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BUILDING LEADERSHIP AND MANAGEMENT CAPACITY FOR DEANS IN SOUTH AFRICAN HIGHER EDUCATION

A thesis submitted to the School of Education of the Faculty of Humanities in fulfilment for the degree
Doctor of Philosophy

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SUPERVISOR: **PROFESSOR MICHAEL CROSS**

DECLARATION

I declare that the Thesis

BUILDING LEADERSHIP AND MANAGEMENT CAPACITY FOR DEANS IN SOUTH AFRICAN HIGHER EDUCATION

Hereby submitted to the University of the Witwatersrand for the degree of Doctor of Philosophy has not previously been submitted by me for a degree at this or any other university, that it is my own work in design and in execution, and that all material contained herein has been duly acknowledged.

……

Signed

Mr Oliver J J Seale

2 June 2015

ABSTRACT

The contemporary university is a postmodern, neo-liberal, competitive, boundary-less knowledge conglomerate, a far cry from its historical traditional classical and collegial roots. Although remaining true to its primary mission of research, teaching and community engagement, its organisational form has changed significantly, with concomitant implications for governance, leadership and management. Simply put, the traditional methods of governance, leadership and management as practised in universities nowadays have been surpassed by more corporate-like approaches, characterised by performativity requirements and measures, intent on a more efficient and effective generation and provision of knowledge, in a very challenging internal and external environment. As witnessed elsewhere, the emergence of the entrepreneurial university locally illustrates a shift to a more business-like management and operational model with its focus on increased market share, fierce competition and multiple income streams. Deanship in the contemporary university is complex and challenging. It is even more so in South African universities where balancing global and perhaps unique local environmental drivers are key. It appears that deans in local universities take up their positions without appropriate training, adequate prior executive experience or a clear understanding of the ambiguity and complexity of their roles, and that they are not coping. The evidence presented in this thesis points to inadequate preparation and inappropriate levels of support for deans in the universities participating in this study. It identifies the need for a more strategic, integrated approach to leadership development as a means of achieving success in their critical roles and enabling effective performance. This thesis advances an approach to leadership development for deans, grounded in their contextual realities, cognisant of individual capabilities and the provision of relevant opportunities for reflection and learning on the job. To this end it demonstrates that: (i) the global and local context of higher education has changed dramatically with its concomitant added levels of complexity; (ii) this environment has implications for the conception and practice of leadership and management in universities; (iii) institutional contexts determine leadership and management behaviour in South African universities; and (iv) this setting provides the backdrop for leadership development for deans in South Africa.

Key words

contemporary university
academic leadership
executive management
corporatisation
managerialism
performativity
deanship
executive deanship
leadership development
leadership context
leadership capacity
leadership capital

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DEDICATION

All honour and glory be to God for His love and grace by giving me the strength and courage to reach this milestone in my life. To my late parents, Herbert and Carol, for their love, care and sacrifices in forming me; our daughter Carla for always encouraging me; and my wife, soul-mate and best friend Anneline for loving, holding and moulding me into the person I should be. This achievement belongs to you as much as it does to me.

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ABBREVIATIONS AND ACRONYMS

AAU	Association of African Universities
ACE	American Council on Education
ACU	Association of Commonwealth Universities
CHE	Council on Higher Education
CHEMS	Commonwealth Higher Education Management Service
CHERDA	Cape Higher Education Research and Development Alliance
CHET	Centre for Higher Education Transformation
DOHET	Department of Higher Education and Training
HELM	Higher Education Leadership and Management Programme
HEQC	Higher Education Quality Committee
HESA	Higher Education South Africa
LFHE	Leadership Foundation for Higher Education
NCHE	National Commission of Higher Education
NDP	National Development Plan
OECD	Organisation for Economic Co-operation and Development
SARUA	Southern African Regional Universities Association
SAUVCA	South African Universities Vice-Chancellors Association
TUT	Tshwane University of Technology
UJ	University of Johannesburg
UNISA	University of South Africa
UP	University of Pretoria
VUT	Vaal University of Technology
Wits	University of the Witwatersrand

CHAPTER 1: INTRODUCTION AND OVERVIEW

1.1 'Nature and nurture'

Leadership, I have learnt, is a calling and a choice. It starts with that little voice in your head that says, 'you're different, special', not in a conceited or arrogant way but there's something that makes you stand out. You are singled out at school, in church or with peers to lead a class, a group and even a 'gang'. My leadership story has been shaped and directed by the interventions of various enlightened souls who crossed my path. They still influence who I am becoming today. My leadership journey has its genesis in life, is inspired by intellectual quests, interweaving experience and application of theory and academic rigour as an emerging scholar. It is most aptly described by Lewis (1929, p.134) who says that – 'knowing begins and ends in experience; but it does not end in the experience in which it began'.

My leadership formation is grounded in the three years I spent as a young adult in a non-racial, multicultural seminary studying for the Catholic priesthood during the turbulent 1980s. I did not complete the 7-year programme but the exposure to philosophy, theology and academia began a lifelong pursuit of knowledge. Equally important, I learnt how to live 'normally' in an 'abnormal world' of apartheid and groundswell insurgence for regime change. I am an apprentice leader, a practitioner in leadership development and, of late, an aspiring researcher. My formal academic pursuits started more than two decades ago when, whilst working at a university, I was afforded an opportunity to undertake part-time studies. Inspired by my late father's exhortation on the importance of education for a township boy, and in his words, 'which no one can take away', I successfully graduated with a business administration degree in 2001. It was the spark that ignited the flame of lifelong learning and a quest for knowledge and self-discovery.

This study on leadership development in universities began nine years ago after I was awarded a part-time fellowship for a doctoral study in higher education policy. I had just completed a master's degree and was all fired up for my next challenge, the PhD! I eagerly participated in various learning seminars with my peers and our supervisors. Supported by my Supervisor, I excitedly prepared and nervously delivered the first presentation of my proposal at one of these events. Being unclear about the focus or direction of my study, the critics no doubt had a field day. After much work and numerous engagements with my Supervisor, the PhD proposal was finally accepted by the university and my journey began.

As I embarked on this professional and intellectual quest of discovery, my first major challenge was a mindset change. I had to make the important shift from a seasoned leadership development practitioner to novice researcher. Being a novice, I had to decant my own insights, critically identify the research problem facing me and then gather the appropriate evidence required to direct the study. This remains the most difficult but amazingly rewarding task. There were times when I felt like giving up, especially whilst descending into the sometimes deep valleys of intellectual darkness and despair. I recall many trying discussions with my Supervisor on what I thought sometimes was scholarly work. Needless to say, his challenge to me at most of these encounters became like a mantra – 'where is your voice, I'm not hearing your voice'. Time and ongoing reflection has helped me not only to find that voice but to give expression to it in my work. My journey of discovery as a researcher has at times been arduous, but it has been very rewarding at a deeply personal and professional level.

Schratz and Walker (1995) in their book titled *Research as Social Change* point out that teaching, learning and research are essentially social and deeply personal activities. In this section, I would like to share with the reader my story on becoming a researcher. It has been a life-altering experience, often challenging the very core of my being but equally exciting, presenting some 'Damascus moments', which translated into rather profound personal and professional illumination. I take to heart many things my Supervisor says, especially the part about telling my story in this project. 'Research should be fun,' suggests Umberto Eco (cited in Schratz & Walker, 1995, p.1) and I am having the time of my life.

1.2 Setting course for the 'new world'

This study is on leadership development for deans. These days they straddle the key institutional roles of academic leader and executive manager in universities. As key role players in the knowledge enterprise, deans must engage with the uncertainties, challenges and opportunities of a 21st-century organisation, which is what universities have become. They need to drive internal responsiveness to the macro transformation agenda of government and multiple stakeholders, whilst simultaneously focusing on strategic and operational issues. They are, as the study will reveal, grappling with these issues (CHEMS, 1997; Cloete, Bunting & Kulati, 2000; Fielden & Gillard, 2000; Kulati, 2001; Brunyee, 2001; Jansen et al., 2002; Kotecha, 2006; Seale and Cross, 2015).

1.3 Problem statement

The search for solutions to effective leadership in universities lies perhaps in the reality that as Gmelch (2002a, p.1) puts it, 'this species may be the least studied and most misunderstood position anywhere in the world'. Scott, Coates and Anderson (2008) concur, pointing out that studies of how university leaders manage change in terms of their own learning and development are relatively rare. Even more worrying is that there is even less literature available on this area of research in a developing world context, like South Africa. Besides the work done by Johnson and Cross (2006) on deanship at a South African university, there were no other publications which I could draw on. Equally challenging, too, was the non-existence of relevant literature on leadership development for deans in local universities. Deanship in the contemporary university has evolved to the extent that most incumbents nowadays have to balance academic leadership with executive management practice.

The fundamental issue here is: how are deans in South African universities coping with the current global, national and institutional challenges and what will assist them in becoming more effective leaders and managers? In conceptualising and constructing an appropriate response to the changing world of deans, this study addresses the following research question:

How can leadership development build the capacity of deans in South African universities and assist them to become more effective?

As alluded to earlier there is an acute shortage of studies on leadership development in universities and this study will complement the current body of literature in this domain both locally and globally. In order to achieve this, the following objectives have been identified that will assist with the conceptual and methodological constructs of the study:

i. Examine the current environment of universities and its implications for governance, leadership and management in South Africa.
ii. Identify and analyse institutional leadership and management perceptions and practice of deans.
iii. Determine the competencies and desired behaviour required for effective leadership and management by deans.

iv. Critically analyse current leadership development strategies and practices and their perceived effects on deanship.

v. Explore an integrated approach to leadership development for deans in South African universities.[1]

The sub-questions which follow provide a guiding frame for the key areas under investigation. Firstly, *how do deans understand, interpret and enact their leadership and management roles in South African universities?* Leadership and management in higher education are becoming the subjects of increasing complexity and uncertainty for universities as evolving institutions in a changing world (Gmelch, 2003). For deans in particular, academic leadership is juxtaposed between effective internal operations on the one hand and, on the other, critical strategic positioning in a very competitive and ever more complex community of higher learning, like South Africa.

Secondly, *what type of leadership values, style and competencies are required for addressing the multifarious challenges faced by deans in post-democratic South Africa?* A radically altered landscape has resulted in a redesigned notion of leadership and management in local higher education. Jansen et al. (2002) point to the need for leaders in universities who are not only credible scholars, but also strong ethical managers with the capacity to create and define the new institutions that will occupy a redesigned higher education landscape. This appears not to be the case currently and there are serious challenges, in leadership and management ability and capacity, within South African higher education.

Thirdly, *how does leadership development build the capacity of deans for improved personal and organisational performance?* As the literature and current commentaries illustrate, there is a capacity problem with academic leadership and executive management in South African universities contributing to system instability and a lack of effectiveness. Some commentators advocate leadership development as an enabler of performance for local higher education (Wisniewski, 2000; Duderstadt, 2002; Gmelch, 2003) which has shown results in other systems as suggested by Fielden and Gillard, (2000), Wisniewski, (2000), Johnson (2002), and Burgoyne, Mackness and Williams (2009). The conceptualisation and implementation of leadership development in South African universities must take into account its unique challenges, relevance and responsiveness but, equally importantly the introduction of 'executivism' in a traditionally collegial domain.

[1] An 'integrated approach' to leadership development is aligned to organisational objectives, is embedded in performance management and drives career management.

Fourthly, *what are the fundamentals for effective context-sensitive leadership development?* Local higher education seems to lack a strategic, integrated approach to leadership development for deans which responds appropriately and effectively to its unique context (see CHEMS, 1997; Cloete et al., 2000; Fielden & Gillard, 2000; Smout, 2003, Seale and Cross, 2015). Leadership development interventions in South African universities are not responding to the needs of individuals and organisations in a holistic, integrated manner. They are also not taking into account the contextual complexity of a distinctive local higher education system caught in the throes of global change and transformation requirements. In this study a case is made for leadership development for deans which is strategically planned, contextually relevant and supported by an enabling organisation and appropriate resources for sustainability.

1.4 Establishing route-markers

This study resides within higher education, more especially the governance, leadership and management arenas. Its focus relates to the changing nature of South African higher education and how deans are addressing its implications. The underlying aim of this study is to engage with deans and determine their leadership and management challenges and how these are being addressed through leadership development. To this end, the study provides insight into how deans understand their academic leadership and executive management roles and functions in a transforming higher education system in transition, and how they translate this into practice. It contributes towards an improved understanding of the complex and changing environment faced by deans in South African higher education, especially their responsiveness to the multifarious challenges they encounter and the diverse constituencies involved. The nature and impact of this domain is key and recaptured intentionally in the various sections and chapters of this study, in order to create and foreground its important link to the leadership development needs and requirements of the deans. However dear reader, I recognise that it may be misread as being repetitive.

1.5 Outlining key concepts in the study

The *university* here is portrayed as a public knowledge institution comprising academics, management specialists and other professionals. It has a threefold purpose: (i) advancement of knowledge through research, teaching and other forms of knowledge dissemination; (ii) application of knowledge for social and economic development; and (iii) community engagement.

Governance is the structures and processes through which various participants in universities interact and influence one another and communicate with stakeholders and the larger environment. South African universities exercise the broad principles of cooperative governance through two traditional bodies, Council and Senate, and another third decision-making body introduced locally post-democracy, the University/Institutional Forum.[2]

In terms of *leadership a* two theory typology of transactional and transformational leadership currently dominates but this is evolving, according to Pearce et al. (2003). Transformational leadership focuses on an individual's ability to understand, interpret and communicate the organisational purpose (*visioning*), direct people (*influence*) towards its attainment, embrace and explore the possibilities of 'metanoia' or 'a shift of mind' as described by Senge (1990, p.13) for *change* (see Lantis, 1987; Kotter, 1990; Bass & Avolio, 1994; Den Hartog, Van Muijen & Koopman, 1997; Parry, 1998; Hinkin & Tracey, 1999). According to Burns in Bargh, Bocock, Scott and Smith (2000), transactional leaders operate via an exchange process with their followers towards achieving their ultimate goal and objectives.

Referring to deans, Gmelch and Wolverton (2002, p.3) describe *academic leadership* as: 'the act of building a community of scholars to set direction and achieve common purpose through the empowerment of faculty and staff'. Kotter (1990) describes *management* as coping with complexity, while leadership deals with change. In the contemporary setting, management provides transactional complementarity through applied protocols (*policy*), planning (*strategy*) and process (*operations*) (see Kotter, 1990; Burns in Bargh et al., 2000; Astin & Astin, 2000; Kekale, 2001).

In sum, governance is about making decisions, leadership is about influencing decisions, and management is about implementing decisions. There are two factors that complicate leadership development in the university setting. Firstly, there is the thinning of boundaries between these concepts and its implications for university leaders. Secondly, there is the advent of and impact of executivism.

Leadership and management concepts, criteria and practice from the corporate world, are creeping into universities, now commonly referred to as *managerialism* or *executivism.* Its advent and implementation resulted mainly from globalisation, commodification of higher education, pressures of decreased resources, more accountability and intensification of managing institutional complexity, claim Ramsden (1998) and Middlehurst & Elton (1992).

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[2] Higher Education Act (Act No. 101 of 1997).

For Morgan (1997) *capacity development* is the process by which individuals, groups, organisations and institutions strengthen their ability to carry out their functions and achieve the desired results over time. Such capacity development involves strengthening the capabilities of individuals, organisations and linkages among them. In the university, capacity is a complex quality that includes an understanding of what structures practice on the ground, the capacity for learning to learn, and the inclination to respond in particular directions. In this study, a three-pronged approach to leadership development is adopted that includes formal academic programmes, structured in-service activities, and personal strategies tailored to the needs and interests of the individual. Here it is understood as:

> building the leadership and management capacity of individuals located in a particular environment, to make them and their organisations more efficient and effective, towards achieving agreed, established and measurable performance goals (Seale & McLennan, 2010, p.11).

The 21st-century university is characterised by globalisation, corporate and industry based knowledge conglomerates and technological advances which have redefined the way people think, speak and work. The form and mission of the contemporary university is changing dramatically with major implications for its governance, leadership and management. In South Africa these developments are further complicated in local universities by the impact of and response to apartheid, economic and social inequities, redress and the need for sectoral and institutional reform. Some writers like Middlehurst & Elton (1992), Liu and Wang (1999), Brunyee (2001), Duderstadt (2002) and Gmelch (2003) consider traditional methods of governance as practised in universities nowadays as impractical for the large, modern knowledge institutions they have evolved into.

In the contemporary institution an ongoing tension has emerged between disciplinary or professional authority that defines the traditional university and the managerial and administrative prerogative, a common characteristic of modern organisations. Notions of performativity have in recent times surfaced within the academe as a result of increased pressure for more efficient and effective generation and provision of knowledge in a more competitive environment.

In response to increasing demands for accountability and efficiency, many universities are attempting to adopt corporate-like management models, informed by New Public Management principles, while rooted

in an earlier age and a different organisational setting (Ter Bogt and Scapens, 2012).[3] The emergence of the entrepreneurial university illustrates this shift to a more business-like management and operational model. This change agenda sets the global and local context for academic leadership, executive management and leadership development for deans in universities.

1.6 Significance of the study

The search for solutions to effective leadership in higher education lies perhaps in the realisation that, as pointed out by Gmelch (2002a), not only is this position misunderstood but it is also the least studied. The research into governance, leadership and management in academic settings is very limited, compared with the vast body of knowledge on these issues in other sectors like industry and business. As Scott et al. (2008, p viii) mention:

> As already noted, our review of the literature on higher education leadership in preparation for the current study generated only a modicum of empirical research and little that covered the full gambit of leadership roles in universities. Only limited insights are available on how leaders in universities shape and are shaped by the contexts and environments in which they now work.

The current discourses and paradigms underpinning leadership development are driven by a universalising logic and do little to account for the contextual complexity, such as institutional diversity (different histories, cultures and legacies), different individual profiles, volatile social and political environments – all of which are key dimensions that this study attempts to address. Challenging, too, is the paucity of research and publications on leadership development in the academe. The available literature in these areas in higher education is particularly thin, with most publications originating from the 'north' and often poorly theorised.

Studies on leadership, management and leadership development in South African higher education have received even less attention, which is worrying given the complexities of a changing environment and the specific challenges facing local institutions (Cloete et al**.**, 2000; Kulati, 2001). Given the current paucity in

[3] The measurement of research and teaching performance is increasingly common within universities, driven probably by the rise of New Public Management (NPM). Although changing over time and varying from country to country, NPM involves the use of private sector methods in the public sector. Traditionally, performance measurement in universities has had a developmental role – helping individuals to improve their (future) performance. However, the new systems seem more judgemental –i.e. seeking to quantitatively evaluate (past) performance (Ter Bogt and Scapens, 2012).

the literature (see CHEMS, 1997, 2000; CHET, 2004; Fielden & Gillard, 2000), there is a need for a study on leadership, management and leadership development for deans in South African universities.

1.7 Key argument

As this study shows, South African universities are managing their respective challenges and issues differently, based on, amongst others, organisational culture, leadership legacies and capabilities, management behaviour and operational capacity.

According to Astin and Astin (2000), uncertainty around the roles and/or functions of the top leadership, such as vice-chancellors, adds to an already complex institutional environment. System instability and lack of leadership continuity impacts on the next level of leadership in the academe, more specifically deans. Deanship in the contemporary university has evolved to the extent that most incumbents have to balance academic leadership with executive management practice. Dill (2001) and Gmelch and Parkay (1999) mention that the dean's position now has more political and social nuances than the traditionally hierarchical or technical. Deans serve two masters, say Rosser, Johnsrud and Heck (2003): executive management and the academe. For Johnson and Cross (2006), there are risks related to introducing 'executivism' for deans in universities, which is not relevant and responsive to the unique organisational requirements and complexities of the academe, particularly in a developing world context like South Africa.

This study portrays the contemporary university as being more complex, located in a changing world and, as a result, requiring a new kind of leadership and management, particularly at the level of deans, in order to respond effectively to the impact of an evolving, global, national and institutional environment. Fundamental to this process is determining the knowledge, skills and competencies required for effective leadership and management performance. Equally important is the retention and development of potential leaders for these positions. It emerges from the literature and the data generated in this study that the current pool of deans in South African higher education is limited and more effective strategies are required for increasing their leadership and management capacity. Deans are often strong academic leaders but found wanting when placed in an 'executive management' role which is what this position has evolved into, in most contemporary higher education systems (see CHEMS, 1997; Cloete et al., 2000; Fielden & Gillard, 2000; Kulati, 2001; Brunyee, 2001; Jansen et al., 2002; Kotecha, 2003; Seale and Cross, 2015).

For most deans, neither their career nor background may have equipped them for the managerial requirements of executive office (Jansen et al., 2002). In a number of instances they take up their position with limited leadership and management training, often little or no prior executive experience, nor a clear understanding of the ambiguity and complexity of their roles. The review and analysis of the literature speak to the central argument presented in this study, that leadership development may be an enabling, empowering instrument of change and effective performance for deans in South African universities. It requires a conception and methodology for deans, which is cognisant of and responsive to: (i) the unique dynamic context wherein they operate, including institutional leadership and management legacies; (ii) providing the necessary preparation and ongoing support for dealing with a changing environment; (iii) addressing their need for reflection and learning; and (iv) incorporating performance management and career advancement requirements. This study focuses on the conceptions of deanship and the lived experiences of incumbents in this crucial role at six universities in Gauteng, South Africa namely: University of Pretoria, University of South Africa, University of the Witwatersrand, University of Johannesburg, Tshwane University of Technology and Vaal University of Technology.

1.8 Mapping the journey

This section provides an overview of the structure of the study and its various components. As with the first chapter, I have steered away from the standard thematic depictions in a thesis of this nature. An interesting and poignant narrative unfolds from the next chapter, which presents and interrogates the empirical literature on the changing context of universities, its related challenges and leadership and management capacity, in this environment. In subsequent chapters there is an attempt to intertwine the prevailing discourse, documentary and interview evidence from the multiple engagements with deans in a manner which captures their notions of emerging identity in complexity and change and preparedness for effective leadership and management. Although the study is about the participants' leadership journeys, it also provides a reflective lens for my own account on leadership and management in an institution undergoing change and repositioning. It is an exciting, enlightening and encouraging story that must be told of courage and commitment from a special breed of academic leaders, who are located in particularly challenging contexts with huge and perhaps even unrealistic expectations.

Chapter 2: **Towards effective leadership and management in the 21st-century university: context, challenges and capacity**

This chapter portrays and interacts with the literature on the changing global and local environment of higher education in the 21st century and its impact on leadership development for deans. It examines the environment wherein academic leaders operate, their job-readiness and capacity for effective leadership and management. To this end it portrays and engages with (i) the context and challenges of universities in the contemporary setting; (ii) leadership and management implications of this environment for leadership development; and (iii) effective leadership and performance management for deans in South African universities. It will be argued that the literature and prevailing discourse on leadership development is inadequately theorised, not strategically integrated with individual and organisational objectives, and that programmatic interventions are mostly generic and a-contextual.

Chapter 3: Methodological foundation for engaging leadership development

In this chapter insights are provided on the research design, data collection and analysis process. Here I demonstrate why a qualitative approach seems more appropriate for this study, informed by grounded theory strategies which are used in conjunction with other theoretical frameworks. This chapter also documents the intellectual trials and epiphanies of a practitioner's passage, into the 'epistemological wilderness' of leadership development theory and practice, hopefully emerging more enlightened and empowered.

Chapter 4: Context, challenges and capability of deans to lead and manage in South African universities

This chapter maps out the key contextual determinants that influence and impact on leadership and management in the contemporary, local higher education environment and its related discourse. It examines the global, national and institutional space wherein deans as leaders and managers reside and operate. It demonstrates that these contextual layers are inextricably linked and collectively shape the discourse and praxis of governance, leadership and management at an institutional level. The main contention here is that the prevailing local environment for leading and managing is not enabling, characterised by major global, national and institutional influencers that have significant bearing on deanship, as understood and practised in South African universities. It requires a new kind of leadership

that understands the current context, interprets its impact and effectively responds to change and complexity. The sub-themes covered in this respect are: (i) typological overview of universities in Gauteng Province; (ii) impact of the environmental context on leadership and management; (iii) leadership and management challenges for deans; and (iv) leadership strategies and responses to environmental factors.

Chapter 5: The emergence of 'executivism'in South African universities

The chapter demonstrates that the conception and practice of 'executive deanship' in local universities, without the requisite enabling drivers at systemic, institutional and individual levels, are having serious consequences for some universities, given the complexities and requirements of their environment. The main argument presented here is that the whole-scale introduction of 'executive deanship' into South African universities more than a decade ago seems not to have contributed to operational efficiency and effectiveness, as envisaged. Its implementation, especially in the universities which do not have an enabling and empowering environment as its key driver, has added another layer of complexity to deanship there. The main areas for engagement in this chapter include: (i) the advent of executive deanship in South African universities; (ii) institutional management implications of executive deanship; (iii) managing definitional ambiguity and role conflict; and (iv) impact of 'executivism' on deanship in local universities.

Chapter 6: Becoming a dean in South African higher education – tales, trials and tenure

Deans for the most part are academics first, notable for their scholarly pursuit and prowess and not their executive acumen, in which they have not been formed or schooled. They most often emerge from a traditional collegial space and are catapulted into the relatively unknown domain of executive management with its related demands and challenges. Some deans in South African universities today appear to be ill-equipped for this critical role in terms of their background, knowledge, capability and prior experience. What emerges from the deans' own narratives is that in many cases their transition from academic leader to executive manager was particularly challenging and in some instances quite traumatic, especially in the institutions experiencing leadership and management crises. Key areas covered in this chapter include: (i) journey to deanship; (ii) preparation and support for deanship; (iii) functions, power and authority of deans; and (iv) tenure and transition.

Chapter 7: Learning to lead and manage – the case of deans

Local universities have adopted various approaches to leadership development which are not necessarily strategically aligned to institutional objectives, organisational performance and career advancement. As the chapter reveals, these interventions do not advocate or provide opportunities for reflective practice for deans, a key requirement for leadership and management effectiveness. The balancing act between academic leadership and executive management particularly for deans is unique in the university setting. Herein lies the inherent challenge for deans, which Schön (1983, p14) describes as 'a new awareness of complexity which resists the skills and techniques of traditional expertise'. Key issues that are identified and engaged with in this chapter include: (i) notions and features of leadership development; (ii) approaches to leadership development; (iii) good practice in terms of leadership development; and (iv) impact of leadership development.

Chapter 8: Towards holistic, integrated leadership development for deans in South African universities

The literature and evidence produced confirm the underlying premise in this study that leadership development can be an enabling, empowering instrument of change and effective performance for deans in South African universities. If conceptualised, planned and managed correctly, in an enabling organisational setting, it may enhance an individual's competencies and result in improved organisational outcomes. As this chapter demonstrates, leadership development for deans requires an appropriate, contextual response to the unique higher education setting in South Africa. Drawing on the literature, data provided in this study and theoretical underpinnings, a systemic, integrated approach to leadership development is presented here, informed by organisational strategies and objectives that are individually orientated and directed towards effective leadership and management for deans. Key issues that are covered here include: (i) the contextual frame for leadership development in universities; (ii) emerging discourse of leadership development; (iii) reframing leadership development for deans; (iv) embedding leadership development for deans; and (v) a systemic, integrated approach to leadership development for deans.

Chapter 9: To lead or not to lead: quo vadis deanship in South African universities

What this study manifests is a world of complexity and change, with its concomitant implications for governance, leadership and management in local universities. The central actors in this drama are deans who, confronted with a redesigned notion of their roles in a complex, contested domain, appear to be inadequately prepared and require significant support as academic leaders and executive managers. Failure to provide such support may have disastrous consequences for the individual, the institution and the entire higher education sector in South Africa. This chapter provides a portrayal and reflection on the journey of vibrant, passionate, singularly focused academic leaders into the cold, calculated domain of executive management with its fiscal and performance demands. It offers a platform which captures and expounds on the different voices represented here, whose individual and collective narratives provide a rich receptacle for a deep epistemological, theoretical and methodological discourse on meaning, reality, knowledge and learning, in relation to deanship in the contemporary South African university. Moreover, the study provided an extraordinary opportunity for a leadership development practitioner to transition towards an emerging scholar, and this chapter captures his journey of discovery, intellectual awakening and becoming, in this regard.

CHAPTER 2: TOWARDS EFFECTIVE LEADERSHIP AND MANAGEMENT IN THE 21ST CENTURY-UNIVERSITY: CONTEXT, CHALLENGES AND CAPACITY

2.1 Introduction

This chapter focuses on the current global, national and local environment of higher education in the 21st century and its impact on governance, leadership, management and leadership development for deans. It examines the environment wherein academic leaders like deans operate, and their job-readiness and capacity for effective leadership and management. To this end it portrays and engages with the following issues in the literature: (i) locus and typologies of the 21st century-university; (ii) the changing context and challenges of universities in the contemporary setting; (iii) leadership and management implications of change and emerging complexity; and (iv) the notion and practice of leadership development. Here it will be argued that the contemporary university is changing dramatically and requires a new kind of leadership and management in an evolving, complex environment. The chapter demonstrates that the literature and prevailing discourses on leadership development are inadequately theorised, not strategically integrated with individual and organisational objectives and programmatic interventions are mostly generic and a-contextual. It concludes with a conceptual framework on leadership development for deans which is aligned to the institutional strategy, context specific, relevant and responsive to learning needs, cognisant of career advancement and driven by performance management.

2.2 Conceptual frame for the study

This section sets the scene for this study and provides the reader with an organising frame and route map for the unfolding 'journey of experience' of leadership, management and leadership development for deans. Postmodern[4] organisations, like universities, are best understood when viewed as dynamic human environments marked essentially by differences in form and context. Their primary challenge nowadays is to manage change while holding on to unique institutional and individual values. From the literature it seems that traditional governance practices and decision-making associated with the 'classical model' are no longer effective and more business-like management techniques should be used in universities, say Pounder (2001), Duderstadt (2002) and Yielder and Codling (2004).

[4] Postmodernism describes a range of conceptual frameworks and ideologies that are defined in opposition to those commonly associated with ideologies of *modernity* and modernist notions of *knowledge* and *science*.

Dwindling resources, external demands for accountability and increased competition for market share have required the use of 'business-like' interventions, like performance management, in higher education globally, according to Scott et al. (2008) and Ter Bogt and Scapens (2012).

In addition, executive leadership and professional administration that crept into universities during the early 1980s and typify what these days is referred to as 'managerialism' or 'executivism' is now practised widely in universities. An increased focus on 'managerialism' in the last decade, say Johnson and Cross (2006), has resulted in collegial tension and conflicts between the academe and executives. That said, there are some writers who claim that leadership and management are becoming the subjects of increasing complexity and uncertainty for universities as evolving institutions in a changing world (see Meek & Wood, 1997; OECD, 1998a; Scott et al., 2008; Seale and Cross, 2015). In the contemporary setting academic leadership is juxtaposed between effective internal operations on the one hand and, on the other, critical strategic positioning in a very competitive and ever more complex community of higher learning. In most cases the internal environment shapes leadership and management behaviour and practices and significantly influences how policies are interpreted and decisions made. Notable, too, is that the biographies and backgrounds of the main institutional actors are often major contributing factors to the success or failure of universities.

For Law and Glover (2000), leadership and management in the academe are practised interdependently and require different but overlapping skills, knowledge and abilities. The background and profile of most academic leaders like deans are different. Many, as Gmelch (2003) points out, are former academics emerging from a traditional collegial space and catapulted into executive management, which this role has been reformatted to include nowadays. Deanship in the contemporary university has evolved to the extent that incumbents have to create and maintain a fine balance between academic leadership and executive management practice. According to Dill (2001) and Gmelch, Wolverton, Wolverton and Sarros (1999) this position presently has more political and social nuances, than the traditionally hierarchical or technical. Deans serve two masters, executive management and the academe (Johnson & Cross, 2006; Rosser et al., 2003). For the most part, Gmelch (2003) claims that it appears that neither their career nor background have equipped them for the managerial requirements of executive office.

There seems to be a capacity problem with leadership and management in South African universities contributing to system instability and lack of effectiveness (see Cloete et al, 2000; Kulati, 2001; Jansen et al, 2002; and Johnson and Cross, 2006).

Some commentators, like Wisniewski (1999), Fielden and Gillard (2000), Duderstadt (2002), Johnson (2002), Gmelch (2003) and Burgoyne et al. (2009), advocate leadership development as a 'capacity builder' and enabler of performance for local higher education which has shown results in other systems. However, as evidenced in the literature, leadership development is not the panacea for addressing organisational ills and complexity. Universities have generally improved in terms of their planning and resource allocation to leadership development during the last decade or so, but existing levels remain inadequate and implementation in most instances is disjointed, say Burgoyne et al. (2009). Key elements missing from current approaches to leadership development are strategic alignment to performance management, career management and succession planning. Inadequate succession planning, claim Saunders and Van den Heever (2005), has resulted in a leadership vacuum in many South African universities, especially at the senior management and executive levels. These new developments have implications for the conceptualisation and practice of leadership development in local universities.

From the literature and prevailing discourses, it appears that South African higher education lacks a strategic, integrated approach to leadership development for senior managers, like deans, which responds effectively to its complex, systemic and institutional context (see CHEMS, 1997; Cloete et al., 2000; Fielden & Gillard, 2000; Smout, 2003; Seale and Cross, 2015).

The conceptualisation and implementation of leadership development in local universities seems devoid of its unique challenges, relevance and responsiveness and, equally important in some instances, the impact of 'executivism' on a traditionally collegial domain. Leadership development interventions here are also not responding to the needs of individuals and organisations in a holistic, integrated manner. In this study a case is made for leadership development for deans which is strategically planned, contextually relevant and supported by an enabling organisation and appropriate resources for sustainability and success.

Having provided the conceptual frame for this study, the remaining sections in this chapter will focus and deliberate on: (i) the complex changing context of higher education; (ii) the kind of leadership and management required for this environment; (iii) existing leadership and management capacity in local universities; and (iv) notions and practice of leadership development globally and in South African higher education.

2.3 Welcome to our world

The contemporary university is a postmodern, neo-liberal, competitive, boundary-less knowledge conglomerate, a far cry from its historical traditional, classical and collegial roots. Although remaining true to its primary mission of research, teaching and community engagement, its organisational form has changed significantly, with its concomitant implications for governance, leadership and management, as the subsequent sections reveal.

2.3.1 The 'university' – locus and organisational typologies

The understanding and core functions of a 'university' have evolved in relation to specific historical, political and social developments over time. Developments in the role of universities are not only related to the mode of knowledge but also to the prevailing and evolving cultural paradigms of society in a particular historical epoch. The modern version of universities in the western world – viz. the 'universitas magistrorum et discipulorum', meaning 'community of teachers and scholars'– emerged in medieval Europe (Delanty, 2001, p.27). The university today is portrayed as a postmodern organisation, an open space wherein power, knowledge and culture collide. The contemporary university is no longer the doyen of intellectual enterprise for the nation state as in Von Humboldt's conception; rather, it is becoming a global, borderless institution with mobile scholars, vibrant networks and multinational participants. Unlike its insular traditional form in the Middle Ages, the contemporary university is becoming a microcosm of the broader society, with increasing demands for relevance and responsiveness.

Like its mission and mandate, the university's organisational form reflects key historical developments and influences which have shaped its configuration and governance over time. For Middlehurst & Elton (1992) universities are complex institutions encompassing multiple, sometimes even competing, purposes. Nurmi, Kontkanen, Lehtimaeki and Viitanen (1992) describe the contemporary university as both a knowledge-intensive and an expert organisation. Characterised by structural looseness, the university is able to contain and advance its multiple purposes under one institutional umbrella. Bargh et al. (2000) point out that much of the current academic literature on management of organisations and good corporate governance practice, emphasises flat hierarchical management structures, loosely coupled, instead of tightly managed organisations, and quasi-collegial teamwork as opposed to lengthy line-management.

In similar vein, McNay (1995) developed a model of the university that provides a more differentiated picture of how four institutional types, namely collegium, bureaucratic, enterprise and corporate, relate to the tight or loose coupling in relation to policy definition and control of implementation (see Figure 1 below).

The collegium type has loose institutional policy definition, informal networks and decision arenas, and innovation at the level of the individual or department. The bureaucratic type is also characterised by loose policy but has strong regulation, dominated by committees or administrative briefings. The corporate type manifests tight policy definition, tight implementation and a culture of strong top-down directives, implemented by institutional or senior management. The enterprise type has a well-defined policy framework with the students as clients being the dominant criterion for decision making. Leadership is devolved and the market is a strong focus. For McNay (1995), universities are not defined by one specific type but they combine elements of all four types, a position which Castells (2001) supports.

McNay (1995) identifies the dominant pattern of change from A to B to C to D, as shown in in Figure 1 below. McNay (1995) and Ramsden (1998) favour the enterprise model which resonates with Sporn (1999) and Clark (1998), as it is based on the promotion of an entrepreneurial culture, professionalised management, shared governance and committed leadership to ensure the future of universities. The enterprise model provides an opportunity for organisational learning, says Moore and Lewis, 2004, which can contribute to the intellectual and the managerial capital of a university. Nonaka (1991) agrees, pointing out that the only lasting competitive advantage of organisations like universities is knowledge. He further claims that the organisations which continually generate new knowledge for dissemination and transfer will thrive in an increasingly complex and competitive environment.

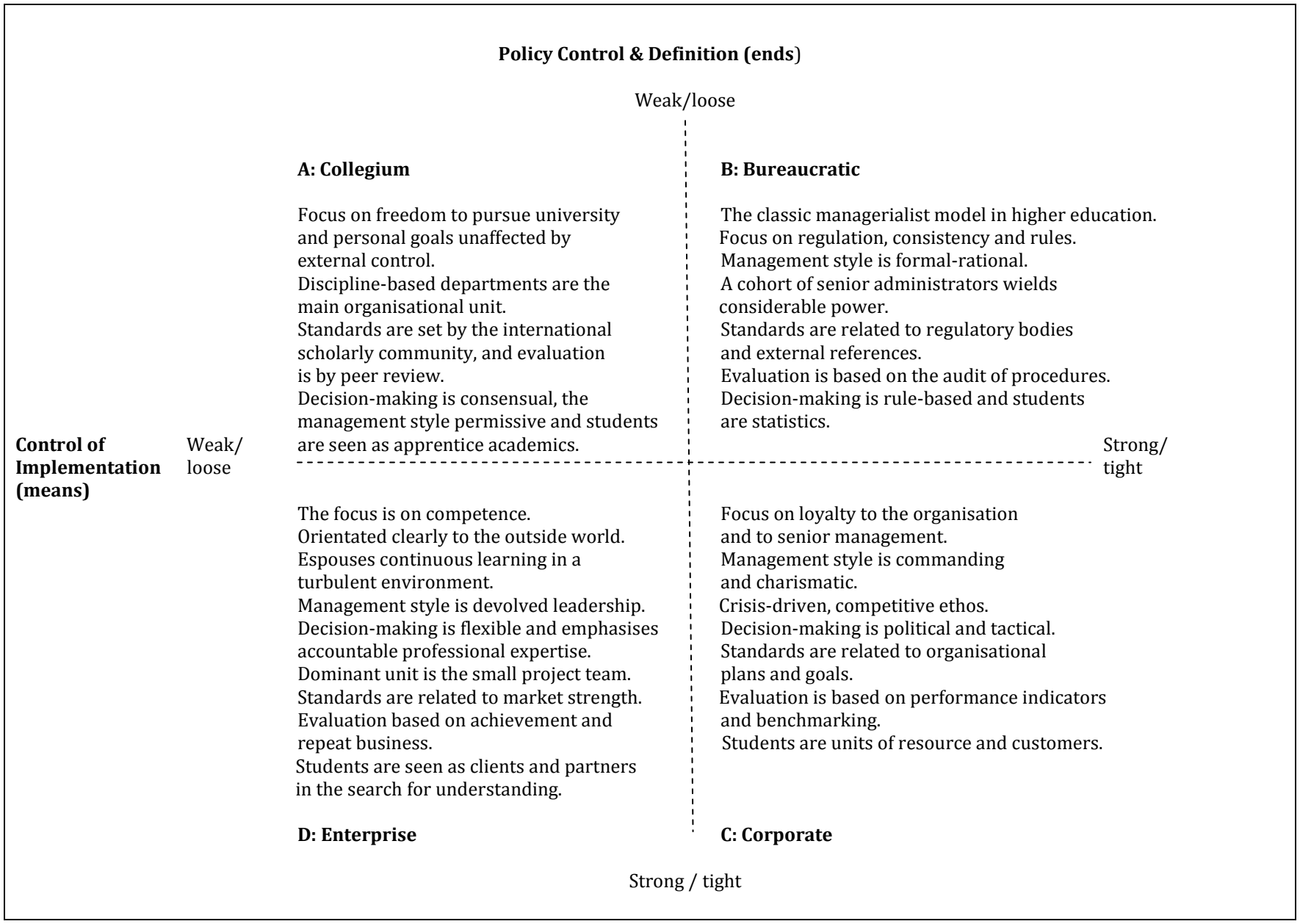


Figure 1: Four university models (based on Ramsden, 1998, after McNay, 1995)

The contemporary university manifests similar characteristics to other organisations but also has unique characteristics, which in some respects differentiate its mission in this regard. Heckscher and Donnellon (in Moore and Lewis, 2004) approach adaptive forms of organisation by contrasting two ideal types of organisational structure: the traditional bureaucratic and the post-bureaucratic or interactive types. The important distinction between these two is the bureaucratic pattern of segmentation of responsibility into organisational sub-units, where each unit or individual is responsible only for its own function. According to Moore and Lewis (2004), this organisational strategy was highly successful during the industrial age, resulting in highly efficient levels of production. However, its main weakness, the authors continue, has emerged in the contemporary era where organisational flexibility and adaptiveness is a crucial additional requirement for universities.

The success of an adaptive organisation lies in its capacity to make optimal use of the personnel's collective intelligence, advance institutional reflectivity (self-evaluation), and mobilise individual efforts to collective purposes. This, Moore and Lewis, 2004 mentions, implies a move to a post-bureaucratic organisational modality. Organisational theorists Thompson and McHugh (1995) concur and point out that since the 1990s there has been a paradigm shift towards post-bureaucratic forms of organisation. The salient feature of the post-bureaucratic form, they argue, is an organisation in which everyone takes responsibility for the success of the whole. To this end, the pattern of organisational relationships should be determined by problems rather than by specific functions. What emerges here is that global developments are shaping debates on the organisational form and governance in a transforming higher education system, like South Africa.

2.3.2 Institutional frame and governance in South African universities

In their study Hall, Symes and Luescher (2004) identify four types of governance modalities in South African higher education based on (i) representivity of those participating in decision-making processes; (ii) organisational effectiveness; and (iii) capacity for implementation of policies. These types, the authors mention, broadly represent the various organisational cultures with their distinctive characteristics in South African universities. Notably, these governance practices are rooted in institutional histories, traditions (culture) and, as Hall et al. (2004, p.92) point out, 'a complex set of interests that have a durability that might require more than legislation to change'.

Using representivity in governance against the degree of delegation of authority, Hall et al. (2004) in Figure 2 below, demonstrate their four notional types of institutional arrangements. There are institutions that have self-referential governance systems and shallow levels of delegation, called 'Type A'; institutions that are inward looking in governance and that have developed systems of delegation, 'Type B'; institutions that have representative governance systems that are well tuned to the public interest, but limited delegation of responsibility, 'Type C'; and institutions that are both attuned to the public interest and have strong systems of delegated authority, 'Type D'. Of the 12 universities under review the authors found that three could be classified as Type A, four were Type B and a further four were Type C. Only one institution could be classified as Type D.

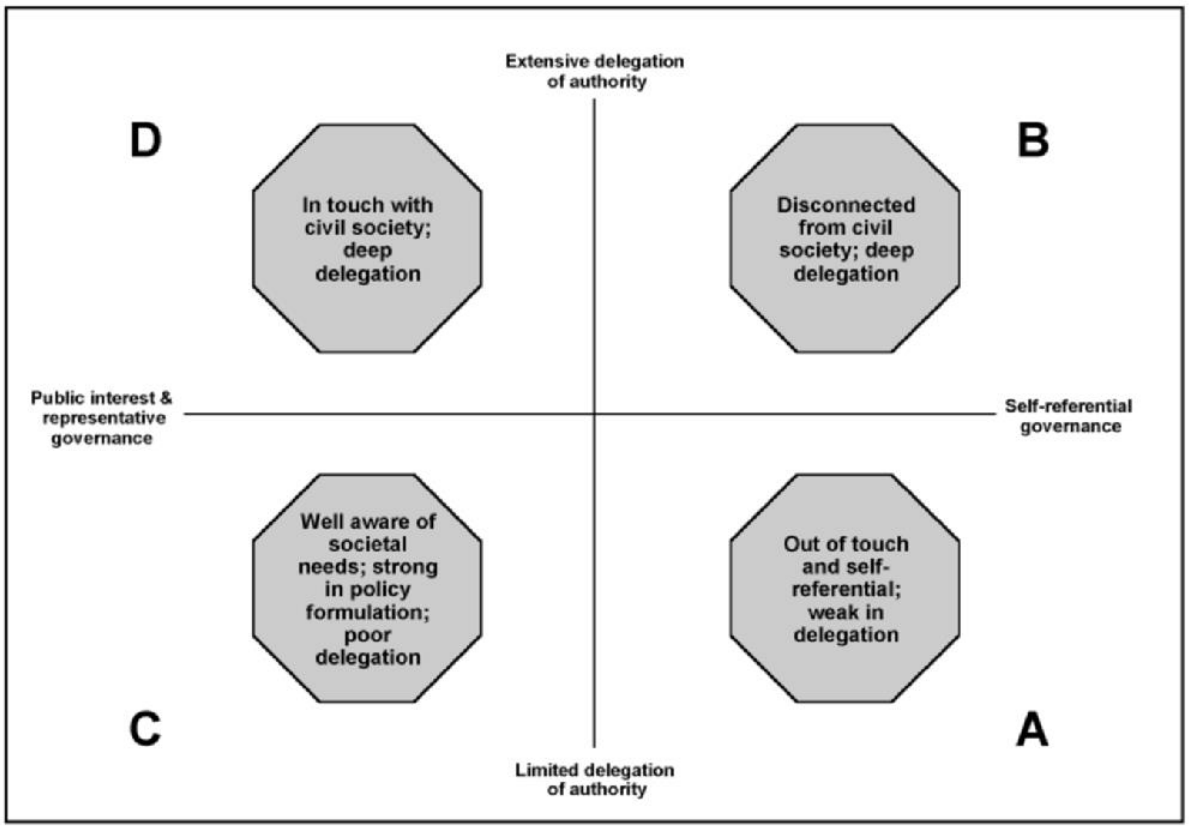


Figure 2: Governance Conditions (Hall, M., Symes, A. & Luescher, T. M., 2004, p.94)

Hall et al. (2004) point out that in terms of governance, local universities have responded to the transformation agenda in various ways largely influenced by their historical milieu, context and organisational culture which is confirmed by Cloete et al. (2000). South African higher education to some extent mirrors global developments in organisational form and governance models but is still grappling with an 'identity crisis' in a transforming, reconfigured landscape.

This may in part be ascribed to the impact of major policy interventions, such as institutional mergers, which almost 10 years after implementation have not, in most cases, delivered the desired result of improved efficiency and effectiveness. According to Cooper and Subotzky (2001) and Cloete and Bunting (2012), a central objective of the current regulatory environment in terms of governance has been to enhance levels of state control over the system through key steering mechanisms such as planning, funding and quality assurance. They claim that instead of addressing the ills of the past new challenges arose relating to increased access for the new elite, a widening gap between historically disadvantaged and advantaged institutions, and the emergence of a more differentiated and complex landscape.

In their report titled, 'Culture of Governance in South African higher education', Hall et al. (2004, p.31) point to a number of shortcomings in cooperative governance which relate mainly to size of structures, blurring of roles and responsibilities, cumbersome bureaucracies and a lack of accountability. Another challenge is the general lack of experience in corporate governance of the various representatives on key decision-making structures, like Council. There has been an organisational shift in the governance of South African universities from a system traditionally managed along administrative lines, claims Kulati (2001), to one characterised by more managerial and entrepreneurial approaches. This is in keeping with international trends and developments in the global higher education arena. Another major factor for consideration (see Cloete et al., 2000; Cooper & Subotzky, 2001; Hall et al., 2004; Ter Bogt and Scapens, 2012) is the changing relationship between the state, society and local universities.

In sum, advancements in the conception, form and function of universities have matched organisational developments across various epochs. As seen in the literature, universities in the developed and developing world are becoming flexible organisations, operating as diverse forms with an ability to adapt and respond to changing environments. Key issues that emerge here are: is the current university able to adapt and respond to a changing world, and what are the implications thereof for governance, leadership and management, particularly in a developing world context, like South Africa? In the next section I intend to identify and engage with these issues, particularly their impact on leadership and management in the contemporary university.

2.4 The times they are a-changing

Universities as organisational forms nowadays are characterised by complexity where the only constant appears to be change.

Key features of these developments relate to how systems and institutional determinants have influenced and shaped universities' responses to a fluid environment driven by various global and local imperatives. In the following sub-section these environmental determinants are presented and deliberated on as part of a changing contextual frame for global and local higher education.

2.4.1 *It's the end of the world as we know it*

Although the western university has survived for 800 years and the research university for over 100 years, there are, as Fourie (1996) cautions, no guarantees that it will continue to exist in this recognisable form for the next 30 years. Some commentators claim that universities today confront their most daunting challenges for continued existence in a world that is becoming more complex and characterised by change and uncertainty (Goedegebuure, Kaiser, Maassen & De Weert, 1993; Altbach & Davis, 1999; Breier, 2001). Universities have over time been seen as relatively stable organisations. This kind of environment Weber (cited in Davies, Hides & Casey, 2001) would classify as a bureaucracy in which an administrative approach may have been all that was necessary to keep things ticking over. However, the rapidly altered external environment and its organisational dimensions, make traditional governance and decision-making practices onerous, cumbersome and ineffective for an adaptive 21st-century knowledge-based institution, like the university competing on the global stage.

The prevailing discourse on the university's role, evolution of mission, changing organisational typology and locus in society has had major implications for its understanding and practice of governance, leadership and management. Higher education is in flux, there are no constancies, except change, wherein political, social and economic savvy is key, and adaptability and agility the mainstay for success. Nowadays a broad correlation exists between the origins and history of universities and their approaches to governance, leadership and management. In more traditional settings Yielder and Codling (2004) claim there is a tendency to promote elements of academic leadership at the expense of management, while postmodern institutions with a more youthful heritage tend to emphasise the latter at the expense of the former. South African universities have not been spared these realities. They exist in a cauldron of global change, past inequities, local imperatives and more vocal demands for mission relevance. Massive state-driven reconstruction, intended to radically transform the sector, places enormous pressure on the system, especially previously disadvantaged universities, still burdened by the legacy of apartheid.

Leadership and management in this world are transforming too, as external and internal drivers dictate the nature and pace of change in resident universities.

2.4.2 *May you live in interesting times*

Any current discussion on universities is often prefaced by what Breier (2001, p.3) calls the 'big three', viz. globalisation, internationalisation and massification. Luckett (2007) describes globalisation as the comprehensive restructuring of capitalism in the mid-1970s, resulting in a global economy operating as a unit in real time and on a universal scale. Internationalisation, says Altbach (2002), refers to the specific policies and initiatives of countries and individual academic institutions or systems to deal with global trends. Massification is the process of transition in higher education from traditional elite to a mass-based education system, which started in the 1980s (Ramphele, 2008).

On the global front, Singh (2001, p.11) points to a number of common trends surfacing in developed economies, which have provided 'a set of new conventions on the societal value of higher education and how it should be managed'. These main trends include: (i) declining public funding for institutions and requirement to do more with less; (ii) demonstration of efficiency, effectiveness and value for money through corporate re-engineering initiatives; (iii) the emergence of managerial and entrepreneurial approaches to higher education; (iv) proliferation of private higher education institutions often in direct competition with public institutions; (v) the development of a labour-market-responsive curriculum that appeals to employers and learners; and (vi) the reallocation of public and private funding from basic to applied research. The impact of these conventions and their influences are not limited to developed economies only. In fact, as Singh (2001, p.11) claims, 'it is a paradigm that has shaped the policy and practices in many developing economies, despite significant social, economic and historical differences'.

Bundy (2006) concurs, referring to a set of distinctly national pressures affecting South African higher education. These are: (i) transformation and restructuring in terms of employment equity; (ii) the need to increase access by students from previously disadvantaged groups; (iii) the need to recruit and retain more black and women academic staff; (iv) a new policy and legislative framework in which higher education operates; (v) increased demands for efficiency and effectiveness; (vi) responsiveness in creating employment and wealth; and (vii) pedagogic difficulties associated with poor schooling and a multilingual population.

What follows is an overview and diagnostic of the major global and local imperatives driving change in universities nowadays.

