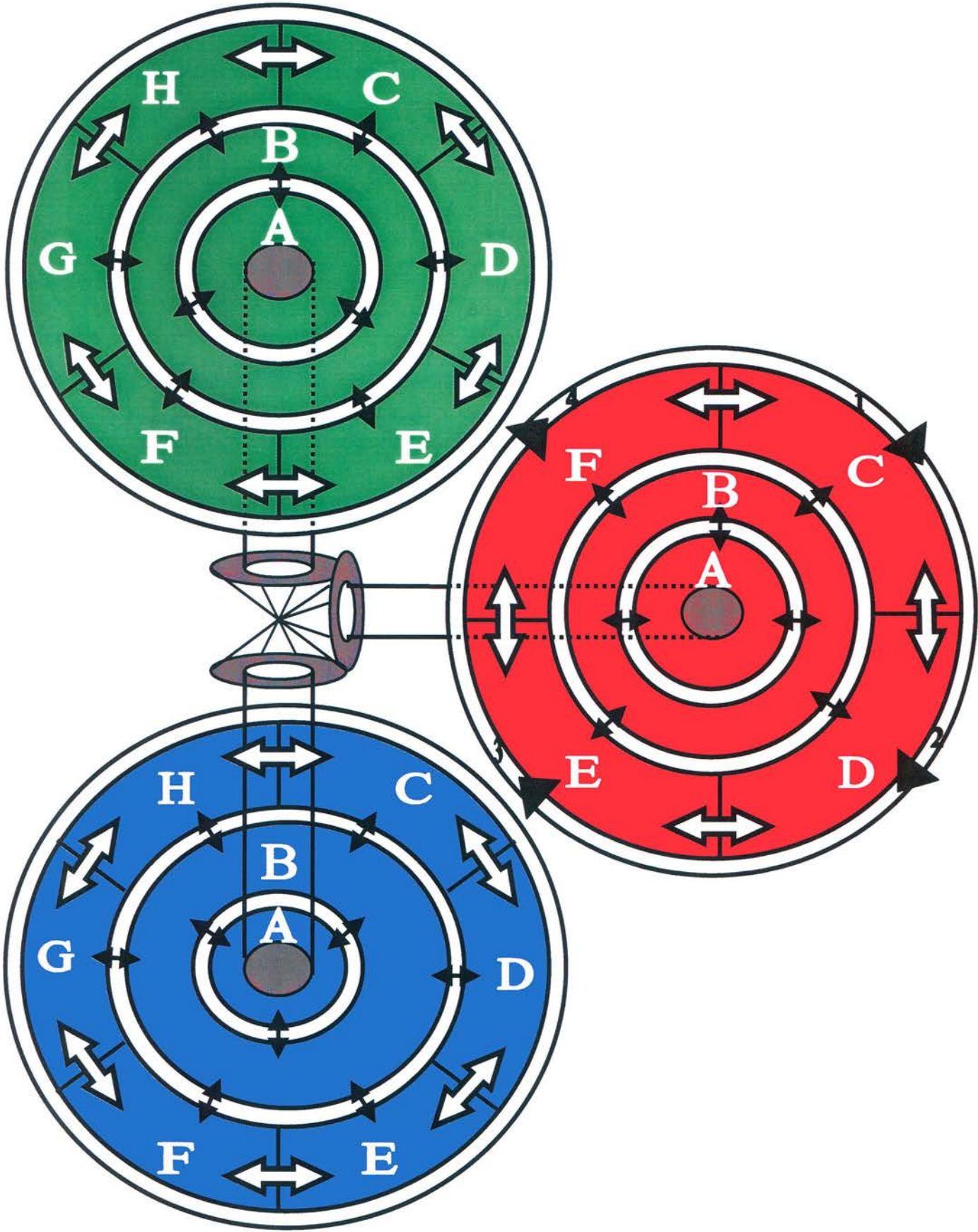
Diagram 5.3   The Dynamic Academic Leadership structure (Legend: p 147)
Source: Van der Westhuizen, 1998:160

Legend: **Diagram 5.3 – The Dynamic Academic Leadership Structure**

Green: **INSTITUTIONAL LEADERSHIP SUB-STRUCTURE**

  A   Institutional Leadership

  B   Culture

  C   Vision

  D   Direction Setting

  E   Alignment

  F   Servant Leadership

  G   Value System

  H   Define Reality

Blue: **INDIVIDUAL LEADERSHIP SUB-SRUCTURE**

  A   Individual Leadership

  B   Culture

  C   Lifelong Learning

  D   Personal and Professional Development

  E   Followership

  F   Creativity and Entrepreneurial Skills

  G   Systems Thinking

  H   Action Learning

Red: **ADMINISTRATIVE LEADERSHIP SUB-STRUCTURE**

  A   Administrative Leadership and Management Processes

  B   Culture

  C   Resources

  D   Technology

  E   People

  F   Policies and Strategies

  1   Re-align   **3**   Redefine

  2   Redesign   **4**   Re-engineer

Diagram 5.4   A holistic view of the Academic 'Process Leadership' Super structure – A
Source: Van der Westhuizen, 1998:169

Transformation casing

Institutional leadership

Administrative leadership

Individual leadership
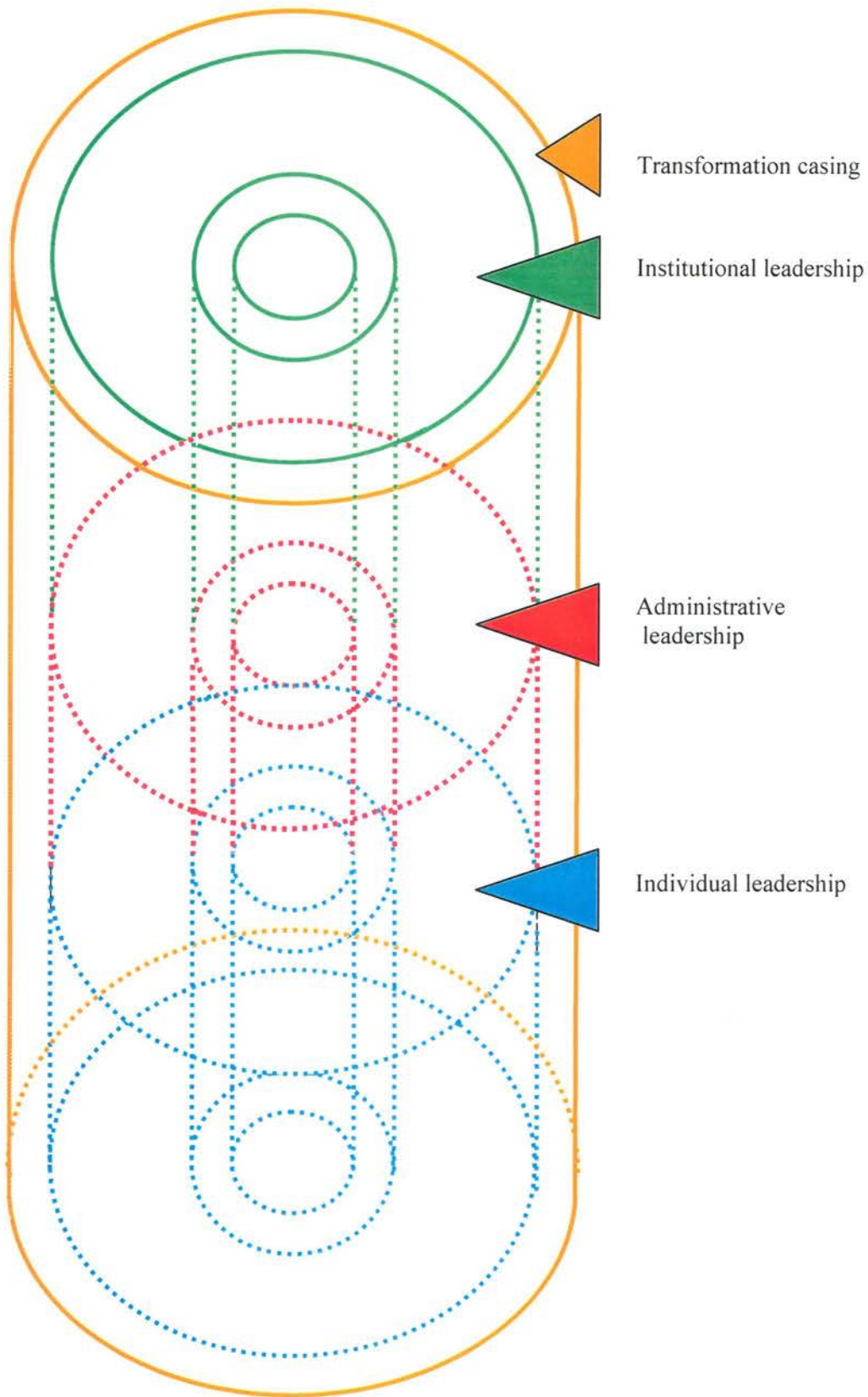
Diagram 5.5   A holistic view of the Academic 'Process Leadership' Super structure - B
Source: Van der Westhuizen. 1998:170

Transformed institutional structure

Leadership empowerment structure

Institutional culture

Core role of academic leaders
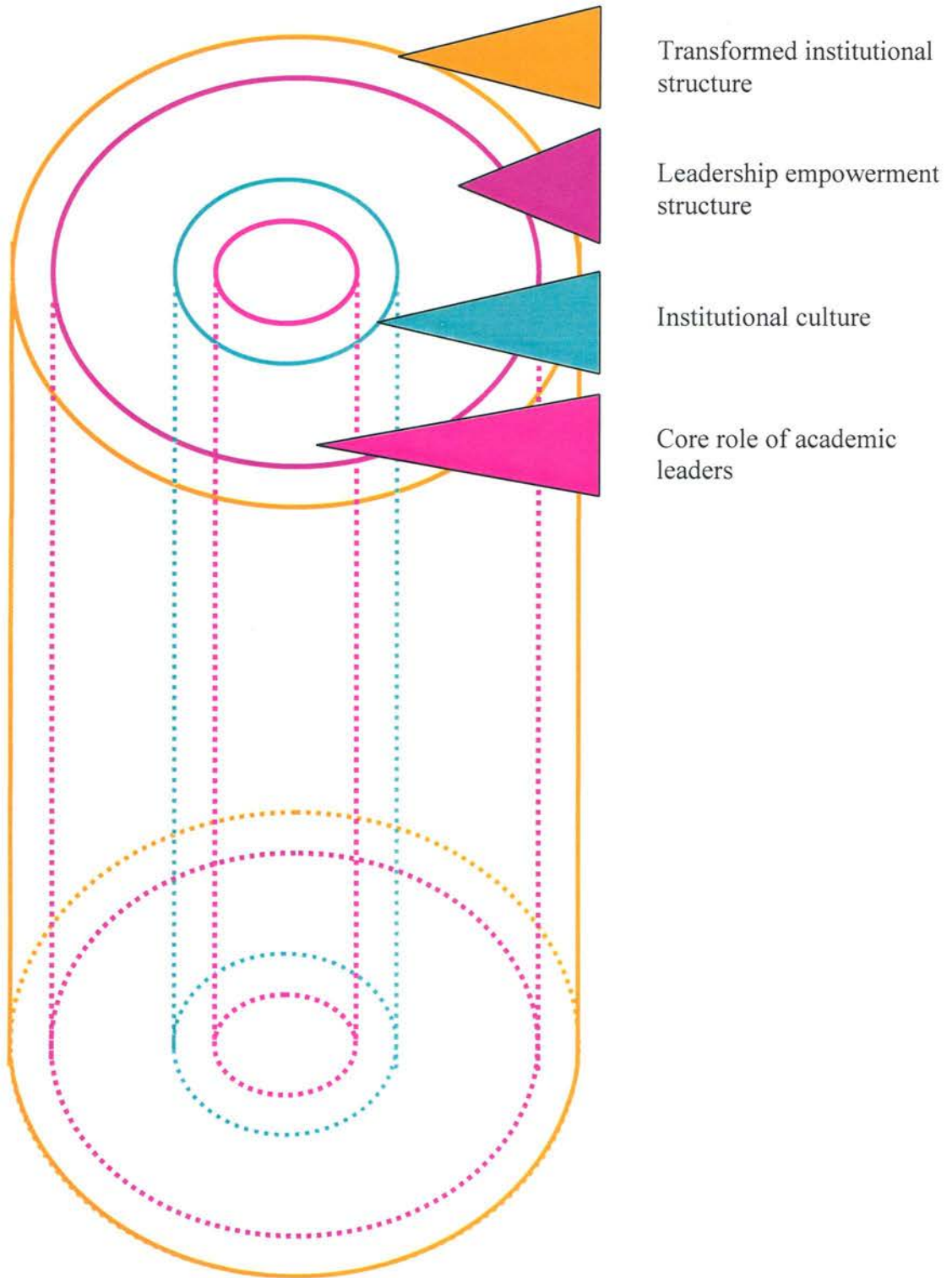
Diagram 5.6   A cross-section of the profile of Academic Leadership towards a Learning Organisation
Source: Van der Westhuizen, 1998:171

Learning Organisation

Boundaryless Institution

Crushed hierarchical system

Institutional leadership

Academic leadership

Individual leadership
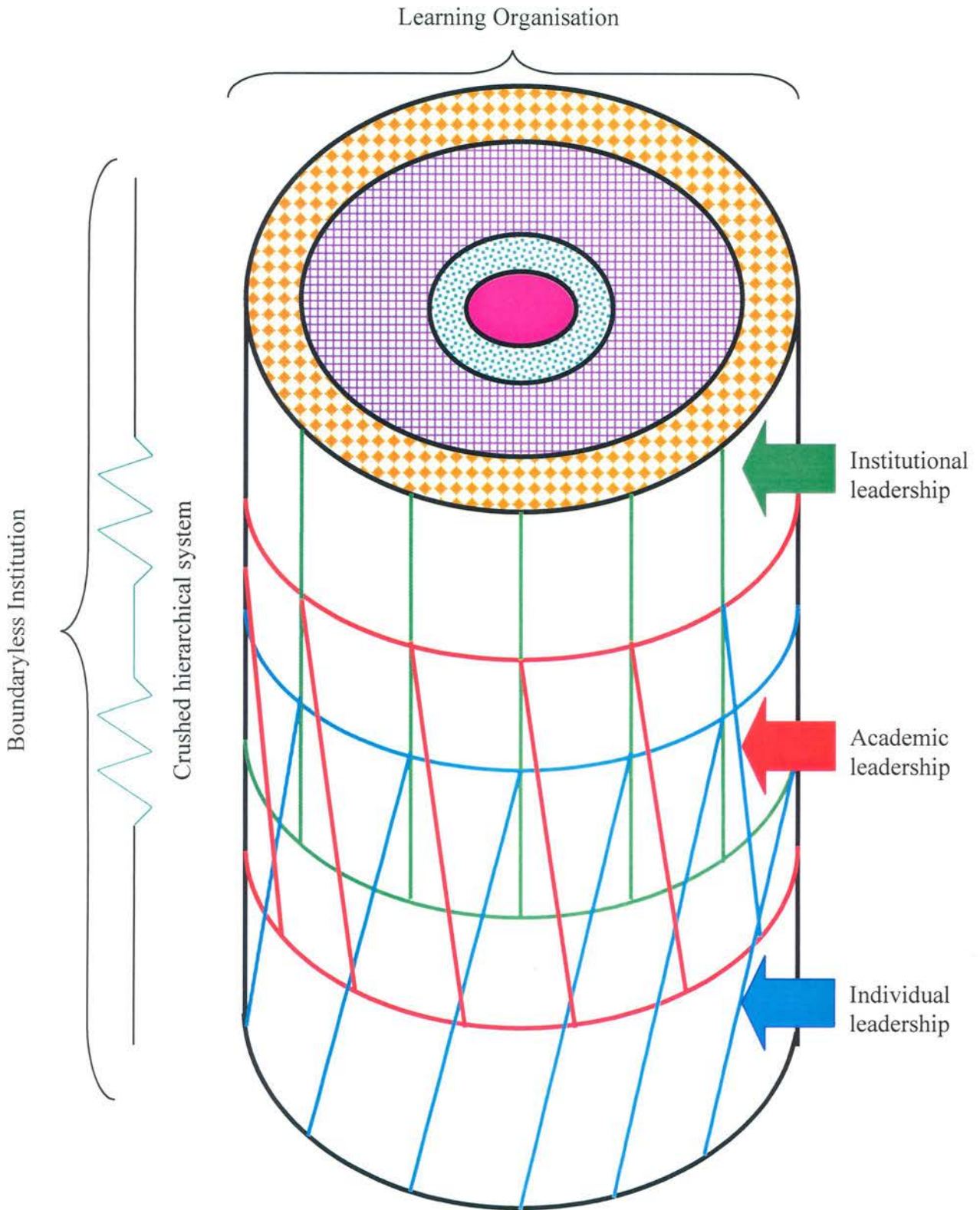
Diagram 5.7   The Empowered Institution
Source: Van der Westhuizen, 1998:173

The work of Fourie is also substantiated by the work of Taylor (1997:336), Peterson (1997:xx) and Petersen and Dill (1997:26) as indicated in Van der Westhuizen (1998:119).

These sub-processes of:

- Re-aligning
- Redesigning
- Redefining
- Re-engineering

provide higher education institutions with the opportunity to make sense of the challenges of change and to understand the external world in which they must operate and exist. Chapters two and three spell out the demanding internal and external challenges facing higher education institutions today in the developing world as well as the industrialised world. Institutions will have to find new ways of learning; rethink their composition, function, and procedures; innovate and change; be creative; thrive on challenges and change; and through their thoughts and action take their colleagues and institutions into the future (Van der Westhuizen, 1998:119-125); and take notice of the words of Cotter (1995:5): "One has to recognise that today's organizations are history".

i)   *Planned organisational/institutional change*

Lawson and Shen (1998:257-258) cite Porras and Silvers' planned organisational change, which involves four fundamental facets:

- **Change intervention** that modifies and bring about a "…better fit between the organizations capacities and current demands of the environment or a (un)predicted (but imagined) future environment (1998:257)" based on the concept of single loop learning (Argyris, 1999:68;127). Single loop learning, according to Argyris deals with problem identification to make fundamental changes in what the organisation does, and not to improve the performance of the organisation's existing performance of present activities and practices.

- **Organisational targets** which impacts on variables of vision and work setting. The organisational vision and work setting are the cognitive, social and physical aspects of the internal organisational environment targeted for change intervention. This includes the guiding beliefs and principles that give rise to the enduring purpose and will direct this movement towards the achievement of this decided and believed direction. "The focus of the organisational vision is psychic forces…that provides the cognitive framework for the planned organizational change (Lawson & Shen, 1998:258)".

- **Individual members** of the organisation and their on-the-job behaviours bring about change. "In effect, change in individual members is the *Sine qua non* for organizational change" (Lawson & Shen, 1998:258). The institutional direction, as discussed in the previous point, provides the cognitive framework for individual behavioural change and cognitive change reflecting new ways of viewing the self, other members of staff and the organisation as a whole.

- **Organisational performance outcomes** are aimed at the enhancement of the organisation's performance (productivity, efficiency, quality and innovativeness) and individual development (new learning strategies, improved and new skills) to adjust and 'fit' the new environment.

The strategy for transformation deals with the first aspect of the model as indicated by Lawson and Shen (1998:257). The changing societal conditions and challenges, internal and external, which impact on institutions and institutional planning perspectives and approaches (Peterson & Dill, 1997:8 cited by Van de Westhuizen 1998:120) forces institutions to face the reality of change, publicly articulate a set of core values (reached by consensus) to realign members of institutions to adopt structures and development approaches to enable or transform institutions. Aspects such as advanced learning, anywhere anyplace learning, virtual and instructional enterprises with horizontal and crushed boundaries will necessitate the redesigning of the composition, function, procedures, and the power and influence relations as well as the policy and decision-making structures and procedures (Fourie, 1996:290, cited by Van der Westhuizen 1998:122). These aspects indicate towards a contextual planning process, which seeks to shape both the environment and the institution in a holistic way. This implies a paradigm shift towards integrated institutional leadership and contextual thinking.

To be able to plan for a changed environment, institutions need to redefine the external context and substantially redirect the internal institutional contexts which, during time of turbulence, is becoming more complex and less predictable and provides enormous opportunities for innovation, creativity and change (Weiner, 2000:1-3; Jones, 1997: 267; Peterson et al, 1997:265 cited by Van der Westhuizen, 1998:123). This re-engineering process demands leadership at all levels as an integral part of the implementation and formulation of the planned transformation process. It is important to note that re-engineered processes and institutions function in the boundaries of "...learning organisations" (Van der Westhuizen, 1998:125) because it is expected of them to:

- Set milestones.
- Look at new initiatives as new ventures.
- Reward people for new ideas as well as for results.
- Develop an organisation, which see failure as an opportunity, not a threat, and learn from it.
- Facilitate active networking and resource sharing (Van der Westhuizen 1998:125).

Re-engineered institutions must focus on the creation of intellectual capital to maximize the institution's knowledge related effectiveness through systematic, explicit and deliberate knowledge building, renewal and application (Wiig, 1997:400-401 cited by Van der Westhuizen, 1998:117). Blasi (1999:29) deliberates that "(E)verybody agrees that the most precious resource in the 'society of knowledge' is a human being as such, the 'producer' of knowledge, and in the majority of cases of, the processor, user and communicator of knowledge. Humans are also capable of interpreting and integrating knowledge to transform it into patterns of behavior, decisions and initiatives". The researcher moots the point (Van der Westhuizen, 1998:126) that intellectual capital and knowledge are the most important assets of most institutions. "Creative leadership and open minds are therefore imperatives to implement institutional transformation and" "... systems transition in the ... interconnected, perpetual and mutually reinforcing processes for re-aligning, redesigning, redefining and re-engineering" as indicated by Fourie (1996:289 cited by Van der Westhuizen, 1998:126).

ii)   *Organisational development to meet the future*

The process/strategy for institutional transformation generates the first force for the asking of new questions and generating new knowledge about the institution as well as initiating transformation and change (Van der Westhuizen, 1998:166). It provides the institution with the structure/process to be able to find and create order and stability during times of turbulence as well as complete disorder. In other words it is to understand and make sense of our very own context reality and to be capable of that spontaneous self-organisation, thereby, providing the framework for reality in its entirety (Krausz, 2000:26-30).

The planned process/strategy for institutional transformation (Diagram 5.2a and 5.2b) provides the vacuum/space and/or basis to enable higher education institutions to implement a structure to develop towards learning organisations through the development of individual academic leadership skills. It, therefore, provides a complete 'fit' for the "Dynamic Academic Leadership structure" (Van der Westhuizen, 1998:157;160-160a;167).
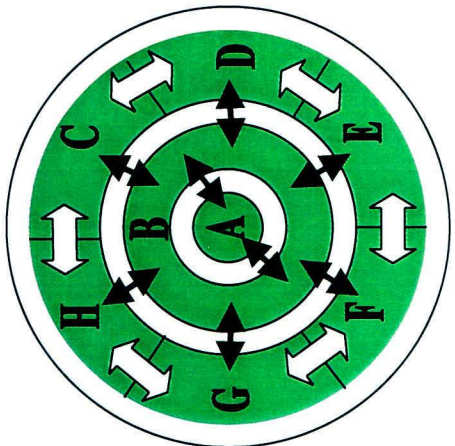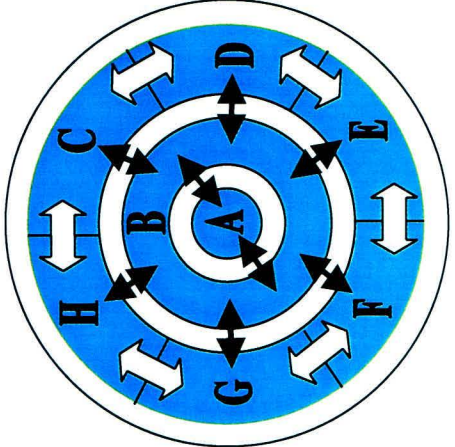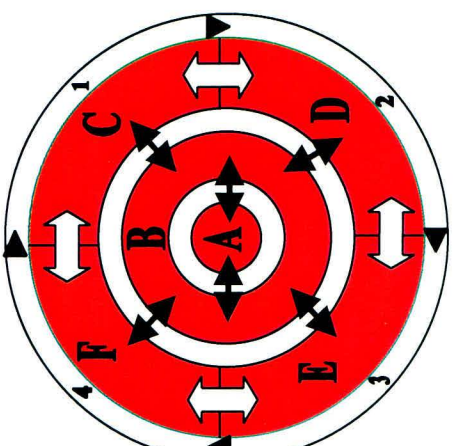
Argyris (cited by Van der Westhuizen, 1998:117) argues that for institutions to survive the demands of this new century organisational/institutional members will have to learn to take responsibility for their own behaviour, develop and share quality information and make use of empowerment to shape lasting solutions to fundamental problems.

5.3.2   The Dynamic Academic Leadership structure

"The Dynamic Academic Leadership structure" (Diagram 5.3) (Van der Westhuizen, 1998:160-160a) is informed by the three sub-structures of leadership:

- Institutional leadership.
- Individual leadership.
- Administrative leadership and management processes (Table 5.1).

Table 5.1   The three sub-structures of the Dynamic Academic Leadership structure

INSTITUTIONAL LEADERSHIP	INDIVIDUAL LEADERSHIP	ADMINISTRATIVE LEADERSHIP AND MANAGEMENT PROCESSES

A Institutional leadership
B Culture
C Vision
D Direction setting
E Alignment
F Servant leadership
G Value system
H Define reality
	A Individual leadership
	B Culture
	C Lifelong learning
	D Personal and professional development
	E Followership
	F Creativity and entrepreneurial skills
	G Systems thinking
	H Action learning
		A Administrative leadership and Management processes
		B Culture
		C Resources
		D Technology
		E People
		F Policies and strategies
		  1 Re-align
		  2 Redesign
		  3 Redefine
		  4 Re-engineer

Source: Van der Westhuizen, 1998:128;137;150

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These sub-structures form a complete holistic unit that fits into the "gap"/vacuum/ space created by the institutional strategy for transformation (Diagram 5.3). The three seemingly separate sub-structures of leadership fit into the institutional 'cylindric casing' (Diagram 5.4 and 5.5) and evolve and interact around:

- A core leadership axis.
- An inner institutional culture ring of leadership development.
- A leadership empowerment ring (Diagram 5.7)

The academic staff member in higher education fulfills all three leadership roles. "The individual academic staff member cannot be separated from these three leadership roles…. As an individual leader the academic staff member can achieve excellence in research, teaching and scholarship and take responsibility for his/her own development as a highly skilled professional, with a tradition of autonomous working" (Van der Westhuizen, 1998:71;168; Brew, 1995:7). On the other hand, the role of the institutional leader is normally an appointed position for the academic staff member. However, it is important to note that the academic staff member, because of his/her professional and academic development is first and foremost an individual leader. The individual academic leader has to fulfill specific administrative duties, while the institutional leader has to cope with and fulfill inherent administrative or management functions. These aspects provide the opportunity for administrative leadership (Van der Westhuizen: 1998:168;177).

i)   Leadership and leadership roles for change and transformation

"Most contemporary leadership scholars trace the current resurgence of interest in leadership to the prevailing concern with change - its scope, its space, its duration and its consequences" (Van der Westhuizen, 1998:126). The purpose of the development of an academic leadership model is, therefore to provide a structure and process for higher education institutions to meet the needs and pressures of the turbulence and challenge of change around them. Middlehurst (1993:82) argues that in times of change and uncertainty there seems to appear a heightened need for leadership.

Higher education institutions are therefore, not only in need of new leaders but leadership for the purpose of transformation that will include transformed organisations and transformed followers as well. Transformed followers are empowered to act by sharing power and expanding influence throughout the institution. They accept and internalise the key values and beliefs of the institution, which forms the institutional culture, and are capable of independent, autonomous action, based on shared values and self-efficacy. In short followers are active and engage in leadership (Van der Westhuizen, 1998:126;127).

The researcher has constructed the three sub-structures of leadership to enable the individual to develop skills to be a transformed leader for a future, which is now (Table 5.1).

ii)   Leadership for the future

Rost (1991) in his book on 'Leadership for the 21st century' has analised 221 definitions of leadership that he has found in 587 books written from 1900 to 1990. He indicates that the "mainstream leadership literature is overwhelmingly industrial in its concept of leadership, demonstrating that the transformation of leadership thought to a postindustrial framework has barely begun" (Rost, 1991:44;100).

Burns (1978:1;2) wrote that the

> ... crisis of leadership today is the mediocrity or irresponsibility of so many (leaders). ... The fundamental crisis underlying mediocrity is intellectual. If we know all too much about our leaders, we know far to little about leadership. We fail to grasp the essence of leadership that is relevant to the modern age.... Leadership is one of the most observed and least understood phenomena on earth.

Burns (1984:155) affirmed this viewpoint stating that we know much about our leaders, but we know little about what leadership really is. Leadership as a concept has come to mean all things to all people (Rost, 1991:7).

Burns (1978:425) defines leadership as follows:

> Leadership is the reciprocal process of mobilizing by persons with certain motives and values, various economic, political and other resources, in a context of competition and conflict, in order to realize goals independently or mutually held by both leaders and followers.

Rost (1991:102;103) used this definition of Burns to develop a transformed, 'post'-industrial model of leadership. He indicates: "Leadership is an influence relationship among leaders and followers who intend real changes that reflect their mutual purposes". He concurs (from this definition) that four essential elements must be present if leadership exists or is occurring.

- **" The relationship is based on influence.**

    ○ The influence relationship is multidirectional.
    ○ The influence behaviours are non-coercive.

- **Leaders and followers are the people in this relationship.**

    ○ The followers are active.
    ○ There must be more than one follower, and there is typically more than one leader in the relationship.

- **Leaders and followers intend real changes.**

    ○ Intend means that the leaders and followers purposefully desire certain changes.
    ○ Real means that the changes the leaders and followers intend must be substansive and transforming.

- ◦ Leaders and followers do not have to produce changes in order for leadership to occur. They intend changes in the present; the changes take place in the future if they take place at all.
- ◦ Leaders and followers intend several changes at once.

- **Leaders and followers develop mutual purposes**.

   - ◦ The mutuality of these purposes is forged in the non-coercive influence relationship.
   - ◦ Leaders and followers develop purposes, not goals.
   - ◦ The mutual purposes become common purposes".

This definition and concurrence of Rost, encompasses the "Dynamic Academic Leadership" model. The difference however, is that the leadership skills and roles of the leader and follower is situated in the individual, indicating a very complex reality. Rost (1991:185) argues that leadership is much more complex (as indicated in his model) than the mythology of leadership wants us to believe. The following discussion and analysis of the "Dynamic Academic Leadership" model will therefore indicate the complexity of the different skills and roles of dynamic leadership.

iii) *The institutional leader.*

Van der Westhuizen (1998:129) cites Kouzes and Posner (1987:187) who deliberate that "…leaders stand up for their beliefs. They know that while their position gives them authority their behaviour earns them respect. It is the consistency between words and action that builds the leader's credibility". For the institutional leader to earn respect and credibility the following leadership skills and roles are important. The following discussion is based on the work of the researcher (Van der Westhuizen, 1998:127-155) as indicated in Figure 5.1

a.   Institutional leaders have a vision

A vision that implies that the leader has an understanding of the past and the future, which is an appeal to the hearts and the minds of the follower(s). It is an indication of what the institutions stands for, aspires to, what it is committed to and where it is going. It becomes a living force when people truly believe they can shape their future and how it will empower them. Translating a vision and supporting values into reality and sustaining them well, will only be optimized if it empowers others. This indicates the ability to see things from a high level perspective and to think big and new. To think new is a creative, lateral process of people who have new ideas, new insights and new institutions/organisations. Higher education institutions will have to aspire to thinking that exceeds current and established views and encourage others to experiment with alternative ways of knowing.

b.   Institutional leaders can define reality

For a leader to be able to define reality he/she must first have a dream or a vision of the future through the understanding of the past and present to provide guidelines of the future (Van der Westhuizen, 1998:75;130). Realism means being pragmatic - that is being in touch with your real self, your internal realities such as ideals, values, feelings and attitudes (inner world) as well as being in touch with people and being connected to the external world (outer world). Therefore, understanding yourself and the expectations you'll have in your inner world and how you make yourself understandable, and what you expect from your outer world. Jaworski (1996:182 cited by Van der Westhuizen, 1998:131) states: "Leadership is about creating, day by day, a domain in which we and those around us continually deepen our understanding of reality and are able to participate in shaping the future".

c.   Institutional leaders have a value system

Institutional leaders must realise that they have a responsibility for the lives of many people and that in a healthy coherent community, people come to have shared views regarding a value system or ethics as a dominant leadership dimension. This means that

people really matter to you; that you reach out to them and that morality and integrity are really important. A core value system indicates to an institution how they should behave, what they should believe in and provides a navigation system for day-by-day decision-making (Van der Westhuizen, 1998:131). For higher education institutions as creators and dissemblers of new knowledge, defenders or critics of current and cultural values, social and cultural values should in particular play a core and central role (Middlehurst, 1993:79 cited by Van der Westhuizen, 1998:132).

It is a specific task of the institutional leader to provide and recognise an existing culture, interpret and represent its values in words and deeds and with that, aim to inculturate a new belief, in order to necessitates shifts in attitudes and academic practices (Van der Westhuizen, 1998:132).

d.   Institutional leaders set direction

Kotter (1992:18 cited by Van der Westhuizen, 1998:132) argues: "The direction-setting aspect of leadership does not produce plans; it creates vision and strategies". To create and define reality from a vision is not a mysterious and mystical process, it is thinking and thinking very hard to create new possibilities to cope with complexity, turbulence and change. These new possibilities, or the leader's vision, are regarded as the blueprint for institutional direction and strategy that is articulated and communicated in clear terms. Leaders who articulate such visions and set directions accordingly are broad-based strategic thinkers who are willing to take risks. They provide a focus in which planning complements a realistic process and strategies for producing and achieving the changed vision (Van der Westhuizen, 1998:133; Kotter, 1992:17;19 cited by Van der Westhuizen, 1998:133).

e.   Institutional leaders align people

Academics are highly individualistic and have no strong sense of corporate identity. It is therefore important to inspire and align their consent through their professional expertise and in their personal style and characteristics. Academics are mostly individual and

intrinsically motivated and their responsibility of achievement lies, and come from within (Middlehurst, 1993:138 cited by Van der Westhuizen, 1998:133).

Aligning is a holistic approach and more of a communication challenge than a design problem. Aligning people leads to empowerment in the way that organising rarely does. It convinces (and not coerces) people to align on the same course for change and this empowers them to have a clear sense of direction with no fear to initiate action or of being vulnerable to superiors (Van der Westhuizen, 1998:133;134).

f.   Institutional leaders as Servant Leaders

The underlying philosophy of Servant Leadership indicates the notion of **"primus inter pares** (first among equals)". The servant-leader is a servant first and is "one who goes ahead to guide the way" (Greenleaf, 1996:13;294;346, cited by Van der Westhuizen, 1998:134; Martin, Samuel & Associates, 1997:3). You therefore, have to take the responsibility of leadership if you want change and want to change something constructively. In the reasoning of Greenleaf, responsibility requires that a person think, speak and act as if personally accountable to all who may be affected by his/her thoughts, words and deeds. De Pree (1992:137-140, cited by Van der Westhuizen, 1998:134) argues that leaders have to understand the contributions and limitations of good followers and can learn by walking in the shoes of a follower. Doing this provides training and experience, which builds trust between leaders and followers, as well as between followers. "If you want to govern the people, you must place yourself below them. If you want to lead the people you must learn to follow them" (Lao-Tzu cited by Bogue, 1994:135, in Van der Westhuizen, 1998:134; Gardner, 1995:15:34)

g.   The institutional leadership skills and roles inform the institutional culture

The continuously interacting subcomponents of the institutional leadership structure harmonize and work together to create a climate for change in which the functions and work of the institution is carried out effectively, therefore, "institutionalizing a leadership-centered culture is the ultimate act of leadership" (Kotter, 1992:24; 1990:35, cited by Van der Westhuizen, 1998:135).

The leader of the future must be able to address and implement a culture of change and development, in which it is no longer possible to implement the old model of the 'top thinks and the bottom acts'. It must give way to integrative thinking and acting at all levels which indicates that institutions must learn effectively, and institutionalize a culture of learning. Therefore, the top team or institutional leaders must behave continuously in the way others should behave and should encourage leadership learning and development. The core element of the institution should be the culture of leadership learning and development to become a learning organization (Van der Westhuizen, 1998:135;136).

iv) *Individual leadership*

Leaders enable followers to change themselves and to realize their potential by empowering followers and constructing conditions under which followers can be transformed into leaders (Van der Westhuizen, 1998:136; Sashkin & Rosenbach, 1993:105, cited by Van der Westhuizen, 1998:136; Gardner, 1995:34). Manz and Sims (1989:4-8 cited by Van der Westhuizen) however, claim that leadership comes from within a person and "SuperLeadership" or a "SuperLeader" is one who leads others to lead themselves and therefore, recognises self influence as a powerful opportunity for achieving excellence, and not as a threat to external control and authority.

The notion of self-leadership suggests purposeful leadership of the self towards personal standards of behaviour and performance, independence, capability to perform well, self confidence and strong self-efficacy, where strong self-efficacy again leads to innovation and high-performance - "self-actualized" (Weiner, 2000: 3). Individual leadership is therefore informed by different leadership skills and roles, in the same way as institutional leadership in the institutional leadership substructure.

a. *Individual leadership and lifelong learning*

High achievement in formal education is no guarantee of the ability to apply that knowledge, and wide experience is no guarantee either of knowledge, understanding or competence (Tann, 1995:46 cited by Van Der Westhuizen, 1998:138). However, we re-

create ourselves through learning and it empowers us to do things we were never able to do. Therefore, learning enables us to reperceive the world and our relation to it. The reconceptualization of organizational change with the emphasis on individual learning encourages lifelong learning and a "shift of mind – metanoia" (Senge 1990:13;14, cited by Van der Westhuizen, 1998:138) indicating that learning gets to the heart of what it means to be human.

Lifelong learning is embedded in all the documentation of higher education change and is based on the concept of "… every age is destined for learning", not only the 'learner', but also the 'learned' and is defined by Longworth and Davies, 1996:8;22, cited by Van der Westhuizen, 1998:138;139) as follows:

> The development of human potential through a continuously supportive process, which stimulates and empowers individuals to acquire all the knowledge, values, skills and understanding they will require throughout their lifetime and to apply them with confidence, creativity and enjoyment in all roles, circumstances and environments.

They argue that lifelong learning is one of the most powerful philosophies of our time. Successful lifelong learning motivates individuals to participate in the learning process. A process, which empowers and provides new life skills that emphasize reflecting and thinking, studying and learning, co-operating, creativity, entrepreneurship and communicating, as well as a love for learning, expansion of ideas and new horizons (Van der Westhuizen, 1998:138;139; Csikszentmihalyi, 1996:23; Fletcher, 1988:21-23).

b.   Individual leadership and action learning:

Knowledge is our most important asset, and knowledge based assets (intellectual capital) will be the foundation of success in the twenty first century. Intellectual capital consists of assets created through intellectual activities ranging from acquiring new knowledge (learning) to creating valuable relationships. The responsibility of generating and creating new knowledge lies with every group and every individual in higher education institutions (Wiig, 1997:400;403 cited by Van der Westhuizen, 1998:141; Van der Westhuizen, 1998:141)

The approach of knowledge creation involves working on real problems, focusing on the learning acquired and implementing the solutions. This corresponds with the notion of action learning, which is a continuous process of learning and reflection with an intention of getting things done (McGill & Beaty, 1992:17 cited by Van der Westhuizen, 1998:139). Kolb (1996:271, cited by Van der Westhuizen,1998:139;140), consequently suggests a learning cycle process that focuses on problem oriented learning, starting from the position that what people have learned must be evident from their actions and by implication indicates that the process of learning and relearning is constantly part of the learning process. It leads to making sense of an experience in a new way (Taylor, 1999:139), leading to understand and have insight, which allows for new plans, strategies for action, and new modes of learning (McGill & Beaty, 1992:27, cited by Van der Westhuizen, 1998:140;141). Argyris (1999:68) (cf. 4.4.1 - *iv*), brought, single-loop and double-loop learning to the fore, where single-loop learning indicates the processes of identifying a problem, and double-loop learning initiates change. "Deutero learning" (Calder, 1994:42 cited by Van der Westhuizen, 1998:96) includes single- and double-loop learning as well as self-evaluation, which indicates organizational learning - "learning about learning" (Argyris & Schön in Marquardt, 1996:39 cited by Van der Westhuizen, 1998:96). "Action learning should become an integral part of the organisation's culture. This will turn it into a 'learning organisation' - an organisation that uses every opportunity to learn from its own practice" (Taylor, Marais & Kaplan 1997:50 cited by Van der Westhuizen, 1998:141) to improve the future as well as future performances.

c.   Individual leadership and systems thinking

New leadership skills are required for new leadership roles and these skills can only be developed through a lifelong commitment and lifelong learning (Ranson & Stewart, 1998:254). Senge (1996:298; 1990:119, cited by Van der Westhuizen, 1998:142), deliberates that one needs to practice a discipline to be a lifelong learner. He developed five learning disciplines of the learning organisation which are:

- Systems thinking.
- Personal mastery.

- Mental models.
- Building shared vision.
- Team learning (Senge, 1990:5-12 cited by Van der Westhuizen, 1998:98-101;142)

These five disciplines must be developed together as an ensemble and as personal disciplines, where each has to do with how we think, what we truly want and how we interact and learn with one another. It is important to note that systems thinking form the cornerstone of the learning organisation. It is the one discipline that fuses and integrates all the other disciplines into a coherent body of theory and practice and enables one to see things as a whole and provides a framework for:

- Interrelationships.
- Seeing patterns of change.
- A general set of principles.
- A set of specific tools and techniques.
- Sensibility (Senge, 1990:11;12, cited by Van der Westhuizen, 1998:142;143).

These disciplines and framework provides tools to simplify life and allow leaders to see deeper lying aspects and issues behind events and forms an important part of the culture of individual leadership development (Senge, 1990:73;135, cited by Van der Westhuizen, 1998:142,143).

d.   Individual leadership and creativity and entrepreneurial skills

If we want to gain new insights and find new opportunities in the changing world of the academic and higher education institutions, we will have to be more open in the search for knowledge and more serious in studying the creative process and its implications (innovation) for development (Gretz & Drozdeck, 1992: 35). "Change and creative genius" make a potent mix and it seems that we seldom recognise that "creativity and entrepreneurial skills" are interrelated and in close contact with one another and that they coexist peacefully (Nystrom, 1995:65-70, cited by Van der Westhuizen, 1998:143). He argues that academic leaders will have to understand the conditions for individual and

institutional creativity and entrepreneurship better to build on their knowledge of how to view and handle reality.

Creativity is situated in the individual. Sinetar (1985 to:112;113 cited in Van der Westhuizen, 1998:143) indicates that "... every truly creative individual is a minority of one" and that for the creative person thinking is play. The desire to think therefore becomes the motive to think more, and in that manner brings into existence something that has not existed before (creativity).

The creativity that arises from dynamic interaction with a fast changing environment is the core of entrepreneurial activity and brings to the fore the activist and the creative thinker. The activist, or the doer, has a sixth sense when it comes to motivating and dealing with new concepts. It is a steady, incremental way of thinking and is able to initiate understanding of what it takes to run, expand, reconceptualise or create an enterprise (new way of doing and implementing). The creative thinker on the other hand derives great pleasure from the act of thinking and from the creative process in action and is therefore, more like an artist or inventor. This person thrives on freedom in the general area of their work, ask novel or disturbing questions, sort out problems in a stylized, unpredictable and often disorganised manner and come up with unusual solutions to the things they are thinking about (McCrimmon, 1995:70 and Sinetar, 1985:110;111, cited by Van der Westhuizen, 1998:143;144).

Csikszentmihalyi (1996:1;2;23) indicates: "...it is easier to enhance creativity by changing conditions in the environment than by trying to make people think more creatively.... (A) genuinely creative accomplishment is almost never the result of a sudden insight, a light bulb flashing on in the dark, but comes after years of hard work". He argues that creativity, and therefore being creative, is the central source of meaning in our lives and its makes us feel that we are living more fully, when we are involved in it, than during the rest of our lives and "it leaves an outcome that adds to the richness and complexity of the future. Creativity does not only happen inside a person's head it is more an interaction between a person's thought and a socio-cultural context which is a systematic rather than an individual phenomenon".

Learning organisations should therefore, unleash the entrepreneur within their minds. It is important to note that the creative entrepreneur thrives on innovation, takes risks, has innovative leadership skills, is willing to improvise and act without plans, is flexible in attitude and direction, has a willingness to learn and tolerate and to learn from mistakes. It is clear that there is a connection between entrepreneurialism and self-renewal, where self-renewal is the goal and entrepreneurialism is the means towards creative leadership and learning organisations (McCrimmon, 1995:22;50, cited by Van der Westhuizen, 1998:144;145).

e.   *Personal and professional development*

The concept of lifelong learning impacts on both personal and professional development and according to Middlehurst (1993:3, cited by Van der Westhuizen, 1998:145) it includes not only developments which inform the teaching of students and the management of the organisation, but also the development and enhancement of skills, adaptability and flexibility of the academic staff members themselves.

Drucker stated, as far back as 1955(180, cited by Van der Westhuizen, 1998:145), that there is a danger of "safe mediocrity" if there is no interest in personal and professional development, because when relying on "safe mediocrity" people are not encouraged to take risks and they are discouraged from trying anything new. People should drive themselves to set high standards of performance and learning for themselves and should not be driven to do so. This implies that institutions should create an environment that encourages self-fulfillment and require and put a high demand on performance and learning.

Drucker (1955:194;195, cited by Van der Westhuizen, 1998:145) deliberates further that institutions cannot create leaders, they can only create the conditions under which potential leadership qualities become effective and they should lay the foundation for the right kind of leadership. He indicates that "(L)eadership is the lighting of a man's vision to brighter sights, the raising of a man's performance to higher standards, the building of a man's personality beyond its normal limitations". Institutional leadership as well as individual leadership development are, therefore of the utmost importance (Levicki,

1998:229-239). For the purpose of change and transformation the responsibility of professional and personal development lies with both the individual and the institution.

f. *Individual leadership and followership*

Organisations that have effective leaders tend to be the kind of places that develop effective followers, because leaders come from the ranks of followers and few leaders can be successful without first having learned the skills of following. In fact, the reality is that most people are more often followers than leaders, even in the highest position we still have bosses and for every committee we chair we sit as a member on a number of others (Kelley cited by Lee, 1991:114;115 and Rosenbach & Taylor, 1993:109, cited by Van der Westhuizen, 1998:146).

The followers are by no means puppets or sheep. Effective, independent, thinking followers are linked with effective leaders. They are partners in creating vision, take responsibility for work, take initiative, fix and improve problems and processes, as well as question leaders. They have personal integrity that demands loyalty and a willingness to act according to their beliefs and they have a holistic view of seeing the organisation. They are also versatile, skillful, flexible and can adapt to change as well as being responsible for and taking command of their own careers, actions and development (Lee, 1991:114;115, and Lundin & Lynne in Lee, 1991:118, cited by Van der Westhuizen, 1998:147).

Strong leadership that motivates followers to perform beyond expectations is built upon personal identification with the leader, a shared vision of the future and subordination of self-interest. This scope for self-fulfillment and empowerment creates an organisational culture that values renewal and revitalization of the individual (Rosenbach, 1993:148, cited by Van der Westhuizen, 1998:147)

g. *Individual leadership skills and roles inform the institutional culture*

Van der Westhuizen (1998:148) argues that the institutional leadership culture informs the individual leadership culture. She states that the individual is in the forefront of

"doing". He/she lives out the culture of a learning organisation. Van der Westhuizen cites Shein (1998:148) who said that, "… the only important thing leaders do may well be constructing culture" According to Shein there are mainly three ways how leaders can construct culture. They have to develop a clear, simple, value-based philosophy through the use of cognitive power within the context of the institution. They have to empower others to define organisational policies and develop programmes that are based on the values and beliefs contained in the philosophy, and leaders have to inculcate values and beliefs through their own individual behaviour and their personal practices.

v)   Administrative leadership and management processes

The reality of leadership practice demonstrates a close association between leadership and management. A number of writers, however, identify a significant distinction between the two concepts (Table 5.2) indicating therefore, that it is not the same thing and that leadership is a much broader concept.

Apply (in Van der Westhuizen,1998a:3, cited by Van der Westhuizen, 1998:149) defines management as "… guiding human and physical resources into dynamic organization units that attain their objectives to the satisfaction of those served and with a high degree of morale and sense of attainment on the part of those rendering the service"

From the exposition in Table 5.2 it is therefore clear that leadership is different from management. Kotter (1992:16;17, cited by Van der Westhuizen, 1998;64) indicates that "… leadership and management are two distinctive and complementary systems of action. Each has its own function and characteristic activities". Smart institutions recognise that it is not possible for everybody to be good at both leading and managing. They recognise both kinds of people – those who have the capacity to become excellent managers but not strong leaders and those who have great leadership potential but have difficulty in becoming strong managers (Nahavandi, 1997:10, cited by Van der Westhuizen, 1998:64) but above all treasure those who have the capacity, talent and feeling to be excellent at both. It is therefore important that institutions will not only develop institutional and individual leadership skills, but also develop administrative leadership skills.

