AN ACADEMIC LEADERSHIP MODEL FOR TRANSFORMATION TOWARDS LEARNING ORGANISATIONS IN HIGHER EDUCATION

by

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SUMMARY

The pressures and demands for change and transformation are not bounded by national borders or geography and the complex challenges facing higher education call for a diversity of viewpoints and approaches. Institutional leadership must adjust to realize the full potential of institutions. Leaders will have to look beyond their own self - interest and meet the emotional needs of followers and find a radically new understanding of what it is to be effective.

The study indicates that higher education institutions must have the will and the ability to adjust and respond to rapid change. It will be the responsibility of the leader(s) to define reality, to have an understanding of the past, the present and the future. Leading requires a refocusing of the mind, that includes fundamental beliefs, knows what it aspires to and where it is going to.

Organisations have become so complicated that conditions must be created that are flexible enough that they can create a value system and learning culture that will inspire employees to participate enthusiastically, and at the same time enable and empower followers and individual leaders. However, before leaders can lead others, they must learn to lead themselves. Leaders have to understand that self - leadership is the power that drives new "boundaryless organizations."

Such strategies help to create organisational culture where people value strong leadership and strive to create it. For higher education institutions to be able to survive the next millennium, they will have to strive for empowering their workforce and becoming learning organisations. Employees must experience the aliveness of a learning organisation, of something that has to do with the "whole"(Senge, 1990:339;371).

The format of the study is that of a literature review of the leadership, transformation and learning organisations disciplines for the purpose to identify patterns and regularities to provide a systematic representation to be able to create a model.

The model for academic leadership to accommodate change and transformation provides the institutional culture for leadership development and becoming learning organisations.

The model gives a "(w)holistic" viewpoint on how leadership development in institutions can create the "space" to become, not only, learning organisations, but boundaryless organisations as well.

OPSOMMING

Geografiese ligging en grense is nie 'n voorvereiste vir die druk en eise vir verandering en transformasie van die komplekse uitdagings wat hoër onderwys in die gesig staar nie.Om die uitdagings te kan hanteer, is dit nodig om verskillende uitgangspunte en beskouinge te oorweeg. Institusionele leierskap sal moet aanpas om sodoende die volle potensiaal van instansies te kan bereik. Leiers sal verby hulle eie selfgesentreerheid moet kyk om sodoende aan die emosionele behoeftes van hul volgelinge te kan voldoen. Terselfdertyd sal 'n radikale nuwe begrip gevind moet word om te weet wat effektiwiteit is.

Die studie dui aan dat hoër onderwysinstellings die wil en die vermoë moet hê om te kan aanpas om sodoende op vinnige verandering te kan reageer. Dit sal die verantwoordelikheid van die leier(s) wees om die kundigheid te hê om die realiteite te kan identifiseer en om begrip te hê van die verlede, die hede en wat die toekoms inhou. Om leiding te kan gee vereis om opnuut te kan fokus en nuut te kan dink oor, onder andere, fundamentele uitgangspunte, waarna gestrewe word en waarheen dit kan lei.

Die gekompliseerdheid van organisasies vereis dat 'n omgewing geskep moet word, wat so aanpasbaar is dat spesifieke waardes en 'n kultuur van leer ingestel kan word. Die getransformeerde omgewing moet werknemers inspireer om op 'n entoesiastiese wyse deel te neem en deel te wees van die veranderde omgewing. Dit moet ook terselfdertyd die volgelinge en individuele leiers bemagtig, asook die geleentheid bied tot selfontwikkeling. Leiers moet egter eers leer om hulleself te lei voordat hulle aan ander leiding kan gee. Leiers moet bewus wees daarvan dat om jouself te kan lei die magsbasis en dryfveer is vir nuwe "grenslose organisasies".

Hierdie strategieë kan help om 'n organisasieklimaat en -kultuur te skep waar werknemers streef na sterk leierskap en terselfdertyd die waarde van leierskap hoog ag. Hoër onderwysinstansies sal dus daarna moet streef om werknemers te bemagtig en om lerende organisasies te ontwikkel om te kan oorleef in die volgende eeu. Werkernemers

moet die skeppende en lewegewende gevoel van lerende organisasies ervaar, waar die individu 'n deel van die "geheel" vorm (Senge, 1990:339;371).