2.4.3 *Show me the money*

Funding for higher education has traditionally come from the public fiscus, learner enrolments and research activities. This arrangement has become increasingly difficult to maintain as modern governments, particularly in the developing world, struggle to manage their limited resources in relation to the ever-increasing costs of higher education. In this regard, Singh (2001) states that it has been a long held and powerfully persuasive World Bank view that higher education offered lower individual and social returns than primary education. The consequence of this stance has led to many governments and policy makers, especially in developing countries, drastically reducing the public investment in higher education often with devastating results. This view has fortunately been replaced, Singh (2001) mentions, by a new perspective of higher education which focuses on its social importance and value in augmenting national economic competitiveness, within a global market and knowledge-driven economy.

By 1992 in the United States, according to Dill (2001), overall governmental support for higher education had actually declined in real terms for the first time since World War II. Similar patterns of reduced funding were also experienced in Europe and have become a major catalyst for restructuring higher education there. According to the Council on Higher Education (2009), since 2004, there has been a steady increase in the funds available for South African higher education, both in absolute terms and when inflation is taken into account. However, the proportion of the national budget going to the sector has declined (Council on Higher Education, 2009). In 2013 local universities received R22billion while the Department of Higher Education and Training's (DOHET) task team argued that they should be funded at R37billion if they are to be at the world average?[5]

Government here, as in other global systems, is also using funding to steer higher education policy and planning in its desired direction. Like its counterparts in Europe and the Americas, South African universities have equally been tasked with diversifying income streams in order to meet the institutional demands of expansion vis-à-vis the delivery of quality educational opportunities. Notably, whereas institutions in the past were seemingly not held accountable for their outputs and

[5] Report of the Ministerial Committee for the Review of the Funding of Universities, Department of Higher Education and Training, Pretoria, South Africa, February 2014.

lack of economic and social responsiveness, in the current scenario the funding question will dramatically propel these issues onto the forefront of higher education debates. Key to the debate these days are the issues of efficiency and effectiveness. In particular, the question arises, efficiency and effectiveness for what?

2.4.4 *Efficiency and effectiveness*

Universities nowadays are under increasing pressure to become more relevant, responsive to society and economically productive. In the contemporary setting leadership and management are juxtaposed between effective internal operations on the one hand and, on the other, critical strategic positioning in a very competitive and ever more complex community of higher learning, according to Scott et al. (2008). As competition for scarce state resources increases, demands for operational efficiency are becoming more pronounced. Argyris and Schön (1996) advise that the need for fitness is key in understanding the aim and purpose of effectiveness:

> The value we attribute to an increase in effectiveness or efficiency depends on how we answer the question 'effectiveness or efficiency for what?' (p.64)

In response, current debates focus on the role and value of higher education in sustaining the competitive edge of a local economy, trying to respond to the demands of a fiercely competitive global environment. According to Goedegebuure et al. (1993), governments are concurrently decentralising control over programmes and budgets to universities whilst becoming directly involved in higher education systems (see also Cloete and Bunting, 2012). This intervention is premised on governments' requirement to guarantee better economic efficiency, improved quality of outcomes, increased student access and institutional accountability. The redefined role and functions of governments in the modern higher education system may largely be attributed to what Singh (2001) refers to as economic and social responsiveness. This phenomenon is present in both developed and developing countries.

Schwartzman (1999, p.52) claims that the increase in expenditures at universities is not only the result of expanding enrolments. Remuneration benefits, 'sheltered employment', promotions and generous retirement packages are other areas of huge expense in universities. When combined with academic selectivity and operational inefficiencies, these costs can lead to significant per capita expenditure. Green and Hayward (1997) point to other factors that contribute to internal operational inefficiencies.

For instance: (i) the proliferation of small institutions and low student-staff ratios is not sustainable; (ii) underutilisation of expensive teaching and research facilities during vacations; (iii) low throughput rates as a result of dropouts during long periods of study; and (iv) providing for peripheral support structures such as student housing.

Cognisant of the operational inefficiencies faced by institutions, Dill (2001) indicates that the national policy response on funding in the United States, and similarly in other countries, has, in recent times, focused on the goals of efficiency and effectiveness. Singh (2001) concurs and points out that in the current funding scenario, institutions have to demonstrate efficiency, effectiveness and value for money through corporate re-engineering initiatives and integrate these with public finance management systems. Ramsden (1998) and Middlehurst & Elton (1992) agree. They contend that the introduction of 'business-type' practices in universities may offer a solution to the challenge of 'fitness for purpose'. The next section provides an insight into this contentious area.

2.4.5 *The rise and rise of managerialism in universities*

Business-like practices are creeping into universities, now commonly referred to as 'managerialism' or 'executivism'. Its advent, according to Middlehurst & Elton (1992) and Ramsden (1998), arises mainly from globalisation, commodification of higher education, pressures of decreased resources, more accountability, intensification of institutional complexity and senior academic staff focusing on their careers in the university. One of the major implications of 'managerialism' remains the professional conflict between academics as 'knowledge workers' and top management who are responsible for university administration (Middlehurst & Elton, 1992; Liu and Wang, 1999; Brunyee, 2001; Duderstadt, 2002; Gmelch, 2003; Ter Bogt and Scapens (2012). Perhaps this is unsurprising as the workplace has been characterised in this manner historically by, for example Taylorism, and the early days of labour relations theory, says Moore and Lewis, 2004. But the unique challenge of this conflict in universities is the fact that 'management' largely comprises former academics. This remains an area of huge contestation which some protagonists like Mora (2001) refer to as a managerialist conspiracy, assailing the university and systematically eroding its core values of independence, academic freedom and collegiality. Others, for instance Middlehurst & Elton (1992) and Ramsden (1998), deem this a necessary requirement for universities as postmodern, agile and flexible organisations responding to the needs of their multifarious stakeholders. Johnson and Cross (2006) caution against the risks of introducing 'executivism' in universities which is not relevant and responsive to its unique organisational requirements and complexities of the academe.

For Mora (2001) there are some specific features which mitigate the wholesale introduction of 'managerialism' in the university. These include academic culture and freedom, institutional fragmentation, because academics are discipline focused, and multiple interests which cannot merely be coordinated in simple, strategic plans.

Although centred on the advancement of the academe, most writers are in accord that universities comprise other stakeholders too who are equally committed to the advancement of the institutional mission. The professionalisation of higher education should be seen in relation to the need for increasingly dedicated roles and functions that work collaboratively in teams where each specialist area of expertise is recognised and respected as contributing to the greater whole. Here Moore and Lewis, 2004 suggests that universities should rethink the traditional boundaries between academics and administrative staff, to a more open relationship where non-academic managers are seen as partners with a shared vision and common commitment to the academic enterprise.

2.4.6 *Competition from private higher education*

As new, less hierarchical competitors such as private tertiary institutions have begun to emerge, Ramsden (1998) claims that universities are facing the potential of powerful setbacks in their traditional market share, and operating resources. But Kruss (2003) argues that the polarised view of the public as 'good' and private as 'bad' in university education, as espoused by some commentators, no longer holds. Privates form useful and complementary functions in the higher education sector and both private and public institutions have specific challenges. Globally the contribution of private higher education varies. For instance 60% of students participate in private higher education in Brazil, as opposed to only 8% in South Africa. Private higher education locally, according the CHE (2009), contributes to the diversity of programmes, particularly in niche areas which public universities no longer dominate, like theology. The national policy and regulatory framework in South Africa recognises this sector as an integral part of advancing the overall goals of local higher education.

2.4.7 *Responsiveness to economic demands*

Moll (2004) suggests that nowadays different local contexts, regions and nation states have become networked in a globalised, systematic, capitalist means of production. In the postmodern era, the means of production is no longer determined by raw materials and energy but rather by the

management, flow and utilisation of knowledge and information. What this means is the emergence of a consistent trend internationally for dominant social interest groups to force higher education to responsiveness in the labour market, economic, sociocultural and government domains. Curriculum responsiveness therefore provides benchmarks to judge whether education programmes are meeting the needs of a transforming society.

The demands for curriculum responsiveness come from various quarters in the public sector and industry. The Organisation for Economic Co-operation and Development (OECD), for instance, is pressurising governments to address information demands in the public sector. The higher education system in the United States is producing 'needs-tailored education' for the modernisation of management and supervisory systems within public administration towards improved efficiency in all spheres of government. On the regional front, according to OECD, the current African initiative focuses on higher education assisting governments with the necessary capacity at the level of implementation 'to guarantee responsiveness to changing, national knowledge and skills needs' (Moll, 2004, p.4).

Responsiveness in South African higher education needs to be viewed in the context of its previous isolation and post-apartheid transformation. It was widely accepted, says Moja (2004) that the new higher education system needed to be strengthened to deliver a public good that had an economic benefit. Moore and Lewis (2004) concur, pointing out that South Africa's policies reflect two broad imperatives: the changing role of higher education in the global economy and a local demand for economic development, social reconstruction and equity. Higher education, the authors posit, is a means for integrating South Africa into the global economy and a vehicle for correcting the social and economic imbalances inherited from apartheid.

2.4.8 *South African higher education: key leadership challenges*

South African higher education is located in a complex, changing global environment but also faces unique challenges characterised by an apartheid-based conception and architecture, as Jansen (2003, p.5) points out.

> There were six white Afrikaans-medium universities and four white English-medium universities; four centrally controlled universities for 'Africans'; one each for 'Indians' and so-called 'Coloureds' and four universities located in the former 'independent homelands'

> for African students. There were seven historically white technikons and seven historically black ones. In addition, there was one distance education technikon and a large distance education university. In short, the new government inherited an institutional landscape which was shaped, enlarged and fragmented with a view to serving the goals and strategies of successive apartheid governments.

In responding to development, economic and social needs, South African higher education has, according to Van Vught (cited in Cloete et al., 2000, p.2), undertaken 'probably the most ambitious and comprehensive change programme in the world today'. Badat (2004) and others (Cloete et al, 2000; Kulati, 2001; Fataar, 2003 and Bundy, 2006), point to the unique triple challenge it faces – simultaneously pursuing economic growth and development, social equity and the consolidation of a fledgling democracy. These occur within a historical context of severe social-structural inequalities, distorted and uneven development and globalisation.

The trajectory, nature and pace of change in the political economy have had major implications for local institutions and its transformation agenda. Bundy (2006, p.9) describes this experience as 'a film projected at fast speed: the sequence is recognisable, but seems jerky, exaggerated and frenetic'. Most countries make use of a primary driver for increased efficiency in the higher education sector. South Africa, however, caught between achieving equity and excellence, has had to cope with an array of policy initiatives, driven by a 'state supervision model' as Cloete and Bunting (2012, p.2) point out.

> South Africa's higher education governance model became, after 1997, one of state supervision rather than the apartheid era mix of state control and market-driven models. A key feature of this state supervision model is that it permits higher education institutions to manage their own affairs within a framework of nationally determined objectives. These national objectives include, for example, goals related to total student enrolments in the system, and to the qualifications and fields of study which should be offered by the higher education system.

The coordination of these numerous policy initiatives at a systemic level has become critical to ensure that their objectives are promoted, effectively implemented and, finally, successfully attained. (see Fataar, 2003; Moore and Lewis, 2004; Kotecha, 2006 and Bundy, 2006).

Transformation and restructuring still present formidable challenges to an unstable, incapacitated and under-resourced higher education system. Cooper and Subotzky (2001) claim that most of the equity and efficiency gains in the post-democratic higher education system resulted from a combination of institutional academic and management capacities and cultures, rather than state directed policy. They mention further that the cost efficiency of the system did not improve during the period 1994 to 2000 and research outputs in accredited publications, were unchanged. This period was marked by increased tensions between the state and the sector to a point of mutual distrust. The perception prevailed that government was over-regulating the higher education system, bordering in some cases on an infringement of institutional autonomy (Cooper & Subotzky, 2001).

Since 2005 there has been a consolidation of the local higher education system and greater focus on implementation of the reconfigured landscape. Universities have responded to the transformation agenda in various ways, largely influenced by historical milieu, context and organisational culture, suggest Cloete et al. (2000), Fataar (2003) and Bundy (2006). A central objective remains to enhance levels of state control over the system. These are regulated by: submission of strategic plans to government, a new quality assurance agenda, outcomes based funding, and monitoring of targeted student and staffing profiles. Universities introduced new governance structures, applied multimodal delivery pedagogies, significantly altered their student demographics and designed curricula and qualifications as required by the new National Qualifications Framework (NQF).

The diverse institutional configuration mentioned by Kotecha (2006), Cloete et al (2000) and Bundy (2006), impacted on universities' ability to transform, advance their respective missions and compete nationally and globally.

Makgoba (2011) claims that South African higher education today is still lagging behind its North African counterparts due in part to poor performance. He reveals that in post-democracy South Africa: (i) there is a 17% gross participation rate in higher education, less than comparable middle income countries; (ii) combined research, on average 8,200 publications a year, is less than that of the University of São Paulo in Brazil (9,000); (iii) 34% of academics across the sector have doctorates, while the average for the world's 400 top-ranked universities is 75%; and (iv) the sector produces only 28 doctorates per million people per year compared to 569 in Portugal, 288 in the United Kingdom, and 187 in South Korea.

Makgoba (2011) attributes the current performance in the local higher education system to the following factors: (i) poorly qualified staff teaching and research within the system; (ii) an inherited malignant culture of poor governance and a poorly differentiated and, consequently, inappropriately resourced university system. He warns that for South Africa to remain competitive urgent attention is required to improve the capacity, quality and productivity of its higher education and innovation systems. In similar vein, Badsha and Cloete (2011, p.4) depict the current system as being medium knowledge-producing and differentiated, with low participation and high attrition rates, with insufficient capacity for adequate skills production and with a sub-sector which exhibits chronic crises.

In the most recent National Development Plan: Vision for 2030, higher education is identified as a key sector to deliver the knowledge requirements for economic and social development in South Africa. This plan proposes ambitious quality-driven targets to raise the production of doctoral graduates from the current 1,400 to more than 5,000 per year; increasing participation rates to over 30%; and increasing graduation rates from 15% to more than 25% or increasing the number of graduates per year from 167,000 to 425,000. This plan identifies the most important rate-limiting step, that is, to improve the qualifications of academic staff holding PhDs from the current level of 34% to 75% over the next 20 years. Most commentators agree that these targets are ambitious and their implementation will require a concerted effort from government and the sector, adequate resourcing and appropriate leadership and management capacity.

In a developmental world context like South Africa, where economic and social imperatives are directing national goals and objectives in higher education, engagement with relevant stakeholders has become a key requirement not only for organisational survival but for its success, as well. The challenge for local universities lies not only in their ability to survive in transition but also to strategically plot a course that transforms these constant environmental threats and hurdles into effective and successful organisational opportunities. The role and value of higher education remains of particular importance in supporting the knowledge aspirations of an emerging, vociferous local economy, and simultaneously, trying to respond to the continuing pressures of a competitive global environment. This new setting has implications for leadership and management in universities, especially at the level of dean as the next section denotes.

2.5 Leading and managing in complexity and change

Having outlined the key challenges relating to a complex and changing context in universities at present, the ensuing section addresses the leadership and management implications thereof.

2.5.1 *Where have all the heroes gone?*

It appears from present debates in the literature that the preceding theoretical constructs of leadership which pervaded leadership development interventions are not appropriate for addressing the complexity of 21st-century organisations such as universities. These approaches essentially embedded a philosophy that promulgated individual leadership in the 'trait theory' tradition in the 'heroic' sense which inspired and influenced others to solve problems and achieve goals. In the knowledge era, however, this view of people as being powerless, with no vision or ability to change, led like sheep, is no longer applicable. Senge (1990), Huey (1994) and Nirenberg (1993) agree, stating that a new concept of 'post-heroic' leadership is emerging which is grounded in bottom-up transformation, driven by distributed leadership, power-sharing and organisational coalitions. This notion resonates with commentators who have written on team leadership (Stewart & Manz, 1995; Lave & Wenger, 1991; Northouse, 2007), distributed leadership (Gronn, 2002; Spillane, Halverson & Diamond, 2001) and participatory leadership (Abzug & Phelps, 1998; Black & Gregersen, 1997).

Drawing on the work of Parry (1998) and others, a more appropriate portrait of transformational leadership emerges that has multiple dimensions, is applied in evolving contexts and practised at different tiers.

In terms of leadership dimensions, I am suggesting that a leader is formed and shaped by various factors including genetic predisposition, family environment, school life, job experiences, their managers, organisational incentives, learning and training. As Conger (2004, p.136) observes, 'it is not a matter of whether leaders are born or made – they are born and made'. This relates specifically to the genetic and environmental influences which shape the way an individual perceives, learns and practises his or her leadership in various situations. Nowadays leadership formation, behaviour and practice is lifelong, ongoing and comprises various dimensions. Secondly, in a changing environment normative theories and models of leadership seem ineffective, if these

are not appropriately situated within the complexities of change. The understanding, behaviour and practice of leadership must be cognisant of and responsive to specific organisational and environmental *contexts*. Thirdly, fundamental to successful and effective leadership are the networks that the individual establishes, builds and maintains at different tiers such as the organisation, sector and relational levels. Maxwell (1992) mentions that leadership by its very nature is a relational process. What this means is that post-heroic leadership is practised top-down, bottom-up, from within or on the fringes, depending on the context and requirements of a particular situation.

Management theories have also evolved from the era of Taylorism, which focused on scientific management principles, to John Kotter (1990) who adopted a more holistic approach that integrates key leadership and management functions at various levels. He has made a major contribution to mainstream thinking in the field of leadership by using the distinction between leadership and management as a central structuring principle. For Kotter (1990), management is coping with complexity, while leadership deals with change. Astin and Astin (2000, p.8) are in accord, saying that management suggests 'preservation or maintenance, whereas leadership implies a process where there is movement'. The literature reveals that the traditional understanding of a dichotomous relationship between the practice of leadership and management is no longer appropriate and being contested. There is a gradual move away from a definitive variation between leadership and management, traditionally characterised by the leadership versus management proverbs. The dominant view, says Fitzgerald (2003), advances interrelatedness and complementarity in the practice of leadership and management.

So what do these developments mean for leadership and management in the academe?

2.5.2 *No longer just doves of peace*

Middlehurst, Pope and Wray (1992) identify three different institutional leadership functions in universities: educational, academic and administrative. Educational leadership is largely an externally focused function which contributes to national and international policy debates, addresses relationships with other key role-players, advancement of society and protection of the environment. Academic leadership is directed towards establishing and promoting the academic track of the institution, balance of disciplines and scholarly rigour of academic activities. Lastly, administrative leadership overlaps with academic leadership, but is more directly concerned with

the economic and social well-being of the institution and its stakeholders. Although this triple role construct of leadership seems appropriate for the academe, what emerges nowadays is a picture of uncertainty and complexity in the lived reality where tradition largely dictates practice, particularly in relation to institutional environment and contextual specificities.

Institutional context in the university is of particular importance, as it defines the nature of the leadership style practised at a given time under specific circumstances. In order to deal with the complexity involved and address the competing criteria of organisational effectiveness, Ramsden (1998), Neumann and Neumann (1999) and Fitzgerald (2003) contend that university leaders these days draw on both transactional and transformational leadership characteristics. Transformational leadership it seems is especially appropriate for generating and effecting change in higher education. Worth noting is the new typology of leadership emerging in the academe based on expert knowledge, appropriate experience and adequate capacity at individual and organisational levels (Robertson, 1998; Pounder, 2001; Gmelch, 2003). Bargh et al. (2000) agree with this contention and caution against general theories of leadership and management simply being applied to universities because of the new organisational environments, and profound transformation currently under way in the sector.

The literature shows that leaders in universities have historically predominantly been appointed based on academic credibility, the number of publications, papers delivered and standing among peers. This concept of leadership upheld the notion that excellence in academia translates, via *primus inter pares*, into management excellence (see Pounder, 2001; Gmelch, 2003; Kotecha, 2006 and Greicar, 2009). This was in keeping with the traditional and classical governance and leadership model.

At the present time Robertson (1998), cited in Moore and Lewis (2004, p.53), depicts the plight of a senior manager moving from the collegiate 'gentleman amateur' to being an 'amateur manager' caught in throes of leadership and executive management without requisite training or experience. He claims that the lack of a coherent theory of management and amateur status of its leaders has caused the parlous state of effective management in the academe. The complexities of leadership here are illustrated by the fact that almost 25% of all university and college presidents in the United States resign or are fired within the first eighteen months of office. Robertson (1998) mentions that this is largely because of the lack of collegial support resulting from irresponsible 'managerialism' and a disregard for academic values. A similar picture of top leadership turnover emerges in South

African higher education but for different reasons. A survey undertaken by SAUVCA (cited in Kotecha, 2003), revealed an uncharacteristically high turnover of vice-chancellors in South Africa i.e. 64 with an average term of 3.7 years during the post-apartheid period of 1994-2004. In contrast, the average tenure of vice-chancellors in the preceding decade was about 8.8 years.

This phenomenon was also evidenced in a report on the recruitment and selection of vice-chancellors prepared by Saunders and Van den Heever (2005). They point out that in most cases the applicant pool was too small to sustain a good selection of candidates. This may be due to a perception that the selection process was too public and arduous, impacting on the levels of interest and quality of applicants. Other reasons advanced by the writers include the poor reputation of the higher education sector, significant restructuring over the last decade, perceived status of the position and high turnover (Saunders & Van den Heever, 2005). These examples illustrate that the traditional concept of an academic leader as a quiet, scholarly type has been transcended by an executive image of one who is not only politically astute but also economically and socially savoir faire (Tucker & Bryan, 1988). This type of leader, suggest Kotecha (2006) and Scott et al. (2008) is a dove of peace, a dragon combating internal or external forces and a diplomat guiding, inspiring, and encouraging people who live and work in a dynamic, complex environment. It is in the position of dean where the academic leadership and executive management roles intersect.

As the next section denotes, deanship in the current domain comes with its own challenges and opportunities.

2.5.3 *Like a bridge over troubled waters*

Deanship in the contemporary university has evolved to the extent that most incumbents have to balance academic leadership with executive management practice. Dill (2001) and Gmelch et al. (1999) mention that the dean's position now has more political and social nuances than traditionally hierarchical or technical.

Deans serve two masters, say Rosser et al. (2003): executive management and the academe. Their leadership is complicated by the desire to lead their faculty to new levels of accomplishment and excellence while keeping in mind that they have to return to the same academic environment one day. If deans follow the institutional leadership and management route when in management posts they may, as Ramsden (1998) suggests, be perceived as having capitulated to values that are

contrary to the collegial nature of the academe. For most deans neither their career nor background may have equipped them for the managerial requirements of executive office. They are often strong academic leaders but found wanting when placed in a management position, which is how this job has evolved in most contemporary higher education systems in South Africa (Gmelch 2003; Johnson and Cross 2006; Scott, Coates, and Anderson 2008; Greicar 2009; Meek et al. 2010; Seale and Cross, 2015).

In a number of instances they take up their position with limited leadership and management training, often no prior executive experience nor a clear understanding of the ambiguity and complexity of their roles (Seale and Cross, 2015). According to Carroll (1991) academics spend, on average, 16 years in their discipline before venturing into academic leadership. After all these years of socialisation, the question he poses is how do academics make a successful transition into academic leadership positions, like deanship? A national study of new academic leaders in the United States undertaken by Gmelch and Seedorf (1989) and Gmelch and Parkay (1999) may cast some light on this question. It identified salient patterns that characterises this 'metamorphosis' of academic to academic leadership. These were as follows:

i. *Solitary to Social* – academics typically work alone whereas leaders must work with others;
ii. *Focused to Fragmented* – academics have long, uninterrupted periods for scholarly pursuits, whereas the leader's position is characterised by brevity, variety, and fragmentation;
iii. *Autonomy to Accountability* – academics enjoy autonomy, whereas leaders become accountable to multiple stakeholders;
iv. *Manuscripts to Memoranda* – academics carefully critique and review their manuscripts, leaders must learn the art of writing succinct, clear memos;
v. *Private to Public* – academics may block out time for scholarly work, whereas leaders have an obligation to be accessible at all times;
vi. *Professing to Persuading* – acting in the role of expert, academics disseminate information, whereas leaders profess less and build consensus more;
vii. *Stability to Mobility* – academics enquire and grow professionally within their discipline, whereas leaders must be more mobile, visible, and political;
viii. *Client to Custodian* – academics act as clients, requesting and expecting university resources, whereas the leader is a custodian and dispenser of resources; and
ix. *Austerity to Prosperity* – the new experience of having control over resources may lead the academic leader to develop an illusion of considerable prosperity.

What also emerges from the literature is that as academic leaders deans often sacrifice their teaching and research responsibilities to become full-time executive managers (Scott et al., 2008; Greicar, 2009; Seale and Cross, 2015). This is a major challenge since it appears that even in an 'executive frame,' disciplinary scholarship remains *the* measure of credibility and legitimacy in academia amongst peers, more so than executive prowess, and adds additional pressures for deans who intend to return to the academe post their appointment.

Depending on the university policy, deans mostly serve for a limited period of time of between 5-10 years. A study of Australian deans concluded that 20% were serving their first year as dean and 75% had served for five or fewer years (Sarros, Gmelch & Tanewski 1998). In the United States, according to Gmelch, Wolverton, Wolverton & Hermanson (1996), the average length of service as dean was 6.6 years and 16% of deans were in their first year of service. As far as I am aware, there is no aggregated data available on deans' terms of office in South African higher education in the post-democratic era.

What this means is that the conception and practice of leadership development for deans must take into account these issues but equally important are the nature and conceptions of 'executivism' in the university context and particularly its impact on a traditionally collegial domain (see Rosser et al., 2003 and Seale and Cross, 2015). In the next section I explore the notion of leadership and management effectiveness and, in particular, how it applies to deanship in the university.

2.5.4 *Effectiveness in the university – conceptions and perceptions*

Fincher (1996) contends that leadership effectiveness in universities is mainly based on perception. Individual perceptions of effectiveness relate to their understanding of leadership accomplishments and experiences either directly or indirectly. Judgements on effective or ineffective leadership are made in relation to the individual's experience.

These perceptions determine the viability of the leader's position within an institution (Birnbaum, 1989; Fincher, 1996; Whetten & Cameron, 1985 in Heck, Johnsrud & Rosser, 2003). Pounder (1999) in his study of leadership effectiveness in Hong Kong universities identified four performance criteria for measurement. Firstly, *productivity-efficiency* is the behaviour that relates to the quantity and volumes produced in relation to costs of operations. Secondly, *cohesion* is the behaviour that

reflects staff morale, interpersonal relationships, teamwork and sense of belonging. Thirdly, *information management-communication* is the organisation's ability to distribute timeously to its members accurate information which affects their jobs. Fourthly, *planning-goal setting* focuses on the organisation's capacity to set objectives and systematically plan for the future.

Heck et al. (2003) identify as a major challenge the lack of common understanding on what leadership effectiveness in universities is and which aspects need to be measured in this regard. One way they suggest to assess the leadership of deans for instance, is in relation to role expectations and institutional purposes for evaluation. These aspects include job performance (ability and behaviour), cognitive processes (problem solving and decision making), or effectiveness (results, programme outputs, quality). Effectiveness is appropriate when the evaluation relates to accountability for results. Evaluations may also cover improving performance, opportunities for professional development, or merit pay increases. Their findings supported the view that leadership effectiveness can be measured at both the individual and unit levels. Heck et al.'s (2003) study also confirmed Fincher's (1996) assertion that the variation in understanding of leadership effectiveness related largely to the individuals' unique views of and experiences with their dean.

Most universities have in the last decade or so adopted operational measurement tools such as performance management to strategically direct their mission and measure organisational value. The design and implementation of performance management tools have resulted in widespread critique particularly amongst academics. Moreover, they have faced major challenges in relation to contextual specificity and whole-scale application of mainly corporate based models (see Ter Bogt and Scapens, 2012).

2.5.5 *Can't measure, can't manage?*

For Lyotard (1984, cited in Burnarda & White, 2008), performativity relates to assessing the effectiveness and efficiency of organisational systems where the least input produces the greatest output. Other writers like Davis (2004) and Ter Bogt and Scapens (2012) posit that the principle of performativity may not be entirely bad in itself but its extension into an educational institution is where the real problem lies, especially when trying to measure aspects such as creativity which do not neatly fit into a performative system. Concomitantly, there has been a significant shift towards performativity in global and local university systems based on the increased demands from a multiplicity of stakeholders to do more with less (Ter Bogt and Scapens, 2012).

One of the mechanisms used to this effect has been the conception and implementation of performance management. Performance management, according to Jones (1999), is results-orientated. It focuses on acquiring the best in people and assisting with the realisation of their potential. Carrell et al. (1998, p.258) indicate that performance management has developed since the 1980s, as Total Quality Management (TQM) programmes focused on the achievement of performance goals.

In the university context, Bryman, Haslam and Webb (1994) present very interesting findings on the introduction of performance management in the United Kingdom. They highlight the implications of an appraisal system that to a very large extent was imposed by government on the university sector. One of the most notable findings of their study was that many respondents reacted to appraisal with procedural compliance. There was a strong sense that university authorities responded in a similar manner, lacking total conviction. Ter Bogt and Scapens (2012) concur, pointing out an additional concern.

> Although the PMS [Performance Management Systems] are based on apparently objective measures of performance, when decisions are taken using those measures, for instance in promotion decisions, other more subjective information is also taken into account (p.487)

Hammons and Murry's (1996) study on the implementation of appraisal systems in community colleges in the United States produced different findings. Overall, their findings showed that community colleges are doing a much better job of evaluating their administrative personnel than are most other types of four-year post-secondary institutions. These institutions, it seemed, were positioned to realise the potential benefits of an effective management appraisal system. However, a major limitation of their study is that it did not cover the application of performance management on academic staff in the targeted community colleges.

In their research on performance management in South African universities, Strydom and Marais (2004) regard this relatively new development as driven primarily by external demands for improved student graduation rates and quality provision, rather than internal quests for organisational effectiveness. Their findings suggest that the introduction of performance management systems has been characterised by the high cost of implementation, staff resistance, management and administrator apathy and increases in academic workloads. In addition, there were tensions uncovered between collegiality and managerialism, particularly within the cultural

contexts of participating institutions. Strydom and Marais (2004) suggest that performance management in the university context requires an integrated, collaborative methodology involving all internal stakeholders. Equally important is the need for staff development initiatives which support management capacity and respond to a rapidly changing environment.

What emerges from the literature is that the effectiveness and success of performance management will be measured by the commitment of both managers and staff to a holistic notion of linked individual and organisational performance and its concomitant processes. Of note too is the fact that the performance management system not only defines but is also defined by the existing culture within the organisation. In an organisation that traditionally values and advances institutional autonomy and academic freedom, the whole-scale importation of performance management systems may result in contestations and unnecessary conflict within universities, particularly given the changing environment in South African higher education.

The key issues which emerge from the narrative on leadership and management for deans in the contemporary university are: (i) global and local imperatives related to change are defining their role and function and form; (ii) a changing environment requires a different kind of leadership; (iii) performance determination and measurement of leadership effectiveness are becoming key requirements; and (iv) institutional success requires both academic leadership and management capabilities. Most writers agree that universities, like other successful postmodern organisations, need effective leadership that creates shared values and common goals for advancement of the institution. They also require astute, accountable and efficient management at all levels. In keeping with developments in other sectors, it appears that the university today requires top-down and bottom-up leadership learning, where collective ownership of institutional mission and objectives are understood, lived, continuously reflected on, and improved.

In the next section I explore the nature and practice of leadership development, conventions and approaches and illustrate the results of interventions particularly for senior managers, like deans in universities.

Here I attempt to strategically locate the debate on leadership development in a context of change and complexity, where appropriate responses are required that are cognisant of critical influencers such as ‘managerialism’, career advancement, succession planning and performance management.

2.6 Learning to lead and manage

In order to address and respond to the current complex leadership and management context in universities, some writers advocate leadership development as a means for improved individual and ultimately institutional performance in an enabling and empowering organisational environment. However, as the next section shows this is not always the case in most global and local university settings.

2.6.1 *Building a solid foundation for capacity*

Current approaches to capacity building are often informed by competency assessments of individual leaders and managers which some writers nowadays find problematic. For instance, Armitage, Brooks, Carlen and Schulz (2006) claim that competency based models and their related assessments are insufficient for effective leadership and management in complex, changing environments. The assumption is that these approaches, which focus mainly on an individual's gaps in skills and attributes, will, with requisite training, address organisation-wide performance. Although Armitage et al. (2006) recognise the usefulness of competency based models they discount their value as the sole contributor to organisational performance. They claim that this approach is one dimensional and critically overlooks organisational factors such as context, culture and climate. Although perhaps theoretically sound and individually applicable, these models are biased by their 'one size fits all' application (Armitage et al., 2006). For Moore and Lewis (2004), capacity building for leaders and managers in universities is premised on a deficit–assumption orientation. Its main purpose, they claim, is for the individual to acquire basic skills and competencies for a specific position. In contrast, professional development assumes that the basic skills and competencies are present and advances an enhancement thereof. There is no tabula rasa, as an individual's existing competence informs his or her ability to meet the minimum requirements of a specific job (Moore & Lewis, 2004). In knowledge organisations like universities, this approach seems more appropriate, according to the authors. What follows is an overview of the understanding and practice of leadership development.

2.6.2 *Notions and models of leadership development*

The prevailing notion of leadership development is a product of the postmodern era informed by advancements in leadership and management theory and practice. It is premised on complementarity of leadership and management knowledge and skills applied in specific

organisational contexts. As such, the interplay between individual and organisational components is fundamental in this understanding of leadership development.

According to Conger and Benjamin (1999) three principal approaches to leadership development emanate from the literature: (i) individual skill development; (ii) socialisation of leaders' values and visions; and (iii) strategic interventions that promote a collective vision of the organisation. Leadership development from an individual's perspective appears to be both a formal and an informal process. Popular methodologies are training programmes, experiential learning and coaching and mentoring. Most training interventions occur during a defined time period ranging from one day to 12 months. Training is normally conducted by internal professionals or external experts. Management training comprises a broad range of philosophies, techniques and topics concerned with helping participants to become more effective in their jobs. It may focus on specific skills (e.g. negotiation, budgeting), general abilities (e.g. communication, planning), or personal development (e.g. leadership, handling stress). The literature provides an array of professional knowledge, skills and examples of best practice that can support and enhance leadership development for senior managers in universities, in countries like the USA, Canada and Australia.

For instance, a study conducted at the University of Wisconsin generated descriptive categories of leadership competencies for universities using a grounded theory methodology. Participants in the University's Extension Administrative Leadership Program (EALP) were asked to recollect personal leadership experiences in which they were effective and to describe what they actually did to perform. During this process it is claimed that a paradigmatic shift occurred and the programme began to emphasise the development of specific leadership competencies in relation to the institutional context. In this study Wisniewski (1999) produced a model of seven key leadership competencies, which are: (i) vision setting and core values; (ii) communication; (iii) reflection and analysis; (iv) positive climate; (v) facilitation and collaboration; (vi) problem solving and risk taking and (vii) perseverance. Another study undertaken amongst Australian universities revealed similar and other academic leadership competency requirements, especially in a complex and changing environment: (i) transparency and honesty; (ii) personal values and ethics; (iii) calmness in crisis; (iv) empathy; (v) self-awareness; (vi) time-management; (vii) passion for academia; (viii) information filtering; (ix) reflection; (x) creative, lateral thinking; and (xi) problem identification and resolution (Scott et al., 2008). These studies point to a need for a greater focus by academic leaders on what were traditionally referred to as the 'softer skills', in particular the 'people' dimension of it.

In terms of leadership development, Fox (1997) mentions that training and formal learning is the visible tip of the learning iceberg. Johnson (2002) agrees and cautions that a singular approach to training may become patronising since participants, especially in the case of academic leaders like deans, have long graduated from the classroom into advanced thinkers and independent problem-solvers. There is also a danger of incompatibility in terms of their interests and values or even more problematic, Johnson (2002) says, experiential irrelevance. Bush and Jackson (2002) suggest that leadership development should be context specific and a product of practice that is incrementally applied. It also involves coaching, critical reflection and dialogue. For Sandmann and Vandenberg (1995) contemporary leadership development is holistic, collective centric rather than individualistic orientated. Burgoyne et al. (2009) claim that leadership development is successful only if it is integrated with recruitment, professional development and performance management. Jackson, Farndale and Kakabadse (2003) concur, depicting leadership development as a holistic process that is strategic, focused on organisational performance, professionalism and maintaining competitive advantage and, in particular, for managing change and responding to stakeholder demands.

Although major strides have been in made in leadership development in other sectors, its design and implementation in universities, specifically local ones, appears to be non-strategic and in most instances disconnected from organisational and individual learning objectives. A more appropriate response as emerging from the literature, is integrated, system-wide leadership development which is cognisant of individual, organisational and environmental learning, incorporates key elements such as career management, professional development and performance management, and is positioned in response to specific contextual challenges.

2.6.3 *Needs analyses and approaches*

Research undertaken by the Commonwealth Higher Education Management Service (CHEMS), the Universities' and Colleges' Staff Development Agency (UCoSDA) and the Association for Tertiary Education Managers (ATEM) reveals that, based on contextual needs, various models on training and development in universities have over time, been adopted (Schofield, 1996; Fielden & Gillard, 2000; World Bank, 2001; CHERDA, 2003; Smout, 2003).

At the Dakar African Regional preparatory consultation held in April 1998, management capacity building was identified as one of four key concerns (CSHE & CHET: 2003). Responses to a survey

undertaken by Smout (2003) for the South African Universities Vice-Chancellors Association (SAUVCA) also highlighted capacity building as a core function for the envisaged association. During a meeting of Southern African Development Community (SADC) university vice-chancellors held in Cape Town in 2003, this need was echoed once again. Fielden and Gillard (2000) affirm the need for capacity development as reflected in most commentaries on South African higher education. They point out that the World Bank in its report, 'Higher Education in Developing Countries: Peril and Promise' (World Bank: 2001), identifies this as an important issue. They contend that within the university environment, management capacity building needs tailor-made approaches, based on a good understanding of the local institutional context.

The Commonwealth Higher Education Management Service (CHEMS) undertook two capacity development studies in South Africa in 1996, in which 16 universities and 10 technikons participated. The findings of these studies included a massive need for leadership development at all staff levels in universities. Likewise, in a study carried out by CHEMS for UNESCO on strengthening middle management skills in universities, the author points out that in many developing countries increased enrolments and declining resources impacted on leadership and managerial performance, in a negative manner (Schofield, 1996). Furthermore, the accompanying decline, in some cases, in the quality of university administration was due in part to a lack of trained middle management level staff to occupy effectively senior positions when vacated by experienced administrative officers. Johnson's (2002) study on leadership and management training in universities found that the majority of heads of departments and senior 'manager-academics'[6] in the United Kingdom had received very little formal training or preparation for their managerial positions at the time of appointment. Another survey undertaken in the United Kingdom during 2000 showed that at that time as many as 70% of universities had no systematic institutional approach to leadership and management development (CHEMS, 2000). Since then this situation has changed, as Burgoyne et al. (2009) have shown. Higher education in the UK has made significant progress with investment, design, delivery and evaluation of leadership development in recent years.

Although most universities in South Africa these days have fairly well established human resource development policies and practices for staff, there are not sufficient formal or informal opportunities for senior managers like deans to acquire critical executive and interpersonal skills.

[6] 'Manager-academic' distinguishes between academics who work as HODs or pro vice-chancellors/deputy vice-chancellors and non-academics who also hold senior positions in the university.

The delivery of leadership development in South African higher education also varies (Fielden & Gillard, 2000; Smout, 2003). SAUVCA undertook a research study for its Higher Education Leadership and Management (HELM) programme. Using previous needs analyses, selected interviews and questionnaires a 'Matrix of Needs and Target Audiences' was compiled which illustrated the major capacity requirements at the various levels of management in universities. In their report, Fielden and Gillard (2000) identified four focus areas for HELM: (i) strategic understanding of the HE environment; (ii) leadership and emotional intelligence; (iii) finance and people management; and (iv) understanding of ongoing policy/lobby issues. Various themes were included, e.g. awareness of global/national issues (strategic understanding), leadership styles and philosophy ('soft skills') and finance and budget ('technical skills'). Six management levels were identified (i.e. vice-chancellors, deputy vice-chancellors, deans, senior managers, heads of academic departments and heads of administration departments) with their respective needs, which were categorised as either strong, medium or light.

A later sectoral scan undertaken by Smout (2003) for SAUVCA revealed a broad spectrum of education and training provision ranging from postgraduate qualifications (e.g. a master's in HE Studies offered at the University of the Western Cape) to short internal management courses. Pretoria, North-West and Rhodes Universities, for instance, provide an internal institutional programme for senior and middle managers that focuses on key management topics and developing soft skills (e.g. emotional intelligence) within the organisational context. Some institutions have, with the assistance of international and local professionals, developed 'tailor-made' senior management programmes to be offered by their business schools (e.g. University of South Africa and University of Pretoria). There have also been 'home-grown' courses offered by the Tertiary Education Linkages Project for higher education leaders sponsored by the US development agency, USAID.

2.6.4 *Programme evaluation and impact*

There currently exists a multifaceted approach to leadership development that allows participants access to various activities ranging from one-day workshops/courses to longer-term award-bearing programmes/qualifications. However, whatever approach has been adopted, there still remains, according to Jackson et al. (2003), the problem of knowledge transfer into the workplace and measurement of individual and organisational impact. Another inhibitor is the resistance that participants encounter from other colleagues with the implementation of new ideas acquired at

management 'training' courses. What this means is that the effectiveness of training programmes and developmental experiences hinges on organisational conditions and learning culture. Other evidence also suggests that the application of training and skills development in the workplace is often heavily dependent on the organisational context which may or may not be enabling (McLennan and Orkin: 2009).

Mountford and Doidge (2005) undertook a study of the Institute of Leadership and Management (ILM) programmes in the United Kingdom to determine individual and institutional returns. Their aim was to establish the impact and value for money of accredited ILM programmes being offered in five universities. The main findings of this study include that programmes: (i) add significant value; (ii) were particularly useful in motivating change; (iii) in encouraging personal development; (iv) increased confidence in developing individuals' skills including communication; and iv) promoted quality enhancement in their work area.

On the local front, by the end of 2006 more than 1000 senior and middle managers in local universities had participated in the 35 leadership development events offered by HESA through its HELM programme. One of the major benefits of this programme was the support networks it created amongst peers which allowed participants the opportunity to exchange ideas and share experiences in a collegial environment. In an external evaluation of HELM undertaken in 2004, respondents spoke of the programme enhancing their personal growth and understanding of key issues in the sector and development of a valuable peer support network. They also indicated that the programme contributed to a greater awareness of the challenges facing their own institutions. It provided them with the tools to address these challenges. The testimonies of the respondents also showed that the programme was relevant and that it was beginning to have a positive impact on the individual, his or her respective institutions and the system as a whole. (Smith, October 2004). However, the major shortcoming of this Evaluation was that it was limited to participants' satisfaction, rather than impact. Following another external evaluation undertaken by HESA in 2009, it appears that the HELM programme had lost some of its sector-wide value due to delays with further implementation and momentum by not building on its initial successes. HESA has worked on reviving and strengthening this programme with some components being implemented in 2013. It seems that currently not all universities in South Africa have responded to the leadership development needs of senior managers like deans, and only a small number have adopted a strategic approach which is linked to organisational and individual objectives.

What this means is that the conception and practice of leadership development for deans in the current environment needs further inquiry, an investigation and a reframing of the discourse towards a more contextualised and appropriate response.

2.7 Conceptual and theoretical framework for leadership development

The dominant emphasis in leadership research and the current discourse in universities has been on the human capital of individual leaders, says Day (1999). However, Parry (1998) points out that this approach neglects the social and relational dimension of leadership as characterised by advancements in prevailing transformational, collective, distributed and team leadership notions mentioned earlier. Leadership development approaches nowadays appear to be trapped in the individualistic leader frame, manifested by a 'deficit-assumption' orientation which focuses on a leader's 'weaknesses' and performance gaps, with its main purpose being remedial, by fixing the individual for the benefit of the collective (Moore & Lewis, 2004).

An alternative approach which is advanced by Mountford and Doidge (2005), Scott et al (2008), Bolden, Petrov and Gosling (2008), Greicar (2009) and Seale and Cross (2015), is a conception of leadership development that is cognisant of both the individual and social dimensions of leadership and aligned to the strategic intent and performance objectives of institutions located in a specific environmental setting. In this frame leadership development acquires and is imbued with a 'developmental-orientation', premised on building the capacity of the individual for effective performance in the current role and continuous professional development for career advancement. The fundamental proposition in this conception is that an individual possesses the requisite minimum knowledge, skills and demonstrable experience to do his or her job, hence the appointment. Leadership development is then directed towards an enhancement of their capacity to lead and manage more effectively.

What this means is that leadership development interventions for deans in the prevailing context must be cognisant of and responsive to the leadership complexities of change in local universities as espoused by Parry (1998). Informed by the literature and data generated from this study, a portrait of transformational leadership emerges for deans that has multiple dimensions, is applied in evolving contexts and practised at different levels. As mentioned earlier (see Parry, 1998), this notion of 'post-heroic' leadership with its focus on individual and social components is grounded in bottom-up transformation wherein power-sharing and organisational coalitions are being negotiated and contested (Huey, 1994; Nirenberg, 1993).

This approach resonates with commentaries on team leadership as espoused by Stewart and Manz (1995), Northouse (2007) and Lave and Wenger (1991), distributed leadership (Gronn, 2002) and participatory leadership (Abzug & Phelps, 1998; Black & Gregersen, 1997).

My engagement with the deans participating in the study manifested this shift to coalition building not only with the academe but the administrative components in universities on which they heavily rely nowadays. In response to the ongoing negotiations and contestations between internal constituents and external stakeholders, deanship requires a specific focus on leading change and transformation in transition, a unique characteristic of local higher education. These nuanced dimensions of academic leadership have implications for the conception and practice of leadership development for deans. The conceptual reframing of leadership development for deans in this setting as derived from the literature, must be cognisant of and responsive to: (i) the changing global and local context of higher education with its concomitant added levels of complexity; (ii) the capacity implications of a changing environment for leadership and management; and (iii) enhancement of the leadership capital for deans through leadership development for more effective performance (see Figure 3 below).

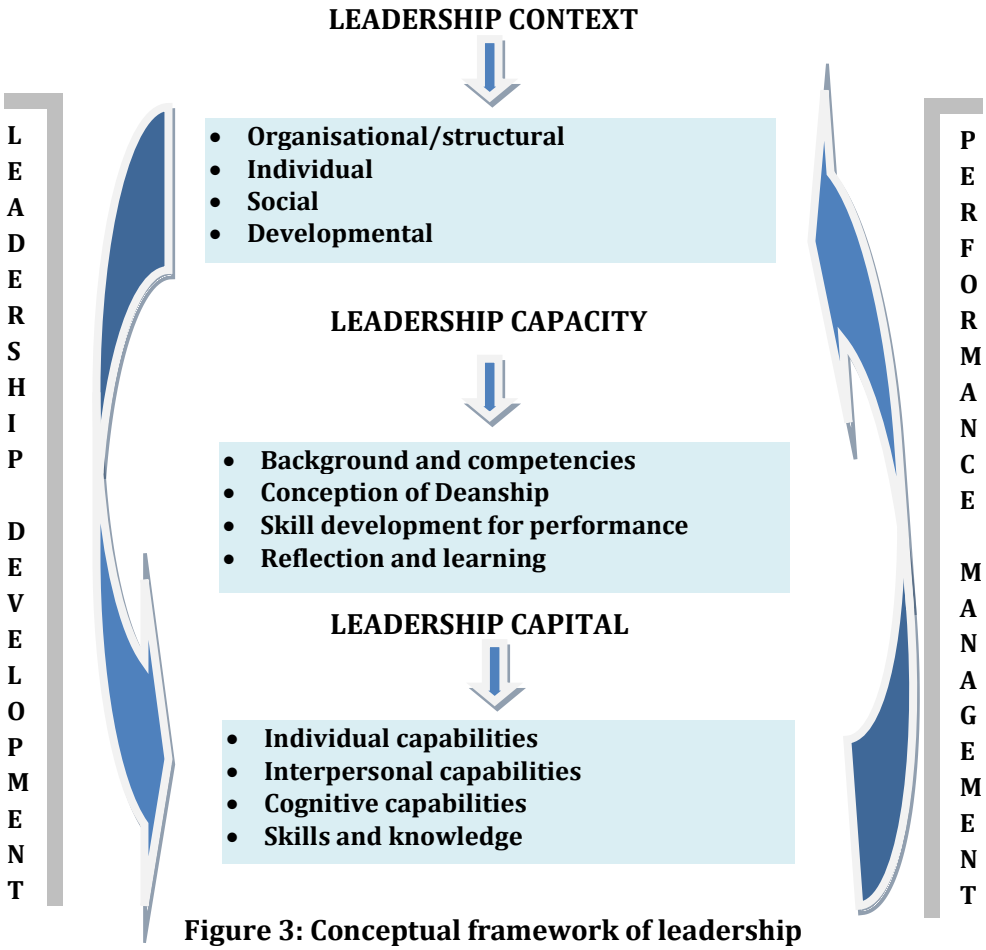


Figure 3: Conceptual framework of leadership development for deans

There are three key dimensions which inform the conceptual reframing of leadership development for deans. Firstly, there is the complex and changing *leadership context* for deans characterised by global, national and institutional imperatives. Bolden et al. (2008) identify 5 groups of factors of leadership in the contemporary higher education setting: (i) structural and organisational, which focuses on the institutional environment for leadership; (ii) individual leaders, in terms of their personal qualities, preferences and experience; (iii) social, which incorporates the relational aspects of organisations, including networks; (iv) contextual pressures from politicians and stakeholders; and (v) the developmental dimension, at individual, group and organisational level. For deans, this setting finds expression through the governance and leadership legacies of their respective institutions and repositioning post-democracy in South African higher education. Worth mentioning here is the introduction of 'executiveness' for deans during this period at all the participating universities and its impact on their academic leadership in a traditional collegial domain, as noted by Johnson and Cross (2006).

Secondly, *leadership capacity* in this analytical frame relates to the internal means of ensuring that the fundamentals for academic leadership and executive management exist within the individual and the organisation for effective deanship. It refers to the process of leadership development that enables and empowers the individual and the organisation to address the complexities of *change*, reflect and *learn* from their successes and failures, and focus on improved performance. This is in keeping with the three areas Wolverton, Ackerman and Holt (2005) identify for leadership development: (i) conceptual understanding of academic leadership in a specific institutional context; (ii) skill development for performance; and (iii) reflection and learning from experience. The final dimension of the conceptual frame for leadership development is *leadership capital.* Simply put, it is the demonstrable, measurable outcome, value-add or contribution to an increase in *capital* (human, economic, organisational and social) of the individual, organisation and higher education sector (environment) arising out of relevant and appropriate leadership development interventions for deans.

The epistemological approach adopted in this study is based on the prevailing theoretical underpinnings in three main areas: (i) leading change as espoused by Parry (1998); (ii) Dewey's (1933) and Schön's (1983) conception of reflectivity and 'epistemic reflexivity' advocated by Bourdieu and Wacquant (1992); and (iii) Lambert (2002), on leadership and learning. Parry's (1998) work is largely directed towards leading change in complexity. He focuses on leadership processes in a particular context, rather than what individuals do as leaders.

This frame of reference is of particular importance for the understanding and practice of leadership for deans in a complex, changing environment, like universities in South Africa. As Parry (1998) claims, in-depth investigation of this change process should shed light on the social influence processes at work in complex organisational settings like universities.

Related to this is the notion of reflectivity, specifically how academic leaders like deans adapt to and cope with an environment of change and complexity in a reflective modality. In Dewey's (1933) words, how they focus on leadership problems and experiment with solutions. Donald Schön (1983), influenced by Dewey (1933), emphasises the centrality of reflection in an investigation on what professionals, like deans, do. He introduces an epistemology of practice grounded in social constructivism, 'in which the knowledge inherent in practice is being understood as artful doing' (cited in Usher, Bryant & Johnston, 1997, p.143). Schön's (1983) contribution is centred on advancing an understanding of what professionals do through the ideas of reflection in and on action.

For Bourdieu and Wacquant (1992), 'epistemic reflexivity' facilitates the transcendence from individual, narcissistic pursuit of knowledge to a 'social relation between knowledge and knower' (in Maton 2003, p.56). This approach allows an individual to continually reflect on his or her own habitus and dispositions acquired through long social and institutional training. Key to Bourdieu and Wacquant's (1992) argument for 'epistemic reflexivity' is making the objectifying relation itself the object for analysis as the epistemological grounding for knowledge, as a social, collective and non-narcissistic action. It is only by maintaining continual vigilance that individuals like deans can guard against importing their own biases into their work in a reflexive mode.

This approach resonates with the work of Linda Lambert et al. (2002) who addresses the dynamic interplay between leadership and learning and in particular the application of theory in practice. For Lambert et al. (2002) the evolution of leading and learning theory has followed a similar historical and philosophical path, since both involve situated conceptual interpretation and expressions of reality. If leadership is about learning, as Lambert et al. (2002) argues, there is a dynamic relationship which social constructivism may assist in unearthing and exploring in terms of how deans are formed by prior experiences, beliefs, values, sociocultural histories and perceptions of their world. Moreover, Lambert et al. (2002) expounds on how these social constructs translate into their understanding of leadership and management practice in complex, changing environments like universities in South Africa.