Table 5.2   Leadership vs. Management

WRITERS	LEADERS …	MANAGERS …
Bennis & Nanus, 1985:21.	• Do the right things. • Challenge the *status quo.* • Create and articulate vision.	• Do things right. • Accept the *status quo.* • Ensure and put vision into practice.
Kotter, 1992:16;17;18-22, and 1990:27;28.	• Set direction. • Align people. • Motivate people. • Cope with change, and • Implement more change.	• Do planning and budgeting, • Organising and staffing, • Controlling and problem solving. • Cope with complexity. • Brings degree of order and consistency to key dimensions.
Gardner, 1990:3-4.	• Have long term and future oriented perspectives. • Provide vision for followers. • Look beyond immediate surroundings.	• Have short-term perspectives. • Focus on routine issues within institutions/ organisations. • Look at immediate surroundings.
Hershey & Blanchard, 1988:51	• Leadership is a broader concept. • Leadership attempts to influence behaviour of individuals/groups.	• Management is a narrow focus. • Achievement of organisational goals is paramount.
Nahavandi, 1997:10.	• Have assigned attributes. • Energize followers.	• Are, and include simply the individuals. • Take care of mundane and routine details.

Source: Compiled by Van der Westhuizen (All authors cited by Van der Westhuizen, 1998:63-64;149)

The substructure of administrative leadership and management processes in the model for Dynamic Academic Leadership indicates that administrative leadership gives content to:

- **Policy and strategy**: Where policy is defined as (a) fundamental statement(s), which serve as guides for administrative leadership and management practices, and where strategy is informed by the vision of the institution (Peters, 1992:289, and Longenecker & Moore, 1987:397, cited by Van der Westhuizen, 1998:149).

- **People management:** People are the most important resource in any institution. A good people management programme is important for growth and success. Such a programme however, should be in line with and support the culture of the institution (Van der Westhuizen, 1998b:1, and Longenecker & Moore, 1987:432, cited by Van der Westhuizen, 1998:149).

- **Resource management:** This implies resources such as equipment and supporting material, which are important for effective institutional functioning (EFQM, 1998:21 cited by Van der Westhuizen, 1998:150).

- **Technology management:** Rapid changes in technology and information technology necessitate its proper management. Technology will in the future permeate every aspect of the academic institution (Fink, 1997:337, cited by Van der Westhuizen, 1998:150).

The method for improving the quality of higher education developed from and based on the European Foundation for Quality Management (EFQM) indicates that these are the institutional conditions under which process management can be appropriately implemented (EFQM, 1998:3 cited by Van der Westhuizen, 1998:150). However, due to the societal and transformational challenges to higher education, the extensive institutional change will require new planning and management processes to cope with the total organisational change towards becoming learning organisations. Therefore, the administrative leadership and management processes sub-structure will have to incorporate an 'inward' reciprocal process and strategy for change and transformation of re-aligning, redesigning, redefining and re-engineering to provide the learning opportunities and mind shift experiences (Peterson & Dill, 1997:26;27 and Fourie, 1996:289, cited by Van der Westhuizen, 1998:155).

a.   Policies and strategies

For the purpose of transformation and change higher education institutions will have to embark on a road of policy analysis that involves the collecting and analysis of pertinent facts that will inform particular planning activities to help top administrators find and formulate strategic choices. This should not be a paper chase for the sake of staggering data to pacify stakeholders and provide window dressing (Van Vught, 1997:151; Longenecker & Moore, 1987:399, cited by Van der Westhuizen, 1998:151). The policy and strategy criterion are informed by the culture of the institution and it refers more specifically to the values, vision and direction of the organisation (Kouzes & Posner, 1995:91;94;97). The EFQM as applied to higher education institutions (1998:11, cited by Van der Westhuizen, 1998:151) indicates the following sub-divisions that serve as a point of departure for the academic institution in its process of change:

- The presence and availability of plans, policies and (other) documents formulating institutional outcomes and translating it into sub-processes and how it informs the quality improvement process.
- The development of policy in a transparent and democratic way.
- The communication with regard to policy and the openness of the structure to involve staff, students and external interested parties.
- The testing and improving of the policy and strategy – comparing with national and international standards and counter parts.

Continuous policy analysis and evaluation is a vehicle for conscious design and adoption of institutional policies and strategies to accommodate transformation and change, and it will serve as a support for the future and of developing leaders of higher education institutions (Van Vught, 1997:338;400, cited by Van der Westhuizen, 1998:151;152).

b.   People Management

Van der Westhuizen (1998b:17) states that personnel planning and management is not an unnecessary luxury but the key to efficiency. The initial step in a sound people management programme is recruitment of capable employees. It is important to employ

the right people and getting their enthusiastic performance to do the right things. People management, therefore refers to both the quantitative aspect of personnel planning and the quality of the personnel policy. The following aspects influence effective people management:

- The extent to which a coherent set of instruments for people policy (such as recruitment and selection policies, methods for staff guidance and development) is applied and integrated in the institution.
- The extent to which qualitative and quantitative staff planning is linked to organisational outcomes and long-term strategies.
- The way in which the assessment and remuneration of the staff take place and how feedback from the staff is dealt with and steered by management.
- The extent to which a framework exists to give attention to employees' well-being and morale.
- The extent to which the institution pays attention and gives guidance to the professional and personnel development of staff and how it is integrated into the direction and outcomes of both the institution and the individual (EFQM, 1998:14 cited by Van der Westhuizen, 1998:152).

People are, however, only one of the many resources of an academic institution.

c.   Resource management

Resource management indicates how the organisation makes use of supporting resources in order to achieve the most advantageous end result of improvement of the quality in the institution and it entails the following:

- The way in which information on the external environment and the development and learning process is used within an educational institution.
- The way in which financial resources are obtained, distributed and applied.
- The way in which material resources are purchased and administered.

- The way in which information technology is applied in the improvement of the work processes.

- The way in which knowledge and intellectual management are integrated (EFQM, 1998:18 and Wiig, 1997:399-403, cited by Van der Westhuizen, 1998:153; Van der Westhuizen, 1998:153).

d.   Technology management

Probably the most pervasive challenge for institutions is the rapid expansion and influx of interactive communication on networks. The most influential force for change is the potential for innovation and re-invention in the core technology: the development, transmission and dissemination of knowledge in society and higher education. The telematics revolution has introduced a powerful new interactive information-handling technology and offer potentially revolutionary changes in moving from traditional modes of teaching, learning and research to varied, responsive, flexible, interactive and individualised modes (Peterson & Dill, 1997:13;21, cited by Van der Westhuizen, 1998:153).

Goldstein and Luger (1997:521;536, cited by Van der Westhuizen, 1998:154) state that higher education institutions are **the** institutions with the resources to provide the stream of knowledge, know-how and human capital to their respective regions as the fuel for innovation, entrepreneurship and regional synergy. However, their studies indicate that higher education and their 'clients' perspectives on technology transfer do not coincide. Institutions will therefore have to find a way to process and manage technology and the transfer of knowledge to satisfy the needs of the institution and the 'client' as well as bringing about change to be competitive in this new century (Van der Westhuizen, 1998:153;154).

e. Management processes

The management processes are the organizational conditions for change and are viewed as the educational learning process and the execution and development of education and the structures in which to support and assist learning and education. There are a number

of steps in the process of educational and learning management development in higher education institutions:

- External analysis - This is the first step in the process of educational development. It implies the collecting and interpretation of data in order to obtain a holistic picture of the expectations and demands that an academic institution needs to meet.

- Formulating the vision on the profession and education (specifications for the curriculum) - The analysis of the information of the previous step informs the formulation of the specifications which the curriculum has to meet.

- Constructing the curriculum and designing the study course components.

- Controlling – This is a quality control measure to make sure that study materials are in place in accordance with specifications.

- Planning - The learning process to be planned and be executable for student and teacher activities.

- Carrying out student and teacher activities.

- Internal analysis.

- Providing and managing the student and teacher infrastructure for the purpose of obtaining academic excellence (EFQM, 1998:22, and Van der Westhuizen, 1998b:10, cited by Van der Westhuizen, 1998:154-155; Van der Westhuizen, 1998:154-155).

The culture of the administrative leadership substructure is informed by both the culture of the institutional leadership substructure as well as the individual leadership substructure. The institutional conditions have to enhance and support and inform the culture for all three the leadership sub-structures with leadership development, to become a learning organisation.

vi)   *Leadership development and transforming ourselves (and our organisations)*

Argyris (1957:229) states that it is an observable fact that most social organisations contain at least two basic components. That of the **individual** as well as the **formal organisation.**

"The Dynamic Academic Leadership structure" and the "Academic 'Process Leadership' Super structure" (Van der Westhuizen, 1998:160;161) deal with both these concepts in developing the potential of the individual through various leadership sub-structures towards becoming a learning organisation. In both these concepts of the model, the aim is, firstly at the fulfillment of the human and individual potential, and secondly at the fulfillment of the organisational potential (Lawson & Shen, 1998:257-258). In the following section the researcher will look into the first component of these concepts, that of the individual and more specific the empowerment of the individual.

a.   The concept of self-fulfillment

Victor Frankl (1986:xxiv-xxv) in his understanding of the human being characterises three factors of human existence:

- Man's spirituality.
- His freedom.
- His responsibility.

He indicates that the spirituality of man is a "thing-in-itself" and cannot be explained while freedom exists in the face of instincts, inherited disposition and environment. He argues that man is free to accept or reject his instincts. Man can achieve a high degree of freedom in the face of predisposition and that the environment does not make man, but that everything depends on what man makes of it. Therefore, man is by no means merely a product of his origin and surroundings - he can take the responsibility for making decisions and ultimately decide for himself. His learning and education must then be to enhance the ability to decide and to find joy in life to help man transcend his current existence (self- transcendence) towards more meaning and fulfillment (Frankl, 1986:294). This indicates that, if man can find and fulfill a meaning in his life, he becomes happy and is able to cope under severe circumstances, which he (Frankl) describes as the 'will to meaning' (Frankl, 1987:99).

Thus, "it appears that a high quality of life can most likely be gained by concerning oneself with the satisfaction of one's inherent psychological needs for growth,

actualization, intimacy, and autonomy, rather than focusing on obtaining rewards and praise"(Kasser,2000:11).   In his deliberations Kasser indicates that the distinction between intrinsic and extrinsic goals that result in personal/internal and external reward, is not only relevant of the individual level but is certainly relevant at more macro levels as well. Institutions (societies and agencies) have to confront the difficult problem, a dilemma, of deciding on which set of goals to pursue, realizing that the choices they made will have important consequences for the well-being of the people (Kasser, 2000: 10;11).

Murphy (1999:14) uses the word "health", which originally meant "well" or "whole". By health he means the state of an individual in which "all aspects are fully integrated and functioning at their individual and collective potential". The individual is therefore whole and functioning in an optimal manner. According to Murphy, there are three factors for (w)holeness impacting on self-fulfillment:

- **Security** – It is the feeling of being safe, comfortable and being confident, which are subjective experiences as a relative state. However, when the threat to security is identified it becomes an objective normative state (Murphy, 1999:15-16).

- **Self-worth** - This is a balance between what we know, believe, feel and how we act. Being "whole" can only thrive in situations where our actions can be consistent with our vision of the self and the world. The ultimate value of being part (accepted) lies in the self, being in harmony with who we are (our identity), that is being authentic. Authenticity blossoms when it is acceptable and of value to the group. Authenticity of a group (the collective response to its environment) is an exponent of culture. Societal change impacts on the group in such a way that the group can not respond, modify and adapt fast enough and it therefore brings to the fore individual responses that impacts again on the culture of the group (Murphy, 1999:16-17). In the concept of individual leadership development the culture is embedded as core to the individual and the group and can therefore impact on the self-worth of the individual as well as that of the group.

- **Creative life** – Murphy (1999:18) deliberates that creative life is closely related to self-worth - sanctity and identity, which is predicated on action with the environment

to create meaningful and fruitful situations and not mere adaptations to change. He argues:

> The creative life connotes that as individuals each of us is the author of our own life-acts, and the creator of the life-spaces we inhabit, and that this creativity is in harmony with our personal worldview. The creative life is formative as well as adaptive, active as well as reactive, directed 'towards' the environment as well as 'from it', 'with' the environment as well as 'in' it.

For Murphy (1999:16) the practice of "vision" is essential to the creative life and involves "seeing how things are" especially for one self. Therefore, creating our own knowledge, perception and relevance, and creating intention to see how things might be: "The creative life is authentic authorship of self and reality in harmony with one's vision of what might be possible" (Murphy, 1999:18).

Central to the three key factors is mutuality, which is the actualisation of creative harmony between personal vision and behaviour. An aim towards a democracy of the intellect should be the actualisation of individual human beings as possibilities in the process. The aim should be directed towards the individual, focusing on the human potential and possibilities and then on human societies. The success of society rests on the individuals who constitute society, thus, human beings as authentic individuals engaged in critical reflection and action, "… in a dialectic relation with the world and a dialogue relation with other human beings" (Murphy, 1999:80:81).

Democratising the intellect and being an authentic self does not mean individualism, centering on the self and loss of meaning. In fact, according to Taylor (1992:29) concentrating on the ethics of authenticity, authenticity and self-realisation are based on being true to oneself (myself), one's (my) own originality, which is something only one (I) can articulate and discover and in the process defining oneself (myself) and realising the potential that is properly one's (my) own. He sees this in a picture of "what a better or higher mode of life would be, where ' better' and ' higher' … offer a standard of what we ought to desire" (Taylor, 1992:16; Cavalier, 2000:xiii).

This indicates that individuals are able to develop their own autonomy as well as their own optimal experience in an original way, which find full expression of an individual's choices and motivations in its manifestation and connection with the values of culture as repeated over time in a harmonious fashion (Inghilleri, 1999:121;129).

b.   The autotelic personality and optimal experience

Inghilleri (1999) cites Csikszentmihalyi who introduced the concept of "autotelic personality" (rewarding in and of itself), which is based on the concepts of "subjective experience" and optimal experience ("flow") (Inghilleri, 1999:70; Csikszentmihalyi, 1988:8;29). Csikszentmihalyi (cited by Inghilleri, 1999:71) points out that "(S)ubjective experience exists in consciousness. It consists of thoughts, feelings, sensations - in short, information that effects a discriminable change in awareness.... Focusing attention on the interplay of data in consciousness is what we call experience". Inghilleri (1999:71) stresses that there is an increasing interest in studying what an individual "feels, experience, and does" (making sense) in specific situations.

Optimal experience or flow is a "complex state in which cognitive, motivational and affective processes interact in an ordered way and are integrated with respect to (1) the structure and the demands of the external world as they develop over time and (2) the external context present at the time of the experience" (Inghilleri, 1999:74). For Csikszentmihalyi (cited by Inghilleri, 1999:74) who developed the concept, it is 'a subjective state according to which an individual is so involved in the moment as to 'forget' all other experiential elements ... in order to focus his or her cognition and become immersed in the situation at hand". He explains that the experience is characterized by a deep sense of involvement, which triggers a sense of well being that results in and represents an internal reward *per se*.

The elements and reasons of enjoyment of an activity as a concept of quality of life is described by Csikszentmihalyi (1990:49-67) as:

- A task which has a chance of completion, a challenging activity that requires appropriate skills to realise the specific challenge and is perceived by the individual as equal to his/her abilities.

- An ability to concentrate on what you are doing. The merging of action and awareness using all relevant skills that are needed to cope with the challenges of a situation.

- A task that has clear goals and provides internal guidelines.

- The task provides immediate feedback and therefore monitors the progress.

- The individual acts with a deep but effortless involvement and is not aware of negative aspects.

- Individuals exercise a sense of control over their actions.

- The concern for the self (self-consciousness) disappears but the sense of self (worth) emerges stronger.

- The sense of time duration is altered (the concept of time flies).

The experience of flow is made possible by a harmonious co-presence of a series of elements, which belongs to an individual's internal world and of another series of elements present in the external world. Two conditions are necessary for this experience to happen:

- The presence of clear non-contradictory goals and an external context and situation providing clear and prompt signals and feedback to the individual's action.

- The presence of balance (perceived at a subjective level) between the opportunity for action and the challenges present in the outside world as well as the capacities and skills at the individual's disposal (built through past experiences and development) required to face the demands/challenges within this environment.

It therefore depends both on the individual's competency and skills, and the balance entails on automatic control over the situation at hand, where the individual is aware of

his/her actions but not of the awareness itself - the activity then tends to become autotelic. The individual must therefore, have the ability to face the situation and his/her skills must be comparable and compatible to the degree of complexity of the challenges at hand which lead to the consideration that flow is a "positive state associated with an experience that is lived optimal" (Inghilleri, 1999:74;75;79;).

Individuals who have experience of a positive state of consciousness, which could be associated with utilisation of their skills and capabilities in facing the challenges and demands of change, find themselves at an advantage as far as survival is concerned. The key elements of the 'autotelic experience' (optimal-subjective experience) are therefore, that it is an end in itself, and the activity with its specific skills becomes intrinsically rewarding (Inghilleri, 1999:80).

The term 'autotelic' derives from two Greek words –

- *Auto* - meaning self.
- *Telos* - meaning goal.

These two Greek words are in actual fact self-explanatory and indicate towards the self-fulfillment and self-actualization of the individual. When an experience is therefore autotelic, the individual is paying attention to the activity for the sake of the activity, but when it is not, the attention is focused on its consequences. The autotelic experience is good in this sense that it has the "potential to make life more rich, intense and meaningful ... and it increases the strength and complexity (deeper level skills) of the self" (Csikszentmihalyi, 1990:67-70). It gives the opportunity to constantly re-evaluate what we do, regarding old habits and past wisdom, so that these won't blindfold us to acknowledge and deal with new possibilities.

c.   Leadership development and the autotelic experience

The 'Dynamic Academic Leadership' model provides the individual with the "basic resources or meta skills" to deal more effectively with the demands of change and a new higher education environment. It will enable the individual in "reaching positive

experiences" and therefore develop a "more complete self" when dealing with challenges. It allows the individual leader to have the necessary control and adequate and specific skills to find enjoyment in "discovering (the) new social contexts in which to act". The leadership skills as indicated in the three sub-structures (cf. Table 5.2) are fundamental to the growth of the individual and to the possibility of making a positive contribution to the development of the social contexts to which one (the individual) belongs (Inghilleri, 1999:91;92)

The leadership skills and abilities descending from the 'Dynamic Academic Leadership" model links the individual leader to the autotelic individual who can discover optimal experiences in situations that others might tend to consider boring or a source of anxiety. It is important to note that the autotelic individual has deeper levels of skills (more complex), can and do respond in a less predetermined way to environmental demands, they can and are able to control and modulate their behaviour. When the challenges of change are high, they are still capable of dealing with problematic situations even if they might lack some skills and are still able to take risks and develop emergent motivation when looking for new and more complex challenges. However, they will show their self-determination by withdrawing from overly unbalanced situations or will be able to re-interpret and re-organise situations to fit the intended vision and/or goals (Inghilleri:1999:92).

The academic leadership skills as derived from the three leadership sub-structures could therefore be interpreted as 'autotelic leadership' skills. These skills are imbedded in the hearts and minds of individuals and enable them to find joy and empowerment in dealing with changing contexts and therefore, the empowered institution (cf. Diagram 5.7).

5.3.3   The Empowered Institution

The researcher argued in the development of a model for academic leadership (Van der Westhuizen, 1998:116-174) that any organisation that wants to develop and become an empowered institution has to:

- Deal with the challenges for change and environmental pressures in higher education institutions.
- Apply the strategy for transformation (cf.5.3.1, and Diagram5.2a).
- Develop autotelic leadership skills, a culture of leadership and organisational learning as depicted in the three sub-structures of the 'Dynamic Academic Leadership' structure (cf. 5.3.2, and Diagram 5.3). The three sub-structures are institutional leadership, individual leadership, and administrative leadership and management processes.

The above mentioned culminates in the 'Academic Process Leadership Super' structure (cf. 5.3, and Diagram 5.1) and will as such provide the skills, roles and culture that will assist institutions on the road to become empowered institutions, and therefore learning organisations (Argyris, 1957:229, and Argyris, 1999:51-52;107-108).

i)   *The scope for becoming a learning organisation*

The cross section of Diagram 5.6 provides the profile of academic leadership (autotelic leadership) development in becoming a learning organisation. The core leadership axis informs the three leadership roles of the individual academic staff member and it interacts on a continuous basis with the inner culture ring. This culture ring provides the scope for leadership development and becoming a learning organisation. Marchese (1997:10) and Schein (1997:6-7) indicate the necessity for leadership to enact their vision and the importance to 'enculturate' (Lancy, 1993:36) a supportive and a safe workplace for learning (organisational learning) and leadership development. Therefore, in short, leadership will (must) provide the vision for an organisational culture that will culminate in and become the primary target of organisational transformation.

The next outer empowerment ring evolves around and interacts with the core leadership axis and the inner culture ring, and provides the scope and structure for individual group and organisation-wide learning to occur (Van der Westhuizen, 1998:91-115). This whole structure, however, is not possible if the outer cylindrical casing of the institutional strategy for transformation (Diagram 5.2b) does not exist or is not formed. The profile for a learning organisation (Diagram 5.6 and 5.7) as well as the three leadership roles of the individual provides the scope for a flat (crushed) hierarchical system, which has the flexibility of boundaryless and learning organisations (Van der Westhuizen, 1998: 79;173-174).

The holistic view of the model (Diagram 5.7) provides the opportunity of indicating that interactive leadership can and do form part of the structure. The individual academic fulfills all three the leadership roles, although not necessarily at the same point in time of his/her academic life development but the skills developed provides him/her with the depth and complexity of autotelic leadership (cf. 5.3.2:*vi-b*). Diagram 5.7 indicates that the institutional leader is also and (but) firstly an individual leader and that institutional leadership is informed by individual leadership with the accompanying leadership roles and skills. Management processes and administrative leadership form part of both individual- and institutional leadership. However, some skills and management processes will inform both individual and institutional leadership at the same time while others will be specifically geared to the different levels. The empowered institution structure provides the flexibility necessary for flat hierarchical and boundaryless organisational structures (Lipnack & Stamps, 1993:73). Birnbaum (1988:196 cited by Van der Westhuizen, 1998:174) argues that these types of organisational structures (and institutions) tend to run themselves. It is important to note that the broader view of leaders and leadership are very necessary to the system. "The effectiveness of the leaders depends on the functioning of the organisation within the culture of the institution, and that leaders are prepared to learn about the institution" (Van der Westhuizen, 1998:174). The structure of the model implies that institutions will strive for and aim at achieving excellence. Gardner (1984:161) states that "…excellence implies more than competence. It implies a striving for the highest standards in every phase of life. We need individual excellence in all its forms – in every kind of creative endeavour …in education, in industry, in our spiritual life – in short, universally".

A challenging and enabling shell/casing (cf. 5.3.1 and Diagrams 5.2 a, 5.2 b and 5.4) is therefore necessary to attain excellence that will be attractive and therefore attract innovative thinkers and academics in higher education institutions.

ii) *The Learning Organisation*

"Becoming a learning organisation involves more than a paradigm shift for higher education institutions. It requires a change in how we think about higher education, shifting the focus from the traditional to futuristic" (Rowley, Lujan & Dolence, 1998:111; Handy, cited by Tobin, 1998:171). The learning academic organisation (institution) as developed in the model for dynamic academic leadership indicates, according to Senge, that "(A)t the heart of a learning organisation is a shift of mind,… it is a place where people (are self fulfilled and have the confidence, courage and the authority and power to) continually discover how they create their reality …and how they can change it" (Senge, 1990:12, cited by Van der Westhuizen, 1998:87).

Duke (1992:1, cited by Van der Westhuizen, 1998:87) defines a learning organisation very simplistic as "an organisation that both learns and fosters learning", and as Marquardt (1996:19, cited by Van der Westhuizen,1998:87) systematically defines it: "(a)n organization which learns powerfully and collectively and is continually transforming itself to better collect, manage, and use knowledge for corporate success". As change is always continuous and the need for learning is never finished it is important to remember that an institution **is** never fully a learning organisation (Marquardt, 1996:179, cited by Van der Westhuizen, 1998:87).

Lank (1997) argues that knowledge and human expertise are the principal creators of value for organisations and "a learning organization harnesses the full brainpower, knowledge and expertise available to it, in order to evolve continually for the benefit of all its stakeholders". He suggests that a learning organisation must harness brainpower across the boundaries of an organisation and enable individuals to deliver maximum (optimal?) value (Lank, 1997:407, cited by Van der Westhuizen, 1998:88).

According to Marquardt (1996:20, cited by Van der Westhuizen, 1998:89) and Argyris (1999:48;52) the core aspect (subsystem) of the learning organisation is learning, which runs like a silver thread through the whole system and structure to "enhance and augment the quality and impact of learning" (Marquardt, 1996:20). The researcher has summarized a number of important dimensions and characteristics of a learning organisation (Van der Westhuizen, 1998:90) as depicted by Longworth and Davies (1996:75) and Marquardt (1996:19;20) in Table 5.3. These dimensions and characteristics form an important part of the empowered institution.

iii)   Higher Education and learning organisations

The researcher has asked the following question in the development of the model (Van der Westhuizen, 1998:11): "Are higher education institutions, and therefore teaching institutions, under the impression that they automatically 'qualify' for the 'status' of being a learning organisation?" The same question is still relevant. Chapters two and three describe the pressures and demands for change and draws the conclusion that flexibility, adjustability, innovation and institutional learning should be part of future higher education structures. Chapter four indicates that it will require more than a paradigm shift (Rowley et al, 1998:111; Handy, cited by Tobin, 1998:171) for higher education institutions to cope with the future and cites Gentle (1997:159) who states that the changes in higher education corresponds to the vision of a learning organisation, a concept developed as a model in the world of business and transferred to higher education institutions (cf. 4.5 and Figure 4.2).

Tann (1995:54, cited by Van der Westhuizen) argues that organisational (institutional) learning involves new understanding and new behaviour underscored by supporting principles and practices. Higher education institutions have traditionally fallen into the trap of confusing intellectual understanding with knowing how to do something, and they have a history of not responding well to change (Brew, 1995:2, cited by Van der Westhuizen, 1998:113). Institutions have to learn to cast off control as the guidance system of organisations and work in a paradigm where ideas supplant status and creativity replaces orthodoxy. Rowley et al (1998:110) advocate that ideas and creativity is the basis of a new revolution in which the result is the humanising of the institution.

Table 5.3   Characteristics of a learning organisation

LONGWORTH AND DAVIES	MARQUARDT
• It can be any institution, association, group of people, etc. with a need and desire to improve performance through learning. • Invests in its own future through the education and training of all its people. • Creates opportunities and encourages all its people and functions to fulfill human potential as: ○ members of the organisation, ○ ambassadors of the organisation, ○ citizens of a wider community, ○ human beings with a need to realise own capabilities. • Has a shared vision of the future and challenges its people to change and contribute to it. • Integrates work and learning and seeks quality, excellence and continuous improvement. • Mobilises its human talent by putting emphasis on learning and education and training planned for the purpose. • Empowers people (broadens horizons and recognises individual learning styles). • Uses and applies up to date open and distance learning technology to create broader and varied learning. • Responds pro-actively. • Learns and relearns constantly to be innovative, inventive and invigorating.	• Learning is accomplished by the system as a whole. • Recognition of ongoing organisational learning by members. • Learning is an integrated, continuous, strategically used process. • Focus on creativity and generative learning. • System(s) thinking is fundamental. • Continuous access to information and data resources • Corporate climate encourages, rewards and accelerates individual and group learning. • Innovative, community like networking inside and outside the organisation. • Change is embraced, and surprises and failures are viewed as opportunities to learn. • Driven by a desire for quality and continuous improvement. • Activities characterised by aspiration, reflection and conceptualization. • Well developed core competencies exist that serve as take off point for new projects. • Processes the ability to continuously adapt, renew, revitalise in response to the changing environment.

Source: Compiled by Van der Westhuizen (1998:90) from Longworth & Davies (1996:75); Marquardt (1996:19;20)

As indicated in the Dynamic Academic Leadership model (Diagram 5.3) and the Empowered institution (Diagram 5.7), institutions will have to combine and mobilise learning, and embrace the broadest possible range of intelligence, innovation and experience available, be responsive to their environments and to learn faster and better to accommodate change (Tann, 1995:54; Brew, 1995:2; Mayo & Lank, 1994:2; Argyris, 1992:84 all cited by Van der Westhuizen, 1998:112;113).

Gerjuoy (cited by Caroselli, 1994:3) argues, "tomorrow's illiterate will not be the man who can't read; he will be the man who has not learned how to learn". The principles of the learning process have to be a mainstream activity and the development of lifelong learning must be a core aspect of the institutional structure and a major commitment for leadership and leadership development.

The true problem for higher education institutions therefore might be to become a learning organisation. For institutions to embark on the road of a learning organisation Marquardt (1996:179-191, cited by Van der Westhuizen, 1998:114-115) indicated the following criteria as guidelines:

- Commit to becoming a learning organization.
- Connect learning with the strategic goals of the organization.
- Assess the organization's capability on each subsystem of the systems learning organization model.
- Communicate the vision of a learning organization.
- Recognise the importance of systems thinking and action.
- Leaders demonstrate and model commitment to learning.
- Transform the organizational culture to one of continuous learning and improvement.
- Establish corporate wide strategies for learning.
- Cut bureaucracy and streamline the structure.
- Empower and enable employees.
- Extend organisational learning to the entire institution.
- Capture learning and release knowledge.
- Acquire and apply best of technology to the best of learning.
- Encourage, expect, and enhance at individual, group, and organizational levels.

- Learn more about learning organisations.
- Continuous adaptation, improvement, and learning.

Although the Academic 'Process Leadership' Super structure provides the means and the scope for a learning organisation, there is no single guaranteed way of becoming a learning organisation (Van der Westhuizen, 1998:115). However, organisations that make a conscious decision and commitment to become a learning organisation finds that the true "…problem of a Learning Organisation is to remain a Learning Organisation" (Longworth & Davies, 1996:84, cited by Van der Westhuizen, 1998:114).

iv)   *The failure of change initiatives*

Senge (1999:5) claims "(M)ost change initiatives fail". He, with his colleagues cite numerous authors who researched "AFPs (Another fine Programme)" and found that about two thirds of Total Quality Management (TQM) programmes failed, grind to a halt and did not produce results. Re-engineering's failure rate is somewhere around seventy percent. Of a hundred top management-driven change initiatives half did not survive the initial phase. In short "flavor of the month" and "AFPs" do not work despite the substantial resources committed to the change efforts. Managing change keeps drowning us. It relentlessly reduces any sense of mastery we might possess (Senge, 1999:5-6; Wheatley, 1999:3 and 1992:1). Senge argues, "…that the source of these problems cannot be remedied by more expert advice, better consultants, or more committed managers. The sources lie in our most basic ways of thinking. If these do not change, any new 'input' will end up producing the same fundamentally unproductive type of actions" (Senge, 1999:6)

With only the "true believers" – some individuals at the bottom – involved in change, organisations (institutions) wont make it. Failure therefore, boils down to management practices and systems where the manager or the leader does not include the 'individual leader'. Management is very good at "directing others to change, but not so great at changing ourselves". They address the change that does not affect them; they attack the symptoms and ignore the systemic causes of the problem; they recognise and focus on change, but fail to recognise the "importance of learning abilities" (Senge, 1999:8).

Unless institutions start recognizing the "leaders" in there midst, people with diverse qualities and potential who play key roles (if not **the** key roles) in sustaining and keeping the momentum of change, the 'window dressing' will stay alive and no real change and real learning will take place to activate self-energizing commitment and self-fulfillment (Senge, 1999:8-10).

v)   The importance of 'new' leadership

Leadership and leadership development, as indicated in the different models developed by the researcher (Van der Westhuizen, 1998:116-175), are vital to profound and fundamental change. Senge (1999:15) uses the phrase "profound change" to indicate and describe organisational change that combines and includes "inner shifts in people's values, aspirations and "outer shifts" (external) dealing with behaviours towards change, processes, strategies, practices and systems. Therefore, a move towards the fundamental, the foundation of change means a move towards learning (cf. 5.3.3:*ii*), where learning stands for building capacity (individual leadership development) for doing things in a new way and relishing ongoing change.

Leadership and leadership development cannot be separated from its context and is a systemic phenomenon. "Leadership and sustaining change become two sides of the same coin (where) leaders nurture these reinforcing processes through their understanding and participation". Leaders do not "…drive their organizations". The organisation, and therefore a Learning Organisation, must be seen as being a "human community" a "living system". It is like a plant or a teenager – there is no one person driving it, but many are tending the garden (Senge, 1999:20;21).

vi)   Leadership in the 'Living World'

"You don't need to nor should you wait until death is at your doorstep before you start to really live…. We must allow death to provide a context for our lives, for in it lays the meaning of life and the key to our growth" (Kübler Ross, 1975:x-xi). Institutions should not wait until tomorrow, they must always strive to discover new vehicles to sustain joy and fulfillment, that is to rejoice at the experience of each new day and every new

challenge and therefore, to live and relearn to see things that we don't see any more and to see them in a new light. A vision for the future is thus, not "more of the same, but a quantum leap forward" with the understanding that here and there are never identical. It is the vision of choice for new leadership and leadership roles, and of new learning that will provide the quantum leap forward with the realisation that it is all new territory where neither the road nor the means come readily to hand (Owen, 2000:86; Senge, 1999:560; Rowley et al, 1998:109). Cotter (1995:202) cites Bill Gore who states that, "Leadership is a verb, not a noun…. Leadership is defined by what you do, not who you are". Reality is only what we create through our engagement with others and with events where everything is always new, different as well as unique to each of us and where we are prepared to experiment and invent to find what works (Wheatley,1999:9 and 1992:7).

Wheatley (1999:10) metaphorically links her work on leadership with concepts from physics, biology and chemistry and seeks to comprehend the living organisational world by focusing on holism rather than parts (Wheatley, 1999:10; Capra, 1997:17.; Bohm, cited by Jaworski, 1996:82; Senge, 1990:241), where a system is understood as a whole system and attention is given to the "relationships within those networks" (Wheatley, 1999:16).

If higher education institutions (organisations) have to make a quantum leap they will have to understand life as life (Owen, 2000:86), where major problems cannot be understood in isolation but are seen as interconnected and interdependent within themselves and with their environment. Wholeness should therefore be seen as "deep" ecological where it recognises the intrinsic value of all living beings and views understanding and belonging as a deep ecological (spiritual or religious) awareness. Deep ecological awareness deals with moral questions as key concepts with all forms of relationships in organisation as well as the future and the generations of the future (Wheatley, 1999:14).

The essence of deep ecology is therefore to ask "deeper questions", indicating the asking of "profound questions" (Senge, 1999:15) about the very foundation of our way of life and the way we see, understand and interpret our world (Copra, 1997:3-9). According to Senge (cf. 5.3.3:*v*) the fundamentals of profound questions and change are learning. The

field of leadership, leadership effectiveness and organisations has also been bombarded by profound questions leading to studies on partnerships, teams, networks and the role of context in organisations (Wheatley, 1999:14). Organisations have moved away from mechanistic creations and metaphors to empowered institutions with more "fluid organic structures of boundaryless and seamless organizations", where we "recognise organizations as whole systems, construing them as 'learning organisations'" (Wheatley, 1999:15).

Quantum imagery provides us with potent images for clarification and it challenges basic assumptions of our understanding of relationships, connectedness, prediction and control (Capra, 1997:28;29). Capra (cited by Wheatley, 1999:33) sees the concepts of self-organising and self-generating as dynamic patterns continually changing into one another as a continuous dance of energy and the universe starts looking more "like a great thought than like a machine". Wheatley deliberates that in organisations and in our understanding of leadership we are only "at the edge of this new world of relationships (where) power in organizations is the capacity generated by relationships" (Wheatley, 1999:34;39)

In Newton's universe, matter alone mattered and space created an emptiness, while in quantum understanding, space is the basic ingredient of the universe (Chopra, 1989:96). Space in quantum theory is not a void emptiness, but filled with fields. According to Zukav (cited by Wheatley, 1999:52) "the substance of the universe is as real as particles, but the things we see or observe are a secondary effect of these fields". These fields resemble more closely an ocean – an ocean that is filled with "interpenetrating influences and invisible forces" that, is working in close relation and is inner connected (Wheatley, 1999:52). In the same way we live in a world that is relevant to the ocean with many "interpenetrating fields – each filling space where the laws of motion, … are rules for flow" (Wilczek and Devine, 1988 cited by Wheatley, 1999:53). It is therefore important to understand and to contemplate that in the fields of organisation, space is not empty. Unseen influences affect behaviour and the spirit of the individual and the culture of the organisation.

For several years leaders have considered the impact of non-material forces, such as vision, values and culture to name but a few, in organisations and where these concepts describe the quality of organisational life. Wheatley (1999:54-57) argues that we can never see a field, but we can easily see its influence by looking at what people are doing and how they behave. Although one cannot see what is happening, cognitive sense can be made of what is happening in the space. With the sensibility that quantum thinking brings, there are possibilities for how to create order. The shift of imagery changes the nature of our attention from control and authority, to understanding ideas and thinking as real forces in the organisation. However, with the insight we gather from quantum thinking and imagery regarding organisational insights, and with the primary influence on relationships we are constantly creating a world of process, a process of connecting "things" from the many potentials through interacting and participation of relationships (Wheatley, 1999:69).

Higher education institutions do not have to fear turbulence and change, and they surely do not have to approach change with the amount of fear that is prevalent at the present moment. In our understanding of self-organisation and reorganisation of life in quantum thinking, higher education institutions should know and understand how to grow and reorganize in the midst of constant flux – the path of growth through change that leads to greater independence and resilience. "We dance along this path by maintaining a coherent identity and by honoring everybody's need for self-determination" (Wheatley, 1999:89).

Self-determination creates new images of self-organisation and in return it brings freedom, possibility and creativity, which can be seen in dynamic, creatively changing, but enduring processes.

The analysis of the Academic 'Process Leadership Super' structure (Diagram 5.1) and the Empowered institution (Diagram 5.7) brings the understanding of the model into new light and understanding. The strategy for transformation (Diagram 5.2a and 5.2b) deals with the dichotomy of addressing the stability of a dying organisation in the process of reorganisation towards a 'new life' providing and indicating areas of space. If the change process is left or abandoned at this stage we only deal with mechanistic

images of Newtonian thinking (Wheatley, 1999:159; Senge, 1999, 5;6;10), and we have to deal with 'space' that indicates emptiness.

The implementation of the Dynamic Academic Leadership structure (Diagram 5.3) fills the void and gives substance to the change process through the concept of 'Autotelic Leadership' and 'Autotelic Leadership skills' (cf. 5.3.2:*iv* - *c*). These concepts of authenticity provides the "**flow**" (Inghilleri, 1999:70;71; Csikszentmihalyi, 1988:8;29; cf. 5.3.2:*vi* - *a*); **process** (Van der Westhuizen, 1998:161; Capra, 1997:155-157); as well as the energy for self-organisation and reorganisation; continuous change towards new thinking; the profound challenge of new learning and understanding towards a learning organisation (Diagram 5.8).

5.4   CONCLUSION

The subjective understanding of life in a living world and of the empowered individual in the environment of an empowered institution as analysed and demonstrated in this chapter brings the researcher to the research methodology as well as to the units of evaluation and analysis to evaluate such a complex system.

The evaluation process will include:

- An analysis of the institutional initiatives in the strategy for change.
- The understanding and perception of the individual leader regarding concepts of leadership and leadership development (Autotelic leadership and leadership skills).
- The portrayal of the individual as a leader in his work environment indicating the understanding of the difference between leadership and management.
- An analysis and self-evaluation of the understanding of the change process and the change towards excellence.
- The institution as a learning organisation – an institutional self-evaluation profile.

The number of evaluation and analysis units dealing with the process evaluation are important and indicates the complexity, scope and depth of the empowered institution – the Learning Organisation - in a living world.

LEARNING ORGANISATION

"AUTOTELIC LEADERSHIP"
AND A
LEARNING ORGANISATION

NEW PARADIGM

Space and flexibility

Pressures for change and transformation in the
higher education internal and external environment

Flo
Flo Flo
Flo
Flo

Space and flexibility

Pressures for change and transformation in the
higher education internal and external environment

EMPOWERED
INSTITUTIONAL
STRUCTURE

OLD PARADIGM

Diagram 5.8   The Empowered Institution in a living world (The "AutotelicLeadership and Learning Organisation" model)

"If a man will begin with certainties,

he shall end in doubts,

but if he will be content to begin with doubts,

he shall end in certainties".

Sir Francis Bacon (cited by Thurbin, 1995:1)

CHAPTER 6 – OVERVIEW

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CHAPTER 6

RESEARCH METHODOLOGY AND RESEARCH DESIGN OF THE STUDY

6.1   INTRODUCTION

"Nobody knows for sure what truth is, we can only approximate it" (Kübler Ross, 1975:160), it is therefore impossible to attain full knowledge. Any issue or aspect of knowledge can and maybe approached "from a variety of starting points, using a range of partial analysis in order to build up a picture" (Dow, 1990 cited by Marginson, 1995:17). The study fields of Higher Education, Psychology (Leadership), Business Management and Organisational Theory (Management, Leadership and Learning Organisations) as well as Social Theory, all have something to contribute to contemporary issues regarding change and more specific change and transformation in higher education. The researcher can echo the words of Wheatley (1999:161) that stated that she found it helpful to realize, that as a social scientist, she was working inside a powerful paradox, indicating a dichotomy (Keeves, 1999:3). Within the disciplinary context, "which is the context of research communities that are bound together by a specific ethos and disciplinary training(,) aspects such as disciplinary traditions, paradigms and shared values, … now become relevant and important" (Mouton, 1996:54). This indicates towards the dilemma that each field of study has its own philosophy, history, theories, understanding, beliefs and specific viewpoints, not to mention the traditions and debate around research methodologies and methods that have an impact on the decisions the researcher has to make.

The researcher has looked into the problem in the same way as she has constructed the model for academic leadership in the first instance. She took a (w)holistic view of the fields included in the study and found that the same trends, questions and

new understandings were imbedded in the different fields. In some instances, it was the same writers, authoring work(s) crossing the boundaries of the fields. However, the (w)holistic viewpoint enabled her to select the units of evaluation and analysis of the process evaluation, and the philosophy underlying her understanding and analysis of the model.

Babbie and Mouton (2001:6) argue that the authority of certain theoretical decisions (what Kuhn [1962:94] calls a "paradigm") and the intellectual authority of great thinkers help us to make progress in science and "... social science develops second order constructs (or conceptions) that built on and refine the first order constructs" (Schultz cited by Babbie & Mouton, 2001:6). The work of the researcher was constructed in two phases but should be viewed as a whole. The two phases consist of:

- The development of a model: Academic leadership for the transformation towards learning organisations in higher education. The model was developed and constructed through the literature review in her M Phil thesis (a first order construct).

- The analysis of the model for leadership and the process evaluation of institutions towards the development of learning organisations. This study was constructed through second order conceptions (constructs) of individuals in higher education institutions to build on and refine the 'first order' construct in the development of the model.

6.2   THE THEORETICAL FRAMEWORK OF THE STUDY

Baldridge (1971a: 2), substantiated by the work of Krausz (2000:9-11) and Crotty (1998: 34-37), in his study of the analysis of Academic Governance states, "one of the critical steps (in the analysis and evaluation process) is to adopt a basic framework from which to view the processes. He cites Kuhn's (1962:43-51) work on 'The structure of scientific Revolutions' that suggests that "all scientists adopt analytic models from which they view their problems". Kuhn suggests that, "scientific enterprises occur within the bounds of certain conceptual frameworks ("paradigms")... (and, that) science does not

advance by piecemeal accumulation of facts, but instead major advances are related to conceptual revolutions, to critical shifts in intellectual (conceptual) frameworks, and to change in the scientific paradigms" (Baldridge, 1971a:2 and 1971b:8; Newman & Holzman, 1997:26). Baldridge takes the discussion further and argues that they – scientists/researchers - "mentally construct 'models' or 'paradigms' that reconstruct reality on a miniature scale". The model that a scientist selects is critical to his/her research, for it greatly influences his/her choice of problems, his/her overall theoretical perspective and therefore the research methodologies that he/she uses, as well as the types of evidence that he/she will accept as valid (Morgan, 1980:564). This model building may be conscious or unconscious, but in either case, it greatly affects a scientist's view of his/her world. Baldridge offers the fundamental argument that "sociologists and administrative theorists have not yet constructed appropriate intellectual models for analyzing academic administration (and for that matter academic leadership) and that the lack of an adequate framework is hindering research" (Baldridge, 1971b:8). It is important to note therefore, that, as a theoretical/conceptual framework, the paradigm "defines and legitimizes" the efforts of researchers and scientists working in a specific area (Morgan, 1980:564). The prevailing paradigm therefore, forms the "matrix" that shapes the reality to be studied and it legitimates the methodology and methods (Crotty, 1998:35). The paradigm therefore:

- "Defines ***problems*** that are critical".
- "Provides a ***theoretical framework*** for addressing the critical problems".
- "Selects certain types of ***instrumentation*** as valid and appropriate for tackling its given problem, thus providing the methodological arms for studying the conceptual and theoretical problems".
- "Defines ***legitimate proof", to specify*** "the type of experience and empirical phenomenon that will be accepted as empirical evidence in studying the paradigms significant problems". However, the only "facts" that are relevant are those that are "judged legitimate by the paradigm's conceptual framework".
- Always "***involves ideological components***, that are, emotional attachments and world views". A researcher/scientist that works within a given framework "adopts a

consistent 'weltanschauung' that defines his(/her) …problems, …instrumentation, …conceptual framework and …theoretical propositions" (Baldridge 1971b:9) – "a form of *insight*, i.e. a way of looking at the world, and not as a form of *knowledge* of how the world is" (Bohm, 1980:4). Working within a given worldview the researcher/scientist has more than a mere scientific allegiance to the specific problem and the adopted framework, because his/her very specific life style and emotional commitment "are tied to this particular interpretation of the world" (Baldridge 1971b:9).

Organisation theory and leadership theory as interpreted in the sub-disciplines of Sociology has their own paradigms that guide thought and provide a framework for research. Most of these, however, have proved inadequate when applied to higher education institutions (universities). Organisational paradigms such as Bureaucracy, Collegium, Political models, when applied to universities/higher education institutions have inherent weaknesses, but can be used to build new views regarding higher education institutions (Baldridge, 1971b:9; Wheatley, 1999:164; Babbie & Mouton, 2001:4-5) (cf. Figure 4.2). Therefore, one can come to the conclusion that a paradigm is an accepted model or pattern coming out of a background of theory which comprises a package of beliefs about science and scientific knowledge and is an overarching conceptual construct (Crotty, 1998:34). In a Kuhnian sense a paradigm equals a theoretical or conceptual framework. Dealing in a new theory or paradigm does not mean that it has to be in conflict with any of its predecessors. It is possible that a new theory might deal exclusively with aspects and phenomena not previously known, or it can be "a higher level theory than those known before, one that linked together a whole group of lower level theories without substantially changing any" (Kuhn, 1962:23;94).

6.2.1   The role of the paradigm as a vehicle for scientific theory

Guba (1990:17;19) argues that in its most common or generic sense a paradigm is "… a basic set of beliefs that **guides** action, whether of the everyday garden variety or action taken in connection with a disciplined enquiry … and it is (thus) a human construction".

However, paradigms provide scientists not only with a **map** (Bohm, 1980:53) but also with some of the **directions** essential for **map-making**.

Briggs and Peat (1989:31) argue that maps of change are "imaginative pictures which allow thought to bring into focus aspects of reality that otherwise might be lost in detail". When a scientist encounters a radical shift in his her view of reality and is led by a new paradigm, he/she looks in new areas and places and also adopts new instruments. These allow the scientist to see new and different things coming from all to familiar places they have seen and looked at before. Paradigm changes, therefore, has as a result that researchers see "the world of their research-engagement differently". However, as **new** paradigms are born from **old** ones they normally also incorporate not only these new instruments and new language developed, but can also contain some of the old apparatus, "both conceptual and manipulative" (Baldridge, 1971b:108;148). Krausz (2000:8, cites Prado, 1987) who stresses two achievements to indicate "progress in science and indicating that scientific work has enabled scientists to find out increasingly more" about:

- "What the world is really like".
- How it has helped "humanity to cope with reality"

Kuhn distinguishes between different paradigms such as the positivist (structural), interpretive, and critical paradigm shifts. However, for him science is to study nature or the world as an aim to understanding nature or the world. He uses nature and world synonymously (Kuhn, cited by Hoyingen-Huene, 1993:25;31). Wheatley (1999:141 cites Goethe, as a philosopher and poet) who "applied his genius to the problem of seeing the wholeness of nature" – trying to understand phenomena not as isolated events but as a result of its *"relationship* to other phenomena ... being open to what is occurring, allowing ourselves to be influenced by a whole that we cannot see" Krausz (2000:17) as well as Crotty (1998:47), emphasises Baldridge's position indicating that science deals with reality and makes sense of it. He argues that researchers/scientists, in their attempt to understand reality and its basic features, they – scientists and philosophers, propose

conceptually what reality is within the different paradigms. However, there comes a time when the paradigm proves to be inadequate. Findings are proposed that no longer can be explained within the prevailing paradigm and a whole new way of viewing reality is imminent – indicating a paradigm shift, therefore a shift in the way scientists view reality (Kuhn, cited by Crotty, 1998:36). Margolis (1993:23-26) argues that the notion of "paradigm shift" is "a special sort of change in habits of mind" indicating a matter of degree. A matter of degree puts a transition between two viewpoints indicating that a salient paradigm is challenged by some new alternative.