The reframing of this leadership narrative has implications for the notions and practice of leadership development in universities given their unique organisational form and, more especially, the collegial tradition and influence on the leadership and management of deans. Research studies in universities have revealed that leadership development is one way to address this problem and provide deans with the requisite knowledge and skills for addressing the evolving nature of deanship and its concomitant implications for their leadership and management abilities (Gmelch, 2000; Wolverton, Gmelch, Montez & Nies, 2001; Gmelch & Wolverton, 2002; Wolverton et al., 2005; Johnson & Cross, 2006; Scott et al., 2008; Greicar, 2009, Seale and Cross, 2015). In South African universities however, there appears to be an absence of a coherent and strategic conceptualisation and implementation of leadership development for deans.

2.8 Conclusion

South African universities exist in a cauldron of global change, past inequities, local imperatives and more vocal demands for mission relevance. This context is crucial since it sets the scene for the world in which deans are nowadays required to lead and manage. The literature manifests a leadership and management environment for deans characterised by the complexities of change, burdened by policy and regulatory drivers and declining financial and other resources. Post-democracy deans also are being confronted with the unique problems arising out of transformation, institutional restructuring, equity, access and quality of provision. In response, some universities, influenced by the introduction of 'executivism', adopted generic, corporate-like approaches to leadership and management for deans which appear to be inappropriate for the unique local contextual challenges. The widespread implementation of 'executive deanship' in particular seems not to have addressed the unique contextual challenges and pivotal bridging role deans play between the academe and administration at local universities.

Despite the post-apartheid redesigned institutional landscape, governance, leadership and management challenges at local universities remain. These range from mismanagement and managerial conflict, particularly in former HBUs, to problematic governance and authoritarian leadership. South African higher education is still in transition, grappling with the complexities of global impact and local imperatives. It requires a new kind of leadership and management.

Deans as academic leaders play a pivotal role in advancing the strategic objectives and operational requirements, for success in local universities. Although credible scholars, many it seems do not have the necessary management know-how or experience, a key requirement nowadays for deanship. As gleaned from experiences elsewhere, if conceptualised, planned and managed correctly in an enabling organisational setting, leadership development may enhance an individual's competencies and result in improved organisational outcomes. But it seems that local universities have not adopted a strategic approach to leadership development with appropriate interventions that respond to institutional and individual needs. What the literature reveals is that the prevailing local environment for leading and managing is not enabling, characterised by major global, national and institutional influencers which have a significant bearing on leadership development for deans in South African universities.

In the next chapter insights are provided on the research design, data collection and analysis process. Given the nature of this study, it will be contended that the methodological tools employed for data collection and analysis are appropriate.

CHAPTER 3: METHODOLOGICAL FOUNDATION FOR ENGAGING LEADERSHIP DEVELOPMENT

3.1 Setting the scene

This chapter focuses on the research methodology applied in the study. It provides insights into and engages with the (i) epistemological frame; (ii) research design; and (iii) data collection and analysis process. As outlined in Chapter 2, the conceptual construct of this study hinges on three key areas for examination, namely, the leadership *context* of deans, their leadership and management *capacity* for effective performance, and their leadership *capital* which arises from the identification and implementation of leadership development interventions. It is envisaged that the triple helix approach adopted in this study will not only enhance the current discourse in this domain but point to the critical need for ongoing epistemological and theoretical reflection on leadership, management and leadership development in the academe. With due consideration of the multiple realities, context and my own immersion in the focus areas in this study, the chapter demonstrates why a mix mode research approach is appropriate for this purpose. Here, too, the intellectual trials and epiphanies of a practitioner's passage into the 'epistemological wilderness' of leadership, management and leadership development theory and practice for deans, and consequential illumination, are also documented.

3.2 Mapping the terrain

I am an apprentice leader, leadership development practitioner and, of late, an aspirant social scientist. As a leadership development practitioner in universities I have been privileged to work extensively with senior managers, in particular with deans. Through my involvement in the Higher Education Leadership and Management (HELM) programme, I experienced first-hand the need for and value of leadership development interventions. Embarking on this professional and intellectual quest of discovery, my first major challenge was a mindset change. I had to make the important shift from a leadership development practitioner to novice social scientist. Being a novice, I had to deconstruct my own insights, critically identify the research problem, and then gather the appropriate evidence required to direct the pursuit and resolution thereof. I really grappled with and was sometimes overwhelmed by the need to find an appropriate conceptual and theoretical framework since the study did not seem to fit the traditional education administration epistemology, in particular, an appropriate theoretical frame for leadership development. Schooled in the 'theory of life', I wanted to understand the theoretical and praxis intersects within a lived leadership context, like deanship in universities.

As a practitioner, it was important to merge the ontological dimensions of leadership, change and complexity and leadership development with applicable epistemological constructs, in order to present and substantiate the contentions in this thesis. This approach in my view is fundamental to social science on which the study draws extensively. It is informed by Schratz and Walker (1995) who argue for the integration of social research into the contemporary workplace. The writers advance an inclusive approach to research that seeks to marry qualitative methodologies and professional practice. They further suggest reflectivity in practice, which provides an instrument for people seeing 'the situations in which they act as others in the situation see them' (Schratz & Walker, 1995, p.1). Here the field of social practice in which leadership, management and leadership development reside, warrants particular attention. Besides knowledge and skills, it is mediated by power, organisational or micro-politics, interests and influence particularly in a 'unique' institution like universities, which foregrounds the experience of deans in this regard. Taking cognisance of these considerations, I needed to understand and engage with the kind of leadership as a 'social influence process' which is required by deans for leading change in complexity in a changing environment like South African higher education. Related to this was how to advance, develop and support this kind of leadership and effective management for deans in local universities and, finally, what this means for the epistemology and prevailing discourse on leadership development.

3.3 Epistemological frame

The epistemological perspective adopted in this study is informed by prevailing theoretical underpinnings in leading change in complexity, as advocated by Parry (1998). Drawing on Parry's (1998) work which focuses on leadership processes rather than what they do as leaders, the appropriate framing of academic leadership in particular becomes a critical construct for investigation. This is of particular importance for the notional and behavioural dimensions of leadership in a complex, changing environment like South Africa. Here Parry (1998) proposes an approach that investigates concepts of leadership such as power, politics and interests as key influencers in the university setting. Equally important is how deans navigate and manage related tensions in these influencers with a multiplicity of internal and external stakeholders. Guided by Parry (1998), my mission in this inquiry was not to engage on leaders or leadership as a generic concept but rather to focus on exploring how individuals generally in universities are coping with change, how deans lead this change and what impacts most on their attitudes and motivation during this process. As Parry (1998) claims, in-depth investigation of this change in practice may shed light on the social influence processes at work in complex organisational settings like universities.

What emerges from the literature and data as an enabler of leading change is the notion of 'reflectivity'.[7] Of particular note here is how academic leaders like deans adapt to and cope with an environment of change and complexity in a reflective modality. Schön's (1983) contribution is centred on advancing an understanding of what professionals do through the ideas of reflection in and on action. This is coupled with Bourdieu and Wacquant's (1992) notion of 'epistemic reflexivity', which foregrounds for the researcher the sociality of knowledge generation, as a critical reflection on the social conditions under which knowledge is created and gains its credibility. Believing that Schön's (1983) approach resonates with what I have set out to do, this investigation focuses on the notion of reflectivity as a 'post-heroic' construct of transformative leadership, which is top-down and bottom-up, with its related distributed, team and participatory elements. It also is guided by 'epistemic reflexivity', since as a reflective practitioner and aspirant social scientist, I believe that these two phenomena confirm what emerges from the literature and data and explicates Strauss and Corbin's (1990) notion of theoretical sensitivity.[8] It allows for a marrying of key elements emerging from the literature to my own professional and personal experience of leadership, management and leadership development, in various organisational domains, and the journey of intellectual discovery as an emergent social scientist.

Every new challenge I encountered in this regard provided an opportunity for reflection, action and learning for future use, in an action research modality.[9] As the literature and data reveal, the leadership journeys of deans in this inquiry present a similar picture. Most of them found 'reflection in action' a useful tool for addressing particular leadership and management challenges and then adding these to their 'basket' of knowledge, learning and experience. It seems that deans as leaders and managers cannot merely rely on 'technical rationality' as a positivist paradigm for problem solving, since it falls short in contemporary, complex and changing organisational environments like universities. Schön (1983) suggests an alternative 'epistemology of practice' grounded in social constructivism, which I adopted and advance in this study as key to an understanding and practice of leadership, management and leadership development.

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[7] Dewey (1933, p.118) defines reflective thought as 'active, persistent, and careful consideration of any belief or supposed form of knowledge in the light of the grounds that support it and the further conclusions to which it tends'.

[8] Theoretical sensitivity refers to the personal quality of I. It indicates an awareness of the subtleties of meaning of data.

[9] According to Hult and Lennung (2007), action research simultaneously assists in practical problem-solving and expands scientific knowledge, as well as enhances the competencies of the respective actors, being performed collaboratively in an immediate situation using data feedback in a cyclical process aiming at an increased understanding of a given social situation, primarily applicable for the understanding of change processes in social systems and undertaken within a mutually acceptable ethical framework.

This approach resonates with the work of Lambert et al. (2002) who introduce the notion of 'constructive leadership' based on social constructivism which addresses the dynamic interplay between leadership and learning in particular, the application of theory in practice and is described as:

> The reciprocal processes that enable participants in an educational community to construct meanings that lead toward a common purpose about schooling (Lambert et al., 2002, p.viii).

The focus here is more on leadership as a process which transcends individuals, roles and behaviours. Although Lambert et al. (2002) situate 'constructivist leadership' in a school setting, in my view, it may equally apply to an academic setting, like the university. The 'educational community' identified in Lambert et al.'s (2002) definition may be equated with the 'academe' and her common purpose, not 'schooling', but rather the threefold mission of the university – research, learning and community engagement. Lambert et al.'s (2002) approach to leadership provides a lens which I have used to engage the theoretical underpinning of this study. If leadership is about learning as Lambert et al. (2002) argue, there is a dynamic relationship which constructivism in particular may assist me in unearthing and exploring, in terms of how deans are formed by prior experiences, beliefs, values, sociocultural histories and perceptions of their world. Moreover, constructivism may also assist in explaining how these social constructs translate into their understanding of leadership and management practice in a complex, changing environment like a university.

The emerging line of reasoning in this study is grounded in the notion that deans as leaders and managers are formed by their respective background and biography (*reality*), develop capacity through action reflection (*knowledge*) which contributes to individual and organisational capital (*learning*). As the reader may recall, a major element under review in this study is the notion of leadership as a *social influence* process advocated by Parry (1998). He observes that this dimension has rarely been studied through the rich data derived from a qualitative methodology. Avolio and Bass (1995) agree and appeal for more qualitative methodologies for leadership research, in particular that of grounded theory.

This study heeds the call and through it demonstrates the value of embedding leadership, capital, in a grounded theory epistemology, as one of its methodological tools. An advisory note for the reader is that grounded theory is not utilized in its entirety but rather some elements of

it, to elucidate and augment the other theoretical lenses used in this study. Studies on leadership, management and leadership development, especially in the higher education domain in an emerging world context, are limited and generally poorly theorised. What transpires from the literature and data is that there are variances in the conception and practice of leadership development in universities, especially for deans. In most cases, leadership development is not integrated with important organisational and individual elements such as performance management and career advancement. These are some of the gaps in the literature and prevailing discourse that the study addresses and presents as a contribution to the prevailing trends and evolving narratives on leadership, management and leadership development in the academe.

As demonstrated earlier in the literature review, although advancements have been made in the theorising of leadership, its application to the academe and its unique context seems inadequate. In particular, the implications of the 'subordinate concepts' of leadership mentioned by Parry (1998) like power, micro-politics and interests bring a different dimension to the discourse in a transitional higher education system like South Africa. As the evidence presented here reveals, deanship in this world is different from anywhere else and as such, an inquiry of this nature needed to be fully cognisant of that fact. The complexities of leading and managing in a changing environment like the academe meant that finding an appropriate theoretical frame for this study on leadership development in South African universities at this time in its history was quite challenging. As a leadership development practitioner, I had to guard against dropping the data into a neat, perfectly fitting theoretical receptacle that would either corroborate or contradict my existing untested assumptions about leadership, management and leadership development for deans. Bearing in mind the in situ and inductive nature of this study, and the need to engage and theorise on the phenomenon of leadership, management and leadership development in complexity, as alluded to earlier, I decided to utilise grounded theory as one of the epistemological and methodological tools, specifically in relation to the notion of leadership capital which I introduce and engage with later on in the study.

According to Glaser and Strauss (1967), grounded theory is a research method wherein theory emerges from and is grounded in the data. A grounded theory is inductively derived from the study of the phenomenon it represents, such as the process for developing the notion of leadership capital. Central to grounded theory is the identification and explication of the basic social process in this conception, the nature of which is the subject of the derived theory. The grounded theory is discovered, developed, and provisionally verified through systematic data collection and analysis of data pertaining to that phenomenon.

Therefore, data collection, analysis, and theory stand in reciprocal relationships to one another. One does not begin with a theory, then prove it. Rather, one begins with an area of study and what is relevant to that area is allowed to emerge (Strauss & Corbin, 1990), in this case leadership capital. In the next section I present the methodological frame of the study, its rationale, and expound on the application of the various theoretical frameworks in this study.

3.4 Research methodology

The research problem in this study relates to the nature of deans' experiences of the phenomena of leadership, management and leadership development which lends itself to a qualitative research method. The data in this study was acquired through quantitative and qualitative means, so it may be styled as a 'mixed mode'. I prefer to call it a qualitative inquiry which uses quantitative data to partially validate and direct my qualitative analysis, as suggested by Strauss and Corbin (1990). Mixed methods research provides strengths that offset the weaknesses of both quantitative and qualitative research. This, according to Jick (1979), has been the historical argument for mixed methods research for the last 25 years. The main advantage of quantitative research, Patton (2002) mentions, is being able to measure the reactions of a large number of people to a limited set of questions, which allows for facilitating comparisons and statistical aggregation of data. Jick (1979) claims that quantitative research is weak in understanding the context or setting in which people talk. In the quantitative paradigm the voices of participants are not directly heard. Researchers in this domain are in the background and their personal biases and interpretations are seldom discussed. Qualitative research, it is claimed, makes up for these weaknesses (Strauss & Corbin, 1990; Patton, 2002).

But qualitative research is seen as deficient because of the personal interpretations made by the researcher, the ensuing bias created by this and the difficulty in generalising findings to a large group because of the limited number of participants studied. Quantitative research, it is argued, does not have these weaknesses (Jick, 1979). Of importance is the question of validity which in the quantitative research is dependent on the tools used, whereas in a qualitative inquiry the researcher is the instrument. But for Strauss and Corbin (1990), qualitative methods allow the researcher to uncover and understand what lies behind the phenomenon under investigation, of which little is known. Hatch (2002) agrees and identifies various characteristics of qualitative research which in my view are appropriate for a study of this nature.

i. Natural settings – exploring the lived realities of deans in particular contexts, the meaning and knowledge they create from these experiences and the learning derived.

ii. Participant perspectives – key here was to understand the views of deans on their work life experiences and how this influenced their leadership behaviour and impacted on leadership development.
iii. Researcher as data gathering instrument – the leadership journeys of deans, though somewhat different, resonated with my own experience in an action research modality and their stories, as narrated in the interviews providing a valuable window into their worlds.
iv. Wholeness and complexity – the leadership stories of deans should be viewed in their totality; though the component parts or variables may differ, these are constructed as whole events that convey the complexity of reality and meaning for each one.
v. Emergent design – the study draws on various theoretical frameworks on leadership, management and leadership development in the academe, and uses elements of grounded theory to explicate, an emerging concept, namely leadership capital.
vi. Inductive data analysis – the examination and engagement with the leadership journeys of deans focused on the specifics of their tales to generalisations which may be applied to the broader area of leadership, management and leadership development.
vii. Reflectivity and reflexivity – in keeping with the conception of the 'reflective practitioner' as espoused by Schön (1983), Dewey (1933) and Bourdieu and Wacquant (1992), and using the notion of reflexivity, I was able to locate and interpret my own leadership experience through this study.

The use of qualitative methods provided new insights into current conceptions and debates on leadership and management for deans and their leadership development requirements within a particular context. I will illustrate this later in the section 3.5 under research design and data collection.

The multiple research components used in this study are aimed at establishing a broader base for the data acquired, corroborating information gleaned from the questionnaire, institutional policies and documents, testing assumptions and expanding views on leadership, management and leadership development in universities as espoused in the literature. These varied sources of information will contribute to the systematic organisation of the research data for this study which, in turn, identifies trends, themes or patterns in deans' perceptions and practices of leadership, management and leadership development in the South African university setting.

3.5 Research design

A mixed mode research method is used which draws extensively on a qualitative inquiry to address an empirical question related to the main problem under investigation. This approach, Patton (2002) suggests, assists a group such as deans to reflect on ways to improve what they are doing and understand it in new ways. The learning that emerges from this study is twofold: (i) it yields specific insights into the conceptions and praxis of leadership and management; and (ii) it allows participants to think systemically about what they are doing in relation to others – what Bawden and Packham (1993) refers to as systemic praxis, a key component of leadership development for deans. This is in keeping with the earlier commentary of Dewey (1933) and Schön (1983) on 'reflection in action', of Lambert et al. (2002) on leadership and learning, and Hult and Lennung (2007) on action research.

The study comprises a review of the literature on leadership, management and leadership development, two questionnaires with senior managers and human resource directors, and interviews with 26 deans at the University of Pretoria, University of South Africa, University of the Witwatersrand, University of Johannesburg, Tshwane University of Technology and Vaal University of Technology, all located in the Gauteng province. The semi-structured interviews amplified the data collection process as deans at these universities are similarly bound by time and space in the current higher education system. This bounded system allows for commonalities and differences to be compared and contrasted among participant responses. It presented an opportunity to gather 'multiple sources of information rich in context' (Creswell, 1998, p.61). In order to test and triangulate the data from the questionnaires and interviews with deans, additional semi-structured interviews also took place with 12 other key informants including the deans' line managers, human resources managers and other informants, such as the Chief Executive Officer of Higher Education South Africa.

What follows is a synopsis of these elements which provided the building blocks for the investigation on leadership, management and leadership development for deans in South African higher education.

In the qualitative paradigm the literature is used not to test relationships between variables in a study; rather, it identifies relevant categories and the relationships between them, and develops data groupings in a new manner. Key to this approach, according to Creswell (1998), is the emergence and evolution of the theoretical framework as opposed to one that already exists. My engagement with the literature began with a synopsis of higher education in the current global

and local environment and, in particular, changes and complexities. The intention was to understand how universities evolved through various epochs and, particularly, what the implications of these changes have been on governance, leadership and management. The literature broadly focused on the following phenomena: (i) changing context and complexity; (ii) academic leadership requirements in this environment; and (iii) leadership development approaches and responses. The historical and organisational advances, global transformations, stakeholder requirements and infiltration of corporatisation in the university, situate this study in a specific milieu.

What emerges from the literature review is that universities in the 21st century are largely true to their threefold mission, but no longer own or dominate the knowledge production and dissemination process and nowadays have to contend with a number of other public and private institutions operating in this space.

The contemporary university remains a unique, complex, contested entity, located in a hugely competitive environment, especially in relation to the commodification of higher education. There appears to be consensus in the literature that the knowledge and practice of academic leaders requires both management and leadership (Middlehurst & Elton, 1992; Ramsden, 1998; Wolverton et al., 2006). The theorising and discourse on what constitutes effective leadership and management has kept pace with these environmental and organisational developments. The dominance of the prevalent two-type theory of transformational and transactional leadership is being tested as new conceptions such as constructivist and authentic leadership emerge, with their particular focus on context, relationships and reciprocity. These concepts have their roots in transformational leadership and are seen as enhancements thereof.

The demand for efficiency and accountability has also resulted in performativity based, corporate management practices taking root in universities, commonly referred to as 'managerialism' or 'executivism'. These developments in particular have resulted in significant tension between internal stakeholders (management and the academics) and external role players (government and society) in South African universities, where the demand for accountability and efficiencies has of late become particularly pronounced.

A key local imperative in the literature was the phenomenal and ambitious change agenda implemented in South African higher education since 1994, referred to earlier by Van Vught (in Cloete et al., 2000, p.2) and others.

Being involved in the sector as a participant observer for more than 10 years, I have encountered during this time that although there have been some achievements the problems relating to transformation of the sector largely remain. I was particularly interested in what this situation meant for effective leadership and management in our universities and more so on how deans are coping, or perhaps not, with the simultaneous complex global and local demands placed on universities during this transition phase. Deanship is pivotal for ensuring success in academia and my research interest was to determine what will enhance and enable effective performance in this position. As a leadership development practitioner, I experienced first-hand the challenges of leadership, and in particular management for deans, in post-apartheid South African higher education. I emphasise the management dimension since, as the literature shows, most of them have not been schooled nor had the 'executive' experience which is becoming a key component of the job.

Through the interventions HELM offered to deans, I observed their fears, anxieties, isolation and alienation but also their unwavering commitment, zeal and single-mindedness in doing the job. I was intrigued by their ability to survive against what may have been impossible odds, and some even thrived in what was arguably the most difficult institutional environment of its time. They are in my view plough horses not show horses according to Gary (2005) doggedly focused on the task at hand.

This study has contributed considerably to my own understanding and practice of leadership and management in a unique and complex environment, like a South African university. The deans' stories provided a mirror to reflect my assumptions and perceptions on what makes an effective leader and manager. I recognised that leadership in the academe has many similarities with leadership in other settings. The major difference, though, is that even in an 'executive frame', disciplinary scholarship was *the* measure of credibility and legitimacy amongst peers, managerial power and authority less so.

What surprised me was that in most settings under investigation, the dean's individual and institutional authenticity still hinged on academic standing and prowess. Simply put, in a world of intellectual pursuit and scholarship, 'executiveness' is held in low regard and counts for nought in the academe. Onerous administrative and operational demands of the job often meant that academic endeavour was hugely neglected. Deans in this study found very little time to maintain a connection with their own fields of expertise, some even becoming alienated from them.

In order to understand the implications for leadership development, I had to know and experience the lived reality of deans in a complex and changing context, like South African universities. Trawling through the literature, internalising the debates and following the fascinating paper trail of the document analysis process, provided a privileged and treasured window into this complex, dynamic world. And I am still learning.

3.6 Data collection

In order to understand the requirements of rigorous data collection, analysis and interpretation I immersed myself in the multiple views on the subject, in particular those relating to qualitative studies. Although these texts proved useful there appeared to be no definitive route map, 'how to guide', or thesis template I could use to ensure that this component of the study adhered to scholarly prescripts. To further prepare my planning for this endeavour I also read other PhD theses, mainly qualitative studies, to establish a conceptual and methodological frame, especially for the data collection, analysis and write-up.

As Pittman (2001) advises, there are threats to the validity and value of methods within qualitative research studies including: (i) study design and conceptualisation; (ii) data collection instrument and protocol design and development; (iii) data collection; and (iv) analysis and interpretation. Most of these threats, Pittman continues, relate to the need for rigour and for explicit a priori goals, plans and implementation of qualitative methods. Acutely aware of these cautionary notes and as a novice in this domain, I took on the task at hand, albeit tentatively at first.

What follows are my experiences and epiphanies which, as one may expect from a study of this nature, turned out to be life altering. In the sections below, I have outlined the various data collection processes used for the study commencing in 2006, which really continued in earnest during 2010 and 2011. Why this delay, the reader may ask?

It is important to mention at this point that I was reading part-time for the PhD, which created its own challenges particularly in relation to work-life-study balance, time constraints and lack of organisational support. It was when I joined the University of the Witwatersrand in late 2011 that I found the space, time and supportive environment in which to complete this study.

3.6.1 *Surveys on leadership, management and leadership development*

Preliminary data was obtained through two questionnaires, one each for senior managers and human resources directors referred to earlier. Drawing from the current literature, reports and my experience in leadership development, a sector-wide questionnaire was developed on the context, leadership and management practice and leadership development needs of senior managers in South African universities. I chose a questionnaire since, according to Patton (2002), I was able to measure the reaction of senior managers in South African universities to a limited set of questions on leadership, management and leadership development.

This provided me with a broad generalisable set of findings in these areas which inform the qualitative component of the study. This is in line with the mixed mode research approach adopted in the study and expounded on in Section 3.5. The survey instrument was deliberately closed-ended in order to encourage respondents to complete it and it covered: (i) institutional environment and challenges; (ii) understanding of leadership and management; (iii) induction and career management; and (iv) understanding of and opportunities for leadership development. Besides encouraging respondent participation, the questionnaires were made closed-ended because similar issues were going to be pursued through face-to-face interviews with the deans. The questionnaire was piloted with a select group of senior managers and then distributed to about 400 senior managers who had participated in a HELM programme or event.

I targeted this group of senior managers because they comprised various levels of leadership in most local universities including Deputy Vice-Chancellors, Executive Directors, Deans, Heads of Schools and Academic Departments and Heads of Support Divisions. About 100 questionnaires were completed and returned which represented a response rate of 25%. This data provided a baseline for the investigation and a foundation for my understanding of the key environmental challenges, academic leadership behaviour and capacity needs of senior managers. A second questionnaire I prepared on training and development opportunities for senior managers in universities was distributed to human resources directors. Questionnaires were completed and returned by nine universities which represented a response rate of 43%. The main purpose of this questionnaire was to explore the viewpoints of human resources managers/directors on leadership development policy and practice in South African universities. The questionnaires were recorded and analysed using the computer-assisted qualitative data analysis software (CAQDAS). The areas under investigation in the questionnaires informed the design of interviews with deans and human resources directors at universities in Gauteng.

The main purpose of the interviews then, was to interrogate further the preliminary findings to either corroborate or contradict these, particularly in the case of deans. Although the surveys were conducted in 2006 their findings provided an insight into the world of senior managers during this phase of the higher education transformation and transition in South Africa. What this means is that I was able to use the preliminary data acquired from the surveys to focus the study on deans as a specific population of senior managers. It was also the basis of and informed the questions directed at deans and other key informants in the semi-structured interviews.

This data provided a window into the context in which deans operate at a particular juncture and an opportunity to compare the changing environment in South African higher education over a five-year period, i.e. from 2006 to 2011. Following my involvement in the HELM programme and anecdotal evidence on the experiences of senior managers in local universities, especially deans, I needed to understand what was actually taking place in their world as an entry point for the study. To this end, I felt that the questionnaires on the key areas of inquiry mentioned earlier would provide this baseline information. What intrigued me was how senior managers were coping with the enormous individual and institutional challenges in a dramatically reconstituted and transitionary higher education system. The questionnaire data broadly revealed a system in crisis, desperate for policy consolidation, appropriate resourcing and effective leadership.

Of particular interest to me and the reader five years on would, I suppose, be whether the environment had benefited from the state's top-down transformation supervision agenda and if its envisaged intentions delivered the desired results. Simply put, was the world of higher education in South Africa getting better or worse? I will deal with this matter later. For now, the phenomena on contextual/environmental complexity, leadership, management and leadership development which arose from the questionnaires will be compared with what emerges in the literature and interviews to assist in validating the qualitative analysis, a key requirement for triangulation in research of this nature.

3.6.2 *Semi-structured interviews*

My initial encounter with data collection in the form of semi-structured interviews started in 2008. At this time the study's unit of analysis was 'senior managers'[10] in South African universities. I compiled a draft list of questions, discussed this with my Supervisor, tested it and

[10] 'Senior managers' refers to Vice-Chancellors, Deputy Vice-Chancellors, Registrars, Deans and Heads of Schools

then proceeded with the first round of interviews. Over the next few weeks and sometimes with great difficulty, I managed to interview two vice-chancellors, two deputy vice-chancellors, a registrar, two deans and two heads of schools at universities in the Free State and Cape Town. I learnt some very hard lessons from this process. To start with, my purposive sample of 'senior managers' was too broad and not entirely scientific.

This meant I spent an inordinate amount of time and energy interviewing the wrong audience and with not much to show for it from a research perspective. Although I gained privileged access to the leadership and management world of an important constituency at a crucial juncture in the evolution of South Africa's higher education, that window unfortunately did not produce the anticipated results for the reasons referred to earlier. In the end the experience provided a clearer focus on the unit of analysis, the key areas for engagement and was a precursor for the next round of interviews, which I did with deans at universities in the Gauteng Province.

In order to further understand and explore individual perspectives on institutional context for leadership and management, leadership development capacity and performativity requirements, I interviewed a purposive sample of deans at 6 universities in Gauteng. Patton (2002) advises that there is greater learning from a small number of carefully selected participants than gathering standardised information from a much larger audience. Neuman (2000) points out that face-to-face interviews are costly and more susceptible to bias, but they provide a much higher response rate and allow for flexible probing.

Of the 36 requests, I managed to secure interviews with 26 deans at the following universities.

i. University of Pretoria (traditional, urban)
ii. University of South Africa (comprehensive, urban & rural)
iii. Tshwane University of Technology (technology, urban & rural)
iv. University of Witwatersrand (traditional, urban)
v. University of Johannesburg (comprehensive, urban)
vi. Vaal University of Technology (technology, urban)

These semi-structured interviews amplified the data collection process as deans at all the universities in Gauteng are similarly bound by time and space in the current higher education system, although their institutional contexts may differ. This bounded system allows for commonalities and differences to be compared and contrasted among participant responses.

As mentioned earlier, it presented me with an opportunity to gather 'multiple sources of information rich in context' (Creswell, 1998, p.61).

The main objectives of the interviews were:

i. To determine how deans live their leadership and management roles in the university, reflect on their leadership behaviour and address challenges in a changing environment;
ii. To determine how they address career management, leadership development for performance and advancement in the university; and
iii. To determine their understanding and measures of effectiveness at an individual and organisational level in relation to performance management.

In relation to the above, the broad areas covered in the interviews with deans included:

i. a description of their formation as leaders, background and key influencers;
ii. how they define their leadership and management roles and practise it;
iii. the required qualities and competencies to make them more effective;
iv. how they are becoming better leaders and managers; and
v. their views of the institutional system and processes that will support leadership development.

The interviews proved to be quite frustrating since I was getting very little support from my employer at the time and had to fit them into my extremely demanding work schedule. What complicated matters was that the deans had very busy diaries too, which meant I had to take any opportunity provided to meet with them. I took time out from work to do the interviews, especially if these were at the same institution, for instance in Johannesburg, which required more time and travel. On a number of occasions I had to postpone interviews due to work commitments. What salvaged the situation was the good relationships I established with the respondents' executive assistants who were very understanding and went out of their way to accommodate me. An important personal lesson was learnt in terms of negotiating access to key informants and who actually provides this. Only one participant eventually cancelled the interview due to a number of postponements. In terms of preparation I quickly learnt the importance of adequate tooling, as on one occasion I ran out of recording time and had to construct the interviewee's responses essentially from my notes. This did not happen again.

Most of the deans interviewed seem to appreciate the opportunity to reflect on their leadership and management experience. This demonstrated, in my view, the need for 'reflective praxis' in a situated learning context.

What excited me was that deans who had not read the interview questions sent beforehand responded more in a narrative modality, which meant the interview session became more engaging and rich in their lived experiences. My first interview was quite a daunting experience. I guess that since it was the starting point, I was not sure what the outcome would be and whether the interviewee would detect my uncertainty and, to be frank, my level of anxiety. The interviewee not only recognised my situation but turned out to be quite supportive in the end. However, I must admit he was driving the process, since I allowed him to ramble on a bit sometimes. Again an important lesson was learnt. As primary investigator, I needed to direct the conversation in relation to the data requirements. This role improved over time and became a very enjoyable experience. My sense was that the interviewees were very interested in the results of the study. As the remaining interviews unfolded I was able to focus more on the important areas under discussion and probe certain responses in greater depth. With some interviewees I sensed an initial sense of caution and hesitancy in respect of some questions, for example on personal matters such as their career plans. Only one interviewee refrained from answering the question on future career plans. At every interview I repeated the aim, purpose and guarantee of confidentiality with interviewees.

Of the 26 deans interviewed only two requested me to turn the recorder off when they wanted to share confidential information. I honoured these requests. What struck me was that the two deans were at the same institution, which had undergone significant restructuring during the sector-wide mergers from 2004 onwards. Eight years on, they were still manifestly experiencing its day to day, lived reality in a deeply personal way. In some sense this experience was a déjà vu moment for me as I had predicted, like others at the time, that the biggest challenge with 'top-down' institutional mergers would be the 'people stuff'. Today some of these complexities remain, as the literature and findings of this study reveal. When one does an 'arranged marriage' between two unwilling partners with deep-rooted historical divisions, distinct institutional traditions, established coalitions, unequal power relations and 'clashing' cultures, there are bound to be major consequences. As one affected vice-chancellor remarked then, 'how can I dance when my partner is standing still?' (former Vice-Chancellor, Cape Technikon).

In order to test and triangulate the data from the questionnaires and interviews with deans, additional semi-structured interviews also took place with 12 other key informants including

the vice-chancellor and deputy vice-chancellors to whom the deans report, former deans and directors of human resources management and development at 5 of the universities mentioned earlier, and the acting CEO of Higher Education South Africa. Again this was a purposive sample and the response was based on the availability of the interviewees. The following areas were addressed in these interviews:

i. understanding and conceptually framing the role of 'executive dean';
ii. key leadership and management challenges experienced by deans;
iii. career planning and performance management for deans; and
iv. leadership development strategy, implementation and evaluation for deans.

These interviews were meant to address the key informants' understanding of leadership development in local universities, what their universities were doing to support senior managers like deans in this environment, and some lessons from their approaches and experiences.

3.6.3 *Analysis of documents*

Central to the research was a review and engagement with various kinds of official and unofficial documents as another component of this study. Of importance for me was to identify how universities aligned leadership development to their human resources related policies, strategic and business plans and whether this component in the documents was applied in practice, monitored and evaluated. The following documents were reviewed to inform this study:

i. Institutional

- Strategic and business plans
- HEQC Institutional Reviews
- Annual reports
- Recruitment policies
- Performance management policies
- Staff development policies
- Talent management strategies
- Succession plans
- Leadership development strategies
- Leadership development evaluation reports

ii. Individual

- Curriculum vitae of deans
- Job descriptions of deans
- Performance contracts/agreements with deans
- Personal development plans of deans

iii. Other

- HELM Programme Evaluation Reports
- Advertisements for deans' positions

The analysis of the above documents was intended to determine how the universities under investigation made the strategic linkages between vision, mission, business plans and leadership and management capacity for effective implementation.

Equally important was how the strategic and business plans were cascaded to academic units such as the faculties and schools. Alignment between the centre and operations is a fundamental requirement for organisational performance and finds expression through performance contracts of individual deans. Most performance contracts included personal development plans and, again, congruence between organisational and individual needs was an important element to review. These documents provided a window into the normative grammar of leadership practice in the universities under review, in terms of what it entails, its strengths, weaknesses and limitations. The staff development policies were another source of identification of leadership development needs and interventions. What stands out was how these policies were being implemented, monitored and evaluated. The evaluation of leadership development programmes like HELM provided valuable insights into their conceptualisation, design and implementation. One of the key motivations for undertaking this study was my interaction with various levels of senior managers in the HELM programme, referred to earlier.

As former programme director, I witnessed first-hand the often tempestuous leadership journeys of particular individuals, especially new deans, and how they found much-needed support through interventions like HELM. Their living narratives, though anecdotal, provided me with observational evidence of leadership development and its impact in a safe and enabling environment. Deans, in my view, hold the key to successful academic and executive interface in South African universities. In order to develop a generic position profile for deans, I started poring through job descriptions and specifications and advertisements for vacancies published either online or in print by various universities over a period of time.

Comparing these documents provided some generic key leadership and management competencies required for the job and also particularities based on portfolio or institutional requirements.

The multiple research components identified above are aimed at establishing a broader base for the data acquired, corroborating information gleaned from the questionnaires, institutional policies and documents, testing assumptions and expanding views on leadership development in universities as espoused in the literature. These varied sources of information contributed to a systematic organisation of the research data for this study in terms of trends, themes or patterns in deans' perceptions and practices of leadership, management and leadership development, in the South African university setting.

3.7 Data analysis

As mentioned in the previous chapter, this study used the work of Parry (1998), Schön (1983), Lambert et al. (2002) and Cohen and Prusak (2001) as its primary theoretical lenses. It also drew on the notion and strategies of grounded theory as an additional methodological tool, especially in relation to the emerging concept of leadership capital which is introduced and expounded on in Chapter 8.

3.7.1 *Analytical tools*

The first part of the analytic process primarily involved what is referred to as 'fracturing'. Here I took the data apart and examined the discrete parts for differences and similarities. While this process was under way there were some issues which emerged from the interview transcripts, for example, participants' understanding of the term 'executive dean'. In the 'fracturing' mode I asked: 'What is the basis for this point of view? Do other participants hold similar beliefs? Is there a specific theme or concept to which this issue relates?' This process is characteristic of the 'constant comparative method' described by Glaser and Strauss (1967). The aim of this stage of analysis was to identify discrete concepts as basic units of analysis, as used in grounded theory.

By looking for similarities and asking questions, concepts that are in essence the same were labelled, for instance, 'characteristics of deanship'. Other concepts which emerged included 'definition of leadership and management', 'leadership effectiveness' and 'leadership development'. Each concept was then defined in terms of a set of discrete properties and

dimensions to add clarity and understanding of this concept. The lists of concepts generated in this fashion were sorted into groups of similar or related phenomena, which in turn became categories of investigation. These categories provided 'conceptual power', as described by Strauss and Corbin (1997). They have conceptual power due to their ability to combine other groups of concepts or sub-categories.

I also used grounded theory tools and methods to unearth and create the notion of leadership capital, through a process of data collection that is often described as inductive in nature. As a researcher, I had no preconceived ideas to prove or disprove. Rather, as Morse (2001a) says, this element emerged from the stories that deans told on leadership, management and leadership development. The process involved analysis of data by constant comparison, initially of data with data, progressing to comparisons between their interpretations translated into codes and categories and then even more data. This constant comparison of analysis to the field grounded my emerging theorising on leadership capital through my own and the participants' experiences as advised by Mills, Bonner and Francis (2006).

3.7.2 *Coding data*

The qualitative approach, open coding breaks down the data to identify first level concepts and categories (see Glaser, 1978; Glaser & Strauss, 1967; Strauss & Corbin, 1990). Axial coding makes connections between categories and sub-categories in the data. Strauss and Corbin (1997) describe the key difference of this stage as being the identification of specific features, such as the conditions that give rise to the phenomenon and the context in which the concept is embedded, which in turn help to give precision to a category or sub-category. Using data analysis software called 'ATLAS ti', I created a research project, an 'idea container' meant to enclose the data, findings, codes, memos, and structures under a single name, called a Hermeneutic Unit (HU). Next I assigned documents to the HU. These data files became the source material for this study and provided a framework that compiled various documents around a theme. Having read and selected text passages I assigned key words (codes) and wrote memos that contained my thinking about the data. These codes were categorised into following:

i.	academic leadership/ executive management	xi.	leadership and management skills
ii.	academic standing	xii.	leadership development interventions
iii.	appointment process	xiii.	leadership development views
iv.	career plan	xiv.	leadership journey
v.	internal and external challenges	xv.	leadership lessons
vi.	dean role and reporting line	xvi.	leadership effectiveness

vii.	dean support networks	xvii.	performance criteria/measures
viii.	dean term of office	xviii.	performance management views
ix.	characteristics of effective dean	xix.	performance rewards
x.	leadership and management definition		

I then set about building data families based on the three key areas covered in the conceptual framework for leadership development identified in Chapter 2, namely: (i) leadership context; (ii) leadership capacity; and (iii) leadership capital. These data families are shown below.

Leadership Context	**Leadership Capacity**	**Leadership Capital**
• leadership/management definition • leadership journey/lessons • leadership/management challenges • role and key functions	• leadership and management skills • leadership development views and interventions • support networks	• knowledge and learning • effective leadership • individual and institutional value

To clarify the point of axial coding, Strauss and Corbin (1990) describe an organisational scheme they call a 'paradigm', in which a phenomenon is analysed in terms of its context, conditions and consequences. In this instance I was guided to think about what caused the phenomenon to occur, the context in which the phenomenon occurred, what intervening conditions were present and what actions and consequences arose as a result. Paradigms assisted in providing a systematic approach to adding precision and density to my analysis. In the next phase, patterns in the data became apparent and from this I was able to generate tentative hypotheses or statements of relationships between phenomena. The next stage was to verify whether these statements held true against the rest of the data or if they could be seen as a focus for future data collection.

Importantly, as Strauss and Corbin (1990) point out, this phase is not simply about seeking confirmation of relationships, but also involves looking for instances where there are variations and contradictions in the data.

The final phase in the data analysis process is called selective coding. This stage involved identifying one or two core categories to which all other sub-categories relate and building a conceptual framework from which to develop the theoretical perspectives. It was this final integration of codes and categories into a coherent theory that was probably the greatest challenge for me.

Glaser (1978) suggests two main criteria for judging the adequacy of the emerging theory: (i) that it fits the situation; and (ii) that it works, in other words assists the affected people (deans, in this case) to make sense of their experience and to manage the situation better. This approach relates to Schön's (1983) notion of a 'reflective practitioner'.

3.8 Ensuring research rigour

As a leadership development practitioner and participant observer in an action research mode, I had to ensure that it conformed with the rigour of scholarship, especially in relation to the dimensions of reliability and validity. Determining reliability is a challenge in qualitative studies. Patton (2002) mentions that validity and reliability are two factors which any qualitative researcher should be concerned about while designing a study, analysing results and judging its quality. In Section 3.5, the design of this study was informed by both quantitative and qualitative research techniques, which were used in a complementary and iterative manner. For instance, the data acquired from the initial questionnaires for senior managers and human resources managers informed the content of the interview questions for deans. The reliability and validity of the data acquired for this study was undertaken using appropriate analytical tools. In the qualitative paradigm there is congruence between reliability and validity. For Patton (2002) reliability is a consequence of the validity in a study. If the issues of reliability, validity, trustworthiness, quality and rigour meant differentiating 'good' from 'bad' research then testing and increasing the reliability, validity, trustworthiness, quality and rigour became important elements of this study.

A question which arises at this juncture is: 'How to test or maximise the validity, and as a result the reliability, in this qualitative study?' If the validity or trustworthiness can be maximised or tested then a more 'credible and defensible result' as Johnson (1997, p.283) puts it, may lead to generalisability which is one of the concepts suggested by Stenbacka (2001) as the structure for both doing and documenting high quality qualitative research. Most writers agree that triangulation here, may include multiple methods of data collection and data analysis. The methods chosen in triangulation to test the validity and reliability of a study depend on the criterion of the research, especially a qualitative study. Drawing on the work of Lincoln and Guba (1985), I set about this task by ensuring that the study adhered to their criteria of 'credibility', 'confirmability', 'dependability' and 'transferability'. Credibility focuses on the link between the respondents' construct of reality and its presentation in the study. I did this by remaining in the field until data saturation took place, and undertaking triangulation and reviewing of the data from multiple angles.

Confirmability is the degree to which the findings are the product of the focus of the inquiry and not of the biases of the researcher (Lincoln & Guba, 1985). This process is at the heart of the study's quality and for me involved systemised examining of the raw data, its sifting and analysis, categorisation and construction of themes, constant mental and written reflection on the applicability of the methodological process undertaken. If the study were repeated in the same context with the same respondents, 'dependability' measures whether it would deliver similar responses. The process of 'dependability' in the study was addressed by the context of respondents. As Creswell (1998) puts it, they are similarly bound by time and space within a transforming, transitional higher education system. This bounded system allowed for commonalities and differences to be compared and contrasted among participant responses, as illustrated earlier (Creswell: 1998). 'Transferability,' which focuses on how the findings of the study applies to other contexts was covered by providing comprehensive descriptions of the data and purposive sampling of respondents.

To ensure the reliability and validity of the study, I needed to foreground the voices of the respondents in the analysis process and test whether these were the actual reflections of their reality. Healy and Perry (2000) provided a starting point for me through their understanding of judging validity and reliability within the realism paradigm, which relies on multiple perceptions about a single reality. The writers argue for the involvement and triangulation of several data sources and their interpretations with the related multiple perceptions in the realism paradigm. However this seemed insufficient. So, in keeping with the theoretical frame of this study, I turned to Crotty (1998) who advocated the use of constructivism in qualitative research. In the constructivist paradigm knowledge is socially constructed and may change depending on the circumstances.

My aim in this study was, as Johnson (1995, p.4) states, 'to engage in research that probes for deeper understanding rather than examining surface features'. Constructivism facilitated towards the achievement of that aim. Its usefulness for me particularly related to its value of the multiple realities of respondents. For instance, I was struck by the inconsonant views held by two deans on transformation at the same university which had been subjected to a merger. It reflected their 'multiple realities' of the similar 'contextual boundness' referred to earlier by Neuman (2000) and different lived experience. To mitigate researcher bias, I adopted an open-ended perspective on constructivism which adheres to the notion of data triangulation by allowing participants to assist me in enhancing the research experience, especially with the data collection. As explicated earlier (see Neuman, 2000), the open-endedness of, for instance, the interviews with respondents provided an opportunity for deeper engagement on the issues that

really mattered to them. In fact, not sticking to the interview 'script' most times allowed for valuable reflection for me and the respondents on the area under investigation.

The learning which emerged from this study not only provided insights into the 'world' of respondents but, equally important as Bawden and Packham (1993) point out, strengthened my and the respondents' understanding of 'systemic praxis'. In order to acquire valid and reliable multiple and diverse realities, the multiple methods of data gathering, analysis and refinement used in this study were in my view appropriate and applicable.

3.9 Concluding reflections

As mentioned earlier, this project was essentially an intellectual and social journey of enlightenment and discovery. It was about a practitioner-cum-novice social scientist nervously poised on the edge of unknowns, assumptions and debates trying to unearth the philosophical and epistemological truths under investigation. It is a story of trials and tribulations, the highs and lows of becoming a postulant scholar, planning and plodding through the fundamentals required for quality research. Standing on the shoulders of giants who have walked this road before, the process of presenting my case in the academic sense required rigorous adherence to the guiding principles of evidence generation and presentation. I would like to share the key lessons of this study with the reader and hopefully it will resonate with your experience and perhaps even result in one of those 'aha' moments we all have in life, sometimes.

Guided and supported by my Supervisor I read as many texts as possible on research methodologies, especially on qualitative studies. There are numerous 'how to' guides, design templates, methodological frames etc. for PhD studies but the underlying lesson here is that the end product remains in the conceptual and lived experience of the researcher. Equally important is how the design allows for an open-ended engagement with respondents, as was my experience with deans. In keeping with scholarly principles, the value of the methodological components of this study emerged through an iterative process and systemised application of discovery. For instance, the literature review grounded the study and provided an investigative route map, a narrative on core themes and a conceptual, theoretical frame for further exploration.

Ongoing refinement of the literature provided the focus and sharpness required on which to build the study.

The most difficult part of the literature review was to refine and focus it, develop common threads and determine an appropriate theoretical grounding which would frame the core concepts, explore the evolving narrative and unearth the critical issues arising from the study.

The most valuable lesson I learnt on this journey was that, as Dr Loyiso Nongxa, former Vice-Chancellor of Wits said, 'if you torture data enough it will confess to anything'.

This meant that I had to ensure scholarly rigour and requisite checks and balances in the methodological dimension of this study to avoid the unmitigated bias of a leadership development practitioner. Although initially overwhelmed by this huge task, sticking to the basic principles and guidelines and employing ongoing critical reflection between my own understanding and what was emerging from respondents, it became an empowering and, at times, quite enjoyable liberating endeavour. I was able, in my Supervisor's words, 'to find my own voice'. Equally important, I became the voice of the participants in this study.

CHAPTER 4: CONTEXT, CHALLENGES AND CAPABILITY OF DEANS TO LEAD AND MANAGE IN SOUTH AFRICAN UNIVERSITIES

4.1 Introduction

The search for solutions to effective leadership and management for deans in South African universities lies perhaps in the reality that, as Gmelch (2003) states, this position globally is probably the most misunderstood and least studied. The backgrounds and profiles of most deans differ. They are typically former academics emerging from a traditional collegial space and catapulted into the relatively unknown domain of executive management with its related challenges (Gmelch, 2003; Johnson & Cross, 2006; Scott et al, 2008; Greicar, 2009; Seale and Cross, 2015). In South African universities deans, like most academic leaders, face the complexities of change, contesting demands from multiple stakeholders and an ever-increasing requirement for performativity and operational efficiency with dwindling resources. From the literature, documentary evidence and data gathered in this study, it appears that they are not coping with these combined global and local pressures (Cloete et al., 2000; Jansen et al., 2002; Kotecha, 2003; Johnson & Cross: 2006; Seale and Cross, 2015). Moreover, the current systemic and institutional environment may not be sufficiently enabling and supportive for individual and organisational success. Almost two decades into democracy, there are local universities still grappling with physical, economic, social and intellectual challenges which manifest in a multiplicity of discourses, influenced largely by historical and institutional legacies (Cloete et al., 2000; Jansen et al., 2002; Kotecha, 2003; Johnson & Cross, 2006; Badsha & Cloete, 2011; Makgoba, 2011; Seale and Cross, 2015).

These factors have either enabled or constrained the ability of deans to lead and manage within this environment. Simultaneously, changing global and local landscapes add to institutional complexity and increased contestations and create further expectations from a multiplicity of stakeholders for greater relevance, increased responsiveness and more effective, efficient leadership and management, which in some instances are not forthcoming (Seale and Cross, 2015). As outlined earlier, the broader conceptual frame for this study focuses on three dimensions relating to leadership development for deans: (i) global, national and institutional context for leading and managing; (ii) leadership and management capacity of deans to address the impact of a complex, changing environment; and (iii) enhancing their individual and institutional capital for improved performance through leadership development.

As mentioned in Section 2.8 in Chapter 2, the epistemological approach adopted in this study rests on three key theoretical underpinnings. Foregrounding these again, may seem repetitive but this is intentional dear reader, since as noted earlier, it provides the setting for a more denser, multi-layered, engagement with the literature and data presented in this study.

First, it draws on Parry (1998) whose work is largely directed towards *leading change* in complexity. Parry (1998) focuses on leadership processes in a particular context, rather than on what individuals do as leaders. This frame of reference is of particular importance for understanding deans' leadership practices in a complex, changing environment such as South African higher education. As Parry (1998) indicates, careful scrutiny of these practices in their context should shed light on the social influence processes at work in complex organisational settings. Second, central to my analysis is the notion of *reflectivity* to understand how deans as academic leaders adapt to and cope with an environment of change and complexity in a reflective modality; i.e. how they focus on leadership problems, experiment with solutions and learn from (positive) response consequences (Bandura, 1977). Schön (1983), influenced by Dewey (1933), emphasises the centrality of reflection in any investigation into what professionals do. He introduces an epistemology of practice grounded in social constructivism.

Social constructivism embeds particular notions of *reality*, *knowledge*, and *learning*. Reality is constructed through human activity (Kukla, 2000). Reality cannot be discovered, it does not exist prior to its social invention and construction. Knowledge as a human product is socially and culturally constructed too. Meaning is created through interactions between individuals and their environment. In particular, learning is a dynamic social process not restricted to the individual, nor is it a passive development of behaviours that are shaped by external forces (McMahon, 1997). Related to this aspect is the concept of *epistemic reflexivity*, which requires that deans understand who they are, how they operate, and what their dispositions and pre-dispositions are for the job (Bourdieu and Wacquant: 1992).

Third, my approach resonates with the work of Lambert et al. (2002) who address the dynamic interplay between leadership and learning and, in particular, the application of theory in practice. For them, the evolution of *leading* and of *learning theory* has followed similar historical and philosophical paths, since both notions involve situated conceptual interpretation and expressions of reality. If leadership is about learning as Lambert et al. (2002) argue, social constructivism may help to unearth and explore the dynamic relationship between how deans are formed by their prior experiences, beliefs, values, sociocultural histories and perceptions of

their world, and how these social constructs translate into their understanding of leadership and management practice in a complex, changing environment.

This chapter demonstrates that these conceptual and contextua*l* layers are inextricably linked and collectively shape the discourse and praxis of leadership, management and leadership development at an institutional level. The main contention here is that the prevailing local environment for leading and managing is not enabling, being characterised by major global, national and institutional influencers that have significant bearing on deanship as it is understood and practised in South African universities. Though this experience may be shared globally, as Gmelch et al. (1990) reveal in their landmark study of more than 600 deans in the United States, and similarly in Scott et al.'s (2008) investigation of over 500 academic leaders in Australia, the South African context for leading and managing universities is quite complex, perhaps even unique (see Cloete et al., 2000; Bundy, 2006; Jansen, 2003; Johnson & Cross, 2006; Seale and Cross, 2015). In addition to global pressures, it is further constricted by distinct local challenges. These peculiarities, according to Badat (2004), occur within a historical context of severe social-structural inequalities, distorted and uneven development, and massive restructuring as a result of significant state steering.

Within this setting, South African universities are managing their respective challenges and issues differently, based on, amongst others, their organisational culture, governance and leadership legacies and capabilities, management behaviour and operational capacity. For the local university system, this is 'business unusual' which, in turn, requires a different kind of leadership and management for greater responsiveness and effective performance. The ability of deans to lead and manage in this complex, evolving context is being severely tested and, as this chapter reveals, they have been found wanting. Deans participating in this study have responded differently to these global and local environmental drivers based on their own experience, institutional legacy and prevailing leadership and management culture.