According to Whitehead (Krausz, 2000:17; Bohm, 1980:63), scientists currently conceptualise reality as an overall process, keeping in mind that the key point to keep in mind is that the "process has no definable aspect that is *absolutely* fixed" (Bohm, 1980:63;64). One can visualise, therefore, that reality is in constant motion. Bohm (1980:x;11;64) describes this concept as "flux", he calls this form of insight "*Undivided Wholeness in Flowing Movement*". The capacity of doing work is based on the constant flowing movement of the transmission of energy indicating that the dynamics of the whole universe is based on this process (Krausz, 2000: 7;20;21, Chia, 1996:159). However, only part of the energy of this flowing movement is used for doing actual work, or as Clausius (1850, cited by Krausz, 2000:25) termed it – "entropy", meaning "turning into" - indicating therefore, work in a specific direction, towards an ideal maximum to reach stability in a closed environment. Some of this useful energy however is, or gets, lost because of the friction of the working process. This lost energy is used to bring about another state of stability or equilibrium. If the lost energy is not used it disintegrates and dies off (indicating opportunities lost).

6.2.2   The creative energy of new ways of seeing and understanding

Prigogine (Krausz, 2000:25; Wheatley, 1999:20:21) discovered that this process of lost energy (deterioration; dissipative activity) was necessary to create new order, therefore turning into a new state of entropy and stability. Recognising the possibilities of change as in the leadership development process, indicates that the dissipation does not lead to

the death of the system, but as part of the system to let go of its present form. Through this process it could reorganise in a form better suited to the demands of its changed environment. It is in actual fact, a re-organisation of reality leading to more complexity, but as a living system maintaining its identity and with its higher level of complexity, better able to deal with the present and the future (Wheatley, 1999:21).

To be able to live in such an environment, living systems need to react to their environment, cope with fluctuation and react to produce feedback. Systems, however, have sub-systems and the fluctuation in one subsystem might or can result in change through the whole system. The system needs to act as a whole. If the system is pushed beyond a certain level it produces a revolutionary moment, which could bring a disintegration of the system leading to complete chaos or it could reorganise it self, leap to a higher order and produce therefore the more complex system. This more complex system is non-linear, dynamic and does not lead to more homogeneity and equilibrium. These processes take place at regular times and for the system to act as a **whole** it needs to communicate between the different subsystems. For a system to continue moving (keep the flow) and keep on changing (grow), it has to react to the disequilibrium and not be satisfied with balance (status quo). In the process of change, turbulence (disequilibrium) may occur, which could indicate complete disorder (irregular or chaotic), but as the system moves from stability to chaos, and from disorder to order in a continuous way, we deal with reality, a reality, which is capable of spontaneous self-organisation. Out of chaos dissipative structures of a higher order may come about through continuous development (Prigogine, cited by Krausz, 2000:26; Wheatley, 1999:21;22). Bohm (1980:159-161) sees this process more as a metamorphosis than a transformation, indicating that the change is much more radical than what transformation indicates (Chia, 1996:159;172). He links the concept – metamorphosis - to the changes from caterpillar to butterfly "in which everything alters in a thorough going manner while some subtle and highly implicit features remain invariant" (cf. Figure 5.8).

Krausz (2000:26) indicates that in our life-world reality appears to contain aspects of order, structure and stability, but it has a vitality seen in processes of change, fluctuation, disorder and spontaneous reorganisation and restructuring. "Reality is, therefore,

characterized by an openness, and by features of randomness and change… as well as by structural and systematic features".

Gleick (1987, 1993) has popularized the terminology "chaos" and sees the study of chaos as a new scientific approach. Chaos theory has been applied to a wide range of social phenomena. Its value for the social sciences is thus its "promise as an emerging means for enhancing both methodological and theoretical foundations for exploring the complexity of social phenomena (Kiel & Elliot, 1996:3). In his theory Gleick argues that the "ideal scientific world where regularities can be separated from the disorder of experience is no longer valid" (Krausz, 2000:27), therefore in the reality of chaos where everything should fall apart, the strange attractor emerges and order is observed and not chaos (Wheatley, 1999:117). What appears to be chaotic at one stage and one specific scale can transform into stability at another stage or on another scale. These different scales and various stages form part of a larger system and have as a result that "any system could have both stable and unstable behaviour within it". However, for some systems it is not possible to function if turbulence occurs, they cease to exist if the randomness takes over. The energy it takes to maintain equilibrium can destroy the whole system (Gleick, 1993:48), a concept that indicates the present leadership and change situation in many South African higher education institutions. However, Krausz (2000:30;37) argues that the work of Gleick and the study of chaos do not produce a new science, only a deeper probe into reality.

6.2.3   Making sense of reality

Trying to make sense of reality requires that one shifts one's vision from the parts to the whole realising that the re-organised system is the shape of wholeness and not the shape of chaos (Briggs & Peat, 1989:74-75). In the philosophical speculation used to make sense of reality aspects such as space and time in the universe are used, however these concepts have nothing substantive about them and are just concepts of the human mind and could be put forward as knowledge of the way things are caused. Science therefore, provides knowledge about the description of our lives and the reality of the world around

us. That is the dynamic aspects of the way life and the world change, how the various elements in our lives affect each other and how we deal with it. It is an enterprise which is never satisfied with existing knowledge and is always looking for new answers to complex concepts and systems. Scientists rely on their creative imagination and scientific advances to add to our knowledge of an unforeseeable future - a future in which they try to make sense of reality with the use of theories and models (Krausz, 2000:96).

The epistemically operant world concept in Kuhn's work is the notion of a "phenomenal world" and therefore, the world constituted by the activities of knowing subjects (Hoynigen-Huene, 1993:25). Krausz (2000:98) explains the ultimate ingredients in the human world of thinking persons, indicating "… persons who might think in recalcitrant manner". Nothing else in the world has individual feelings, drives and wills or has the kind of consciousness and sophisticated communication that distinguishes the human from the animal world. "The highly developed mental capacity, that is called 'mind' is unmatched elsewhere in nature and it is this that makes human beings into the mind-directed individual persons that they are" dealing with the process of reality of a changing world.

Social science studies, in the interpretive paradigm are therefore, the behaviour of human beings in the context of their social reality which lies in the ultimate nature of a universal existence - a dualistic approach, distinguishing between mind and matter where its sees "mind as something unique and entirely different from the materially based body. It is the mind that distinguishes man from all else in the world" (Krausz, 2000:96). It brings the concept of **persons** into the picture where it relates to the concept of human beings, indicating that human beings act with purpose, they have motives, intentions, thoughts and feelings, which give rise to human behaviour (Krausz, 2000:98).

It is clear that social science lies in the parameters of sociology, which deals with **human behaviour in society**, and with **the complexity of the human being** as a feeling, thinking, communicating and decision-making entity on the one hand as well as the **social structures** established for the interaction of the human individual (Krausz, 2000:112).

6.2.4   Anthony Giddens and the concept of Structuration

Numerous ideas and propositions have been brought forward to link and understand the relation between the individual and society. The theory of Anthony Giddens (an interpretive scholar) points to the "individual as a creative agent and a partner with society in producing social structures". It is the process where individuals are "meaning makers" who gives meaning to their acts. They not only act within the social norms or rules but they also have the ability to change and create those rules and the meanings attached to them. Giddens calls it a continuous process of "Structuration" where social relations are structured and continuously changed through the hands of human agents (Elliot, 2001:294; Krausz, 2000:113; Churton, 2000:123-130). The theory of "Structuration" is presently used by a growing number of organisational theorists to develop explanatory logics for the purpose of organisational analysis and change and instability (Reed, 1992:187).

In his theory of structuration, Giddens uses the term 'social theory' to encompass issues that he sees as the major concern for all social sciences. "These issues are to do with the nature of human action and the acting self; with how interaction should be conceptualized and its relation to institutions; and with grasping the practical connotations of social analysis ... the focus is (therefore) upon the understanding of human agency and of social institutions", therefore social practices ordered across space and time (Giddens, 1984:xvii:2).

Cohen (1996:130) argues that Giddens frames his Structuration Theory (1979, 1984) as a means to transcend to conceptual understandings and dualisms/divisions indicating:

- the division separating the conscious subject from social collectivities (subject/object dualisms), and
- the division between the agency (praxis) and the collective form of social life (agency/structure dualisms),

where the subject/object dualism resumes the conscious agent as the locus of action and the agency/structure dualisms presumes enacted forms of conduct. His structuration theory is a means to "reconcile praxis with persisting properties of collective social life". Its starting point is the proposition that "anything that happens or exist in social life is generated through enacted forms of conduct" (Cohen, 1996:1-3).

Giddens (1991:1-3) states: "Modernity must be understood on an institutional level; yet the transmutations introduced by modern institutions interlace in a direct way with individual life and therefore with the self". He argues that one of the distinctive features of modernity is an "increasing interconnection between the two 'extremes' of extensionality and intentionality: globalizing influences on the one hand and personal disposition on the other". He intuitively understood that social practices could be reproduced only if actors can take their behaviour for granted (Cohen, 1996:131; Reed, 1992:290).

In structuration theory "systems" refers to all kinds of grouping (small, intimate groups, social networks, large organisations) and patterns of relations within these groupings (Cohen, 1996:131). The term "structure" relates to systems. It brings a vital collective element to accounts of impacted conduct. Giddens' notion of structure involves an analytic deconstruction of procedures (structural patterns) into four elements which provides means to understand and grasp the complex and substantive properties of collectivities and can be conceptualise as "rules and resources" (Elliot, 2001:295). The elements are:

- Procedural rules (how the practice is performed).
- Moral rules of appropriate enactment.
- Material (allocative) resources.
- Resources of authority.

These units of analysis provide the basis and context for social reproduction and social change (Cohen, 1996:132). However, the duality of structure keeps the theoretical

attention directed towards the intrinsic association of structure and praxis (Giddens, 1979:5) and refers to the fact that agents need previously acquired knowledge and resources to reproduce structure. In other words, "agents need knowledge of how a practice is performed in order to reproduce it, so too as they perform the practice they reproduce this knowledge, advancing it into a new moment in time and reinforcing the awareness that the practice (and its complement of resources) exists". This institutional reflexivity includes as well as interacts with the reflexivity of the self, which is the core of modernity and social change (Giddens, 1991:2). The reflexive monitoring of action depends on rationalisation - the process (a continuous flow of conduct and cognition) rather than a state and is inherently involved in the competence of agents (Giddens, 1984:3).

The theory of the acting subject postulates three levels of subjectivity:

- Level of reasoning and existential meaning.
- Level of practical consciousness (tacit awareness of routine forms of conduct).
- Level of unconscious subjectivity (unconscious needs for routine spurs actors to change) (Cohen, 1996:134-135).

Krausz (2000:113) argues that in the Structuration Theory of Giddens the individual is a creative agent and therefore a "meaning maker". Individuals give meaning to their acts. They are reasoning agents and therefore, have the ability to change. The creative agent is a partner of society and the reproduction of structures are possible because of the innovativeness of human individuals. "The social rules created in the past influence the present, and changes taking place now will have their effects on the future". It is an understanding of society being in constant turbulence or flux, but structurised in its components of individuals and groups where the notion of human "action" presupposes that of "institution" and vice versa (Krausz, 2000:114; Giddens & Pierson, 1998:76).

The notion of Giddens of living in the future rather than the past is the key aspect of his understanding of modernity. He places considerable emphasis on trust and risk. It

indicates risk as the attempt to break away from the past and confront and open future and shape its activity. Risk is about active assessments of future hazards while trust on the other hand means giving commitment to a person, group or system across a future time. Therefore "trust can be a means of coping with risk, while acceptance of risk can be a means of generating trust" (Giddens & Pierson, 1998:101).

Giddens indicates that expertise (expert knowledge) is another key part of modernity and expertise is dependent on knowledge, which is dependent on reflexivity in understanding the future (Giddens & Pierson, 1998:14-15). "The radicalization of modernity means being forced to live in that more reflexive way". What others call post-modernism he, Giddens, calls radicalizing of modernity (Giddens & Pierson, 1998:117) (Table 6.1). He argues that there is only modernity and that modernity can only reflect on modernity through modernity (Giddens: 1998:117).

His view on modernity also impacts on what he calls the new individualism. He distinguishes this concept from the "me" generations based on egoism. Giddens cites Beck (Giddens, 1998:36) who calls it "institutionalized individualism" where people have to plan, understand, and design themselves to constitute themselves as individuals. Individuals have to make their lives active and actively accept responsibility(ies) for their own choices, as well as find a balance between individual and collective responsibilities. Giddens argues that new individualism goes hand in hand with self-fulfillment, the fulfillment of potential and with pressures towards greater democratization and empowerment to bring about more positive possibilities (Giddens, 1998:36-37). The Academic 'Process Leadership' Super structure and The Empowered Institution in a living world (The 'Autotelic Leadership and Learning Organisation' model) (cf. Diagram 5.1 and 5.8) corresponds with this viewpoint of Giddens and the researchers understanding of leadership, leadership development and higher education re-organisation as analyzed and discussed in chapter 5.

Table 6.1   A comparison of conceptions of Post-Modernity and Radicalized Modernity

POST-MODERNITY	RADICALIZED MODERNITY
• Understands current transitions in epistemological terms or as dissolving epistemology altogether.	• Identifies the institutional developments which create the sense of fragmentation and dispersal.
• Focuses on the centrifugal tendencies of current social transformations and the dislocating character.	• Sees high modernity as a set of circumstances in which dispersal is dialectically connected to profound tendencies towards global integration.
• Sees the self as dissolved or dismembered by the fragmenting of experience.	• Sees the self as more than just a site of intersecting forces; active processes of reflexive self identity are made possible by modernity.
• Argues for the contextuality of truth claims or sees them as "historical".	• Argues that the universal features of truth claims force themselves upon us in an irresistible way given the primacy of problems of a global kind. Systemic knowledge about these developments is not precluded by the reflexivity of modernity.
• Theorises powerlessness which individuals feel in the face of globalising tendencies.	• Analyses a dialectic of powerlessness and empowerment, in terms of both experience and action.
• Sees the "emptying" of day-to-day life as a result of the intrusion of abstract systems.	• Sees day-to-day life as an active complex of reactions to abstract systems, involving appropriation as well as a loss.
• Regards coordinated political engagement as precluded by the primacy of contextuality and dispersal.	• Regards coordinated political engagement as both possible and necessary, on a global level as well as locally.
• Defines post-modernity as the end of epistemology/the individual/ethics.	• Defines post-modernity as possible transformations moving "beyond" the institutions of modernity

Source: Giddens, 1990:150

6.2.5   Subjective experience and change (An interpretive framework)

The work of Inghilleri (1999), a psychologist, links with the work of Giddens. Giddens augmented his work on the thinking of social theorists while Inghilleri's work is motivated from major schools of psychology. Inghelleri (1999:36) cites Eccles, Sow, Mead and Moscovici who have the same view regarding "internal states and social context, internalized and externalized culture and their mutually dependent and causal relation".   There different theories point out the "interactive process between cultural memory and individual development" highlighting the "evolving and self-determining quality of internal states and social behavior".

Inghilleri cites De Charms (1990:50) who emphasizes that one "need to perceive oneself as the causal agent of one's own behavior" and therefore experienced oneself as active and self-determined with respect to the external world. Self-determination initiates the process of internal (" intrinsic") motivation and is sustained by the experience of spontaneous interest and enjoyment, which do not require extrinsic material rewards. The enjoyment of experience represents the ultimate aim (Deci & Ryan, cited by Inghilleri, 999:51). In the transformation of the self, cognitive development and learning are "facilitated by social contexts" which again allow for and stimulate:

- Autonomy.
- The space for individual capacities to express themselves.
- Relational interaction (Inghilleri, 1999:59, citing Deci & Ryan).

Inghilleri (1999:61-62) expands on this understanding indicating that, "self-determination points out the possibility of an integrated formation of the self in harmony with the external world". Individuals can therefore, in situations of integral extrinsic motivation aim their own behaviour at instrumental external goals and integrate the latter with their own general life objectives. They reproduce the information already present in their internal world and form their own personal identity informed by affect, cognitions and behaviour. They can consequently behave in an autonomous, harmonious, self-determined way.

The thoughts, feelings and sensations exist in the consciousness as subjective experiences. When these subjective experiences are positive they provide the flow (experience), and enjoyment factor, which provides a balance and automatic control over the situations and the activity becomes autotelic (cf. 5.3.2:*iv* – a, b and c) and an optimal experience. As indicated in chapter five, the autotelic person, through the optimal experience, develops the self and these meta skills that provide the quality of experience blending in harmony with the culture of the social contexts. Realizing of potential and self-determination is therefore truly expressed when it can be coupled in an authentic way with the values and norms of the society (Inghilleri, 1999:92;131) (cf. 5.3.3:*vi*; Diagram 5.8).

6.2.6.   Conclusion

The interpretive conceptions of these theorists regarding their conceptual frameworks on how they view reality, provides the meta theories (World 3) (Babbie & Mouton, 2001:48; Keeves, 1999:4) of the study with the focus on the individual (actor) in his environment (structure), therefore, the attempt to understand and explain the phenomenon that neither the individual nor the institution can be understood in isolation. The theory of structuration of Giddens sets out to overcome limitations of phenomenological sociology and structural functionalism and seeks to combine the advantages of two mutually exclusive orientations, that of hermeneutical interpretation and structuralist analysis and therefore, provides an alternative in viewing the modern world (modernity) with his alternative theory of agency and structure (Mandalios, 1996:228). It provided the researcher with a 'fit' regarding her conceptual framework and understanding of this study.

6.3   RESEARCH APPROACH: A QUALITATIVE RESEARCH PARADIGM

6.3.1 Introduction

In the understanding of the modern world, and the nature of the multifaceted knowledge in the world, scientists distinguish between three worlds, which is an

analytical distinction in human inquiry (Keeves, 1999:4; Mouton, 1996:11). The entities of the real world and everyday life (the pragmatic interest) form World 1, while the world of subjective experiences that comprises the conscious thought and unconscious state of mind of individuals, the phenomena of World 1 which we make the objects of inquiry comprises World 2 (the epistemic interest/methodological paradigms). World 3 (the critical interest) however, comprises the world of metascience or metatheories of the social sciences where reflection, as a product of the human mind goes beyond or transcends science to rationalise or to justify our way of thinking and doing. In this chapter (cf. 6.2) the researcher embarked on her understanding of World 3 regarding her research and this study (Babbie & Mouton, 2001:48; Keeves, 1999:4-5; Mouton, 1996:8-11).

Schwandt (2001:xxx-xxxi) argues that the social researcher is thought to face a dilemma that requires interpretation and self-understanding. Therefore, to understand a dilemma "... is to deal with actual, concrete events and people in specific places and times, in particular circumstances". He states that the researcher requires the kind of reasoning, which involves "judgment, deliberation and the assembly of a variety of empirical, ethical, and political considerations necessary to cope with, or make sense of the situation". This implies that the understanding gained from this way of reasoning has a unique quality.

Babbie and Mouton (2001:49) indicate that three broad methodological paradigms, quantitative, qualitative and participatory action paradigms, have dominated the scene of social science (World 2) in recent research. The "emphasis on the integrated, meaningful and contextual nature of social phenomena" forms the basis for qualitative researchers to develop new methods and strategies of analysis, interpreting and understanding World 2 (Babbie & Mouton, 2001:53; Mouton, 1996:168).

6.3.2   Qualitative Research

Mertens (1998:159) argues that qualitative methods are used in research "... that is designed to provide an in-depth description of a specific program practice or setting".

Denzin & Lincoln (1994:2) provides a generic definition of a qualitative study indicating: "Qualitative research is multi-method in focus, involving an interpretive ... approach to its subject matter. This means that qualitative researchers study things in their natural settings, attempting to make sense of, or interpret, phenomena in terms of the meanings people bring to them. Qualitative research involves the studied use and collection of a variety of empirical materials".

Qualitative researchers therefore, are involved in collecting qualitative data using the social 'actors' point of view as well as viewing the social world as processual rather than static (Blaikie, 2000:251-252). According to Schwandt (2001: xxxi) social inquiry (that includes qualitative inquiry) " is less a science ... and more a kind of practical philosophy" which brings about the notion that qualitative inquiry is a contested site of multiple practices trying to make sense of specific situations. He cites Godamer (Schwandt, 2001:xxxi) who argues that this way of understanding is always a risk, but it is capable to contribute in a very special way to the "broadening of our human experiences, our self-knowledge, and our horizon". This however, according to Yin (cited by Maxwell, 1998:70), does not mean that qualitative research lacks design, in fact "...every type of empirical research has an implicit, if not explicit research design". Qualitative research thus requires a broader and less restrictive concept of design "than the traditional quantitative designs" (Maxwell,1998:70). Crotty (1998:14) indicates that the distinction between qualitative research and quantitative research "occurs at the level of methods (of data collection and it) does not occur at the level of epistemology or theoretical perspective". Qualitative research is the methodological paradigm or approach that brings the understanding of the researcher from the meta theory (World 3) to the world of actual social inquiry (World 2) (Babbie & Mouton, 2001:48). The qualitative researcher "always attempts to study human action from the insiders perspective (and) the goal of (the) research is defined as describing the understanding ... rather than explanation and prediction of human behaviour" (Babbie & Mouton, 2001:49).

The philosophical understanding of the research design of this study places it in the paradigm of phenomenologism which maintains "... that any effort to understand human behaviour must take into account that humans are cognitive beings who actively perceive

and make sense of the world around them, have the capacity to abstract from their experience, ascribe meaning to their behavior and the world around them, and are affected by those meanings" (Palys, 1997:16; Crotty, 1998:80; Lancy, 1993:9). Phenomenological research therefore, " emphasizes the individuals subjective experience" and it seeks the individual's perceptions and meanings of an experience (Tesch, cited by Mertens, 1990:169; Mertens, 1990:169). These perceptions are real "because they are real in their consequences" and they do define our reality (Palys, 1997:17). Perceptual knowledge includes most of what we know. The individual leader in higher education institutions (Van der Westhuizen, 1998:136-138) has derived perceptual knowledge from his/her experience working in higher education institutions. The facts we come to know by perceptual means are pieces of knowledge that depend on our coming to know something else, indicating that learning was required to know in this specific way. One is not born with the ability to recognize leadership, culture or quality for example, it is only after long experience that one is able to express the understanding and the 'visibility' of such things. However, the perceptual understanding of experts is too dependent on the skills developed through experience of system phenomenon. Dretzke (1992:336) argues that perceptual knowledge about physical surroundings for the representationalist, "is always theory-loaded and indirect … (indicating) that there is some regular, some uniform, correlation between the way things appear (known in a perceptual direct way) and the way things actually are (known in a perceptual indirect way)" (Dretzke, 1992:333-338).

The primary goal of qualitative research, that of understanding and describing human behaviour (an interpretive framework), suggests that qualitative refers to a "... broad methodological approach to the study of social action". This term is used to refer to a collection of qualitative methods and techniques to gain access to research subjects, data collection and methods of analysis (Babbie & Mouton, 2001:270), and therefore, focuses on interpretation rather than quantification, an emphasis on subjectivity rather than objectivity, flexibility in the process of research orientation towards process rather than outcome and is also very much concerned with context (Cassell &Symon, 1994:7).

6.4   RESEARCH DESIGN: A QUALITATIVE APPROACH

The research design for this study rests on two pillars:

- Non-empirical studies (World 2), and
- Empirical studies (World 1).

6.4.1   Non-empirical studies (World 2)

The development of a model for academic leadership was conceptualised from the literature reviewed on higher education transformation, leadership and learning organisations (Van der Westhuizen, 1998). The sub-units of the model form the criteria for the unit analysis. Therefore, the researcher has to analyse the model as well as founding it, not only on the original conceptual understanding and literature review, but also on a new and a wider and a more detailed literature review of higher education transformation and organisational theory. The conceptual analysis of the model brings with it grounding and new understanding, in the philosophical and theoretical understanding of the individual (agent) and structure, as well as literature underpinning this knowledge as indicated in chapters five and six.

6.4.2   Empirical studies (World 1)

The empirical study is based on the use of *primary data* (process evaluation) and the analysis of existing data in the form of *text data* (interview, questionnaire, apperception projection, self-reports and content analysis) (Babbie & Mouton, 2001:78; Palys, 1997:181).

The scope and dimensions of the Academic 'Process Leadership' Super structure (Van der Westhuizen, 1998:161) (Diagram 5.1) and the fact that the researcher finds herself drawing on a number of fields provided a problem in the conceptualisation of the empirical study. This posed a dilemma for the researcher as not one of the known methods of research answered to the problem being researched.

In the conceptual (proposal) stage of the study the researcher consulted the expert knowledge of Prof. Johann Mouton (Mouton, 1999) in the realisation that there was no 'fit for purpose' structure. The conclusion was arrived at that a process analysis or evaluation seemed to be the most logical answer. However, process evaluation is only one of four types of evaluation studies in programme evaluation (Babbie & Mouton, 2001:340) and the analysis of the Academic 'Process Leadership' Super structure and the use of it as criteria for evaluation do not fit the dimensions of program evaluation. Babbie and Mouton (2001:269-330;334-364) however, make a distinct differentiation between programme evaluation and qualitative research indicating that evaluation research has become an area of specialisation within the broader terrain of applied social science and that the growth of evaluation research reflects the desire of social scientists to make an actual difference in the world (Babbie & Mouton, 2001:334-335).

The researcher made the decision to use the concept of process evaluation, but to implement qualitative design methods. The logical understanding of the decision to use this concept and methods lies distinctively in the model and the analysis of the model as discussed in chapter five, and the theoretical/philosophical understanding of the work of Giddens (cf. 6.2.4).

The scope and dimension of the model (Diagram 6.1) (cf. Diagram 5.7) indicates that the leadership development process under discussion is as a result of the impact of turbulence and metamorphoses (Bohm, 1980:159-161) (cf. 6.2.2) in higher education, as well as the implementation of change 'strategies', which have an impact on the culture of leadership, learning, and leadership development towards a learning organisation. The concept of a learning organisation – as well as the model – deals both with an "ideal" state and the subjective understanding (perception) and conceptualising of individuals (actor) within institutions (structure) (Giddens, 1984; cf. 6.2.4), and the objective gathering of the information by the researcher. The model therefore, provides the researcher with the following units of evaluation and analysis as indicated in Diagram 6.1 and Table 6.2.

The complexity as well as the scope of the model demands therefore, complex and in-depth units of evaluation and analysis. The dimension of the units of analysis indicates that process evaluation, as used in this research, is seen as a qualitative research design and not as part of programme evaluation.

6.5   THE RESEARCH METHODOLOGY AND PROCESS

The research methodology and process were influenced by the scope, as well as the dimensions of the model. The understanding of the challenges and influences for change in higher education and the restructuring of the institutions lie on a meta level of organisational change, and on the micro level of individual self-development and empowerment to bring about change towards learning organisations.

As indicated in previous chapters and discussed in detail, the study is about the process of leadership, and leadership development towards learning organisations in South African higher education institutions. The process involves higher education institutions, both universities and technikons and how these institutions deal with the demands and process of change. This includes the individual leaders on the three levels of top management, middle management and ground level representing the 'individual' leader and the appointed ('institutional') leaders (cf. Diagram 5.3). This form of level description is a representation of the present structures (traditional hierarchical levels) in higher educational institutions in South Africa, and is the only reason why the researcher makes use of 'management' labels in the data collection and discussions of results when in actual fact she is dealing with leadership.

6.5.1   The Process

Gibson (2001:324) cites Gollobin who suggests "... that a peak in intellectual development, related to but also propelling relations of production, is wisdom", which he argues is a profound understanding of the relations of people to each other and the Universe, that is the make-up of totality. "Wisdom is (therefore) understanding the whole, its relations to the composite parts, and humbling action – since knowledge is partial, but not so partial it is paralyzing".

3: LEARNING ORGANISATION PROFILE

4: EXCELLENCE PROCESS EVALUATION

2a and b: LEADERSHIP AND LEADERSHIP DEVELOPMENT

1: HIGHER EDUCATION TRANSFORMATION
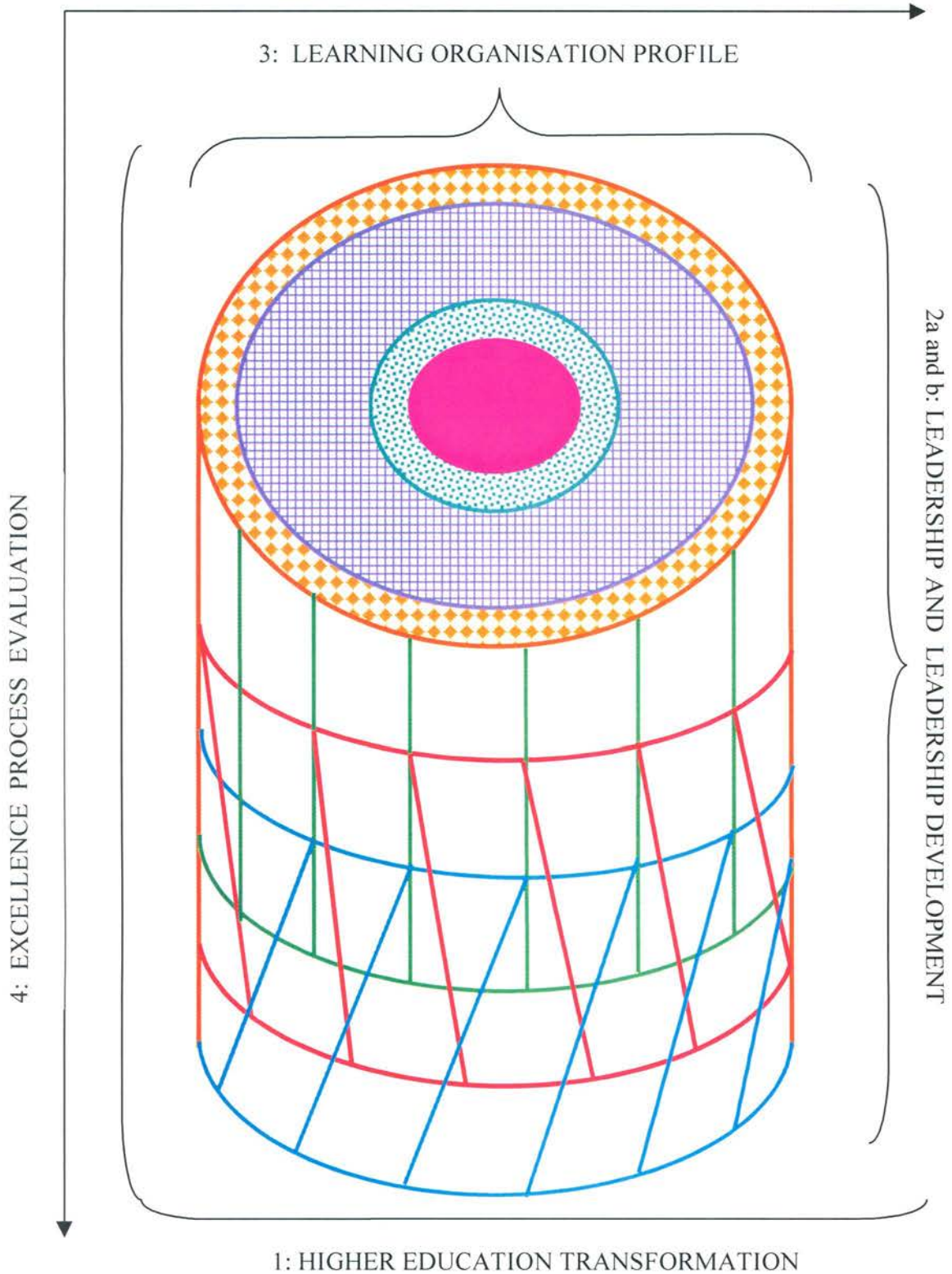
Diagram 6.1:　The scope and dimensions of the model (The Empowered institution) influencing the units of evaluation and analysis

Table 6.2   Process evaluation units of analysis

	UNIT OF EVALUATION	CRITERIA	UNIT OF ANALYSIS	METHODS OF GENERATING DATA
1	• Higher education environment	• Strategy for transformation	• Institution	• Document analysis
2a	• Leadership • Leadership development	• Dynamic Academic Leadership structure	• Individual	• Unstructured interview
2b	• Leadership/ Management understanding	• Conceptual imagery regarding leadership position in relation to leadership	• Individual	• Apperception projection
3	• Learning organisation	• 'Process Leadership' Super structure: Conceptual understanding regarding learning organisation profile	• Individual	• Questionnaire (Marquardt)
4	• Excellence in organisation/ institution	• 'Process Leadership' Super structure: Conceptual understanding regarding quality/excellence	• Individual	• Questionnaire (EFQM)

Babbie and Mouton (2001:288) deliberate that the idea of research is to have as many creative ways as possible to study our world. The methods can be applied separately or in combination with other methods to look into and find the answers to a specific research question. It is important to remember: "Things change. Matter moves. Our understanding can always be deepened, is always approximate, but at the same time we know enough to act perhaps humbly and with determination … (and realizing at the same time that) wisdom is not only what one grasps but also how one acts in regard to others" (Gibson, 2001:324)

The scope and dimensions of the Academic 'Process Leadership' Super structure and the Empowered Institution provided the researcher with a variety of creative options and methods to evaluate and analyse leadership and leadership development in higher education institutions and their relationship with, and understanding of institutions in the development towards learning organisations in the higher education arena in South Africa as represented by present structures of higher education institutions in South Africa.

i)   *Sampling process*

Babbie and Mouton (2001:166;288, Babbie, 2001:179) argues that sampling in the interpretive paradigm and where qualitative methods are used are "almost always by means of purposeful sampling" and directed at certain inclusive criteria rather than being random. This form of sampling allows the researcher to identify information-rich cases that will allow for in-depth studying. The principle of selection in purposive sampling "… is the researcher's judgment as to typicality or interest". A sample is therefore built up which "enables the researcher to satisfy the specific needs in a project" (Robson: 2002:265).

Purposive sampling is used in instances "where a small subset of a larger population in which many members of the subset are easily identified " is used, "but the enumeration of all of them would be nearly impossible" (Babbie, 2001:179). Maxwell (1998:87) states that purposeful sampling is a "strategy in which particular settings, persons or events are deliberately selected for the important information they can provide that cannot be gotten as well from other choices". Babbie (2001:179), and Babbie and Mouton (2001:166;288) argues that it is sometimes appropriate for the researcher to select his/her sample on the "basis of (his/her) own knowledge of the population, its elements, and the nature of (his/her) research aims: in short, based on (the researcher's) judgment and the purpose of the study". Patton (cited by Mertens, 1998:261;264) indicates however, that purposeful sampling tend to be relatively small because of the depth of the information that is sought from each site and/or individual. This strategy

allows for the random selection in a very small sample. However, the subjective nature of the selection process can add uncertainty when the sample is used to represent the population, and according to Henry (cited by Mertens, 1998:266) the accuracy and precision of statements about the population can therefore, only be determined by subjective judgment, which can indicate to bias in sampling.

The researcher used this "purposive sampling", a non-probability sampling method. She identified five institutions of higher education in her immediate working area that represented a sample of the different higher education institutions in South Africa (Universities and Technikons) as well as the historical past and the present situation in South Africa (i.e. including historical disadvantaged institutions - HDI; historical advantaged institutions - HAI; historical Afrikaans institutions – HA; and historical English institutions - HE) . The researcher identified four institutions (two universities and two technikons) but contacted six institutions (three universities and three technikons) in the hope that at least four would respond, however the following five institutions responded (one Technikon did not respond) and the researcher decided to include all five the institutions that responded in the sample. The institutions included in the sample were:

- The University of the Witwatersrand

- The University of Pretoria

- The Rand Afrikaans University

- Technikon North-West

- Technikon Pretoria

The researcher contacted the office(s) of the Vice-Chancellor(s) telephonically and supported her request with a letter, explaining the purpose of her research. She requested the institutions to make appointments with three individual academic staff members elected at random. These staff members (one person each) should represent one of the three levels of institutional leadership that represent the present structures of leadership in higher education institutions – top management, middle management and ground/operational level (lecturer, senior lecturer) (cf. Table 6.3).

Table 6.3   **A sample of individual leadership representing higher education institutions**

LEADERSHIP LEVEL	GENDER		RACE		QUALIFICATION LEVEL		TOTAL
	MALE	FEMALE	BLACK	WHITE	Ph D	No Ph D	N = 15
1. TOP MANAGEMENT	4	1	0	5	5	0	5
2. MIDDLE MANAGEMENT	2	3	1	4	4	1	5
3. GROUND LEVEL	1	4	1	4	3*	2*	5

*   Three of level 3 individuals where on Head of Department/Head of School level and one a programme organiser.

In the letter, the researcher also requested the institutions to provide her with a copy/copies of the (a) policy document(s), not the three year rolling plans, from each institution for the purpose of analysing the intent to change as indicated in the Minister of Education's National Plan (RSA MOE, 2001) for higher education institutions as discussed in chapter two, as well as identifying an institutional culture (a core aspect of the Academic 'Process Leadership' Super structure) as conveyed to the broader academic population of the specific institution.

ii)   Institutional visits

The appointment with each individual was structured to include:

- An unstructured in-depth interview on the individual's understanding and perception on leadership, as well as leadership development in his/her institution.
- An imagery representation on how the individual sees him/her as a leader in the leadership process in his/her institution.
- A questionnaire to analyse the individual's conceptual understanding/perception (a self-assessment) regarding his/her institution as a learning organisation.

- A questionnaire to analyse the conceptual understanding/perception (a self-assessment) regarding his/her institution's quality processes and the development towards excellence in the institution.

The units of analysis were therefore, the organisation (structure) and the self (the individual/actor/agent), assessing/evaluating the institutional culture towards leadership development and learning organisations:

- **The individual (self) as a leader (actor)** - as depicted in the model for Dynamic Academic Leadership (cf. Diagram 5.3), and his/her understanding firstly of the concept of leadership as well as leadership development in his/hers institution, secondly assessing/evaluating institutional excellence or development towards excellence in his/her institution, and thirdly as a learning organisation.
- **The organisation (structure) as a learning organisation** - the institutional intent and culture in addressing the challenges and forces for change as well as the individual's perception of the institution as a learning organisations and the development towards excellence.

6.6   INSTRUMENTATION

The researcher made use of four different forms of generating data:

- An interview.
- Projective techniques - Apperception imagery.
- The questionnaire.
- Document analysis.

6.6.1   The unstructured in-depth interview

Babbie and Mouton (2001:289) as well as Briggs (1986:1) indicate that the basic individual interview is one of the most frequently used methods of data collection within

the qualitative approach. "It is an open interview which allows the object of study (in this case the individual leader) to speak for him or herself rather than to provide … (the) respondent with a battery of … (the researcher's) hypothesis-based questions". It is a situation where the researcher has a general plan of inquiry, but not a specific set off questions to be asked. The in-depth method of interview is the enquiry into the social aspects of everyday life to make it possible to understand knowledge, experience, intentions and interpretations from the actor's perspective (Schwandt, 2001:163). Therefore, the purpose of the in-depth interview is to enquire in a flexible nature the understanding and the view of the individual regarding the research question (Oppenheim,1996:67; King, 1994:14-15). In this study the purpose is to enquire into, and to gain understanding of leadership and leadership development. The researcher can use probes to encourage the interviewee to expand on certain notions and ideas. These probes (such as: uh, uh hu, uhm) are generally short and as neutral as possible (Cilliers, 2001; Levy, 2000:119). The in-depth interview is therefore a process of the construction of meaning and in this research it will be the individual's understanding of leadership.

In a qualitative interview "the interviewer has a general plan of inquiry but not a specific set of questions that must be asked in particular words and in particular order" (Babbie & Mouton, 2001:289). The researcher posed the following aspects to the participants expecting of them their personal viewpoint and not that of the institution. The researcher posed the initial probes in the form of statements and questions (Appendix A). This enabled her to evaluate the participants understanding of leadership and their perception of leadership and leadership development in their institutions. The initial probes in the form of statements and questions were the following:

- In your opinion – what is leadership?
- Explain the work of a leader.
- What do **you** do as a leader (roles and skills)?
- Why do you see yourself as a leader?
- Explain leadership development in your institution.

She gave the participants the opportunity to explore and exhaust each aspect without interrupting them. If information was very limited the researcher probed certain responses with the sole idea of gaining more information and understanding regarding a specific concept, and therefore not mentioning any of the criterion parts in the probe. The researcher used the dimensions of the three different leadership sub-structures (cf. Table 5.1; Table 7.1) as the criteria for the evaluation and analysis of the unstructured in-depth interview. However, she kept in mind the understanding that qualitative research emphasises process rather than outcome and that the primary aim is "thick" descriptions and understanding of social action in a specific institutional context (Babbie & Mouton, 2001:309; Seale, 1999:107). The results are depicted and discussed in chapter 7 (cf. 7.2.1 and Figures 7.1.1 to 7.1.8).

The objective of the unstructured in-depth interview as a measuring instrument, is to asses the individuals understanding of:

- Leadership - what it is/an explanation.
- The work of a leader.
- The roles and skills of a leader.
- The 'self' as a leader.
- Leadership development in institutions.

The interview was recorded on tape and then transcribed into text. The three substructures, defining the roles and skills of leadership and as indicated in the previous paragraph, were used as criteria and as coding devices to analyse the information received during the in-depth interview(s). A sentence or paragraph dealing with a specific criterion was indicated on the visual representation(s) as depicted in chapter 7. The nature of the research is such, that the information cannot be quantified and therefore relies on a qualitative discussion. The information provided by the interviewee(s) might be personal, sensitive and identifiable (due to the small sample of institutions and participants), therefore, the interviewee must be assured of the confidentiality (and if possible anonymity) of the provided and transcribed information. This approach should ensure an honest and personal perspective and understanding of

leadership and leadership development as experienced by the interviewee in his/her institution.

6.6.2   Conceptual imagery (Apperception projection)

Conceptual imagery is a projective technique based on the original work of Murray and his colleagues with the Thematic Apperception Test (Hjelle & Ziegler, 1985:179-183; Maddi, 1996:321, and 1989:441), as a method of exploring unconscious thought, deeper meaning and conceptualization (Oppenheim, 1996:210-213). One of the areas of application is motivational research. For Murray (differing from Freud) projective testing is dealing with imaginative projection and it expresses thoughts and feelings that one has in relation to a specific situation.   In the case of this research the concept of understanding will be leadership and the institutional environment with reference to the context in which the data collection will take place. This form of measurement/ evaluation does not provide any right or wrong answers. The idea is to establish, in a totally unstructured way the individual's innermost feelings on his/her understanding of leadership. Bortoft (1996:290;291) indicates that the greatest difficulty in understanding comes from the long established habit of seeing things in isolation. When we see things in their context the intrinsic connections are revealed and understanding is experienced. What should be remembered is that explaining (information provided during the interview) is not the same as understanding, it lies in an opposite direction to understanding. Understanding provides a 'wholistic' view of the context, while the explanation provides a more analytical view. During the interview the individual discusses and gives an impression of leadership, which might be an ideal situation. The projection is an attempt to find how the individual experiences reality in relation to the organisation and whether it relates and/or corresponds with the information provided during the interview. The use of this technique is to deal with the understanding of leadership and leadership development vs. management in a peripheral way and not as a core personality analysis, the technique's normal use (cf. Table 5.2; 5.3.2 - *v*)

The researcher provided the individual with a clean sheet of paper and a pencil at the end (saturation point) of the interview (6.6.1), with the instruction that the individual must

indicate where or how he/her sees him/herself as a leader in the organisation/institution. The idea is to allow the individual to use any method of projection to "show" the self as a leader in the context of the institution (Levy, 2000:125; Cilliers, 2001). Oppenheim (1996:213;216) however, indicates that when a researcher deals with projective material, he/she is inevitably involved in interpretation of the responses. The possibility of bias is always present as the researcher/interviewer could impose values of his/her own. To avoid this form of bias the researcher therefore, recorded the explanations as a method to help with the interpretations of the perceptual world of the interviewee.(Appendix B).

6.6.3   The questionnaire

A questionnaire is not some sort of official form or a set of questions casually jotted down, but an important instrument of research and data collection (Oppenheim, 1996:100). The researcher used the questionnaire as a self-administered and a self-assessment instrument to evaluate the individual's perception of his/her institution as a learning organisation and the process towards excellence. The normal use of a questionnaire is to quantify participant responses. However, in this research the research results emanating from the questionnaires will be depicted in a visual format for the purpose of allowing a qualitative discussion regarding perceptions, understanding and trends of the specific institutions.

The two instruments used were the:

- "Learning Organisations profile" developed by Prof. Michael Marquardt (Marquardt 1996:222-226).
- "Method for improving the quality of higher education based on the EFQM (European Foundation for Quality Management) model" (EFQM, 1998:1-51).

i)   *The Learning Organisation profile*

The Learning Organisation Profile (Appendix C) has been developed by Marquardt (1996:222-226) and is based on his Systems Learning Organisations model (Marquardt, 1996:20-21) consisting of five subsystems:

- The Learning subsystems (core subsystems).
- The Organisations subsystems.
- The People subsystems.
- The Knowledge subsystems.
- The Technology subsystem.

Marquardt is a Professor at George Washington University, which is the home of the Academy for applied Research in Organisational Learning. As president of the Global Learning Associates (1996), a group which assists companies throughout the world on their journey towards becoming learning organisations, he was involved (over a period of eight years) with "over 50 of the top learning organisations from all around the world, as well as (his) analysis of the hundreds of articles and books on learning organisations" (Marquardt, 1996:xviii). This experience led him to develop the five sub-systems of the learning organisation, as well as the learning organisation profile. The learning organisation profile was developed to help the individual to assess at what stage the organisation is currently at, what its strengths are and where the needs are the greatest (Marquardt, 1996). This method however, has been developed for organisations and not for higher education institutions. Due to the lack of information regarding higher education institutions as learning organisations, as well as the non-existence of measuring instruments, this method was preferred because of Marquardt's extensive experience in the field. The researcher therefore implemented this method to assess the learning organisation profile of the sample of higher education institutions in the study. The method was used as one of multiple methods in this research to evaluate transformation of higher education institutions towards learning organisations.

The researcher used the criteria of Marquardt (the five sub-systems) in the conceptual understanding and analysis process of developing an academic leadership model towards becoming a learning organisation (Van der Westhuizen, 1998:85-115). The five subsystems as indicated by Marquardt forms part of and are imbedded in the Academic 'Process Leadership' Super structure and therefore the Empowered Institution (Diagram 5.3 and 5.7).

The questionnaire (evaluation form), as developed by Marquardt is therefore used to evaluate the perception of the individual on the profile of his/her institution. The questionnaire has five subsections dealing with the five subsystems of a learning organisation. The measurement of the questionnaire is based on a scale. Babbie (1992:166;167) indicates that a scale is constructed through the assignment of scores to patterns of attributes. Thus, a scale takes advantage of any intensity structure that may exist among attributes "and is a typical ordinal measurement of variables". The scale is a typical quantitative technique where the scores are quantified. The scale used by Marquardt ranks variables (from applies totally - applies little or to no extent) on a scale from 1 to 4. Although the results are quantified the scores are used to indicate strengths and weaknesses of these institutions towards becoming learning organisations that will allow the researcher to embark on a qualitative discussion.

ii)   The EFQM model

A learning organisation is a metaphor for continuous learning, individual and institutional development and change, as well as a process and drive towards quality and excellence. The researcher used the principles of the EFQM model in the original development of the Academic Leadership model (Diagram 5.3), but more specifically   in the sub-structure of Administrative leadership and management processes (cf. Table 5.1; 5.3.2 - *v*) (Van der Westhuizen, 1998:148-155). The method for the improvement of Quality of Higher Education as described in the EFQM model consists of the following criteria:

- Leadership (1).
- Policy and strategy (2).

- People Management (3).

- Resources (4).

- Management of processes (5).

- Customer Satisfaction: Students (6a).

- Customer Satisfaction: Professional field (6b).

- People satisfaction (7).

- Impact on society (8).

- Business Results (9).

The criteria are subdivided into several criteria parts, providing a system where organisations can be assessed on each of these parts regarding the stage in which the organisation currently finds itself (EFQM, 1998:2). The EFQM model (Appendix D) is based on the work of Deming and Baldridge however, this model focuses on education (EFQM. 1998:14;52, Cornesky, 1992). The model promotes the principle of continuous improvement in every criterion and every stage, a principle that has been translated by Deming indicating that an organisation (including individuals and teams in the organisation) should **Plan**, **Do**, **Check** and **Act** over and over again. This process will allow institutions to achieve a further stage of development towards quality and excellence. This process concurs with Marquardt's viewpoint on learning in learning organisations (Marquardt, 1996:36), and the concept of action learning as included in the Dynamic Academic Leadership structure (Van der Westhuizen, 1998:96;139-141;160, cf. 5.3.2 - *iv* − *b*) and the Academic 'Process Leadership' Super structure (Van der Westhuizen, 1998:161, cf. 5.3). The model has been chosen because it is extremely manageable and assessable, and more complete than other models. The "international acceptance of the model (will as such,) enables international benchmarking" of higher education institutions (EFQM, 1998:3).

In the explanation for the development of the method for improving the quality of higher education (based on the EFQM model), Houwen, Kortweg, Rietvlei and Verbraak, chairmen of the Board of Governors of the Hanzehogeschool - Hogeschool van Groningen; Hogeschool van Amsterdam; Hogeschool Holland and Fontys Hogescholen,

indicate that to guarantee quality in education has been an important aspect over a period of time. They state that higher education institutions must "satisfy the expectations and established norms", and where necessary, implement improvement to attune policy throughout all levels of the institution for the purpose of generating cyclic working methods towards quality and excellence (EFQM, 1996:i).