The fundamental issue for engagement in this chapter is that leading and managing for deans in local higher education is a complex and underexplored area. It is interpreted, negotiated and practised in multiple ways depending on the institutional context and how the environmental determinants have impacted on their unique setting in the form of leadership and management behaviour. The institutional context wherein the deans operate has changed significantly during the past decade, for most universities participating in this study and, as the next section reveals, has been influenced by their institutional history and architecture, responses to change and transformation imperatives and their leadership and management legacies and behaviour.

4.2 Typological overview of universities in Gauteng

The public higher education landscape in South Africa nowadays consists of 25 institutions, including eleven universities, eight comprehensive universities and six universities of technology. Universities offer 'a mix of programmes, including career-oriented degree and professional programmes, general formative programmes and research master's and doctoral programmes' (Ministry of Education, 2001, p.49), while universities of technology offer vocational education both at degree and sub-degree level. Comprehensive universities offer a programme mix across the spectrum of research postgraduate degrees to career-orientated diplomas. What follows is a brief typographical and historical description of the universities in the Gauteng province which participated in this study.

4.2.1 *University of South Africa (UNISA)*

UNISA is the oldest historically white, English-medium university in South Africa, initially founded as the University of the Cape of Good Hope in 1873, then becoming a federal institution in 1918 and a distance education provider in 1946. Following its merger in 2004 with Technikon SA (TSA), another historically white institution, and the incorporation of Vista University Distance Education Campus (VUDEC), a historically black institution, UNISA today is a comprehensive university offering vocational, professional and academic qualifications. With a headcount of 328 179 enrolments in 2011, UNISA caters for one-third of the total student enrolment in the South African public higher education system.

An Institutional Audit Report portrays UNISA 'as a national asset which needs to be preserved and developed' (CHE, 2010, p.30). The same Report describes UNISA as:

> A dauntingly complex organisation in terms of size and processes. Successfully implementing radical change in such an organisation requires firm and clear leadership to bring together all layers of staff and students; an ability to recognise areas of weakness and failure; and an unwavering commitment to the value of such a project (CHE, 2010, p.31).

The panel also made specific reference to the operational implications of the merger.

> The first and most immediate consequence of the merger of the three institutions that now constituted UNISA was the need for the University to rethink and redesign its

> business processes and systems, examine its academic offerings and critically reconceptualise its teaching and learning, research and community engagement (CHE, 2010, p.7).

Having reviewed various university governance systems locally, as well as international archetypes, in 2005 UNISA adopted the college governance model wherein its previous 10 faculties were collapsed into five colleges: Human Sciences; Law; Agriculture and Environmental Sciences; Economic and Management Sciences; and Science, Engineering and Technology. With this development came specific challenges, especially for its deans as illustrated by a line manager's comment.

> UNISA is constantly in transformation. We merged in 2004 with TSA, after that we went through a very rigorous academic transformation and I think the cultural issues must be a huge issue for the executive deans. We are now again in transition, we are now developing or re-establishing UNISA as a distance e-learning university, so we are using technology.[11]

During 2011, the UNISA Council approved a new institutional structure that was intended to 'better facilitate governance imperatives and appropriately place accountability' (UNISA Annual Report, 2011, p.33). The redesigned organisational structure focuses on giving effect to its strategic and operational priorities, a more equitable distribution of functions across portfolios and improved horizontal integration.

In terms of organisational structure the principal and vice-chancellor heads up the institution while the pro vice-chancellor concentrates on academic operations. The vice-chancellor and pro vice-chancellor are supported by six vice-principals and the registrar who together form the executive. As illustrated in Figure 4 below. the deans at UNISA report to the Vice-Principal: Academic, Teaching and Learning, who in turn reports to the pro vice-chancellor together with the Vice-Principal: Research and Innovation and the registrar. They also have a 'dotted' reporting line to the Vice-Principal: Research and Innovation. The deans at UNISA are members of the senior management team but not the executive committee.

[11] Interview with LM 01-12

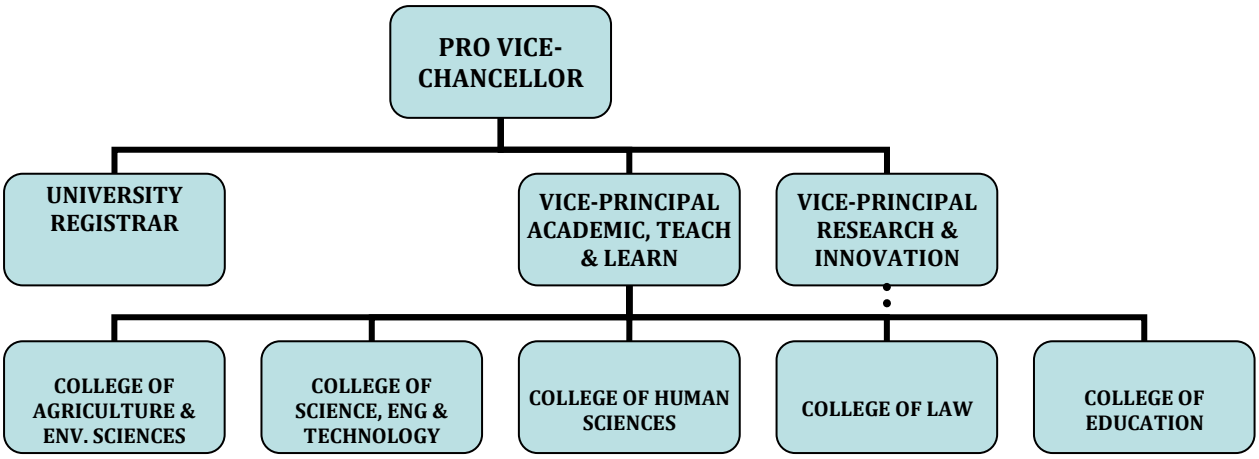


Figure 4: Deans' reporting line at University of South Africa

Like other newly established 'comprehensives', UNISA faced unique challenges and opportunities around the governance, leadership and management related to a new institutional typology, especially from its former TSA partner, as reported by the CHE.

> Technikon leadership in particular expressed a fear that through the process of merger, a sense of 'university is best' would prevail as it has tended to, in cross-sectoral mergers in other parts of the world: the tendency commonly labelled as 'academic drift' (CHE, 2004).

Comprehensive universities are new institutional types in the South African higher education landscape. Their establishment through a merger process created specific challenges for institutions participating in this study, such as UNISA and the University of Johannesburg, in terms of establishing new identities, managing the balance between academic and vocational offerings, marrying different institutional cultures and operating on multiple campuses (CHE, 2010). The context wherein UNISA operates reflects the unique challenges in South African higher education in terms of access, equity, quality of provision and throughput (UNISA Annual Report, 2011, p.5). At UNISA the impact of the merger posed particular challenges for the deans there, especially in relation to establishing a new institutional identity and vision,[12] size and diversity of the student body,[13] and the staff profile which at the time of the merger was predominantly white.[14]

[12] Interviews with Dean 03-11 and Dean 04-11
[13] Interview with Dean 04-11
[14] Interviews with Dean 01-11 and Dean 04-11

At this point in its history, UNISA seems to have addressed the merger challenges and developed a common vision, mission and objectives for the institution. It operates in a stable environment and is focused on improving its overall performance in terms of research, teaching and community engagement (UNISA Annual Report, 2011). The staff demographics have improved markedly, especially in relation to African staff from 48,2% in 2008 to 57,6% in 2011. This has also had an impact on the executive of which the majority are black, including the vice-chancellor.

In terms of leadership, UNISA today is characterised by a notion of 'servant leadership' as advocated by its vice-chancellor, but in practice it seems like the top-down, historical hierarchical approach to leadership and management, particularly with regard to deans, is still prevalent. What this points to perhaps is that the leadership legacy of the former UNISA remains a dominant characteristic of the new UNISA and, whether consciously or unconsciously, it has been adopted and entrenched by its current leadership, including the deans.

4.2.2 *University of Pretoria (UP)*

The University of Pretoria is a large contact residential university situated in the metropolitan area of Tshwane. It is a former white, Afrikaans-medium institution and, like other historically white universities, it had its own private Act and 'enjoyed almost unrestricted autonomy, except for the important restriction on admission of so-called non-white students' (Fourie, 2004, Inaugural Lecture). The University has eight faculties and operates across six campuses. Its administrative seat is located in Hatfield, Pretoria, which houses six of its eight faculties. The other five campuses are in Groenkloof, Prinshof, Onderstepoort, Sandton and Mamelodi. In 2010, the University of Pretoria had 63 418 registered students, of whom 43 667 were contact students and 19 814 distance education students.

An Institutional Audit Report describes the University of Pretoria as being a well-managed, well-functioning and well-resourced institution. But it appears to be struggling with locating its identity in the new South Africa (CHE, 2008). The introduction of a new language policy has expanded enrolments and impacted on its student profile. During the period 1982 to 2008 the university transformed into a bilingual, multiracial and inclusive institution, and not without some challenges as Jansen (2005, p.206), the first black dean at the University of Pretoria explains:

> Though the university's financial status was favourable and managerial ethos was strong, the years of academic isolation under apartheid and its ethnic character had marginalized the University of Pretoria in the academic world. The university lacked intellectual diversity and richness that invariably accompany an open university. Because political loyalties often played a role in key managerial and academic appointments, intellectual life had suffered a serious toll at the institution.

Post-1994 the University of Pretoria, like other former Afrikaans-medium universities, repositioned itself in line with the emerging trend towards entrepreneurialism, according to Bundy (2006, p.13):

> A handful of institutions seized the responsiveness agenda scripted by Burton Clark. They reinvented themselves as entrepreneurial universities. They diversified their curricula, ran market-oriented courses, experimented with new delivery modes, and entered into profit-making public/private partnerships.

But as Jansen (2005), points out, the institution during this period was grappling with its transformation agenda and in particular with the traditional institutional culture and its implications for the academic project. This changing dynamic impacted on the racial composition of University of Pretoria's student body, something which was confirmed by two deans during the interviews.[15] In 2009 the University of Pretoria appointed its first black woman as vice-chancellor, signalling a new chapter in its history (University of Pretoria, 2010 Annual Review).

The 2010 Annual Review reflects a stable institution with a specific focus on growing its research capacity. According to the University of Pretoria's Strategic Plan 2025, it aims to be a leading research-intensive university characterised by social, environmental and financial sustainability (University of Pretoria, 2011). The vice-chancellor and principal leads the institution assisted by three vice-principals, the registrar and three executive directors who together comprise the executive.

In terms of their line responsibility, the deans report to the Vice-Principal: Academic who in turn reports the vice-chancellor, as illustrated in Figure 5 below.

[15] Interviews with Dean 06-11 and Dean 07-11

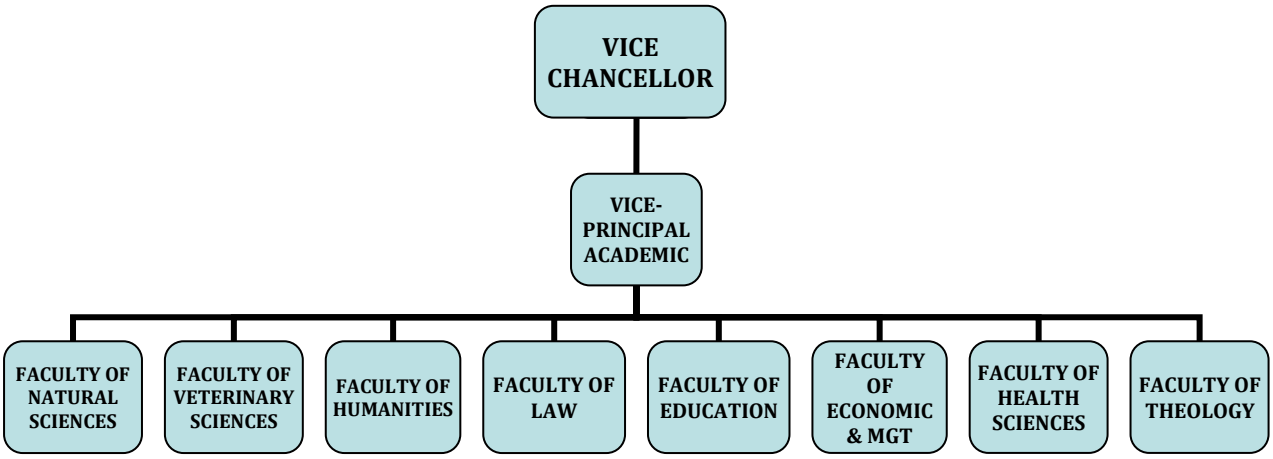


Figure 5: Deans' reporting line at University of Pretoria

The deans at UP are members of the senior management team but not the executive committee. Although the University of Pretoria has appointed its first black vice-chancellor, the profile of its executive, including deans, remains predominantly male and white. The institution nowadays still appears to be grappling with its transformation agenda like most other formerly white Afrikaans-medium universities (Thekiso, 2011, Higher Education Transformation Network).

According to the CHE (2008) the University of Pretoria has introduced devolved decision making for its deans. Drawing on the interview data, it appears that deans at the university today operate in an environment in which institutional reforms seem to be set against a historical practice of top-down decision making. This is coupled with the unspoken requirement for compliance at the lower level of academic leadership, in what looks like a remnant of its past leadership and management culture.

4.2.3 *Tshwane University of Technology (TUT)*

Tshwane University of Technology is a large, residential, multi-campus university of technology with six campuses in four provinces and nine teaching and learning delivery sites. Tshwane University of Technology was established at the beginning of 2004 as a result of a merger between Technikon Northern Gauteng (TNG), Technikon Pretoria (TP) and Technikon North West (TNW) as part of the restructuring of the higher education system. The Tshwane University of Technology registers about 60 000 students annually, making it South Africa's largest university of technology and the largest university after UNISA and the University of Pretoria.

During apartheid, former Historically Black Universities (HBUs) operated as extensions of government departments with centralised, bureaucratic practices with limited academic freedom. Bundy (2006) found that the deans at these institutions operated mostly within the framework of government bureaucracies. Nowhere was the impact of these developments more evident than at the newly established Tshwane University of Technology. From the outset the TUT has been beset with governance, leadership and management challenges, mainly associated with its merger. Much of this was not of its own doing but rather the historical impact of apartheid higher education. Since its establishment the TUT has been characterised by major challenges relating to the power differentials described by Goedegebuure (cited in CHE, 2004) and concomitant perceptions between the merging partners. This is borne out in the views of some deans from one of the smaller former merger partners that perceptions of 'superiority' and 'inferiority' prevailed, depending on which former camp you came from. Coupled with this was having to manage and marry the divergent organisational cultures, addressing diversity and in some cases resistance to change,[16] complicated by varying resource capacity, as stated by a line manager there. In broader terms the problem of course was that being racialized the white Technikons were better endowed than the black ones which was typical, and that inheritance still is there somehow.[17]

One of the other sectoral challenges experienced here appears to have been the reconstitution of former technikons – which were seen as largely vocational based institutions – as universities of technology, with an added focus on research and scholarship. However, as pointed out by a line manager at Tshwane University of Technology, none of these institutions were geared or resourced towards this end:

> So when you have people who were in those institutions for ten, fifteen, twenty years they are now in a new environment that makes demands on them when they were never socialised or educated to be researchers; it is one of those continuing perennial complaints, that it was unfair, that the conditions have been changed, questioning of its legality and so on.[18]

Following an Institutional Audit of Tshwane University of Technology in 2007 the panel found that

[16] Interviews with Dean 12-11 and Dean 13-11
[17] Interview with LM 03:12
[18] Interview with LM 03-12

> Firm and visionary leadership and commitment on the part of staff and students will be necessary for the realisation of a project that by its very nature requires individuals to leave behind their own personal affiliations and preferences. Tshwane University of Technology's senior management needs to be aware of this and put in place mechanisms to mitigate these risks (CHE, 2008, p.20).

But this appears not to have been the case, as pointed out by a dean at Tshwane University of Technology:

> . . . in 2006 the former vice-chancellor, we have had a few now but (names VC) he was a very autocratic leader. In many ways he was very good but I think the one mistake he made was extremely autocratic and he just decided there will be seven faculties.[19]

In 2009, since Tshwane University of Technology still faced unresolved leadership and management challenges, the minister of education appointed a commission of inquiry chaired by Advocate Sithole.

The commission's overall finding was that governance and management structures, as well as communication forums at Tshwane University of Technology, were dysfunctional and recommended that appropriate steps should be taken to remedy the situation. But failure to satisfactorily implement the recommendations led to the minister appointing an independent assessor in June 2010. In his report the independent assessor advised against the appointment of an administrator and made a number of recommendations on matters relating to governance, leadership and management challenges.

But following allegations of fraud involving the vice-chancellor at the time, the minister none the less appointed an administrator in August 2011.[20] The administrator provided governance and leadership stability and was instrumental in the establishment of a new council and the appointment of a new vice-chancellor. In August 2012 Tshwane University of Technology appointed its first black woman as vice-chancellor and principal. Her appointment came at a time when the university was still facing governance, leadership and management challenges, a situation which she acknowledged.

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[19] Interview with Dean 13-11

[20] Statement by Higher Education and Training Minister Dr Blade Nzimande on the appointment of an Administrator for Tshwane University of Technology (Tshwane University of Technology, 16 August 2011) http://www.info.gov.za/speech/DynamicAction?pageid=461&sid=20757&tid=39623

> We cannot deny the problems that exist. I have previously been employed at an institution that went through a merger therefore I understand the difficulties that the Tshwane University of Technology community is experiencing (Ogude, 2012).[21]

The vice-chancellor of TUT is supported by four deputy vice-chancellors and the registrar who together with executive directors form the executive. The deans report to the Deputy Vice-Chancellor: Teaching, Learning and Technology, as outlined in the organogram in Figure 6 below. The deans at TUT are members of the senior management team but not the executive committee.

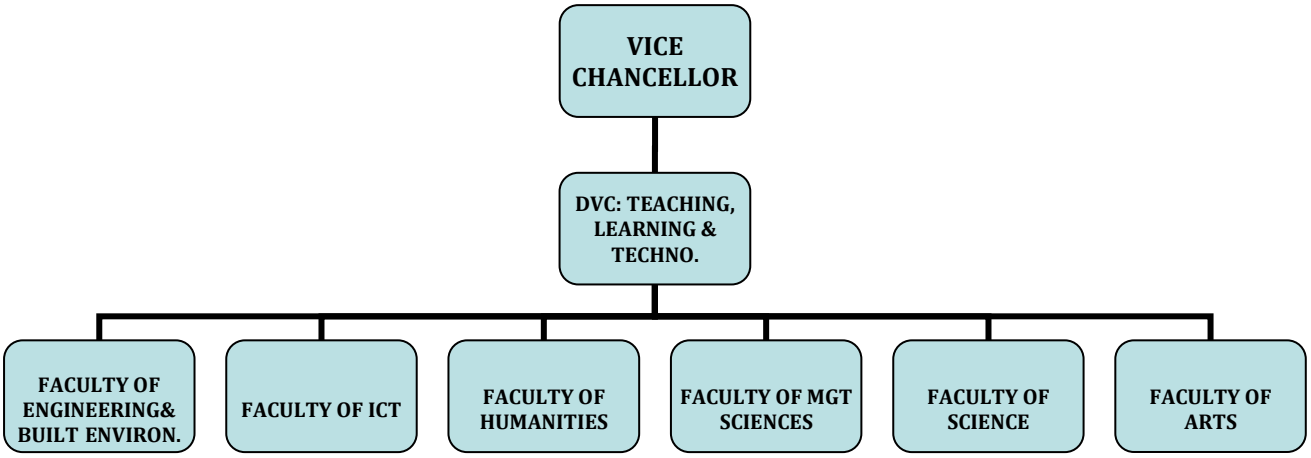


Figure 6: Deans' reporting line at Tshwane University of Technology

Although Tshwane University of Technology seems fairly stable nowadays, the key challenge for the new vice-chancellor and her executive is to address the merger 'hangover' decisively and ensure that the institution is repositioned as a significant contributor to the education and, in particular, job-related skills requirements of the country. The deans have a critical role to play in this regard by ensuring that there is a collective and coherent response to the administrative and academic interface, given TUT's problematic history and merger legacy. Post-merger, the institutional ghosts of the university's formation partners seem still to be lurking in its organisational shadows and, whether overtly or covertly, are influencing current leadership and management behaviour.

[21] Professor N Ogude. 2012. *New VC Takes Office.* Communique, Tshwane University of Technology

4.2.4 *University of Johannesburg (UJ)*

The University of Johannesburg, designated as one of six comprehensive universities with a mission to provide vocational, formative and professional education at undergraduate and postgraduate levels, is one of the largest, multi-campus, residential universities in South Africa. It was created out of a merger between the former Rand Afrikaans University (RAU), the Technikon Witwatersrand (TWR) and the Soweto and East Rand campuses of Vista. The university comprises four campuses – Auckland Park Kingsway, Auckland Park Bunting Road, Doornfontein and Soweto – organised into nine faculties. In 2011 total student enrolment at the University of Johannesburg reached 50 527 of which 43 986 were undergraduate and 6 541 postgraduate.

Like other 'forced' mergers, the University of Johannesburg faced particular challenges related to its creation and transformation in bringing together three different historical institutional types with quite diverse traditions, cultures and legacies, as was observed by one of the deans there.

> The old TWR was quite transformed, but the old RAU was nested between high walls and was a very secluded community, very Afrikaans speaking.[22]

This sentiment was common amongst merger partners which were previously classified along the lines of race, language and being either historically advantaged or disadvantaged. To some extent these challenges remain, especially in terms of the transformation imperatives a number of formerly white universities face for more representative student demographics and greater employment equity. An Institutional Audit undertaken at the University of Johannesburg in August 2009 concluded that

> The University can make a valuable contribution to the goals of South African higher education and, particularly, to the socio-economic development of the Johannesburg Metropole (CHE, 2010, p.30).

The report also identified specific challenges relating to (i) quality of provision; (ii) low teaching contact time; (iii) lack of human and infrastructural support; (iv) differentiation/articulation between technology and academic programmes; (v) research identity; and (vi) focused community engagement. According to the report, addressing these challenges will require

[22] Interview with Dean 18-12

> . . . sustained leadership, an uncompromising commitment to offering quality education across all programmes and the ability to mobilise staff and students behind a common educational approach (CHE, 2010, p.30).

Following the merger, there were some specific leadership challenges for deans at the university especially around perceptions amongst the staff from the former historically disadvantaged institution (HDI) partners on issues like quality of academic programmes and diversity, particularly in relation to language and culture.[23]

From the University of Johannesburg's Annual Report for 2011 it appears that some progress has been made on the development of a common vision and strategically focused objectives.[24] The vice-chancellor and principal heads the institution assisted by five deputy vice-chancellors, the registrar and executive directors who together comprise the executive. The deans report to the Deputy Vice-Chancellor: Academic as outlined in the organogram in Figure 7 below.

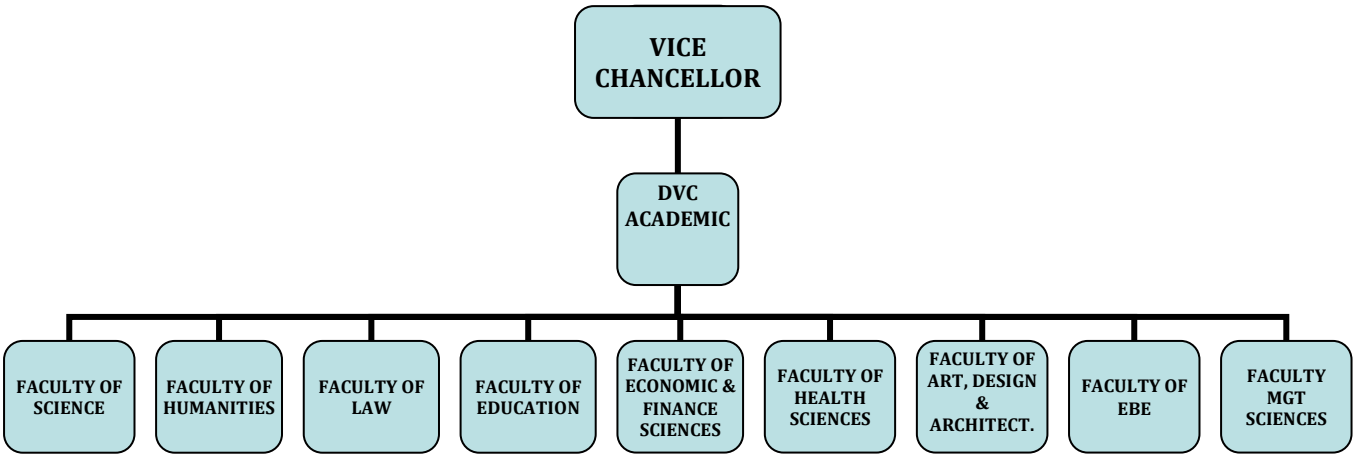


Figure 7: Deans' reporting line at University of Johannesburg

The deans at the University of Johannesburg are members of the senior management team but not the executive committee. The University of Johannesburg today has been repositioned as an 'entrepreneurial' institution intent on growing its academic status and reputation in the areas of research and innovation. The leadership and management setting is stable and to a certain extent more enabling for deans. However, the top-down approach to leadership and management decision making and sometimes uncontested compliance, which was characteristic

[23] Interview with Dean 18-12
[24] The University of Johannesburg, 2011 Annual Report. Vice-Chancellor and Principal Report to Council

of the former Rand Afrikaans University, appears still to be prevalent at the University of Johannesburg nowadays. This emerged from the stated and unstated views of the deans participating in this study. As is the case with both University of South Africa and the University of Pretoria, the University of Johannesburg, despite its new mandate and organisational form, also appears to be largely rooted in its past in terms of top-down, hierarchical leadership and management conceptions and behaviour.

4.2.5 *University of the Witwatersrand (Wits)*

The University of the Witwatersrand is a historically white university situated in Johannesburg. In 2011, the university had five faculties and 34 schools spread over more than 400 hectares across the East and West campuses in Braamfontein, and the Management, Education and Health Sciences campuses in Parktown. Total student enrolment in 2011 was 29 474 of whom 70% were black, 52% female and 33% postgraduate. Like other English speaking, liberal universities, the University of the Witwatersrand was at the forefront of opposition to the apartheid state and actively explored measures to defy its policies especially with regard to access for black students.

In her doctoral study Johnson (2005) locates the contextual frame for leadership and management at the University of the Witwatersrand in three periods: (i) heightened opposition to the apartheid state, 1984 to 1994; (ii) dominance of crisis management, 1990 to 1997; and (iii) visionary management, 1997 to 1999. In response to a perceived situation that the university was 'not shaped and fitted to a new environment of acute new pressures', the University of the Witwatersrand undertook a massive change management and restructuring process in 1999, called 'Wits 2001' (Fitzgerald, 2003). The net result was a reduction of the former nine faculties to five, namely Science; Engineering and the Built Environment; Health Sciences; Commerce, Law and Management; and Humanities. Its main purpose, according to Johnson (2005) was to streamline decision making, devolve operations management, create self-funded business units, advance entrepreneurialism and reposition the university in line with market requirements. The declared institutional intention was to bring about major devolution and to create new structures in which certain centralised functions are devolved to smaller local executive structures. Functional costs centres were established and an 'attributable revenue model'[25] implemented.

[25] Attributable revenue model means that financial rewards are commensurate with the income costs centres generate including the mathematical share of student generated state subsidy.

In the early 2000s, the University of the Witwatersrand was a leader in some respects by implementing a new organisationally devolved management model which resulted in more delegated authority to deans and newly created heads of schools. As with any change process its implementation, according to Fitzgerald (2003), was characterised by both successes and failures.

It was also in keeping with developments and experiences at other local and international universities where institutional restructuring resulted in stronger and more directed managerial organisational forms (Johnson, 2005). An Institutional Audit undertaken at the University of the Witwatersrand in 2006 identified some institutional challenges and made recommendations relating to, amongst others, (i) its 'top 100' university goal; (ii) relations between central management and academia; (iii) employment equity; (iv) academic and research matters; (v) effectiveness of executive deans; and (vi) a review of the current decentralised model of decision making (CHE, 2008).

In 2007, the University of the Witwatersrand undertook an internal review of the restructuring implemented in 2001, which covered four broad areas: (i) academic and governance structures; (ii) organisational roles; (iii) management devolution; and (iv) support services. The reports of the review identified some challenges and made recommendations for improving institutional performance in the aforementioned areas. The 'Vision 2022' adopted by the University of the Witwatersrand in 2010 sets out its objectives to become a leading research-intensive university on the continent.

The vice-chancellor and principal leads the institution and is supported by five deputy vice-chancellors and the registrar. Following the appointment of a new vice-chancellor at Wits in June 2013 and the reorganisation of executive portfolios, the deans' reporting line has been changed from the vice-chancellor to the DVC: Academic as shown in the organogram in Figure 8 below.

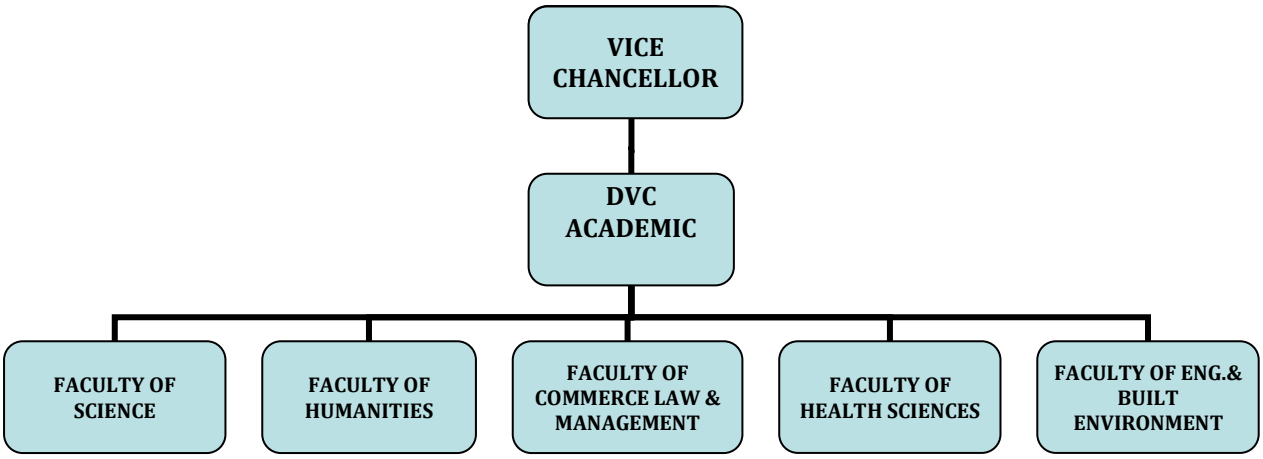


Figure 8: Deans' reporting line at the University of Witwatersrand

The vice-chancellor, deputy vice-chancellors, registrar and deans constitute the Senior Executive Team (SET) at the University of the Witwatersrand. Almost a decade after its internal restructuring the University of the Witwatersrand has seen the benefits of devolution especially in relation to decentralised decision making and resource allocation at an academic unit level. However, the internal review of its restructuring and comments by deans and other line managers point to the fact that devolution has had two major consequences: (i) inadequate understanding of the support required at the newly created head of school level; and (ii) a disjunction between the institutional vision and aspirations of top management and how this is interpreted and experienced at the 'chalk-face' by the academe.[26] In essence, a major flaw appears to have been limited buy-in of 'Vision 2022' by the academe due to inadequate determination and planning on the resource requirements for its implementation (University of the Witwatersrand, 2011).

Johnson and Cross (2006) point out that for deans at the University of the Witwatersrand the devolved management model provided additional administrative support in the form of financial and human resources managers. But, as gleaned from the interviews, it required greater focus on relationship management, especially between the heads of school and these experts, who sometimes overruled them on 'management' decisions and then the dean often had to intervene.[27] In 2011 and 2012, the University of the Witwatersrand experienced a breakdown in relationships between the administration and the academe which led to labour disputes and protracted industrial action.

[26] Interviews with Dean 24-11, Dean 26-11 and LM 04-12
[27] Interviews with LM 02-12; LM 03-12 and LM 04-12

4.2.6 *Vaal University of Technology (VUT)*

The Vaal University of Technology, formerly known as the Vaal Triangle Technikon, has evolved from an Afrikaans-medium, white technical college to a predominantly black, English-medium university of technology with its main residential campus situated in Vanderbijlpark in southern Gauteng. Vaal University of Technology was not greatly affected by the restructuring of the higher education sector but it was required to incorporate the Sebokeng campus of the former Vista University. The institution has four satellite campuses: Secunda in Mpumalanga, Klerksdorp in North West Province, Kempton Park in Gauteng, and Upington in the Northern Cape. It has five faculties: Applied and Computer Sciences; Engineering and Technology; Human Sciences; Management Sciences; and Technology Transfer and Innovation.

In 2011 the total student enrolment at Vaal University of Technology was 21 000 of which the majority were black and predominantly registered at undergraduate level.

Like most former white technikons at the time, for a major part of its history Vaal University of Technology was managed by government appointed bureaucrats and had a significant component of white, mainly Afrikaans-speaking staff (Helen Suzman Foundation, 1998). That changed in July 1996, when Professor Aubrey Mokadi was appointed the new vice-chancellor of the former Vaal Triangle Technikon, having served as chairperson of its council for a brief spell. In 1997, Mokadi was suspended following allegations of maladministration, fraud, nepotism and corruption. The commission investigating these allegations found him guilty and he was dismissed in September 1998. However, he was later cleared of these charges by the Commission for Conciliation, Mediation and Arbitration (CCMA) and reinstated as vice-chancellor in 2000. The saga continued with Mokadi consequently being cleared of all criminal charges in 2009 demanding his job back for the third time and instituting a claim of R40m, against the University for compensation for lost earnings and damage to his personal and professional reputation (Mail & Guardian, 17 February 2009).

In 2007 Vaal University of Technology appointed Professor Irene Moutlana as its new vice-chancellor which led to a relatively stable institutional environment. However, the leadership and management challenges under Professor Moutlana's stewardship remained. This came to a head when the minister of higher education and training appointed an independent assessor at Vaal University of Technology. The key findings of the assessor's report pointed to number of challenges for the Vaal University of Technology's council and management, and to allegations

of racism, corruption, mismanagement and the legacy of the former vice-chancellor.[28] Based on the findings and recommendations of the independent assessor the minister dissolved the council and appointed an administrator at Vaal University of Technology. Following allegations of corruption against the vice-chancellor the administrator placed her on special leave to allow the institution to conclude an investigation into the matter. Professor Moutlana was reinstated as vice-chancellor after an internal disciplinary hearing found her guilty of negligence and issued her with a final written warning.

In terms of the organisational structure, the vice-chancellor and principal leads the institution and is supported by three deputy vice-chancellors and the Senior Director: Student Services who with the registrar and executive directors form the executive. The deans report to the DVC: Academic, as outlined in the organogram in Figure 9 below. The Deans at Vaal University of Technology are members of the senior management team but not the executive committee.

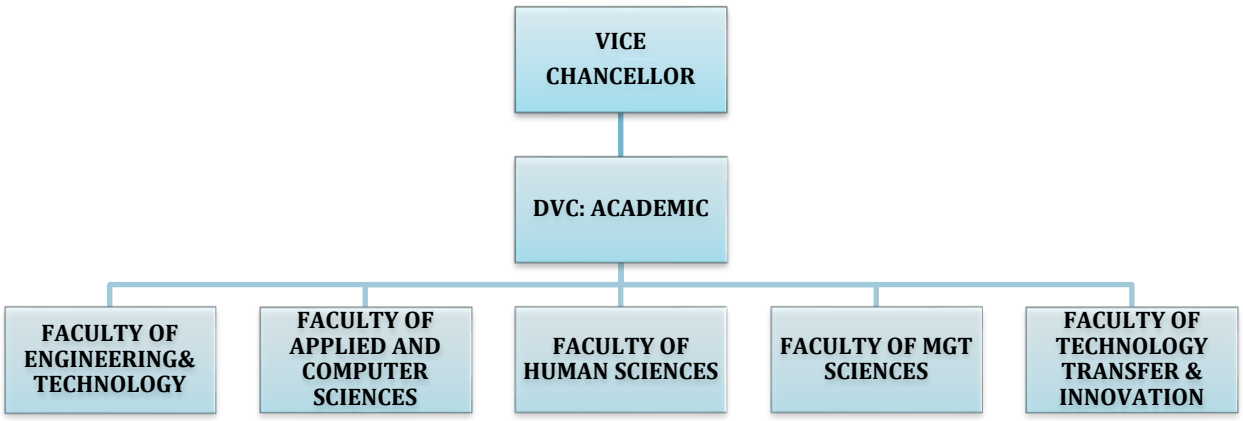


Figure 9: Deans' reporting line at Vaal University of Technology

The Mokadi case stands out as a stark reminder of the leadership crisis experienced in the higher education sector during the late 1990s and early 2000s with some politically aligned appointments, government interference and what may be described as a labour relations debacle. Despite the advent of new leadership, Vaal University of Technology is still troubled today by the impact of the Mokadi era in terms of governance, leadership and management challenges. Although the new leadership has become more inclusive, especially in its recognition of deans as part of the senior management team, decision making and resource allocation for the academic enterprise remain centrally controlled and directed.

[28] Report of the Independent Assessor into the Affairs of Vaal University of Technology, appointed by the Minister of Higher Education and Training. Government Gazette, Number 35332. 11 May 2012

The current executive may have missed an opportunity to address the Mokadi legacy by becoming more inclusive and transparent in its decision making. This appears not to have been the case and the deans at the Vaal University of Technology, generally do not feel enabled or empowered as academic leaders and managers at this point in the institution's history.

4.2.7 *New institutional typology*

What emerges from the documentary evidence presented here is that the current institutional profiles of universities in Gauteng have been affected by their respective histories and legacies, some of them through mergers (University of South Africa, the University of Johannesburg, Tshwane University of Technology), restructuring (University of the Witwatersrand) and repositioning (University of Pretoria, Vaal University of Technology). Table 1 below provides a summary of the institutional typology and its impact on leadership and management in the universities under investigation.

HEI	Type	Inst. Management	Inst. Leadership	Executive Deans	Deans in Executive
UNISA	Comprehensive	Hierarchical/centralised	Stable	Yes	No
UP	Traditional	Hierarchical/de-centralised	Stable	Yes	No
UJ	Comprehensive	Hierarchical/centralised	Stable	Yes	No
Wits	Traditional	Devolved/de-centralised	Stable	No	Yes
TUT	Uni of Technology	Hierarchical/centralised	Crisis	Yes	No
VUT	Uni of Technology	Hierarchical/centralised	Crisis	Yes	No

Table 1: Institutional typology for universities in Gauteng

As outlined in Table 1 above, all the universities participating in this study have been affected by organisational and structural changes in the past decade either through mergers, re-engineering, downsizing and/or rationalisation. For some, like the University of the Witwatersrand and the University of Pretoria, this has been undertaken with the aim of flattening organisational hierarchies and devolving greater strategic and operational autonomy to academic faculties, schools and/or departments. In others, like the merged institutions of University of South Africa and the University of Johannesburg, this was to ensure that the new institution was strategically aligned and operationally focused for greater efficiencies by the executive team. But what appears to be a serious mismatch between management policy and practice is that five of the six universities which participated in this study have implemented the terminology 'executive dean' although none of their deans are actually members of the executive team, other than at Wits.

After a decade of the reconfigured higher education landscape it appears that the institutions affected by mergers are still experiencing a number of challenges. These include disparate organisational cultures and 'race' issues which manifested in diverse ways at different institutions. These trends were influenced mainly by market and political pressures for greater commercial orientation from these universities.

For other universities, like Tshwane University of Technology and Vaal University of Technology, the organisational changes were primarily aimed at addressing the legacy of a very challenging past which has continued into the present, characterised by poor governance, weak leadership and ineffective management. The deans identified the need to align and connect top-down and bottom-up leadership and management approaches to decision making, especially between the faculty and central administration. In those universities where a predominantly 'managerial' or top-down approach to leadership dominates (like University of South Africa, the University of Johannesburg, Tshwane University of Technology and Vaal University of Technology) the executive was perceived at a faculty level to be micro-managing and in some cases, impeding decision making relating to the academic project.

At the University of Witwatersrand and the University of Pretoria, with their more devolved management models, the deans looked to the executive for stronger direction and greater clarity of organisational priorities to help guide their activities at a faculty level. This appears to be a global phenomenon as evidenced in the study undertaken by Bolden et al. (2008) in the United Kingdom. But what this phenomenon points to is that the system-wide reorganisation of higher education locally and legacies of affected institutions, particularly the merged ones, has impacted on the leadership and management practices for deans at these universities. No doubt these developments have had major implications for their organisational form and related leadership challenges for deans, as will be outlined in the next section.

4.3 Impact of environmental context on leadership and management

4.3.1 *Global and national determinants*

Much has been written on the global impact of change in universities and the requirements for more agile and adept leadership and management for future institutional survival and success. As mentioned earlier in Section 2.4.2, Singh (2001) and Bundy (2006) point to a number of common trends and new conventions which have impacted on the management of higher education. These include: (i) a decline in public funding; (ii) an increasing demand for relevance,

performativity and financial viability; (iii) financial discipline and austerity; (iv) increased competition amongst universities and from private providers; and (v) the challenges of a burgeoning knowledge economy signalling a shift towards market responsiveness. Added to these global determinants are local pressures emerging from the vision of the White Paper on Higher Education. This national policy framework for restructuring linked to the needs of social reconstruction and a better quality of life for all in a post-transition society, focuses on equity and redress, quality, development, democratisation, academic freedom, institutional autonomy, effectiveness and efficiency, and public accountability (Education White Paper, 1997).

These developments have resulted in (i) a changing, more directed policy and regulatory environment aimed at addressing the legacy of apartheid (Fourie, 2004); (ii) transformation imperatives and their impact on institutional legacies (Jansen et al., 2002); (iii) responsiveness versus performativity; (iv) managing the pedagogy of under-preparedness; (iv) good governance and effective leadership/management; and (v) intra-institutional competition for staff and students (Bundy: 2006; Jansen, 2003; Johnson & Cross, 2006; Badsha & Cloete: 2011; Makgoba: 2011).

The redesign of the institutional landscape from a binary systems of universities and technikons to a trinary system of universities, comprehensives and universities of technology has added to the level of complexity in the local higher education sector. For instance, the concept of comprehensive universities was new and affected existing institutions. There is consensus in the literature that these global and local drivers of change impacted on the governance, leadership and management abilities within South African universities (Cloete et al., 2000; Bundy, 2006; Jansen, 2003; Johnson & Cross, 2006; Seale and Cross, 2015). As noted by Makgoba (2011) earlier on, South African higher education nowadays appears to be lagging behind its North African counterparts and is depicted as being medium knowledge-producing and differentiated, with insufficient capacity (Kotecha, Wilson-Strydom & Fongwa, 2012) and a small 'chronic in crisis' sub-sector (Badsha & Cloete, 2011). Added to this, Jansen (2003) points to a crisis in institutional leadership in the sector. This situation provided a historical marker from apartheid which for the most part was perpetuated and significantly directed leadership and management responses in the post-democratic era.

Kotecha (2003) and corroborated by others (Cloete et al 2000; Jansen 2003, Bundy, 2006) suggest that divisions along racial and linguistic lines led to insulation and isolation of the sector and had resulted in a preoccupation with institutional self-interest by the time democracy was achieved. Despite significant policy and regulatory interventions by the state over the past two

decades, the ghosts of apartheid ideology, planning and architecture in higher education, may still be lurking in the corridors of some local universities, especially those that have been affected by mergers. These challenges and systemic determinants provide the backdrop for leading and managing in local universities, and are a *sine qua non* for an engagement on leadership development, particularly at the level of deanship, since it is at this level where the impact of these factors is most significant. The next section focuses on the various systemic and institutional challenges experienced by deans in this context, and provides an account of and background to the implications for their leadership and management roles.

4.4 Leadership and management challenges for deans

South African universities are located and operate in a cauldron of global change, past inequities, local imperatives and more vocal demands for mission relevance. Leadership and management in this world are transforming too, as external and internal drivers dictate the nature and pace of change in local universities. This context is crucial since it sets the scene for the world in which deans today are required to lead and manage. In particular, it has significant impact for deans who are at the forefront of giving effect to their institutional mission and objectives in a complex, changing environment, as their key challenges extracted from the data and depicted in Figure 10 show.



Figure 10: Management challenges for deans in South African universities

For deans the ongoing state steering through implementation of new policy and legislative frameworks have provided additional pressure points which have impacted on their management ability.[29] They need to keep abreast of the changing regulatory requirements and disciplinary curriculum developments, particularly in professional programmes which impact on their institutions and students.[30] Coupled to this is the increased demand for efficiency and effectiveness, and responsiveness in creating employment and societal wealth, in a competitive environment.[31] Like their counterparts across the globe, local deans face the challenges of increased bureaucratisation, administrative overload,[32] resource constraints and leading academics by influence, all of which is confirmed in the studies undertaken in other university systems in Australia, United Kingdom and United States (Scott et al., 2008; Bolden et al., 2008; Greicar, 2009).

In addition, the deans in this study reported on the expanded scope of the job, with new demands linked to 'management' functions such as setting performance targets, quality assurance and risk management – areas that previously did not fall within the traditional ambit of deanship.[33] This was confirmed by Johnson and Cross (2006) and also corroborated by the deans' human resources directors.[34] On the people front, the deans are required to address employment equity[35] and the recruitment and retention of more black and women academic staff with its consequent leadership and management implications, especially in former historically white institutions.[36] Increased access by students from previously disadvantaged groups was another challenge they faced. Although some progress has been made in this regard,[37] in some specialist areas, like veterinary science, problems with student demographics remain.[38] Then there are, as deans mentioned, the pedagogic difficulties associated with poor schooling and a multilingual population which impacts on teaching and learning and throughput rates as identified earlier by Bundy (2006).[39]

Engagement with stakeholders and partnerships emerge as areas that require significant attention, given the need for the university to expand its footprint and generate additional

[29] Interviews with Dean 03-11, Dean 04-11, Dean 06-11
[30] Interviews with Dean 10-11 and Dean 19-11
[31] Interviews with Dean 04-11, Dean 10-11 and Dean 24-11
[32] Interviews with Dean 02-11, Dean 05-11, Dean 08-11, Dean 15-11 and Dean 24-11
[33] Interview with Dean 03-11
[34] Interviews with HRD 01-12 and HRD 03-12
[35] Interviews with Dean 03-11 and Dean 04-11
[36] Interviews with Dean 01-11, Dean 04-11 and Dean 13-11
[37] Interview with Dean 06-11
[38] Interview with Dean 07-11
[39] Interviews with Dean 01-11 and Dean 20-12

income, as state funding decreases.[40] Important, too, is balancing the key priorities of teaching and research, especially in so-called research intensive universities like the University of the Witwatersrand and University of Pretoria. For a dean at one of the merged universities participating in this study, the new institutional setting not only impacted on their role but also provided some exciting leadership opportunities.[41]

According to the literature and studies undertaken by Scott et al. (2008) and Greicar (2009), deans report extraordinarily long working hours, 'approximately 50% of the DVCs, PVCs, and deans who responded spend 60-69 hours a week on work-related activities, while more than 21% spend greater than 70 hours per week on such activities' (Scott et al., 2008, p.65). What emerges from the interviews is that some local deans work up to 16 hours a day, have limited vacations and work at weekends which in some cases points to a lack of balance between their private and professional lives, a predicament which is captured in the following comment.

> Your biggest challenge is you have to make a decision around balancing your life. I know people who work weekends, day in and day out and so on. If you do not get the balance right the job will eat you up. It is so busy that even if I spent 120% of my time, ignored my family and just worked, I still would not get everything done that I wanted to do, it is just impossible.[42]

This is an area of concern since it has a direct bearing on the overall effectiveness of deans but, more importantly, their general well-being is affected. A much bigger problem for deans who are research active prior to deanship is retaining their disciplinary research profile and this often came at a huge personal cost to their health and family responsibilities.[43]

> It just becomes hard, personally when I came in here I was a rated researcher by the NRF, I have not been able to retain my rating because I have not been able to read in my area of research.[44]

What the literature, documentary evidence and data in this study reveal is a local university setting for deans that is characterised by the global challenges of change, burdened by policy and regulatory drivers and subject to declining financial and other resources. Deans are also

[40] Interviews with Dean 06-11; Dean 08-11 and Dean 19-11
[41] Interview with Dean 19-11
[42] Interview with Dean 03-11
[43] Interviews with Dean 02-11, Dean 05-11 and Dean 24-11
[44] Interview with Dean 01-11

confronting the unique problems arising out of transformation, restructuring, equity, access and quality of provision. In response, some universities have resorted to generic, corporate-like approaches to leadership and management for deans, like 'executivism', which may be inappropriate. These do not address the unique contextual challenges and pivotal bridging role deans play between academia and administration. Within the redesigned institutional landscape post-democracy leadership challenges and operational inefficiencies largely remain. These range from mismanagement and managerial conflict, particularly in former HBUs, to problematic governance and authoritarian leadership (Bundy, 2006; Johnson & Cross, 2006; Badsha & Cloete, 2011; Makgoba: 2011; Seale and Cross, 2015).

It appears that the world of higher education is in flux, where there are no constancies, except change, and where political, social and economic responsiveness is essential, and adaptability and agility are some of the core elements for success.

The evidence presented here points to a complex and often contested institutional domain wherein deans are required to lead and manage. They have inherited institutional legacies which in some cases bear the marks of an apartheid past (e.g. University of Pretoria), but in others reflect a case of poor governance, leadership and management practices, which have had detrimental consequences for affected institutions (e.g. Vaal University of Technology and Tshwane University of Technology). What appear to be common characteristics for the deans who participated in this study are the different expectations of deanship and their responses in relation to global and national pressures for increased performativity, as the next section reveals.

4.5 Leadership strategies and responses to environmental factors

As gleaned from the literature, universities nowadays are under increasing pressure to become more relevant, more responsive to society and more economically productive (Singh, 2001, Bundy, 2006, Johnson and Cross, 2006, Scott et al., 2008; Bolden et al., 2008; Greicar, 2009). As competition for scarce state resources increases, demands for operational efficiency are becoming more pronounced. Argyris and Schön (1996) advise in this regard that the need for fitness is key to understanding the aim and purpose of effectiveness. In the context of a highly competitive and knowledge-intensive global economy, the performance of higher education systems, institutions and individuals has become increasingly important for users and stakeholders alike. For Strathern (2000) universities are judged, ranked and rewarded through technologies of audit and accountability, with a discourse of transparency and global and

national league tables ensuring that their success, or lack of it, becomes public knowledge. In this context Ball (2003) claims that performativity plays a particular role in re-orientating education, educational institutions and students to the competitive needs of the economy. Performativity has emerged in universities as a result of increasing pressure for efficiency and effective management with dwindling resources, as confirmed by a dean's comment below.

> If (names University) wants to project a view of best value for money, we have to demonstrate that we are efficient, we have to demonstrate that we are excellent and we have to demonstrate that whatever we do internally speaks to the demands of society only.[45]

Johnson and Cross (2006) claim that in South African universities performativity has been used as 'an end' instead of 'a means' to improved strategies and effective operations. 'entrepreneurialism' and managerialism have been placed at the centre of 'university operational discourses'. The advent of managerialism in local higher education has had implications for academic leadership, especially for deans traditionally schooled in academia, according to Johnson and Cross (2006).

Pounder (1999) identifies four performance criteria for leadership effectiveness. *Productivity-efficiency* is the behaviour that relates to the quantity and volumes produced in relation to costs of operations. *Cohesion* is the behaviour that reflects staff morale, interpersonal relationships, teamwork and a sense of belonging. *Information management-communication* is the organisation's ability to distribute timely and accurate information to its members. *Planning-goal setting* focuses on the organisation's capacity to set objectives and systematically plan for the future. In their system-wide study of Australian higher education Scott et al. (2008) reveal that effective leaders not only possess up-to-date knowledge and skills in their specific area, but they are also self-aware, decisive, committed, able to empathise with and influence a wide diversity of people, are cognitively flexible, and are particularly deft at diagnosis and strategy formation.

Heck et al. (2003) suggest that the leadership of deans should be evaluated in relation to role expectations and institutional purposes. Aspects for evaluation here include job performance (ability and behaviour), cognitive processes (problem solving and decision making), or effectiveness (results, programme outputs, quality). With the advent of 'executivism', conceptions and measurement of performativity in the academe have taken on a more

[45] Interview with Dean 24-11

corporatised feel with its greater emphasis on management requirements. These developments have implications for the effectiveness and performativity of deans. It seems that the global and local drivers of change in universities have resulted in specific sectoral and institutional strategic responses and approaches to the resultant performativity requirements in South African higher education, as illustrated in Figure 11.