Experts in the field of quality management from several 'Universities of Higher Professional Education' (Hogescholen) and organisations came together and this expert group developed a first version of the "Method for the Improvement of the Quality of Higher Education" in accordance and on the basis of the EFQM model. The expert group ran a joint pilot project with the first version of the model from October 1995 onwards. This was done at the Hogeschool van Amsterdam, the Fontys Hogescholen, the Hogeschool Holland and the Hanzehogeschool - Hogeschool van Groningen. It enabled the group to build expertise as well as to develop the second version of the model. The experience gained by these institutions and the expert group, are available to other higher education institutions if they should wish to make use of this procedures (EFQM, 1998:7).

This model allows staff members to assess in which stage their organisation/institution is situated with regard to the various aspects of the basic areas of concern and this method can be used to make a self-diagnosis (self-assessment) and to formulate points for improvement and is very applicable at various levels of the organisation/institution (EFQM,1998:i).

The basic model illustrates that Leadership gives content and guidance to policy and strategy, people management and resources management. The impact on society is achieved through Leadership driving, Policy and Strategy, People Management and Resources and Processes, a process that leads ultimately to excellence. This model brings a broad scope to the idea of quality and calls attention to the transformative and development aspects of excellence (and quality) (Erickson, 1996:1). Rowley et al (1998:64) indicate "(S)mart change builds on quality".

This brings the researcher to the debate of what is quality? Van Vught (1996:187) quotes Pirsig stating:

> "Quality ... you know what it is, yet you don't know what it is. But that is self-contradictory. But some things are better than others, that is, may have more quality. But when you try to say what quality is, apart from the things that have it, it all goes poof! There's nothing to talk about. But if you can't say what Quality is, how do you know what it is, or how do you know that it even exists.

Harvey and Green (cited by Van Vught, 1996:187) distinguished five broad categories of definitions of quality, indicating:

- Quality as exception ('excellence').
- Quality as perfection or consistency (zero errors).
- Quality as fitness for/of purpose (mission orientation, consumer orientation).
- Quality as value for money.
- Quality as transformation.

Van Vught argues that such a broad (multi dimensional) spectrum of views and understanding leads to the realization that, in higher education, many stakeholders play a role and each of them can choose their own definition of quality, but as a general term Van Vught uses "evaluation" or "review of quality" (Van Vught, 1996:189; Van Vught, 1994:37).

The evaluation process of the EFQM model was designed as two procedures of which the first is self-assessment and consensus. The individual staff member makes an assessment to establish, with reference to all criteria and criterion parts, the stage in which the organisation is currently situated. Consensus is reached on an overview of the individual scores. Procedure two consist of self-assessment, consensus and an audit, of which the first two steps are exactly the same as for procedure one and the last two steps deals with external audits (EFQM, 1998:7). The researcher uses the EFQM model as a self-assessment instrument to evaluate the individual's conceptual understanding

(perception) to establish the stage/level of excellence of the institution by the three individuals representing three different levels on the institutional leadership structure.

The EFQM model is structured in such a way that it provides the individual or the group with a value judgment structured in five stages, where each stage implies the attainment of the previous stage. The stages consists of the following aspects:

- **Stage 1: Activity-oriented**
  - ° Educational activities are the central issue; much emphasis is placed upon the rectification of problems once they have occurred.
  - ° The policy is short-term and ad hoc. Quality management is strongly geared towards the level of the individual product (lessons, modules, components of the educational programme) and is dependent on the individual professional. Lessons are evaluated occasionally.
  - ° The working method and culture are strongly informal. The general support for policy depends on the motivation and involvement of the individual.
  - ° There are few/no procedures and directives. Most agreements are not recorded.

- **Stage 2: Process-oriented**
  - ° The primary process (education) and the management of the process form the central issue; improvements are implemented in problem areas on the basis of measurements and knowledge of the processes. The organisation/institution could be ISO-9000 certified.
  - ° A 'policy cycle' begins to arise at educational level or at unit level. Quality management is geared to an increasing degree towards the work processes.
  - ° The responsibility for the policy no longer lies with the individual alone but is tending to become the responsibility of the educational team or department. The interdependence of colleagues increases.
  - ° There are more unequivocal directives and procedures at product level. Unambiguity and clarity in procedures increase. Recording and documenting take place.

- **Stage 3: System-oriented**
  - ° The total organisation/institution is controlled, including the supporting departments; the management of all processes is governed by internal and external customer orientation; the goal is to pre-empt problems and complaints.

  - ° There is a formulated agreed quality policy, but one which is in the initial stages of implementation. There are forms of systematic evaluation of products, services and entire work processes. A start is being made on the formulation and the introduction of achievement indicators in the quality management.

  - ° The exchange of knowledge and expertise takes place, the lowest level of this exchange being that of the unit/department. The requested and spontaneous involvement of staff and students increases conspicuously (people are stimulated to do so and are also listened to). The management provides guidance on the basis of the strength of the arguments.

  - ° Actions are carried out in line with the directives and procedures (convincing evidence)

- **Stage 4: Chain-oriented**
  - ° Maximum use is made of the knowledge and capacities of the organisation/institution in relation to suppliers, customers, interested parties, commissioning agents etc. in order to satisfy the customer/target group; in conjunction with these, the most effective distribution of tasks is worked out and win-win situations are pursued and realised.

  - ° The organisation/institution continuously anticipates the desires and requirements of the customer and visibly provides an added value to the solution of problems or the improvement of the customer's situation

  - ° The process of rendering services is appraised and the data are analysed with the aim of improving the quality. There is an operational, concretely elaborated quality system, which leads to continuous improvements and in which the customer is intensively involved in all the relevant stages.

  - ° Knowledge and experience are exchanged on an organisation/institution-wide level by persons within the organisation/institution and with people engaged in

that professional field and with competitors. The involvement of the professional field increases visibly.

° Procedures and directives are formulated on an organisation/institution-wide basis in conjunction with the professional fields; actions are carried out in conformity with procedures and directives. Where necessary, the procedures and directives are improved.

- **Stage 5: Total Quality Management (Continuous Quality Improvement, Marchese, 2000:324)**

° The vision and policy of the organisation/institution are formulated with the intent of declaring responsibility to society; the total quality process is anchored both internally and externally.

° The organisation/institution aspires to linking up with, and making a contribution to, continuous innovation in the professional field. Measures based on internal and external judgments are demonstrable and enjoy broad support from the staff, the students and the professional field.

° Throughout the whole organisation/institution, actions are carried out in accordance with procedures and directives, The professional field is involved in the drafting of procedures, and these are adjusted where necessary. In this, the documentation and the regulations are included.

° External developments should be regarded as a guideline for policy generation and quality improvement; one anticipates developments, also those referring to customers. Scenarios for the future and trend analyses help to determine the policy. Positive results are realised on achievement indicators and a positive trend develops with the passage of time (EFQM, 1998:4-6).

This indicates that the measurement of the questionnaire is based on an index where, according to Babbie (1992:166-167), "an index is constructed through the simple accumulation of scores assigned to individual attributes". The index is also a typical ordinal measurement of variables and rank order units of analysis in terms of specific variables. Although this is quantitative measuring technique it is used to indicate towards levels of performance and attainment. It provides a value judgment to enable the

researcher to discuss the trends and stages provided by the data gathered. In the case of this model the different stages (stages 1-5) are assigned a rank order from 1 to 5 indicating that actions will fall in only one of five "ideal" action patterns (Babbie & Mouton, 2001:137-139), where these five "ideal" action patterns provide the value judgment of the participants regarding their institution.

6.6.4   Content analysis

Robson (2002:349;352) indicates that content analysis is a common qualitative approach linked with documentary analysis to analyse what is in a document. This is an indirect technique and an unobtrusive measure, therefore the document(s) will not be affected by their use. Content analysis could be used as a secondary or supplementary method in a multi-method study.

Content analysis, as used in this study, is more in line with the concept of case studies in a very broad sense as with the use of analysis of 'personal'/institutional documents. The analysis of institutional policy documents of the specific institutions is used to evaluate and asses the development of an institutional culture in relation to the change process and learning organisations, as well as the demands from the national government as indicated in chapter two. Masland (1997:146) indicates that cultural manifestation can be seen in organisational/institutional history as well as in current actions and the details of daily life. To uncover the manifestations of organisational/institutional culture involves looking for the specific influence of culture at work and to deduce from that evidence something about the culture itself. The analysis of documentation regarding the environment of a sample of South African higher education institutions, brings this evaluation method in line with studies of organisations and institutions, a type of case study as indicated by Babbie and Mouton (2001:281). The analysis of the policy documents of each institution is therefore, to evaluate the process of change and the leadership culture with the national higher education scene as framework. This process includes the assessment of the availability of institutional information to the individual at each institution, as well as the importance of contextual detail and in-depth description of information.

6.7 ADMINISTRATION OF THE MEASURING INSTRUMENTS

In the adminitering of the measuring instruments the researcher used the following steps:

- The conducting of the in-depth interview and the completion of the questionnaires took place after the appointments with the three participants representing the levels of leadership were confirmed with the office of the rector or vice-rector academic of the specific institution.

- The interview process took place at a venue convenient for each interviewee.

- The researcher briefly explained the purpose of the research as well as the purpose of the process, and in addition thanked the interviewee for his/her time and explained that the time limit for the process were approximately one and a half hour (this time schedule includes: conducting the interview and the completion of the questionnaires). The researcher also indicated to the participant that if the time allocation were insufficient, she would return after all the interviews at the specific institution took place to pick up the completed questionnaires.

- At the start of the interview the researcher obtained permission for the use of the tape recorder and the notebook from the interviewee. The researcher also assured the participant that all the information discussed and provided would be kept absolutely confidential and that the responses will remain anonymous.

- The interviewer used the list of initial probes (cf. 6.6.1) to explore the information provided and to encourage the interviewee to elaborate the aspects that were under discussion.

- After the researcher felt that she has reached a saturation point regarding the information provided, she presented the participant with a clean sheet of paper and a pencil and asked him/her to indicate him/her as a leader in his/her institution. The explanation/discussion of the presentation was recorded.

- After the completion of the interview process, the researcher explained the legends of the two questionnaires. She requested the participant to complete the two questionnaires in the time that was still available. If the participant found it difficult to complete the questionnaires during the allocated timeframe, the researcher allowed the participant to continue with the tasks while she moved on to the next interview.

The researcher arranged to pick up the questionnaires after the completion of all the interviews at the specific institution.

- When it became clear that the participant has completed all the tasks, the researcher concluded by thanking the participant for his/her time.

These steps helped the researcher to use the very same structure for every interview.

6.8 RELIABILITY AND VALIDITY

Babbie (2001:145, 1992:134) argues that very often when a researcher needs to specify reliable operational definitions and measurements, it seems to "rob concepts of their richness of meaning". He indicates that if the concepts one wants to study have many subtle nuances, one must be prepared to deal with it. "If there's no clear agreement on how to measure a concept, measure it several different ways", and "if the concept has several dimensions, measure them all". This implies that the researcher should measure concepts in "…ways that help us understand the world around us".

The aim of this study lies within the heart of qualitative research, that of providing an "understanding of the meaning which one or two (a few) people attribute to a certain event". (Babbie & Mouton, 2001:274). However, "social life contains elements which are generalizeble across settings and other elements that are particular to a given setting" (Bloor, cited by Robson, 2002:168). Robson (2002:170) and Mertens (1998:180-185) both cite Guba and Lincoln who indicate that they prefer the terms: transferability, credibility, dependability and confirmability instead of generalizability, reliability and validity.

To enhance the validity and reliability and to identify credibility in the qualitative paradigm, the researcher should demonstrate the use of multiple strategies in his/her research (Mertens, 1998:181). Robson (2002:371-373) argues that multiple methods can be used in complementary fashion to enhance interpretability. In the study the multiple qualitative methods are enhanced by certain quantitative aspects of the questionnaires, which assisted in the interpretation and representation of the information. As no

information is available on the reliability and validity of the measuring instruments (in-depth interview, conceptual imagery and the two questionnaires) the researcher concentrated on the concept of triangulation to identify the validity and reliability of the research. Maxwell (1998:93) states that triangulation "reduces the risk of systematic distortions inherent in the use of only one method".

6.8.1   Triangulation

The notion of using multiple methods to generate and analyze different kinds of data in the same study has received considerable attention in the field of social and educational program evaluation (Schwandt, 2001:164).Triangulation, as defined by Denzin (cited by Babbie and Mouton, 2001:461) and indicated by Fraenkel and Wallen (1996:461) is the use of multiple methods or multiple operationisms (Robson, 2002:174; Campbell & Fiske, cited by Mouton, 1996:156; Denzin, 1985:5293), or the using of a variety of instruments to connect data - information - about different clients and relationships, from different points of view in a single study. "The underlying assumption is that, because various methods complement each other, there respective shortcomings can be balanced out" and one can therefore "triangulate according to paradigm, methodologies, methods, researchers" and other aspects (Mouton, 1996:156). Denzin (cited by Robson, 2002:174) distinguishes between four types of triangulation and give one of the most comprehensive explanations of triangulation. The four types of triangulation are:

- Data triangulation - the use of more than one method of data collection.
- Observer triangulation - using more than one observer in the study.
- Methodological triangulation - combining quantitative and qualitative approaches.
- Theory triangulation - using multiple theories or perspectives.

Triangulation is considered as one of the best ways to enhance validity and reliability in qualitative research. Thus, as triangulation involves the use of multiple data sources, multiple investigations, multiple theoretical perspectives, or all of these, it is therefore a means of checking the integrity of the inferences one draws. This implies that the central point of the procedure is to examine a conclusion from more than one vantage point.

However, the researcher should not adopt a naively optimistic view that the aggregation of data from different sources will unproblematically add up to a more complete picture. The researcher should take into consideration that differences between sets or types of data may be just as important and illuminating (Hammersley &Atkinson, cited by Schwandt, 2001:257)

In this study the researcher made use of multiple and complementary paradigms, methodologies, methods and measuring instruments to comply with the complexity of the fields of study as well as the scope and dimensions of the Academic 'Process Leadership' Super structure. She provided a theoretical and conceptual framework to justify the use of the individual (actor) as well as the organisation (structure) in the study. The analysis of the Academic 'Process Leadership' Super structure enabled the researcher to develop and extend the model. It also provided the researcher with the units of evaluation and analysis (cf. Table 6.2, Diagram 6.1) that influenced the methods and measuring instruments.

6.8.2   Quasi-statistics

Maxwell (1998:94) states that many of the conclusions of qualitative studies have an implicit quantitative component and requires some quantitative support. He deliberates that these "quasi-statistics" allows the researcher to test and support claims that are inherently quantitative. The two questionnaires, the Learning organisation profile with its measurement based on a scale and the EFQM model with its measurement based on an index, are examples of implicit quantitative components within a qualitative study. The data generated from these measuring instruments and its graphical display, function as a starting point to conduct discussions to present qualitative results.

6.8.3   Generalization in qualitative research

The researcher used a small number of individuals (actor) and sites (structure) in the purposive sampling of the study. Maxwell (1998:98) argues that the value of a qualitative study may not be generalizeble in the sense of being representative of a larger

population, however it may provide an "account of a setting or population that is illuminating". The generalizability of a qualitative study is therefore not based on the explicit sampling of a defined population to whom the results can be extended, but on the development of a theory that can be extended to another case. However, the "similarity of dynamics and constraints to other situations" and the "presumed depth or universality of the phenomena studied" can lend credibility to the generalizability or transferability of the study (Maxwell, 1998:95;96).

6.8.4   The problem of bias

Both qualitative and quantitative researchers have traditionally expressed concern for avoidance of bias (Robson, 2002:287). According to Maxwell (1998:92) "(b)ias refers to ways in which data collection or analysis are distorted by the researcher's theory, values, or preconceptions". He indicates that it is important for the researcher to understand "**how** he/she is influencing what the inferences says, and how this affects the validity of the inferences the researcher can draw from (e.g. the) interview".

i)   *The selection of participants*

In the letter to institutions to arrange for institutional visits the researcher requested the academic institutional leaders (vice chancellor or vice rector academic) to arrange a time for an interview/meeting with him/her (Top management level) as well as interviews/ meetings with one person each representing middle management (dean or head of department/school) and 'ground' level (lecturer or senior lecturer). The purpose of this arrangement, leaving the selection to the institution, was to avoid having interviews with academia well known to the researcher. However, as the arrangements for the interviews/meetings crystalised, seven of the fifteen participants were people well known (some over a long period of time) to the researcher. The names of the participants were only given to the researcher just before/a short while before the first interview/meeting. This could be seen as a limitation to the study, however only one of these participants was fairly well informed regarding the work and research of the researcher. The information requested from the participants was also of such a nature that any form of

bias could not have played a role. Although most of the institutions were in the end fairly willing to assist with their time it was difficult to arrange the interviews/meetings and hard negotiating was necessary to find agreement regarding the time allocation, therefore to have tried to make other arrangements with other participants would have been almost impossible.

In the purposive sample a small number of institutions and participants were selected. The subjective nature of the selection process and the small sample can influence the accuracy and precision of statements. This subjective judgment in the analyses of the data can indicate towards bias in the sampling process and could be seen as a limitation to the study.

ii)   *Interview and interviewee bias*

The researcher used the in-depth interview to evaluate the participants' perception of leadership and leadership development. The three sub-structures of leadership defining the roles and skills of leadership were used as criteria for analyses. The involvement of the researcher in the development of the model necessitated that the researcher used non-committal probes during the interview. The use of these probes was therefore, not to influence the participant(s) towards any information that could be connected with the model. The in-depth interview provided the researcher with the opportunity to analyse the conceptual understanding of the participant(s) regarding leadership and leadership development.

iii)   *Self-report bias*

Interviews, questionnaires and document analyses may all be vulnerable to self-report bias or ideological distortion (Maxwell, 1998:93-94). The researcher made use of all three of these data generating methods. This could be seen as a limitation to the study on the one hand and a positive aspect on the other. The use of multiple strategies or multiple operationisms in the study can be linked to triangulation, which is considered as one of the best ways to enhance the validity and reliability in qualitative research (cf. 6.8.1).

The Apperception projection allowed the researcher to use projective images. In using this process the researcher inevitably becomes involved in the interpretation of the responses. The possibility of bias is always present in this process. The researcher could impose of her own values in the interpretation. The researcher however, recorded the responses of the participants for the purpose of avoiding this form of bias.

6.8.5   Anonymity and confidentiality

Babbie and Mouton (2001:523) defines anonymity as a situation where "the researcher cannot identify a given response with a given respondent. This means an interview … respondent can never be considered anonymous, since an interviewer collects the information from an identifiable respondent". They indicate that, "confidentiality is a situation where the researcher can identify a given person's responses but essentially promise not to do so publicly".

The research methods included, as units of analysis, identified institutions of higher education and three individuals from each institution. Although the institutions were identified in the initial discussion the results were coded for confidentiality.

The in-depth interview provided the researcher with the individual's personal viewpoint and perception of his/her working environment and the information received could therefore be personal and very sensitive. Institutions as well as individuals were assured of the confidentiality of the information they provided. Since the researcher could not ensure anonymity she specifically emphasised the confidentiality of the information provided by the individuals to ensure their full participation (Mouton, 1996:157). As a result of this ethical concern, the researcher has not included the transcripts of the interviews as an addendum in the dissertation.

6.8.6   Objectivity and validity

Subjectivity refers to "the world as experienced, the subjective experiences of perception and interpretation, and meaning and value". This subjective world is distinguished from

the "objective" world as it is presumed to exist independent of human interpretation – a level that exists independently of anyone's individual perception or values (Tharp and others, 2000:58). Objectivity is therefore scientific knowledge "which are based on the best supporting evidence gained through the application of rigorous methods and techniques" (Babbie & Mouton, 2001:13). The fact that the researcher used the subjective understanding of the individual does not mean that the research is not objective. The notion of objectivity within epistemology is not intended to mark a split in reality between objective/subjective distinctions but to serve rather as two grades of cognitive achievement. Bell (1992:310) argues that according to his understanding only things "… such as judgment, beliefs, series, concepts and perceptions can significantly be said to be objective or subjective". The phenomenological tradition supports an anti-naturalist understanding of "objectivity" and emphasises getting close to the subject and viewing the world from the perspective of the insider.

6.9   CONCLUSION

The researcher aimed in this chapter to bring from a variety of starting points valid and reliable research method(s) and research design to analyse and evaluate leadership, leadership development and learning organisations in higher education institutions through the creative use of a number of evaluation methods (as indicated in Table 6.2) within the notion of triangulation and inter-subjectivity. The aim of the research method(s) and design used in the study was to provide understanding and meaning, thus to make sense, of the leadership and change process in higher education institutions in South Africa. The results and recommendations of the data and information collected in the study will be discussed in the following chapters.

These results will enable the researcher to provide guidelines and to make suggestions regarding leadership, leadership development and institutional learning towards transformation and change and developing higher education institutions as learning organisations.

"Leadership theories may or may not be theories,

but are attempts to gain increasingly more

sophisticated understanding of the

nature of leadership"

McElroy, M. and Terry, J.D. Jr., 1983:32

CHAPTER 7 - OVERVIEW

RESEARCH RESULTS: REPORTING, ANALYSING AND INTERPRETATION

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7.3 CONCLUSION

CHAPTER 7

RESEARCH RESULTS: REPORTING, ANALYSING AND INTERPRETATION

7.1   INTRODUCTION

In the process of change and transformation one has to take a stand and declare to create a new reality. "In our being we have this inner certainty we can reinvent the world. The reality is already in the system waiting to be brought forward".   Part of the transformation and change that takes place, is a declaration and a commitment from someone who has changed his stance from "resignation" to "possibility" (Valera cited by Jaworski, 1996:179).   Organisations and individuals must operate from the generative orientation, from possibility rather than resignation, so that the future into which we are living can be created rather than merely reacting to it when we get there (Jaworski, 1996:182, cited by Van der Westhuizen, 1998:116; Capra,1983:320-321).

The process of change and transformation in higher education and higher education institutions operate from the orientation and the possibility of a recreated future (cf. Diagram 5.8). The aim of this research project is to 'make sense' of this process as well as to conceptualise the understanding of the individual leader and his perception of the possibility of leadership and leadership development towards individual empowerment and self-fulfillment and the development of learning organisations.

Schwandt (2001:6) argues that analyzing qualitative data, broadly conceived, is the "… activity of making sense of, interpreting, or theorizing data". He indicates that it is both "art and science" and that it is undertaken by "means of a variety of procedures that facilitate working back and forth between data and ideas". Therefore, to analyse means to "… break down a whole into its components … and then tries to establish a pattern for the whole by relating the codes or categories to one another". Thus, it is clear that "nothing speaks for it self". Confronted with a "mountain of impressions, documents (and data collected) the qualitative researcher faces the difficult task of making sense of

what has been learned through the art of interpretation" (Denzin, cited by Ely, Vinz, Downing & Anzul, 1997:224).

To be able to collect the data relevant to the leadership model and the research project the researcher was influenced and empowered by the scope and dimensions of the Academic Leadership model for transformation and change towards learning organisations, to implement a variety of creative options as units of evaluation and analysis in this qualitative research design (cf. Diagram 6.1 and Table 6.2). The researcher, therefore, made use of the following methods of data collection (cf. 6.4.2) at the five selected higher education institutions:

- The unstructured in-depth interview (Appendix A).
- Projective techniques - Apperception Projection (Appendix B).
- The Questionnaire: - The Learning Organisation Profile (Appendix C).
  - The EFQM Model (Method for improving the quality of higher education based on the European Foundation for Quality Management model) (Appendix D).
- Content analysis.

These methods of generating data as well as the instruments being used have been discussed in Chapter 6 (cf. 6.5 and 6.6).

7.2   DATA COLLECTION

The analysis of the data gathered from the multiple techniques was presented in two formats. The formats consisted of visual representations in the form of graphical displays and tables as well as reports and discussions of the analysed information. Ely et al (1997:194;199) argues that in a research paradigm that relies so heavily on words, displays can often make data more "readily graspable and memorable". They indicate that Figures, Tables and quantification can thus "supplement, extend and enhance qualitative research" and therefore provides an element of enrichment to the whole.

Graphical displays are normally used to visually display quantitative data, however graphical displays such as trend lines and bar charts, in qualitative research, can "set the stage for a discussion, convey a message, or to reinforce a central point … and they often convey data in a concise form and readily digestible format". Graphical displays therefore function as descriptive information sources as well as analytic tools and it provides summaries or overviews that represent parts of the whole. The primary purpose of displays is therefore descriptive (Henry 1998:527;528;533).

In this study the visual graphical displays set the stage for the researcher to conduct discussions related to the analysed data.

7.2.1   The unstructured in-depth interview

The in-depth interview with the acquiescent discussion on leadership and leadership development provided the researcher with the information that assisted her to 'make sense' of the perception and understanding of the participants' view of leadership and leadership development. The researcher coded words, sentences and even paragraphs according the criteria as indicated in the substructures of the Dynamic Academic Leadership structure (Table 7.1) (cf. 5.3.2, Table 5.1) (Appendix A).

The information was first of all grouped per institution to indicate the understanding of the different levels representing leadership in the sample of higher education institutions. Secondly, the information was grouped according to leadership levels across the different institutions. The researcher presented this information in the format of a Table (a 'visual' display) as depicted in Figures 7.1.1 to 7.1.8. This display as well as the information received that was not 'included' by the criteria provided the researcher with the platform to embark on a discussion. The researcher indicated in the visual presentations if the participant differentiated between the different levels of leadership (individual, institutional and administrative). She also dealt with creativity and entrepreneurship as two separate issues. The visual presentations are colour coded to indicate the different institutions as well as the three leadership levels. The colour codes are indicated in the colour legend (cf. Table of content: xxiv).

The discussion are presented under the following headings:

- Report of the unstructured in-depth interview: Visual comparisons.

- Report of the unstructured in-depth interview: Discussion of the different institutions.

- Report of the unstructured in-depth interview: Discussion of the comparative leadership levels.

- General observations and analysis aspects concerning the interview.

Table 7.1   Legend: The Academic Leadership model as applied to the visual representation of the data.

INSTITUTIONAL LEADERSHIP *	INDIVIDUAL LEADERSHIP *	ADMINISTRATIVE LEADERSHIP *

• Vision.
• Direction setting.
• Alignment.
• Servant leadership.
• Value system
• Define reality.
• Culture of institutional leadership development.
	• Lifelong learning.
	• Personal and professional development.
	• Followership.
	• Creativity and entrepreneurship * *
	• Systems thinking.
	• Action learning.
	• Culture of individual leadership development.
		• Resources.
		• Technology.
		• People.
		• Policies and strategies.
		• Culture of administrative leadership development.
		• Continuous re-organisation:
		  ° Redesign,
		  ° Redefine,
		  ° Re-engineer and.
		  ° Re- align

* indicated if mentioned   ** indicated as two separate responses.

i)   ***Report of the unstructured in-depth interview: Visual comparisons***

INSTITUTIONAL COMPARISON

CRITERION PARTS	TOP LEVEL	MIDDLE LEVEL	GROUND LEVEL
INSTITUTION A			
Institutional leadership	▪	✓	✓
Vision.	✓	▪	▪
Direction setting.	✓	▪	✓
Alignment.	✓	▪	▪
Servant leadership.	▪	▪	✓
Value system.	▪	✓	▪
Define reality.	✓	▪	▪
Culture of institutional leadership development.	▪	▪	▪
Individual leadership.	▪	▪	▪
Lifelong learning.	▪	▪	▪
Personal and professional development.	✓	✓	✓
Followership.	▪	▪	▪
Creativity and entrepreneurship.	▪	▪	▪
Systems thinking.	▪	▪	✓
Action learning.	▪	▪	▪
Culture of individual leadership development.	▪	▪	▪
Administrative leadership.	▪	✓	✓
Resources.	▪	▪	✓
Technology.	✓	▪	✓
People.	▪	▪	✓
Policies and strategies.	✓	▪	▪
Culture of administrative leadership development.	▪	▪	▪
Continuous re-organisation	▪	▪	▪

Figure 7.1.1   Institution A: Interview - Institutional comparison

*   ▪ - **no** indication;   ✗ - no response to one of the concepts

INSTITUTIONAL COMPARISON

INSTITUTION B			
CRITERION PARTS	TOP LEVEL	MIDDLE LEVEL	GROUND LEVEL
Institutional leadership	✓	✓	✓
Vision.	✓	✓	✓
Direction setting.	✓	✓	✓
Alignment.	✓	✓	✓
Servant leadership.	-	✓	-
Value system.	✓	-	-
Define reality.	✓	-	✓
Culture of institutional leadership development.	-	-	-
Individual leadership.	-	✓	✓
Lifelong learning.	-	-	✓
Personal and professional development.	✓	✓	✓
Followership.	-	✓	✓
Creativity and entrepreneurship.	✓✓	-	✗✓
Systems thinking.	✓	-	-
Action learning.	-	-	-
Culture of individual leadership development.	-	-	-
Administrative leadership.	✓	✓	-
Resources.	-	-	✓
Technology.	-	-	-
People.	✓	✓	✓
Policies and strategies.	✓	✓	-
Culture of administrative leadership development.	-	-	-
Continuous re-organisation	-	-	-

Figure 7.1.2   Institution B: Interview - Institutional comparison

*   **-** - no indication; ✗ - no response to one of the concepts

INSTITUTIONAL COMPARISON

INSTITUTION C			
CRITERION PARTS	**TOP LEVEL**	**MIDDLE LEVEL**	**GROUND LEVEL**
Institutional leadership	✓	✓	✓
Vision.	✓	✓	✓
Direction setting.	✓	✓	✓
Alignment.	✓	▪	✓
Servant leadership.	✓	▪	▪
Value system.	▪	▪	✓
Define reality.	✓	✓	✓
Culture of institutional leadership development.	▪	▪	▪
Individual leadership.	✓	✓	✓
Lifelong learning.	▪	▪	▪
Personal and professional development.	✓	✓	✓
Followership.	▪	▪	✓
Creativity and entrepreneurship.	✓✓	✓✓	▪
Systems thinking.	▪	▪	▪
Action learning.	✓	▪	▪
Culture of individual leadership development.	▪	▪	▪
Administrative leadership.	✓	▪	✓
Resources.	▪	▪	▪
Technology.	✓	▪	▪
People.	✓	✓	✓
Policies and strategies.	✓	▪	▪
Culture of administrative leadership development.	▪	▪	▪
Continuous re-organisation	▪	▪	▪

Figure 7.1.3   Institution C: Interview - Institutional comparison

*   ▪ - no indication;   ✗ - no response to one of the concepts

INSTITUTIONAL COMPARISON

INSTITUTION D			
CRITERION PARTS	**TOP LEVEL**	**MIDDLE LEVEL**	**GROUND LEVEL**
Institutional leadership	✓	✓	✓
Vision.	▪	✓	✓
Direction setting.	✓	✓	▪
Alignment.	▪	✓	✓
Servant leadership.	✓	✓	▪
Value system.	✓	▪	▪
Define reality.	✓	✓	▪
Culture of institutional leadership development.	▪	▪	▪
Individual leadership.	▪	✓	▪
Lifelong learning.	▪	✓	▪
Personal and professional development.	✓	✓	▪
Followership.	✓	✓	▪
Creativity and entrepreneurship.	✓✓	✓✗	✓✓
Systems thinking.	▪	▪	▪
Action learning.	▪	✓	▪
Culture of individual leadership development.	▪	▪	▪
Administrative leadership.	✓	✓	▪
Resources.	▪	▪	▪
Technology.	▪	▪	▪
People.	✓	✓	✓
Policies and strategies.	✓	✓	▪
Culture of administrative leadership development.	▪	▪	▪
Continuous re-organisation	▪	✓	▪

Figure 7.1.4   Institution D: Interview - Institutional comparison

* ▪ - no indication; ✗ - no response to one of the concepts

INSTITUTIONAL COMPARISON

CRITERION PARTS	TOP LEVEL	MIDDLE LEVEL	GROUND LEVEL
INSTITUTION E			
Institutional leadership	▪	✓	✓
Vision.	▪	✓	✓
Direction setting.	✓	✓	✓
Alignment.	✓	✓	✓
Servant leadership.	✓	✓	✓
Value system.	▪	▪	✓
Define reality.	✓	✓	✓
Culture of institutional leadership development.	▪	▪	▪
Individual leadership.	▪	✓	✓
Lifelong learning.	▪	▪	▪
Personal and professional development.	✓	✓	✓
Followership.	✓	✓	✓
Creativity and entrepreneurship.	▪	▪	✓ ✗
Systems thinking.	▪	✓	▪
Action learning.	▪	▪	▪
Culture of individual leadership development.	▪	▪	▪
Administrative leadership.	✓	✓	✓
Resources.	▪	▪	▪
Technology.	▪	▪	▪
People.	✓	✓	✓
Policies and strategies.	✓	✓	
Culture of administrative leadership development.	▪	▪	▪
Continuous re-organisation	▪	▪	▪

Figure 7.1.5   Institution E: Interview - Institutional comparison

* ▪ - no indication; ✗ - no response to one of the concepts

LEADERSHIP LEVELS COMPARISON

TOP MANAGEMENT

CRITERION PARTS	A	B	C	D	E
Institutional leadership	✓	✓	✓	✓	-
Vision.	✓	✓	✓	-	-
Direction setting.	✓	✓	✓	✓	✓
Alignment.	-	✓	✓	-	✓
Servant leadership.	-	-	✓	✓	✓
Value system.	✓	✓	-	✓	-
Define reality.	-	✓	✓	✓	✓
Culture of institutional leadership development.	-	-	-	-	-
Individual leadership.	-	-	✓	-	-
Lifelong learning.	✓	-	-	-	-
Personal and professional development.	-	✓	✓	✓	✓
Followership.	-	-	-	✓	✓
Creativity and entrepreneurship.	-	✓✓	✓✓	✓✓	-
Systems thinking.	-	✓	-	-	-
Action learning.	-	-	✓	-	-
Culture of individual leadership development.	-	-	-	-	-
Administrative leadership.	-	✓	✓	✓	✓
Resources.	✓	-	-	-	-
Technology.	-	-	✓	-	-
People.	✓	✓	✓	✓	✓
Policies and strategies.	-	✓	✓	✓	✓
Culture of administrative leadership development.	-	-	-	-	-
Continuous re-organisation	-	-	-	-	-

Figure 7.1.6   Leadership profile: Top Management

* ▪ - no indication; ✗ - no response to one of the concepts

LEADERSHIP LEVELS COMPARISON

MIDDLE MANAGEMENT					
CRITERION PARTS	A	B	C	D	E
Institutional leadership	✓	✓	✓	✓	✓
Vision.	▪	✓	✓	✓	✓
Direction setting.	▪	✓	✓	✓	✓
Alignment.	▪	✓	▪	✓	✓
Servant leadership.	▪	✓	▪	✓	✓
Value system.	✓	▪	▪	▪	▪
Define reality.	▪	▪	✓	✓	✓
Culture of institutional leadership development.	▪	▪	▪	▪	▪
Individual leadership.	▪	✓	✓	✓	✓
Lifelong learning.	▪	▪	▪	✓	▪
Personal and professional development.	✓	✓	✓	✓	✓
Followership.	▪	✓	▪	✓	✓
Creativity and entrepreneurship.	▪	▪	✓✓	✓✗	▪
Systems thinking.	▪	▪	▪	▪	✓
Action learning.	▪	▪	▪	✓	▪
Culture of individual leadership development.	▪	▪	▪	▪	▪
Administrative leadership.	✓	✓	▪	✓	✓
Resources.	▪	▪	▪	▪	▪
Technology.	▪	▪	▪	▪	▪
People.	▪	✓	✓	✓	✓
Policies and strategies.	▪	✓	▪	✓	✓
Culture of administrative leadership development.	▪	▪	▪	▪	▪
Continuous re-organisation	▪	▪	▪	✓	▪

Figure 7.1.7   Leadership profile: Middle Management

*   ▪ - no indication;   ✗ - no response to one of the concepts

LEADERSHIP LEVELS COMPARISON

INDIVIDUAL LEADER					
CRITERION PARTS	A	B	C	D	E
Institutional leadership	✓	✓	✓	✓	✓
Vision.	-	✓	✓	✓	✓
Direction setting.	✓	✓	✓	-	✓
Alignment.	-	✓	✓	✓	✓
Servant leadership.	✓	-	-	-	✓
Value system.	-	-	✓	-	✓
Define reality.	-	✓	✓	-	✓
Culture of institutional leadership development.	-	-	-	-	-
Individual leadership.	-	✓	✓	-	✓
Lifelong learning.	-	✓	-	-	-
Personal and professional development.	✓	✓	✓	-	✓
Followership.	-	✓	✓	-	✓
Creativity and entrepreneurship.	-	✗✓	-	✓✓	✓✗
Systems thinking.	✓	-	-	-	-
Action learning.	-	-	-	-	-
Culture of individual leadership development.	-	-	-	-	-
Administrative leadership.	✓	-	✓	-	✓
Resources.	✓	✓	-	-	-
Technology.	✓	-	-	-	-
People.	✓	✓	✓	✓	✓
Policies and strategies.	-	-	-	-	-
Culture of administrative leadership development.	-	-	-	-	-
Continuous re-organisation	-	-	-	-	-

Figure 7.1.8   Leadership profile: Individual Leaders

*   ▪ - no indication;   ✗ - no response to one of the concepts

i)   *Report of the unstructured in-depth interview: Discussion of the different institutions*

a)   *Institution A -* ☐

The understanding of leadership in this institution, according to the criteria, is very 'thin'. The three participants gave very 'narrow' explanations of leadership.

The individual representing top management indicated that a leader in higher education must be acceptable to people in the organisation and in the South African context. If this is not the case he/she cannot make a difference or bring about change. Leadership is seen as follows:

- A group activity.
- The development of leadership skills is based on the development of management skills.
- Leaders are seen as positions but sometimes also as skills of people, indicating therefore that the right people must be found for the right positions according to qualifications and experience,
- Leader equals Manager.

The other two participants in this institution were of the same mind regarding these points. They explored their view as follows:

- Leaders must be able to delegate (a very strong aspect) and select the 'proper' individual for the specific task.
- Everyone in the institution is part of the team because they have the same goals.
- A good leader must be able to consult.
- A leader must be a good listener.
- Individuals must be trained to be good leaders (managers) – they must be empowered and be trained to be multi-skilled. Training must include aspects such as time

management, conflict management, negotiating skills, communication and listening skills and conflict resolution.

The individual leader indicated the widest perspective and understanding of leadership stating that she is never at the front or the back. "If I move up the ladder I am a subordinate to somebody else".

b)   *Institution B -* ☐

The understanding of leadership in this institution was given as a 'thick' description (cf. 7.3.1) (Babbie & Mouton, 2001:309; Searle, 1999:107), especially the description given by the participant representing the top structure. This participant distinguished explicitly between leadership, management and administration, indicating the importance of leadership but also stating the importance of good management skills. The three participants of this institution also mentioned the following aspects on leadership and leadership development:

- The importance of functioning in teams and the lack of management 'teams'. They tend to function as individuals with not much contact between the different groupings.
- A leader must be passionate about what he/she is doing.
- A leader must treat others as equals, not as underlings and worthless people or personnel.
- A leader must have the ability to develop the potential of the team (and the individual) to its fullest.
- A leader must be a role model for others, be assertive.
- Leaders do and think differently from other people.
- Leadership development is based on management aspects and perceived as more readily available for men, however two of the participants felt that leadership development is seriously lacking and not given enough exposure.

c)   *Institution C -* ■

The individuals of institution C also gave a fairly 'thick' description and understanding of leadership. The participant representing top management indicated that the environment must be conducive for leadership. He/she must guide others to lead, and very important, also to learn. The following aspects were also mentioned during the interviews with the three participants:

- Leaders don't think differently but do differently. Especially in the handling of people.
- The top down (looking down the ladder) sense of hierarchy must be broken down.
- Leaders must instill growth, be intuitive, and have few established ideas.
- Leaders must have the ability to listen.
- Leaders translate ideas into action.
- Leaders must have experience and lots of energy.
- Leaders must realise that it is people who bring about change.
- Leadership must be aware of the different levels of development and understanding.
- They (leaders) must lead by example.
- Lead by example at professional level (as well).
- Leadership development has not always been effective, but it is a crucial aspect.

d)   *Institution D -* ☐

The two individuals, representing middle management and individual leadership had a very broad conceptual understanding of leadership. The individual leader however, in spite of the positive viewpoint, had a very 'thin' description. Leadership in this institution is seen as follows by these two participants:

- Leadership is empowerment, leaders must provide an empowering environment.
- Leaders can motivate, manage themselves well and instill trust in people.
- Leaders are coordinators and not managers.
- Leaders are result and process oriented.

- Leaders provide guidelines and parameters and not rules and regulations.
- Leaders are different from other people and they do things differently.

The participant representing the top structure echoed some of the sentiments of the other two people, however, the participant indicated that individual leadership development and management are not that important at this (lower) level(s). This participant indicates empowerment and leadership only as an action of and part of line functioning.

The individual leader (representing ground level) felt that leadership development is based on management aspects and that it is not good for leadership development ('fit for purpose').

e)   Institution E - ■

The participants of this institution gave a 'thick' description and understanding of aspects regarding leadership. The participant representing the top structure indicated that leadership is not autocracy, but a more open process of co-ordination and consultation and the ability to work together with other people, however, at the same time indicating management tasks such as holding of meetings, writing memos, developing policy documents as leadership. The other two participants were adamant in their description about the significant difference between leadership and management. Their viewpoints are reflected as follow:

- Leadership is to make a difference.
- Leadership can be developed.
- Leadership is about focus.
- A leader can transcend and emancipate – thus enlarging the parameters; thinking in existentialist fashion.
- A leader has pioneering thinking.
- A leader believes in excellence and hates mediocrity.

Both these participants felt that leadership development is lacking, in fact it does not exist in the institution ("No, there is no such thing"), and that the focus is mainly on management skills.

iii)   ***Report of the unstructured in-depth interview: Discussion of the comparative leadership levels - ■ - ■ - ■***

Analysis of the comparative institutional levels reveals some interesting aspects. It indicates that the understanding of **the leader** - Institutional Leader - is much more comprehensive than that of the individual leader or the individual as a leader. Although most participants indicate that empowerment is a very important aspect of the roles and skills regarding development of the individual. To be able to work and function in a learning organisation however, is highly neglected and not understood at all.

Leadership development and the empowerment of the individual form the core aspect of the learning organisation implying that people, people empowerment and a (the) culture of leadership are the most important aspects. As part of the administrative leadership and management processes, people are acknowledged by fourteen of the fifteen participants as a very important aspect, however a culture of empowerment is not indicated once by any of the participants. This level of leadership and leadership development are the least acknowledged although management and administrative skills are viewed important and equally as necessary by some of the participants representing the top management level.

The importance of policies and strategies are viewed as important by only seven of the fifteen participants (Top management – 4; Middle management – 3; Ground level – 0). The fact that not one of the ground level participants views this aspect as important could be an interesting aspect of further research. Technology and resources are even worse off than any of the others (Resources: 3 from 15; Technology: 2 from 15), with a total of only five responses out of a maximum of thirty.

All participants are involved in the new initiatives regarding higher education but do not seem to view it as necessary to engage in continuously re-organising and re-evaluating the different structures (1 response from 15).

Although most participants provided the researcher with 'thick' descriptions, the visual analyses of the information indicates a 'thin' understanding of all the many dimensions involved in leadership and leadership development.

iv)   *General observations and analysis aspects concerning the interview*

a)   *Participant responses: Leadership*

The interviewees did not come up with conclusive expansive explanations and understandings of leadership, in fact a comprehensive picture was not given. Quite a number of participants linked their understanding of leadership to trait theories and the management of processes.

A disturbing aspect that was mentioned is that gender inequality and discrimination is still prevalent. The question one needs to ask is whether this is still a problem of the classic stereotype of both woman and blacks that are "said" to be "less capable of abstract thinking, innately submissive, emotionally unstable and physically more suited to more menial tasks… in a time where this bias is proved a myth and the importance of contributions by these groups are recognized" (Cavenagh, 1976:68). Is the autocratic heritage still so dominant that leaders can "talk the talk" but find it very difficult to free themselves of old structures, believes and authority? One participant indicated "the Prof. is the Prof you know". The participant stated that everybody who is reporting to her calls her by her name. She treats them as equals and not as underlings and worthless people echoing the words of Handy (1993:350) "Position does not bring power…. Authority has to be earned – it cannot be assumed" (participant response: "command respect for who I am and not a title attached to it"), while the same does not apply to her male colleagues at the same level. They (the people reporting to them) are not encouraged nor would they dare to be anything but formal and 'respectful'. She equated it to a servant-master relationship especially regarding their (the male counterparts) personal assistants. However, although women have been appointed in top leadership positions (and well deserving as well - as indicated by the participants), women still find it, because of the above-mentioned attitudes, difficult to be acknowledged, and as such to survive in the

institutions. "Men are identified and given opportunities for empowerment, woman have to ask for the same privileges".

The woman participants indicated a definite difference in the leadership experience between men and woman. As one participant indicated: "I have never worked for a woman". Woman participants indicated in their interviews a preference for a more open and less formal style, a relaxed and flat structure and a collaborative way of working and even having an inclination towards more risk taking. They do indicate that things have changed tremendously in the last couple of years and that 'the way of doing' is not the same as previously, allowing them therefore a foot in the door that has not been there before.

A considerable number of the participants indicated the leader as having 'something' that other people do not have. Looking at themselves they indicated that being at the front or being a leader has always come easily equating their understanding to aspects resembling that of the trait theory. The majority participants, especially the woman participants, indicated that they do and think differently from other people. Two of the male participants stated that they do not do things differently, but that they do things better. They have worked longer hours and have a better and higher output, and have therefore climbed the ladder not because they are different but because they have achieved and deserved more, and have been recognised by their peers accordingly. In both cases the participants indicated strong managerial preferences.

The following aspects were high on the responses:

- Working harder (expecting it from themselves) than those reporting to them. As one participant indicated: If I expect from the people reporting to me to do for example three research articles per year, I have to do six.
- No tolerance for mediocrity therefore, expecting excellence. Excellence was not once substituted for quality assurance but was associated with taking responsibility.
- Indicating the difference between leadership and management skills, but also stating that to be able to reach the top one must have very good management and administrative skills.

- Being passionate about higher education and what they (as leaders) are doing, know their field of work very well and are involved in the change paradigm and are able to see the bigger picture.
- Working well with and getting along with people.
- Working well in groups.
- Have the ability to make things happen.
- They are assertive.

Aspects that did not form part of the criteria and that were mentioned as part of what is expected of a leader, have been discussed as part of the institutional analysis of each institution.

b)   Participant responses: Leadership development

The participant responses regarding leadership development were in general very negative indicating a lack of leadership skills development, unless leadership is seen as management and/or administrative skills. If leadership development took place it was mostly done on a once off basis by an outside consultant or an individual in the institution with a higher-level position and with an MBA-training. Only the appointed or identified individuals took part to prepare them for the specific position or the specific management level.

Leadership training were also equated to the new Skills Development Bill and the appointment of skills development officers, where it is expected of institutions to provide a career path and training for each employee. In not one of the institutions were there a culture indicating leadership and leadership development as a core element in the institution. This implies that there is no clarity on the meaning of leadership. According to Kotter (1999:18) it makes for a desperate situation indicating that "(W)ithout clarity on the meaning of leadership people fail to develop the right skills" and it has as a result that training focuses on the wrong issues.

The aspect of personal and professional development was hardly dealt with although it forms an important part of individual skills development. The researcher can only

assume that as twelve of the fifteen participants had completed their PhD's this aspect is so much part of their life that it is more assumed as being there and being important. These studies therefore, form the electric current of their personal and professional life and achievements in their institutions. This possible assumed aspect could also have relevance with the concept of lifelong learning. Seeing that only three of fifteen participants mentioned it during their interviews it could be looked into for further research.

7.2.2   The Apperception Projection

The researcher used this projective technique as a method of exploring deeper meaning and conceptualisation related to the specific situation of leadership and the experience of leadership in a specific institution. As discussed previously (cf. 6.6.2) there are no right or wrong answers for this technique. The researcher applied this technique after the saturation point was achieved during the in-depth interview to indicate if there is a difference in individual understanding (actor's viewpoint) and institutional perception (structure) (cf. 6.2.4).

The concern of the researcher is to relate the information of leadership provided during the interview (explanation) with the individuals' understanding (conception) and the reality (context) of the institution. The explanation of the image was recorded during the completion of the projection. The information from the projection was then compared with the information received during the interview. This aspect supported the researcher in the analyses of the information and helped her not to 'read' different meanings from the images than those indicated and explained by the participant.

The projections/images of the individual participants are categorised in the same order as all the other reports, providing information from Institution A – E and from top management to the individual leader. Copies of the projections can be found in Appendix B. It is important to note that the researcher has erased any information that could possibly have identified the participants or the institutions. This however, did not at any stage change the image(s) projected.

i)   *Report of the Apperception projection*

a)   Institution A - ☐

- **Top management**: Indicating an interactive structure, but the institutional leader functions on a hierarchical basis.

- **Middle management**: Interactive leadership function as described during the interview.

- **Individual leader**: Limited leadership function within a hierarchical structure although the participant describes an empowering interactive structure.

b)   Institution B - ▨

- **Top management**: Believes in an interactive structure but does not necessarily function in a conducive environment for a flat leadership and empowering structure.

- **Middle management**: Functions in a hierarchical structure but believes in certain aspects of empowerment of the individual.

- **Individual leader**: The participant believes in an empowering environment but functions in a hierarchical structure.

c)   Institution C - ■

- **Top management**: A combination of an interactive structure within a hierarchical system.

- **Middle management**: Leadership is purely based on the influence within a professional field and not as a function within a system.

- **Individual leader**: Believes in an interactive structure but functions within a hierarchical structure.

d)   Institution D - ▢

- **Top management**: A pure hierarchical function.

- **Middle management**: Believes in the principles of a learning organisation, functions within the structure of a hierarchical system although using interactive structures within own area of authority.

- **Individual leader**: Believes and functions within a flat structure. The individual does not work or function within the hierarchical parameters of the institution (thus, doing his/her own thing).

e)   Institution E - ▮

- **Top management**: The participant made it very clear that he/she works as a leader in an interactive structure trying to eliminate all aspects of autocracy, however the description of leadership is more that of a super manager.

- **Middle management**: Believes in empowerment of the individual but functions in a hierarchical structure.

- **Individual leader**: This participant empowered him/herself within the limitations of the structure, very much the same as, but not as radical as the individual leader of institution D.

*ii)   **General comments and observations on the Apperception projection***

Most of the participants described and believed in interactive, empowering and flat leadership structures, however the projection indicates that even if individuals try to create such structures the institutional structures and cultures have not reached that point

yet. It is not possible for the individual to create such a structure that will have an influence on the whole institution. The institution(s) will have to make a conscious decision and have the courage to implement flat empowering leadership structures. The individuals who created such structures in their area of jurisdiction also indicate the level of risk involved in opposing (or working around) the status quo. As indicated in the overview on organisational study (cf. 4.3.3 and Table 4.1), higher education institutions tend to move to the new managerialism model, a move away from the learning organisation model. This organisational model (structure) will also increase confusion regarding the differences between leadership and management (cf. Table 5.2) and will be in conflict with the perception of the individual (actor's viewpoint).

7.2.3 The Questionnaire: The Learning Organisation Profile

The Learning Organisation Profile (Appendix C) was completed during the scheduled pre-arranged time with the participant(s). The questionnaire was completed after the completion of the in-depth interview and the image projection. The researcher explained the legend and indicated that she was interested in the participant's perception regarding his/her institution. To explain the wording in the questionnaire, the researcher indicated to the participant that the standard use of the Learning Organisation Profile was to evaluate businesses and organisations. The participant then proceeded to complete the questionnaire.

The completed questionnaires of the learning Organisation Profile were evaluated according to the numerical coding as indicated in the legend (Table 7.2). The information indicating the perception and understanding of the individual participants was first of all grouped per institution as well as according to the different leadership levels and then graphically displayed.

The Learning Organisation Profile is based on information represented on a scale as discussed in 6.6.3 – *i* (Table 7.2). Although a scale is a quantitative measurement, and the information generated is displayed in a graphical format it provided the researcher with a platform for discussion and to indicate differences, similarities and trends of a small sample of participants. The information was coded according to the five

sub-systems of a learning organisation as depicted by Marquardt (cf. 6.6.3 – *i*). The data analyses are presented in a visual format as well as in the form of a discussion. In the visual representations the researcher provides information in two different formats. The first representation indicates the five different categories of:

- Learning dynamics: Individual, Group/Team, and Organisational.
- Organization Transformation: Vision, Culture, Strategy, and Structure.
- People Empowerment: Employee, Manager, Customer, Alliances, Partners and Community.
- Knowledge Management: Acquisition, Creation, Storage/Retrieval, and Transfer/ Utilisation.
- Technology Application: Information Systems, Technology-Based Learning, and Electronic Performance Support Systems.

The second representation indicates the overall profile of the perception of the participant regarding the institution as a learning organisation. The legend applies to these two different formats to comply with the information represented in the visual representations as indicated in Table 7.2. The graphical displays allowed the researcher to discuss and report on the understanding and perception of the individual participants (actor) regarding their institutions (structure) as learning organisation as well as evaluating the higher education institutions represented in the sample, as learning organisations.

Table 7.2   Legend: The Learning Organisation Profile as applied to the figures in the visual representations of the data

Scale	Legend	Sub-systems (Figure - a)	Totals (Figure - b)
1	• **Applies to little or no extent**	10	50
2	• **Applies to a moderate extent**	20	100
3	• **Applies to a great extent**	30	150
4	• **Applies totally**	40	200

The graphical displays are depicted in Figures 7.2.1a and b to 7.2.5a and b as well as Figures 7.2.6a, b and c. The visual presentations are colour coded to indicate the different institutions as well as the three leadership levels. The colour codes are indicated in the colour legend (cf. Table of content: xxiv). The discussion are presented under the following headings:

- Report of the Learning Organisation Profile: Visual comparisons.
- Report of the Learning Organisation Profile: Discussion of the different institutions.
- Report of the Learning Organisation Profile: Discussion of the comparative levels.
- General observations and analysis aspects regarding the Learning Organisation Profile.

i) *Report of the Learning Organisation Profile: Visual comparisons*

The following Figures provide a visual representation of the data provided by the Learning Organisation Profile:
- Figure 7.2.1a and b,
- Figure 7.2.2a and b,
- Figure 7.2.3a and b,
- Figure 7.2.4a and b,
- Figure 7.2.5a and b,
- Figure 7.2.6a, b and c.

This display indicates the perception of the individual participants on the five sub-structures of a learning organisation (as indicated by Marquardt) in their institutions and across the different levels of leadership represented in the sample of higher education institutions.
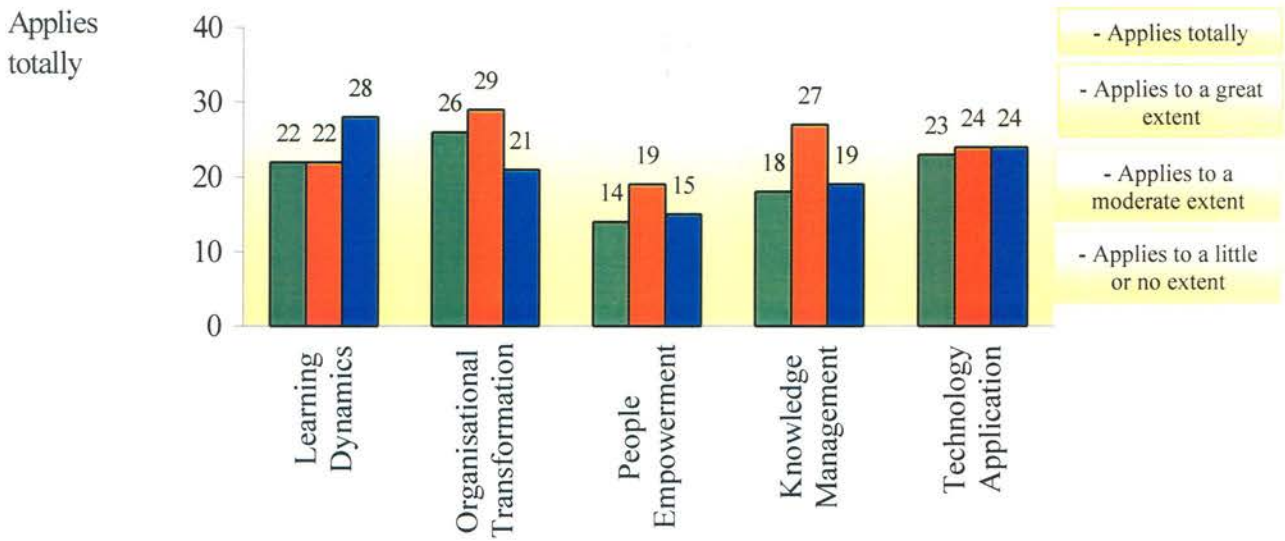
Institution A

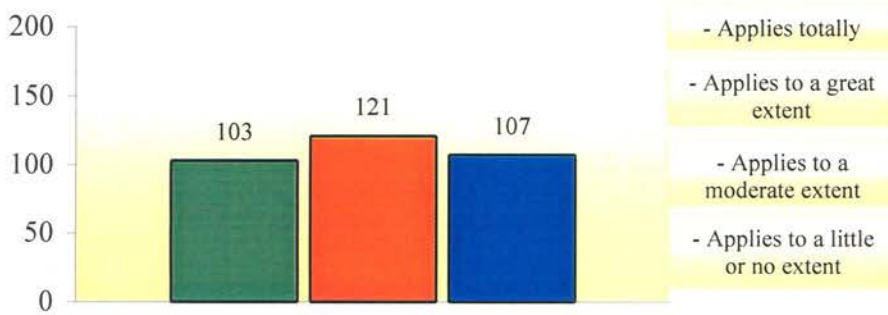**Figure 7.2.1.a Learning Organisation Profile: Subsystems -A**

Figure 7.2.1.b Learning Organisation Profile: Total - A

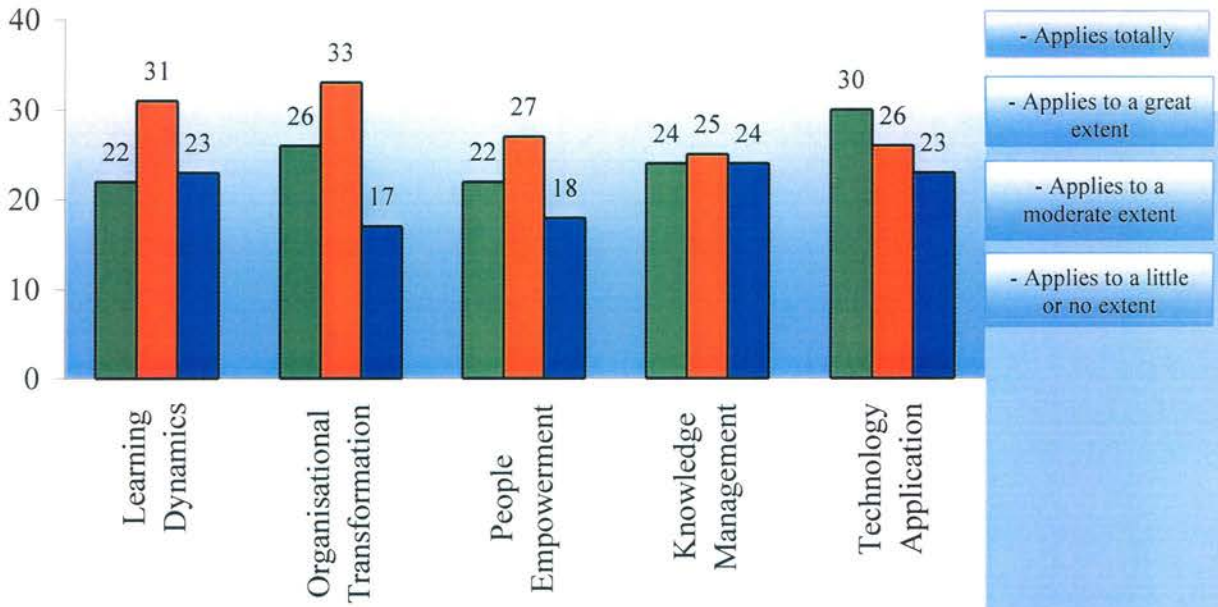■ Top Management   ■ Middle Management   ■ Individual Leader

Institution B

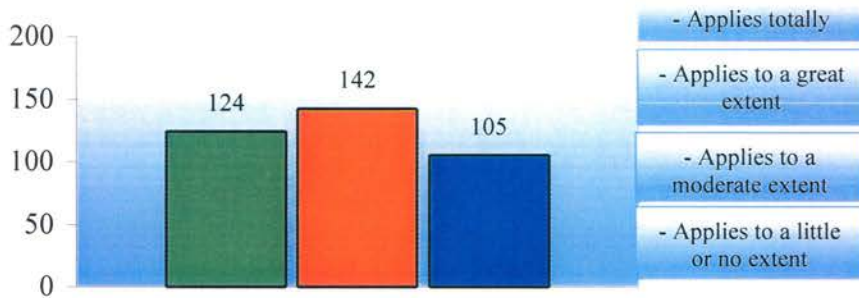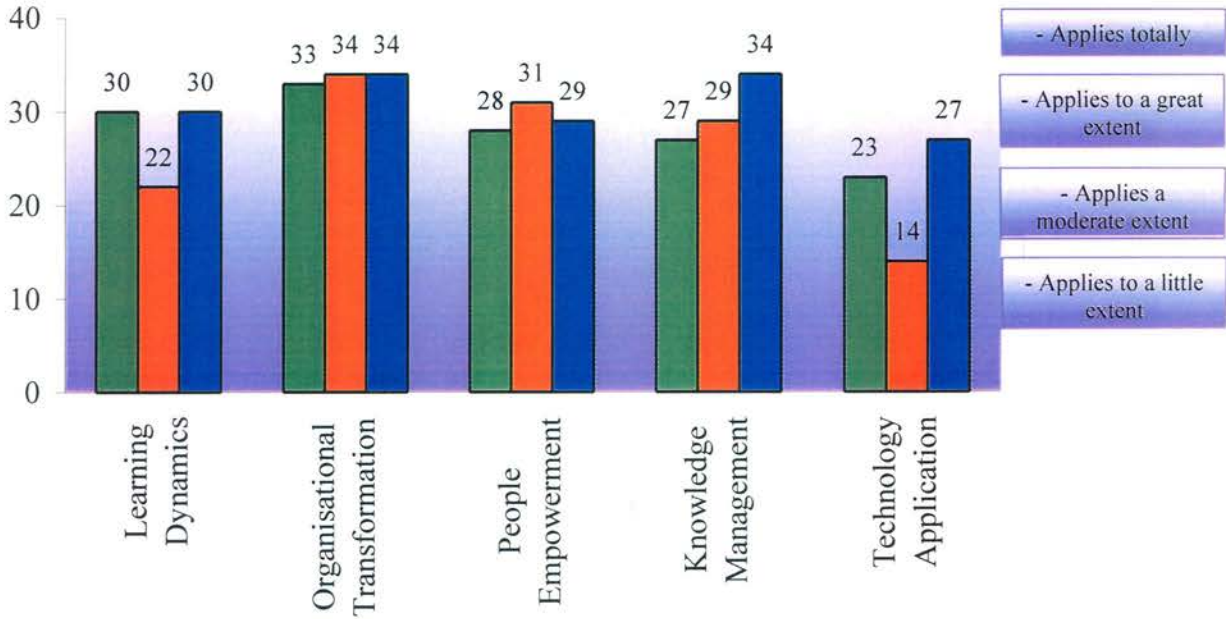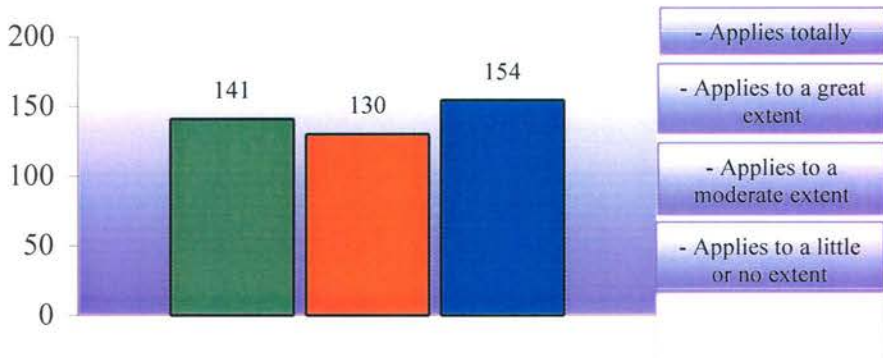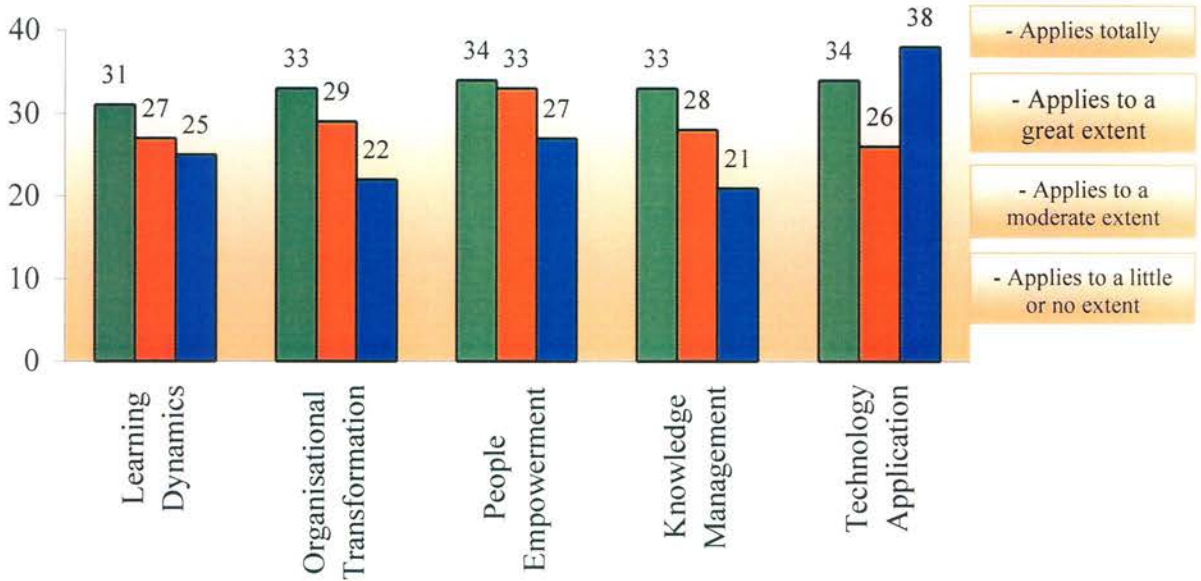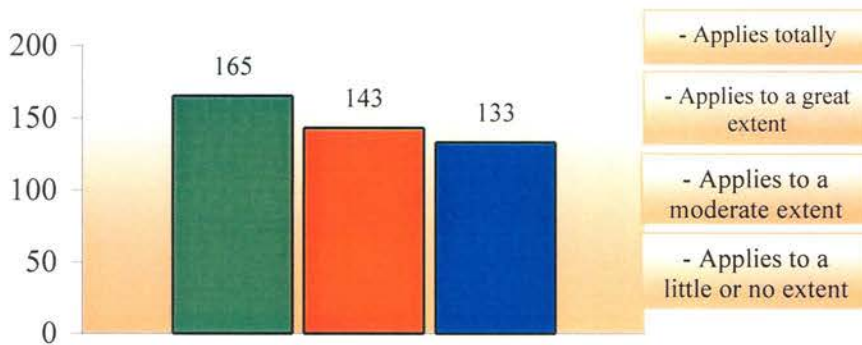**Figure 7.2.2.a Learning Organisation Profile: Subsystems - B**

Legend (first chart):
- Applies totally
- Applies to a great extent
- Applies to a moderate extent
- Applies to a little or no extent

Figure 7.2.2.b Learning Organisation Profile: Total - B

Legend (second chart):
- Applies totally
- Applies to a great extent
- Applies to a moderate extent
- Applies to a little or no extent

🟩 Top Management   🟥 Middle Management   🟦 Individual Leader

Institution C

Figure 7.2.3.a Learning Organisation Profile: Subsystems -C

Figure 7.2.3.b Learning Organisation Profile: Total - A

🟩 Top Management   🟧 Middle Management   🟦 Individual Leader

Institution D

Figure 7.2.4.a   Learning Organisation Profile: Subsystems - D

Figure 7.2.4.b   Learning Organisation Profile: Total - D

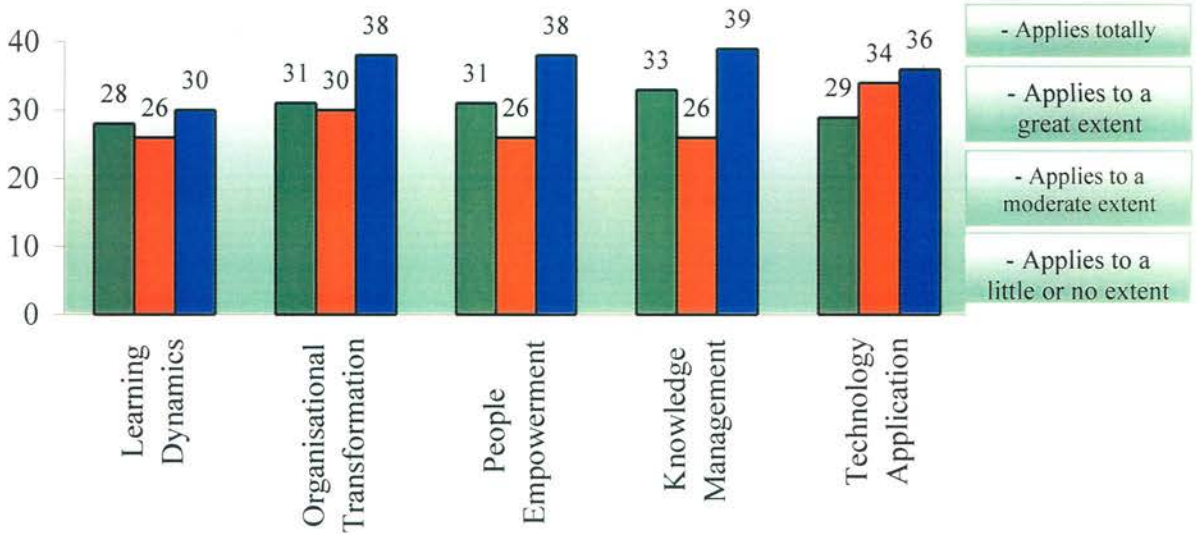■ Top Management   ■ Middle Management   ■ Individual Leader

Institution E

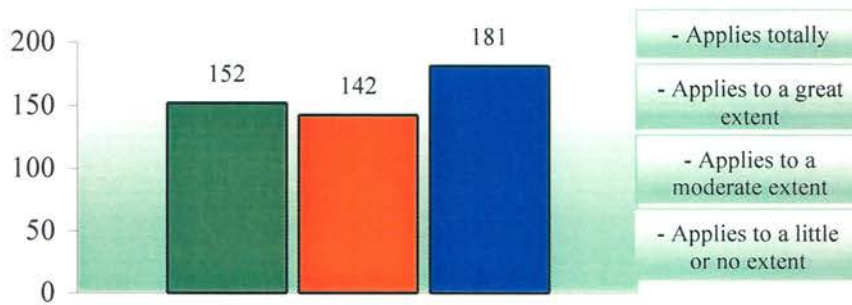**Figure 7.2.5.a Learning Organisation Profile: Subsystems - E**

Figure 7.2.5.b Learning Organisation Profile: Total - E

■ Top Management   ■ Middle Management   ■ Individual Leader
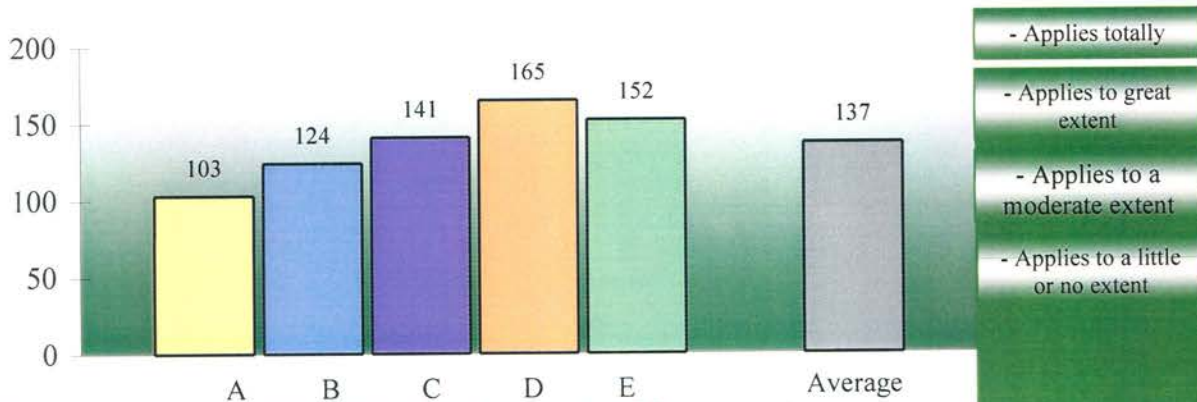
LEADERSHIP LEVELS COMPARISON

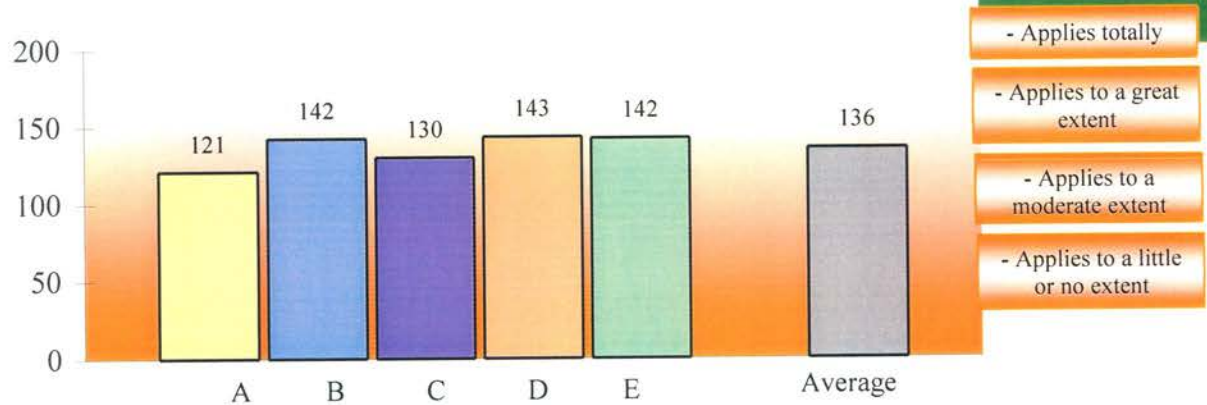**Figure 7.2.6:a**   **Learning Organisation Profile: Top Management**

Figure 7.2.6:b   **Learning Organisation Profile: Middle Management**
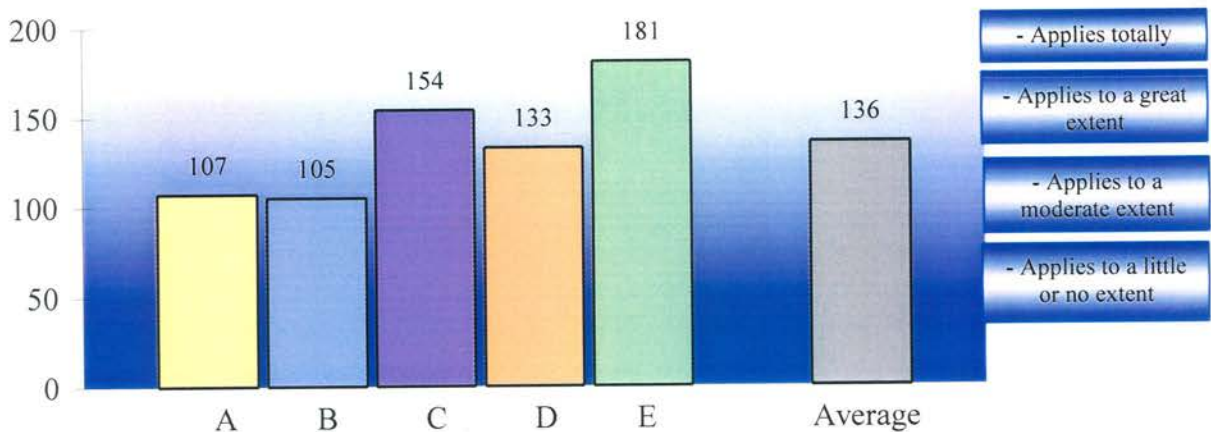

Figure 7.2.6:c   **Learning Organisation Profile: Individual Leader**

ii)   **Report of the Learning Organisation Profile: Discussion of the different institutions**

a)   *Institution A -* ☐

Most responses of the participants of this institution are indicated within the area of 'applies to a moderate extent', and mostly with the same understanding of the institutions position regarding the profile of a learning organisation.

There exists however, a marked discrepancy between the understanding of middle management and other levels of leadership regarding knowledge management indicating two very different experiences and perspectives.

The understanding of people empowerment - one of the most important aspects of a learning organisation - indicates a very low level of positive experience by all the leadership levels of this institution.

The median/average understanding applies to the level of moderate understanding with an underlying indication that a lot of hard work needs to be done to be able to comply with the concept of a learning organisation (cf. Figures 7.2.1 a and b).

b)   *Institution B -* ☐

The indication at this institution is that most responses fall within the range of 'applying to a moderate extent' and 'applying to a great extent'. The individual leader indicates however the least positive experience in all the categories. There are marked differences in all areas except the categories dealing with people empowerment and knowledge management.

There are considerable differences between the understanding and perception of the individual leader and the middle manager regarding the institution while the responses of the participant representing top management falls in between the two extremes. The participant in the middle management order is however a very positive individual

believing in the good/success of the individual and is also very loyal to the institution. This could have an influence on the participant's viewpoint.

The low ranking of the concepts indicating people empowerment and knowledge management is however of some concern. There are also great differences in the overall understanding (the median/average) of the participants (cf. Figures 7.2.2 a and b).

c)   *Institution C -* ■

The experience and understanding of the individuals on the three leadership levels in this institution are very similar and it is ranked in the area of 'applying to a great extent'. The exception however is the participant in the middle management position who experiences learning dynamics and technology applications as very low – much lower than the understanding of the participants representing the other two levels.

It seems that the sub-systems of people empowerment and technology application, with learning dynamics not far behind, are the areas that need to be focused on in this institution. The median/average of the three individuals do not deviate much indicating that although there might be differences in experiences in the different sub-categories, the total understanding is very much the same in the profiling of the institution (cf. Figures 7.2.3 a and b).

d)   *Institution D -* ■

The analysis of the sub-categories indicates that the profile perception of these participants is ranked at the top and bottom end of 'applying to a great extent' on the scale. The individual leader has the least positive experience and ranking except in the area of technology application.

The biggest discrepancy and difference in perception and understanding are in the sub-sections of organisational transformation, knowledge management and technology application (cf. Figure 7.2.4 a).

The analysis of the totals as represented in Figure 7.2.4 b indicates that the biggest discrepancy lies between the experiences of the participant representing top management and the individual leader indicating that what the institutional leaders intends for the future of the institution is either not believed or experienced by those on the 'ground level'.

e)   *Institution E -* ☐

The individual leader of this institution provides a profile of this institution as almost a perfect picture indicating the ranking at almost 'applying totally'. This participant falls in the same mode as the individual in Institution B, a very loyal and highly positive individual. There is however, quite a difference in the experience and the understanding between the different levels except for the area of learning dynamics where very much the same perception is indicated. The individual representing the level of middle management indicates the least positive experience of the three participants (cf. 7.2.5 a).

The analysis of the big picture – total understanding (cf. 7.2.5 b) - indicates a big discrepancy between the individual leader on the one hand and the participants representing top- and middle management on the other hand.

iii)   ***Report of the Learning Organisation Profile: Discussion of the comparative leadership levels -*** ☐ **-** ☐ **-** ☐

The comparative representation of participants representing the top management of the different institutions (cf. Figure 7.2.6 a) indicates a total profile ranking of between 'applying to a moderate extent' and 'applying to a great extent', indicating a very big difference in understanding and experience at this level of leadership in higher education institutions in South Africa. One of the presumed leading higher education institutions in the country represents one of the lowest rankings on the scale. The three leading rankings in the figure indicates that participants of these institutions have very much the same experience and understanding of their institutions as learning organisations.

The ranking of the participants representing the middle management level (cf. Figure 7.2.6 b) indicates a ranking in the area between 'applying to a great extent' and 'applying to a moderate extent', indicating a very similar experience and perception of all the participants at this level.

The individual leadership level (cf. Figure 7.2.6 c) indicates the most significant differences of perception of the learning organisation profile. The perceptions of participants of two institutions indicate a ranking that 'applies to a moderate extent'. One of these institutions again represents one of the leading higher education institutions in the country. The other three institutions rank between the middle of 'applies to a moderate extent' and 'applies to great extent' on the one hand and 'applies almost totally' on the other hand. This total difference of experience indicates to quite a continuum of experiences and perceptions at this level.

The average ranking of the three levels however (cf. Figure 7.2.6:a, b and c), makes for some interesting reading. It indicates to a ranking between 'applying to a moderate' and 'applying to a great extent', almost exactly the same ranking (136 - 137) for all three levels of leadership.

iv) General observations and analysis aspects regarding the Learning Organisation profile

Although the researcher has not indicated the gender of the participants as per institution in the visual reports and discussions (for the sake of confidentiality) it is interesting to note that in all but one institution woman were responsible for the lowest rating average.

In the analysis and interpretation of the rankings of the five sub-fields of the learning organisation profile it is disturbing that learning dynamics, people empowerment and knowledge management are indicated as the areas with the lowest ranking. These three areas are of the greatest importance in the transformation and change process towards a learning organisation and resemble the core aspects of a learning organisation.

7.2.4   The Questionnaire: The EFQM model

The questionnaire, a method for the improvement of quality of higher education based on the EFQM model (Appendix D), was completed during the scheduled pre-arranged time with the participant(s). The questionnaire was completed after the completion of the in-depth interview, the image projection and the Learning Organisation Profile. The researcher explained the legend to the participant and indicated that she was interested in the participant's perception and understanding regarding his/her institution. The participant then proceeded to complete the questionnaire.

The completed questionnaires of the EFQM model were coded according to the numerical coding of the stages as indicated in the legend (Table 7.3). The information gathered from the coding process was grouped in two formats. Firstly, indicating the individual participant's understanding and perception according to his/her specific institution and leadership level, and secondly, indicating the leadership levels across the different institutions represented in the sample of higher education institutions.

The EFQM model deals with an exceptionally wide variety and high number of criteria. However, to understand the experience and perception of the different individuals it is important to look more closely to the process – that is, what is happening – indicating the trends within the different categories or subsections and relate it to the understanding and perception of leadership, leadership development and institutional transformation and empowerment. The data received is selected from an index where the index represents the stages as indicted in the legend (Table 7.3) (cf. 6.6.3 – *ii*). Although an index is a quantitative measurement, and the information generated is displayed in a graphical format it provided the researcher with a platform for discussion and to indicate differences, similarities and trends regarding perceptions of a small sample of participants. The analyses of the data are presented in a visual format and then as a discussion.

The visual representations allowed the researcher to discuss and report on the understanding and perception of the participants' regarding their view of the process

towards quality and excellence in their specific institutions and across the institutions represented in the sample.

Table 7.3   Legend: The EFQM model as applied to the figures in the visual representations of the data

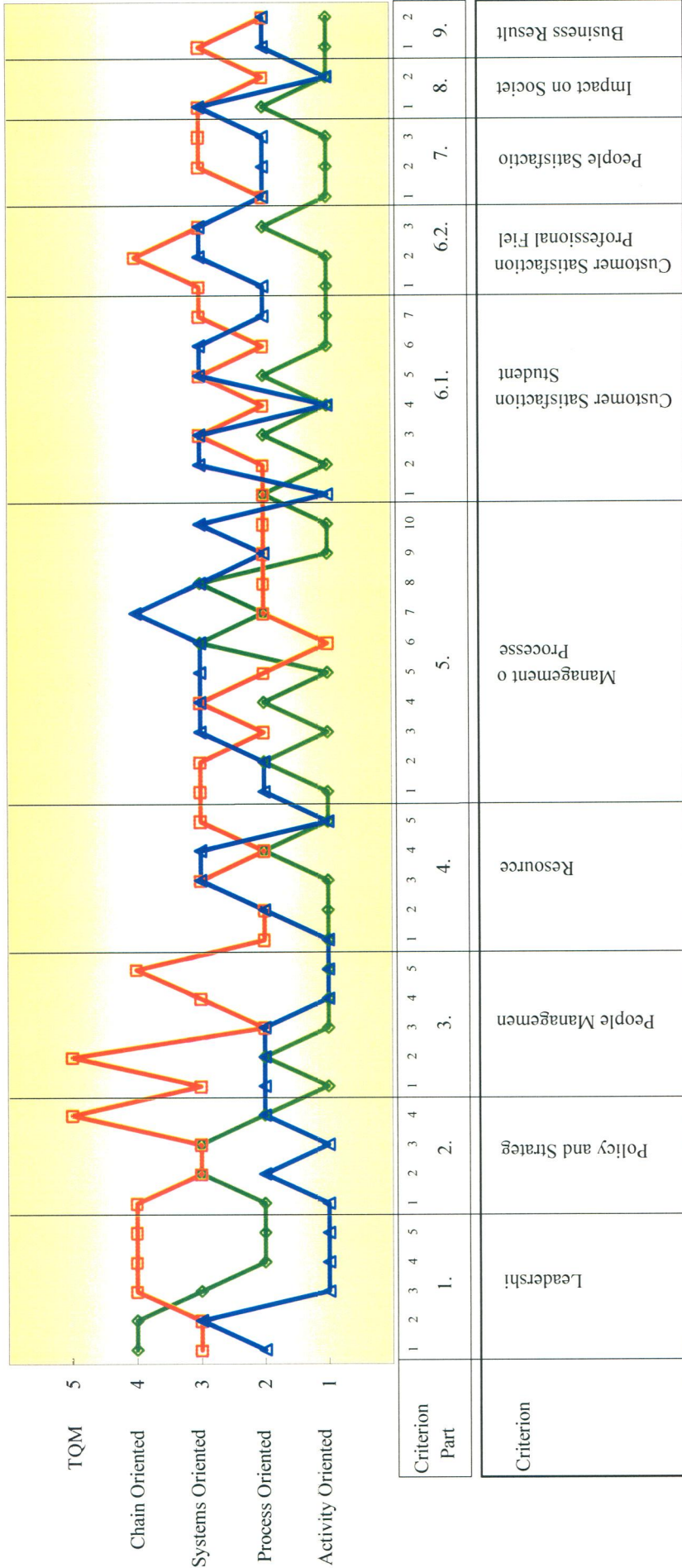| STAGE	LEGEND
1	• Activity-oriented
2	• Process-oriented
3	• System-oriented
4	• Chain-oriented
5	• Total Quality Management

The graphical displays are depicted in Figures 7.3.1 to 7.3.8. The visual presentations are colour coded to indicate the different institutions as well as the three leadership levels. The colour codes are indicated in the colour legend (cf. Table of content: xxiv) and the discussion are presented under the following headings:

• Report of the EFQM model: Visual comparisons.

• Report of the Report of the EFQM model: Discussion of the different institutions.

• Report of the Report of the EFQM model: Discussion of the comparative levels.

• General observations and analysis aspects regarding the Report of the EFQM model.

i)   Report of the EFQM model: Visual comparisons

The following Figures (see Figures 7.3.1 - 7.3.8) provide a visual representation of the data provided by the EFQM model, that is, the perception of the individual participants on quality and excellence in their institutions and across the different levels of leadership represented in the sample of higher education institutions.
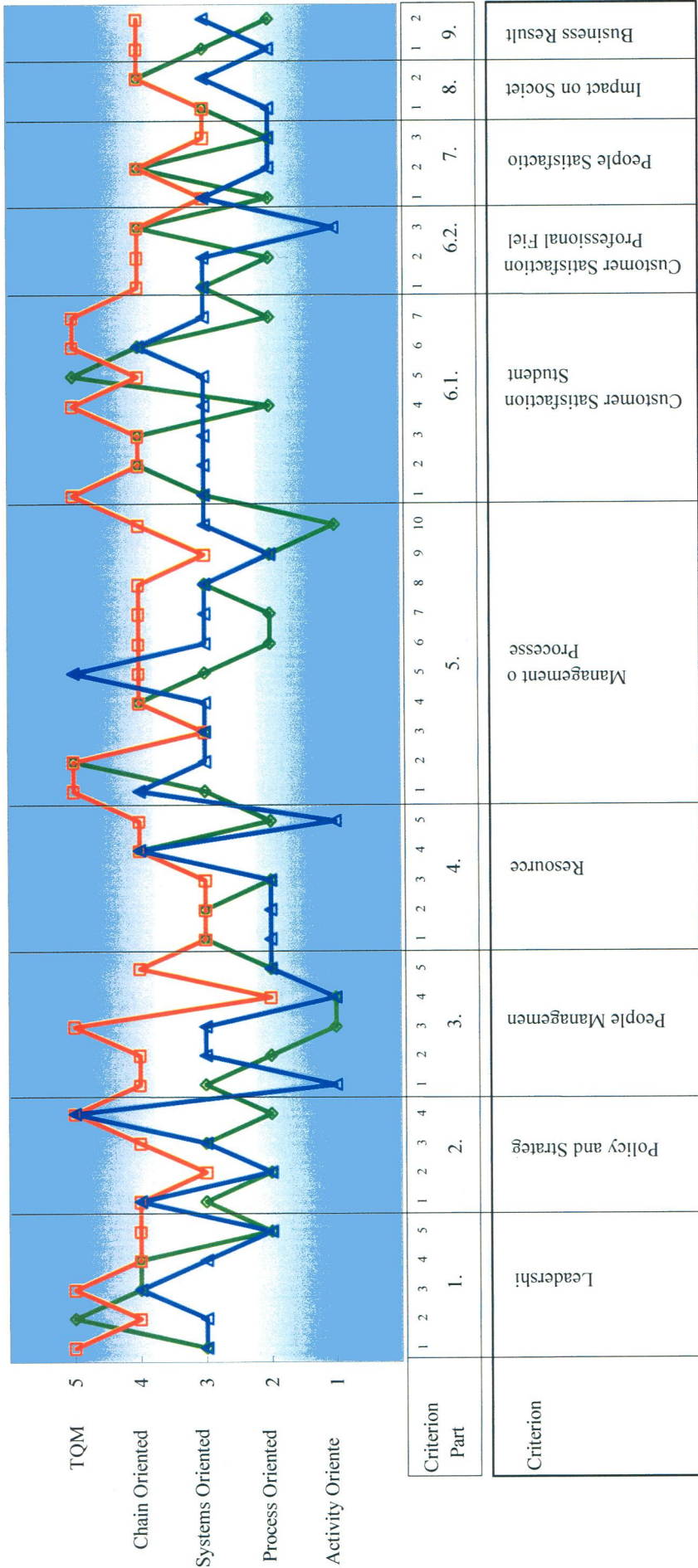
Institution A

Figure 7.3.1 EFQM: Process evaluation -A

Institution B

Criterion Part																																
1	2	3	4	5	1	2	3	4	1	2	3	4	5	1	2	3	4	5	1	2	3	4	5	6	7	8	9	10	1	2	3	4	5	6	7	1	2	3	1	2	3	1	2	1	2
1.					2.				3.					4.					5.										6.1.							6.2.			7.			8.		9.	
Leadershi					Policy and Strateg				People Managemen					Resource					Management o Processe										Customer Satisfaction Student							Customer Satisfaction Professional Fiel			People Satisfactio			Impact on Societ		Business Result	

Criterion

TQM — 5
Chain Oriented — 4
Systems Oriented — 3
Process Oriented — 2
Activity Oriente — 1

◆ Top Management ☐ Middle Management ◁ Individual Leader

Figure 7.3.2 EFQM: Process evaluation - B

Institution C

Figure 7.3.3 EFQM: Process evaluation - C

Institution D

Figure 7.3.4 EFQM: Process evaluation - D

Institution E

Criterion Part	1.					2.			3.					4.				5.											6.1.							6.2.			7.			8.		9.	
	1	2	3	4	5	1	2	3	4	1	2	3	4	5	1	2	3	4	5	1	2	3	4	5	6	7	8	9	10	1	2	3	4	5	6	7	1	2	3	1	2	3	1	2	1	2
Criterion	Leadership					Policy and Strateg			People Management					Resources				Management o Processes											Customer Satisfaction Student							Customer Satisfaction Professional Fiel			People Satisfactio			Impact on Societ		Business Results	

Figure 7.3.5   EFQM: Process evaluation - E

Top Management

Criterion Part	1.					2.				3.					4.					5.											6.1.								6.2.			7.			8.		9.	
	1	2	3	4	5	1	2	3	4	1	2	3	4	5	1	2	3	4	1	2	3	4	5	6	7	8	9	10	1	2	3	4	5	6	7	1	2	3	1	2	3	1	2	1	2
Criterion	Leadershi					Policy and Strateg				People Managemen					Resource					Management o Processe										Customer Satisfaction Student								Customer Satisfaction Professional Fiel			People Satisfactio			Impact on Societ		Business Result	

TQM 5
Chain Oriented 4
Systems Oriented 3
Process Oriented 2
Activity Oriented 1
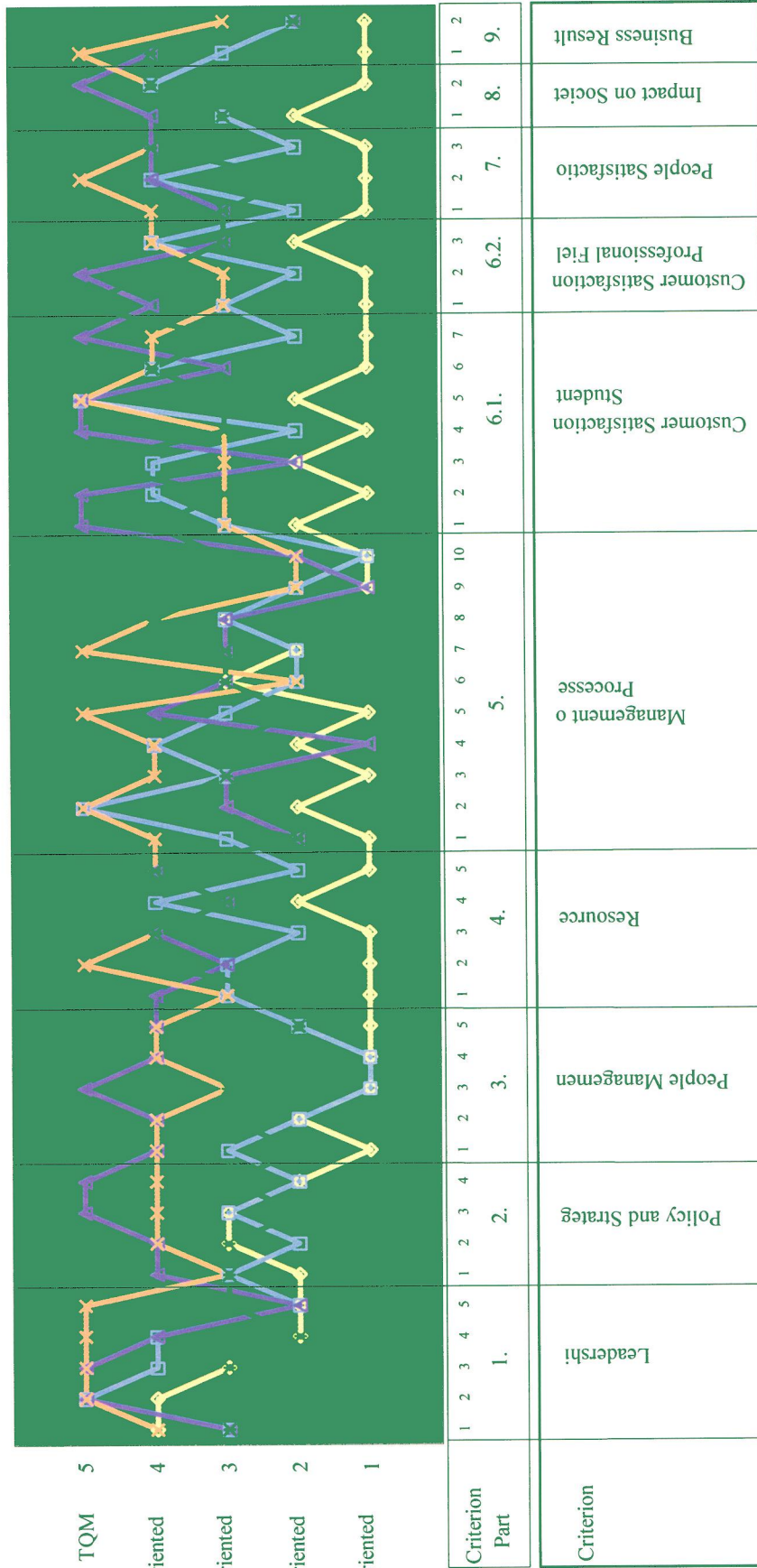
Institution A ─── Institution B ─── Institution C ─── Institution D ─── Institution E