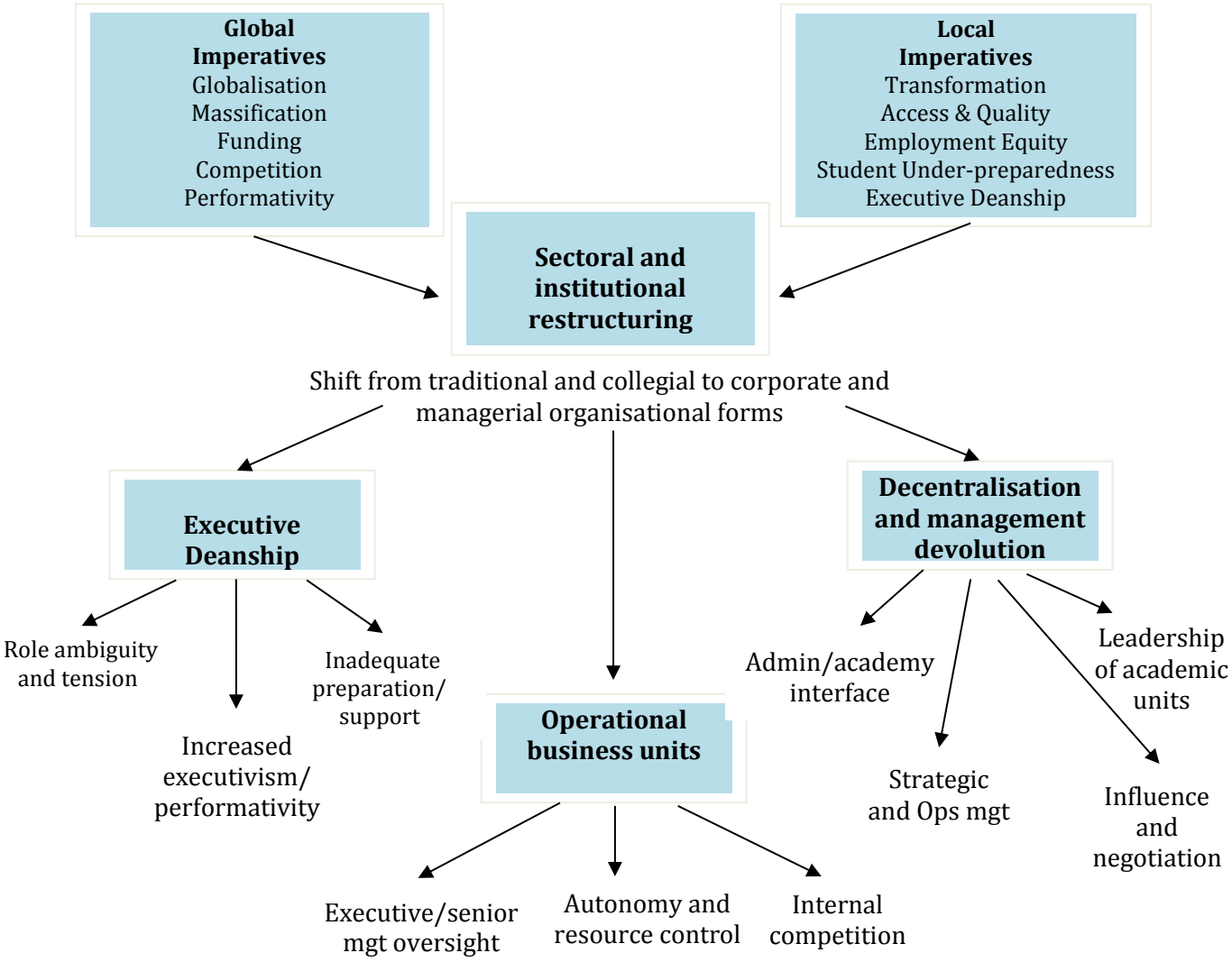


Figure 11: Institutional responses to challenges in South African higher education (adapted from Bolden, Petrov & Gosling, 2008)

What emerges from the documentary evidence (Scott et al., 2008; Bolden et al., 2008) and data from this study is that local universities driven by the increasing demands from government and other stakeholders for accountability, relevance and performativity have responded operationally in three main areas: (i) introduction of 'executive deanship'; (ii) establishing self-funded business units; and (iii) decentralised and devolution of management.

The introduction of 'executive deanship' in the universities participating in this study has resulted in major challenges and implications for deans in terms of their role, sectoral shift towards 'executivism' and preparation for this redesigned position.

Following mergers or internal restructuring, most of the universities surveyed in this study (University of the Witwatersrand, University of Pretoria, University of Johannesburg and University of South Africa) have introduced operational business units that are meant to be more financially self-sufficient with increased decision making autonomy, but this situation has resulted in greater competition for limited resources, due to the concomitant performativity measures coupled with these changes. The aforementioned universities have also decentralised and devolved management decision making, some more so than others, for instance, the University of the Witwatersrand and the University of Pretoria, but for others centralised decision making and management control still exist. From the interview data, deans generally in this scenario, see themselves as representing the executive which creates challenges and contestations in terms of their relationship with the academe, particularly in how they straddle the roles of providing strategic academic leadership and executing top management directives.

It is at the level of dean where institutional strategies are advanced and implemented. What this means is that the executive require and rely on deans to act as their proxy by implementing the institutional strategy and academic mission in their faculties. Deans are constantly being judged by their actions and reactions to the problems, opportunities, and challenges they face in this regard, say Tucker and Bryan (1991). This forms the basis of the measurement of their leadership effectiveness. Leadership effectiveness for deans in South African universities is measured by achievement of strategic objectives and milestones in relation to performance targets,[46] by respect for and recognition of staff whose support is critical,[47] by providing an empowering and enabling, conducive environment that respects and recognises both staff and students,[48] by advancing transformation and diversity,[49] by improved financial performance of their faculties[50] and leading by example.[51]

For Fincher (1996) and others, leadership effectiveness in universities is largely based on perception and individual experience. These perceptions determine the viability of the leader's

[46] Interviews with Dean 01-11, Dean 10-11 and Dean 24-11
[47] Interviews with Dean 08-11 and Dean 19-12
[48] Interviews with Dean 03-11, Dean 13-11, Dean 16-11, Dean 17-11, Dean 25-11,
[49] Interview with Dean 04-11
[50] Interview with Dean 18-12
[51] Interviews with Dean 01-11 and Dean 17-11

position within an institution (Fincher, 1996; Birnbaum, 1989; Whetten and Cameron, 1985 in Heck et al., 2003). This is also borne out by comments from local deans.

> Whether I was effective or not is a little bit like asking me, what you did – was it of quality? I firmly believe that I cannot tell you if I was effective or whether I gave a quality programme. It has always been [for] somebody else to say whether I was effective or not.[52]

> You cannot come to a stage where you say I am effective because people must be the ones to come and say, hey man, you are a role model.[53]

The experience of deans in South African universities in relation to how they determine leadership effectiveness largely correlates with the findings of a study undertaken by Scott et al. (2008) at Australian universities in terms of the following: (i) achieving high-quality graduate outcomes; (ii) successful implementation of new initiatives; (iii) producing significant improvements in learning and teaching quality; (iv) establishing a collegial working environment; and (v) delivering agreed tasks on time and to specification.

Most commentators (Birnbaum, 1989; Fincher, 1996; Tucker & Bryan, 1991, 1997; Whetten & Cameron, 1985 in Heck et al., 2003; Johnson & Cross, 2006; Seale and Cross, 2015) agree that universities, like other successful postmodern organisations, need effective leadership that creates shared values and common goals for advancement of the institution. They also require astute, accountable and efficient management at all levels. In order to address these needs and respond to ongoing external pressures, universities in South Africa have executivised deanship and redesigned the strategic and operational goals of deans. This sectoral shift has contributed to the 'corporatisation' of universities, but in most instances has not delivered the desired leadership and management results, especially for deans locally, as I demonstrate in the next chapter.

4.6 Conclusion

It appears that global and local challenges in universities are interlinked and together influence the notions and practice of leadership, management and leadership development at an institutional level.

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[52] Interview with Dean 09-11
[53] Interview with Dean 21-12

The literature, documentary evidence and data acquired and presented here, in particular the interviews with the deans themselves, manifest a systemic and, in most instances, an institutional environment which is not enabling or empowering for effective leadership and management.

This chapter reveals a local higher education system in flux, driven by major global shifts and confronted by unique sectoral and institutional challenges, as a result of its apartheid legacy and consequent state driven transformation agenda. Both global (including globalisation, massification, funding, competition and performativity) and local challenges (transformation, access and quality, employment equity, student under-preparedness and executive deanship) have had far reaching implications for the type of academic leadership and executive management required in South African higher education and seem, as the evidence suggests, to have influenced the discourse and the performance of local deans in this regard. What emerges from this chapter is that the systemic and institutional context wherein deans operate has changed significantly for most universities participating in this study, influenced largely by their institutional history and architecture, responses to change and transformation imperatives and their leadership and management legacies and behaviour.

The regulatory transformation and supervisory mechanisms put in place by the state have added a performativity dimension based on global demands to an under-resourced and under-performing higher education system, resulting in deans facing growing demands from a multiplicity of stakeholders for more accountability, efficiency and effectiveness in managing the resources at their disposal. In response, as we will note and engage with in the next chapter, local universities post-democracy conceptualised and implemented 'executive deanship' as a possible solution to its institutional performance ills. This occurrence signalled a significant shift in leadership and management practice in South African higher education and, as the next chapter will show, it did not meet the broad expectations or intended outcomes as anticipated.

Deans at the universities participating in this study are being severely tested in terms of leading and managing their respective institutional challenges. Their deanship is being influenced by global determinants, local challenges and their specific organisational culture, governance and leadership legacies and capabilities, management behaviour and operational capacity. The whole-scale introduction of 'executivism' in this context has added another layer of complexity to an already difficult and challenging environment. To this end I have dedicated an entire chapter to the notion and practice of 'executive deanship' as understood and lived in local universities.

Having provided the contextual setting for deanship based on the literary and data presented, it is important from hereon to foreground the global and uniquely local challenges deans are being confronted with in more detail, as it forms the basis for further engagement with the reader on the leadership, management and leadership development implications thereof, in the universities participating in this study. This may appear to be repetitive but further amplification is a necessary step for building the leadership development framework, which emerges from the ensuing chapters.

CHAPTER 5: THE EMERGENCE OF 'EXECUTIVISM' IN SOUTH AFRICAN UNIVERSITIES

5.1 Introduction

It appears that traditional governance practices and decision making associated with the 'classical model' in universities are no longer effective and more business-like management techniques should be used (Pounder, 2001; Duderstadt, 2002; Yielder & Codling, 2004). Dwindling resources, external demands for accountability and increased competition for market share have resulted in the use of efficiency measures and increased demand for performativity in universities. Executive leadership and professional administration that crept into universities during the early 1980s, referred to as managerialism or 'executivism', is now practised widely. The increased focus on managerialism in the last decade has resulted in collegial tension and heightened conflicts between academics and administrators, particularly in local universities, according to Johnson and Cross (2006). Deans in South African universities have to address simultaneously the complexities of change, contesting demands from multiple stakeholders and ongoing requirements for operational efficiency, with dwindling resources. The emergence of 'executive deanship' in South African higher education about a decade ago was in keeping with international trends and local demands for efficiency and performativity. Johnson and Cross (2006) claimed at the time that this concept and practice 'is doomed to failure' and 'it may prove disastrous to much-needed institutional rejuvenation' (p.36).

The evidence generated in this study to some extent confirms these assertions about 'executive deanship' locally, but also points to some positive institutional results, though these are limited. In the previous chapter we identified and engaged with the key challenges deans experience in the South African higher education context, some of which are unique, and how they impact on their leadership and management. What this chapter does is further explore and engage with these challenges especially in relation to 'executive deanship' in local higher education. To this end I endeavour to identify patterns and trends with the introduction of 'executive deanship' at the universities which participated in this study and whether there is convergence and/or divergence, and to highlight common patterns across institutions and contextual or institutional specificities. A key question raised here is whether there is an identifiable South African perspective relating the understanding and implementation of 'executive deanship'.

This chapter demonstrates that the conception and practice of 'executive deanship' in local universities without the requisite enabling drivers at systemic, institutional and individual

levels, are having serious consequences for some universities, given the complexities and requirements of their environment. The main argument presented here is that the whole-scale introduction of 'executive deanship' into South African universities seems not to have contributed to the envisaged operational efficiency and effectiveness. Its implementation, especially in the universities which do not have an enabling and empowering environment as its key driver, has added another layer of complexity to deanship. This sectoral shift of focus from academic leadership to executive management in practice for deans points to a potential crisis in the advancement of the academic project since the position generally is more management orientated and allows little or no room for strategic academic leadership, as the ensuing sections illustrate.

5.2 Advent of 'executive deanship' in South African universities

Although reference is made to the office of 'Dean' in universities as far back as 1816, to this day there remains definitional uncertainty on the position in terms of role and function (Gmelch, 2002(a) and Greicar, 2009). Historically, deans focused mainly on student concerns, curriculum oversight, and less so on staff and finance related issues; their responsibility for administrative tasks was minimal. This dean, according to Wolverton et al. (2001) was considered a scholar and teacher first and an administrator second. In line with the advent of 'executivism' and corporatisation of universities referred to earlier, deanship has changed dramatically in the past 20 years, from elected academic leader responsible mainly for faculty administration to an appointed, politically astute and economically savvy executive (Johnson & Cross, 2006). The concept 'executive dean' has its roots in globalisation and its institutional impact, commodification of higher education, pressures of decreased resources, more accountability, intensification of institutional complexity and senior academic staff focusing on their administrative careers as executives in universities (Ramsden, 1998; Middlehurst and Elton: 1992; Deem, 2001; Bolden et al., 2008). In South Africa the advent of 'executive deanship' may be ascribed to the corporatisation of universities globally and the introduction of managerialism or 'executivism' around the 1990s.

The redesigned role of deanship is characterised by setting and implementing strategic academic vision, leading change in complexity, efficient financial management, emotionally intelligent people management, and responsive stakeholder management (Gmelch & Wolverton, 2002; Wolverton et al. 2001; Johnson & Cross, 2006; Scott et al 2008; Greicar, 2009). The position in the contemporary university has evolved from a historically collegial, temporary, custodial nomination to a professional, contractually bound appointment.

This global trend points to a significant shift in the conceptualisation and practice of deanship locally, as illustrated in the comment below by a dean.

> I've been in executive management, the job is hotter more complex and much more strategic than I expected. If you simply want to be a dean that administers the faculty in traditional terms it's a much simpler space. Certainly at our university it's very clear now people are looking for more than that . . . looking for effective leadership, people that are going to make a real difference, not just administer but strategically lead and manage.[54]

What this means, suggest Johnson and Cross (2006), is that deans previously regarded as the 'custodians of collegiality [have] become the guardians of efficiency' (p.34):

> The collegiate or academic leader has now become more of a corporate manager. Deans are now known in many circles as chief executive officers or more precisely executive deans. This is not just a mere change of nomenclature (p.35).

Shakespeare reminds us in his classic work *Romeo and Juliet*, '*What's in a name? That which we call a rose by any other name would smell as sweet*'. As the documentary evidence and data gathered in this study reveals, when applied to 'executive dean' in local universities, the name means everything and different things, especially for the universities participating in this study. This is how some of the deans responded in the interviews when asked whether they would describe their position as an 'executive dean'.

> Yes. This one has a more proactive dimension in it. It also has greater responsibilities and greater power in order, in a sense, to elevate the game to another level. More weight is also placed on that individual's decision-making power and the ability to inspire colleagues and students, and also to be able to relate to the external environment to enhance the academic project.[55]

> Yes, what we currently have in the system is we are working on a comprehensive faculty plan model where we have to actually report to the executive on the plan that we put forward, and that we also are provided resources from the executive given the strategic

[54] Interview with Dean 08-11
[55] Interview with Dean 23-11

objectives and performance outputs that we develop within that plan.[56]

It is described as executive, but our deans are often frustrated that it is not really executive because there are many things that we would like to make decisions on and it is sometimes a bit bureaucratic.[57]

I think you can be as executive as the top management allows you to be. Look to be quite blunt around this, I think in higher education in South Africa, the term executive dean has become a flashy term from about three years ago. To me, I think executiveness means to what extent you have got autonomy to do what is really best for your faculty within the broader framework of the university.[58]

When I started this position I was a dean and then we changed it to executive dean; not in salary, not in executive power, nothing, only a name change. I always ask myself what executive powers do I have and no – nothing. Nothing changed.[59]

The deans generally were in agreement that they are meant to be 'executive deans' but there appears to be uncertainty amongst their ranks as to what this evolving strategic leadership and executive management role really means in the contemporary university. The conception of 'executive deanship' and its implications for the universities investigated yielded different results.

At one end of the spectrum, deans at the University of the Witwatersrand, for instance, are considered to be 'executive deans' in a devolved management structure with decentralised resource allocation and decision making, but reporting into central administration via the office of the Deputy Vice-Chancellor: Academic. The University of the Witwatersrand introduced 'executive deanship' during its major restructuring exercise which took place in 2001. According to Johnson and Cross (2006), this resulted in three key changes regarding the structure and operations of deanship at Wits: (i) the establishment of 'executive deanship;' (ii) abolition of the rotational model and adoption of formal appointment procedures; and (iii) extension of period of service to five years. This was in keeping with international trends and practices in higher education. However, the title 'executive dean' was not used at the University of the Witwatersrand so as to avoid the negative corporate connotation associated with it.

[56] Interview with Dean 06-11
[57] Interview with Dean 19-11
[58] Interview with Dean 18-12
[59] Interview with Dean 20-12

> . . . there was a motion that was proposed where each faculty would have a Faculty Manager who would be almost like the chief operating officer of the faculty. Then the dean would be the academic head of the faculty. I think the model was rejected or it was not approved because people felt that there would be parallel powers within the faculty and therefore that corporate role of the dean was merged with the academic leadership.[60]

This approach was corroborated by the director for human resources[61] and based on resistance by deans at the University of the Witwatersrand during this time. As Johnson (2005) points out, 'the Deans at the time, however, did not feel comfortable with the blatantly crude adoption of business jargon and retained the designated title Dean' (p.267). At other end of the spectrum, 'executive dean' at Vaal University appears to be mere nomenclature with no or little authority to manage his or her faculty given the hierarchical, centralised decision making and control of resources in place there. As the reader will note later on in Section 5.3, unlike those at the University of the Witwatersrand, deans at Vaal University are administrators with limited or no decision-making authority in relation to strategic issues or financial management in their faculties.[62] At the remaining universities the understanding and practice of 'executive deanship' varies; there appears to be some convergence but there is also divergence in the different approaches.

Bundy (2006) claims that post-1994 some local institutions like the University of Pretoria and North-West University, used the National Commission on Higher Education (NCHE) criterion of responsiveness to societal interests and needs.

> . . . seized the responsiveness agenda scripted by Burton Clark and reinvented themselves as entrepreneurial universities. They diversified their curricula, ran market-oriented courses, experimented with new delivery modes, and entered into profit-making public/private partnerships. With highly managerial leadership styles, they shifted from milking the military-industrial-research complex of late apartheid years and filled their pails instead from incentive schemes promoting applied research in support of the post-apartheid economy (Bundy, 2006, p.13).

[60] Interview with LM 04-12
[61] Interview with HRD 04-12
[62] Interviews with Dean 20:12, Dean 21:12 and Dean 22-12

This was one approach to the introduction of 'executive deanship'. But as Johnson and Cross (2006) point out, at other universities following restructuring and repositioning in the democratic era, the advent of 'executive deanship' was meant to have a positive impact on their responsiveness, efficiency and overall performance and, equally important, 'the potential and range of possibilities that it has for facilitating the rehabilitation of South African universities after apartheid' (p.36). But, as will be demonstrated, this appears not to have been the case for a number of the universities under investigation in this study.

What follows is a synopsis of the impact of 'executive deanship' on the institutional management, academic administration and decision making of deans and also its impact on their strategic leadership and executive management roles in the academe.

5.3 Institutional management implications of 'executive deanship'

As mentioned earlier (see Johnson & Cross, 2006), the universities in Gauteng which form part of this study have all adopted and implemented 'executive deanship' but in varying degrees. What follows is an attempt to categorise and systematise their approaches in terms of greater centralisation vis-à-vis decentralisation or devolution, what is being centralised or decentralised and why, and the emerging organisational structures and their implications for deans at these universities.

From their study of distributed leadership at 12 universities in the United Kingdom Bolden et al. (2008) produced two models of University Structures. In the first model there appears to be a devolution of financial and line managing responsibility from the central administration to either the dean or head of school. Resource allocation and formal accountability for the budget and related financial matters, is located at this management level. The difference in the second model is that financial and line-management responsibility was even further devolved to the third level, namely to the head of school or head of department. The dean in this instance plays a connecting, facilitating and communicating role between the various disciplines located in the faculty.

> Within this model, the Dean's power is vested in interpersonal relationships and their representation on the Vice-Chancellor's Executive Group/Senior Management Team rather than formal resource power (Bolden et al., 2008, p.18).

It appears that the universities in Bolden et al.'s (2008) study are leaning towards devolved financial and line management to lower levels in the hierarchy and distributed leadership and management. The rationale for this shift may vary between participating institutions, but it was mainly brought about by changing funding mechanisms, external regulation, legislation and assessments of organisational performance, increasing competition and the merging and/or downsizing of separate institutions (Bolden et al., 2008). Unsurprisingly, these developments mirror the contextual realities of local higher education. As is the case with Bolden et al.'s (2008) findings, the universities which participated in this study have adopted similar approaches to organisational structure and management for the reasons mentioned earlier, but with some distinct variations.

Although there are parallels with the above models in the UK universities, there seems to be some peculiarities in the South African context, which may be ascribed to its historical legacy, transformation requirements and significant restructuring, in the post-apartheid era. Using the evidence generated from the analysis of documents, interviews and building on Bolden et al's (2008) experience and findings in the UK, I have identified three categories of faculty management, resource allocation and institutional decision making from the universities participating in this study: (i) decentralised management and devolved decision making; (ii) partially decentralised management and devolved decision making; and (iii) centralised management and decision making. These are outlined in in Table 2 below.

Category	Institution	Organisational Structure	Resource management (finance & HR)	Academic administration
(i)	Wits	5 Faculties reporting to DVC	• Faculty determined and controlled • Centrally allocated • Managed by the Deans • Performance reporting requirements	• Autonomous • Devolved to Deans and Heads of Schools in terms of operations, HR and finance • Controlled by the Faculty
(ii)	UP UNISA UJ	• 8 Faculties report to DVC • 5 Colleges report to DVC • 8 Faculties report to DVC	• Centrally determined and controlled • Faculty allocated • Managed by the Deans • Performance reporting requirements	• Semi-autonomous • Partially devolved to Deans in terms of operations, HR and finance • Controlled by the Centre
(iii)	TUT VUT	• 6 Faculties report to DVC • 5 Faculties report to DVC	• Centrally determined and controlled • Faculty allocated • Managed by the Centre • Performance reporting requirements	• Not autonomous • Centralised in terms of operations, HR and finance • Hierarchical, controlled by the Centre

Table 2: Faculty management and administration in Gauteng universities

In category one, the management of operations and decision making relating to the academic project, including finance and human resources, has been entirely decentralised and devolved to the deans. The central administration's role is to provide institutional oversight, and to monitor and report on faculty performance in line with the strategic objectives. Of the six universities under investigation, only one, the University of the Witwatersrand, features in this category. The shift in management devolution and decision making at the University of the Witwatersrand is confirmed by the responses of the deans during their interviews.[63] Deans at Wits are members of the executive team and are held accountable through performance management for achieving their faculties' objectives, effective leadership and efficient use of the financial and other resources allocated to them.

At the University of the Witwatersrand it appears that the executive management role carries equal weight for operational performance and organisational success, as strategic academic leadership. An advertisement for a vacancy for Dean of Humanities at the University of the Witwatersrand described the position as follows:

> The successful applicant will be an outstanding academic in a field within the humanities and will have a proven ability in the following key performance areas: (i) academic leadership; (ii) strategic planning and administration and (iii) human resource and financial management.[64]

In the second category, there appears to be an advancement of a more devolved management model, but still some degree of control by the centre in terms of decision making and the allocation of financial and human resources. Examples of this organisational management type are the University of Pretoria, the University of South Africa and the University of Johannesburg. Although there is an affirmation by deans at the University of Pretoria they are 'executive deans', their understanding of what this means and how it impacts on their management ability appears to differ.[65]

This is captured by the views of two deans on their experiences at the University of Pretoria in terms of their approach to organisational management and decision making.

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[63] Interviews with Dean 23-11, Dean 24-11 and Dean 26-11

[64] Downloaded from: http://www.wits.ac.za/newsroom/vacancyitems/201211/18504/Dean:_faculty_of_humanities.html

[65] Interview with Dean 05-11

> It's hard to answer . . . the way our model works . . . in some ways you are an executive dean, in others you have delegated authority. Whereas in others you are encouraged and develop and create within that framework you need executive support for doing it.[66]

> If you say an executive dean in the sense of here is your money now run your faculty and do not come back, then I do not think our university works along those lines. A lot of the decision making related to finance and human resources and facilities is centralised.[67]

A dean at the University of Pretoria is described as an academic leader who is responsible for 'the efficient management of the faculty and as such is part of the senior management team of the University, which team acts in the interests of the University as a whole'.[68] This view is confirmed by their line manager who states that deans are made aware of the budget, provided with an 'envelope of resources' in which to operate, then given 'a large degree of autonomy to actually guide the development of the faculty using those resources'.[69] Deans at the University of Pretoria are members of the senior management team but not of the executive.

Universities affected by mergers, like the University of South Africa (UNISA), used this opportunity to restructure and align their governance and management structures in line with similar developments globally and locally post-1994. Following their merger with Technikon South Africa (TSA) and Vista University Distance Education Campus in 2004, UNISA created the 'college' management model and in keeping with global and local trends introduced 'executive deanship' (UNISA Annual Report, 2011: p.5), as confirmed by the line manager.

> If you look at the structure of UNISA because of its size and complexity and the comprehensive nature it has structured itself into seven colleges; so we do not have any faculties. These are fairly large colleges. This came about after the merger with TSA. So there are colleges and each college is headed by an executive dean.[70]

An advertisement for a new dean in the College of Law at UNISA described the position as:

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66 Interview with Dean 08-11
67 Interview with Dean 09-11
68 University of Pretoria Regulation and Procedure for the appointment of Deans and Deputy Deans (R 20/11)
69 Interview with LM 02-12
70 Interview with LM 01-12

> An Executive Dean is an executive officer of the College. S/he is a member of the Extended Management Committee of the University, and is required to advance the strategic goals, academic objectives and the management philosophy of the University.

Deans at UNISA have the delegated authority to manage all the operational issues within a specific college. According to the director of human resources, vice-principals are expected to define strategy and provide broad direction in the alignment of the University's vision and mission. The dean, on the other hand, is responsible for effecting and executing this strategy. This shift reflects what Johnson and Cross (2006) refers to as the 'de-DVCization' of the faculty; that is, a transfer of authority and influence traditionally held by the deputy vice-chancellor to the faculty and echoed by the director of human resources at UNISA.[71]

The CHE's Institutional Audit Report (2010) makes reference to this requirement for deans and particular challenges being experienced in this regard.

> Interviews with the Deans and academic staff across the colleges suggest that there is considerable unevenness in the way in which each Dean discharges their role, the support they feel they are receiving from the institution's management and the confidence that they themselves elicit among their peers (p.13).

As with other affected institutions like UNISA, the University of Johannesburg used the merger as an opportunity to restructure and reposition itself locally and internationally. The rationale for adopting 'executive deanship' at the University of Johannesburg is outlined in its various strategic plans and appears to be sound and necessary, claims one dean, given the transformation imperatives of this institution at that time[72] and then over time it was subsequently entrenched.[73]

> Over and above their primary roles as Academic and Strategic Leaders of their faculties, Executive Deans at the University of Johannesburg fulfil a typical operational management role in respect of the allocation and utilisation of resources within their faculties.[74]

A vacant dean's position in the Science Faculty at the University of Johannesburg was advertised as follows.

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71 Interview with HRD 01-12
72 Interview with Dean 17-11
73 Interview with Dean 18-12
74 Appointment of Executive Deans, University of Johannesburg, 10 November 2005

> The Executive Dean: Faculty of Science reports to the Deputy Vice-Chancellor: Research, Innovation, Library and Faculty Coordination, and is a member of the Executive Leadership Group of the University of Johannesburg.

At the University of the Witwatersrand, University of Pretoria and UNISA, deans prepare their faculty business plans and budgets in line with the institutional strategic and operational plans. Financial resources are then allocated to support the faculty's activities under the leadership and management of the dean. Decision making in this model is either fully or partially devolved and deans are held accountable through their management reporting line.

However, at the University of Johannesburg there appears to be more centralised control in decision making and management of financial resources as shown by this finding in the CHE Institutional Audit Report (2010) for the University of Johannesburg.

> Nevertheless, the Panel heard during interviews with the Deans that their input to the budget and allocation of resources is limited and as a result cuts have had to be made in the faculties, which negatively affect the delivery of the learning programmes. The Panel suggests that the University consider giving more authority to the Executive Leadership Group, and in particular to the Deans in this process (CHE, 2010, p.16).

This was confirmed by the deans at the University of Johannesburg during their interviews.[75]

Tshwane University of Technology and Vaal University of Technology appear to fall into the third category where institutional management and administration remain centralised and decision making on resource allocation is largely controlled by the executive.[76] As with other merged institutions, Tshwane University of Technology adopted a similar position with its conception and implementation of executive deanship.

> Executive Deans occupy a unique place in the continuum of academic administrators /managers in higher education. They are the facilitating links between departments, through heads of department, academic staff, support staff and students, and university leadership through the office of the DVC Academic.[77]

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[75] Interviews with Dean 15-11, Dean 19-11 and Dean 18-12
[76] Interviews with Dean 12-11 and Dean 14-11
[77] Tshwane University of Technology Management Structures of Faculties and Departments: nd.

According to their line manager, executive deans at Tshwane University of Technology are now empowered with a greater range of responsibilities than previously and enjoy a higher level of relative autonomy.[78] However, this situation was characterised by some challenges with the top leadership in terms of implementation.

> When (names a former vice-chancellor) came in and (names a current DVC) they started the two of them running the university on a micro scale. Even if a department wanted to appoint a student assistant, it had to go through a DVC for a signature. A ridiculous situation and I often said we are not executive deans, we are more operational clerks, all we did was manage and they kept us busy in a lot of meetings, but when something went wrong it was your fault.[79]

Vaal University of Technology, on the other hand, seems to have jumped on the bandwagon of 'executive deanship', caught up in the frenzy of increased corporatisation, as *the* solution to their institutional leadership and management ills. But the experiences of the deans at this institution tell a different story.

> When I started this position I was a dean and then we changed it to executive dean; not in salary, not in executive power, nothing, only a name change. I always ask myself what executive powers do I have and no – nothing. Nothing changed.[80]

> So we have adopted the executive dean issue, we were just deans but I still feel we are not defining it the way it is defined elsewhere. So I understand the executive dean in that context of those universities I spoke about. But we accept what it is, that we are executive deans but in actual fact we are not.[81]

> I think the executive dean function is more the strategic management . . . He is involved in the strategic level of decision making rather than the technical and operational type of decision making. So I feel it should be more of a strategic position in terms of a faculty level.[82]

78 Interview with LM 03-12
79 Interview with Dean 13-11
80 Interview with Dean 20-12
81 Interview with Dean 21-12
82 Interview with Dean 22-12

As alluded to earlier, Johnson and Cross (2006) claim that the whole-scale introduction of 'executive deanship' at some local universities 'is doomed to failure and may prove disastrous to much-needed institutional rejuvenation' (p.36). Post-democracy, in some instances, this situation rings true as challenges relating to the introduction of 'executive deanship' have not diminished.

For some deans at three of the universities participating this study – namely, Tshwane University of Technology,[83] the University of Johannesburg,[84] and Vaal University of Technology[85] – the adoption of the term 'executive dean' appears to be conflicted and contested. From the interview data a pattern emerges around what was earlier referred to as a misalignment between the conceptual framing and lived reality of deans at universities in Johannesburg.[86] The views of these deans are corroborated by other interviewees including two line managers[87] and a human resources director.[88]

What the evidence derived from the interviews points to is that generally there appears to be frustration amongst deans around perceived versus real authority. Although envisioned, the position still lacks strategic focus.[89] Some powers in relation to key areas like finance and human resources are largely still centralised,[90] top-down bureaucracy still hampers effective decision making,[91] and in most cases decisions affecting faculties are still taken at the top.[92] As is the experience elsewhere, it appears that deanship at local universities nowadays has become more strategic with direct accountability in most instances to the executive under the leadership of the deputy vice-chancellor responsible for academic matters.

At the time of conducting the interviews, all the deans participating in this study reported to the Deputy Vice-Chancellor: Academic or a similar function, other than deans at the University of the Witwatersrand who until recently reported directly to the Vice-Chancellor. Following the appointment of a new vice-chancellor at the University of the Witwatersrand in 2013 and reorganisation of executive portfolios, the deans at the University of the Witwatersrand now report to the DVC: Academic.

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83 Interview with Dean 13-11 at Tshwane University of Technology
84 Interview with Dean 15-11 at University of Johannesburg
85 Interviews with Dean 20-12 and Dean 21-12 at Vaal University of Technology
86 Interviews with Dean 05-11; Dean 08-11; Dean 15-11 and Dean 23-11
87 Interviews with LM 01-12 and LM: 03-12
88 Interview with HRD 01-12
89 Interview with Dean 22-12
90 Interviews with Dean 09-11 and Dean 17-11
91 Interview with Dean 19-11
92 Interview with Dean 18-12

This is in keeping with line management practices at other universities in Gauteng and South Africa generally.

Given the limitations of this study it is not possible to deal with all the institutional peculiarities, complexities and nuances around 'executive deanship' that exist across the participating universities. However it is worth noting that the conception and practice in this regard varies significantly between those that have devolved decision-making authority, are line-managing and budget-holding, and those that are not. What appears to be an ongoing challenge in all the universities, though, is the ambiguous nature in which 'executive deanship' has been perceived by a multiplicity of role players and the concomitant conflict between its core functions, as the next section reveals.

5.4 Managing definitional ambiguity and role conflict

This traditional concept of leadership upheld the notion that excellence in academia translates, via *primus inter pares*, into management excellence (Pounder, 2001; Kotecha, 2003). Robertson (1998) depicts the plight of an academic leader moving from the collegiate 'gentleman amateur' to being an 'amateur manager' caught in throes of leadership and executive management, without the requisite training or experience. He claims that the lack of a coherent theory of management and the amateur status of its leaders has caused the parlous state of effective leadership and management in the academe. Johnson and Cross (2006) refer to the mismatch between these roles and different skills sets in terms of management requirements, which deans they claim, often do not possess. Using Burns transactional and transformational leadership as a basis, Gmelch and Wolverton (2002) defines academic leadership for deans as

> The act of building a community of scholars to set direction and achieve common purposes through the empowerment of faculty and staff (p.5).

From the literature and prevailing discourse, it appears that the dean's position nowadays has more political and greater social nuances, especially in relation to the academe, than the traditionally hierarchical or technical ones (Gmelch, 2002; Rosser et al., 2003; Johnson & Cross, 2006). Their leadership is complicated by the desire to lead their faculty to new levels of accomplishment and excellence while bearing in mind that one day they have to return to the same academic environment.

As seen earlier in Section 5.3 above, a key component of deanship centres on balancing the different but interrelated roles as academic leader and executive manager, especially amongst peers as shown in Greicar's (2009) study. This is at the heart of deanship and unfortunately it seems to be where the problem lies. In a sense this appears to be the hardest part of the job – one dean referred to himself in the interviews as the proverbial 'meat in the sandwich' or, put another way, 'neither fish nor fowl'.[93]

The literature and evidence generated in this study reveal that deans serve two masters: the executive and the academe (Rosser et al., 2003; Johnson & Cross, 2006). For deans, keeping disparate, sometimes warring, factions content at the same time is like walking a tightrope without a balancing pole.[94] Navigating the two camps and directing them towards the faculty and university's strategic objectives in terms of the academic project, is key.[95] But as Morris (1981) points out the nature of academics' work engenders a special pride in not being responsive to institutional rules and regulations, which deans need to uphold and regulate in the faculty. This situation creates an inherent tension since academics represent a constituency that is almost purely political in character. They cannot be commanded or led, except by the initiatives and cohesion of their own membership (Morris, 1981). In their interviews the deans talked about 'bridging the gap' between the faculty and the executive by establishing systems that support both.[96] This duality of roles has led to particular challenges for deans as illustrated by Johnson (2005), and corroborated by Scott et al. (2008) and Greicar (2009), in that they have become more withdrawn from intellectual and academic life due to the increasing managerial demands thrust upon them. Most of the deans interviewed recognise that in theory their position is really an academic one with management responsibilities.

> Being able to lead your faculty in a direction; in this case it is an academic faculty, it is not a management faculty. You lead them in an academic sense.[97]

But in reality it appears to be something completely different.

The deans participating in this study see themselves as representing the executive or management, which is not unsurprising given the evolution of the 'executiveness' of this role in

[93] Interview with Dean 24-11
[94] Interview with Dean 24-11
[95] Interviews with Dean 09-11; Dean 10-11; Dean 16-11; Dean 23-11; Dean 25-11 and Dean 26-11
[96] Interview with Dean 08-11
[97] Interview with Dean 24-11

South African higher education,[98] akin to experiences elsewhere. Post-democracy, in some local universities there appears to have been a greater emphasis on management and administration with less attention to collegiality and often at the cost of strategic academic leadership.[99] The experiences of local deans mirror those in other higher education systems like Australia, as found in the study undertaken by Scott et al. (2008) and by Greicar (2009) in the United States.

This study reveals a world where deans as traditional academic leaders now have to navigate and negotiate the demands of executive management, which some find particularly challenging. This development is characterised by a clearer distinction between academic and administrative functions. At the University of the Witwatersrand, for instance, with its liberal, progressive English-speaking tradition, academic functions are prominent and there is reliance on some form of collegiality. Johnson (2005, p.292) talks about the demise of collegiality and emergence of 'contrived collegial managerialism'[100] at the University of the Witwatersrand which is a result of the 'collegial discourse from below and managerial pressure from above'. This situation she claims has been exacerbated by the devolved management model introduced at the university in 2001 (Johnson, 2005).

Maintaining the academic/executive equilibrium in this role today is key, as pointed out by another dean at the University of the Witwatersrand.[101] Although this situation is not unique to the University of the Witwatersrand, it adds another layer of complexity to deanship. Deans here appear to be experiencing heightened levels of role ambiguity as they navigate the tensions of an academic culture that prides itself on debate and contestation, especially with 'central management', of which the deans are perceived to be an extension (Johnson & Cross, 2006). Moreover, although devolution comes with greater autonomy and financial independence, internal competition for dwindling resources and increased demands for doing more with less add to the leadership and management complexities at the University of the Witwatersrand.

What the evidence of this study also reveals is that in former historically white Afrikaans-speaking universities, administrative and management functions were more prominent, with greater centralisation of power/authority and strong downward lines of accountability. These practices appear to have been transferred in the merger process, especially where the dominant partner was a former white university (like Rand Afrikaans University), as in the case of the

[98] Interviews with Dean 03-11, Dean 07-11 and Dean 17-11
[99] Interviews with Dean 04-11, Dean 19-11, Dean 18-12, Dean 20-12 and Dean 22-12
[100] 'Contrived Collegial managerialism' refers to a management model in which spontaneity, initiative and voluntary interaction are constrained by management practices, regulations and controls that are geared to promoting efficiency and increasing individual and institutional performance.
[101] Interview with Dean 26-11

newly created University of Johannesburg.

> You see, I think there is an understanding for why it was necessary to perhaps have a lot of processes, bureaucracy, more managerial style perhaps; it was necessary if you take that it was a merger.[102]

But in this environment another dean at the University of Johannesburg points to the frustration of being an executive in name only with limited decision-making authority.[103] This was echoed by their HR director.

> 'I think one of the main ones has to do more with the governance structure above them (Deans) . . . one of their main challenges is that they feel sometimes that when they make certain decisions they can always be overruled by MEC (management executive committee) or some decisions come ready made.[104]

The current state of affairs in relation to executive deanship has seen some institutions, like the University of Pretoria following a change in leadership, adopting a more enabling leadership and management environment for deans with a revised 'corporate framework'.[105] Although the University of Pretoria has not adopted a completely devolved management model like the University of the Witwatersrand, there has been an increase in the delegation of authority for financial and other decision making.[106] Others, like UNISA, have embraced executive deanship in its totality as part of its post-merger re-engineering process, but decision making and resource allocation here remains largely centralised. The deans at UNISA may be 'executive' in name but in practice they appear not to be empowered and enabled in terms of management capacity.[107]

At Tshwane University of Technology and Vaal University of Technology the understanding and practice of 'executive deanship' appears largely notional with these institutions adopting the concept without putting in place the necessary systems and support structures to advance it. Almost a decade into the post-merger era, the narrative and discourse on executive deanship at local universities remains contested, its envisaged outcomes seem aspirational, and overall impact appears to be negligible, in terms of improved efficiencies and effective performance in the sector.

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[102] Interview with Dean 17-11
[103] Interview with Dean 19-11
[104] Interview with HRD 03:12
[105] Interview with Dean 08-11 and LM 02-12
[106] Interview with Dean 08-11
[107] Interviews with Dean 01-11, Dean 03-11 and Dean 04-11

The evidence garnered in this study indicates that the whole-scale adoption of executive deanship without the necessary enabling and empowering organisational framework, leadership commitment and concomitant support for deans has been a failure, in some universities participating in this study. However, there are some cases where 'executivism' may have contributed to improved organisational performance – for instance at the University of Pretoria and the University of the Witwatersrand – but by and large the universities in this study and the sector generally have not benefited from its creation and implementation. What is telling for all institutions participating in this study is how the key performance measures have been reworked to signal this shift towards 'executivism' and performativity as the evidence presented earlier in Sections 5.2 and 5.3 reveals.

5.5 Conclusion

What the literature, data and documentary evidence reveals in this chapter is that, it is in the position of dean where academic leadership and executive management roles intersect but, more realistically, often collide, given its complex changing context. This situation is compounded by the expectations and negotiations around their generally ill-defined role and the multi-layered institutional complexities of the dean's position. The evidence generated in this study suggests a disjunction between the conception and current practice of executive deanship, resulting in a contested discourse in South African universities. It points to a discord between the institutional framing of 'executivism' and the lived reality of deans as academic leaders in practice. This situation has led to an erosion of collegiality in the academe generally and to role confusion, even schizophrenia, amongst some deans, who straddle what appear to be increasing tension and contestations between academia and the executive. Bolden et al. (2008) caution against the implications of this problem and the need for distributed leadership given that academics are key to the success of any institution and as such should form an integral part of its decision making.

Although this phenomenon is not uncommon in universities globally, the extent to which 'executivism' has been conceived and practised locally, especially at the level of dean, adds to the complexities of leadership and management. In a complex and changing higher education system like South Africa, it appears that most deans are navigating and negotiating their roles whilst already immersed in them. For some, this situation appears to be quite overwhelming. The prevailing scenario has resulted in role ambiguity and in some instances role alienation for some deans as academic leaders. Deans need to straddle both academic leadership and executive management roles.

But as this study reveals there is a skewed, imbalanced relationship between the two roles, corroborated by Bolden et al. (2008, p.20):

> What was clear, however, is that some form of balance between top-down (managerial) and bottom-up (collegial) leadership is required. Whilst ideally these should be complementary processes, supporting and reinforcing one another, in reality a tension was experienced between these approaches in our sample.

This occurrence is consistent with the findings of the studies on deanship undertaken by Johnson (2005), Scott et al. (2008) and Greicar (2009). It also appears that as in other higher education systems, local deans are not adequately prepared or supported for this redefined role with its ambiguity, concomitant challenges, multiplicity of expectations, functional negotiations and lack of leadership development support. For most deans neither their career nor background may have equipped them for the managerial requirements of executive office. In a number of instances they take up their position with limited leadership and management training, often no prior executive experience nor a clear understanding of the ambiguity and complexity of their role (Dill, 2001; Gmelch, 2000; Gmelch & Wolverton, 2002; Reason & Gmelch, 2003; Johnson & Cross, 2006; Greicar, 2009; Seale and Cross, 2015). They are often strong academic leaders but are found wanting when placed in an executive modality with its concomitant complexity as experienced in the South African higher education setting (CHEMS, 1997; Cloete et al., 2000; Fielden & Gillard, 2000; Kulati, 2001; Brunyee, 2001; Jansen et al., 2002; Kotecha, 2003; Seale and Cross, 2015). The leadership and management context of deans in local higher education has significantly influenced their ability to comprehend and effectively perform their roles, in a system noted for its uncertainty, complexity and transitional nature.

As illustrated here, in the literature cited, documents analysed and interviews of this study, the local higher education system and institutional setting is dynamic, in flux and requires more adept, flexible responses to leadership and management for deans. But as the next chapter reveals, this may not be the case as the actual journey to deanship and the lived experiences of deans point to a context characterised by under-preparedness and a general 'adapt or die' approach to access and practice, which is having a significant impact on this crucial role in local universities.

CHAPTER 6: BECOMING A DEAN IN SOUTH AFRICAN HIGHER EDUCATION – TALES, TRIALS AND TENURE

6.1 Introduction

For the most part, deans are academics first, notable for their scholarly pursuit and prowess and not their executive acumen, in which most of them have not been formed or schooled. As shown in the literature and the data in this study, they emerge from a traditional collegial space and are catapulted into the relatively unknown domain of executive management with its related demands and challenges (Gmelch, 2003; Johnson & Cross, 2006; Scott et al., 2008; Greicar, 2009; Seale and Cross, 2015). Deans in South African universities, like their global counterparts, face the complexities of change and an ever-increasing requirement for operational efficiency, with declining resources. In addition, they are confronted with unique contextual determinants such as role ambiguity and conflict, and competing demands from a multiplicity of stakeholders. From the literature, documentary evidence and data gathered in this study it appears that they are not coping. Moreover, their current systemic and institutional environment may not be sufficiently enabling and supportive for either individual or organisational success (Cloete et al., 2000; Jansen et al., 2002; Kotecha, 2003; Johnson & Cross, 2006; Seale, 2010; Seale and Cross, 2015).

Although the factors informing these developments may be plausible in a dynamic, changing and competitive environment, it is in their institutional implementation that the problem lies. Deanship in this environment it appears requires a different response, new knowledge and a distinctive skills set. In other more established and stable higher education systems, like the United Kingdom and Australia, there has been recognition of this particular challenge resulting in an increased interest in, and changing attitudes towards, leadership and management in their universities (Scott et al., 2008; Bolden et al., 2008). But, as this chapter contends, deans in South African universities today appear to be ill-equipped for their critical role in terms of their background, knowledge, capability and prior experience. What emerges from the deans' own narratives is that in many cases their transition from academic leader to executive manager was particularly challenging and in some instances quite traumatic, especially in the universities experiencing leadership and management crises.

Key issues covered in this chapter include: (i) deans' motivation and transition into deanship; (ii) what they bring to the position; (iii) preparation for and support provided in this role; (iv) functional requirements, power and authority; and (v) life after deanship.

6.2 Journey to deanship

As pointed out earlier by Gmelch (2003), Johnson and Cross (2006), Scott et al. (2008) and Greicar (2009), deanship in the contemporary university is evolving and its requirements for adept leadership and effective management are becoming more prominent. Bolden et al. (2008) identify various influencers and drivers which impact on the ongoing changes and the transition from academic to the executive role that is characteristic of deanship in universities nowadays, as outlined in Table 3 below.

From		To
Three typical routes to leadership and management (Deem, 2001)	→	**Great diversity of routes to and motivations for leadership and management**
Reluctant manager initially	→	**Career manager over time due to enjoyment of the role, power, research pressures**
Limited interest in leadership and management owing to cultural and organisational barriers	→	**Despite barriers, increased interest in leadership and management roles**
Defined roles and portfolios for DVCs/PVCs	→	**More fluid roles, negotiated on individual basis due to context, priorities, strategy, career tactics and to retain/recruit the best leaders**
Deanship and headship as 'operational' and 'administrative', a steward	→	**Deanship and headship is more strategic and empowering, a leader**
Amateur leaders and manager-academics	→	**Need to 'professionalise' leaders and manager-academics**
Academic excellence as the primary selection criteria	→	**Selecting on 'Four C Leadership Higher Education' including credibility, capability, character and career tactics**

Table 3: Taking up key leadership roles: Bolden, Petrov & Gosling, 2008, p.38

The above patterns emulate occurrences in South African higher education as a result of global influencers but there are also local drivers such as transformation and its regulatory implications, dwindling funding, demand for accountability, performativity measures, career management for executives, and implementation of 'executive deanship' as expounded on, in the previous chapters. As the reader will note in the sections that follow, these developments have had a profound impact on how deans are appointed, their leadership journeys and what they bring to or lack for this critical role in the academe. In her doctoral study on deans, Greicar (2009) found that

> The typical Dean has been a faculty member for at least ten years having survived the tenure review process by demonstrating scholarship and teaching effectiveness in his or her academic discipline as well as service to the institution (Greicar, 2009 p.4).

According to Carroll (1991), academics spend, on average, 16 years in their discipline before venturing into academic leadership. The question he poses is how do academics after this period of formation and socialisation make a successful transition into academic leadership positions, like deanship? Like their counterparts in other higher education systems, local deans find this to be the hardest part of the job. For most, if not all of them, their formal schooling has been in academia with its individual focus and performance requirements. Taking on the role of dean entails moving to an executive domain with its emphasis on achieving the strategic 'big picture' goals, and responses to a much wider and a very demanding collective.

As mentioned in Section 5.5, the disjunction between their background, understanding and role preparation or lack thereof, as evidenced in this study, has major implications for their leadership and management capability. In fact, it may appear as if they are being set up for failure and, more worryingly, are being alienated in an executive role whose requirements for success they have not been adequately prepared for.

A national study of new deans and directors in the United States undertaken by Gmelch and Seedorf (1989) and Gmelch and Parkay (1999) may cast some light here. It identified salient patterns that characterise this 'metamorphosis' of academic to academic leadership that is typical of deanship which point to its social dimension, engagement with diverse role players, accountability requirements, increased bureaucracy, public focus, need for persuasion and negotiation, career mobility, custodianship and performativity. Although there is a broad recognition of the need for more flexible and appropriate responses to leadership and management in the academe, the literature and documentary evidence reveal a disjunction between the environmental and institutional demands of deanship and the incumbents' access to and preparation for its executive dimensions (Gmelch et al., 1996; Bolden et al., 2008; Scott et al., 2008; Greicar, 2009; Seale and Cross, 2015).

So, one might ask, what does this mean for deans in the local setting?

The table below summarises the qualifications and experience of 18 of the 26 deans who participated in this study.

Id Code	Qual.	Former Positions	Professorial Appointment	Management Exp.	Dean Term
Dean 1-11	PhD	Professor, Director, D-Dean	2005(6yrs)	6yrs	3yrs
Dean 2-11	PhD	Professor, Director	2004(7yrs)	3yrs	3yrs
Dean 4-11	LLD	Professor, HoD, PVC	2007(4yrs)	7yrs	2yrs(NUL) 1.5yrs(NWU) 4yrs(UNISA)
Dean 5-11	PhD	Professor, HoD, V-Dean	2001(10yrs)	6yrs	2yrs
Dean 8-11	MSc(Med) DoH	Director, DDG, Professor	2000 (11yrs)	8yrs	1yr
Dean 10-11	DD	Minister, Moderator, HoD, D-Dean	2005(6yrs)	10yrs	1yr
Dean 11-11	PhD	Professor, Director, Project Mgr	2011(1yr)	5yrs	5yrs
Dean 12-11	DEd	Professor, HoD, Act-DVC, Director	-	12yrs	4yrs(TNG) 6yrs(Tshwane University of Technology)
Dean 13-11	DTech	Professor, HoD, Manager	1998(13yrs)	9yrs	9yrs(TPta) 7yrs(Tshwane University of Technology)
Dean 15-11	PhD	Professor, HoD, Act-Dean	1991(20yrs)	14yrs	5yrs
Dean 16-11	DEd	Professor, HoD, D-Dean	1999(12yrs)	4yrs	4yrs
Dean 19-11	MCom	Professor, HoD, Project Mgr	-	6yrs	4yrs
Dean 23-11	PhD	Professor, HoD	2003(8yrs)	3yrs	4yrs
Dean 24-11	PhD	Professor, HoD, Ass-Dean	1999(12yrs)	5yrs	3yrs
Dean 25-11	PhD	Professor, HoS, Ass-Dean	1991(20yrs)	10yrs	1yr
Dean 26-11	PhD	Professor, HoD, Act-Dean	2003(8yrs)	4yrs	5yrs
Dean 20-12	LLD	CEO, Professor, V-Dean	2011(1yr)	6yrs	4yrs
Dean 22-12	PhD	Professor, HoD, V-Dean	-	5yrs	1yr(NWU) 2yrs (Vaal University of Technology)

Table 4: Qualifications and experience of deans in Gauteng universities

What the table shows is that all of the deans bar one came through the traditional pathway in academia as senior lecturer, professor, head of department/school, and then dean. Some were acting deans and assistant/vice-deans before their appointment as dean. In terms of prior senior academic experience at professorial level, the average length of time was 9 years. The average length of time in related management experience amounted to 7 years. Their average term of office was 5 years. Interestingly, this data reveals some similarities with the findings of Carroll (1991) and Greicar (2009) with regard to deans in the United States.

However, there seems to be quite a significant variation in their prior management experience for deanship of between 3 and 15 years, as the above table shows.

Deem (2001) identifies three routes into management for academics like deans. The first is the career track route, where an early decision is taken to pursue a management role. The second is the reluctant manager route. The third is what Deem (2001) coins the 'good citizen' route, where an individual chooses to take on a more senior management role, usually at quite a late stage in his or her career, in order 'to give something back' to their institutions. Deem (2001) suggests that the last route may be declining, as manager-academic roles now occur earlier in careers. As corroborated by Deem (2001) and the study undertaken by Bolden et al. (2008) in UK universities, the data in this study reveals that most local deans have followed the first two routes to deanship. But, say Bolden et al. (2008), the actual situation is not as clear cut as it seems, with individual motivations changing over time (e.g. from reluctant manager to career route as the person finds that he or she enjoys and is good at management and leadership) and often coinciding alongside one another (e.g. the reluctant manager being persuaded to take on the role out of the urge to be a 'good citizen' and concern about what would happen to the academic unit, if they didn't). This experience typifies the leadership stories of the deans who participated in this study.

From the interview data it appears that taking up the role of dean locally was for most a natural progression in their leadership journeys, along the lines of Deem's (2001) first route, which is the career track route.

> . . . I am one of those people that went through every academic rank from lecturer to senior lecturer to professor to head of department to deputy dean and now dean. So I think I never found myself in a situation where I moved from one academic level to the next academic level without being actually prepared for it. I fortunately was not one of those people who made demands for early promotions so I spent a fair amount of time at each level, 5 years typically at each level, so that I gained the necessary competence and skills at each level. For the position of dean, I think it was most probably the easiest transition of all. For me it was very natural.[108]

> My leadership journey probably started in primary school when I became class captain, I was a prefect in high school, I was chairing committees and taking part in the school journal and all of that; I think it is opportunities that you come across, and you utilise

[108] Interview with Dean 24-11

> those opportunities and you learn. My leadership journey . . . well it is difficult [to describe] because it was in different positions. I was course coordinator and I coordinated the teaching of accounting, but I suppose where the first formal cycle came from in my leadership journey in academic leadership was when I became head of the department of accounting. Then that was subsequently followed up when I became acting head of taxation and then later on dean of the faculty.[109]
>
> When I started to work I was leading a laboratory and then as I grew up in that system I later became the academic leader of a whole area. I became head of school, head of department and I came here in 2003 as a professor in electrical engineering. Before that, about the end of 2001, [mentions name] called me to ask me to consider taking up the job as dean of the faculty. At the time I was not quite ready in my mind for that, so I declined and later before I came to this, I was offered two other deanships because of my interaction with my profession. So then in 2006, while I was here, I was acting at the faculty and in 2005 I had an opportunity to participate in this Frontiers Programme that the university ran for 10 staff members. Quite a number of us landed up in all kinds of positions, heads of department, deans.[110]

For these deans it was a conscious decision to plan and progress through the 'ranks' in academia towards deanship. Other deans in this study followed the second option in Deem's (2001) typology, which is the 'reluctant manager route'.

> I never in my whole thinking planned that I wanted to be that [a dean]. So it is more an honour for me to live and drive the strategic aspects or core issues in the environment that I work [in] that actually crystallise out amongst my colleagues, to show that there is something special there to follow. From that sense it happened very naturally that I got into those positions.
>
> I have all the time been approached to apply for the dean's position so it is not that I mapped my life out and decided that I want to become this . . . I saw in my life that for many years I built my own CV and created strengths around myself, but at a stage in my life working with young people and colleagues, I got the impression that I have some sort of urge to actually work on other people's skills; to create environments for other people to excel in their own doings. I think that for me is a critical thing about

[109] Interview with Dean 09-11
[110] Interview with Dean 26-11

> leadership, if you can somehow shift the focus from yourself to creating an environment for other people to grow and develop into well-established scientists.[111]

For some deans this journey was influenced in part by 'bad' leadership experiences:

> My biggest learning experience in terms of management and leadership is the worst boss I ever had. He taught me exactly how you do not treat people.[112]

For others it was their involvement, in this instance, in the merger processes as reflected on by the dean below.

> Then after that I moved to being a senior lecturer at Midlands. The big step was when I went to TSA as the chair of the department. I was basically a one-man department which taught me all sorts of skills, which had nothing to do with leadership but had to do with finances. That is a huge skill, how to actually fit everything into one bag. From there, the dean at the school resigned and I got the six-month acting post. Perhaps because I have an opinion, so if I sit in a meeting and there is a problem, I put up my hand and . . . say this is the problem why don't we solve it this way . . . that is just my science mind of things. So they say, that is great, you are on the task team. It is . . . because you speak up [that] you end up being on the task team. When it came to the merger I ended up being the merger manager for the distance education portion of UNISA. That was great because I was mixing with all the hierarchy of both institutions on a daily level. After the merger I was a director and [when] my predecessor unfortunately passed away I inherited his job.[113]

Then, as mentioned by Deem (2001), there are the deans in this study who followed the 'good citizen' route, albeit at first by default or perhaps 'decree'.

> I never ever envisaged moving into a management and leadership position. My vision for myself was to be this great academic and to be this professor who does this wonderful research and will make an impact in terms of teaching. Then the merger happened . . . as you very well know, and then the dean's position became available. Again I was approached by many colleagues to make myself available.[114]

[111] Interview with Dean 06-11
[112] Interview with Dean 05-11
[113] Interview with Dean 03-11
[114] Interview with Dean 16-11

> . . . Then it just happened, I became HOD and then I became dean. It was never that I had this goal that I wanted to become dean. All that happened in my life is that doors were opened. I took all of the chances that I got in life, and up until now I have enjoyed my work very much. I am very passionate about my work and if I am passionate, I think I do it good, and then doors just keep on opening for me.[115]

> I had just started with a doctorate then and only one internal person applied for the job and that person was the director of the school of sciences. The afternoon after the interview myself and a colleague were talking to him in his office, how did it go and so on, and his secretary called me and said I have to go to the vice-chancellor's office for an interview. I thought 'what interview?' I did not apply for a job. I went for the interview and they said they wanted another internal candidate to apply, so that is what I did. The next morning they called me in and said you have been appointed, you have been given the job.[116]

For the participants in this study the call to deanship has taken different forms and followed various paths. What emerges from their leadership narratives is the common refrain of commitment to serve the university and thereby advance the academic project. The leadership journeys of local deans are not dissimilar to their counterparts in other higher education systems. As seen earlier, their passage to deanship broadly fits the categories identified by Deem (2001) in terms of the career track, management and 'good citizen' routes.

But, although unstated, there appear to be other motivators such as increased power to influence a broader range of disciplines and the economic incentive in line with the study undertaken by Bolden et al. (2008):

> As managerial power is very much tied to budget-holding positions within the university, some interviewees were quite frank in saying that they enjoyed the power and influence the Deanship/headship gives them (p.29).

Albeit tacitly, this was confirmed by some of the deans in their interviews for this study.[117]

Unlike other more developed higher education systems in the US and UK, it seems that deanship

[115] Interview with Dean 19-11
[116] Interview with Dean 13-11
[117] Interviews with Dean 06-11, Dean 14-11 and Dean 23-11

locally, although more challenging given the unique complex leadership and management context, provides better financial returns than academia. The related economic rewards is for most an incentive for building their cash position, especially for those intent on advancing their careers in management or moving towards retirement. No matter what the individual drivers are for taking up the position of dean, it appears that for most this formed part of their career plan at the university and is seen as a stepping stone for other executive positions, a return to academia as a professor (some universities have put in place policies in this regard) or retirement. The underlying motivation for them all appears to be that of service to their university during this phase of their career but, as the reader will see later, this is sometimes at a huge professional and personal cost.

Having provided a brief overview of the leadership journeys of deans in the local university and seen how this compares with the experiences of their peers in other settings, what appears to be a common phenomenon for all is the lack of preparedness and inadequate support for this critical role, as the next section reveals.

6.3 Preparation and support for deanship

As seen earlier in Section 5.4, most new deans seem not to possess the necessary competencies to effectively lead and manage their faculties. They often assume their role with minimal understanding of the responsibilities it entails. Greicar's (2009) study reveals that

> This lack of professional preparation in the development of an academic Dean is the most common practice and is widely accepted at all higher education institutions regardless of their Carnegie classification (p.5).

Moreover, Greicar (2009) found that many deans fail to recognise that the position consists primarily of administrative tasks, with little time for scholarship. Bolden et al. (2008) concur with this finding and point to the choices deans often have to make about a future career in either management or research, with most opting for the former. This situation is exacerbated by the manner in which deans transition into and are prepared for the requirements of this role, especially in local universities.

From the evidence gathered in this study it appears that deans in local universities are more often than not dropped into the deep end, where they either sink or swim. Similar to the situation in the United States referred to earlier by Greicar (2009), at all the universities in

Gauteng there was no or very little preparation for this critical role as illustrated in the following comments from deans.

> In principle, you are supposed to go through an induction especially in an environment which is different from any other universities. I however started together with three other colleagues and support forgot to put us through the induction. So we found ourselves [scampering] and not even knowing what to get from where. I was left to my own devices. It was traumatising.[118]

> There was none [induction]. I walked in one day and the next day I was up and running.[119]

> You know [that] I am going to serve my second term as executive dean in January. I am still waiting for my induction. I was just given the keys to this office. The phone started ringing off the hook and I had to show up for a said meeting, that was it.[120]

> We were not trained in this. There was no induction so I just shaped the job as I went along.[121]

> But we did do an academic deans workshop like a management workshop . . . for five full days. It was a bit of an orientation on how you lead and on conducting meetings and things like that. Beyond that there was no formal induction.[122]

Some deans derived support from the similarity of a position and context they shared, particularly as new deans,[123] while others drew on previous experience as acting deans.[124] For some deans, job-shadowing helped them to understand the requirements of the job,[125] drawing on lessons learnt in a previous positions, especially experiences of poor leadership and bad role-modelling.[126] Others relied on the executive and administrative support provided,[127] and their dogged determination to survive in particularly challenging contexts kept them soldiering on.

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[118] Interview with Dean 04-11
[119] Interview with Dean 09-11
[120] Interview with Dean 23-11
[121] Interview with Dean 26-11
[122] Interview with Dean 22-12
[123] Interviews with Dean 03-11, Dean 16-11 and Dean 19-11
[124] Interview with Dean 03-11
[125] Interview with Dean 19-11
[126] Interviews with Dean 05-11 and Dean 26-11
[127] Interview with Dean 09-11

> You are just thrown in the deep end and you must swim, that's all. Especially in those days [when] we still had our previous rector, he was autocratic. You are not allowed to open your mouth and . . . this is the way he wants to manage the university. That was very difficult for me.[128]

Over and above induction woes, some deans had to deal with the outsider dimension which created its own particular challenges[129] but, for one dean, dealing with colleagues who were unsuccessful candidates for the position, presented its particular problems too.[130]

Given their experiences, deans were unanimous in the interviews on the need for some form of induction/orientation at the start of their tenure.

> I think if you really want to have a proper induction/orientation programme it must consist of at least a minimum of a week of activities. Then the person should go back to his/her activity, come back three months later because they now have a perspective; and then be given a more intense induction. [131]

According to the respondents, this induction/orientation should address the 'big picture' in higher education and its contextual realities,[132] be informed by the faculty strategies and objectives,[133] focus on its governance, leadership and management implications[134] and also specific financial and human resources related issues.[135]

Over and above the need for initial preparatory training it became clear that many of deans participating in this study were able to manage the requirements of the job with the assistance of support networks, especially during the initial stages.

> I think we are the faculty where I have enormous support from my HODs and my line management. I have good support from line managers as well, the DVC Academic, Research etc. So I really have a strong network that I can draw on and it is very nice.[136]

[128] Interview with Dean 20-12
[129] Interviews with Dean 02-11 and Dean 05-11
[130] Interview with Dean 09-11
[131] Interview with Dean 24-11
[132] Interview with Dean 17-11
[133] Interview with Dean 22-12
[134] Interview with Dean 20-12
[135] Interview with Dean 23-11
[136] Interview with Dean 18-12

For one dean in particular having a group of 'advisers' assisted with keeping in touch with the faculty climate and what was happening on the ground.[137] At the University of the Witwatersrand, the University of Johannesburg and the University of Pretoria deans have an informal forum where they discuss areas of mutual interest and learn from shared experiences.[138] For some, drawing on the experience of previous deans was helpful.[139] Most deans are members of external disciplinary based networks that provide a platform for consultation and engagement.[140]

Preparation for and initial introduction to deanship for the deans participating in this study was not ideal; in fact for some the experience was quite harrowing. This points to and confirms not only the lack of preparedness for the job as mentioned by Greicar (2009), but also the difficulties they face when starting out. This is problematic and may be one of the root causes of the 'leadership crisis' unfolding in South African higher education which was referred to by Cloete et al. (2000) and Jansen et al. (2002). Moreover, the situation is exacerbated by the introduction of executive deanship which has not for the most part, delivered the anticipated results in terms of more effective leadership and efficient management by deans. In fact it has added additional pressures to an already complex and changing institutional leadership and management environment.

What this indicates is that adequate and appropriate preparation of deans for their key position is critical and if it is not addressed it will result in some of the experiences related above by the deans who took part in this study. Of equal importance, and what the next section addresses, are the functions, power and authority of deans in the contemporary university bearing in mind the redesigned role and additional executive dimensions which have been given equal, if not greater, prominence over academic leadership in some institutions.

6.4 Functions, power and authority of deans

Heck et al. (2003) describe the dean's position as having seven dimensions, which include vision and goal setting; management of an academic affairs unit; interpersonal relationships; communication skills; research, professional, and campus endeavours; quality of education in the unit; and support for institutional diversity.

[137] Interview with Dean 25-11
[138] Interviews with Dean 24-11, Dean 19-11 and Dean 10-11
[139] Interviews with Dean 20-12 and Dean 25-11
[140] Interviews with Dean 17-11; Dean 19-11 and Dean 26-11

There is also a recognition in the position profile of deans of the contextual challenges relating to change and how this impacts on deans, as outlined in the position profile at the University of Saskatchewan.

> The Dean functions in a highly demanding environment that requires constant scanning for issues and challenges against multiple priorities and demands on limited resources. The work is of high volume and is complex. Decisions ranging from the mundane to critical are required on a routine basis. The Dean, in consultation with the Provost, is responsible for determining the nature and extent of academic activities in which s/he engages during his/her term. [141]

All six universities which form part of the present study had specific requirements in terms of the knowledge, skills and experience required by deans. An analysis of their roles and responsibilities reveals that their broad areas of responsibility include academic leadership, general managerial skills, strategic thinking and people management. Of interest in this study is how this role is described in terms of its academic leadership and executive management components.

Following a major restructuring exercise undertaken at the University of the Witwatersrand in 2001, the institution merged its nine existing faculties into five. Coupled with this development was the introduction of a devolved management model, which was alluded to earlier (see Table 2, p.115), that resulted in more independence and authority for deans.

> While the Dean will be a member of senior management, he/she will also be the leader of the faculty and present the concerns and interests of the faculty to the central management team.[142]

The requirement of academic leadership for deans features both internally and externally at the University of Pretoria and the Tshwane University of Technology.[143]

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[141] Job Profile for Deans at the University of Saskatchewan: Implemented in 2005 with editorial updates in April 2008

[142] Deans: Functions, Responsibilities and Competencies, University of the Witwatersrand, C2006/498, 8-12-2006

[143] Management Structures of Faculties and Departments: Tshwane University of Technology. nd.

> As an academic leader, a Dean is responsible for the efficient management of the faculty and as such is part of the senior management team of the University, which team acts in the interests of the University as a whole, the faculty and all those concerned.[144]

There is also the 'bridging' function deans perform at Tshwane University of Technology between the 'university administration', the faculty and external stakeholders. The job description of deanship at Vaal University of Technology provides a similar picture.

> The Executive Dean is responsible for the leadership and management of a Faculty that consists of various academic departments with all its areas of activities in accordance with the operational policies and frameworks of the Vaal University of Technology and with due consideration of the Vaal University of Technology's vision and mission. Within the organizational framework the executive Dean reports directly to the Deputy Vice-Chancellor: Academic (Vaal University, nd).

At UNISA there appears to be more emphasis on 'executive management' in the description of the dean's responsibilities. This is in keeping with UNISA's adoption of the college model and introduction of 'executive deanship' following their merger with TSA.[145] The analysis of the performance agreements for deans participating in this study reveals a greater focus on the management requirements as opposed to academic leadership. The weighting of leadership in the dean's position generally is low (about 10%) which is an area of concern given the need for strong academic leadership at this level.

The Key Performance Areas (KPAs) of deans generally place more emphasis on the systemic and resourcing requirement (e.g. finance, technology) for effective performance and is deficient in the people management dimension of deanship, a key requirement in a knowledge organisation. This may be an area of concern since deans nowadays need to pay more attention to the people-related requirements of leadership, such as building trust, collegial relationships and effective communication.

However, the focus in the design of performance management policies and tools for the deans who participated in this study appears to be largely directed towards 'executive' or 'managerial' measures.

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[144] University of Pretoria Regulation and Procedure for the appointment of Deans and Deputy Deans (R 20/11)

[145] RMH Moeketsi, Performance Agreement, UNISA, 1 January – 31 December 2012

Equally important for deanship is the institutional support provided by deputy/vice/associate deans in areas such as research and post- and undergraduate studies. Given the size of the institution and its management model, UNISA has put in place deputy deans to support their deans. This practice also assists the university with its succession planning endeavours. The University of Pretoria and the Tshwane University of Technology have adopted a similar approach. At the University of the Witwatersrand there are no formally appointed deputy deans but similar functions are carried out in the faculty by a head of school or senior academic appointed by the dean for this purpose. At Vaal University of Technology there are no deputy deans.

As far as institutional support is concerned, at UNISA, the University of the Witwatersrand, the University of Johannesburg and the University of Pretoria, deans are provided with expertise and support in management areas such as human resources and finance. What this means is that they can focus more attention on strategic academic leadership and not expend too much time on management functions. The University of the Witwatersrand has a devolved management model where a full-time business manager provides operational advice and guidance to the dean and the faculty. The type of operational support deans receive is key to whether they will be able to cope with the onerous administrative requirements of the job, on which many spend most of their time.[146] This is sometimes at the expense of providing appropriate strategic academic leadership as shown by Bolden et al. (2008) in their study.

Kets de Vries (1991) observes that being a power-holder in a top leadership position influences the way an individual thinks and behaves. Bedeian (2002) applies this to deanship and mentions that real dialogue is no longer tolerated as the dean focuses more on maintaining a high public profile than engaging with colleagues on their decisions. He refers to this phenomenon as the 'Dean's disease', 'a malady that may be irreversible and potentially fatal' (Bedeian, 2002, p.164). He is quick to point out that although this does not apply to all deans, it may apply to many even in higher levels of university administration. There are three main elements related to Bedeian's 'Dean's disease'. First, deans influence their staff because of the resources they control. This control of resources becomes manifest as deans exercise both coercive and reward power. Coercive power is characterised by the use of verbal threats, confrontation, and punitive actions to force compliance from staff. Reward power involves the capacity to provide outcomes such as salary increases, promotions, favourable teaching

[146] Interviews with Dean 04-11, Dean 19-11, Dean 18-12, Dean 25-11, Dean 20-12 and Dean 21-12

assignments, praise and recognition. However, Bedeian falls short in his analysis of power for deans by omitting the other three forms of social power identified by Bertram Raven (2008), namely legitimate, referent and expert power. The first may have been applicable in the erstwhile, traditional conception of deanship, whereas nowadays the last two are more desirable and appropriate. This is evidenced by what some deans in Gauteng universities had to say on managing the power and politics related to their position.

> For sure there is definitely more power if you call it that in the job of a dean opposed to a HOD. Especially in a big organisation like this, there are many departments but there are not that many Deans.[147]

> Some would create the position as being on a pedestal, this sort of almighty person. I will not forget in the early years I asked a staff member to come and see me and he said, what did I do wrong, I am being summoned to the dean's office.[148]

> I think the greatest area of leadership for deans is in the academic domain, and therefore I think you will also find that deans normally have the highest qualifications in the area or faculty where they meet, so it is very important that they have legitimacy with their own staff. That legitimacy comes mostly from their academic career.[149]

> You need to gain the respect of your team, not from the status office but from the added value you brought to the portfolio.[150]

> One has to provide academic leadership all the time, and that is one of the reasons why one needs to know exactly what your area is all about, internationally and nationally, so that you don't bumble along.[151]

According to Bedeian (2002), the second reason why the 'Dean's disease' may occur is as a result of being heaped with flattery and caught in a style-over-substance morass, overloaded with 'strategic praise' from servile associates (Stengel, 2000, p.14). This appears to be the case too for local deans.

[147] Interview with Dean 17-11
[148] Interview with Dean 13-11
[149] Interview with Dean 09-11
[150] Interview with Dean 08-11
[151] Interview with Dean 26-11

> We also have a godlike complex (referring to academics) so my real problem there is how do I manage this seeing the godlikes saying to me beautiful things and they're not.[152]

A third reason the 'Dean's disease' may occur is that the control of resources requires that deans adopt a morality consistent with the power associated with this control. As Kipnis (1976) explains, because 'unchallenged power brings psychic as well as material rewards, it is not surprising that those in power wish to maintain this state of affairs' (p.174). As a result, commonly held values and norms are ignored when they interfere with the preservation of power. But, say Rosser et al. (2003), although deans have achieved remarkable power and status, there are many signs pointing towards an ebbing of these powers. The evidence acquired in this study confirms this, especially in the universities which still have an established hierarchy and deans are not part of the executive team, such as UNISA, the University of Johannesburg, Tshwane University of Technology and Vaal University of Technology.

6.5 Tenure and transition

Depending on the individual university's policy, deans mostly serve for a limited period of time between 5 and 10 years. In the United States the average length of service for deans was 6.6 years (Gmelch et al., 1999).

Greicar's (2009) study reveals that when most deans complete their tenure, they are at retirement age. Deans at universities in Gauteng serve for fixed-term contracts of either four or five years, which may be renewed based on performance. No sector-wide data is available on their actual average length of service. For most of the deans who participated in this study, their position was based on a five-year fixed-term contract, except for the University of Pretoria where it is four years, with the option to renew for another term, which the majority take up. However, there were some exceptions. At Tshwane University of Technology the deans serve one five-year term and the appointment terminates after this period.

> The bad thing in the university is that there is no fall back. I would love to be a professor, I must say, but then I should be able to say after five years, thank you, I have been there, done that, bought the T-shirt and now just want to go back to academia. We do not have that.[153]

[152] Interview with Dean 25-11
[153] Interview with Dean 13-11

For deans at the Vaal University of Technology there was no limit placed on the number of periods for renewal of their term; this was dependent on the individual's performance, approval of the line manager and their council. Deans at the University of Johannesburg normally serve a maximum of two terms but their appointment may be extended for a further five years. This policy is applicable for all senior management positions at the University of Johannesburg. From the interview data it appears that most deans have progressed through the academic ranks and were insiders, appointed from amongst their peers.[154] Given the timeframe and transitionary nature of deanship, the issue of career planning and management becomes a key requirement to ensure an efficient return to academia or further pursuits in the executive management domain. Equally important, as alluded to earlier in Chapter 5, is the preparation and support deans receive for this crucial position, as Greicar (2009, p.4) points out.

> Without adequate preparation, academic Deans rarely have the time to develop a philosophy of their role and goals.

Gmelch's (2002) study in the US reveals that serving the maximum term, which is ten years, takes its toll on deans. They tend to disengage, particularly in the area of 'direction setting' in the faculty. This disengagement may signal an intention to change which can either result in a move back into academia or into another management position. It is important here, says Gmelch (2002), that this situation is not left to chance but receives careful planning to ensure the successful development of the next generation of leaders in the academe. This need was echoed by a line manager at a university in Gauteng who was facing this dilemma.

> What I am saying is it depends on whether somebody decides that they will give up their academic career or they will try and maintain it, which means therefore that after the end of their term they will go back into active academic life.[155]

From the documents reviewed and the data generated by this study it appears that at the universities in Gauteng most deans return to academia following their tenure.[156] Often the decision to return to academia is a result of burn-out due to the high stress levels experienced by deans (Gmelch et al., 1999; M. Wolverton, Wolverton, & Gmelch, 1998). But strategic academic leadership is also about knowing when to move on.

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[154] Interview with Dean 17-11
[155] Interview with LM 04:12
[156] Interviews with Dean 04-11, Dean 16-11, Dean 19-11, Dean 23-11 and Dean 20-12

> It is not only about what you have done for the faculty, but it is also about your own journey of development and learning. One of the dangers, I think, of leadership is that a leader can quite often revert back to a comfort zone and revert back to the known. At the end of my two terms, I felt, on the one side, that it was in the best interest of the faculty to have somebody with new eyes and energy, and on the other side I felt that the time had come for me to take on a new challenge and to go on a new learning curve.[157]

There are deans who do not return to academia but rather advance their careers in the executive,[158] while others are weighing up their options in terms of career advancement:

> Well there are various options. I insisted that my academic position – to which I have to return . . . be confirmed. The other option is to continue as dean for a second term if the faculty wants me to continue and if the university sees it fit to appoint me for a second term. The other option is to wait and apply for positions at DVC level that become available.[159]

> I have some possibilities; one of my possibilities is I can fall back into the department as a professor. That is obviously one option, but I am seriously repositioning myself after deanship to most probably start a consulting company.[160]

Other deans still see contributing to the academic project at the end of their terms where required as the determining factor,[161] and then there are those whose plans include retirement.[162]

From the interviews with the deans in this study it is clear that their positions are viewed as transitionary, a diversion or a stepping stone for career advancement. This view was corroborated by a human resources director:

> The fact is that a Dean has only two terms at best and then they return to previous academic roles as a professor or whatever rank they were in before they got appointed as dean. So it is a matter of career planning [which] in a classical sense means that

[157] Interview with Dean 09-11
[158] Interviews with Dean 26-11, Dean 22-12
[159] Interview with Dean 24-11
[160] Interview with Dean 18-12
[161] Interview with Dean 09-11
[162] Interview with Dean 07-11

> people are heading up for some higher calling. So capacity or career development for me would be maybe developing a pool of potentially appointable DVCs and VCs from the ranks of the deans.[163]

What the documentary evidence and data reveals is that career planning and management appears to be missing from the current episodic approaches to leadership development for local deans. For instance, three of the deans interviewed at the University of Witwatersrand, have since the study began, taken up new positions as Deputy Vice-Chancellors. In all three cases they have been replaced by former Heads of Schools through an open competitive selection process at the University. However, what seems apparent from these examples is that their career choices were not informed by an institutional succession and leadership development plan, but rather by the opportunities provided for promotion, personal preferences and ambition, in keeping with Deem's (2001), career advancement routes.

Gmelch (2002) found that the ongoing pressure to balance demands for performativity with intellectual integrity and responsiveness was particularly overwhelming for deans. In more established university systems, such as those in the United States, some commentators predict a decline in the number of candidates for senior management positions, particularly at the level of dean (Gmelch, 2000, 2002; Gmelch & Wolverton, 2002; Land, 2003; Murray & Murray, 2000). This is not surprising since most, if not all, are academics at heart. Some of the advantages of deanship include more power and authority, improved status and increased financial benefits (Scott et al., 2008; Bolden et al., 2008). The main disadvantages however relate to, in some instances, total detachment from their disciplinary area of expertise, 'academic alienation' and diminished professional credibility (Scott et al., 2008; Bolden et al., 2008) Having recognised this as a challenge and institutional risk, most universities in Gauteng have instituted policies and practices that focus on the career aspirations of deans or reintegration to academia, depending on the individuals' choices. However, to be more effective these plans must be integrated into the individual's and institutional leadership development strategies.

6.6 Conclusion

It is evident as illustrated in this chapter that unique local challenges coupled with global drivers place tremendous demands on the changing role of deans in South African universities.

[163] Interview with HRD 04:12

As this chapter has shown, some deans in the universities participating in this study appear to be ill-equipped for their critical role in terms of their background, knowledge, capability and prior experience. Although many have followed the traditional academic leadership advancement role from senior academic, to head of department, then head of school, it appears that most respondents are not adequately prepared for next level, deanship. From the narratives of deans as academic leaders formed and schooled in the intellectual enterprise with its collegial traditions, we note a dislocation from this familiar and secure environment into the relatively unknown domain of executive management with its related demands and challenges. For some this transition has been successful but for others it was quite traumatic. Given their career aspirations and plans, deanship for some is a transitional phase before returning to their first love, academia. For others, deanship is part of their diversion into the management/administration track. No matter what the motivation is for taking on this challenging – and in the South African setting quite an ambiguous role, the deans participating in this study appear to be struggling and in some cases not coping with the demands of the job.

It seems that deanship in the complex, changing local environment requires a different response, new knowledge and a distinctive skills set which focuses on both strategic academic leadership and executive management in a reconfigured role, as well as being cognisant of its power and political dimensions, in the South African setting. What this means is that as part of their preparation and support during their tenure, there is a need for the instillation of the requisite capacity so that deans can become more effective academic leaders and managers. This situation is further exacerbated by the recognition that in order to survive and be successful in a changing, complex and competitive environment, performativity measures will form part of its determination and implementation.

Aligned to this is an awareness of more strategic approaches and responses to leadership development especially for deans, given their crucial role in the academe and general lack of executive management experience. These evidential based requirements were exemplified by the interviews with deans, their line managers and human resource directors.

Some universities have recognised the need for leadership development for deans in this setting and have implemented interventions, but these seem disconnected from a more strategic institutional response linked to performance management and career advancement, as the next chapter illustrates and addresses.

CHAPTER 7: LEARNING TO LEAD AND MANAGE – THE CASE OF DEANS

7.1 Introduction

There is a capacity problem with academic leadership in South African universities which is contributing to system instability and lack of effectiveness. Some commentators advocate leadership development as a 'capacity builder' and enabler of performance for local higher education (Wisniewski, 1999; Duderstadt, 2002; Gmelch, 2003) since it has shown results in other systems (Fielden & Gillard, 2000; Wisniewski, 1999; Johnson, 2002; Burgoyne et al., 2009). However, as evidenced in the literature, leadership development is not the panacea for organisational ills. What is further shown in the literature is that although universities have generally increased expenditure on leadership development during the last ten years, existing levels remain inadequate and implementation in most instances is disjointed, as reported by Burgoyne et al. (2009). Inadequate succession planning, especially for critical senior management positions like deans, has resulted in a leadership vacuum in many South African universities and has had a detrimental effect on the sector as a whole (Saunders & Van den Heever, 2005). This state of affairs has implications for the conceptualisation and practice of leadership development in local universities. This chapter expounds on the leadership capacity of deans in particular, and the preparation and support for deanship.

The central argument presented in this chapter is that generic and a-contextual, corporate-like approaches to leadership development for deans are inappropriate since they do not address the unique institutional challenges confronting deans and the pivotal bridging roles deans play between the academia and administration. Local universities have adopted various approaches to leadership development which are not strategically aligned to institutional objectives, organisational performance and career advancement. As the chapter reveals, these interventions do not advocate nor provide opportunities for reflective practice, a key requirement for leadership and management effectiveness for deans. The balancing act between academic leadership and executive management is unique in the university setting, particularly for deans. Herein lies the inherent challenge for deans, which Schön (1983, p.14) describes as 'a new awareness of complexity which resists the skills and techniques of traditional expertise' (p14). Key issues that are identified and engaged with in this chapter include: (i) conception and practice of leadership development for deans; (ii) institutional approaches to leadership development; (iii) good practice in terms of leadership development; and (iv) the impact of leadership development on individuals and their institutions.

7.2 Notions and features of leadership development

The prevailing conception of leadership development is a product of the postmodern era informed by advancements in leadership and management theory and practice. It is premised on complementarity of leadership and management knowledge and skills applied in specific organisational contexts (Conger & Benjamin, 1999; Fielden & Gillard, 2000; Wisniewski, 1999; Johnson, 2002; Burgoyne et al., 2009). As such, the interplay between individual and organisational components is fundamental in this understanding of leadership development. In this study leadership development is described as:

> building the leadership and management capacity of individuals located in a particular environment, to make them and their organisations more efficient and effective, towards achieving agreed, established and measurable performance goals (Seale, 2010, p.11).

Key components here relate to the interdependence between leadership and management competencies, contextual relevance and individual and organisation alignment, in respect of achievement of performance goals. In their capacity building model McLennan and Orkin (2009) identify three dimensions of leadership development for effective performance which have to operate in concert for successful planning and implementation – *ability*, *will* and *space* (see Figure 12 below).

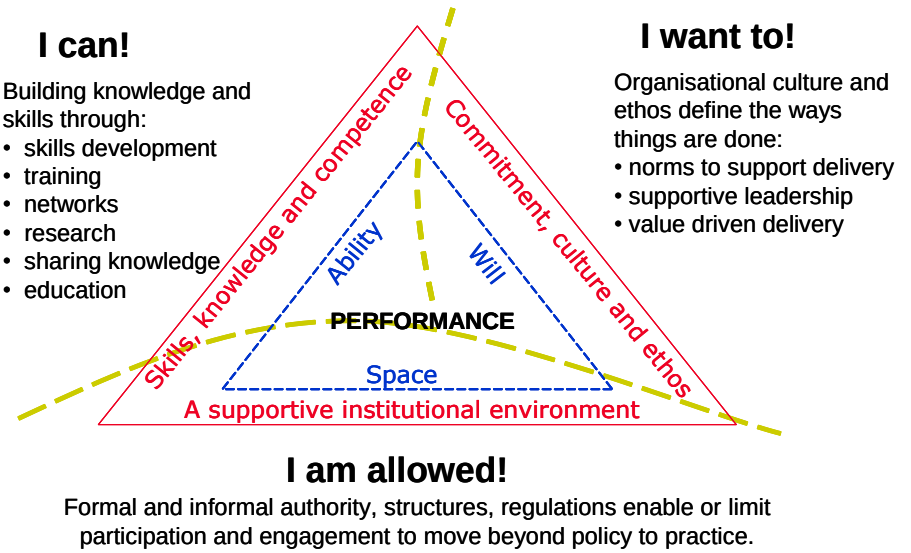


Figure 12: Capacity building model, McLennan and Orkin, 2009

McLennan and Orkin (2009) maintain that an individual needs to have the *ability* to recognise his or her need and then action the requirement for leadership development. This may take different forms. Secondly, leadership development is a choice and requires the *will* to want to learn and improve within a supportive organisational environment. Finally, for leadership development to be successful it requires an enabling and supportive organisational environment that provides a learning setting and opportunities to implement newly acquired knowledge and skills (*space)*.

According to McLennan, Seale and De Wet (2010) most approaches to leadership development fail because of the focus on ability and will of the individual with insufficient attention being given simultaneously, to an enabling institutional learning environment.

> Without a supportive environment nascent innovations and high levels of motivation will gradually be eroded and subsumed into mediocre and ineffective leadership and management strategies (p.8).

Three principal approaches to leadership development emanate from the literature: (i) individual skill development; (ii) socialisation of leaders' values and visions; and (iii) strategic interventions that promote the collective vision of the organisation (Conger & Benjamin, 1999). For Day (1999), specific examples of the type of intrapersonal competence associated with leadership development initiatives include *self-awareness* (e.g. emotional awareness, self-confidence), *self-regulation* (e.g. self-control, trustworthiness, adaptability), and *self-motivation* (e.g. commitment, initiative, optimism). These capabilities contribute to enhanced individual knowledge, trust, and personal power, which have been proposed as the fundamental leadership imperatives, particularly in a collegial setting like a university.

As Greicar's (2009) study demonstrates, leadership development for deans follows a similar pattern. From an individual's perspective it appears to be both a formal and an informal process, says Cloud (2004) and this is confirmed by the evidence generated in this study. What appears to be a major requirement nowadays are approaches that are firmly grounded in the leadership and management contextual specificity of universities. This means that the days of centrally driven, corporate-like generic training with its hit or miss approach are over and a more integrated, bespoke approach has been adopted based on individual and organisational needs (Scott et al., 2008; Bolden et al., 2008; McLennan et al., 2010; Seale and Cross, 2015).

Leadership development relationships primarily take two forms in organisations: coaching and mentoring. Coaching involves practical, goal-focused forms of one-on-one learning and ideally, according to Hall et al. (1999), behavioural change. Mentoring is typically defined as a committed, long-term relationship in which a 'senior person' supports the personal and professional development of a 'junior person.' It can be a short-term intervention intended to develop specific leadership skills or a more extensive process involving a series of meetings over time (Ting & Hart, 2004).

Global advancements on leadership development in higher education appear to have influenced local responses. The interviews with the deans, their line managers and human resources directors were intended to elicit their views and understanding of leadership development and what constitutes a relevant, responsive approach to it. In their view, leadership development looks at leadership potential,[164] and is about self-direction and reflection.

> If you can lead yourself, then you can lead others.[165]

> I think leadership development is very important; one needs mirrors because one can get so caught up in what you do, that leadership development provides you with opportunities to look in the mirror and to reflect, which I think are very important.[166]

Leadership development also enhances current competencies generally or in specific areas[167] and the sharing of common experiences with fellow deans and mutual learning.[168] The literature (Scott et al., 2008; Bolden et al., 2008; McLennan et al., 2010) and the data of this study point to the need for leadership development that is individually tailored, contextual and institutionally relevant. It has a developmental orientation,[169] must be linked to individual and institutional performance,[170] and requires ongoing support from the line manager and organisation.[171]

Leadership development needs to be an enabler of career advancement, as pointed out in Bolden et al.'s (2008) study, and corroborated by the interviews with the deans.

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[164] Interview with Dean 24-11
[165] Interview with Dean 01-11
[166] Interview with Dean 16-11
[167] Interviews with Dean 18-12, Dean 21-12 and Dean 22-12
[168] Interviews with Dean 07-11 and Dean 17-11
[169] Interview with Dean 18-12
[170] Interview with LM 03-12
[171] Interview with Dean 20-12

> So there is a period of development, when you make a transition from one position with less responsibility to another position with more responsibility, especially when it entails having to work with people on a different level.[172]

Leadership development is also an ongoing, lifelong experience.

> Like I told you earlier, studying is a continuous process, never ending. Ever since I began at the university I have been going to leadership training.[173]

It appears that in most instances leadership development takes place after the individual has assumed the academic leadership position. There has been recognition of the need for leadership development to take place prior to the appointment, as evidenced in the literature and the data gathered in this study. Although some strides have been in made in leadership development in countries like the United States, United Kingdom and Australia, its design and implementation in South African universities appears to be non-strategic and in most instances disconnected from organisational objectives, as we will note in the next section.

7.3 Approaches to leadership development

The literature provides an array of professional knowledge, skills and examples of best practice that can support and enhance leadership development for senior managers in countries like the United States, Canada and Australia (Schofield, 1996; Fielden & Gillard, 2000; World Bank, 2001; Smout, 2003). In their study of 12 universities in the United Kingdom, Bolden et al. (2008) demonstrate the key shifts in leadership development practice as shown in Figure 13 below.

[172] Interview with Dean 24-11
[173] Interview with Dean 12-11

From		To
Central generic programmes with some leadership and management components	→	Core modules + bespoke, individualised and tailor-made development with a strong leadership and management focus
Mainly face-to-face, class based interaction	→	Combination of face-to-face and self-directed and 'blended' learning
Prescriptive and content-heavy provision; emphasis on 'hard' skills	→	Participative, interactive, experiential and reflective programmes; more emphasis on 'soft' skills
Staff developers as development providers and deliverers	→	Staff developers as consultants, supporters, advisers and facilitators
Informal and ad-hoc coaching and mentoring arrangements	→	Increasing use of formal coaching and mentoring across the organisation
Lack of diversity (gender, ethnicity, age, etc.) in formal leadership roles	→	Leadership development as a vehicle to drive diversity
Appraisal (often negatively received)	→	Linking development with Performance and Development Review
Ad hoc and informal succession planning	→	Formal and systematic succession planning
Developing existing leaders	→	Identifying and developing future leadership talent and managing careers
Providing induction prior to or immediately after taking up the role	→	Continuing & ongoing leadership development / career management
Limited or no support after the end of the term	→	Planned exit from rotating leadership roles
No formal evaluation of the impact of leadership development	→	Developing more robust mechanisms for evaluation as a priority

Figure 13: Leadership development in UK universities: Bolden, Petrov & Gosling, 2008

What emerges from this illustration is that universities in the United Kingdom have adopted a more strategic, approach to leadership development aligned to their institutional missions and objectives, which incorporate the key dimensions of performance management, career planning and impact of leadership development, hitherto absent from previous models and approaches. Leadership development interventions here are linked to advancing the institutional mission, objectives and culture. They also act as an enabler of individual and organisational performance. Leadership development initiatives nowadays provide support for enhancing individual and institutional learning, action-orientated responses to work related problems and an improvement in individual and institutional performance (Dotlich & Noel, 1998; Moxley & O'Connor-Wison, 1998; Scott et al., 2008; Bolden et al., 2008). In their study, Scott et al. (2008) point to similar developments in Australian higher education.

Although most universities in South Africa these days have fairly well established human resources development policies for staff, there are not adequate opportunities for senior managers like deans to acquire critical executive and interpersonal skills as mentioned by a line manager[174] and confirmed by the CEO of HESA in terms of partnering with more established organisations like the American Council on Education (ACE).[175]

When asked whether their university had a leadership development strategy most of the deans who were interviewed responded negatively, whilst some were unsure.

> We have had such great ideas a few years ago and I was so excited about that, and I don't know if we do [have a leadership development strategy], but I know that there is the talent management and I think it is . . . that the VC is looking at. It is the development of middle junior level people.[176]

The human resources directors and line managers mentioned that although their universities do not have a comprehensive leadership development strategy, some have adopted either formal or informal interventions to support it.

> We firstly have one or two interventions each year where the entire leadership of UNISA from the vice-chancellor up to all the executive directors, executive deans and deputy executive directors and deans. Then deans have their own [leadership development] within their college so we also provide for that kind of tailor-made training.[177]

> We have a twofold strategy – one is to look at the way in which various heads of departments are performing and to see whether some of those individuals could be potential candidates for a deanship in the future.[178]

> At the senior management level, that would include executive deans, it is sort of, how shall I put it, it is ad hoc on a need basis. For example I had some conversation with a dean where there were some challenges within the faculty, and he was requesting support to develop his management skills, and that has been done.[179]

[174] Interview with LM 01-12
[175] Interview with CEO of HESA
[176] Interview with Dean 21-11
[177] Interview with HR Manager 01-12
[178] Interview with Line Manager 02-12
[179] Interview with Line Manager 03-12

Although there are some similarities with the above experiences, it appears that higher education systems such as those in the United States (Greicar, 2009), United Kingdom (Bolden et al., 2008) and Australia (Scott et al., 2008) are far more strategic and advanced in their leadership development approaches and interventions.

In terms of local provision more generally, a sectoral scan undertaken in July 2003 by the former South African Universities Vice-Chancellors Association (SAUVCA), now Higher Education South Africa (HESA), revealed a broad spectrum of education and training provision ranging from postgraduate qualifications (e.g. a master's in HE Studies offered at the University of the Western Cape) to short internal management courses. The University of Pretoria, North West University and Rhodes University, for instance, provide an internal institutional programme for senior and middle managers that focuses on key management topics and developing soft skills (e.g. emotional intelligence) within the organisational context. Some institutions have, with the assistance of international professionals, developed 'tailor-made' senior management programmes to be offered by their business schools (e.g. the University of South Africa).

There have also been 'home-grown' courses offered by the Tertiary Education Linkages Project (TELP) for higher education leaders sponsored by the US Development Agency, although this has been discontinued. Cross and Middlehurst (2013) point out that there have been some challenges locally with appropriate and sustainable approaches to leadership development starting with SAUVCA, and then HESA, as well as other organisations such as TELP supported by USAID and the Centre of Higher Education Transformation (CHET). As will be discussed later, these interventions appear to have had limited success but in the absence of anything else at the time, they exposed senior managers to the essential skills required for effective leadership and management in a complex and changing environment. The interventions were generally generic in nature, once-offs and not linked to institutional priorities. They rather tried to address the broad systemic leadership and management challenges faced by senior managers, not the institutional complexities and specificities.

However, to their credit, these mostly externally organised interventions provided senior managers with some time out from the hustle and bustle of their institutional environment and opportunities to share experiences and network with their peers. Since then the main sectoral actors in this space appear to be HESA and the Southern African Regional Universities Organisation (SARUA). Some local universities, like the ones participating in this study, have also adopted institutional responses to leadership development needs and requirements, especially in relation to deans.

In terms of local responses, UNISA, the University of Pretoria, the University of the Witwatersrand and the University of Johannesburg seem to be the more advanced in terms of designing and implementing leadership development interventions for deans. The approach to leadership development at UNISA and the University of Johannesburg has largely been influenced by their respective mergers and the urgent need to reconstruct the new institution and its related organisational, cultural, leadership and management needs. UNISA also introduced a 'college management model' which required a different leadership and management skills set.

Post-merger, the University of Johannesburg has been repositioned as an entrepreneurial institution with a strong performativity dimension which impacted on the deans in terms of their operational delivery and consequent training requirements. The University of Pretoria also seized the opportunity offered by post-democratic South Africa to transform and reposition itself as an entrepreneurial institution characterised by some level of devolved authority and decentralised decision making. This meant that deans there needed to be endowed with the necessary leadership and management knowledge and skills towards the achievement of this strategy.

In 2001, the University of the Witwatersrand undertook a comprehensive restructuring project which had far-reaching leadership and management consequences for the institution, as mentioned earlier in Chapter 4. As part of this process deans were empowered and enabled through a devolved and decentralised management model to take ownership of and concomitantly be held accountable for the leadership and management of their faculties. In order to realise the institutional goals and objectives set out for the University of the Witwatersrand, one of the key interventions identified by the university at that time was leadership development, especially at the level of dean.

At Tshwane University of Technology and Vaal University of Technology the approaches seem to be ad hoc and needs driven. This may in part be ascribed to the leadership crises mentioned earlier (see Chapter 4) which plagued these two institutions, but also to changes in the appointment of human resource managers during the period this study was being conducted.

The data generated in this study provided the following typology on leadership development approaches and intervention for participating universities demonstrated in Table 5 below.

Institution	Approach	Type	Impact
UNISA	Internal and Self-directed based servant leadership & 11Cs	Internal Training Workshops ('Crucial Conversations') External Workshops/Seminars	No impact assessment Not aligned to performance management
UP	Internal and Self-directed	Internal UP LD Programme External Training (e.g. GIBS) Workshops/Seminars	No impact assessment Not aligned to performance management
Wits	Internal and Self-directed	Internal Management Programme (Frontiers) Formal Coaching (External) External Workshops/Seminars	No impact assessment Not aligned to performance management
UJ	Internal and Self-directed	Internal LD Programme Informal Coaching (Deans) Formal Mentoring	No impact assessment Not aligned to performance management
TUT	Internal and Self-directed	External Management Programmes (HESA) Informal Coaching	No impact assessment Not aligned to performance management
VUT	Internal and Self-directed	Internal LD Programme External Training Workshops	No impact assessment Not aligned to performance management

Table 5: Perceptions of deans on leadership development at universities in Gauteng

In advancing its leadership development strategy, UNISA has embraced and embedded the concept of 'servant leadership' as their institutional approach to leadership based on the 11Cs plus one tenets contained in their Transformation Charter, which are: communication, conversation, conservation, community, connection, care, collegiality, commitment, cooperation, creativity, consultation and courage (UNISA, 2011), as confirmed by the human resources manager at this institution.[180] Although top-down and mainly driven by the vice-chancellor, the deans at UNISA seem to agree with and support the strategy and approach adopted in terms of leadership development.[181] The University of Pretoria has designed and implemented its own internal leadership development programme[182] which seems to provide a foundation for the role

[180] Interview with HR Manager 01-12
[181] Interviews with Dean 01-11, Dean 03-11 and Dean 04-11
[182] Interview with LM 02-13

and responsibilities and which the deans find particularly useful.[183] Deans at the University of Pretoria also have opportunities to participate in external leadership and management programmes offered for instance by its affiliated Gordon Institute of Business Science (GIBS). As with their peers at UNISA and other institutions, deans at the University of Pretoria also undertake self-directed learning through books and articles on leadership, management and related issues.[184] The University of the Witwatersrand has, over time, designed and introduced various leadership and management programmes through its Centre for Teaching and Learning Development (CLTD). It also provides support for leadership profiling, personal coaching and 360-degree performance evaluations which assist deans in identifying specific areas for professional and personal development.

Like UNISA, the University of Pretoria and the University of the Witwatersrand, the University of Johannesburg, has implemented an internal leadership development programme for its deans.[185] In similar vein, deans at the University of Johannesburg are also able to access external training programmes that will enhance their leadership and management capacity. Tshwane University of Technology provides its deans with leadership development opportunities, but these appear to be ad hoc and based on the individual's need and request. Deans at Tshwane University of Technology also use informal coaching from peers or external colleagues as one of their support mechanisms.[186] Vaal University of Technology offers an internal leadership development programme for deans and couples this with external training interventions as per the individual's needs.[187]

The most popular leadership development methodologies locally appear to be training programmes, experiential learning, coaching and mentoring. Most training interventions occur during a defined time period ranging from one day to 12 months. Training is normally conducted by internal professionals or external experts. Management training comprises a broad range of philosophies, techniques and topics concerned with helping participants to become more effective in their job. It may focus on specific skills (e.g. negotiation, budgeting), general abilities (e.g. communication, planning), or personal development (e.g. leadership, handling stress). Traditionally, according to Greicar (2009), the preparation for deanship focused on three leadership development methods – past administrative posts, mentoring, and on the job training. As reported earlier in Chapter 6, this seems to be the experience of local deans too.

[183] Interviews with Dean 07-11, Dean 09-11 and Dean 10-11
[184] Interviews with Dean 09-11 and Dean 10-11
[185] Interview with HR Manager 03-12
[186] Interviews with Dean 13-11 and Dean 14-11
[187] Interviews with Dean 20-12, Dean 21-12 and Dean 22-12

At all the universities in Gauteng the deans are able to access the leadership and management courses which their institutions offer and which they attend based on their individual needs,[188] with support provided by the human resources division[189] and their line managers.[190] The deans also derive valuable personal insights or learning from reflection and observing others in action, as gleaned from their comments below.

> It is very interesting what you learn from those [courses] because many times there are certain hidden things that you do not discover that sometimes come out in a way, but if you reinforce those it gives you a sense that these development programmes strengthen your thinking on those issues. It is sometimes surprising to see how the natural ability of a person to understand what is important in terms of leadership is reinforced by some of these courses.[191]

> It got me thinking out of my box; it got me to hear what other people were saying and realise the challenges I face may not be as difficult as some that others were facing. No, I like that, it appealed to me.[192]

> I typically will do that on my own bat because I know people that I know that are also leaders in their areas which are not at the university, so that helps because I can see what they are doing and what helps them to be better at what they are doing.[193]

Although helpful, some interventions may be too generic and lack individual or disciplinary specificity for some deans,[194] and may be seen as a one size fits all approach[195] with diminishing personal value and interest.

> We used to have this HELM programme but the kind of attendance by deans suggested that they have peaked, so why develop if they have peaked? I suppose what I am saying is the deans have not communicated a serious appetite for development and therefore the initiatives that were put in place are lagging or not in place as a result.[196]

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[188] Interviews with Dean 06-11, Dean 24-11 and Dean 26-11
[189] Interviews with HR Manager 01-12 and HR Manager 03-12
[190] Interviews with Line Manager 02-12 and Line Manager 04-12
[191] Interview with Dean 06-11
[192] Interview with Dean 25-11
[193] Interview with Dean 26-11
[194] Interviews with Dean 18-11 and Dean 19-11
[195] Interview with Dean 18-12
[196] Interview with HR Manager 04-12

> With Wits 2001 there was an agreement that there would be periodic training sessions for all academic leaders, but after the first three or four years people felt that it was a waste of their time and they couldn't use their time effectively.[197]

Greicar's (2009) study on leadership development for deans reveals that 55% of them have a formal mentor. It appears from current trends and the evidence of this study that there are varied views on the implementation of mentoring in universities. What we see is that most deans have developed more informal mentorship relations throughout their careers, which they see as a private matter (Bolden et al., 2008) and often draw on these especially when faced with the challenges of a new position. According to Greicar (2009), mentoring has assisted deans in their new roles and appears to have a positive impact on their career advancement. Local deans have had similar experiences too. Most of the mentoring that occurs in higher education consists of informal practice (Gmelch, 2000; Gmelch & Wolverton, 2002; Nies & Wolverton, 2000). This was illustrated by this comment from a dean at the University of Johannesburg:

> Then what is very helpful is that the deans have a very close working relationship. So we meet once a month for lunch and we call each other all the time - there is a lot of informal peer mentoring that takes place. That I found extremely helpful.[198]

Although not many have coaches, the deans at the universities in Gauteng who do, derived some value from this opportunity.[199] The research to date on the success of formal and informal mentoring practices in higher education is confounding and inconclusive at best and, like other interventions, says Greicar (2009), often left to chance.