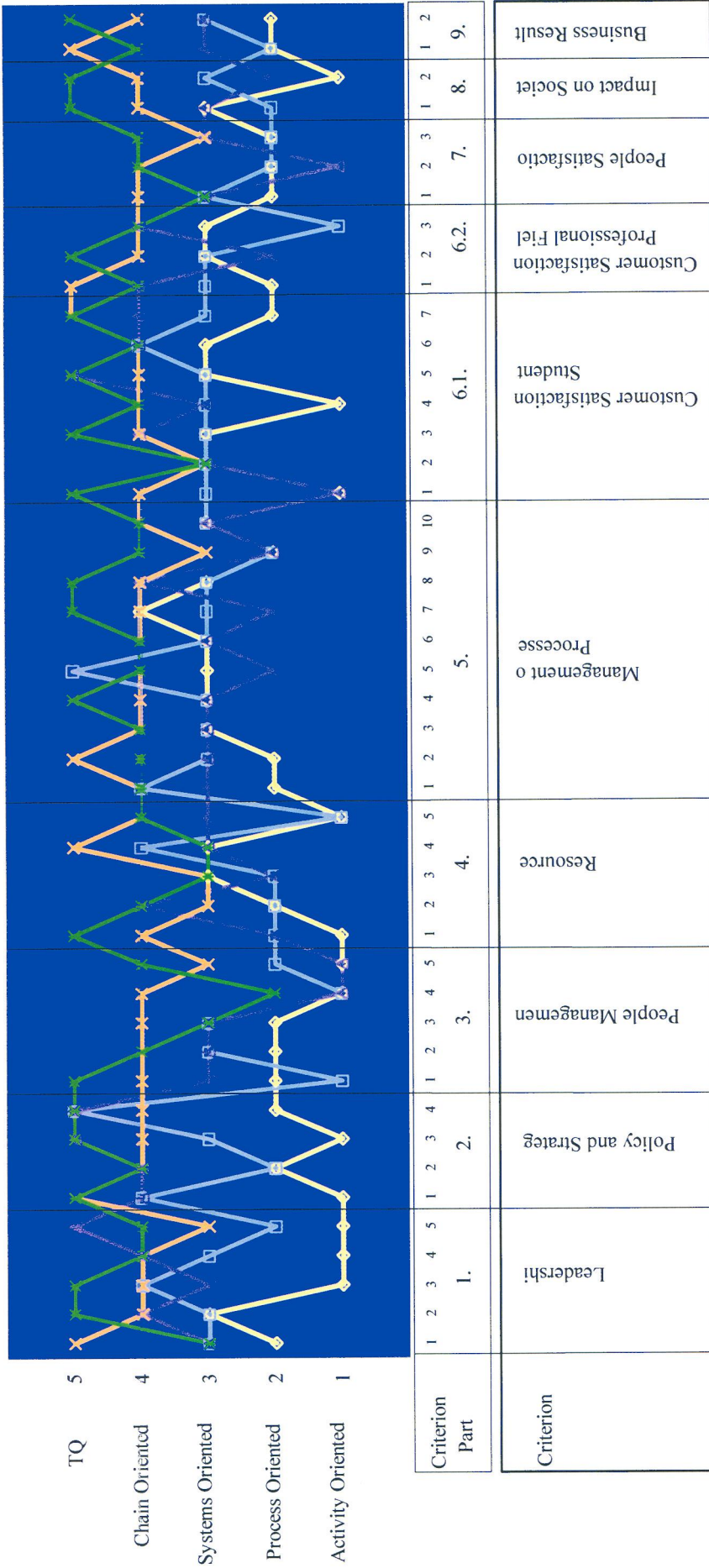**Figure 7.3.6 EFQM: Process evaluation – Leadership Level Comparison**
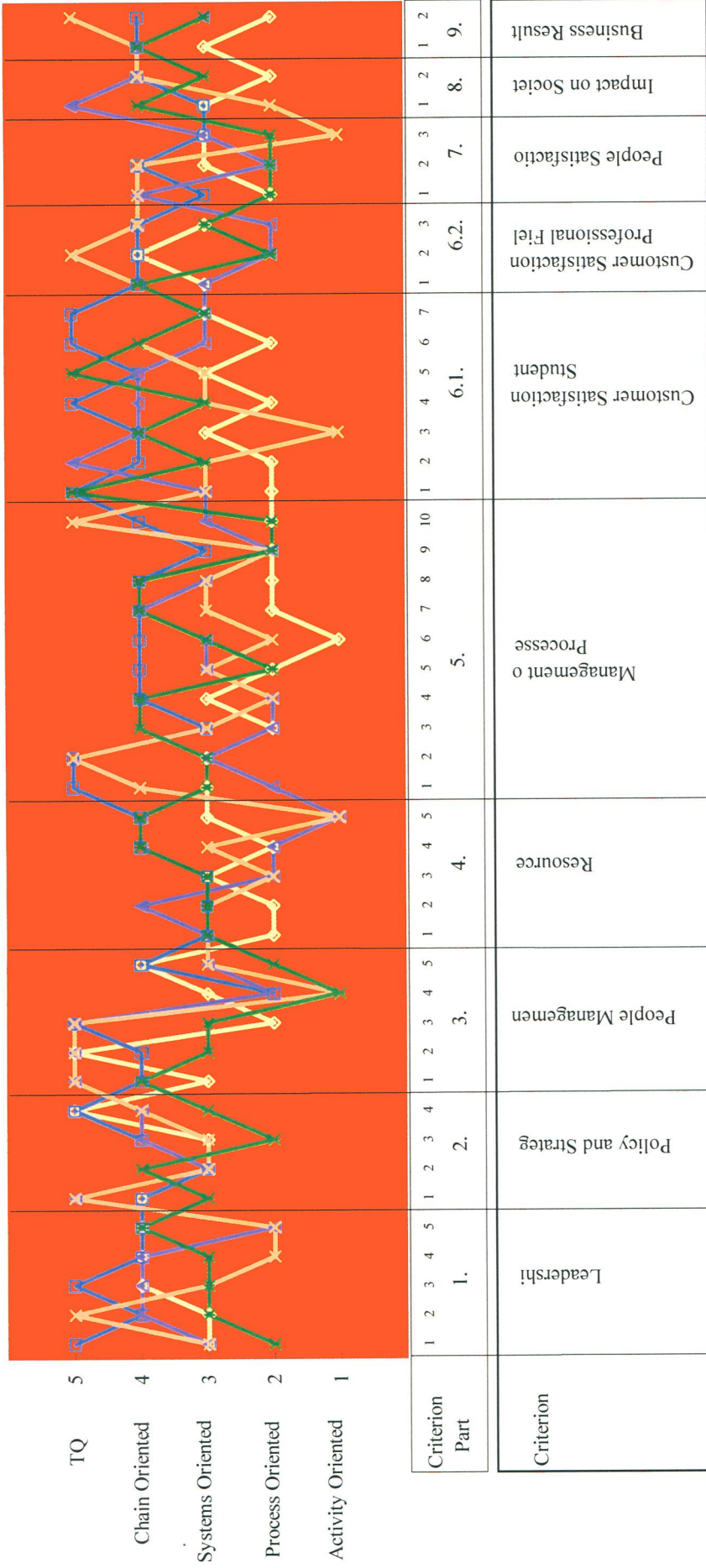
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Middle Management

Criterion Part	1.				2.			3.				4.				5.										6.1.							6.2.			7.			8.		9.	
	2	3	4	5	2	3	4	1	2	3	4	5	1	2	3	4	5	1	2	3	4	5	6	7	8	9	10	1	2	3	4	5	6	7	1	2	3	1	2	3	1	2	1	2
Criterion	Leadershi				Policy and Strateg			People Managemen				Resource				Management o Processe											Customer Satisfaction Student							Customer Satisfaction Professional Fiel			People Satisfactio			Impact on Societ		Business Result	

Figure 7.3.7 EFQM: Process evaluation - Leadership Level Comparison

Legend: Institution A — Institution B — Institution C — Institution D — Institution E

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Figure 7.3.8 EFQM: Process evaluation – Leadership Level Comparison

ii)   ***Report of the EFQM model: Discussion of the different institutions***

The graphical displays of the data generated allowed the researcher to evaluate the understanding and perception of the different participants representing different institutions. There are nine areas (criteria) of evaluation for this questionnaire with forty six criteria points (cf. 6.6.2-*ii*; Appendix D). The main areas (criteria) of evaluation indicating a value judgment regarding excellence in the different institutions are as follows:

- Leadership: (1)
- Policy and strategy: (2)
- People Management: (3)
- Resources: (4)
- Management of processes: (5)
- Customer satisfaction: Students (6a) and Professional field (6b)
- People satisfaction: (7)
- Impact on society: (8)
- Business results: (9)

In the analysis of the information in the EFQM model for each institution, the researcher concentrated on these nine areas to verify if the trends from the other instruments were also present in the experience and understanding of the participants. The researcher found the individual average value judgment for each participant in each area by quantifying the numbers and then applying it to the legend. This enabled her to indicate any major differences in experience and perception. The researcher quantified the data in each institution to indicate the average value judgment for the institution (quantified 'consensus').

a)   *Institution A* ▢

The individual value judgment for this institution indicates considerable differences in almost all areas and a very low overall value judgment of excellence. Areas 4 – 9 (cf. Figure 7.3.1) are the areas that the institution will have to pay special attention to. In the

following explanation, each area of judgment (criterion) is indicated with the highest and lowest value judgements as indicated by the participants. This method brought the dilemma of not exact fits (e.g. Between stage 1 and 2) and the researcher will indicate these **stages in process** as **1→,** not only for this institution but for the others as well.

- **Leadership**: Activity- (1→) to System-oriented (3 →).
- **Policy and strategy**: Activity- (1→) to System-oriented (3 →).
- **People Management**: Activity- (1→) to System-oriented (3 →).
- **Resources**: Process- (2 →) to System-oriented (3).
- **Management of processes**: Activity- (1→) to Process-oriented (2 →).
- **Customer satisfaction - Students**: Process- (2 →) to System-oriented (3).
- **Customer satisfaction - Professional field**: Process- (2 →) to System-oriented (3).
- **People satisfaction - Impact on society**: Activity- (1→) to Process-oriented (2 →).
- **Business results**: Activity- (1→) to Process-oriented (2 →).

This analysis indicates a difference of up to two stages in the perception of excellence between the different participants in this institution with the most significant differences of perception in the areas of leadership, policy and strategy and people management. The average for the institution indicates towards a majority indication value judgment of a process-oriented stage as indicated in Table 7.4. The areas of concern for this institution are highlighted.

Table 7.4   Average value judgment: Institution A

Criteria	Processes				
	1 - Activity	2 - Process	3 - System	4 - Chain	5 - TQM
1			✓→		
2			✓→		
3		✓			
4		✓			
5		✓			
6a		✓			
6b		✓			
7		✓			
8		✓			
9	✓→				

* ▮ - Areas of concern   ▯ - Highest value judgment (applicable to Tables 7.4-7.8)

b)   *Institution B -* ☐

Fig. 7.3.2 points out problematic aspects on certain aspects (criteria points) in the areas of leadership, policy and strategy, resources, management of processes and people satisfaction. The majority individual perceptions for this institution indicate that value judgments concerning excellence are between system-oriented to chain-oriented with significant discrepancies in the areas of people management, customer satisfaction: professional field, impact on society and business results. The highest and lowest individual averages and the institutional average (Table7.5) are as follows:

- **Leadership**: System- (3) to Chain-oriented (4 →).
- **Policy and strategy**: System- (3) to Chain-oriented (4).
- **People Management**: Process- (2) to Chain-oriented (4).
- **Resources**: System-oriented (3).
- **Management of processes**: System- (3) to Chain-oriented (4).
- **Customer satisfaction - Students**: System- (3) to Chain-oriented (4).
- **Customer satisfaction - Professional field**: Process- (2) to Chain-oriented (4).
- **People satisfaction**: Chain-oriented (3).
- **Impact on society**: Activity- (1 →) to System-oriented (3 →).
- **Business results**: Process- (2 →) to Chain-oriented (4).

Table 7.5   Average value judgment: Institution B

Criteria	Processes				
	1 - Activity	2 - Process	3 - System	4 - Chain	5 - TQM
1			✓→		
2			✓		
3		✓→			
4			✓		
5			✓		
6a			✓→		
6b			✓		
7		✓→			
8		✓→			
9			✓		

The average value judgment for the institution indicates towards the stage of systems-oriented, with the major areas of concern that of people management, people satisfaction (the core aspects of a learning organisation) and impact on society. What is interesting to note is that the learning organisation profile of this institution and institution A were very similar while the value judgment for excellence differs to a great extent.

c)   *Institution C -* ■

The trends for concern as indicated in Fig. 7.3.3 are resources, management of processes, people satisfaction, business results and some areas of people management. The individual average value judgment in the areas of people management, customer satisfaction in the professional field, and impact on society indicates considerable discrepancies in the individual perception and experience of the three participants.

- **Leadership**: Chain-oriented (4**).**
- **Policy and strategy**: Chain-oriented (4 →).
- **People Management**: Process- (2) to Chain-oriented (4**).**
- **Resources**: Process- (2 →) System-oriented (3 →).
- **Management of processes**: Process-oriented (2 →).
- **Customer satisfaction - Students**: System- (3 →) to Chain-oriented (4 →).
- **Customer satisfaction - Professional field**: Process- (2) to Chain-oriented (4).
- **People satisfaction**: Process- (2 →) Chain-oriented (3 →).
- **Impact on society**: Process-oriented (2 →**)** to Chain-oriented (4 →).
- **Business results**: System-oriented (3).

The average value judgment for the institution, as depicted in Table 7.6, indicates towards stage 3 – system-oriented but the institution is in the process of development towards stage 4, that of chain-oriented. However, areas for major concern are that of resources and management of processes and links with indications of Fig. 7.3.3.

Table 7.6   Average value judgment: Institution C

Criteria	Processes				
	1 - Activity	2 - Process	3 – System	4 - Chain	5 - TQM
1			✓→		
2				✓→	
3			✓→		
4		✓→			
5		✓→			
6a			✓→		
6b			✓		
7			✓		
8			✓→		
9			✓		

d)   *Institution D -* ▢

The analysis of the data for this institution indicates a much closer experience and perception of participants than in the previous institutions, however the experience of leadership indicates the biggest difference in perception and value judgment. Fig. 7.3.4 gives a clearer indication and shows that there are problem areas within the broader evaluation areas of people management, customer satisfaction (student), people satisfaction and impact on society. This Figure (7.3.4) also indicates a dichotomy in the perception and understanding of what is happening in the leadership area between middle management and the individual leader on the one hand and top management on the other, linking with the average individual value judgment for leadership.

- **Leadership**: System- (3) to Chain-oriented (4 →)**.**
- **Policy and strategy**: System-oriented (3 →)
- **People Management**: System-oriented (3 →).
- **Resources**: Process- (2 →) to System-oriented (3 →).
- **Management of processes**: System- (3) to Chain-oriented (4)**.**
- **Customer satisfaction - Students**: System- (3) to Chain-oriented (4).
- **Customer satisfaction - Professional field**: Process- (3→) to Chain-oriented (4).
- **People satisfaction**: System- (3) to Chain-oriented (4)**.**
- **Impact on society**: System- (3 →) to Chain-oriented (4)**.**
- **Business results**: Chain-oriented (4)**.**

Table 7.7 indicates that the average perception and understanding of excellence for this institution falls in the stage of system-oriented and is in the process of development towards stage 4, that of chain-oriented. There are not major areas of concern except that the area of resources is lagging behind the development in the other areas.

Table 7.7   Average value judgment: Institution D

Criteria	Processes				
	1 - Activity	2 - Process	3 - System	4 - Chain	5 - TQM
1				✓	
2			✓→		
3			✓→		
4			✓		
5			✓→		
6a			✓→		
6b				✓	
7			✓→		
8			✓→		
9				✓	

e)   *Institution E -* ▢

The average individual value judgment in this institution indicates big differences in experience and perception in six of the areas of evaluation (areas 1, 2, 6b, 7, 8, and 9), a clear indication of totally different understandings of what is happening in this institution. Fig. 7.3.5 indicates the areas of concern as those of people management and people satisfaction and specific aspects within the areas of management of processes, customer services (professional field) and business results.

- **Leadership**: Process- (2 →) to Chain-oriented (4**)**.
- **Policy and strategy**: System- (3) to Chain-oriented (4 →**)**.
- **People Management**: Process- (2 →) to System-oriented (3 →).
- **Resources**: System-oriented (3 →).
- **Management of processes**: System- (3 →) to Chain-oriented (4 →**)**.
- **Customer satisfaction - Students**: System-oriented (3 →).
- **Customer satisfaction - Professional field**: Process- (3) to Chain-oriented (4 →).

- **People satisfaction**: Process- (2) to System-oriented (3 →).
- **Impact on society**: System-oriented (3 →) to Total Quality Management (5)
- **Business results**: Process- (3) to Chain-oriented (4 →).

Table 7.8 provides the information to indicate that this institution can be categorised as in the system-oriented stage but clearly on the road of development towards stage 4 that of chain-oriented.

Table 7.8   Average value judgment: Institution E

Criteria	Processes				
	1 - Activity	2 - Process	3 - System	4 - Chain	5 - TQM
1			✓→		
2			✓→		
3			✓		
4			✓		
5			✓→		
6a			✓→		
6b			✓→		
7			✓		
8				✓	
9			✓→		

iii)   Report of the EFQM model: Discussion of the comparative leadership levels - ■ *-* ■ *-* ■

The comparative analysis of participants representing the level of **Top management** (cf. Figure 7.3.6) presents a picture indicating major differences in understanding and perception regarding excellence in the different institutions. However, certain trends can be depicted from this information in spite of the huge differences. The areas of policy and strategy, people management and business results, as well as specific aspects of leadership and management of processes are areas of concern and could have serious effects in any further developments of the institutions towards learning organisations.

Figure 7.3.7 indicates a different picture in the perception and understanding of the participants representing the **Middle Management** group. The information indicates towards less discrepancies and much more of the same experience linking it to the results

of the Learning Organisation Profile. Specific aspects within certain areas appear to be problematic and correspond with the information of the top management level. The aspects of concern lie in the areas of leadership, people management, resources, management of processes, people satisfaction and business results.

The perception and understanding on the level of the **individual leader** (cf. Figure 7.3.8) depicts a wide range of experience. The areas of concern are people management and people satisfaction and also specific aspects in the areas of leadership and resources.

iv)   *General observations and analysis aspects regarding the EFQM Model*

The analysis of the information for the three leadership groups indicate that the areas of leadership, policy and strategy, and people management are areas of concern as depicted in all three levels and that resources, management of processes, people satisfaction and business results are indicated in two of the three levels. These findings correspond with those of the previous two instruments indicating the same trends in the learning organisation profile and the 'thin' understanding of leadership and leadership development and empowerment.

The majority of institutions fall into the category of stage 3 – system-oriented, and in the process of developing towards stage 4 – chain-oriented, in their value judgment of the institutions' processes of development towards excellence. System-oriented indicates that (cf. 6.6.3 – *ii*):

- The total organisation/institution is controlled, including the supporting departments; the management of all processes is governed by internal and external customer orientation; the goal is to pre-empt problems and complaints.
- There is a formulated agreed quality policy, but one which is in the initial stages of implementation. There are forms of systematic evaluation of products, services and entire work processes. A start is being made on the formulation and the introduction of achievement indicators in the quality management.
- The exchange of knowledge and expertise takes place, the lowest level of this exchange being that of the unit/department. The requested and spontaneous involvement of staff and students increases conspicuously (people are stimulated to do so and are also listened

to). The management provides guidance on the basis of the strength of the arguments.

- Actions are carried out in line with the directives and procedures (convincing evidence) (EFQM,1998:5).

It is unfortunate that the most important aspects of developing towards a Learning Organisation, are those areas of evaluation that are indicated as lagging behind in the value judgment of institutions in the process development towards excellence.

7.2.5   Content analysis

The researcher requested the different institutions, in her initial negotiations and dealings, to provide her with a policy document or policy documents that are available to new staff members (all staff members) at their arrival at the institution that would indicate the culture and position towards leadership, leadership development and the transformation towards learning organisations as well as the institution's commitment towards change. The researcher made it clear that she was not interested in copies of the institutions' 'three year rolling plans' (as expected by the Department of Education) but in information that was readily available to each and every academic staff member.

It was not possible for the researcher to get hold of copies of such documents. In fact she had to explain in much detail what she was looking for. In three cases she was referred to the institutions' Web sites to go and find the information.

The researcher could find information on four of the five institutions on the Internet. She received a copy of the fifth institution's Vision and Mission statement from one of the participants who displayed it in his/her office (one of only two out of the fifteen cases, where the Vision and Mission was visibly displayed). It provided the researcher with very limited information and descriptions and explanations of terminologies. Concepts were taken at 'face value' and resulted in a 'thin' description of institutional policies and strategies. Due to the limited information available the researcher concentrated on and summarised the following aspects as related to the higher education environment.

- Vision.
- Mission.
- Values.
- Goals.

- Philosophy.
- Transformation.
- Equity appointments in top structures.

i)   Institutional content analysis

The institutional information has been summarised in the following comparative tables indicating the areas of importance. For the sake of confidentiality the institutions are not numbered A – E as in the previous cases and will also not be presented in the same order as in the previous results.

a)   Discussion of Institutional Vision and Mission

Table 7.9   Institutional comparisons: Vision and Mission statements

INSTITUTION	VISION	MISSION
✱	- No vision in documentation	- Leading Institution - Globally recognised - Excellence and Quality - Responsible towards country
◆	- World class institution - Quality - Innovation	- Retain excellence - Innovation - Empowerment
✺	- Leader in Higher Education - Quality	- Quality - Provide for the needs of the country
✪	- Excellence/Quality - Competitive - Relevant to Africa	- First choice - Improved education
◉	- Future orientation - Leader of Higher Education - Internationally recognised - Quality/high standards	- Internationally recognised - Quality - Provide for the needs of the country

The analysis of the important aspects in the vision and mission statements of the institutions gives almost the impression of a 'paint by numbers' version in the compiling of this important documentation, thus, playing around with words indicating almost the

same version for every institution. The visions provide three main themes of relevance - that of world class /internationally recognised; quality (education/institution); leader in higher education. Four separate aspects that are also very relevant to the three basic themes are also mentioned. They are: innovation, competitive, relevant to Africa, and future oriented. The mission statements follow the same trend as the institutional visions indicating four themes: leading/first choice institution; globally/internationally recognized; excellence/quality; provide for the need of the country.

b)   Discussion of institutional values and goals

Table 7.10   Institutional comparisons: Values and Goals

INSTITUTION	VALUES	GOALS
✱	• Tolerance • Justice • Equality • Foster cultural diversity	• Address disadvantages in education
◆	• Inspires work ethics • Professionalism • Ethical norms • Excellence: Academic and Technology • Care	• No description in documentation
✸	• Respect • Dignity • Tolerance • No discrimination • Ethical values: honesty, trustworthiness, accountability, equity	• Participative management • Culture of excellence • Professional excellence • Community development
✪	• Tolerance	• No description in documentation
☉	• Innovation • Values and tolerance: academic, religious, moral, social, cultural • Equality • Non racial and non sexist	• Training and development of disadvantaged staff • Address past imbalances • Effective and transparent management

A number of important aspects are addressed in the comparative analysis of the institutional values. They are tolerance; moral and ethical values; work ethics and professionalism; equality; issues of discrimination as well as excellence. Only three

institutions have indicated their goals. The goals are also structured within three areas namely that of training and development to eradicate disadvantages, management issues and traditional academic values (professionalism and community development). It is important to note that only one institution mentions the concept of culture.

c)   *Discussion of institutional philosophies and transformation*

Table 7.11   Institutional comparisons: Philosophy and Transformation

INSTITUTION	PHILOSOPHY	TRANSFORMATION
✳	• No information available	• No information available
◆	• No information available	• No information available
✹	• No information available	• Democratic values • Representative • Participatory • Transparent • Evolutionary course of change • Continuous evaluation of transformation
✪	• No information available	• No information available
⊙	• No information available	• No information available

Not one of the institutions indicated an institutional philosophy in their documentation and only one institution provided information regarding the process of transformation in that specific institution, indicating a continuous evaluation of the transformation process. An aspect that is important to note is that not one of the institutions have indicated any inclination and/or direction towards leadership or a culture of leadership development.

d)   *Equity in the top leadership structures*

Table 7.12   Top management positions in the five institutions

MEN	WOMAN	WHITE	BLACK
17	3	14	6

The information regarding the equality in top management indicates a total imbalance in the representation of woman and black people in these positions. Higher education institutions still have a long way to go in eradicating these imbalances. However, information regarding all the institutions in South Africa might indicate a totally different picture. The information presented in Table 7.11 was confirmed at the data generating stage (2001) of the study.

7.3   CONCLUSION

The number of methods used to collect information regarding leadership, leadership development and change towards learning organisations in higher educations, as indicated in chapters 6 and 7, provided the researcher with a vast number of data regarding these aspects. However, the analyses of the data indicated towards similarities and specific trends and differences corresponding across the number of higher education institutions represented in the sample. The number of different methods and instruments highlighted the similarities and trends, indicating the areas of concern in all the institutions. The similarities and trends as well as the recommendations towards change and the transformation towards learning organisations will be discussed in more detail in chapter 8.

Leadership that *distributes* leadership is,

in the context of a democratic ethics,

the strongest and most flexible of all".

Brameld, 1995:416

CHAPTER 8 - OVERVIEW

CONCLUSION AND RECOMMENDATIONS

8.1   INTRODUCTION

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8.2.2   The Process Model for Academic Leadership towards Learning Organisations

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CHAPTER 8

CONCLUSIONS AND RECOMMENDATIONS

8.1   INTRODUCTION

This study aimed at investigating leadership and leadership development in higher education and the transformation of higher education institutions towards learning organisations in South Africa. In order to effect this, the following were examined:

- Transformation in higher education in South Africa and developing countries, concentrating on Africa (Chapter 2).
- An international perspective on higher education in transformation (Chapter 3).
- The influence of organisational theory on the development of learning organisations and higher education institutions as learning organisations. (Chapter 4).
- A conceptual understanding and analysis of the 'Process model for academic leadership' towards learning organisations (Chapter 5).
- The authority of theoretical tradition in the development of methods to analyse leadership, leadership development and higher education institutions in the process of developing towards learning organisations (Chapter 6).
- Leadership and leadership development as important aspects in the process of developing higher education institutions in South Africa to become learning organisations (Chapter 7)

The analysis of the model for academic leadership did not only bring new insights regarding the model but also provided the scope and dimensions to use creative methods to evaluate the transformation process in higher education institutions. This analysis also yielded answers to some crucial questions regarding leadership, leadership development and the process of change in higher education institutions in South Africa as well as the development and change of South African higher education institutions into learning organisations.

This chapter attempts to provide possible answers to the problems regarding leadership, leadership development and the transformation towards learning organisations.

8.2 PERSPECTIVES REGARDING CHANGE AND TRANSFORMATION PROCESSES IN HIGHER EDUCATION

8.2.1 Change and transformation at national and international level

The analysis of the literature on higher education change and transformation (chapters 2, 3 and 4) indicates that in the South African context responses towards change had a culture of administration rather than management (Cloete et al, 2000:8-16). However, dealing with the restructuring of South African higher education and the demands of the Higher Education National Plan emphasizes the necessity for institutions to change, to enable them to develop, not only higher education organisational structures that will fit the future, but also forms of leadership that will enhance this process (cf. 2.2.3).

The literature reviewed could be seen as a 'case study' evaluation regarding the demands for change and transformation in higher education institutions in South Africa, the developing world and Africa, and a sample of developed countries (cf. 2.2; 2.3; 3.3). The indications are that higher education in the developing world is in serious trouble (cf. 2.3.3 and World Bank Report, 2000:16-26). It points to the lack of qualified and well trained academic staff in Africa and the fact that higher education institutions in African countries can hardly support themselves (as indicated in the World Bank Report 2000:16-26) The question that needs to be raised in the light of this information is why South African higher education should include in the National Plan for higher education the recruitment of academic staff from the rest of Africa as part of their strategies to achieve their goals (cf. 2.2.3). Shouldn't it be the other way around? As a gesture of goodwill and support, shouldn't South Africa provide African countries with qualified people to help with the process of development instead of supporting the brain drain?

The analysis of the information on such a broad front indicated that transformation and change in higher education is a world wide phenomena dealing with the same problems and demands and that the pace for change has passed the stage of evolution. Higher

education needs a revolution, a total and continuous redesign of institutions to keep abreast of the pace of change. The information researched indicated that some countries have been dealing with these problems over a long period of time while others are just starting to look at what needs to be done. The researcher has indicated that the way the present may evolve into the future should not be a prophetic forecast for higher education institutions but a significant change in methodology and process thus, a change in the way in how and what institutions are teaching, and how institutions are organised and led (cf. 3.4; 3.10.2). Institutions should not be forced into adaptation/change through environmental pressure but should use all the skills and potential of individuals that they have available to enable such a future and use the information available of structures that are there and make the information work for them (cf. Figure 4.2 and 4.5.2-4.5.4). Institutions should not only be developing awareness for dramatic change, exploring alternatives, making transitions and achieving integration (Apps, 1988: 34;65). Institutions should be taking action. The changed idea of a higher education institution, and also to be a successful institution demands that, "… institutions must be successfully reformed and seen to be reformed". Not as an initiative of a specific authority but as part of the empowerment of the individual and the structure (Bell & Harrison, 1998:66-73). An organisational culture for adjustment towards change must be cultivated and instilled and this culture must include the developing of leadership and the empowerment of the individual to be able to achieve the goals of a learning organisation.

8.2.2 The Process Model for Academic Leadership towards Learning Organisations

In chapter 5 the analysis and the conceptual understanding of the model, as well as looking into the reasons why change initiatives fail, brought new insights and dimensions of understanding to the model for academic leadership and the creative development of new visual presentations of these insights and dimensions (cf. Diagram 5.8; 5.3.3:*iv-vi*). These insights will not only help in the empowerment of the individual but will also provide a fundamental starting point in the re-creation of these revolutionised and re-organised and newly re-created higher education structures (cf. 4.5 and 5.3.3).

The authority of traditional frameworks (Chapter 6) provided the researcher with the scope and dimensions to:

- Use the " Academic 'Process Leadership' Super structure" and the "Empowered institution" (Van der Westhuizen, 1998: 161;173) as criteria in the process evaluation of a sample of South African higher education institutions, and

- Implement various creative methods and techniques to look into the process of transformation and change, leadership, leadership development and the development of institutions into learning organisations.

8.3   CONCLUSIONS DRAWN FROM THE QUALITATIVE INVESTIGATION OF THE PROCESS EVALUATION OF SOUTH AFRICAN HIGHER EDUCATION INSTITUTIONS

The four techniques used to generate data from the identified units of analysis and evaluation, as discussed in chapters 6 and 7, brought the scope and dimensions of the Academic Leadership model into perspective as well as the dimensions of the change process facing higher education institutions. Although a vast and varied amount of data has been collected from a sample of very different institutions and individuals, certain common trends and similarities as well as differences can be discerned from the information analysis of the interview, questionnaires, projective technique and content analysis in the qualitative research design.

8.3.1   Leadership

Leadership and the understanding of leadership, as indicated in chapter 7(cf. 7.2.1) are very much seen in the mould of the trait theories indicating towards the notion of the Super Manager, the CEO concept of hierarchical structures. The explanation provided by the participants during the interviews indicated an understanding of the roles and skills of the institutional leader, but not a clear conception of the individual as a leader.

The acceptance of leadership as a position supports the concept and understanding of matching the job description and post level to the qualities of the individual to find a

good management match. The 'thin' understanding of leadership goes hand in hand with the hierarchical structures, and indicates that the institution has not defined leadership and made it part of the institutional culture for the purpose of empowerment and to use all the potential available. The concept of leadership only exist as meaning in the mind of the individual and not in the 'mind' of the institution, as indicated in the analyses of the institutional documents and in the understanding and perception of the participants on what is happening in their institutions.

Although quite a number of individuals indicated participative leadership as a way of working at their specific levels it still does not change the hierarchical structure as the preferred way of working in institutions. Being consultative in the process and making use of groups still does not create flatter boundaryless structures and the empowerment of the individual as a leader. Working in this way might be a step in the right direction, or it could indicate towards 'going through the motions' because everyone else is doing it, and it is therefore probably the right thing to do.

The projective technique confirmed this understanding of leadership. Individuals want to be recognised as leaders and be empowered in the process. However, they hardly have any idea what the skills necessary, and what the image of the self as a leader in the institution within this new concept of leadership, should look like. They are therefore, portrayed within the confined hierarchical structures of the institutions and within the limits of their level of authority and job descriptions.

8.3.2   Leadership development

Not one of the respondents, representing the different institutions in the sample, indicated a structured programme of leadership development. In fact, in most cases it was seen (and felt) as a serious oversight. Leadership development was seen and experienced in most cases as the development of management skills and roles and as being available to those appointed in leadership positions or those few individuals identified as possible future managers.

8.3.3   The Learning Organisation

The analysis of the different aspects regarding higher education institutions as learning organisations indicated considerable differences and discrepancies in the responses. The responses indicated the understanding of the individual participants and the researcher acknowledges that as a limitation within the study. However, it is important to report that a meaningful number of similarities and common trends could be discerned. The learning organisation profile of the sample of higher education institutions indicated an understanding and perception of the elements and/or criteria of a learning organisation as applied to the sample of South African institutions. The information depicted as an average on a scale and graphically displayed, indicated that institutions are in the process between 'applying to a moderate extent' and 'applying to a great extent' to the image of a learning organisation.

The aspects that influence this image are the common trends of concern in the learning organisation profile evaluation, indicating towards a general understanding that institutions represented in the sample have problems in the areas of:

- Learning dynamics.
- People empowerment.
- Knowledge management.

The concept of learning dynamics relates to levels of learning which include individual and organisational learning, types of learning (adaptive, anticipatory and generative learning; single- and double-loop learning, and deutero learning; action learning/action reflection learning) and skills/disciplines of organisational learning. The concept of people empowerment supports the important viewpoint that people are the pivotal part of learning organisations. The fact that only people learn has as a result that people can take data and transform it into valuable knowledge in organisational structures that will enhance organisational learning. Knowledge management refers to the management of acquired and generated knowledge of the organisation, which include the acquisition, creation, storage, transfer and utilization of knowledge. The organisation's traditions,

culture, technology operations, systems and procedures are all based on knowledge and expertise (Marquardt, 1996).

These trends corresponds with the trends of the EFQM process evaluation indicating problems and concern in the following areas:

- Leadership (corresponding with the evaluation of leadership).
- People management.
- Policies and strategies.

In the EFQM model leadership indicates how leadership is displayed in behaviour and manner of intervention at all levels. It describes how leadership relates to vision, personal involvement, external activity, and recognizes, appreciates and supports individual efforts and reflects upon its own activities. People management refers to the people policy, staff planning, assessment, feedback, employee well being and morale as well as guidance and development of personnel. Policies and strategies refers to the presence of plans on policy, development of policy, communication with regard to policy, and the testing and improving of policy and strategy.

Aspects in the following areas were also of concern and confirms the similarities of the previous trends:

- People satisfaction.
- Management of processes.
- Resources.
- Business results.

These aspects refer to the appreciation that the staff members have for opportunities to execute their tasks and develop themselves, their work environment (safety, health, work climate), and to the extent to which people feel involved in their organisation. These aspects reflect on the educational organisation and processes and the resources provided to achieve the most advantageous educational and business results (EFQM, 1998).

These trends relate to the explanation and viewpoint of Middlehurst (1993,:161) regarding the difference between the "hard" and "soft' systems in institutions. The hard systems involves aspects of the organisation's infrastructure that can have an impact on behaviour, while the "soft systems" include aspects such as values, norms, traditions, and habits of thought. These two systems complement one another to create ethos, climate and institutional culture, which again can influence leadership and the development of individual leadership (Van der Westhuizen, 1998:136). The problem areas as indicated by the Learning Organisation Profile and the EFQM model and the 'thin' understanding of leadership, indicates towards the impact the 'hard systems" have on, what the participants experience in their institutions and how these experiences impact on the 'soft systems'. The influence of the institutional infrastructure on the people in the institution as indicated in the information analysed, have therefore an impact on how the participants think leadership should be (actor's viewpoint) and how the institution (structure) are managed.

The Apperception projections, a process by which researchers obtain firsthand responsive information about the world around them and an awareness of events presently occurring, confirm the trends and similarities as indicated by the previous instruments (results from Learning Organisation Profile, the EFQM model as well as the understanding of leadership). It also impacts on what is leadership and what is management (cf. Table 5.2) Institutions are so involved in legislative transformation that the concepts of really becoming a learning organisation are not dealt with. This is not surprising, given all the dynamics and constraints present in the South African higher education system regarding the influence of the restructuring of the higher education landscape (cf. 2.2.3 and Table 2.4). The mergers of institutions influencing possible downsizing, the debate on language, the cultural and equity aspects as well as the financial implications are matters of concern. It not only has an impact on the institutions involved, but also on the morale and well being of the individual staff members who will carry the brunt of the restructuring process. However, the new and totally different forms of leadership are certainly on the minds of individuals, although it does not form part of institutional culture and supporting structures. This indicates towards the findings of Cloete et al (2000) (cf. 2.2.3), who indicate that South African institutions have a culture of administration rather than management, which have an impact on the concern

regarding leadership and leadership development. The old hierarchical forms, and management level prestige are so imbedded in the systems that it will need wise and courageous leaders to attempt to break down these super administrative and management structures. In the meantime potential, creativity and innovation are not put to its full use. In fact, it is sadly wasted.

Excellence, the result of learning organisations, is an aspect discussed in the interviews as well as looked into with the EFQM model. Excellence as discussed in the interviews is seen as the opposite of mediocrity and some participants were very vocal in their description and understanding of the fact that mediocrity in the quality of work and qualifications is not acceptable. However, excellence when seen as part of the process in higher education institutions, and evaluated in the EFQM model – a model that illustrates that leadership gives content to process and structure on the road to quality and excellence, brings home quite a different picture. It implies that the higher education institutions included in the sample, still need significant improvement in all areas and especially in the areas of leadership, people management and satisfaction, knowledge management and learning dynamics to be able to be competitive in the global and international markets.

The institutional analysis also confirmed that these institutions are more concerned with being internationally competitive as well as being relevant to the South African situation and legislation than being concerned with leadership, leadership development and becoming learning organisations. However, the perception regarding institutional business results at the different leadership levels (cf. Figures 7.3.6 – 7.3.8) indicates towards a negative understanding and perception. Institutions (structure) therefore, might declare/indicate positive business results, but the individual(s) (actor) included in the sample, has a different understanding and perception.

8.3.4   General observations and analysis aspects regarding the data collected

Women participants expressed the disturbing aspect of gender inequality and discrimination that is still very much at large. They also indicated a definite difference in the leadership experience between men and women (cf.7.2.1 – *iv*). The researcher asked

the question if this is still a problem of classic stereotyping? This concern could possibly be linked with the seemingly deliberate inclusion of women in the sample of participants in the selected institutions. Three of the five institutions included two women participants in their sample. Institutions might want to portrait to their external environment that inequality is something of the past, while the internal environment, as experienced by woman participants indicates towards inequality. In the analyses of the Learning Organisation Profile (cf. 7.2.3 – *iv*), women participants were responsible for the lowest rating average in all but one institution. This could most possibly be linked with the negative experiences of women regarding the working environment.

Women participants also reported a definite difference in the leadership experience between men and women. Women participants preferred a more open and relaxed leadership style in a flat structure. They indicated a more collaborative and inclusive way of working as well as an inclination towards more risk taking. This understanding and experience of leadership are also in stark contrast with the managerial and hierarchical system that exists, a system that was supported by the findings of the Apperception projection (cf. 7.2.1 – *iv*; 7.2.2).

The content analyses revealed a lack in the availability of an internal institutional policy document. This document should be available to each and every individual staff member in the institution. This however, does not indicate that such documentation does not exist, but it could be a possibility. The reluctance of institutions to deal with this request might also correspond with the negative feedback regarding employment well being and morale, the workplace environment and to the extent people feel involved in their institutions (cf. 8.3.3) as confirmed in the analyses of the EFQM model.

8.3.5   Concluding remarks

The viewpoints expressed by the participants during the interviews and other evaluation methods concerning the process of change, leadership, leadership development and transformation towards learning organisations as analysed and discussed in chapter 7 do not confirm the viewpoints expressed regarding institutional change as discussed in chapters 2, 3, 4 and 5. Some of the participants however, expressed the need for new

leadership structures and empowerment, but nobody went as far as indicating revolutionary changes and re-organisation of the present higher education forms and structures.

8.4 GUIDELINES FOR CHANGE TOWARDS LEARNING ORGANISATIONS AND NEW LEADERSHIP IN HIGHER EDUCATION INSTITUTIONS

Higher education institutions in South Africa have embarked on the process of change and are involved in the process of institutional transformation as described in the guidelines for effective institutional governance by Fourie (1996:288-293). This process also forms part of the institutional reform process, legislated and inspired by government, as indicated in chapter 2 of this study. However, the author also used this process as the starting point for the Academic 'Process Leadership' Super structure as described in Van der Westhuizen (1998:117-126) and analysed in this study (cf. 5.3.1). This strategy for change provides the space for institutions to enculturate a flexible, innovative and creative strategy for institutional leadership and empowerment. The literature review of higher education in chapters 2 and 3 indicate and describe the pressures and demand towards new higher education structures, governance and leadership. Higher education institutions therefore, will have to consider if they want to make the decision to take the first step in developing institutions fit and worthy for this new millennium. The results and conclusions drawn from the study indicate that the sample of South African higher education institutions has not moved past this initial step of transformation. The legislative demands for change in South African higher education institutions provide the strategy (cf. 5.3.1) (the shell/casing) for change and transformation. These institutions have only started to create the shell/casing to provide the space of this new image (cf. 5.3.1 – *i*; *ii*).

8.4.1   The Academic 'Process Leadership' Super structure and the Learning Organisation

The three areas of leadership development as indicated in the Dynamic Academic Leadership structure (Van der Westhuizen, 1998:160; cf. 5.3.2) and incorporated in the Academic 'Process Leadership' Super structure (Van der Westhuizen, 1998:161; cf. 5.3)

not only provide institutions with the new skills and roles for institutional development, but also describes the process to fit the space provided by the strategy for transformation. This process provides the people skills, people empowerment and management as well as the learning dynamics that are sadly lacking in institutions at present, as indicated in the analysis of the institutional data and results. This process will also enable institutions to develop autotelic leadership, and autotelic leadership skills (cf. 5.3.2:*vi*). These are concepts of authenticity that will provide the 'flow' and the 'process' as well as the energy for self-organisation and re-organisation to engage in the continuous change towards new thinking, the profound challenge of new learning and understanding towards a learning organisation that will enable them to develop empowered institutions that will fit the vision of the future (cf. Diagram 5.8). By implementing this process, institutions will not develop more of the same in another format, but will take a quantum leap forward.

8.4.2 Leadership development for the future

The researcher indicates in 4.5.4 that the conceptions of leadership have evolved from the heroic individual view to a more complex inter action among the potential and the skills of the individual as well as the external and internal settings in which the individual functions. Kotter (1999:1-2) indicates that far to few of the extraordinary bright experienced individuals are providing the leadership that is necessary. Therefore, organisations lack leadership, indicating a deficit not of ten percent, but of two hundred to four hundred percent and more. Leadership development for the future will therefore have to bring a revolutionised format to institutional structures and to academic development in higher education institutions. Leadership becomes the central driving axis and (leadership, not management), the primary force behind successful change.

The literature review and conceptual framework in chapters 2, 3, 4 and 5 indicates towards new understanding of leadership, empowerment of the individual and new institutional structures. The analyses of the data collected (chapter 7) indicates however, towards areas of concern regarding leadership, leadership development, people empowerment, knowledge management, people management and people satisfaction, policies and strategies, management of processes, resources and business results.

These areas form the core aspects of development and empowerment towards new institutional structures (cf. 4.5 and 5.3.3). However the differences in individual perception within the sample of institutions indicate that consensus should be reached within each institution to establish the stage in the process towards quality and excellence. An institutional audit should provide this consensus and consistency towards perception and understanding. A defined view on leadership and leadership development explicitly described and acknowledged in institutional policies and documents should provide the driving force for these institutions to generate further momentum towards the expected change. This could also help these institutions (structure) to bring individual (actor) understanding and perception from the negative view regarding institutional leadership (feedback; communication and information) and people satisfaction (regarding workplace environment, employment well being and staff commitment and involvement, institutional knowledge generation and operational results) to a more positive level and to provide the momentum necessary for change generated from inside. In addressing leadership and leadership development, it could also help to clear the management and administrative tendencies confused as leadership. A clear definement of these concepts could clear up the misconceptions and help with the new definition of organisational structures (structure) that should be more in line with the individual (actor) viewpoint regarding leadership and leadership development.

It is however no longer a question of **could or should change** but **must change**. The institutions represented in the sample should look at the following aspects to increase the probability of success significantly and to decrease the possibility of mistakes accordingly. The following aspects should be taken into consideration:

- Institutions should, as a number one priority, **define** leadership and leadership development. These definitions should be agreed upon by the academic community of the specific institution and should incorporate the viewpoint of the empowered individual and the learning organisation. It should be clearly understood that management is a far cry from leadership. Management and administrative skills are just one of the three pillars (sub-structures) of leadership and leadership development.

- Institutions should **incorporate** these definitions as **core concepts** of institutional vision and mission statements. Institutions can no longer afford the luxury of viewing leadership as a position or an office or a job description within the institution. In short, they will have to start working and looking from the inside (internal environment) and not only deal with the outer shell/casing (external environment and pressures).

- Institutions should develop a **culture** of leadership and leadership development as described in the model for academic leadership and **enculturate the process.**

- Academic development and orientation **programmes** should focus on leadership development and institutional learning dynamics to **instill autotelic leadership skills**. Academic development in its present form should become part of administrative leadership development and management processes as described in the Academic leadership model, and should be dealt with as 'just in time' learning at the sub-unit level.

- Institutions should **distinguish between leadership and management** processes and not confuse the issues.

- Institutions should **acknowledge** the right of every individual towards leadership development, self-fulfillment and empowerment and not view it as a privilege for the selected few individuals. This includes a **new** perception and understanding of equality for women and black people.

- Institutions should **acknowledge** their lack of concern for individual development and empowerment and get rid of the ever-increasing complex webs of relationships, which managerial jobs and formal hierarchical structures are placing on institutions.

- Institutions should realise and acknowledge that they dare not substitute **excellence** with mediocrity. The acknowledgement of empowerment and self-fulfillment as motivational powers will provide institutions with the first step on the road to excellence. The individual should be seen as possibilities in process, "a democracy of the intellect" (Murphy:1999:80).

8.4.3   Higher education structures for the future

New visions of reality and institutional transformation are based on the awareness of the interrelatedness, interdependence and the empowerment of all individuals in institutions

that are seen and evaluated as a whole. Institutions should use the collegial model and the concept of excellence as a starting point for new institutional structures and infuse that with entrepreneurial thinking and creative models. The institutions should link these models with different forms of networks to encourage flat hierarchical structures and institutional learning processes to develop learning organisations. Institutions must realise that continual change is eminent and that change has to be led (cf. Figure 4.2). Institutions cannot keep on working on the continuum of changing and managing structures from schools to faculties and back to schools again, in this way reinventing the wheel. Dealing with the process of change in such a manner is not an indication of leading change. Institutions should realise that in reinventing the status quo they are just one step away from dying.

It is important for institutions to realise that they must be aware that transformation fails when:

- Transformation is viewed by top management as something the employees have to do and that they are not part of it (distance themselves from the process). Top management in the sample of institutions, should be open to, not only institutional audits (as indicated in the EFQM model), but also to feedback regarding how they are viewed as leaders in their institutions.

- Change is not lead, but managed. Change and transformation as required by legislation are managed in these institutions and impacts on the institution (structure) and not necessarily on the individual (actor). However, dealing with a strategy for change (pressures from the external environment) will impact on the 'hard systems" of the institution, while the impact on the internal environment and "soft systems" might be sadly neglected in the light of political expediency and correctness.

- There is a lack of vision and understanding regarding leadership and leadership development. Leadership is viewed as the ownership of a privileged few and imbedded in the hierarchical structure.

- The vision is under communicated and there are a lack of information and feedback. This will impact on the "soft systems" of the institution and the initiative and commitment of the individual staff members

- Institutions do not remove obstacles to realise the new vision. These obstacles are aspects such as old hierarchical structures and beliefs, imbedded managerialism instead of leadership, and the stereotyping of women and black people.

- Institutions do not enculturate and anchor institutional changes in the institutions' culture. A culture that should include leadership, leadership development and individual empowerment.

- Institutions do not establish a great enough sense of urgency dealing with aspects inside the 'space/shell' (cf. 5.3.1 and Diagram 5.2a and b) created by the strategy for change that will help with the enculturation of leadership and leadership development towards learning organisations.

- Institutions do not create a powerful enough coalition of people to guide and direct, and develop an empowered leadership workforce.

- Institutions keep on thinking and believing in the 'myth' that 'teaching' institutions automatically qualify as learning organisations.

- Institutions keep on believing in the 'myth' that because of the depth of professional knowledge in institutions, that they have the answers to all the problems. Institutional learning as required in the development of learning organisations differs from that of professional knowledge and individual learning.

- Institutions declare victory too soon, indicating an understanding that change is a once off business and not realising the continuity of the process (cf. 5.3.3:*iv*; Kotter,1999:75-90).

Institutions and institutional leadership should therefore, be brave enough to declare the death of the old structures and have the courage and be bold enough to invent 'new' institutional structures and models that will fit the future. They should realise that leadership development is a continuous process, and that gifted individuals working alone may waste years of pursuing a sterile line of enquiry (Bennis & Biederman, 1997:7) and development. Institutions should implement and use the 'Autotelic Leadership and Learning Organisation' (cf. Diagram 5.8) model to empower their people and re-invent and recreate new institutional structures.

8.5   RECOMMENDATIONS FOR FURTHER RESEARCH

In the analysis of the data the researcher was more concerned with trends in the transformation process and did not analyse specific criteria points within each broad area. Further investigation into the specific criteria points could bring more light into the understanding of what is wrong at specific institutions. The study included five institutions and findings from other institutions may contribute to an even more profound understanding of the leadership dilemma in higher education institutions in South Africa as well as on the African and international scene.

The example of the EFQM model could serve as a motivation and inspiration for further investigation as well as looking into a generic audit model for South African institutions and the developing countries in Africa (in line with the African Renaissance). This could help to accelerate the successful transformation of higher education systems built on these new models of leadership, the transformation towards learning organisation and the effective integration of cultures and openness to change at all institutional levels (cf. 2.3.3). Such a generic model could be instructive to the rest of the world and to academic life universally.