What emerges from this study is that although deans agree on the value of training and development, they still prefer learning from on the job experience.[200] In similar vein, Fox (1997) refers to training as the tip of the learning iceberg. Johnson (2002) agrees and cautions that a singular approach to training may become patronising as participants have long graduated from the classroom as advanced thinkers who are more creative and independent in terms of problem solving.

What we have seen from the literature and the data acquired in this study is that, based on experience elsewhere, local universities are becoming more aware of the need for a better

[197] Interview with Line Manager 04-12
[198] Interview with Dean 16-11
[199] Interviews with Dean 25-11 and Dean 26-11
[200] Interviews with Dean 06-11, Dean 08-11, Dean 10-11 and Dean 18-11

understanding of and strategic approach towards leadership development. They are being supported by internal and sectoral initiatives designed and implemented by organisations like HESA and SARUA. However, what appears to be a challenge is whether these interventions are having the desired impact on individuals and their institutions. This issue is tackled in the next section.

7.4 Impact of leadership development

Mountford and Doidge (2005) undertook a study of the Institute of Leadership and Management (ILM) programmes in the United Kingdom to determine individual and institutional returns. Their aim was to establish the impact and value for money of accredited ILM programmes being offered in five universities. The main findings of this study include that programmes (i) did add significant value; (ii) were particularly useful in motivating change, in encouraging personal development; (iii) increased confidence in developing individuals' skills, including communication; and (iv) promoted quality enhancement in their work area. Bolden et al. (2008) report similar findings. Greicar's (2009) study on leadership development for deans in the United States revealed that overall on the job training was the most frequently reported preparation method and appeared to have the most significant benefit to the 7 leadership dimensions.[201] This, Greicar (2009) claims, is due to a lack of commitment to more strategic approaches by the institutions participating in her study.

As noted earlier, some local universities have adopted a more strategic approach to leadership development but in no instance does this appear to have been integrated with performance management (see Table 5), career planning and succession planning for deans as is the case in other higher education systems such as the United Kingdom (Bolden et al., 2008) and Australia (Scott et al., 2008).

In addition, although it appears that training satisfaction surveys are carried out by most, if not all, the universities in Gauteng, their future impact on the participating deans is not assessed or evaluated. Some institutions, like UNISA, the University of Pretoria and the University of Johannesburg, may be doing this through performance appraisals but there is not sufficient substantiating evidence. However, the University of Witwatersrand, Tshwane University of Technology and Vaal University of Technology do not have performance management systems

[201] (i) management of an academic affairs unit; (ii) interpersonal relationships; (iii) quality of education in the unit; (iv) vision and goal setting; (v) communication skills; (vi) maintaining and pursuing professional development, research and institutional endeavours; and (vii) advancement of institutional diversity

in place for deans, so it is very difficult to measure the impact or return on investment for the leadership development interventions undertaken at these institutions. This situation was captured by the following comment from a dean at the University of Witwatersrand.

> ……..I find that certainly in the university context, very few universities actually do it. They think that people must naturally just acquire those skills as they go along and then they make mistakes.[202]

From the documentary evidence, I was able to determine that at a sectoral level by the end of 2006 more than 1000 senior and middle managers had participated in the 35 leadership development events offered by HESA through its HELM programme. Two external evaluations of the HELM programme undertaken in 2004 and 2009 revealed that its design and implementation had made some contribution to the leadership development requirements of senior managers in the sector, especially new appointments.

> Without exception, past and former staff, early and later trainees, all point to a highly successful set of HELM training courses that met direct managerial and leadership needs in the sector.[203]

This was corroborated by one of the deans who participated in the HELM programme at that time as well as a human resources director.[204] One of the major benefits of this programme was the support networks it created amongst peers, like deans, which allowed participants the opportunity to exchange ideas and share experiences in a collegial environment, as illustrated in the evaluation report. .

> The training programmes bring together experienced and novice administrators, new and older deans, rural isolated departments and urban-based department heads, expertise from established universities and disadvantaged institutions. Ideas and skills are shared, and information networks are established. [205]

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[202] Interview with Dean 24-11

[203] The HELM Evaluation Analysis of Current Effectiveness and Future Directions Final Report, 31 January 2009

[204] Interviews with Dean 07-11, Dean 13-11 and HR Manager 04-12

[205] The HELM Evaluation Analysis of Current Effectiveness and Future Directions Final Report, 31 January 2009

Whatever approach has been adopted there remains, say Jackson et al. (2003), the problem of knowledge transfer into the workplace and measurement of individual and organisational impact. Another inhibitor is the resistance that participants encounter from other colleagues to the implementation of new ideas acquired at management 'training' courses. Simply put, effectiveness of leadership development interventions hinges on enabling organisational conditions and a learning culture (McLennan and Orkin: 2009). This seems to be the case in some Gauteng universities, like UNISA, the University of Pretoria, the University of the Witwatersrand and the University of Johannesburg, but not in others, and in particular not at Tshwane University of Technology and Vaal University of Technology.

There are examples of higher education systems where leadership development is making a contribution to organisational performance. It appears that not all universities in Gauteng have responded to the leadership development needs of deans and only some like the University of Pretoria, the University of the Witwatersrand, UNISA and the University of Johannesburg have adopted an approach which is linked to organisational and individual objectives. What this means is that the conception and practice of leadership development for deans in the current environment needs further investigation, better theorising and a reframing of the discourse towards a more contextualised, appropriate and effective response.

7.5 Conclusion

What emerges from the international and local evidence generated by this study and presented in this chapter, is that there is a capacity problem with academic leadership and executive management in South African universities, which may be contributing to system instability and impacting on its overall performance.

Faced with similar challenges, other higher education systems (for example, in the United States, United Kingdom and Australia) have designed and implemented more strategic approaches to leadership development based on contextual, institutional and individual needs linked to career advancement and succession planning. As illustrated by experiences elsewhere, the central point is that generic and a-contextual, corporate-like approaches to leadership development for deans are inappropriate. They do not address the unique institutional challenges and the pivotal bridging role deans play between the academia and administration. Local universities have adopted various approaches to leadership development which are not strategically aligned to institutional objectives, organisational performance and career advancement.

As this chapter reveals, these interventions do not advocate nor provide opportunities for reflective practice, a key requirement for leadership and management effectiveness for deans.

The balancing act between academic leadership and executive management, particularly for deans, is unique in the university setting. In order to equip deans to become more effective in their academic leadership and executive management roles, leadership development in South African universities, as illustrated earlier in Section 7.4 in this chapter, needs to be reframed as an integrated component of strategic planning, institutional operations and performance management. Like their peers in other higher education systems, local deans are knowledge workers who should be enabled and empowered for effective performance. But, as this chapter reveals, there are shortcomings and misalignment in the current discourse on leadership development for deans at both institutional and sectoral levels.

What the literary, documentary evidence and deans narratives suggests is the need for a reconceptualisation of leadership development which is cognisant of and responsive to institutional contextual realities, which builds and enhances existing capacity and, what appears to be missing from current approaches, demonstrably increases their leadership and management capital. Bearing this in mind, the next chapter presents and engages with an alternative conceptual and contextual approach to leadership development which, it will be argued, is more relevant and responsive to the academic leadership and executive management needs of deans in local universities.

CHAPTER 8: TOWARDS HOLISTIC, INTEGRATED LEADERSHIP DEVELOPMENT FOR DEANS IN SOUTH AFRICAN UNIVERSITIES

8.1 Introduction

As evidenced in this study, the world of higher education has in the past two decades changed dramatically, which has had implications for governance, leadership and management particularly at local universities (Gmelch, 2003; Johnson & Cross, 2006; Scott et al., 2008; Greicar, 2009). South African higher education is in transition and grappling with major problems arising out of global issues and local imperatives. It has a leadership crisis and requires a new kind leadership and management (Cloete et al., 2000; Jansen et al., 2002; Kotecha, 2003; Johnson & Cross, 2006; Seale & Cross, 2015; Interview LD 01-12). As academic leaders, deans play a pivotal role in advancing the strategic objectives and operational requirements for success in local universities. Although credible scholars, many do not have the necessary management know-how or experience, a key requirement nowadays for deanship (Wolverton et al., 2001; Johnson & Cross, 2006; Greicar, 2009; Seale & Cross, 2015; Interviews with LD 01-12, HR 01-12, LM 02-12 and LM 04-12). The literature and evidence generated in this study confirm its underlying premise that leadership development can be an enabling, empowering instrument of change and effective performance for deans in South African universities (Fielden & Gillard, 2000; Wisniewski, 1999; Johnson, 2002; Burgoyne et al., 2009; Interviews with HR 01-12, HR 03-12 and HR 04-12).

As mentioned earlier by Burgoyne et al. (2009), leadership development is not the panacea for addressing organisational ills, but if conceptualised, planned and managed correctly, in an enabling organisational setting, it may enhance an individual's competencies and result in improved organisational outcomes. However, local approaches to leadership development do not appear to be responsive to the contextual complexity and fluidity of a changing environment. It seems that local universities may be setting up their deans for failure if they are not adequately prepared and supported with appropriate development before and during their tenure. A key question this chapter asks and subsequently addresses is: can deans make a successful transition from academia to effective executive management practice? Drawing on the literature and prevailing discourse, it is argued here that this is possible. The main contention in this chapter therefore is that leadership development for deans requires an appropriate, contextual response to the unique higher education setting in South Africa.

Drawing on the literature, data provided by this study and theoretical underpinnings, a systemic, integrated approach to leadership development is presented here, informed by organisational strategies and objectives that are individually orientated and directed towards effective leadership and management for deans. Key issues that are covered here include: (i) the contextual frame for leadership development in the academe; (ii) current discourse and trends in leadership development; (iii) reframing leadership development for deans; and (iv) a systemic and integrated approach to leadership development for deans.

8.2 Contextual frame for leadership development in universities

In conceptualising and constructing an appropriate response to the changing world of deans and thereby building their capacity as effective academic leaders and executive managers, it is important to locate this investigation on leadership development in an appropriate contextual frame. To this end, the study investigated and engaged with the literature and the evidence generated and presented here, guided by the following key challenges and issues, which will be briefly reflected on as the contextual and conceptual frame, for leadership development in South African higher education. Again this may seem repetitive to the reader but it provides the backdrop, contextual and theoretical foundation, for the emerging leadership development model being presented here.

8.2.1 *Leadership and management challenges for deans in South African universities*

Universities today are dynamic human environments marked essentially by differences in form and context (Meek & Wood, 1997; OECD, 1998). Their primary challenge is leading and managing change in complexity, while holding on to unique institutional and individual values (Pounder, 2001; Duderstadt, 2002; Yielder & Codling, 2004). In addition, declining resources, external demands for accountability and increased competition for market share have required the use of performativity measures, coupled with the resultant introduction of 'managerialism' or 'executivism' practised widely in universities nowadays (Johnson & Cross: 2006). Both the external and internal environments shape leadership and management behaviour and practices and significantly influence how strategies and plans are interpreted and decisions made at an institutional level. Notable too, are the institutional legacies, biographies and backgrounds of the main actors that have shaped and, in some instances, may still be influencing the leadership and management culture over time. South African higher education today is characterised by poor governance, weak leadership and ineffective, inefficient management.

Deanship in the contemporary university has changed dramatically and in the South African context it has been significantly influenced by specific local challenges which have been further exacerbated post-democracy by the whole-scale introduction of 'executivism'. Apart from the global pressures referred to earlier in Chapters 4 and 5, local deans are confronting institutional challenges arising out of transformation, restructuring, equity, access and quality of provision. In response to global trends and local demands for responsiveness and performativity, universities introduced the concept of 'executive dean'. The introduction of 'executive deans' varied from one end of the spectrum, where some deans were afforded greater decision-making responsibilities and were empowered to do so with the requisite resources, to the other end of the spectrum where this development was a change in nomenclature only, resulting in an increased workload with few or no additional resources. This study has confirmed the earlier claim by Johnson and Cross (2006) that 'executive deanship' in some institutions has not had the desired strategic and operational outcomes that were anticipated. In selected cases it resulted in greater role ambiguity and role alienation for deans. Post-democracy, in certain local universities there appears to have been a greater emphasis on management and administration with less attention to collegiality and academic leadership. This is characterised by a clearer distinction between academic and administrative functions but has also resulted in increased tensions and contestations in the academe.

8.2.2 *Leadership values and competencies required for deans in South Africa*

Drawing on the literature and the evidence presented in this study, a portrait has emerged of transformational leadership for deans which has multiple dimensions that are applied in evolving contexts and practised at different levels. This notion of 'post-heroic' leadership[206] with its focus less on the individual leader's traits and characteristics and directed more towards its social elements is grounded in bottom-up transformation wherein power-sharing and organisational coalitions are being negotiated and contested. This approach resonates with commentators in the literature on team leadership, distributed leadership and participatory leadership. The engagement with deans in this study manifested this shift to coalition building, not only with academia but also with the administrative components on which deans rely heavily in universities today.

[206] 'Post-heroic leadership' is an emergent postmodern notion of leadership grounded in bottom-up transformation, driven by distributed leadership, power-sharing and organisational coalitions. It incorporates the work of other writers on team leadership, distributed leadership and participatory leadership.

In response to the ongoing negotiations and contestations between internal constituents and external stakeholders, deanship nowadays requires a specific focus on leading change and transformation in transition, a unique characteristic of local higher education. As academics, most deans are also prone to pay the price of limited scholarship opportunities and, in some cases, even become alienated from further disciplinary pursuits given the onerous administrative demands of their positions. As this study shows, these nuanced dimensions of academic leadership and increased demands for executive management, have implications for the conception and practice of leadership development and support for deans.

8.2.3 *Leadership development as a capacity builder for deans*

Deans are generally former academics emerging from a traditional collegial space and catapulted into executive management. Most of the deans participating in this study have followed the traditional collegial promotional route to their positions. Deans are first and foremost academic leaders who are responsible for varying executive functions, depending on their institutional management structure. As gleaned from the data generated by this study and in the literature, some of them appear to be lacking in management competencies, such as strategic planning, finance and human resources, but their universities are providing opportunities to acquire and develop these skills. The dean's leadership style should be guided primarily by distributed team approaches to decision making, but more often than not the top-down requirements of executive office result in a command-control situation, which is in conflict with a predominantly collegial domain.

Some commentators advocate leadership development as a 'capacity builder' and enabler of performance in universities (Wisniewski, 1999; Duderstadt, 2002; Gmelch, 2003) which has shown results in other higher education systems (Fielden & Gillard, 2000; Wisniewski, 1999; Johnson, 2002; Burgoyne et al., 2009). Historically, approaches to leadership development were often informed by competency assessments of individual leaders and managers which some writers nowadays find problematic (Armitage et al., 2005). These competency based models and their related assessments seem to be insufficient for effective leadership and management in complex, changing environments (Rocco, 2000), like local universities. The assumption here is that these approaches, which focus mainly on an individual's deficits in skills and attributes, may, with requisite training, address organisation-wide performance.

These models may be useful but they are one dimensional and, critically, overlook organisational factors such as context, culture and climate. Although theoretically sound and

individually applicable, these models are biased by their 'one size fits all' application (Armitage et al., 2005). The focus of contemporary leadership development is on individual-based knowledge, skills and abilities associated with formal leadership roles (Bolden et al., 2008). When applied in a particular contextual setting, the capabilities acquired enable leaders to think and act in new ways, says Coleman (1988). In this conceptual frame, leadership development results as a function of purposeful planning and investment in human, organisational and social capital. The emphasis here is for the individual to build the intrapersonal competence needed to form an accurate model of him- or herself (Coleman, 1988), develop a positive attitude and identify his or her professional development needs (Hall & Seibert, 1992) and then use that self-model to perform effectively in any number of organisational and social roles.

There are three main areas for consideration in leadership development interventions for deans. These are: (i) conceptual understandings of carrying out their academic leadership and management roles within their institutional context; (ii) knowledge and skill enhancement for performance; and (iii) reflectivity and reflexivity to enable them to learn from past experience. Most effective leadership development interventions are ongoing, relevant, focused on 'real world' dilemmas and problems common to a particular role, in this case deanship. These involve active learning, are peer supported by people in the same role, and are informed by an overall diagnostic framework that enables people to make sense of what is happening and to learn through reflection on experience and the assessment of the consequences of their actions.

8.2.4 *Towards an integrated approach to leadership development in South African higher education*

What this study reveals is that there are key elements missing from current approaches and responses to leadership development. Firstly, there is a need to align and synchronise leadership development in universities with the institutional strategic priorities and objectives, performance management, career management and succession planning. Secondly, the conceptualisation and implementation of leadership development for deans in local universities must take into account its unique challenges, relevance and responsiveness and, of equal importance, the impact of 'executivism' on a traditionally collegial domain. Finally, generic and a-contextual responses to leadership development are inappropriate in the local context and deans in South African universities require bespoke interventions that focus on the specific needs and requirements in a holistic, integrated manner.

Some of the universities which participated in this study are moving towards a more strategic approach to leadership development, for example UNISA, the University of the Witwatersrand, the University of Pretoria and the University of Johannesburg, but there still appears to be a misalignment with other key organisational dimensions such as performance management and succession planning. This shift in focus is already taking place in other higher education systems as illustrated by the studies on leadership at universities undertaken by Bolden et al. (2008) in the United Kingdom, Scott et al. (2008) in Australia, and Greicar (2009) in the United States. From the evidence obtained in this study South African universities appear to be lagging behind their international counterparts in terms of more strategic, integrated approaches to leadership development for deans. What this means is that meaningful reflection is required on the current discourse on leadership development in the local setting with its unique complexity, manifold demands and impact on the leadership and management ability of deans, as the next section reveals.

8.3 Emerging discourse on leadership development

The predominant emphasis in leadership research and the current discourse has been on the human capital of individual leaders (Day, 1999). This is in keeping with the traditional individualistic, heroic notions of leadership advocated by the 'leader-follower' discourse. But, as pointed out by Parry (1998) and others, this approach neglects the organisational and social dimensions of leadership as characterised by advancements in prevailing transformational, collective, distributed and team leadership. Most leadership development approaches nowadays are still trapped in the individualistic leader frame, manifested by a 'deficit-assumption' orientation which focuses on a leader's 'weaknesses' and performance gaps, with its main purpose being remedial, by fixing the individual for the benefit of the collective. However, the literature and evidence provided here present an emerging notion of leadership development in universities that is cognisant of the individual, organisational and social dimensions of leadership and aligned to the strategic intent and performance objectives of institutions located in a specific environmental setting (Mountford & Doidge, 2005; Scott et al., 2008; Bolden et al., 2008; Greicar, 2009).

In this reconceptualisation, leadership development acquires and is imbued with a 'developmental-orientation' premised on building the capacity of the individual for effective performance in his or her current role and continuous professional development for career advancement. This approach is cognisant of the organisational and social dimensions of leadership which have hitherto been neglected or overlooked in responses to leadership

development, as confirmed by Parry (1998). The fundamental premise in this conception is that academic leaders like deans possess the requisite minimum knowledge, skills and demonstrable experience to do their jobs, hence their appointment. Leadership development here is directed specifically towards an enhancement of their capabilities to lead and manage more effectively amidst organisational complexity and change. Worth noting too in the local domain is the executive dimension of deanship, which for most is new and perhaps uncharacteristic in the academe.

What this means is that leadership development in the prevailing context must be cognisant of and responsive to the leadership complexities of organisational change and its concomitant implications for social relations for deans. As Parry (1998) claims and I concur, in-depth investigation on this change process provides a lens for reviewing and understanding the social influence processes of leadership at work in complex, organisational settings such as universities. By the same token, it provides an opportunity for reframing the conceptual and contextual setting for an in-depth and more nuanced discourse on leadership development for deans in a unique environment like South African higher education.

8.4 Reframing leadership development for deans

The literature, prevailing trends and data generated by this study illustrate that deans are neither being prepared nor supported for what appears to be a unique higher education setting caught in the throes of global influencers and multifarious local demands for transformation, responsiveness and performativity. The conceptual reframing of leadership development for deans in this setting must be cognisant of and responsive to: (i) the changing global and local context of higher education with its concomitant added levels of complexity; (ii) the capacity implications of a changing environment for leadership and management; and (iii) the enhancement of capital for deans through leadership development for more effective individual and organisational performance.

There appear to be three main phenomena or features of leadership development emerging from the literature (Wisniewski, 1999; Duderstadt, 2002; Gmelch, 2003; Wolverton et al., 2005; Scott et al.; 2008; Bolden et al., 2008; Greicar, 2009), current discourse and data gathered in this study, which inform the emerging theory in this study. These are the *leadership context, leadership capacity* and *leadership capital* which provide a foundation for a developmental orientated, integrated approach to leadership development that embeds career advancement and is driven by performance management (see Figure14 below).

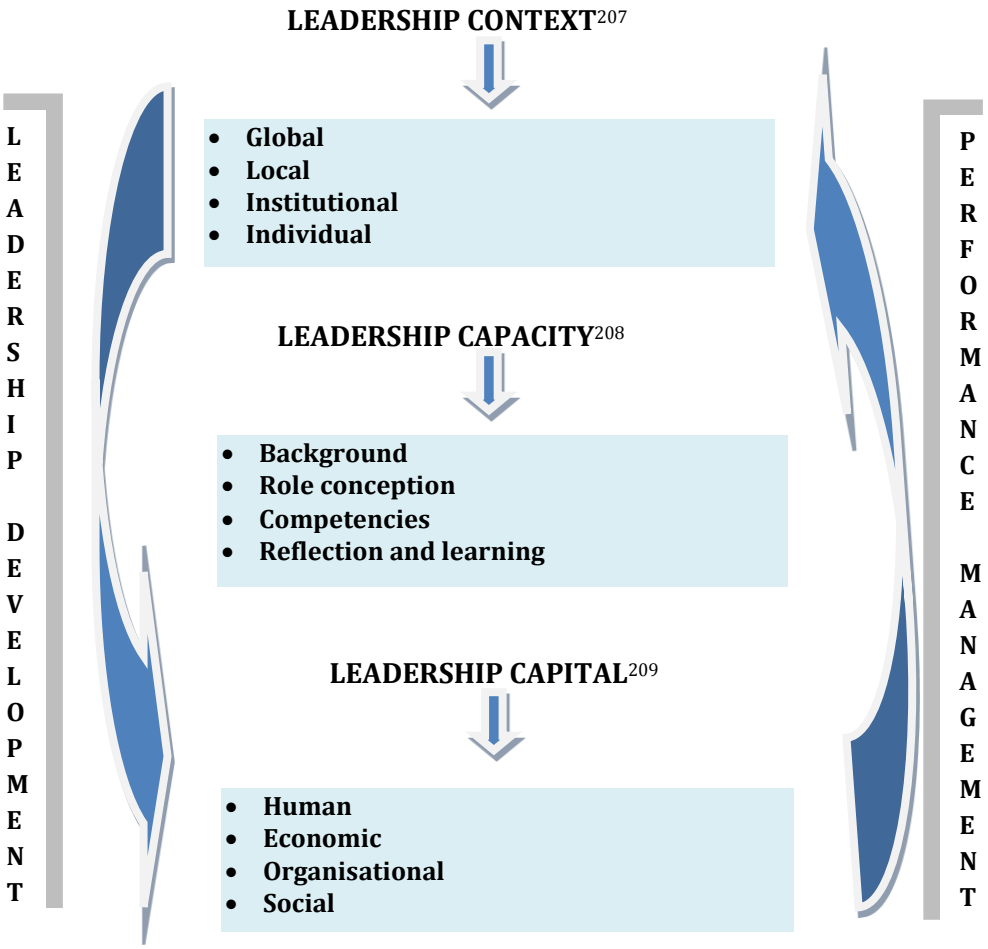


Figure 14: Conceptual framework of leadership development for deans

Firstly, there is the complex and changing *leadership context* for deans characterised by global, national and institutional imperatives. But of equal importance is what the individual brings to this context in terms of background, knowledge and experience. In their study on collective leadership in universities, Bolden et al. (2008) identify five groups of leadership factors which are key for leadership development in the contemporary higher education setting:

(i) *Structural and organisational* – includes organisational systems, processes and structures, allocation and management of budgets and resources, human resources management, formal and informal communication channels and forums for consultation and decision making.

Their research shows, for instance, that the nature of budgetary control and devolution, coupled with transparency in the allocation of finances, is fundamental in shaping leadership at the

[207] Gmelch, 2003; Johnson & Cross, 2006; Scott et al., 2008; Bolden et al., 2008; Greicar: 2009
[208] Wisniewski, 1999; Duderstadt, 2002; Gmelch, 2003; Wolverton et al., 2005; Greicar: 2009
[209] Day, 1999; Schuller, 2000; Cohen & Prusak, 2001; Scott et al., 2008

school/departmental level. This reflects the comments made by some deans on the additional sources of power and authority their position provides and how they influence desired behaviour through the use of reward or coercion amongst staff.[210]

(ii) *Individual* – refers to their personal qualities, experience and preferences. Bolden et al. (2008) found a wide variation in personal styles, motivations and approaches within and between universities, ranging from highly individualistic through to team and collective approaches to leadership. This is consistent with the views articulated by the deans during their interviews where most expressed the need for collective, 'bottom-up' leadership in the academe given their important interface role and need to ensure commitment to their university's strategic vision and plans.[211]

(iii) *Social* – incorporates the informal networks, partnerships and alliances, organisational culture and any shared sense of purpose and identity. The concept of identity for Bolden et al. (2008) seemed an integral part of the motivations and experiences of leadership that are not well captured in behavioural or procedural accounts. This confirms Parry's (1998) views on the relational and social dimensions of leadership and how they impact on individual and group identity. For a number of the deans participating in this study, especially those in merged institutions, this appears to have been one of the most difficult leadership challenges they faced in terms of discarding former organisational cultures and identities and creating new ones, establishing new partnerships, alliances and networks.[212]

(iv) *Contextual* – reflects the way in which university leadership is becoming increasingly politicised and subject to external pressures. As expounded on Chapter 4 there are a number of global and local drivers and shifts which have leadership and management implications for deans in South African higher education. The introduction of 'executive deanship' in local universities has added another layer of complexity to an already challenging environment.

(v) *Developmental* – refers to the ongoing and changing developmental needs of individuals, groups and organisations. What Bolden et al. (2008) point to here is a more holistic approach to leadership development which includes the individual, team and organisational dimensions and, as McLennan and Orkin (2009) confirm, ensures that the learning environment is enabling and empowering to deliver the desired outcomes.

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[210] Interviews with Dean 06-11, Dean 20-11 and Dean 25-11,
[211] Interviews with Dean 20-11, Dean 06-11, Dean 18-12 and Dean 25-11
[212] Interviews with Dean 11-11, Dean 12-11, Dean 13-11 and Dean 18-12

The focus here is not only the human, but also the economic, organisational and social dimensions of leadership development (Bolden et al., 2008).

As mentioned earlier in Chapters 2 and 4, the contextual setting for deans in South African higher education finds expression through the global and local challenges they are experiencing, leadership and management legacies of their respective institutions and repositioning post-democracy. Of particular note is the introduction of 'executivism' for deans during this period at all the universities participating in this study and its impact on their academic leadership in a traditional collegial domain (Johnson & Cross, 2006). The evidence generated in this study confirms the misalignment, perhaps even disjunction, between the notions and practice of 'executive deanship' in South African universities and its related role definition and ambiguity challenges (Johnson & Cross, 2006; Interviews with Dean 05-11, Dean 08-11, Dean 15-11, Dean 20-12, Dean 21-12 and Dean 23-11; Interviews with LM 01-12, LM 02-12 and LM: 03-12).

Secondly, *leadership capacity* in this analytical frame relates to the internal means of ensuring that the fundamental requirements for academic leadership and executive management for effective deanship exist within the individual and the organisation (Wolverton et al, 2005). It refers to the process of leadership development that enables and empowers the individual and organisation (McLennan and Orkin, 2009; Bolden et al., 2008) to address the complexities of change, reflect and learn from their successes and failures, and focus on improved performance. This is in keeping with the three areas Wolverton et al. (2005) identify for leadership development in their study: (i) conceptual understanding of academic leadership in a specific institutional context; (ii) skill development for performance; and (iii) reflection and learning from experience. This last dimension is key for deans especially in the local context bearing in mind the particular challenges they face with understanding and enacting their academic leadership and executive management roles in complexity and change. The deans also confirmed the need for enhancement of knowledge and skills in this redefined role through formal training and other informal leadership development means; for instance, a number were reading books and articles on leadership and management. Most if not all the deans participating in this study expressed the value of reflection and learning from their experiences and those of their peers. Not surprisingly, this component of leadership development is gaining more prominence as can be gleaned from the studies undertaken by Bolden et al. (2008), Scott et al. (2008) and Greicar (2009).

The third phenomenon in the conceptual frame for leadership development is *leadership capital.*

Although approaches to leadership development nowadays are more strategic and integrated with organisational objectives, the challenge of measuring the impact and return on investment in a systematic and comprehensive manner remains problematic (McLennan and Orkin, 2009; Bolden et al., 2008). Most interventions use programme impact surveys which tend to focus on participant satisfaction with the event/activities and not on an assessment of the application of new knowledge and skills, nor individual and organisational benefits, in terms of return on investment. Moreover, there appears to be a disjunction in current approaches to determining leadership and management effectiveness as described earlier by various writers (Birnbaum, 1989; Fincher, 1996; Whetten & Cameron, 1985 in Rosser et al., 2003; Pounder, 1999) and the deans (Interviews with Dean 01-11, Dean 10-11, Dean 24-11, Dean 08-11, Dean 19-12, Dean 03-11, Dean 13-11, Dean 16-11, Dean 17-11, Dean 25-11, Dean 04-11 and Dean 18:12).

This disjunction appears to be the central problem with determining the individual and institutional value of investment in current leadership development interventions in universities. What emerges from this study is a need to develop an appropriate assessment of the impact and return on investment for leadership development which is cognisant of the leader's context and capacity. In response, I introduce the notion of *leadership capital* as the demonstrable, measurable outcome, value-add or contribution to an increase of capital (human, economic, organisational and social) for the individual, institution and higher education sector (environment) arising out of relevant and appropriate leadership development interventions for deans.

Human capital comprises the competencies, knowledge and social and personality attributes embodied in the ability to perform labour for economic value (OECD, 1998). As knowledge workers, deans are endowed with a unique biography, knowledge and skills set and personality traits which they contribute to their position. The main purpose of leadership development, then, is to prepare them to be effective in the role through knowledge and skills enhancement and, equally importantly, in their professional lives post-deanship in terms of career planning. This is in keeping with predominant approaches to leadership development which not only focus on professional but also on personal advancement. It is corroborated by Schön's (1983) approach to reflectivity as an alternative epistemology for leadership and management and the notion of epistemic reflexivity introduced by Bourdieu and Wacquant (1992). This need was also articulated by the deans, their line managers and human resources directors.

Economic capital refers to the amount of investment that an organisation needs to ensure that it stays solvent.

It is calculated internally and is the level of capital an organisation should have to support any operational risks it takes on (Investopedia, 2014). Universities, like most contemporary organisations, are facing major financial constraints and are required to work smarter and 'do more with less'. Deans nowadays need to ensure that they have the necessary financial resources not only to meet but also to realise the institution's strategic objectives within a constrained environment. In addition, they face increasing demands for financial accountability, especially given the systematic dwindling in state funding to local higher education in the past two decades. In order to address their budgetary shortfalls, one of the new areas of responsibility, as articulated by the deans in their interviews, is income generation as well as risk management, which requires a particular skills set and, it is argued, may be addressed through leadership development.

Organisational capital is the value to an enterprise which is derived from its philosophy and systems which leverage its capability for delivering goods or services (Wikipedia, 2014). It combines institution-specific information that affects production, augmented through output-related learning processes (Prescott & Visscher, 1980) and the know-how needed to create productivity systems in terms of human skills and physical capital (Evenson & Westphal, 1995).

The focus here is more on the organisational culture, systems/processes and learning. The institutional management context of deans these days is characterised by the need for effective systems and processes to deliver a quality product and service. In a sense, what the interviews with the deans illustrate is that they need to be more technology savvy and able to work smarter by developing appropriate institutional systems that enhance their faculty's performance. Competition for a limited pool of students amongst universities in the Gauteng Province, for instance, means that their ability to increase intake in part hinges on the quality of learning experiences provided. The academic reputation of a university is also key, especially for prospective employers who depend on the graduate-ness and work-readiness of students as productive citizens. As custodians of the academic project, the deans have a critical role to play in advancing the relevance and responsiveness of the university's provision in terms of market demands. This need can and should be addressed through appropriate leadership development interventions which focus, for example, on systems design, ICT, quality assurance, etc.

Cohen and Prusak (2001) describe social capital as the reserve of active connections among people based on the trust, mutual understanding and collective values and behaviours that unite them and result in collaborative actions. Bourdieu (in Everingham, 2001), the herald of its contemporary usage, places the source of social capital not just in social structures but in social

connections, which is key for a leadership setting. As mentioned earlier in Chapters 2 and 3, Parry (1998) stresses the importance of the social and relational aspects of leadership especially for deans in a knowledge domain, which other writers refer to as team leadership (Stewart & Manz, 1995; Northouse, 2007; Lave & Wenger, 1991), distributed leadership (Gronn, 2002; Spillane et al., 2001) and participatory or collective leadership (Abzug & Phelps, 1998; Black & Gregersen, 1997). For the deans, social capital means establishing and maintaining relationships of trust with both the academe and the administration towards ensuring that there is an alignment to the institutional strategy and a commitment to the achievement of its organisational objectives. From the data generated in this study it is clear that the deans have recognised the importance of their interface bridging role, through building internal collegial networks and complementing these with external disciplinary or peer support systems. Leadership development here provides opportunities to systematise and sustain these crucial networks that are vital for advancing more effective leadership and management performance for local deans.

Current approaches to leadership development have focused primarily on the human and economic and not sufficiently on the organisational and social capital dimensions (Bolden et al., 2008; Scott et al., 2008; Greicar, 2009). The emerging framework for leadership capital as illustrated in Table 6 below does two things: it identifies the focus, measures, outcomes and models based on the work of Schuller (2000) and adapted for our purposes, and it demonstrates the important interface and potential dialectic between the individual and institutional dimensions of leadership capital for deans.

	Human Capital	**Social Capital**		**Economic Capital**	**Organisational Capital**
Focus	Individual	Individual	⟷	Institutional	Institutional
Measures	Duration of schooling Qualifications	Attitudes/values Membership/participation Trust levels	⟷	Solvency Financial stability Risk management	Systems/processes Performance Culture/climate Learning
Outcomes	Direct: income, productivity Indirect: health, civic activity	Social cohesion Economic achievement More social capital	⟷	Adequate risk capital Going concern	Stability Competitiveness
Model	Linear	Interactive/circular	⟷	Linear	Linear

Table 6: Leadership capital framework

Focus – Human capital focuses on the individual, whereas for economic and organisational capital it is institutional. Social capital involves relationships and a dynamic interplay between the individual and the institution in terms of the internal and external networks that it establishes. In an organisational setting like a university, the inclusion of all four types of capital is key as an impact measurement tool for leadership development, since noting Schuller (2000, p.6), individuals and institutions 'are not discrete entities who exist separately from the rest of each other, or from other social units'. The effectiveness of leadership development will therefore hinge on an institutional environment which is enabling for individual success but, of equal importance, is economically viable and organisationally stable. This approach in Schuller's (2000) view is a gestalt switch for leadership development and what this study contends is required for deans locally.

Input/measure – Human capital is measured primarily by levels of skills, experience and qualifications achieved. In similar vein, economic capital is determined by the institution's solvency levels, financial stability and management of risks associated with capital investments. Social capital and organisational capital, on the other hand, are far more dispersed. Organisational capital measures include the systems and processes put in place to deliver particular goods or services and their market value, performance and organisational learning. Social capital uses an individual's attitudes or values as measures and how they impact on organisational culture, as well as their levels of active participation in internal and external networks.

The relevance of social and organisational capital to leadership development can be seen, for instance, in the formal and informal modes of learning and the skills acquired by individuals through learning-by-doing in an enabling environment. Participation in networks provides access to internal and external information and ideas, as Schuller (2000) mentions, often in a relatively unstructured way. This is key especially since deans are nowadays the 'bridge-builders' between the academe, administration and external role players. Human and social capital are key determinants for deans' success in their academic leadership and executive management roles within a complex, challenging context like South African higher education, where they are practised at multiple levels and often with quite disparate groups of stakeholders.

From the documentary evidence and engagement with the deans, their line managers and human resources directors in this study, it appears that the redesigned notion of the dean's position requires a clearer understanding of the organisational and social impact of leadership both internally and externally for effective performance.

Outcomes – The main outcomes of human capital for an individual are generally an enhanced professional profile with additional knowledge and skills, improved currency in terms of income received and greater productivity. Appropriate investment in economic capital results in a financially solvent, going concern for an organisation that manages its operational risks effectively. Organisational capital provides institutional stability with adequate systems and processes in place, coupled with an enabling culture and opportunities for learning. Taken together, these features contribute not only to organisational stability but also to an enhancement of its competiveness in relation to others. Social capital can be linked directly to organisational performance in terms of social cohesion and trust relationships – especially in a unique, contested organisational setting like the academe – as well as to a more enabling institutional climate, and the leveraging of information networks for political, economic and social gain.

Models – For Schuller (2000), human capital suggests a direct linear model; investments are made, in time or money, and economic returns flow to the individual and the institution. From the literature it appears that economic and organisational capital also have similar linear approaches. In economic capital, appropriate planning and appropriate levels of financial investment result in the mitigation and more effective management of operational risks which impact on performance.

Organisational capital requires direct investment in appropriate systems and processes such as, for instance, automated decision making which is less labour intensive and offers better returns in terms of institutional transparency and effective communication, thus contributing to an improved institutional climate of trust and willingness to work collaboratively. Here there is a direct relationship, says Schuller (2000), between input (planning/investment) and returns (performance/climate). Analysts are able to deploy existing tools to estimate the returns on investment and institutions like universities, can justify their expenditure since the outcomes are more visible and direct.

Social capital, however, has a less linear approach and its quantitative returns are not so easily definable or measurable, which is one of its weaknesses. Although the level or amount of social capital present in a given relationship is often intuitive, it is possible to determine the value information and ideas networks add to individual and organisational performance. For instance, a dean who has a well-established supportive relationship with his peers externally can leverage their networked experiences when considering a particular course of action.

Lessons learned and applied can then result in better and more cost-effective outcomes for the dean in question and his institution. Unlike the other forms, social capital requires an interactive/circular model that applies different metrics for different functions with its purpose being a longer-term investment, not solely linked to the provision of economic gain.

The *leadership capital* framework provides the basis for determining the individual, organisational and sectoral impact and return on investment for leadership development in a more systematic and comprehensive manner. As mentioned in Section 7.4, current assessments tend to focus quite narrowly on the human and economic returns of leadership development only.

Having noted the importance of the social, relational dimensions of academic leadership and executive management required by deans nowadays, I proffer the inclusion of organisational and social capital as additional measures of performance. It must be stressed that human, economic, organisational and social capital are not seen as polar opposites, in competition with each other, but rather operate in concert as a collective metric for measuring the effectiveness and ultimate value and return on investments in leadership development. In the next section, I provide a theoretical dimensions for an alternative conceptualisation of leadership development for deans.

8.5 Theoretical dimensions of leadership development for deans

Drawing on Parry's (1998) work which focuses on leadership processes rather than what they do as leaders, the appropriate framing of academic leadership for deans in particular context is a critical construct under investigation. Parry (1998) proposes an approach to research that investigates associated concepts that are subordinate to an overarching concept like leadership. For instance power, politics and interests are, according to the literature, key influencers of leadership in the university setting. Equally important, as noted from the evidence acquired in this study, is how deans navigate and manage related tensions in these influencers with various internal and external stakeholders. By serving two masters, deans in their leadership are constantly navigating the power dimensions of these relationships, the underlying politics that drives them and competing interests of the parties involved. Of particular note here is how deans are then able adapt to and cope with a systemic environment in transition and change with its concomitant complexities, in a reflective modality – in Dewey's (1933) words, how they focus on leadership problems and experiment with solutions to resolve these (Interviews with Dean 06-11, Dean 09-11, Dean 18-12, Dean 24-12 and Dean 26-12).

What emerges as fundamental to leading and managing change in complexity for deans is the notion of reflectivity introduced by Dewey (1933) and then later enhanced by Schön (1983), coupled with epistemic reflexivity, as espoused by Bourdieu and Wacquant (1992). Schön (1983), influenced by Dewey (1933), emphasises the centrality of reflection in an investigation of what professionals, like deans as is the case in this instance, do. Schön's (1983) work is directed against 'technical-rationality' which uses scientific theory and techniques as the means for problem solving in an organisational setting. Commenting on this, Usher et al. (1997, p.143) describe technical-rationality as a positivist epistemology of practice which Schön (1983, p.35) claims has failed to resolve the dilemma of 'rigour versus relevance confronting professionals' today. He introduces an alternative epistemology of practice 'in which the knowledge inherent in practice is to be understood as artful doing'. Schön's (1983) contribution to the epistemology of practice is centred on advancing an understanding of what professionals like deans do through the ideas of reflection in and on action.

For Bourdieu (cited in Maton, 2003, p.56), society encompasses levels of overlapping social fields of activity or 'relatively autonomous worlds' which Maton (2003, p.56) says provides for 'a sophisticated analysis of social positionality' in terms of social space and culture. It is important, claims Bourdieu (cited in Maton 2003, p.56), that actors in a particular setting are viewed in relation to their area of expertise, since they have only 'a partial view of the game, acting accordingly'. What this means in academia, is that actors attempt to impose their viewpoints on others in the battle for status and resources. In response, Bourdieu (cited in Maton, 2003, p.57) introduces the notion of 'epistemic reflexivity' that facilitates the transcendence from individual, narcissistic pursuit of knowledge to a 'social relation between knowledge and knower'. This approach allows an individual to reflect continually on his or her own habitus and dispositions acquired through long social and institutional training. Key to Bourdieu's argument for 'epistemic reflexivity', according to Maton (2003), is making the objectifying relation itself the object for analysis as the epistemological grounding for knowledge as a social, collective and non-narcissistic action. It is only by maintaining continual vigilance that individuals can guard against importing their own biases into their work in a reflexive mode, as an additional stage in social scientific epistemology.

Informed by Schön's (1983) work, I present reflectivity as a 'post-heroic' construct of transformative leadership, which is top-down and bottom-up, with its related distributed, team and participatory elements. As the literature and current debates reveal, although traditionally schooled this way, deans as academic leaders, and now executive managers, cannot rely on 'technical rationality' as a positivist paradigm for problem solving since it falls short in a contemporary, complex, changing and fluid organisational environment like a university.

Important, too, for deans, as Bourdieu posits (in Maton, 2003), is an awareness of their individualistic, narcissistic approach to knowledge in which they have been schooled to an 'epistemic reflexivity' with its focuses on the objective, social and collective characteristics. Simply put, deans need to move beyond their subjective, biased responses to understanding and interpreting the world around them and to engage with colleagues in the administration and academia in a reflexive modality which Bourdieu (cited in Maton, 2003) claims, and I concur, is the foundation of the intellectual enterprise especially in a social, collegial domain like the contemporary university.

Building on the work of Schön (1983) and Bourdieu (in Maton, 2003), I suggest an alternative 'epistemology of practice' using social constructivism as a means to understanding the notions and practice of leadership, management and leadership development for deans. Social constructivism embeds particular notions of reality, knowledge, meaning and learning.

Reality is constructed through human activity (Kukla, 2000). Simply put, reality cannot be discovered, it does not exist prior to its social invention and construction. In the case of deans their reality appears in most cases to differ from the notional and aspirational hypotheses relating to deanship. This theoretical perspective describes knowledge as a human product which is socially and culturally constructed. The knowledge constructs of deans are informed by the lived reality of bridging the two fundamental functions of academic leadership and executive management in a complex and contested institutional setting (Johnson & Cross, 2006; Scott et al., 2008; Bolden et al., 2008; Greicar, 2009; Seale & Cross, 2015; Interviews with Dean 05-11, Dean 08-11, Dean 15-11, Dean 20-12, Dean 21-12, Dean 23-11, LM 01-12, LM 02-12 and LM 03-12). Meaning is created through interactions between individuals and their environment. Deans appear to have an initial conception of their role which changes as they are immersed in the day to day experiences of deanship and obtain meaning from it by addressing the challenges they face and the related interaction with a multiplicity of stakeholders.

Learning here, says McMahon (1997), is also a dynamic social process not restricted to the individual only, but to the collective, and nor is it a passive development of behaviours that are shaped by external forces. This approach resonates with the work of Lambert et al. (2002) who, with other commentators, engage with the dynamic interplay between leadership and learning in particular, the application of theory in practice, and introduce the notion of 'constructive leadership' as described in Chapter 3 by Linda Lambert et al. (2002). Advancing Parry's (1998) thinking, the focus here is more on leadership as a process which transcends individuals, roles and behaviours.

If leadership is about learning, as Lambert et al. (2002) contend, this creates a dynamic relationship between these two concepts which social constructivism may explain in terms of how deans are formed by their own lived realities, knowledge acquired in this process, and meaning generated from their experience and opportunities created for learning.

Another phenomenon that emerges from the theoretical underpinning for leadership development relates to the outcome or impact of the process that is the capital generated from it. As mentioned earlier in Section 8.4, current approaches to leadership development focus primarily on the acquisition of individual human capital and exclude the economic, organisational and social components thereof. In the emergent framework for leadership development for deans, illustrated earlier, I introduced additional types of capital as measures of the effectiveness and performance of deans – economic, organisational and social capital.

This approach attempts to mitigate the effects of the neo-liberal project in higher education which Adendorff (2010) claims focuses solely on market principles of competition and entrepreneurship and imposes these on every relationship in the academe for the purposes of efficiency and productivity. It suggests an approach that marries the individual's obsession for performativity in terms of human and economic capital with the value leadership development can produce in terms of organisational and social capital. Leadership development interventions on financial management, for instance, can assist deans in becoming more prudent with expenditure and innovative in generating additional revenue for their university, once they have acquired the requisite skills set in this regard.

What the literature shows too is that there have been significant developments in the application of social capital theory in an organisational setting (Cohen & Prusak, 2001). But its introduction to organisations is relatively new and in universities virtually non-existent. Cohen and Prusak (2001) argue that when social capital is harnessed it generates better economic returns for organisations. Unlike human capital, in which the focus is on developing individual knowledge, skills, and abilities, the emphasis with social capital is on building networked relationships among individuals that enhance cooperation and resource exchange in creating organisational value (Bouty, 2000; Tsai & Ghoshal, 1998). This is evidenced by the comments from deans on the multiple internal and external networks they have developed for professional and personal support in their roles. Although social capital is not *the* key to organisational success in my view, it informs the institutional dynamics centred on multiple relationships, micro-politics and sometimes divergent interests, which deans have to manage.

This is implicit in the voices of some deans, in terms of how their internal and external networks provide support in mitigating and responding to some of the leadership and management challenges they face (Interviews with Dean 17-11, Dean 19-11, Dean 25-11 and Dean 26-11).

Bourdieu and Wacquant (1992), Schön (1983), Lambert et al. (2002) and Cohen and Prusak (2001) provide theoretical lenses for an investigation on understanding reality, generation of meaning and concomitant learning. They are also cognisant of reflection on acquisition of knowledge in an epistemic reflexive frame for practice and the building of strong, effective relationships that improve individual and organisational efficiency and ultimately should contribute to an increase in their human, economic, organisational and social capital.

Given the challenges with existing approaches to leadership development the next section presents and engages with a different approach which draws on the current literature and research evidence generated in this study in a more systemic and integrated fashion.

8.6 A systemic and integrated approach to leadership development for deans

The claim by Bensimon, Neumann and Birnbaum (1989) more than 20 years ago that there is little robust research on leadership development in universities unfortunately still applies. Practical guidance on effective approaches to leadership development in universities is missing (Huntley-Moore & Panter, 2003), context is often overlooked by generic approaches (Bass, 1985), and it is generally not well recognised, understood or supported, nor are there specific interventions for leadership roles like those of dean or head of school (Debowski & Blake, 2004).

What this means for universities is that they will not only need to appoint and develop leaders but, equally important, they must also become the kind of organisations that nurture and reinforce enactment of the kinds of behaviours desired in those leaders. However, a review of leadership development trends and models in universities reveals events-based rather than systemic interventions. The studies undertaken by Bolden et al. (2008), Scott et al. (2008), Greicar (2009) and this present study point out that although most universities have recognised and responded to the need for leadership development, these are mostly episodic, issue driven and not directed towards achievement of institutional strategy and performance objectives. Though there have been some attempts to align leadership development for deans with strategic objectives and performance requirements in international and local universities, additional work is required to advance an approach that is bespoke for the individual's contextual requirements,

is aligned to performance management, and includes a dimension of career management in an integrated and systemic manner. In order to make leadership development more systemic the literature and data in this study, shows that training and developmental experiences must be meaningfully integrated with one another and ongoing. The major factors and influencers of a strategic approach to leadership development are captured in Figure 15 below.

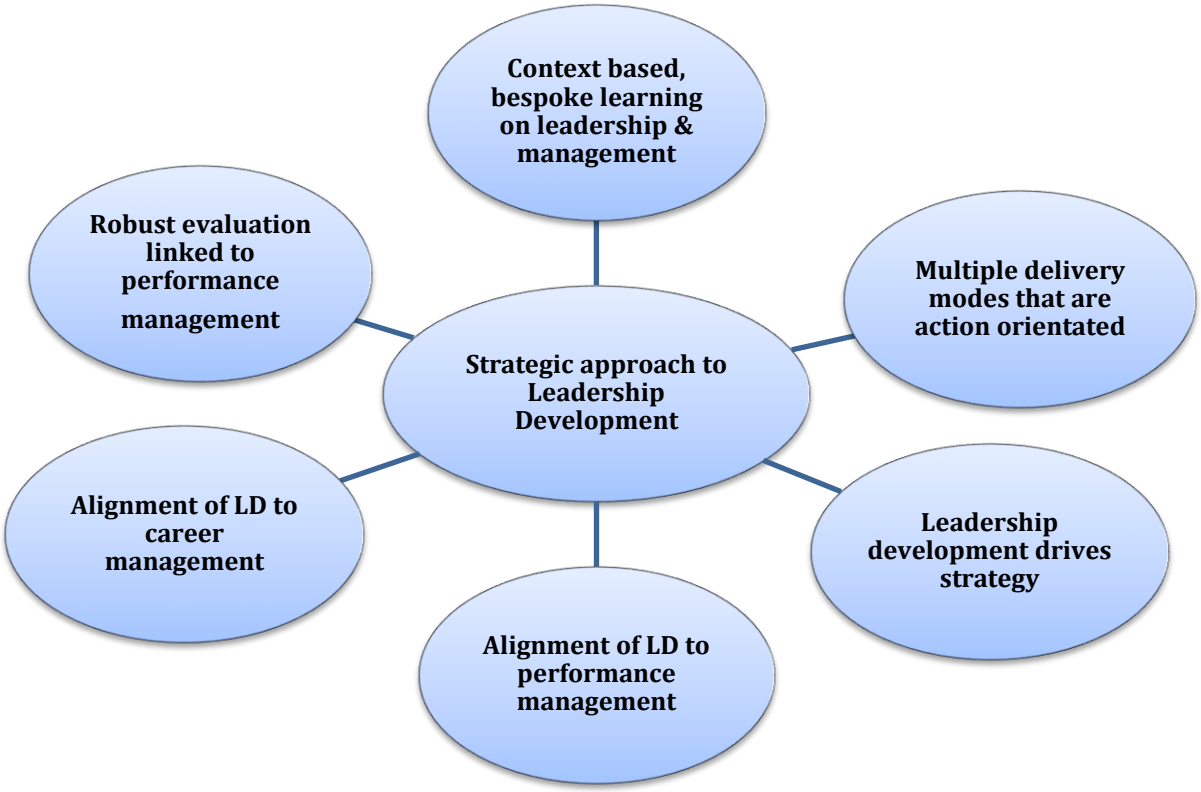


Figure 15: Key influencers of a strategic approach to leadership development

The literature and analysis of the data in this study point to: (i) the multilayered complex context of contemporary academic leadership which requires a bespoke approach to leadership development for deans (Robertson, 1998; Bargh et al., 2000; Pounder, 2001; Kotecha, 2003; Gmelch, 2003; Bundy, 2006; Bolden et al., 2008; Scott et al., 2008; Greicar, 2009); (ii) the need for action orientated leadership development that addresses the leadership and management realities of change and transition for deans (Dill, 2001; Gmelch, 1999; Wolverton et al., 2001; Gmelch and Wolverton, 2002; Rosser et al., 2003; Greicar, 2009); (iii) inextricable linkages between leadership development, organisational and individual effectiveness and performance (Whetten & Cameron, 1985; Birnbaum, 1989; Argyris & Schön, 1996; Fincher, 1996; Rosser et al., 2003; Strathern, 2000; Ball, 2003; Johnson, 2005); and (iv) changes in career planning and management approaches for deans (Wolverton et al., 1999; Gmelch et al., 1999; Gmelch, 2002; Duxbury, 2008; Greicar, 2009) and a robust evaluation of the impact of leadership development

and its return on investment for individuals and their organisations (Bolden et al., 2008, McLennan and Orkin, 2009).