Another aspect for further investigation could be the understanding and perception of woman in South African higher education institutions regarding equality. An aspect that was experienced as a reality by the women participants in the sample of higher education institutions regardless of the legislation influencing equity.

The definite difference in the leadership experience between men and women, as experienced in the sample of institutions, could be another aspect of further investigation. Such a study could include the preference of women regarding a more open and less formal leadership style, and flat structures.

The view and understanding of the concept of lifelong learning (cf. 7.2.2) as well as the role of lifelong learning in higher education institutions could be another area of investigation. Should lifelong learning be seen as an integral part of academic life or is it an aspect that belongs with the implementation of the Skills Development Bill?

It is also recommended that the 'Autotelic Leadership and Learning Organisation' model (Diagram 5.8) be implemented and incorporated into the new institutional structures of higher education institutions. It is believed that the incorporation of this model will greatly influence institutional thinking, learning and leadership development as well as the re-organisation and the metamorphosis of old institutional structures to learning organisations. It will help institutions to enculturate a creative and innovative culture of leadership and leadership development.

8.6   CONCLUSION

Research has shown that higher education institutions have traditionally been slow to adapt to change. One of the key problems of institutional change is that we keep on altering aspects at the margins, the periphery of what is defined as higher education and we refuse to look at, and into the inside of what is really happening in institutions. Only dealing with change as driven by legislation won't change a thing. Institutions and more specifically institutional leadership should come down the ladder and recognise their vulnerability but also the greatness they can achieve if they should open their minds and their hearts to their workforce and allow their workforce to discover their own greatness. They can multiply their achievements by a factor of two if they should empower their institutions and their workforce by enculturating leadership and leadership development in their institutions.

It was argued in the very early stages of the study that the model for Academic Leadership could be used to evaluate the process of leadership and leadership development towards learning organisations in higher education institutions in South Africa. The model provided the researcher with profound scope and dimensions to evaluate the transformation process in the sample of higher education institutions in South Africa and to highlight the significant shortcomings and concerns regarding the development of the 'soft side' of these institutions in their transformation process

The premise that South African higher education institutions are developing towards learning organisations has not been confirmed. In fact, hard work lies ahead for institutions if they want to fulfill their promise to a new century and a new future. It is

however, possible for institutions to become learning organisations if they are prepared to go one-step further than the implementation of the strategy for transformation. Institutions should have more than a message and a vision. They must have the actions towards leadership and leadership development that will continually floodlight their commitment to people, to individual growth and the acknowledgement that people want to do bigger and more challenging things.

Kotter (1999:8;18) postulates that institutions of the future will increasingly depend on the creativity of their members to survive. The leaders of these institutions will be those who find ways both to retain their talented and independent-minded staff. They will be able to set them free to do their best and most imaginative work. These institutions won't mean management or a combination of management and leadership when they say leadership, or indicate people in roles from which they expect leadership no matter how they actually behave. These institutions will not have conventional wisdom about leadership and teams and continue to glorify the leader (the person) at the expense of the group. They will therefore, not have a lack of appreciation for what leadership really means. These institutions will deliver great groups and individual leaders that will represent this new leadership model in which the leader is an equal among Titans.

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APPENDIXES

APPENDIX A

INTERVIEW PROTOCOL

INTRODUCTION

- Providing a short background of the research project.
- Obtaining permission to record the interview and personal information on audiocassette.
- Assuring the participants of his/her confidentiality and the confidentiality of the information.
- Asking the participant not to be modest when talking about him/herself.

INTERVIEW SCHEDULE

Interview questions and statements

- In your opinion - what is leadership?
- Explain the work of leader.
- What do **you** do as a leader (roles and skills)?
- Why do you see yourself as a leader?
- Explain leadership development in your institution.

General aspects regarding the interview

- The subsections or criteria of the model will not be used as probes.

- The participant will be allowed to say all he/she wants to say regarding the specific question.

- The participant will be encouraged to expand on concepts and ideas by the non-committal *uhm's*, *uh huh's* , *why* and *explain* ….

EXAMPLES OF PARTICIPANT RESPONSES IN THE CODING PROCESS OF THE UNSTRUCTERED IN-DEPTH INTERVIEW

1   INSTITUTIONAL LEADERSHIP

- Hy is in 'n posisie waar daar mense onder hom is".
- "You have to command the respect of the people who reports to you".
- "You have to be able to hear the people who report to you and work with to identify strategic steps they might take to take their own division forward … they should in turn cascade those ideas down within their faculties".
- "I am talking about my position as a vice-rector".

2   VISION

- "I think that leadership encompasses that capacity for visionary thinking".
- "Leaders must have the creativity based on a high level of literacy to see opportunities for developing a vision and mission"
- "'n Leier is iemand met visie. As jy visie het op wat gaan kom in die toekoms kan jy daarop beplan".
- "Once you have identified your vision".

3   DIRECTION SETTING

- "'n Leier moet sorg dat hy weet wat in die werksplek aangaan. Jy moet jou werksomstandighede ken. Jy moet jou mense êrens heen kan vat. Jy moet weet waarheen jy gaan. Jy moet alles weet van die wêreld waarin jy is. Dit is 'n realiteits konsep".
- "… actually, identifying niche areas of development and work towards them".
- "… developing a vision and mission that will take their institution where they want it to go…. To come up with new ideas, ground breaking ideas that will move frontiers of knowledge and within the institutional context".

- "Leadership encompasses … the capacity to identify where your institution wants to go, whether it has the potential to go there. If it doesn't now you would create that potential, what initiatives you would put in place to create that potential, and how you would move the institution along from where it is to where you want it to go".

4   ALLIGNMENT

- "… and part of it is the capacity to take people along with you".
- "… making people believe in your vision and making them work towards it with you in a team spirit".
- "… omvoor te loop en mense saam met jou te neem daarheen".
- "Jy moet mense saam met jou kan neem. Hulle moet kan inkoop in dit waaraan jy glo … en 'n missie word 'n gedeelde doel".
- "… self basies verdwyn in die proses … lyk of hy nooit 'n besondere rol speel nie, maar hy dra alles in sy hand".

5   VALUE SYSTEM

- "I have problems with morality or integrity of the decision … and I don't want to be associated with it".
- "You are running a system based on merit".
- "My colleagues can rely on me for an honest decision based on full integrity".
- "There is no wheal a dealing. There is no behind the scenes 'verneukery'. There is no under the table negotiations."
- "I don't set people up against each other".

6   DEFINE REALITY

- "Jy moet lees…. Jy moet weet wat aangaan in die wêreld waarin jy beweeg".
- "I take leadership to encompass qualities such as a high degree of literacy about the environment within which one is working. So in my context in the tertiary education

environment … and the capacity to see threats and opportunities for the sector as a whole and for you institution in particular".

- "Jy moet jou mense êrens heen kan vat. Jy moet weet waarheen jy gaan. Jy moet alles weet van die wêreld waarin jy is".

7 SERVANT LEADERSHIP

- "I try to treat everybody as if they are almost an equal".

8 LEADERSHIP DEVELOPMENT

- "Leadership development … is necessary but not strongly developed in this institution or in the other institutions where I was previously".
- "Leadership, generally can be improved".
- "Daar is beslis leierskapsontwikkeling … by top struktuur leierskapsontwikkeling gedoen".

9 PERSONAL DEVELOPMENT

- "Om jouself bereid te wees steeds om nog te leer en te verander in die proses

10 PROFESSIONAL DEVELOPMENT

- "'n Leier moet akademies geskoold wees …op die voorpunt moet bly van kundigheid".

11 CREATIVITY

- "… geweldig baie innovasie … maar jy kry die ou wat hierdie innoverende denker denker is, … kreatiwiteit".
- "'n Leier moet kan innoveer … moet nuwe denke stimuleer".

- "… and then the creativity … and I think this must be stressed. I think leaders must have the creativity based on a big level of literacy …."
- "Ek dink meer kreatief".

12   ACTION LEARNING

- "Ons het doelbewus aksie leer ingebring".

13   ADMINISTRATIVE LEADERSHIP AND MANAGEMENT PROCESSESS

- "… moet administratief besonder aangelê wees, … administrasie ken van die wêreld waarin hy beweeg".

"To be a successful leader of an institution you have to have managerial and administrative competence. Those are basic necessities without which you cannot survive, but I don't think they are enough. So what I am saying is that managerial and administrative capacities are necessities, but they are insufficient in order to be great leader, and I am not sure that the South African environment, particularly in tertiary education, understands these things"

.APPENDIX B

THE PROJECTIVE TECHNIQUE PROTOCOL

APPERCEPTION IMAGERY

INTRODUCTION

- Continue immediately after the completion of the unstructured in-depth interview giving no explanation.

- Provide the participant with a clean sheet of paper and a pencil.

- Request the following: **Please indicate (show) yourself as a leader in your institution**.

COMPLETED IMAGES

- Copies of the completed images are attached to this appendix.

INSTITUTION A
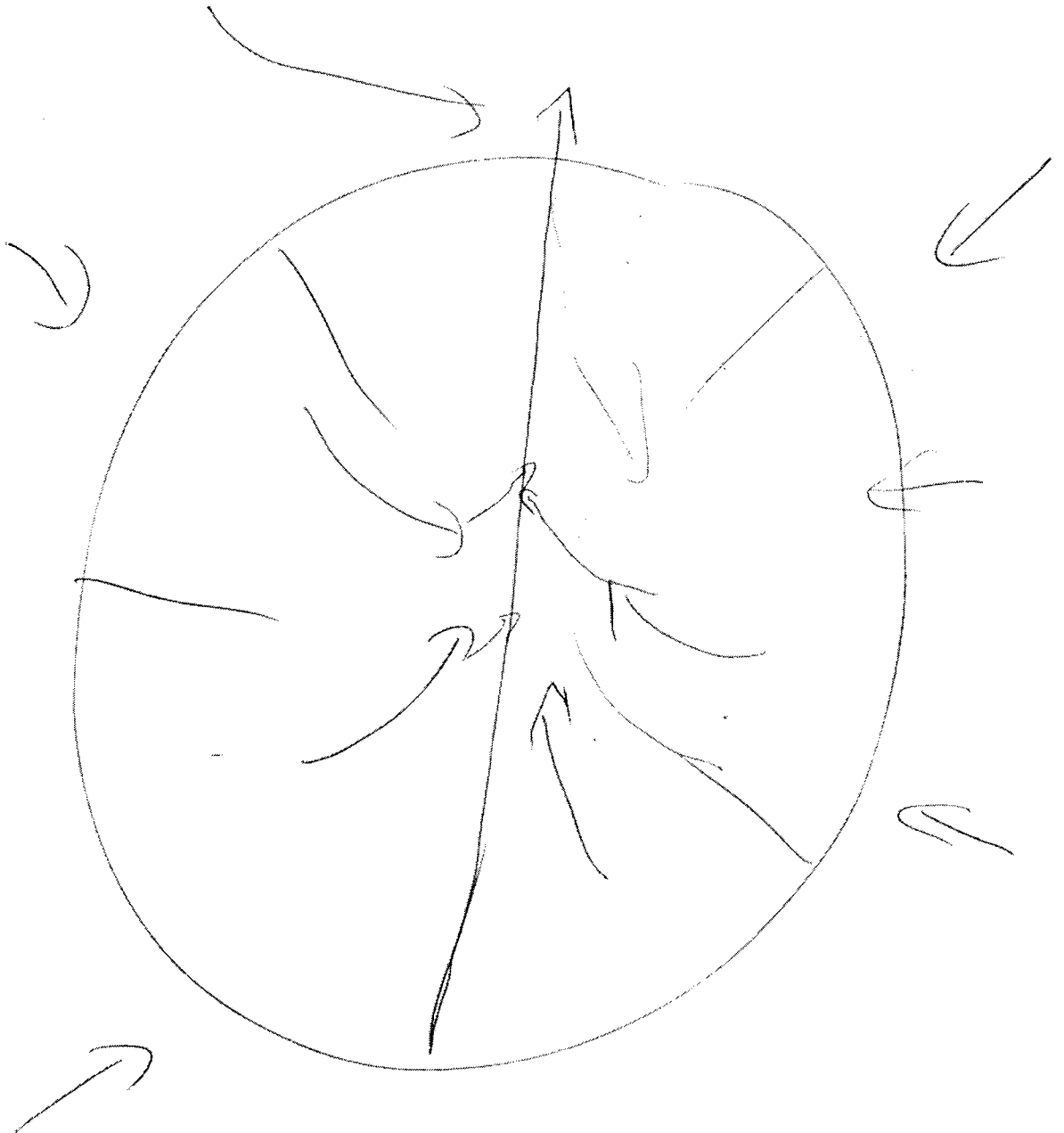
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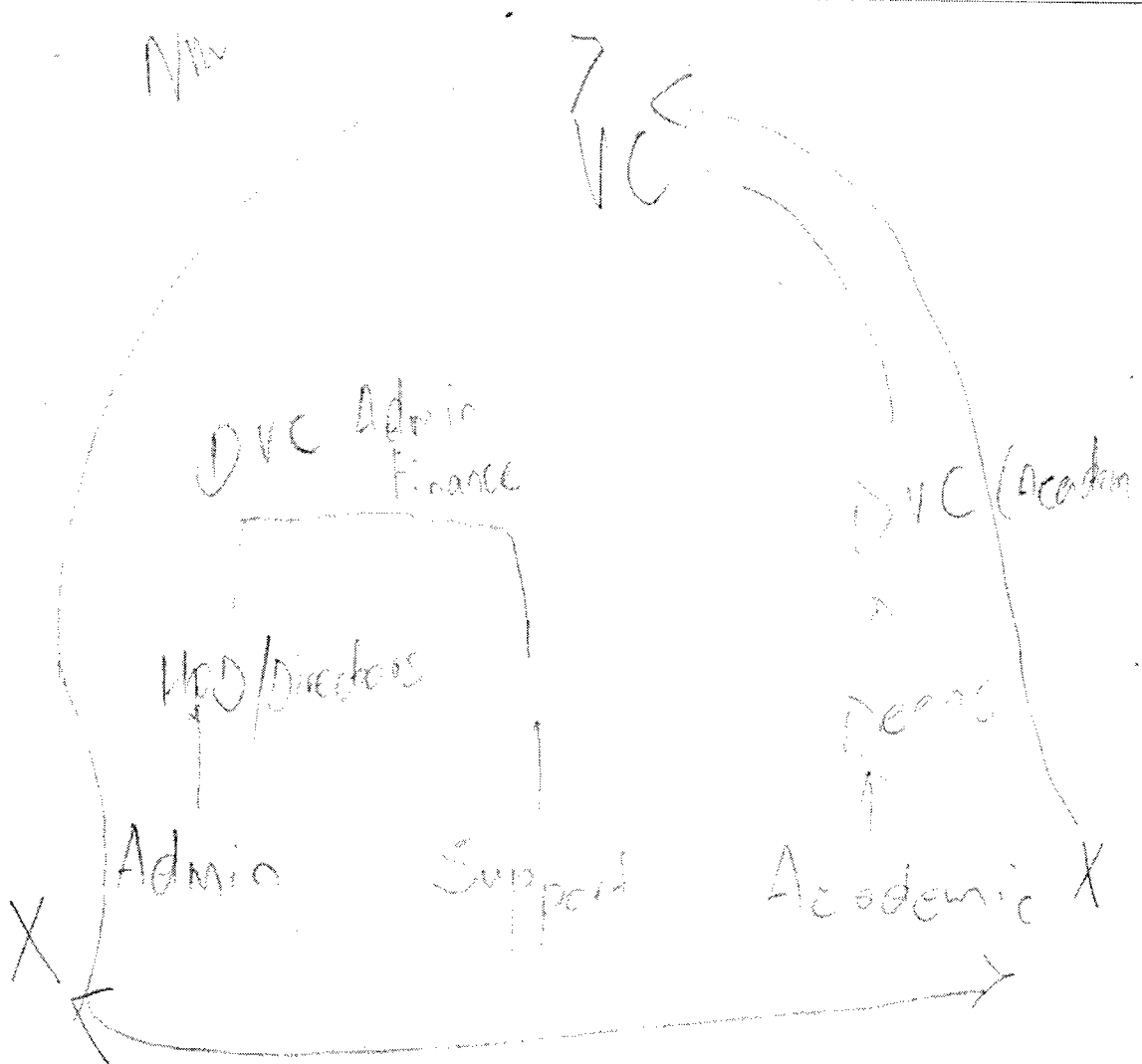
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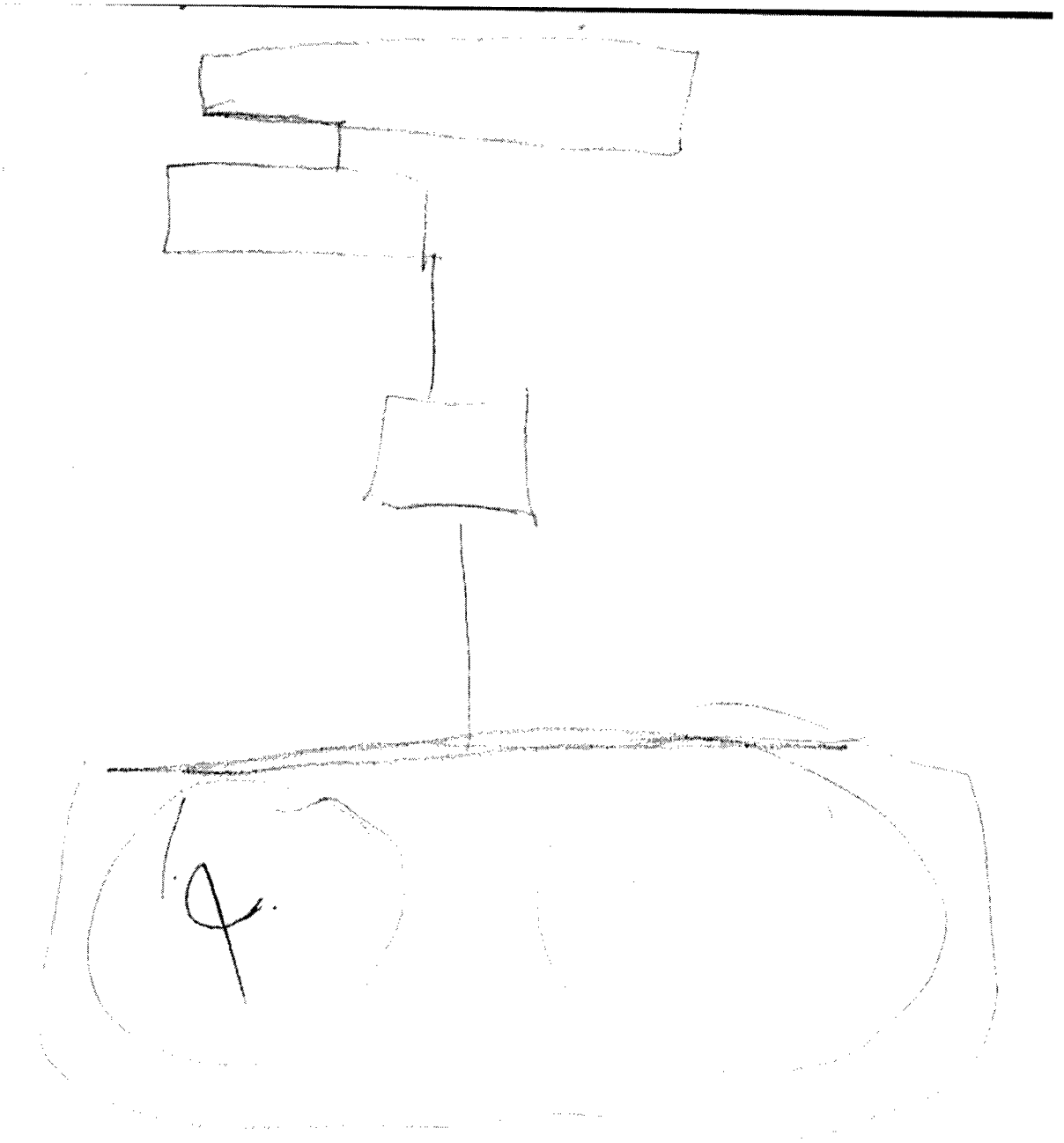
PARTICIPANT – 3A

- 378 -

PARTICIPANT – 3B

INSTITUTION B

PARTICIPANT – 1

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Skoolvoorsi tte?
I Bestuwela
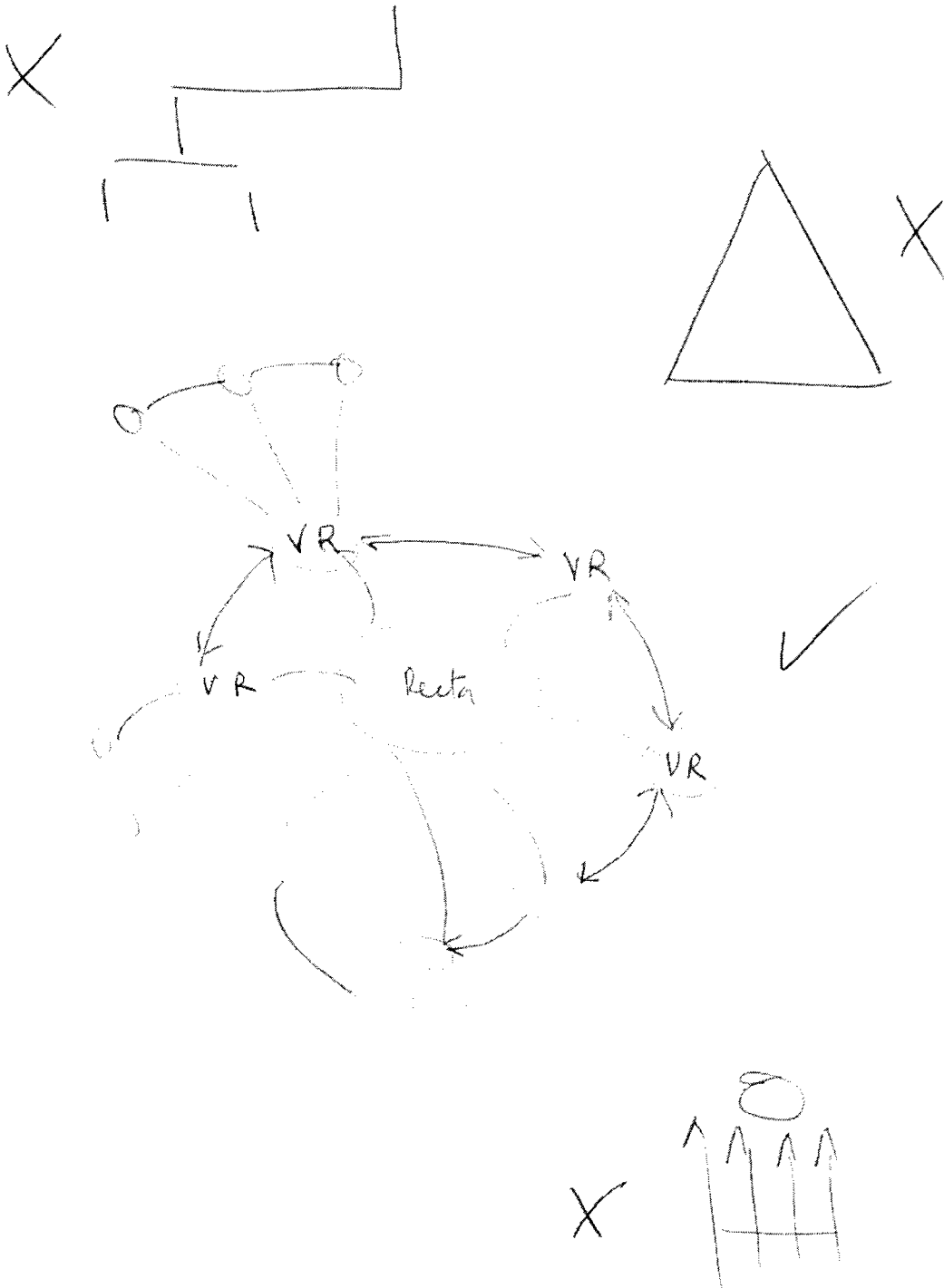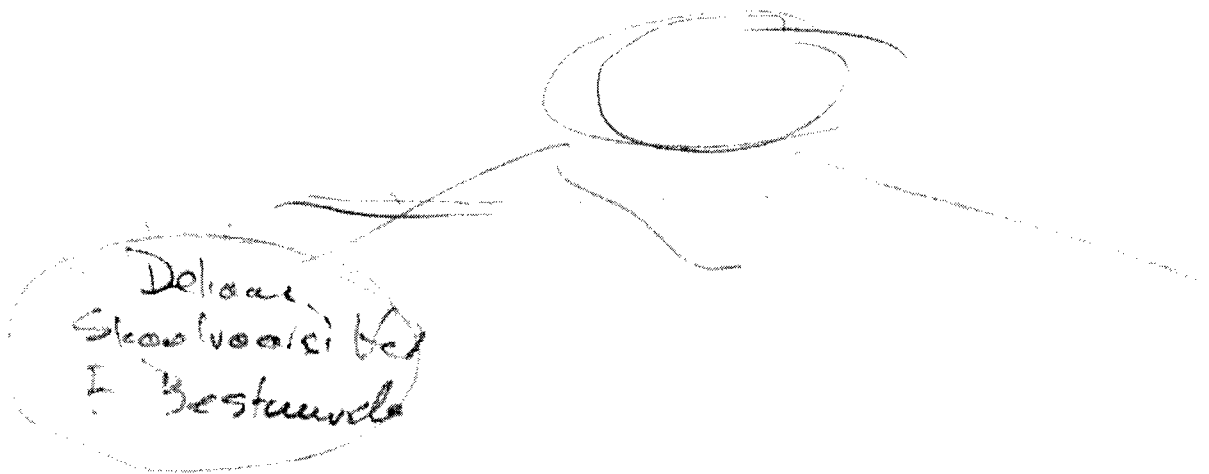
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Rektor

Vise - Rektore   Dekane   V-R

Skoolvoorsitters

Departshoofde

Programkoördineerder

Prof e

Senior lekthor

Lektore

Junior lektore

PARTICIPANT – 3

INSTITUTION C

Top

Bottom Rock

PARTICIPANT – 1

PROFESSION

SCIENCE

EWTO + 200

SAGA   DAH

ADMIN

ACADE

SEKVK

PARTICIPANT – 2A

PROFES

SCIENCE

SAH

SCHOOL

UNIVERSITY
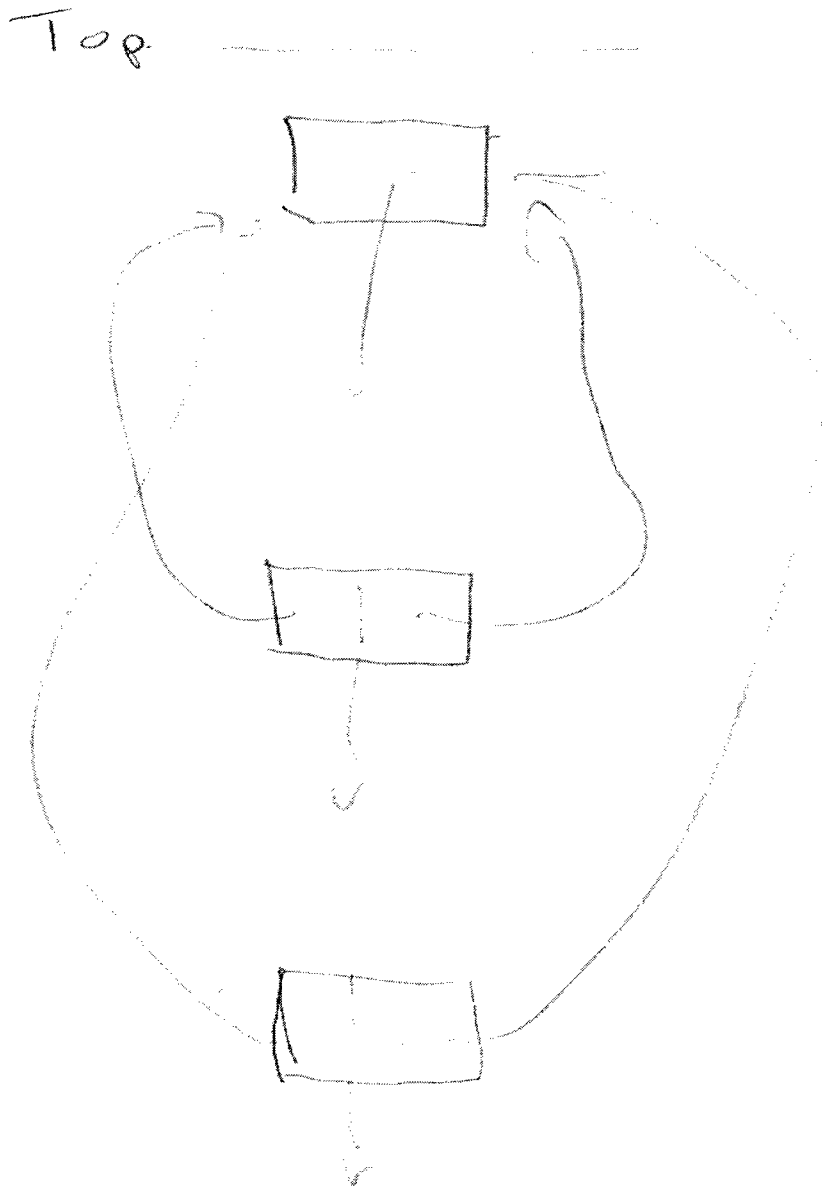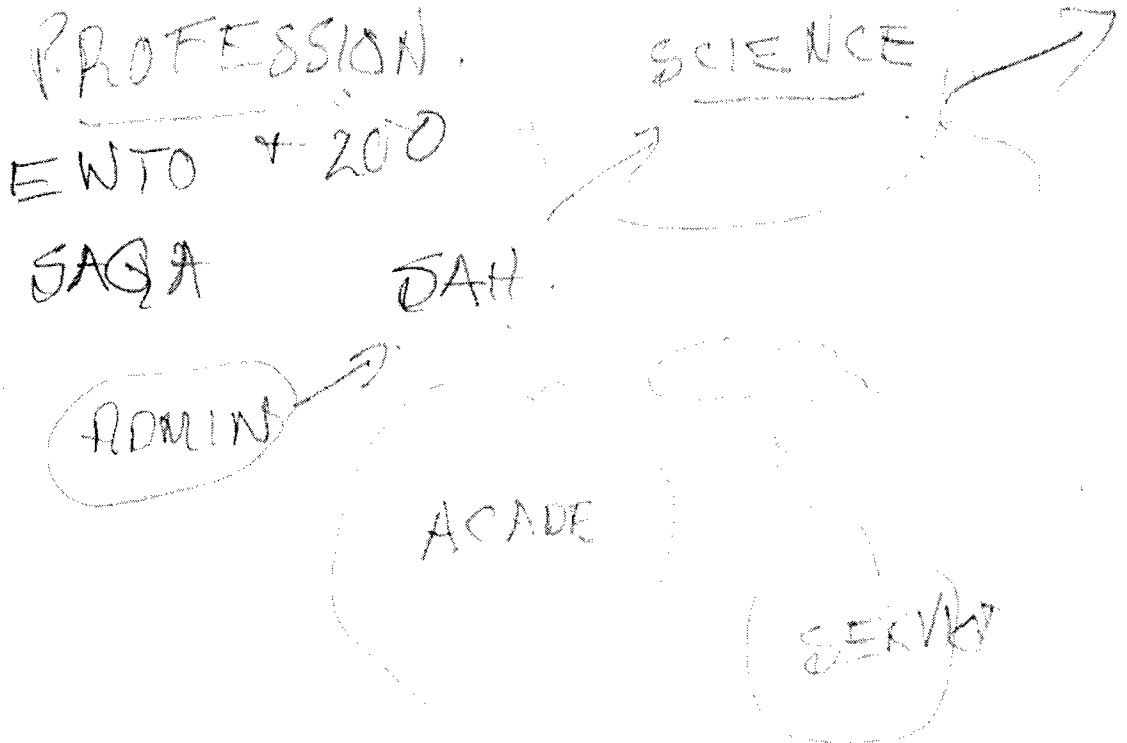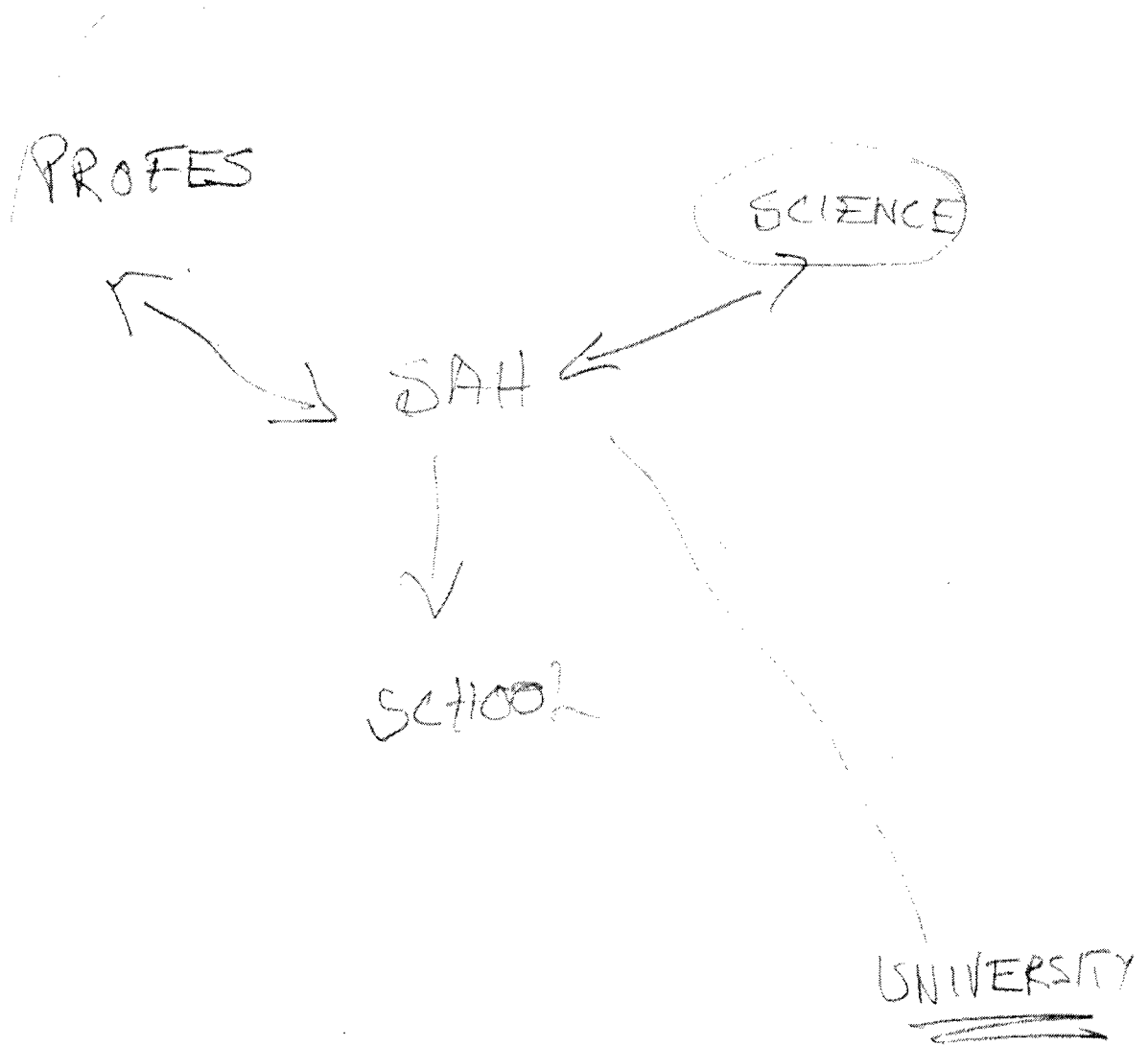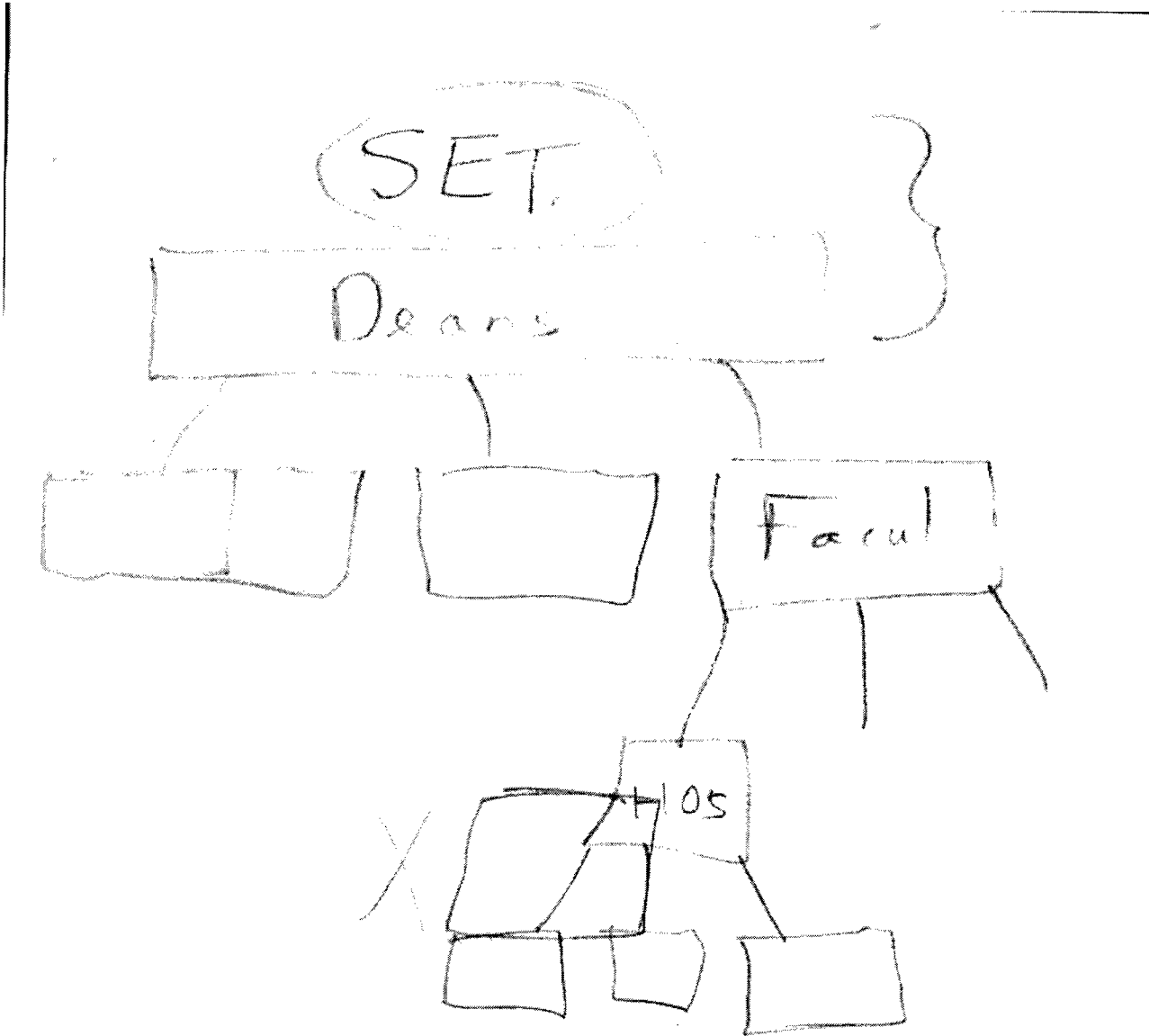
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PARTICIPANT – 3

INSTITUTION D

VK. — AIU 3X
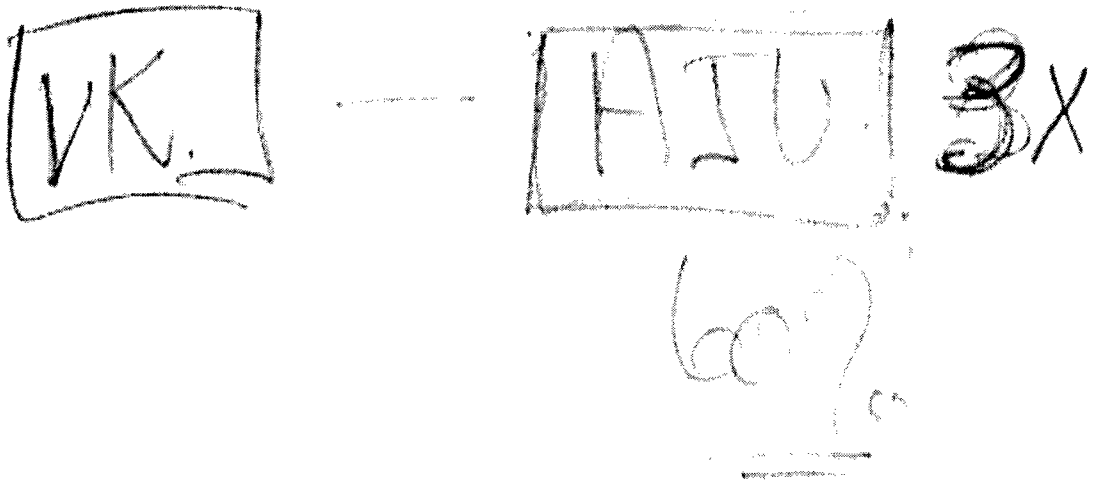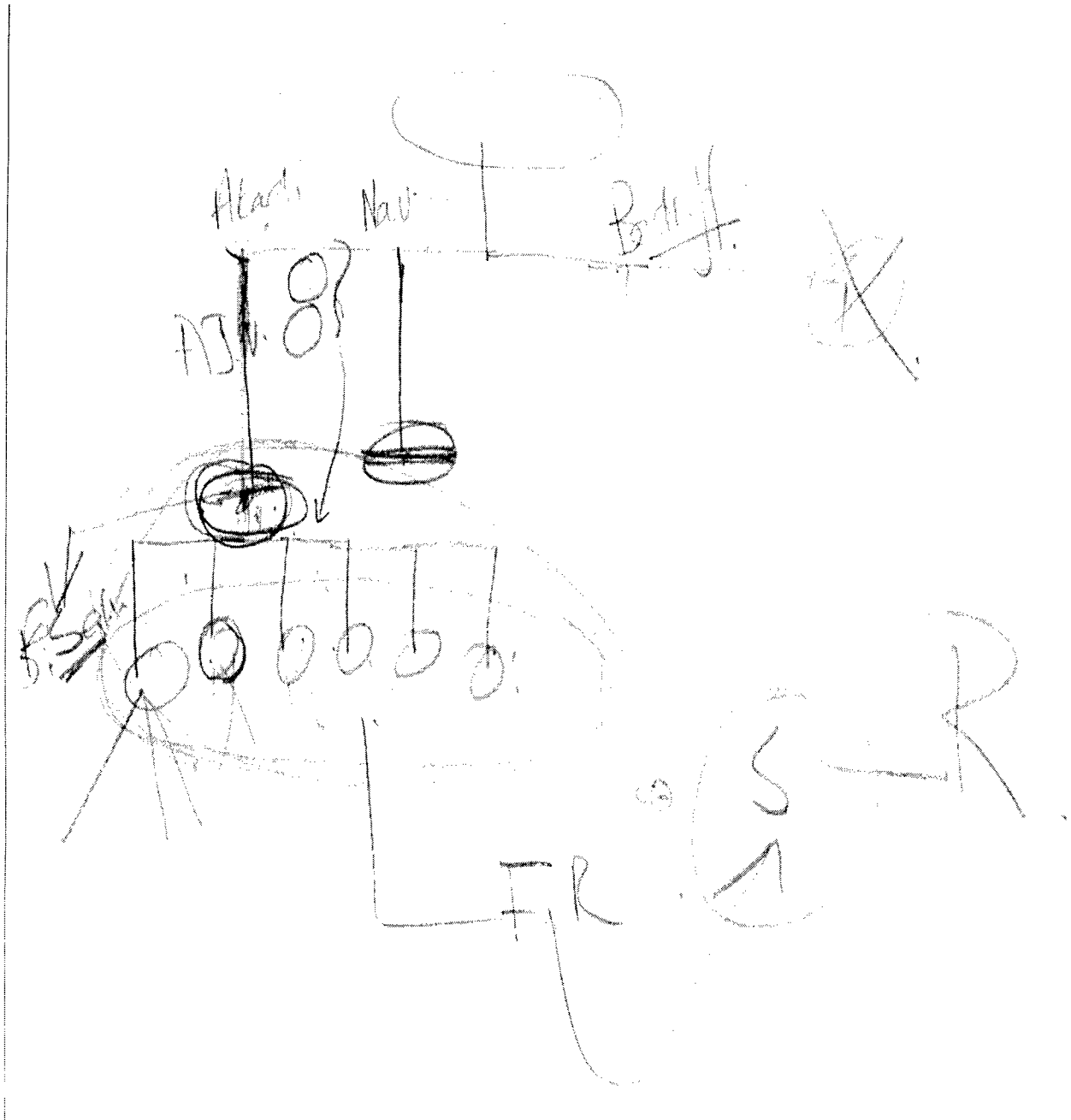
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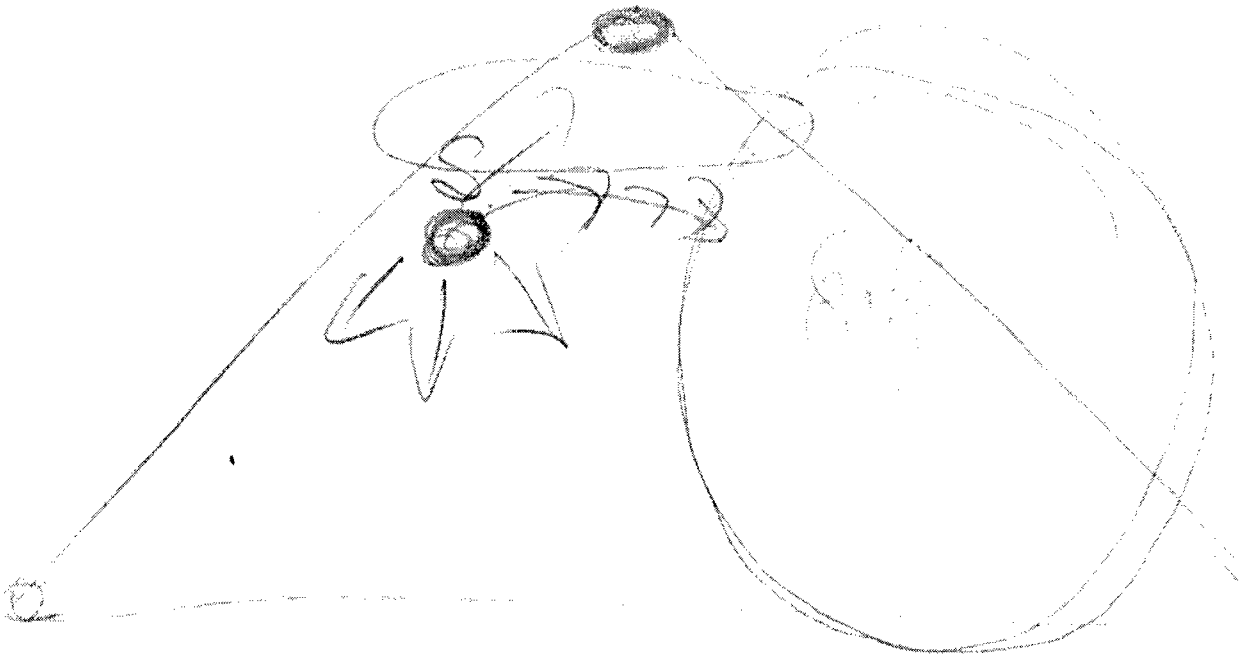
PARTICIPANT – 2

PARTICIPANT – 3

INSTITUTION E

PARTICIPANT – 1

Akademies   Admin

① ─ Akademiese
leis.
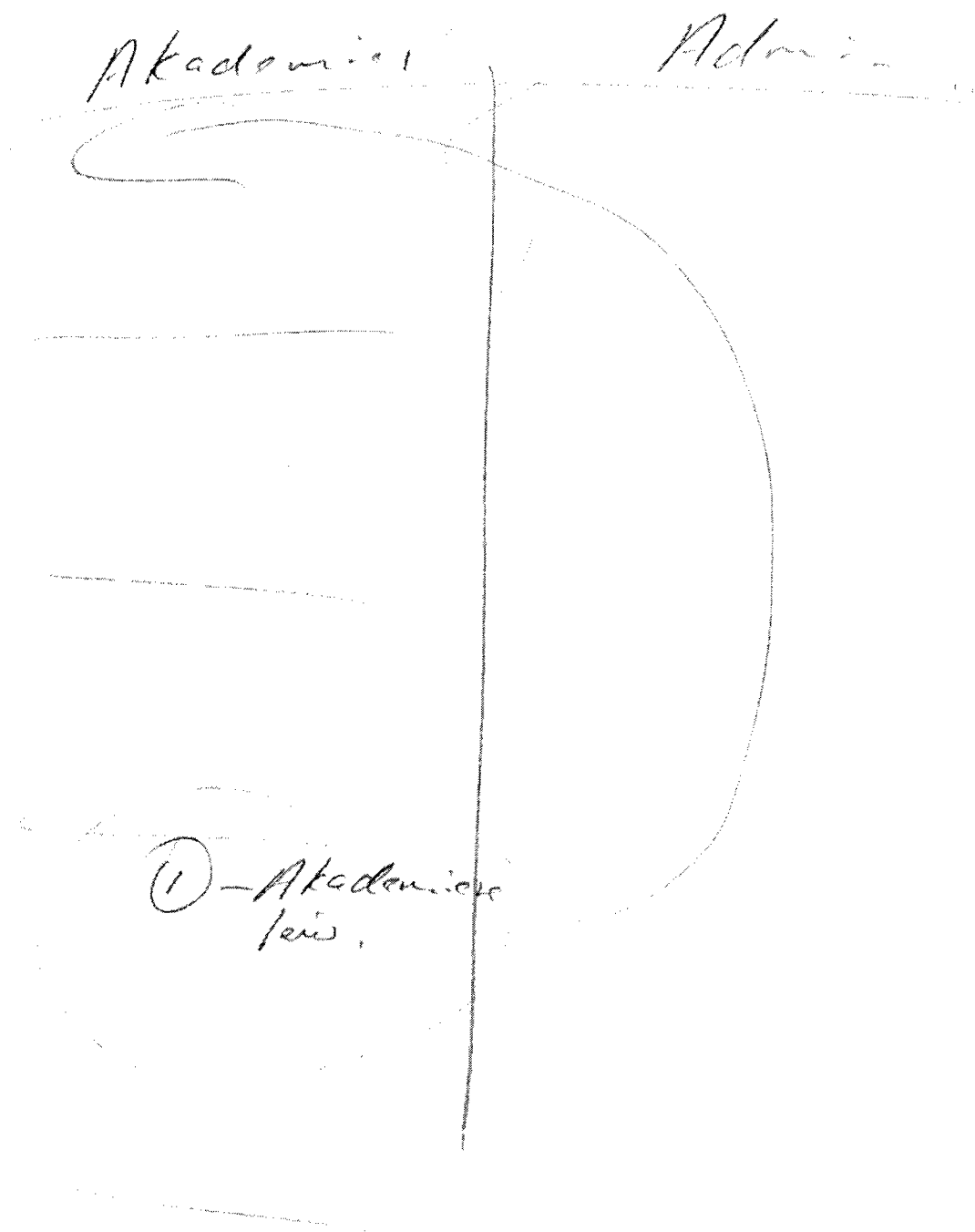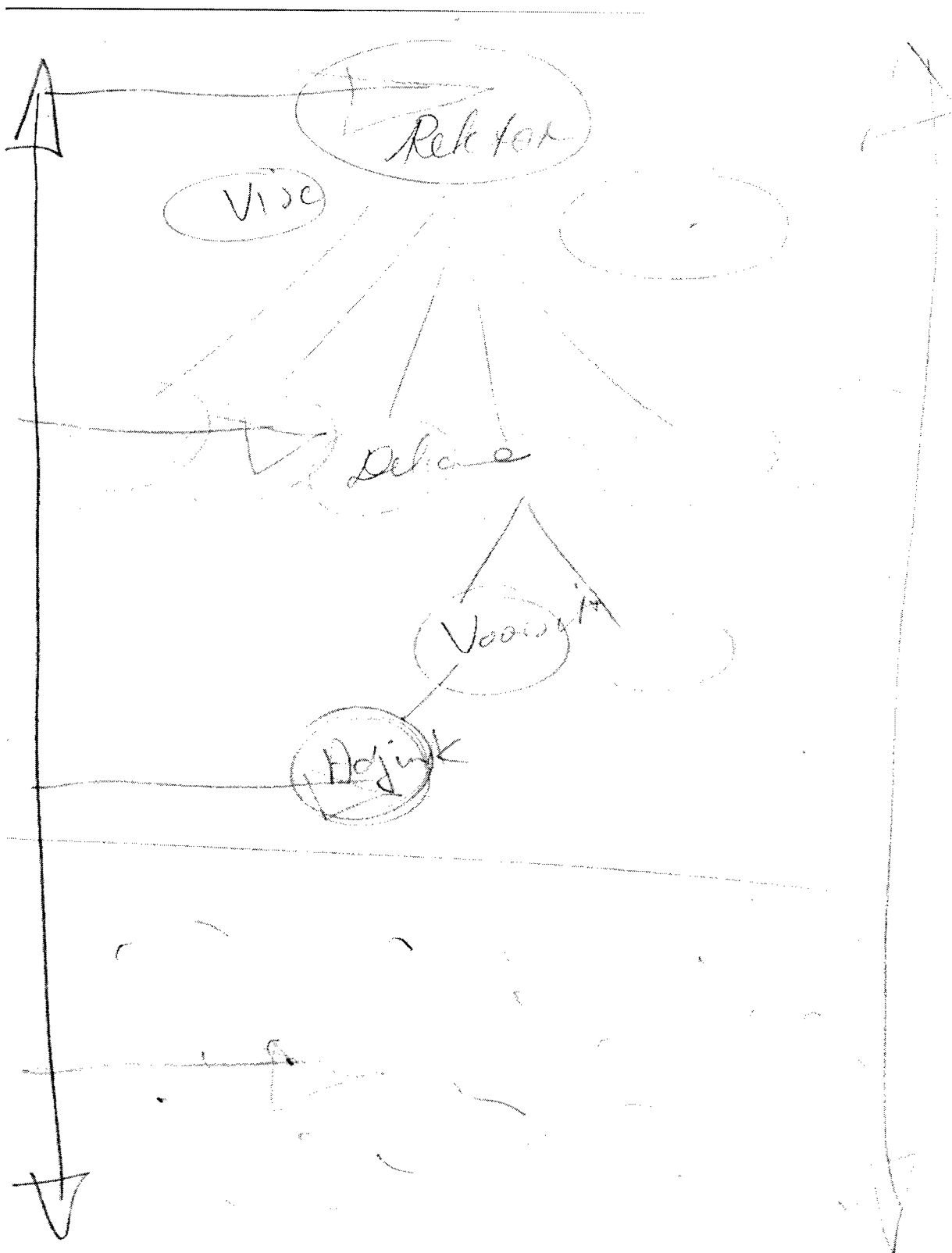
PARTICIPANT – 2

PARTICIPANT – 3

APPENDIX C

LEARNING ORGANISATION PROTOCOL

LEARNING ORGANISATION PROFILE

MARQUARDT 1996

- Please complete this questionnaire by responding to each statement using the legend as indicated:

LEGEND

4	=	Applies totally
3	=	Applies to a great extent
2	=	Applies to a moderate extent
1	=	Applies to little or no extent

IMPORTANT

- The information will be regarded as **confidential**.
- The participant and the institution can be assured that their identity will be treated as **confidential** in the presentation of the results.

THANK YOU FOR YOUR COOPERATION

LEARNING ORGANIZATION PROFILE

Below is a list of various statements about your organization. Read each statement carefully and decide the extent to which it actually applies to your organization. Use the following scale:

4 = applies totally

3 = applies to a great extent

2 = applies to a moderate extent

1 = applies to little or no extent

I.	LEARNING DYNAMICS: INDIVIDUAL, GROUP/TEAM, AND ORGANIZATIONAL	
	In this organization...	**Scale**
1.	We see continuous learning by all employees as a high business priority.	
2.	We are encouraged and expected to manage our own learning and development.	
3.	People avoid distortion of information and blocking of communication channels through skills such as active listening and effective feedback.	
4.	Individuals are trained and coached in learning how to learn.	
5.	We use various accelerated learning methodologies (e.g., mind mapping, mnemonic, peripherals, imagery, music, etc.).	
6.	People expand knowledge through adaptive, anticipatory, and creative learning approaches.	
7.	Teams and individuals use the action-learning process (that is learning from careful reflection on the problem or situation, and applying it to future actions).	
8.	Teams are encouraged to learn from one another an to share learning in a variety of ways (e.g., intergroup meetings, etc.).	
9.	People are able to think and act with a comprehensive, system approach.	
10.	Teams receive training in how to work and learn in groups.	

II.	ORGANIZATION TRANSFORMATION: VISION, CULTURE, STRATEGY, AND STRUCTURE	
	In this organization…	**Scale**
1.	The importance of being a learning organization is understood throughout the organization.	
2.	Top-level management supports the vision of a learning organization.	
3.	There is a climate that supports the vision of a learning organization.	
4.	We are committed to continuous learning for improvement.	
5.	We learn from failure as well as success.	
6.	We reward people and teams for learning and helping others learn.	
7.	Learning opportunities are incorporated into operations and programmes.	
8.	We design ways to share knowledge and enhance learning throughout the organization (e.g., systematic job rotation across divisions, structured on-the-job-learning system).	
9.	The organization is streamlined, with few levels of management, to maximize communication and learning across levels.	
10.	We coordinate on the basis of goals and learning rather than maintaining separation in terms of fixed departmental boundaries.	
III.	PEOPLE EMPOWERMENT: EMPLOYEE, MANAGER, CUSTOMER, ALLIANCES, PARTNERS, AND COMMUNITY	
	In this organization…	**Scale**
1.	We strive to develop an empowered workforce that is able and committed to qualitative learning and performance.	
2.	Authority is decentralized and delegated so as to equal one's responsibility and learning capability.	
3.	Managers and non-managers work together in partnership, to learn and solve problems together.	
4.	Managers take on the role of coaching, mentoring, and facilitating learning.	

5.	Managers generate and enhance learning opportunities as well as encourage experimentation and reflection on what was learned so that new knowledge can be used.	
6.	We actively share information with our customers, to obtain their ideas and inputs in order to learn and improve services/products.	
7.	We give customer and suppliers opportunities to participate in learning and training activities.	
8.	Learning from partners (subcontractors,, teammates, and suppliers) is maximized through up-front planning of resources and strategies devoted to knowledge and skill acquisition.	
9.	We participate in joint learning events with suppliers, community groups, professional associations, and academic institutions.	
10.	We actively seek learning partners among customers, vendors and suppliers.	

IV.	KNOWLEDGE MANAGEMENT: ACQUISITION, CREATION, STORAGE/ RETRIEVAL, AND TRANSFER/UTILIZATION	

	In this organization…	Scale
1.	People actively seek information that improves the work of the organization.	
2.	We have accessible systems for collecting internal and external information.	
3.	People monitor trends outside our organization by looking at what others do (e.g., benchmarking best practices, attending conferences, and examining published research).	
4.	People are trained in the skills of creative thinking and experimentation.	
5.	We often demonstrate projects where new ways of developing a product and/or delivering a service are tested.	
6.	Systems and structures exist to ensue that important knowledge is coded, stored, and made available to those who need and can use it.	
7.	People are aware of the need to retain important organizational learning and share such knowledge with others.	
8.	Cross-functional teams are used to transfer important learning across groups, departments, and divisions.	

9.	We continue to develop new strategies and mechanisms for sharing learning throughout the organization.	
10.	We support specific areas, units, and projects that generate knowledge by providing people with learning opportunities.	

V.	**TECHNOLOGY APPLICATION: INFORMATION SYSTEMS, TECHNOLOGY - BASED LEARNING, AND ELECTRONIC PERFORMANCE SUPPORT SYSTEMS**

	In this organization…	**Scale**
1.	Learning is facilitated by effective and efficient computer based information systems.	
2.	People have ready access to the information highway (local area network, internet, on-line, etc.).	
3.	Learning facilities (e.g. training and conference room) incorporated electronic multimedia support and a learning environment based on the powerful integration of art, colour, music and visual.	
4.	People have available to them the computer-assisted learning programmes and electronic job aids. (e.g., just-in-time and flowcharting software.)	
5.	We use groupware technology to manage group processes (e.g., project management, team process, meeting management).	
6.	We support just in time learning, a system that integrates high technology learning systems, coaching, and actual work on the job into a single, seamless process.	
7.	Our electronic support performance systems enable us to learn and do our work better.	
8.	We design and tailor our electronic performance support systems to meet our learning needs.	
9.	People have full access to the data they need to do their jobs effectively.	
10.	We can adapt software systems to collect, code, store, create, and transfer information in ways best suited to meet our need.	

APPENDIX D

THE QUESTIONNAIRE – EFQM MODEL PROTOCOL

A PROCESS EVALUATION

IMPROVING THE QUALITY OF HIGHER EDUCATION
– Based on the European Foundation for Quality Management Model –

THE EFQM MODEL - 1998

- Please make an assessment of your institution with reference to all criteria and criterion parts regarding the stage in which the institution is currently situated.

- Please select the stage from one of the following stages of the process evaluation and mark the stage number with a circle as indicated in the example of the legend.

THE LEGEND: (EXAMPLE)

SUB-DIVISION	STAGE 1	STAGE 2	STAGE 3	STAGE 4	STAGE 5	CURRENT STAGE
	Activity-oriented	Process-oriented	Systems-oriented	Chain-oriented	Total quality management	1 2 ③ 4 5

IMPORTANT

- Please note that there is no **right** or **wrong** answer for this assessment.

- The information will be regarded as **confidential.**

- The participant and the institution can be assured that their identity will be treated as **confidential** in the presentation of the results.

THANK YOU FOR YOUR COOPERATION

THE EFQM MODEL (EUROPEAN FOUNDATION FOR QUALITY MANAGEMENT)

1 LEADERSHIP

Sub-division	Stage 1 Activity-oriented	Stage 2 Process-oriented	Stage 3 System-oriented	Stage 4 Chain-oriented	Stage 5 Total Quality Management	Current Stage
1.1 Vision on quality	The management has an implicit vision on the quality of the contents and of the implementation of education programmes and services.	The management of the organisation has formulated, in one or more policy documents, a vision on the quality of the contents and of the implementation of educational programmes and services.	The vision on quality concerns the entire organisation (the process and systems around the educational programmes and services). The vision is implemented and regularly discussed internally. There is broad-based support for the vision and, where necessary, internal consultation leads to actualisation of the vision.	The vision concerns the entire organisation and is upheld by all personnel. The vision is evaluated and adjusted where necessary on the basis of systematically gathered information on the organisation's performance. Personnel, schools supplying inflow, suppliers, and the professional field are all intensively involved here.	Where necessary, the vision on quality is adjusted as a consequence of the internal and external information that has been gathered on the organisation's performance. Staff, students, government, schools supplying inflow, the professional field and other relevant organisations are involved intensively in this.	1 2 3 4 5
1.2 Personal involvement	The management allows the staff members to apply their own measures for quality improvement and addresses them chiefly in cases of complaints and problems.	Management is open to ideas from (groups of) staff members aimed at the improvement of quality, and spends time in exchanging information and experiences.	Management takes the initiative for (in)formal consultation with the staff, provides it's own expertise and stimulate the improvement of quality.	Management is interested to a large extent in the duties of all personnel and also provides, based on its own expertise and external contacts and information, a distinct but irregular input aimed at quality improvement.	The management is accessible to everyone; it listens actively, stimulates staff to establish external contacts and is, in conjunction with the staff, continuously engaged in the improvement of quality.	1 2 3 4 5

Aspect	Level 1	Level 2	Level 3	Level 4	Level 5	Scale
1.3 Recognizing, appreciating and supporting quality	The management gives little attention and esteem to staff initiatives aimed at quality improvement.	On request, the management provides support for initiatives aimed at quality improvement and appreciates successful initiatives.	Management stimulates, motivates and supports staff in their function as a good discussion partner, in order to achieve quality improvement. To this end, management provides time, money, it's own expertise and manpower	Based on information on the internal and external environment, the management actively steers the process of quality improvement within the jointly agreed policy.	Support and appreciation from the management are self-evident and are directed towards the continuous improvement of the quality of the organisation, resulting in demonstrable success.	1 2 3 4 5
1.4 External performance	The management maintains occasional contact with the professional field and seldom appears in an external setting.	The management represents the interests of the organisation externally. External activities of the staff are also stimulated.	The management regularly undertakes action in an external setting and stimulates external performance by the staff. Undertaking external action is regarded as a means to propagate the vision, the quality and the expertise of the organisation and is seen as being significant for exchange and curriculum innovation.	The process of undertaking external performance is approached systematically and is a component of organisational policy that has been established on the basis of information from schools supplying inflow, suppliers, the professional field and competitors. External publicity is given to the vision and expertise of the organisations outside the direct field of operation.	External contributions from the organisation are regarded by the professional field as being authoritative, innovative and trend setting.	1 2 3 4 5
1.5 Self-reflection	The management allows little room for feedback concerning it's own functioning.	The management is only open to feedback from a few staff members and only to feedback concerning certain aspects of its own functioning.	The management asks for feedback on its own functioning and is open to spontaneous feedback. Time and money are made available for reflection upon the management's own performance.	The management systematically gathers information, both internally and externally, on it's own functioning; it analyses this information and adjusts its actions accordingly.	The management collects information about its own functioning from both internal and external sources. External developments partly serve as a guideline for adjustments to this performance. There is a positive development in leadership.	1 2 3 4 5

2 POLICY AND STRATEGY

					Rating
2.1 Policy plans and documents	Policy is only formulated in an ad hoc way due to external demands or subsidy possibilities. There is little coherence with the formulation of plans at various levels in the organisation.	Policy plans are attuned to one another at various levels in the organisation. In the area of quality management, policy is limited to a number of descriptions of the desired quality of the product. There are globally formulated objectives at organisational level, in terms of the time and budget available for the educational process.	There are policy plans at various levels, including plans for quality management; these are attuned to one another. The policy planning, as a whole, is regularly analyzed and improved where necessary. Students, the government, the professional field, and schools providing inflow are all involved in the evaluation of the policy.	Policy plans also contain deliberately chosen social aspects. The organisation ensures that experts from the professional field are actively involved in the formulation of the quality aims and their concretization. The end results of external orientations are regularly and conspicuously processed in policy plans.	1 2 3 4 5
2.2 Development of policy	Policy is developed top-down by the management. The initiative for quality improvement is left to individual staff members.	Policy is developed by the management, with occasional contributions from staff members. Efforts are made by the organisation to improve quality but there is no coherence between the activities.	Policy is developed by the management on the basis of contributions from others. Staff members are stimulated to make a contribution to the generation of policy. There are functional improvement teams.	The policy cycle is characterized by a high involvement of all staff members and all organisational levels. Quality aims and performance indicators are formulated and systematically evaluated. Staff members play an active role in the formulation of the quality aims and performance indicators in their own field of work.	The organisation actively involves experts from the professional field in the discussions dealing with the influence of social developments on the formulated policy and quality goals. Staff members play an active role in this.	1 2 3 4 5

	1	2	3	4	5	1 2 3 4 5
2.3 Communication regarding policy	The staff members are informed ad hoc about the policy and strategy of the organisation. The initiative lies with the staff members. The opinions of the staff concerning quality improvement are not asked.	Staff and students may have access to the policy plans if they wish. The policy plans are discussed with key people from the organisation.	Policy plans are discussed with key people and staff. The topics and the activities in the policy plans are dealt with within the normal structure of conferring	There is two-way traffic in the communication between staff, students, and experts from the professional field concerning the achievements realized.	The policy plans are examined in open communication, with regard to the opinions of the students, the schools providing in-flow, the professional field, the government and other parties. Change and examination are directed towards continuous improvement	1 2 3 4 5
2.4 Evaluation and improvement	Complaints are the motivation behind the adjustment of policy and strategy.	Adjustment of policy and strategy takes place on the basis of analysis of the bottlenecks in the work process.	Policy and strategy are evaluated and adjusted on the basis of systematic analysis. Input is mainly provided by the internal organisation.	Policy and strategy are evaluated and adjusted on the basis of trend analysis. Input is mainly provided by the internal organisation.	Policy and strategy are examined against innovation and marketing objectives. Comparison is made with the best educational organisations in the world.	1 2 3 4 5

3 PEOPLE MANAGEMENT

					1 2 3 4 5
3.1 People policy	People policy (recruitment and selection, methods for staff guidance and development, payment, outplacement, training) has no distinct criteria, guidelines or procedures.	People policy displays the most essential component, such as function-evaluation based on clearly defined, established guidelines and procedures.	The guidelines and procedures are accessible and familiar to all staff. Information (both quantitative and qualitative) is systematically gathered on the staff policy. Base figures are formulated.	People policy is demonstrably related to the organisational objectives and is periodically (both quantitatively and qualitatively) evaluated using standard norms including those in the strategic policy plan. Actions demonstrably aimed at improvement are undertaken on the basis of these evaluations.	People policy is completely attuned to the short- and long-term policy plans, in which relevant market and social developments are demonstrably taken into account.
3.2 Staff planning	Staff planning is directed towards the amount of work. Tasks are dependant upon what has to be done. Task differentiation is based on ad hoc activities.	Staff planning is still mainly determined by short-term policy, but there is a certain amount of structure with regard to, for example, the deployment of staff (based on task weighting norms) and the recruitment of staff. There is function differentiation.	Staff planning is based on a mixture of the required skills (quantitative and qualitative) and organisational objectives, including short-term quality aims. Base figures have been formulated. Staff planning is approached systematically, with all facets being discussed internally and evaluated regularly.	Staff planning in relation to strategic policy plans, in which the quality aims in the short term are carefully taken into consideration. Actual achievements are assessed using standard norms.	Staff planning is fully linked to long-term strategy and quality aims. Strategy (including quality), objectives and duties are clearly structurally related.
3.3 Feedback, assessment and remuneration	There is no system of assessment, and salary/remuneration is based on trade union wage agreement; feedback is occasionally given.	There is a system for staff guidance aimed at obtaining feedback on the implementation of the direct task. Annual wages increases take place on the basis of established systems.	There is a system of assessment and remuneration, (partly) based on the formulated tasks and the desired end results, which have been jointly agreed upon by the staff member and his/her direct superior.	The system of assessment and remuneration is related to the objectives of the organisation and the desired quality improvements. During the achievement period, the progress is recorded and evaluated. The remuneration is partly dependant on the realized task implementations.	Staff members evaluate their own performance, either individually or in a team context, based on the accomplishment of the agreed tasks/ end results. A system of assessment and remuneration is actively applied on the basis of realized tasks and performance norms, in which there is also appreciation of team achievement.

	1	2	3	4	5
3.4 Employee well-being and morale	Health and well being are seen as being the staff member's own responsibility and measures, if any, are only taken after incidental events.	Health and well-being are seen as shared responsibility. Guidelines regarding this topic have been agreed upon internally. Management is alert to any overloading of staff and subsequently searches for solutions. Attention is paid to safety and to the work environment.	The organisation pursues a preventative policy with regard to attempting to ensure health and well-being, and make agreements with the staff concerning the desired behavior. If necessary, training is devoted to this topic. The organisation assumes responsibility for extra staff (additional / tertiary conditions of employment). Indicators have been formulated.	The organisation has a formal programme for the treatment of staff, based on the agreed norms for the work environment (health, safety), in which the conditions of employment are continually evaluated and compared to fellow organisations. Based on these evaluations, actions demonstrably aimed at improvements are undertaken; investment in the work environment is important in order to increase the commitment of the staff member.	The organisation is totally in line with the short- and long-term policy plans. Important indicators for the health and well-being of the staff and the staff's attitude to these are regularly checked and compared to those in fellow or branch organisations. The figures show a continuous improvement.
3.5 Guidance and development of staff members	The guidance and development is dependant upon individual initiative.	There is a budget for guidance and development; staff can make use of this on their own initiative. Plan for guidance and development are mainly restricted to fulfilling legal requirements or are directed towards the short term. The practical usefulness to the individual in question is the most important criterion for allocation by management.	There is a budget for guidance and development of staff, related to the long-term vision. Who may make use of what is systematically and periodically checked. Existing and desired qualities are taken into account. A systematic inventory is made of the wishes any individual staff members may have.	There is a systematic policy directed towards the realization of organisational and individual objectives. The policy is evaluated regularly using the formulated standard norms and is compared to fellow organisations. Evaluation is also made of whether or not newly developed qualities are actually being applied.	The policy anticipates both social developments in the (specific) professional area. The organisation demonstrably invests in forms of innovation for personnel development and guidance. Base figures show positive trends in comparison to similar organisations. The effects have a positive influence on the satisfaction of staff and on the end results.

4 RESOURCES

	1	2	3	4	5	
4.1 Information	There is a minimum of information gathering and it is restricted to the bare legal necessities. Information is only gathered in an ad hoc fashion, and when problems occur. No general guidelines have been formulated for the reliability, frequency and completeness of the information.	Information is also gathered and interpreted at departmental and educational course levels. Procedures have been formulated for a very limited number of information items.	Information is systematically gathered, analyzed and used for the adjustment of processes. Gathering or producing information occurs in line with the established procedures. The actual gathering of the information takes place in conformance with the policy choices.	Information is periodically gathered, analyzed and compared to the specified goals and norms. The information is used systematically for improvement activities. There is open communication with suppliers and users concerning the quality of the data.	An active information policy is pursued which is attuned to both short- and long-term aims. Information on developments in society is continuously applied to produce improvements. There is a flexible system for gathering and analyzing data which is continuously being improved.	1 2 3 4 5
4.2 Financial resources	The distribution of the financial resources occurs on an ad hoc basis and the financial end results are assessed in the short term. Referring back to an organisational component or project is not possible.	The distribution of the financial resources is based on a few (financial) performance indictors.	The distribution of the financial resources is based on (financial) performance indicators (such as yield figures) in which the long term has been taken into account to a certain extent. Financial monitoring takes place and the performance on each component are assessed and discussed with those directly involved. The allocation of resources takes place on the basis of policy choices.	The distribution of financial resources takes place on the basis of the added value that the component or project generates for the entire organisation in the long term. Financial guidance is based on (financial) performance indicators for each project, for each sub-process and for the organisation. Quality costs are occasionally measured and assessed.	The financial policy, just like the distribution of the resources, is derived from the quality aims and other objectives both in the short and the long term.	1 2 3 4 5

				1 2 3 4 5
4.3 Material resources	Suppliers of material resources are chiefly selected on the basis of price and delivery time. No area of concern has been determined and there is no inspection.	The material resources are inspected, and the quality and quantity are checked against the areas of concern and the requirements that have been formulated in advance.	Use and maintenance of the material resources are linked to the established quality criteria. Suppliers must indicate how they can guarantee their quality. They are involved in the prevention of recurring problems and, at the same time, also in new developments. The management of equipment is optimized by means of exchange with similar organisations.	The frequency exchange of information with the regular suppliers is directed towards continuous improvement, and is shared with the suppliers. The management and supporting material is optimized by benchmarking.
4.4. Information technology	The decision to apply information technology aimed at innovating and improving products and processes is ad hoc.	Use is made of information technology and, for this purpose, demands are formulated in terms of the required know-how.	The use of information technology, and investment in it, takes place with the aim of improving the current work processes and efficiency. The added value of the available technology is discussed internally and evaluated regularly.	Investment in information technology is continuously attuned to the wishes of students, the professional field and supplier, in order to realize short- and long-term goals. There is purposeful co-operation with fellow organisations and research institutes / knowledge sources.
4.5 Knowledge and experience	The knowledge and experience of the staff members are only occasionally recorded, and only refer to educational content.	The acquired knowledge and experience are recorded at the level of content and didactics.	The acquired knowledge and experience are systematically recorded according to guidelines, and are diffused internally with the aim of arriving at generalization, completeness and possibilities of application.	External developments partly serve as a leitmotiv for the continuous improvement of the absorption, diffusion, generation and exploitation of up-to-date knowledge experience.

Additional cell text (4.4, level 4): The use and influence of technology are applied to optimize the work processes and the efficiency. The judgements of students, the professional field and suppliers are taken into consideration in the information technology policy

Additional cell text (4.5, level 4): New knowledge is generated from the recorded knowledge and experience. The recorded knowledge and experience are systematically exploited for the improvement of the whole organisation, the professional field and fellow organisation.

5 MANAGEMENT OF PROCESSES

	1	2	3	4	5	1 2 3 4 5
5.1 External analysis	The individual teacher pays attention to the development in the professional field and uses these to keep his/her educational programme up to date.	The organisation performs systematic research on the subject and the corresponding teaching methodology, the initial level and students learning style. This information is discussed with the staff members and incorporated into educational units / study course components and the curriculum.	Research takes place on the developments in the professional field and the professional profile in order to determine an educational profile. This information is discussed with staff members and incorporated into the curriculum.	The organisation performs systematic research on developments in the professional field, in governmental areas and in competing organisations (benchmarking). This information is discussed with the staff members and incorporated into the curriculum.	Links are created between the various research surveys (and trends are indicated), and the end results of these are discussed with the staff members and incorporated into (the specification of) the curriculum.	1 2 3 4 5
5.2 Vision on the profession and the education (specifications)	The individual teacher has a personal vision on the profession and the education. The educational course has not specified any end terms.	Teacher teams have a collective vision of the profession and the education, and use this in the compilation of (parts of) the curriculum. End terms have been formulated but these are not visibly used in the education.	Based on broad consensus, the organisation has a vision of the profession and the education, and has laid this down in the curriculum. End terms have been formulated and are used for educational development. Students are involved in this process of determination via the student council / educational committee.	The organisation has a vision on the profession and the education, which is shared by representatives from the professional field and which has been assimilated in the curriculum, study course components, and the specifications have been formulated partly on the basis of knowledge provided by the schools supplying inflow.	The vision on the profession and the education is regularly examined with regard to topicality and consistency, and is adjusted to developments in the environment if necessary. The organisation is innovative and pro-active and aims, in conjunction with the professional field, at innovation in the profession and education.	1 2 3 4 5

	1 2 3 4 5				
5.3 Curriculum	The development of the curriculum is dependant on the wishes of the individual teacher and the available personnel.	The curriculum is developed on the basis of the material that has been gathered by groups of teachers according to a joint plan.	The organisation works methodically on curriculum development. The vision on the profession and the education has broad support and is recorded in the study guide. Students are involved in the formulation and development of the curriculum via the student's council / educational committee.	Representatives of students and of the professional field are involved in checking the curriculum against the vision on the profession and the education. The end results are compared to those in fellow organisations.	Public responsibility is declared regarding the curriculum. The end results are applied for innovation and co-operation, by mutual agreement with the professional field and the schools supplying inflow. Benchmarking includes the curriculum.
5.4 Study components	The individual teacher determines the aims, contents and, in principle, also the form of the study component.	The aims, contents and form of the study components are collectively determined and programmed by groups of teachers.	The aims of study components are derived from the end terms. The organisation systematically determines the substance of the study components on the basis of the specifications established in the study guide and the Education and Examination Regulations. Student representation is involved in the development. The programme is described in study manuals.	Students are involved in test projects with the study manual. A reaction from the professional field to the study component is occasionally requested. The schools supplying inflow and the competitors are taken into consideration.	Where relevant, representatives of the professional field, of schools supplying inflow and the competitors are asked to assess the consistency between the curriculum and the study components, and to appraise the study manuals.
5.5 Control	The individual teacher checks his/her "own" study components with regard to adequate programming	Checking for the adequate programming of study components is done by a group of teachers in joint discussing.	The organisation has a commission that systematically checks the study components to ascertain the extent to which they conform to the specifications in the study guide and in the Education and Examination Regulations. Students are also involved in this	Representatives of the students, of the professional field and the schools supplying inflow are involved in the examination of study components.	After the study components have been examined by representatives of students, the professional field and schools supplying inflow, improvement actions are visible.

5.6 Planning	Planning the actual execution of the education takes place on the basis of the teachers and resources available.	Planning does not only take place on the basis of the teachers and resources available but also on the basis of specific choices in the formulation of the curriculum, such as group size, class/lecture rooms, resources, study counselling	Planning the execution of the education takes place on the basis of specifications in the curriculum. The practicability for both teachers and students is taken into account in the planning.	Representatives of students, the professional field and schools supplying inflow are involved in optimizing the planning.	The end results of the checks of the planning are demonstrably used for continuous optimizing. / 1 2 3 4 5
5.7 Student activities	Student learning is only organized through the lecture timetable and private study assignments from the individual teachers	Contact hours and private study have both been estimated and registered. Time for private study has been made available ad hoc in the lecture timetable.	Student activities take place on the basis of the vision on the profession and the education. Study tasks have been formulated. The estimated study load is adjusted on the basis of evaluation of data from students.	The formulation of study tasks is adjusted as a result of proposals from students and teachers. The organisation has a good insight into both the evaluation and adjustment of the study load.	The study load is well divided over the months and weeks; there is even insight into the (nominal) workload of each day. The estimated study load is realized; students and staff experience the time spent on study as worth while / 1 2 3 4 5
5.8 Teacher activities	The teacher activities are carried out on the basis of ideas from individual teachers.	Teacher activities are carried out in joint discussions with groups of teachers. They are implemented on the basis of educational functions: to the initial level, explaining objectives, giving feedback.	Teacher activities are carried out according to the specifications in the curriculum. Students are asked to come up with ideas for improvement.	The judgements of students, representatives of the professional field and schools supplying inflow are systematically used to adjust teacher activities.	The improvement of teacher's activities, on the basis of systematic studies among students, the professional field and schools supplying inflow, can be demonstrably shown. / 1 2 3 4 5

					1 2 3 4 5
5.9 Counselling of study career	The organisation is strongly dependant on the individual teacher when dealing with recording the progress of the student and giving feedback. Study (career) counselling takes place ad hoc.	The organisation systematically registers and analyses the students' progress. Study (career) counselling takes place at the request of the students.	There is systematic study (career) counselling for all students, based on analysis of the study progress records so that students receive feedback on their progress and on the developments in their study career.	Signals from study progress analyses and study career supervision are used to improve the programme and the organisation.	The end results are visible. Public responsibility is declared to the students, the professional field, and school supplying inflow, regarding improvement of the programme and the organisation of education.
5.10 Internal analysis	The teacher evaluates ad hoc, often orally; the subject matter is the central issue.	In addition to the evaluation by the individual teacher, the organisation uses standardized written evaluations or panel discussions with teachers and students, dealing with didactics and subject matter.	In addition to evaluation by the individual teacher, the organisation uses standardized written evaluations or panel discussions with teachers and students, dealing with didactics and subject matter. The end results of these are discussed by the teachers and students.	Teachers are asked to report what they do with the end results of the written evaluation or panel discussions. The organisation has a good overview of subjects causing bottlenecks and insight into the factors leading to study delay.	It can be demonstrated that measures are really being taken on the basis of the end result of the evaluations. There is an action plan to minimize factors that delay study.

6.1 CUSTOMER SATISFACTION: STUDENTS

6.1.1 Student facilities	The organisation has a global picture of the needs for student facilities. Activities / facilities are dependant on the demand from students.	The organisation has a number of student facilities at its disposal. Requests for specific facilities are honoured by the management.	Linking with the educational policy, the organisation has formulated a policy plan for student facilities. It has been established for which facilities resources will be made available. Students are involved in the decision making through the students' council / educational committee.	Student facilities are systematically evaluated. The end results are discussed with the students. Adjustments and improvements are carried out in conjunction with the students.	CoOoperation with other social organisations and/or other educational institutes occurs, to provide student facilities attuned to the needs of the students. This provision of facilities is regularly evaluated and adjusted, in conjunction with those involved. The appreciation from student facilities shows a positive trend.	1 2 3 4 5
6.1.2 Help and support	Help and support are given on request.	Distinction is made between the kinds of requests for help, and there are agreements about who provides what type of help and support.	There is clearly a well functioning system for signaling problems of individuals or among groups of students. The provision of help from various functionaries is attuned to coping with various requests. There are agreements about mutual referrals. Explicit information is available on this topic.	The provision of help has a systematic character. The relevant functionaries form their own team/network, directed towards improvement of the provisions of help and support. If necessary, referral is made to external instances. The provision of help is evaluated regularly and improvements are implemented in conjunction with students.	There is systematic evaluation of the type of help available, the system of giving help, and of the end results of the help and support given. There is a network that co-operate with external social workers. The appreciation of the provision of help clearly increases.	1 2 3 4 5

6.1.6 Dealing with complaints	Complaints are dealt with ad hoc.	One or more procedures for dealing with complaints have been formulated.	The student is clearly informed about which rights of complaint are valid, how complaints should be lodged and how they are dealt with. Staff members are alert to complaints and, in cases of complaint, direct action is undertaken.	Complaints are registered and dealt with systematically. The organisation investigates whether or not there are complaints that cannot be dealt with by means of the existing procedures. It designs ways to be able to deal with these types of complaints too. At the same time, in discussions with the students, it also designs effective ways to prevent complaints.	The organisation periodically and systematically investigates the quality of its service aimed at preventing complaints, and, on the basis of the end results, undertakes action to ensure improvement. Regular internal reports are made on their nature, the volume and the treatment of complaints, and there is discussion with the students. Preventative measures are taken in order to reduce the number of complaints, which leads to demonstrable business results.
					1 2 3 4 5
6.1.7 Determining the business results	The organisation evaluates the education and the services provided to the students.	The organisation evaluates the education and the services provided to the students on a few points. Evaluation reports are drawn up.	The organisation systematically evaluates the education and the services provided to the students. Internal reports are drawn up and action aimed at improvement is undertaken.	The organisation analyzes the business result of the examination of its performance, based on established quality indicators. Based on the business results and after discussions with the students, concrete activities are undertaken to improve the education and the services provided to students.	The organisation regularly examines its performance in the market and compares its business with other (educational) organisations. There are clear quality indicators that show significant improvements. Based on the business results and after discussions with the students, concrete activities are undertaken to improve or innovate the education and the services.
					1 2 3 4 5

6.2 CUSTOMER SATISFACTION: PROFESSIONAL FIELD

6.2.1 Insight into wishes and expectations	The organisation has a global picture of the professional field. The insight is very personal.	The organisation has a reasonable picture of the professional field. With several policy aspects, the wishes and expectations are recorded.	The organisation has a good picture of the professional field. Methods have been developed to list the wishes and expectations of the professional field. The end results of research are reported internally.	The organisation has insight into the professional field and the important developments there. In conjunction with the professional field, analyses are made of the possible discrepancies between the recorded wishes and the actual situation. Actions aimed at improvement are determined in consultation with the professional field.	The organisation has a structural arrangement to confer with the professional field on the development of wishes and expectations. Problem points lead, in mutual consultation, to visible improvement. External information from similar educational organisations is taken into account in the analyses.	1 2 3 4 5
6.2.2 Management of end contracts	Management and teachers maintain contacts with the professional field on an ad hoc basis. Maintaining contact(s) depends on personal initiative.	Management and teachers maintain regular contact with the professional field. It has been determined who maintains contact on which points.	There are fixed agreements about the way in which, and by whom contacts with the professional field are maintained. At the same time, agreement has been reached on the way in which reports on this topic are made, and which information is recorded.	The contacts with the professional field are regularly evaluated. On the basis of this evaluation, and in co-operation with the professional field, concrete actions aimed at improvement are undertaken.	The contacts with the professional field are given continuous attention from all staff members of the organisation. Ideas and suggestions to improve this contact are directly incorporated into concrete actions aimed at improvement. The professional field is involved in the improvement and/or innovation of the products and the services provided.	1 2 3 4 5
6.2.3 Determining the end results	The organisation occasionally evaluates its educational courses from the point of view of the professional field.	The organisation evaluates, from the point of view of the professional field, several specific areas in its educational courses. Evaluation reports are drawn up.	The organisation systematically evaluates its educational courses and performance by determining the amount of satisfaction in the professional field. End results are reported internally and actions aimed at improvement are undertaken.	The organisation analyses, in terms of established quality indicators, the end results of research into its performance. On the basis of the end results, and in consultation with the professional field, concrete activities are undertaken with the aim of improving the performance.	At fixed intervals, the organisation researches its performance in the market by determining the end results and the amount of satisfaction in the professional field. There are clear quality indicators that demonstrate significant improvements. On the basis of the end results, and in consultation with the professional field, concrete activities are undertaken, aimed at improvement and/or innovation of the products and the services provided.	1 2 3 4 5

7 PEOPLE SATISFACTION

	1 2 3 4 5				
7.1 **Task and function**	The appreciation of the tasks and function is not linked to the description of the task and function. The measurement of appreciation does not occur, or occurs only seldom.	There is a description of the task and function. It is clear to staff members which place their activities occupy within the organisation and what their position is in relation to their colleagues.	It is clear to the staff members what the relationship is between the task and the function and how their appreciation is viewed in the organisation. The appreciation of this is viewed in the organisation. The appreciation from the staff members is measured systematically. Translation into policy does not yet take place in a systematic way. Staff members are stimulated to develop themselves within their function.	The function and function description are systematically evaluated and adjusted. The staff members are given the opportunity to distinguish themselves in specific tasks on the basis of proven qualities. Attention is paid systematically to horizontal and vertical staff mobility. The appreciation is measured systematically.	All tasks and functions within the organisation are attuned to one another, and provide space for a flexible approach to external developments and questions from customers. The staff members feel collectively responsible for the task requirements, and feel involved in the development in (inter) national education.
7.2 **Work environment**	The work environment (ergonomics, safety, health, work climate) provides the minimum requirements. There are no extra facilities for the personnel. Data on (the appreciation of) the work environment are not gathered on an ad hoc basis.	The staff members improve the work environment as a result of the registration of problem areas. Data on sick leave and (the appreciation of) the work environment are gathered. Some attention is paid to the work climate.	The work environment receives explicit attention. There are additional facilities that are of a chiefly functional nature. Data taken from the registration of sick leave are visibly used for policy development and practical improvements. Explicite attention is given to the improvement of the work climate.	The work environment is experienced as being attuned to the functional needs of the staff members, and is a responsible one in terms of ergonomics, safety and health. From a preventative point of view, attention to the work environment is a structural component of personnel policy. The staff member's appreciation of all aspects of the work environment is systematically evaluated, and points for improvement are adopted into the personnel policy.	The work environment stimulates the individual staff members and/or teams to play an active role in, and to contribute to, external developments. The appreciation of the work environment increases visibly.

	1 2 3 4 5	Everyone in the organisation feels involved in the development and implementation of the organisations policy and the way in which the organisation reacts to and anticipates social developments. The data on communication and appreciation indicate a positive trend.	Short lines of communication are aspired to within the organisation. The commitment to and bond with the organisation are strong. There is a feeling of camaraderie which also transcends the borders between the educational courses or departments. Aspects of the organisation and actions are undertaken on the basis of these.	Staff members are actively involved in internal and external developments. There is a feeling of camaraderie among the staff members.	The management is mainly active in checking and controlling, and only involves staff members to a small extent in internal and external developments. Staff members co-operate in certain sub-aspects. Data are available.	Staff members only feel involved in individual tasks. Staff members co-operate on an individual basis. The commitment of the staff members to the organisation is slight. Data are gathered ad hoc.
7.3 Aspects of the organisation						

8 IMPACT ON SOCIETY

						1 2 3 4 5
8.1 Vision	The organisation has no explicit vision on the role of the organisation in society.	The organisation has a clear, detailed vision on the role of the organisation in society. The staff members are involved in the implementation of this.	The organisation has formulated concrete aims to realize the vision. These aims are translated into concrete plans that are regularly checked with regard to their effectiveness.	Staff members are actively involved in discussions in the image and the social commitment and influence. Based on the end results, goals and operational plans are checked and adjusted	External interested parties are actively involved in discussions on the image and the social commitment and influence.	1 2 3 4 5
8.2 Current influence on society	Appreciation from society is vague, both within and outside the professional field. The organisation undertakes no activities to procure a position in society outside its direct circle of customers. Data such as complaints which are passively obtained from society, are dealt with ad hoc.	There is social commitment and influence regarding parts of the organisation within the region and the branch. Outside the branch, the position of the organisation is vague. The organisation occasionally undertakes activities to reinforce its position and function outside its circle of customers. The organisation has complete insight into the application laws and regulations, and complies with these. All the data, such as complaints, are registered.	The entire organisation is actively involved within the branch. Outside the branch and the region, the influence is slight. The organisation, as a whole, methodically undertakes activities to reinforce its social position and function. The organisation fully satisfies the application laws and regulations. Data that are passively obtained from society are registered and analysed. The organisation occasionally actively gathers data on it position in society by means of research.	A characteristic feature of the organisation is an active involvement in society both within and outside the branch. The organisation, as a whole, methodically and visibly undertakes activities to reinforce its regional / national position and function. The activities of the organisation surpass the requirements of the laws and the regulations The organisation regularly performs research on its position in society. Within the branch, the organisation is seen as trend setting and receives recognition for this from the media, for example, and through awards.	A characteristic feature of the organisation is it's long-term influence on society, both within and outside the branch. The organisation takes initiative aimed at a continuous improvement of it's position in society. The organisation attempts, in conjunction with external interested parties, to influence demands and regulations (pro-active). The organisation systematically gathers data on it's position in society and on trends, in conjunction with external interested parties. Both within and outside the branch, the organisation is regarded as a trend setter, and increasingly receives national and international recognition for this.	1 2 3 4 5

9 Business Results

9.1 Financial results	1	2	3	4	5
	The organisation is orientated towards short term business results, and makes use of several financial base figures and methods, such as solvency, liquidity, balance relation, capital in relation to the governmental subsidy. There is insight into the income from contract activities / activities involving external funding.	The organisation makes use of financial criteria to measure the business results. On average, the annual exploitation covers the costs (measured over a period of three years). There is a budget that is regularly confronted by reality at points during this period. Use is made of a fixed model for internal and external reports (balance, profit and loss calculations, explanation).	The organisation systematically measures and analyses the (trend in) financial business results, and undertakes actions to improve these. Use is made of cost accounting in the determination of charges and budget.	Within the organisation there is fully-developed financial management. Trend analyses of financial business results are made. The organisation makes analyses regarding the vulnerability and the learning capacity of the organisation, a system of planning and control is applied, based on financial data. These are compared to those in fellow organisations. The staff members are made aware of their responsibilities for the business results. On the basis of the data, periodic actions aimed at improvement are undertaken.	The organisation has insight into the trends of the financial business results. The organisation performs analyses of the profit-determining elements. Within the organisation, a system of planning and control is used for the financial business results. The organisation measures the vulnerability factors, the learning capacity and the qualitative and quantitative growth in the various product/market combinations. The organisation has insight into the extent to which people experience it as an organisation that contributes to the improvement of its customers' results. Based on the analyses performed, continuous action aimed at improvement is undertaken.

	1 2 3 4 5				
9.2 Operational results	The organisation has no methods and indicators to measure operational business results.	The organisation uses a number of methods and indicators directed towards the internal control of work processes, such as procedures, check lists manuals, training of instructors, and the evaluation data on products, services are occasionally analysed.	Following a well-considered system, and by means of unequivocal indicators, the organisation as a whole regularly analyses the work processed such as the market share, the number of graduates, the point at which they obtained their first job, the fulfillment of the business terms. Purposeful actions aimed at improvement are undertaken to remove bottlenecks.	Data are purposefully gathered on the work process in other educational organisations. Customer indicators have shown that they can accurately predict the appreciation from the customer. Long-term quality goals are aspired to. The improvement of the level of quality of the products and services are given structural and active contents (referring to policy and operationalisation, resp.). Within the organisation, audits are performed regularly, which results in demonstrable improvements within subsections. Suppliers are also regularly conferred with regarding the (business results of) actions aimed at improvement	Anticipation is made concerning the educational needs of customers. Investigation is actively carried out on how the uppermost quality levels of all educational organisations (even those of fellow organisations) can be achieved. On the basis of this information, continuous action aimed at improvement is undertaken. Demonstrable positive trends are visible over time.

Criterion		Criterion Part		Current Stage
1 Leadership	1.1 1.2 1.3 1.4 1.5	Vision on quality Personal commitment Signaling, appreciating and supporting quality External activities Reflection on management's own performance		1 2 3 4 5 1 2 3 4 5 1 2 3 4 5 1 2 3 4 5 1 2 3 4 5
2 Policy and Strategy	2.1 2.2 2.3 2.4	Policy plans and documents Development of policy Communication concerning policy Checking and improving		1 2 3 4 5 1 2 3 4 5 1 2 3 4 5 1 2 3 4 5
3 People Management	3.1 3.2 3.3 3.4 3.5	People policy Staff planning Feedback, assessment and remuneration Employee well-being and morale Guidance and development of staff members		1 2 3 4 5 1 2 3 4 5 1 2 3 4 5 1 2 3 4 5 1 2 3 4 5
4 Resources	4.1 4.2 4.3 4.4 4.5	Information Financial resources Material resources Information technology Knowledge and experience		1 2 3 4 5 1 2 3 4 5 1 2 3 4 5 1 2 3 4 5 1 2 3 4 5
5 Management of Processes	5.1 5.2 5.3 5.4 5.5 5.6 5.7 5.8 5.9 5.10	External analysis Vision on profession and education (specifications) Curriculum Study component Control Planning Student activities Teacher activities Study career supervision Internal analyses		1 2 3 4 5 1 2 3 4 5 1 2 3 4 5 1 2 3 4 5 1 2 3 4 5 1 2 3 4 5 1 2 3 4 5 1 2 3 4 5 1 2 3 4 5 1 2 3 4 5
6.1 Customer Satisfaction: Students	6.1.1 6.1.2 6.1.3 6.1.4 6.1.5 6.1.6 6.1.7	Student facilities Help and support Protection of rights Provision of information Participation Dealing with complaints Determining the end results		1 2 3 4 5 1 2 3 4 5 1 2 3 4 5 1 2 3 4 5 1 2 3 4 5 1 2 3 4 5 1 2 3 4 5
6.2 Customer Satisfaction: Professional Field	6.2.1 6.2.2 6.2.3	Insight into wishes and expectations Management of business contracts Determining the end results		1 2 3 4 5 1 2 3 4 5 1 2 3 4 5
7 People Satisfaction	7.1 7.2 7.3	Task and function Work environment Aspects of the organisation		1 2 3 4 5 1 2 3 4 5 1 2 3 4 5
8 Impact on Society	8.1 8.2	Vision Current influence on society		1 2 3 4 5 1 2 3 4 5
9 Business Results	9.1 9.2	Financial results Operational results		1 2 3 4 5 1 2 3 4 5