Although deans acknowledge the importance of training, they seem to value more the opportunities provided by action-reflection learning in situ or shared experiences with others. Most of the deans participating in this study did not receive adequate preparation for their new role and had either to draw on previous experience in an action-reflection mode or garner support from their peers, former deans or mentors. Some have established internal and external discipline-specific support networks that also provide a platform for learning and development. Very little, if any, attention has been given to ensure that their tenure provides opportunities to enhance their capital, specifically organisational and social capital, given the human and economic value associated with access to existing and the development of new networks as a major contributor to institutional and individual currency.

Based on the need for a more holistic approach to leadership development, systems thinking provides an appropriate methodological construct for reconceptualising leadership development for deans. Systems thinking was popularised as the crucial 'fifth discipline' by author Peter Senge (1990) in his work on leadership, management organisational development and learning. In a systems context, a set of entities (individual, organisation and environment) are directed towards a common purpose and operate according to certain rules and processes. It is the highest level into which individual and collective capacities are cast towards the creation of an enabling environment, says Littlejohn (1983, p.29). The rationale for adopting a systems approach to leadership development is guided by Patton's (2002) assertion that it is key to understanding and addressing as whole entities real world complexities like the ones deans face on a global and local front. Holistic *(integrated)* thinking, according Patton (2002), is central to the systems perspective.

The Managed Organisational Leadership Development (MOLD) framework depicted below advances a systems based, developmental orientation to leadership development which ensures that the individual is enabled and empowered to perform effectively in the current job and, equally importantly, which enhances their leadership and management capacity for career advancement. Whereas current interventions in most instances are viewed as an add-on to performance management, in the deficit orientation, the framework takes on a developmental focus, where leadership development is a systemised, managed process by the individual and the organisation and, more importantly, the driver of effective performance and career advancement.

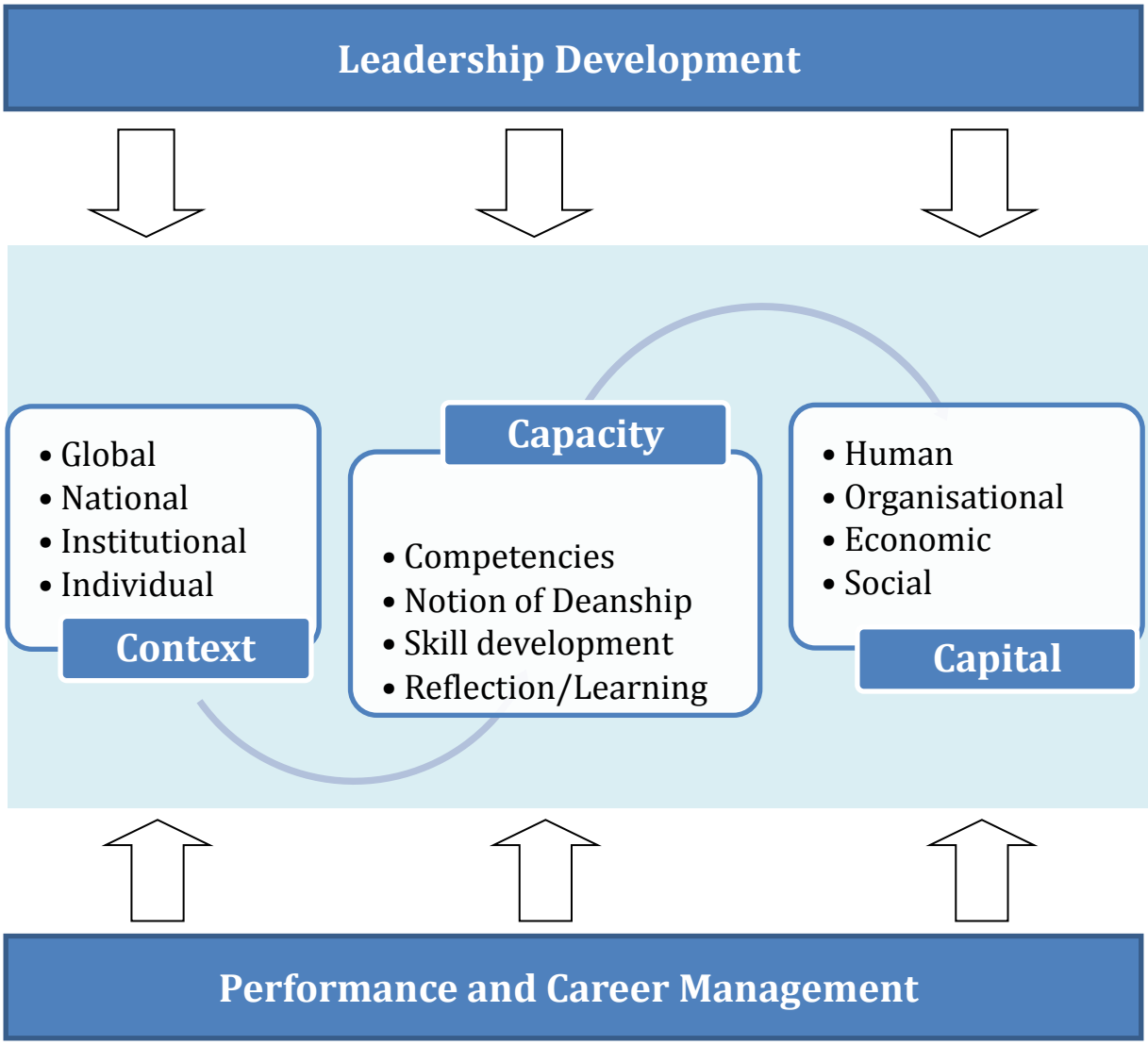


Figure 16. Framework for Managed Organisational Leadership Development (MOLD)

MOLD reflects the emerging primary hypothesis of this study that leadership development for deans is more appropriate and responsive when it

i. embeds and is cognisant of the *leadership context* which is complex and constantly changing;
ii. enhances individual and organisational *leadership capacity* through reflection and learning; and
iii. expands *leadership capital* through individual and organisational performance and career advancement.

It is premised on the notion that deans are career orientated, embrace leadership development opportunities and that their performance achievements are demonstrable.

The framework is guided and supported by an institution that is performance orientated and provides a conducive, enabling and empowering environment for leadership and management for deans. The framework embeds the 'post-heroic' notion of leadership, raised earlier by Huey (1994) and Nirenberg (1993), required for universities in the 21st century with its focus more on the organisational and social rather than the individual dimensions of leadership, knowledge and learning, as a collective responsibility.

In the MOLD framework *context* is about what constitutes the individuals who are located and operate within a particular organisational setting. It relates to the global, national and institutional influencers which impact on their leadership and management as well as organisational legacies and cultures. Equally important is the impact of change and its complexities in a transitional environment. It is to this setting that deans bring their knowledge, skills and experience, which in essence inform their leadership capability and determine their leadership journey (Robertson, 1998; Bargh et al., 2000; Pounder, 2001; Kotecha, 2003; Gmelch, 2003; Bundy, 2006).

Capacity relates primarily to job readiness for deans in terms of competencies, preparation and support for leading and managing in a complex, changing environment (Dill, 2001; Gmelch, 1999; Wolverton, Montez & Gmelch, 2000; Gmelch & Wolverton, 2002; Rosser et al., 2003; Johnson & Cross, 2006; Greicar, 2009). The backgrounds, knowledge and experience of deans relate to academia and they need to be 'schooled' in the executive management demands of the job. Equally important is their understanding and interpretation of their role as academic leader and more so nowadays, executive manager (Gmelch & Wolverton, 2002; Johnson & Cross, 2006; Scott et al., 2008; Greicar, 2009). What this is means is that they require appropriate preparation, ongoing leadership development and support for their roles and responsibilities. Leadership development here is viewed as a process that enables and empowers the individual and organisation to address the complexity of change, reflect and learn from their successes and failures, and focus their combined energy towards leadership effectiveness.

The demonstrable outcome for MOLD is the value-add or contribution to increase *capital* (human, organisational, economic and social). Key to this area is how leadership effectiveness is understood, managed and measured for deans. Some deans participating in this study at universities in Gauteng are subjected to performance management within their respective institutions but there are particular challenges relating to it. The adoption of corporate models, such as, for instance, the balanced scorecard and 360-degree evaluations, may have some value but their design and application more often than not do not take into account the unique setting

and challenges faced by universities. In addition the approaches used are generally top-down which elicits a negative and compliance response from most deans. A major component lacking from current performance management practices is a developmental focus and the absence of career planning and professional advancement. What MOLD posits is an approach to leadership development which is not only the initiator but also the driver of performance and increased capital for the individual dean and his or her institution. All three components – i.e. *leadership context, leadership capacity* and *leadership capital* – in this approach require and are directed by specific and agreed objectives, plans and execution strategies.

As demonstrated in the framework, and illustrated in the literature and data derived from this study, it is argued that the university's approach to leadership development for deans needs to be more effectively systematised, managed by the individual and the organisation, aligned to career management and professional development but, equally important, embedded in an appropriate performance management system. The holistic approach to leadership development as demonstrated in MOLD, is embedded by prevailing theories such as social constructivism (McMahon, 1997; Parry, 1998; Kukla, 2000; Lambert et al., 2002), action-reflection learning (Dewey, 1933; Schön, 1983), epistemic reflexivity (Bourdieu and Wacquant (1992)), and social capital (Burt, 1992; Tsai & Ghoshal, 1998; Brass & Krackhardt, 1999; Bouty, 2000; Schuller, 2000; Cohen & Prusak, 2001), and action research (Hult & Lennung, 2007) as explained earlier.

8.7 Conclusion

The literary and theoretical underpinnings as well as the evidentiary components in this chapter, expounded on the current approaches to leadership development and revealed that there are some gaps in these especially in relation to their effectiveness and return on investment, for the individual and their institution and sector as a whole. Experiences in other higher education systems point to the capability of deans to transcend a traditional academic role for a more strategic and executive one. This has been supported by appropriate, contextualised and systemic approaches to leadership development, which is currently missing from local higher education. Here too the notion of leadership capital was introduced as the third cog in an integrated framework for leadership development.

Drawing on the literature, data provided in this study and theoretical underpinnings, a systematised, integrated approach to leadership development was presented, informed by the unique leadership context within which a dean resides.

It also contributes to a better understanding of the leadership capacity requirements of deans in order to enhance their knowledge, skills and experience in an enabling environment. Finally, leadership capital was introduced as a new concept and mechanism for evaluating and determining the return on investment of leadership development interventions.

What the MOLD framework claims is that if leadership development for deans is reconceptualised in a systematised, integrated manner, planned and managed correctly in an enabling organisational setting, it may enhance an individual's competencies and result in improved organisational and sectoral outcomes. However, I would be remiss in advocating MOLD as *the* solution for addressing the current weaknesses in local approaches to leadership development, especially in relation to measuring its return on investment, but it does provide a platform for further investigation and engagement in the absence of any other more appropriate responses.

This in my view is key for local universities since failure to respond will perpetuate the current leadership and management complexities and, of greater concern, may be setting up the deans for failure with disastrous individual, institutional and sectoral implications.

CHAPTER 9: TO LEAD OR NOT TO LEAD: QUO VADIS DEANSHIP IN SOUTH AFRICAN UNIVERSITIES

The contemporary university is a postmodern, neo-liberal, competitive, boundary-less knowledge conglomerate, a far cry from its historical traditional, classical and collegial roots. Although remaining true to its primary mission of research, teaching and community engagement, its organisational form has changed significantly with concomitant implications for governance, leadership and management. Simply put, in universities nowadays the traditional methods of governance, leadership and management have been surpassed by more corporate-like approaches, characterised by performativity requirements and measures, and intent on a more efficient and effective generation and provision of knowledge in a very challenging internal and external environment. As witnessed elsewhere, the emergence of the entrepreneurial university locally illustrates a shift to a more business-like management and operational model with its focus on increased market share, fierce competition and multiple income streams.

Although this study acknowledges the prevailing resource constraints of universities globally and locally, a cautionary note for universities is that corporate-like market orientation to knowledge generation and dissemination has the inherent danger of advancing the private rather than the public good of higher education. In an unequal, economically and still deeply socially divided setting like South Africa, this may have far reaching negative implications for the policy imperatives of access and redress, post democracy. This is because it unintentionally, but not unsurprisingly, perpetuates the advantage of not a white, but rather a new black middle class elite who have the financial resources to make the best choices in terms of accessing quality higher education. In so doing, they prolong the apartheid legacy of disadvantage for poor and marginalised students.

Herein lies the critical requirement for policy makers, the sector and university leadership as a whole to ensure that the proverbial 'playing fields' are levelled. Talented, deserving students, no matter what their economic or social backgrounds, must not be excluded by a mere market orientated agenda driven by financial means rather than by their academic ability which, if applied, restores the public good of university education. In essence, universities are public institutions serving the public good, not corporate entities focused solely on the bottom-line and increasing shareholder value. This is particularly important in the local environment with its legacy of inequality and undeniable requirement for redress, a key lesson executives at the helm of these institutions, as the study illustrates, should heed.

What this study points to, is that besides global pressures, the contextual complexities of unique indigenous environmental settings – such as South Africa – add another dimension to how these institutions become relevant and responsive to the imperatives of change, transformation and redress. The challenging complexities of change – which include, amongst others, decreased funding, increased competition, sectoral restructuring and demands for performativity together with a greater market orientation by local universities – seem still to conspire against those students who have been historically excluded from access to higher education.

The massive reorganisation of the local sector with its related challenges and opportunities requires a new kind of leadership and management that hitherto has been absent in local universities, particularly at the level of senior managers like deans. If not addressed urgently and comprehensively by the sector's leadership and representative organisations like HESA, the current crisis in this domain will be perpetuated, with disastrous effects for South Africa's already complex and problematic higher education system.

Universities in Gauteng, and the rest of the country for that matter, are confronted by global issues but also face unique demands for greater relevance and responsiveness. As revealed and explored in Chapter 4, the systemic and organisational context of local universities is crucial because it provides the backdrop for reconceptualisation of the leadership and management requirements for deans. It is of real concern that deans are required to deal with the complexities of change in transition while overburdened with the ongoing policy and regulatory drivers of a state intent on top-down transformation and while they are simultaneously, faced with declining financial and other resources to achieve their organisational and individual objectives. Policy initiatives like the National Development Plan provide a blueprint for future long term economic and social development, especially in relation to the contribution of higher education, but the targets set for the sector are at best unrealistic and perhaps unlikely to be achieved in the current environment.

The fact of the matter is that deans are not coping and seem to be overwhelmed by a regulatory and operational environment which is neither empowering nor enabling for effective leadership and management. What this means is that some form of realism and pragmatism needs to be injected into the engagement between the state, higher education sector and other key role players in terms of the universities' contribution to economic growth, productivity and social prosperity in South Africa.

It seems that post-democracy South African higher education has not achieved its transformation goals in terms of increased access and success rates, in particular due to the under-preparedness of students for tertiary education for a variety of reasons and what appears to be a singular and not a collective response, by universities to this debilitating problem. This appears to have resulted from a crisis in governance, leadership and management in the sector, characterised by generally weak, dispersed and ineffective sectoral and institutional leadership. The apparent lack of impact two decades of state steering has had on the overall poor performance of the sector and the absence of accountability that accompanies it is a matter for concern. Equally disconcerting are the institutionally centred responses to gaining increased 'market share', sometimes at the cost of the sector, as evidenced by the intense competition amongst local universities, especially in the Gauteng region, for the best students and, increasingly, the declining pool of appropriately qualified and experienced academic and professional staff.

These are some of the real leadership and management conundrums local deans are confronted with and need to address. Another challenge is the introduction of performativity measures by local universities as a result of increased demands for accountability, efficiency and more effective use of financial and other resources. The evolving complex institutional context was exacerbated by the conception and implementation of 'executive deanship' in an unstable, under-resourced and under-performing higher education sector. Most universities, including the ones participating in this study, viewed this as an opportunity to address the increasing demands from multiple quarters for greater accountability, financial efficiency and management effectiveness. Some writers, cautiously welcomed this shift of focus but with some reservations, pointing especially to what its potential impact would be on strategic academic leadership, collegiality and the critical role played by deans in this regard. They were right in having these reservations.

As Chapter 5 shows in some detail, the whole-scale introduction of 'executive deanship' in South African universities seems to have failed to realise the broad, perhaps unrealistic, expectations or intended outcomes that were envisaged, in most universities participating in this study. It may have had limited success by providing the deans with greater autonomy and decision-making power in universities like Pretoria and Wits, but more generally it created role confusion, role ambiguity and unfortunately, in some cases, role alienation. The leadership narratives of deans confirmed that while this role has been reconfigured in the contemporary university and imbued with greater 'executiveness', most if not all incumbents are academics.

From an epistemological perspective, this underscores the apparent disjunction between role construct and profile of its actual inhabitant. In other words, the manner in which 'executive deanship' has been implemented in South African universities appears to be at odds with entry to and preparation for this important role. This study, like others in this area, points to one simple fact – deans are academic leaders and not executives in the corporate sense. Neglecting to recognise this assertion may result in potential conflict in how their identity is conceptualised, constructed and ultimately lived. In terms of their biographies, most deans spend a significant time on their academic and professional formation. This is their major contribution to the role. However, the redesigned notion of deanship nowadays requires an understanding of and ability to take on management functions at an executive level, such as finance, people, income generation, partnerships etc. This is undisputed.

Important, too, is the dean's ability to negotiate and navigate the political and social nuances of contemporary deanship. Their interface, bridging role between the administration and the academe is largely dependent on the kind of academic leadership they provide and sustained intellectual credibility amongst their peers and direct reports in the faculty. Although the deans, their line managers and other key informants recognised the duality of this role, in reality it is skewed towards the executive, administrative management dimensions with little if any support for a strategic advancement of the academic project. This study reveals a disjunction between the conception and current practice of 'executive deanship' and a contested discourse in terms of its understanding and implementation in some South African universities. This concept requires a renewed reflection on and response to what constitutes an effective dean in this environment. In order to address the erosion of collegiality in the academe and reinsert their strategic academic leadership focus, it is suggested that deans advocate team, participatory and distributed leadership in the faculty, given the integral role of the academe in the visioning and decision making which affects them.

As mentioned earlier in Chapters 5 and 6, the extent to which 'executivism' has hindered and hampered deans locally adds another layer of complexity to a challenging, contentious and broadly ill-conceived and misunderstood role. With little or, in some instances, no institutional support, deans are experiencing their roles whilst immersed in them, largely by trial and error. Some are overwhelmed, while most spend an inordinate amount of time, especially after hours, in balancing the demands of the job which come with their own challenges in terms of managing their work-life balance and physical and psychological well-being.

What emerges here is that deans in some South African universities have not been equipped for the managerial requirements of executive office and many have had limited training or prior executive experience. Parachuting them into a redesigned executive role under these circumstances is problematic and may prove disastrous for the individual, the institution and the sector as a whole.

As Chapter 6 illustrates, the actual journey to deanship and the incumbents' lived experiences point to a context characterised by a lack of preparedness and a general 'adapt or die', 'sink or swim' approach to this position. The leadership narratives of the deans who participated in this study are quite revealing. Most if not all relate major challenges in the transition to deanship, while for some the journey was quite traumatic, especially in institutions confronted by leadership crises. We hear the voice of an intellectual driven by passion in a disciplinary field and schooled in the traditions of pursuing knowledge and the advancement of scholarship, yet wanting to lead the faculty to new heights and to make a difference. Then there is the almost desperate voice of one displaced from this familiar, enabling and secure academic setting focused on individual endeavours into a different, perhaps for some even alien, world of executiveness with its collective focus, related demands and challenges.

The refrain from most participants is similar in that although the shift to deanship was a conscious choice for a variety of reasons, the preparation and support for this critical position was not forthcoming. Admittedly, for some deans their transition forms part of their career aspirations and plans in terms of following the management track in the future, whereas for others it is a transitional phase before returning to their first love, academia. No matter what the motivation is for taking on this challenging and, in the South African setting, quite contentious role, the deans participating in this study appear to be grappling with and in some cases not coping with the complex demands of the job. This study asserts that deanship in the local environment requires a different response, new knowledge and a distinctive skills set, as well as institutional support which focuses on both strategic academic leadership and executive management in a more nuanced, reconfigured role.

A key requirement emerging from the deans' narratives is for time and space for their own academic pursuits. In some cases, like the University of Pretoria and UNISA, the introduction of deputy deans as a formal position has, it seems, provided for a distribution of the administrative load thereby freeing up the dean for more strategic academic leadership. The University of the Witwatersrand, on the other hand, put in place a greater level of professional managerial support for the deans.

Although the administrative burden for the deans has been reduced in the case of the University of the Witwatersrand, there is still no institutionalised support for the diffusion of their academic leadership roles. If the focus for deans is to be on strategic academic leadership, the formalisation of deputy or assistant deans as an institutional support mechanism would be an appropriate response since it addresses four critical needs: (i) equal apportioning of the deans' academic and administrative responsibilities; (ii) operational continuity in the absence of the dean; (iii) a leadership pipeline for deanship; and (iv) opportunities for succession planning, which is glaringly absent in South African higher education.

As gleaned from this study, South African universities and the sector in general have recognised the need for leadership development for deans as an enabler of their performance and greater effectiveness in this setting. Some universities have adopted specific approaches to leadership development but these seem disconnected from the strategic institutional response linked to performance management and career advancement, as Chapter 7 illustrated and addressed. Some writers present leadership development as a response for building capacity and enabling improved performance for deans. Although experiences elsewhere have shown that leadership development has had a positive influence on behaviour and performance, there is little evidence to substantiate this claim given the absence of appropriate comprehensive assessment measures of the approaches and interventions adopted. What seems evident is that leadership development is not the panacea for addressing organisational ills and nor is training the 'magic bullet' some perceived it to be. On a positive note, since the commencement of this study there has been a shift towards more integrated approaches to leadership development particularly in countries like the United Kingdom, the United States and Australia and a marked increase in financial resourcing for realising its objectives at both sectoral and institutional levels.

In similar vein, while local universities are more cognisant nowadays of the need for leadership development, their responses seem inadequate and ad hoc, and implementation in most instances is disjointed. It appears that although training, coaching and mentoring are acknowledged to be key components of leadership development, deans seem to learn better from in situ leadership and management experiences and the 'war stories' shared with others in a similar role. As confirmed in this and other studies, in order to be effective, leadership development has to be systematised, integrated and aligned to institutional strategic objectives, performance management, career advancement and succession planning.

The discourse on leadership development for local deans has to be reframed in a manner that embeds not only its complexities and challenges but increasing 'executiveness' that places equal importance on both academic leadership and executive management, and includes succession planning, coupled with career management. Without adequate preparation and support prior to and during their tenure deans are being set up for failure. Experiences elsewhere point to the ability of deans to transcend a traditional academic role for a more strategic and executive one. An important requirement here, however, is appropriate, contextualised and systematised approaches to leadership development, which local higher education lacks. Chapter 7 closes with identifying the need for an alternative approach to leadership development which is cognisant of and responsive to institutional contexts, incorporates current leadership and management capacity and introduces the notion of leadership capital as a mechanism for monitoring and measuring the impact of leadership development for deans. It is further claimed that if conceptualised, planned and managed holistically in an empowering and enabling organisational setting, leadership development may enhance an individual's competencies and result in improved organisational outcomes.

Chapter 8 provided an overview and a critique of contemporary approaches to leadership development in international and local universities. International interventions and, more so, local responses point towards systematized, integrated leadership development aligned to institutional strategies, performance management, succession planning and career management. What is missing from these approaches however, is an appropriate methodology that measures the impact and return on investment of leadership development for the individual, their institution and ultimately the entire university sector.

In response, this study proposes an alternative methodology and evaluation process called Managed Organisational Leadership Development (MOLD). It focuses on the leadership and management contextual realities of deanship, what deans bring to the position in terms of the current and future leadership capacity, and it introduces leadership capital, which comprises human and economic capital. But it also introduces organisational and social capital which together provides an individual and organisational impact measurement mechanism presented as leadership capital, for deans in universities. As an emerging theoretical construct, MOLD provides an alternative means for evaluating and determining the impact of leadership development interventions in a more systematic manner.

In sum, this study provided new insights into, corroborated, refuted and enhanced prevailing discourses on university leadership, management and leadership development.

As such, it contributes to the epistemological, theoretical and methodological domains both globally and locally. It has done so by re-emphasising the unique leadership and management context of local higher education for deans coupled with other global determinants. This is important for policy makers and the sector's leadership in terms of how they conceptualise and implement more appropriate, context specific and relevant leadership development responses.

An elucidation of the notion and practice of 'executive dean' pointed to its theoretical and methodological flaws and the negative impact it has had on deans' understanding and practice of their roles. This study proposes a deeper, thicker epistemological and theoretical discourse on whether the envisaged intentions are still relevant or applicable and whether subsequent outcomes delivered the desired result. Although the emphasis of deanship has shifted towards managerial requirements, this study confirms that the strategic academic leadership dimension remains a key requirement for determining the effectiveness of deans. In fact, I would argue that it defines and acts as a measure of either the success or failure of the entire academic project.

Having reflected on the kind of leadership required in local universities, this study introduces a notion of post-heroic leadership that has various dimensions, is practised in different contexts and at various levels. Of note is the social and relational element of leadership with its focus on the needs of the collective rather than the individual, as traditionally understood and practised in the academe. What this means for local deans is that they need to guard against an overemphasis on positional authority and avoid what Johnson (2005) in her doctoral study refers to as 'contrived collegial managerialism'[213] by focusing on a genuine collegial, distributed and participatory approach to leading and managing their faculties. Theoretically, this study provided a reframing of leadership development that places equal importance on the leadership context and leadership capacity and introduces a third component of leadership capital, which up until now has been absent from predominant approaches. The conception and construction of leadership capital is based on a grounded theory methodology in which existing notions of individual, economic, organisational and social capital are knitted together and act as the theoretical frame for the design and implementation of an appropriate assessment tool for leadership development. This is probably the most significant contribution of the study to the corpus of knowledge in both local and global discourses on leadership development for deans.

On a professional and personal level this study has been more than just a scholarly and intellectual project aimed at acquiring a doctoral qualification.

[213] 'Contrived collegial managerialism' refers to the consequences of the imposition of managerialism upon collaborative cultures and practices.

Although it started out as such almost a decade ago, there are some lessons learned that I would like to reflect on. In part, I want to use the opportunity to take final leave of this endeavour and more than ever get my life back since, as a part-time doctoral student, it has consumed me for so long in more ways than one would ever have imagined. Although cognisant of the demands related to a project like this while holding down a full-time job, I must confess that in the end it has been an extremely empowering experience. This journey has allowed me to grow and push my own psychological and intellectual boundaries of what is possible both professionally and personally. Here I am reminded of the 19th century Danish philosopher Søren Kierkegaard who said:

> If I were to wish for anything, I should not wish for wealth and power, but for the passionate sense of what can be, for the eye which, ever young and ardent, sees the possible. Pleasure disappoints, possibility never. And what wine is so sparkling, what so fragrant, what so intoxicating as possibility.[214]

This project, though envisioned as an intellectual and social journey of enlightenment and discovery, made the possible doable. It provided me with some key lessons which have significantly influenced the manner in which I view and engage my world, especially in relation to leadership and management in my own domain, and universities generally. As a leadership development practitioner, the study allowed me to employ the rigours of research not only to explore but also to engage with and provide a voice for a group of unsung heroes, brave and committed individuals who take on the complex, often thankless, job of dean in local universities. I was privileged to gain access to their worlds and surprised but hugely encouraged by their willingness to engage – sometimes quite forthrightly, on what it means to be a dean at this point in South African higher education. This is an area which I believe we are not reflecting on enough at both institutional and sectoral levels.

So, in conclusion, what you see and hear, dear reader, on these many pages is the story of an apprentice leader, enriched leadership development practitioner and emergent social scientist who, having navigated the trials and tribulations, the highs and lows of scholarship, plodded through the rigours of quality research, stood on the shoulders of giants, scaled the intellectual peaks and delved into the deep dark valleys below, has sought and finally found his own voice.

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[214] https://www.goodreads.com/quotes/28777-if-i-were-to-wish-for-anything-i-should-not

It is a voice that can confidently claim that this project was not so much about the end result but more about the rewarding journey of self-discovery and evolution of an aspirant scholar who through this experience has contributed to the knowledge domain in leadership, management and leadership development in South African universities and I hope, through this endeavour, will become an agent for social change.

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APPENDIX A

LEADERSHIP DEVELOPMENT INTERVIEWS FOR DEANS AT SOUTH AFRICAN UNIVERSITIES

BACKGROUND

Contemporary notions of the university and its evolution as a post-democratic institution in South Africa provide a complicated but equally dynamic setting for a study on leadership development for deans. The literature and preliminary analysis of secondary data point to: (i) the multilayered complex nature of leadership; (ii) inextricable linkages between organisational and individual effectiveness and performance; and (iii) changes in career management and approaches and its impact on leadership development.

These factors will impact on an appropriate model for leadership development for deans in South African universities. Based on the aforementioned and the need for a more holistic approach to leadership development, the researcher will use systems thinking as the methodological construct for this study. The emerging framework will find expression through multiple lenses such as systems, organisational and individual development theories.

PURPOSE OF THE RESEARCH

The main purpose of this interview is to explore the viewpoints of deans on leadership, management and leadership development in South African universities. It is envisaged that the data gathered will assist with identifying the needs and key elements which will inform the design of an integrated framework for leadership development in South African higher education.

RESEARCHER AND CONFIDENTIALITY

The researcher in this study is Oliver Seale who is reading for a PhD in Leadership Development at the School of Education, University of the Witwatersrand, Johannesburg. He intends to develop an integrated model to leadership development in South African universities. Oliver may be contacted on 011 717 1203 or oliver.seale@wits.ac.za. The records of this study will be kept private. Any publication of the data will be aggregated and not include any information that will identify an institution or individual. The research records will be kept in a secured file to which only the researcher will have access.

INTERVIEW QUESTIONS

1. Please share with me your understanding of leadership and management
2. Please tell me about your leadership journey
3. Are you an executive dean?
4. How do you live your role as dean?
5. Please tell me about the appointment process for your position
6. Do you have a career plan?
7. What do you bring to the position of dean
8. What are your views on leadership development?
9. Have you participated in any leadership development activities?
10. Are you able to apply the knowledge and skills acquired from leadership development activities?
11. How would you describe an effective dean?
12. Does your university have a performance management system and how is it applied?

APPENDIX B

DEANS INTERVIEW SCHEDULE

Code	Name	Faculty	University	Date
Dean 1-11	Prof. R Moeketsi	Human Sciences	University of South Africa	1 August 2011
Dean 2-11	Prof. M Setati	Science & Engineering	University of South Africa	7 April 2011
Dean 3-11	Dr M J Linington	Agriculture & Environmental Sciences	University of South Africa	2 August 2011
Dean 4-11	Dr N L Mahao	Law	University of South Africa	6 September 2011
Dean 5-11	Prof. S Klopper	Humanities	University of Pretoria	16 May 2011
Dean 6-11	Prof. A Ströh	Natural Sciences	University of Pretoria	17 August 2011
Dean 7-11	Prof. G Swan	Veterinary Science	University of Pretoria	1 June 2011
Dean 8-11	Prof. E Buch	Health Sciences	University of Pretoria	7 April 2011
Dean 9-11	Prof. C Koornhof	Economics & Management	University of Pretoria	4 August 2011
Dean 10-11	Prof. J Buitendag	Theology	University of Pretoria	3 August 2011
Dean 11-11	Prof. M Sirayi	Arts	Tshwane University of Technology	1 December 2011
Dean 12-11	Dr S Mukhola	Humanities	Tshwane University of Technology	1 September 2011
Dean 13-11	Prof. P Marais	Natural Sciences	Tshwane University of Technology	31 August 2011
Dean 14-11	Prof. S Ojo	Information & Communication Technology	Tshwane University of Technology	13 September 2011
Dean 15-11	Prof. R Ryan	Humanities	University of Johannesburg	1 December 2011
Dean 16-11	Prof. S Gravett	Education	University of Johannesburg	10 November 2011
Dean 17-11	Prof. I C Burger	Natural Sciences	University of Johannesburg	10 November 2011
Dean 18-12	Prof. A Swart	Health Sciences	University of Johannesburg	17 January 2012
Dean 19-11	Prof. A Dempsey	Finance & Economic Sciences	University of Johannesburg	2 August 2011
Dean 20-12	Prof. C M van der Bank	Human Sciences	Vaal University of Technology	11 January 2012
Dean 21-12	Prof. R Mabuza	Applied & Comp Sciences	Vaal University of Technology	11 January 2012
Dean 22-12	Prof. R Dhurup	Economics & Management	Vaal University of Technology	11 January 2012
Dean 23-11	Prof. T Kupe	Humanities	University of the Witwatersrand	5 December 2011
Dean 24-11	Prof. A Crouch	Science	University of the Witwatersrand	22 December 2011
Dean 25-11	Prof. A Wadee	Health Sciences	University of the Witwatersrand	12 December 2011
Dean 26-11	Prof. B Lacquet	Engineering & Built Environment	University of the Witwatersrand	29 November 2011

APPENDIX C

INTERVIEW QUESTIONS FOR HUMAN RESOURCES DIRECTORS AND LINE MANAGERS

BACKGROUND

Contemporary notions of the university and its evolution as a post-democratic institution in South Africa provide a complicated but equally dynamic setting for a study of leadership development for deans. The literature and preliminary analysis of secondary data point to: (i) the multilayered complex nature of leadership; (ii) inextricable linkages between organisational and individual effectiveness and performance; and (iii) changes in career management and approaches and their impact on leadership development. These factors will impact on an appropriate leadership development model for deans in South African universities.

PURPOSE OF THE INTERVIEW

The main purpose of this interview is to explore the views of the deans' line managers, human resources directors and former deans on leadership development in Gauteng universities. It is envisaged that the data gathered will assist with identifying the needs and key elements which will inform the design of an integrated framework for leadership development for deans in South African universities.

RESEARCHER AND CONFIDENTIALITY

The researcher for this study is Oliver Seale who is reading for a PhD at the School of Education, University of the Witwatersrand, Johannesburg. Oliver may be reached at 011 7171203 or oliver.seale@wits.ac.za. The records of this study will be kept secure and confidential. Any publication of the data will be aggregated and not include any information that will identify an institution or individual.

INTERVIEW QUESTIONS

1. Please share with me your understanding of the term 'executive dean'
2. Are the deans in your university executive deans?
3. What are some of the main internal and external challenges experienced by deans in your university?
4. What are your views on career planning and advancement for deans?
5. What are your views on performance management for deans in your university?
6. Please share with me your understanding of leadership development for deans
7. Does your university have a leadership development strategy?
8. Does your university align performance management and leadership development for deans and how?
9. What kind leadership development interventions does your university offer deans?
10. How does your university measure and evaluate the impact of leadership development initiatives for deans?

APPENDIX D

INTERVIEW QUESTIONS FOR THE ACTING CHIEF EXECUTIVE OFFICER OF HESA ON LEADERSHIP DEVELOPMENT FOR DEANS AT UNIVERSITIES IN GAUTENG

BACKGROUND

Contemporary notions of the university and its evolution as a post-democratic institution in South Africa, provide a complicated but equally dynamic setting for a study of leadership development for deans. The literature and preliminary analysis of secondary data point to: (i) the multilayered complex nature of leadership; (ii) inextricable linkages between organisational and individual effectiveness and performance; and (iii) changes in career management and approaches and their impact on leadership development. These factors will impact on an appropriate leadership development model for deans in South African universities.

PURPOSE OF THE INTERVIEW

The main purpose of this interview is to explore the views of the sector experts on leadership development for deans in universities. It is envisaged that the data gathered will assist with identifying the needs and key elements which will inform the design of an integrated framework for leadership development for deans in South African universities.

RESEARCHER AND CONFIDENTIALITY

The researcher in this study is Oliver Seale who is reading for a PhD at the School of Education, University of Witwatersrand, Johannesburg. Oliver may be reached at 011 7171203 or oliver.seale@wits.ac.za. The records of this study will be kept secure and confidential. Any publication of the data will be aggregated and not include any information that will identify an institution or individual.

INTERVIEW QUESTIONS

1. Please share with me your understanding of the term ‘executive dean’
2. What in your view are some of the main internal and external challenges experienced by deans in universities?
3. What are your views on career planning and advancement for deans?

4. What are your views on performance management for deans?
5. Please share with me your understanding of leadership development for deans
6. Please share with me HESA's strategy on leadership development in HE
7. What kind leadership development interventions does HESA offer deans?
8. How does HESA measure and evaluate the impact of leadership development initiatives in universities?

APPENDIX E

INTERVIEW SCHEDULE FOR HUMAN RESOURCES DIRECTORS AND LINE MANAGERS

Code	Name	Designation	Institution	Date
LM 01-12	Prof. M C Mare	Vice-Principal: Teaching & Learning	University of South Africa	14 June 2012
HR 01-12	Dr M Singh	Human Resources Executive Director	University of South Africa	22 June 2012
LM 02-12	Prof. R Crewe	Acting Senior Vice-Principal	University of Pretoria	14 June 2012
LM 03-12	Prof. M Nkomo	DVC: Teaching, Learning & Technology	Tshwane University of Technology	15 June 2012
HR 02-12	Dr P E Mokgobu	Human Resources Executive Director	Tshwane University of Technology	27 June 2012
HR 03-12	Dr P Dube	Human Resources Executive Director	University of Johannesburg	27 June 2012
LM 04-12	Prof. L Nongxa	Vice-Chancellor	University of the Witwatersrand	2 June 201
HR 04-12	Dr K Kasonkola	Human Resources Senior Director	University of the Witwatersrand	4 June 2012
LD 01-12	Dr J Mabelele	Acting CEO	HESA	18 June 2012

ANNEXURE F

LEADERSHIP, MANAGEMENT AND DEVELOPMENT STUDY QUESTIONNAIRE FOR SENIOR AND MIDDLE MANAGERS AT SOUTH AFRICAN UNIVERSITIES

Purpose of the research

The main purpose of this research is to explore the viewpoints of senior and middle managers on leadership, management and development policy and practice, in South African universities. It is anticipated that the data gathered will assist with identifying the needs and key elements which will inform the design of an integrated framework for leadership and management development in South African higher education.

Researcher

The researcher for this study is Oliver Seale, the Programme Director of HESA's Higher Education Leadership and Management Programme (HELM). Oliver is reading for a PhD in Educational Policy at the School of Education, University of Witwatersrand, Johannesburg. He intends to develop an integrated model on leadershp development in higher education. The model will assist key roleplayers in the university system with institutional benchmarking and their approaches to leadership and management development. As a participant, your institution will have electronic access to the survey report. Oliver may be contacted on 012 481 2861 or oliver@hesa.org.za.

Confidentiality

The records of this study will be kept private. Any publication of the data will be aggregated and not include any information that will identify an institution or individual. The research records will be kept in a secured file to which only the researcher will have access to the records.

Format

Participants are requested to voluntarily respond in writing to following questions on their understanding of leadership, capabilities and experiences. The questions also address the issue of leadership capacity and support networks.

There is no limit to how much information participants should provide. The researcher will appreciate a comprehensive response to the various questions with examples where possible.

The Survey comprises 18 questions which have been divided into 2 sections:

Section A: Personal information
Section B: Leadership and development

Where appropriate simply **answer Y/N, encircle the appropriate choice in the relevant columns or include the requested detail**.

PLEASE SEND THE COMPLETED QUESTIONNAIRES TO:

Oliver Seale
via
Email: oliver@hesa.org.za *or*
Fax: (012) 481 2843

RETURN DATE IS THURSDAY, 30 NOVEMBER 2006

Section A: Personal information

1. Name of your institution: ……

2. What is your current position: ……

3. Gender *(please encircle)*

Female	1
Male	2

4. Nationality

South African	1
Other (please indicate)	2

5. Race

African	1
Coloured	2
Indian	3
White	4
Other *(please indicate)*	5

6. Into which age group do you fall?

(please encircle)

30-35	36-40	41-45	46-50	51-55	56-60	60+

7. Number of years in your current position?

(please encircle)

0-2yrs	3-4yrs	5-6yrs	7-8yrs	9-10yrs	>10yrs

8. (a) Have you been appointed on a fixed term contract? (Yes or No)……

(b) If yes, what is the length of your contract in years?……

9. (a) Have you been elected to your current position? (Yes or No)……..

(b) If yes, what is the length of your term in years?…….

10. What are your responsibilities in your current position? Please mark as many of the categories below as apply to your position. *(please tick relevant boxes)*

a) Strategic and operational planning	
b) Research management	
c) Finance management	
d) Administration	
e) People management	
f) Fundraising	
g) Risk management	

h) Internal relations (e.g. unit, discipline, institution role-players)	
i) External relations (e.g. industry, research agencies, funders, NGOs)	
i) Project management [215]	
j) Staff development	
k).Teaching and learning	
l) Other	

Section B: Leadership and development

11. How do you define leadership and what in your view are the qualities and characteristics of effective leaders?

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[215] Managing once-off projects for your institution by applying project management principles/techniques.

12. Do you think you have the required leadership knowledge, competencies and experience for your current position? Please explain your answer

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13. Who were the major influencers on your leadership journey and how did this impact on your personal development?

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14. What are the major personal and institutional challenges affecting your leadership and how are you addressing these challenges?

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15. How would you describe the organisational environment, culture and leadership practice in your institution?

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16. Do you find that there are adequate and appropriate institutional systems and processes that support leadership and management development at your institution?

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17. Do you have internal and/or external networks that support your leadership practice and development?

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18. Any other comments or views you may have on leadership, management and development in higher education.

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Thank you for participating is this research study.

Oliver Seale

ANNEXURE G

LEADERSHIP DEVELOPMENT QUESTIONNAIRE FOR HUMAN RESOURCE DIRECTORS AT UNIVERSITIES IN GAUTENG

Purpose of the research

The main purpose of this questionnaire is to explore the viewpoints of HR directors on leadership and management development policy and practice in South African universities. It is anticipated that the responses gathered from this questionnaire will assist with identifying the needs and key elements which will inform the design of an integrated framework for leadership development for Deans in South African higher education.

Researcher

The researcher for this study is Oliver Seale who is reading for a PhD in Leadership Development at the School of Education, University of Witwatersrand, Johannesburg. He intends to develop an integrated model to leadership development in South African universities. Oliver may be contacted on 011 717 1203 or oliver.seale@wits.ac.za. The records of this study will be kept private. Any publication of the data will be aggregated and not include any information that will identify an institution or individual. The research records will be kept in a secured file to which only the researcher will have access.

Confidentiality

The records of this study will be kept private. Any publication of the data will be aggregated and not include any information that will identify an institution or individual. The research records will be kept in a secured file to which only the researcher will have access to the records.

Format and instructions

The Survey comprises 21 questions which have been divided into 3 sections:

Section A: Institutional information
Section B: Human resource policies and procedures
Section C: Leadership and management development

Sections B and C of the questionnaire should take about **25-30 minutes** to complete. Where appropriate simply **answer Y/N, encircle, or X the appropriate choice in the relevant columns or include the requested detail**.

SEND COMPLETED QUESTIONNAIRES TO:

Oliver Seale
via
Email: oliver.seale@wits.ac.za *or*
Fax: (011)

RETURN DATE IS MONDAY, 30 JANUARY 2012

Section A: Institutional information

1. Name of your institution: ……

2. How many staff does your institution employ on a permanent and/or fixed term contract basis?*(please insert the total number in the relevant column)*

Level	**Permanent**	**Fixed Term Contract**
a). Academic		
b). Support		

3. What **percentage of the institution's total annual operations budget** is spent on human resources i.e. remuneration, staff development, employee assistance programme etc?*(please place an X the relevant column)*

41-50%	51-60%	61-70%	71-80%

4. Please indicate what **percentage of the total annual human resources budget** is spent on staff development in your institution? *(please place an X the relevant column)*

1-5%	6-10%	11-15%	16-20%

5. Does your institution disaggregate the expenditure in the total staff development budget on a unit or functional basis for academic and administrative departments? *(please encircle)*

Yes	No	Unsure

6. If you answered yes to 6 above, please indicate **what percentage of the total staff development budget** in your institution is spent on the following categories?*(please encircle or place an X)*

Development budget	>5%	5-10%	11-15%	16-20%	<20%
a). Senior managers (Admin)	1	2	3	4	5
b). Middle managers (Admin)	1	2	3	4	5
c). Deans & Deputy Deans	1	2	3	4	5
d). Heads of Schools	1	2	3	4	5
e). Heads of Academic Departments	1	2	3	4	5
f). Academic staff	1	2	3	4	5
g). Admin & support staff	1	2	3	4	5

7. Does your institution apply for and receive any **mandatory grants** for staff development activities from the ETDP SETA? *(please encircle or place an X)*

Yes	No	Unsure

8. If you answered yes to 9 above, please indicate **what percentage of the total mandatory grant** amount received from the ETDP SETA is applicable to the following staff categories? *(please encircle or place an X)*

ETDP SETA grants	>5%	5-10%	11-15%	16-20%	<20%
a). Senior managers (Admin)	1	2	3	4	5
b). Middle managers (Admin)	1	2	3	4	5
c). Deans & Deputy Deans	1	2	3	4	5
d). Heads of Schools	1	2	3	4	5
e). Heads of Academic Departments	1	2	3	4	5
f). Academic staff	1	2	3	4	5
g). Admin & support staff	1	2	3	4	5

Section B: Human resource planning and development

9. Please indicate whether the following policies, plans and procedures form part of the **human resources strategic plan** at your institution. *(please encircle or place an X)*

Policies, plans & procedures	Yes	No	Unsure
a). Recruitment & selection policy	1	2	3
b). Employment equity plan	1	2	3
c). Workplace skills plan	1	2	3
d). Staff succession plan	1	2	3
e). Staff induction & orientation	1	2	3

f). Staff termination & exit procedures	1	2	3
g). Performance management system	1	2	3

10. Please review the following statements and tell us what you think of the view expressed in each statement *(please encircle or place an X)*

Development strategy/plan	Strongly disagree	Disagree	Unsure	Agree	Strongly agree
a). Our institution values staff & is committed to their professional & personal development	1	2	3	4	5
b). Our institution has adopted a holistic and integrated approach to staff development	1	2	3	4	5
c). Our institution provides adequate resources for staff development at all levels	1	2	3	4	5
d). The development needs of all staff are addressed in our Workplace Skills Plan	1	2	3	4	5
e). Staff development plans form part of our performance management system	1	2	3	4	5

Development strategy/plan	Strongly disagree	Disagree	Unsure	Agree	Strongly agree
f). Line managers are aware of and support the development needs of staff	1	2	3	4	5
g). Line managers assist with identifying development activities for their staff	1	2	3	4	5
h). All staff are aware of and understand the benefits of development	1	2	3	4	5
i). All staff willingly participate in development initiatives and activities	1	2	3	4	5

11. Please indicate who is responsible for staff development in your institution for the staff categories listed below? *(please encircle or place an X)*

Development responsibility	Line Manager	HR/Train. Manager	Skills Dev. Facilitator	Staff Dev. Unit	Academic Dev. Unit
a). Senior managers (Admin)	1	2	3	4	5
b). Middle managers (Admin)	1	2	3	4	5
c). Deans & Deputy Deans	1	2	3	4	5
d). Heads of Schools	1	2	3	4	5
e). Heads of Academic Depts	1	2	3	4	5
f). Academic staff	1	2	3	4	5
g). Admin. & Support staff	1	2	3	4	5

12. Is participation in staff development opportunities at various levels **mandatory** your institution? *(please encircle or place an X)*

Yes	No	Unsure

13. Where participation in development activities is **mandatory**, the average level of take-up by the following categories of staff **annually** is *(please encircle)*

Mandatory participation levels	>5%	5-10%	11-15%	16-20%	<20%
a). Senior managers (Admin)	1	2	3	4	5
b). Middle managers (Admin)	1	2	3	4	5

c). Deans & Deputy Deans	1	2	3	4	5
d). Heads of Schools	1	2	3	4	5
e). Heads of Academic Departments	1	2	3	4	5
f). Academic staff	1	2	3	4	5
g). Admin. & Support staff	1	2	3	4	5

14. Where participation in development activities is voluntary, the average level of take-up by the following categories of staff **annually** is *(please encircle or place an X)*

Voluntary participation levels	>5%	5-10%	11-15%	16-20%	<20%
a). Senior managers (Admin)	1	2	3	4	5
b). Middle managers (Admin)	1	2	3	4	5
c). Deans & Deputy Deans	1	2	3	4	5
d). Heads of Schools	1	2	3	4	5
e). Heads of Academic Departments	1	2	3	4	5
f). Academic staff	1	2	3	4	5
g). Admin. & Support staff	1	2	3	4	5

Section C: Leadership and management development

15(a) Please indicate the level of participation for **senior managers**[216] at your institution in the activities listed below. *(please encircle or place an X)*

Institutional development activities	Very poor	Poor	Satis-factory	Good	Very good
i). Job induction and orientation	1	2	3	4	5
ii). Personal career and development planning	1	2	3	4	5
iii). Performance reviews and evaluation	1	2	3	4	5
iv). Succession planning	1	2	3	4	5

16(b) Please indicate the level of participation for **middle managers**[217] at your institution in the activities listed below. *(please encircle or place an X)*

Institutional development activities	Very poor	Poor	Satis-factory	Good	Very good
i). Job induction and orientation	1	2	3	4	5
ii). Personal career and development planning	1	2	3	4	5
iii). Performance reviews and evaluation	1	2	3	4	5
iv). Succession planning	1	2	3	4	5

[216] **Senior managers** in this study include the Vice-Chancellor, Pro Vice-Chancellor, Deputy Vice-Chancellor, Registrar, Executive Directors, Deans and Heads of Schools.

[217] **Middle managers** in this study include Directors or Heads of academic and administrative divisions/units.

17(a) Please indicate **what percentage of senior managers** participated in the development activities listed below **during the past year**. *(please encircle or place an X)*

Participation in various activities	None	>5%	5-10%	11-15%	16-20%	<20%
i). Formal programmes (e.g. postgrad certificate/diploma in mgt, MBA)	1	2	3	4	5	6
ii). External short courses on leadership or management (e.g. HELM)	1	2	3	4	5	6
iii). Mentoring or coaching programme	1	2	3	4	5	6
iv). Internal training (e.g. finance, HR)	1	2	3	4	5	6
v). Local or international conferences, workshops, seminars	1	2	3	4	5	6

17(b) Please indicate **what percentage of middle managers** participated in the development activities listed below **during the past year**. *(please encircle or place an X)*

Participation in various activities	None	>5%	5-10%	11-15%	16-20%	<20%
i). Formal programmes (e.g. postgrad certificate in mgt, MBA)	1	2	3	4	5	6
ii). External short courses on leadership or management (e.g. HELM)	1	2	3	4	5	6
iii). Mentoring or coaching programme	1	2	3	4	5	6
iv). Internal training (e.g. finance, HR)	1	2	3	4	5	6
v). Local or international conferences, workshops, seminars	1	2	3	4	5	6

18(a). Please indicate the likelihood of **senior managers** at your institution seeking development opportunities from the list below. *(please encircle or place an X)*

Development needs	Very Unlikely	Unlikely	Neutral	Likely	Very Likely
i). Leadership	1	2	3	4	5
ii). Performance management	1	2	3	4	5
iii). Team management	1	2	3	4	5
iv). Strategic & operational planning	1	2	3	4	5
v). Finance management	1	2	3	4	5
vi). People management	1	2	3	4	5
vii). Quality management	1	2	3	4	5
viii). Personal management	1	2	3	4	5
ix). Conflict management	1	2	3	4	5
x). Communication skills	1	2	3	4	5
xi). Managing change	1	2	3	4	5
xii). Project management	1	2	3	4	5
xiii). Fundraising	1	2	3	4	5

18(b). Please indicate the likelihood of **middle managers (admin)** at your institution seeking development opportunities from the list below. *(please encircle or place an X)*

Development needs	Very Unlikely	Unlikely	Neutral	Likely	Very Likely
i). Leadership	1	2	3	4	5
ii). Performance management	1	2	3	4	5
iii). Team management	1	2	3	4	5
iv). Strategic & operational planning	1	2	3	4	5
v). Finance management	1	2	3	4	5
vi). People management	1	2	3	4	5
vii). Quality management	1	2	3	4	5
viii). Personal management	1	2	3	4	5
ix). Conflict management	1	2	3	4	5
x). Communication skills	1	2	3	4	5
xi). Managing change	1	2	3	4	5
xii). Project management	1	2	3	4	5
xiii). Fundraising	1	2	3	4	5

19. Please indicate how is participation in development activities for **senior and middle managers monitored** at your institution?

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20. Please indicate how is participation in development activities for **senior and middle managers evaluated** at your institution?

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21. Do you have any other **comments or observations on leadership and management development** activities in your institution.

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Thank you for completing this questionnaire