Die studie bestaan uit 'n literateuroorsig met betreking tot drie studievelde: transformasie, leierskap en lerende organisasies, om sodoende patrone en ooreenkomste te kan vasstel om 'n sistematiese uiteensetting en die ontwikkeling van 'n model te kan gee. Die model vir akademiese leierskap vir die doel van transformasie en verandering voorsien die geleentheid vir die ontwikkeling van 'n institusionele kultuur van leierskap en lerende organisasies. Die model gee 'n holistiese beskouing van hoe leierskap en die ontwikkeling van leierskap die "ruimte" bewerkstellig om lerende organisasies en grenslose organisasies te skep.

CHAPTER 1

ORIENTATION TOWARDS THE STUDY

1.1   INTRODUCTION

Higher education in South Africa is in the midst of transformation and change to serve a new social order. The Education White Paper 3 (RSA DOE, 1997a:1) states that: "South Africa's transition from apartheid and minority rule to democracy requires that all existing practices, institutions and values are viewed anew and rethought in terms of their fitness for the new era."

It is imperative for higher education institutions to transform. Academic leadership is put to the challenge to find creative solutions to accommodate the change, vision and principles of transformation and change (RSA DOE, 1997a:1-7).

Paine (1775) cited by Jaworski (1996:160) said that: "We have it in our power to begin the world all over again. A situation similar to the present hath not appeared since the days of Noah until now. The birthday of a new world (country) is at hand." Facing the twenty-first century, it is not only the South African higher education scene that needs to change, higher education institutions need also to be mindful of the extent to which "university" planning, transformation and change should take into account what is occurring elsewhere in the world (Clark, 1997:xvi). The challenges facing higher education institutions require a new paradigm of how we think about higher education (Peterson, Dill & Mets, 1997:xix).

1.2   BACKGROUND TO THE PROBLEM AND PROBLEM STATEMENT

Transforming higher education in South Africa is part of the overall process of political,

social and economic transformation and change in reconstructing the social order in the country (RSA DOE, 1997a:3). Higher education institutions are confronted with the challenge to eradicate and redress the historical fragmentation, inequality and inefficiency of the past and to "... provide education and training to develop the skills and innovations for national development and successful participation in the global economy" (RSA DOE, 1997a:4).

The vision for higher education transformation needs the total attention of leaders in higher education if they are to respond to the many forces for change (Figaji, 1997:286). The paradigm shift as indicated in the higher education transformation documentation, needs the type of leadership which can make a shift towards transformation and change, and think newly and differently about their task as institutions of higher learning.

It will be necessary to develop a synchronised model of alignment for academic leadership to be able to institutionalise and manage the planned and structured changes. Considering the future needs, the ideal model is legitimate power and empowerment where purpose, vision and commitment to outcomes are jointly shared. This will need special leadership skills and roles that need to be implemented creatively to suit the needs of institutions of higher learning.

According to Senge (1990:14) institutions / organisations need to continually expand their capacity to create their future. Institutions which are able to capture all these forces of change, and systematically synergise them will be those who will be able to make quantum leaps up the transformation ladder to the next stage "... that of becoming learning organisations". These institutions will be able to learn powerfully and collectively and will continually transform themselves to better collect, manage, and use knowledge for institutional success (Marquardt, 1996:2). What one therefore would like to see is that Higher Education institutions become learning organisations.

Against this background the following assumptions can be made:

• An academic leadership model can be developed to accommodate the transformation in higher education as envisaged for South Africa.

• A conceptual model for academic leadership can be put into place to enable academic leadership to transform higher education in South Africa.

• Institutions of higher learning and academic teaching can be transformed into becoming learning organisations.

1.3   PURPOSE OF THE STUDY

The study aims to develop a model for academic leadership to address the change and transformation in higher education and at the same time enable institutions to become learning organisations. In order to accomplish this outcome, the following steps were followed:

• The researcher has given an overview of the forces for change and transformation on international and national level to serve as a background to investigate the challenges that leadership will have to face in the process.

• An overview of leadership theory and research was given as well as the role of institutional and individual leaders in the process of change.

• Change and transformation generate new forms of learning and understanding. How institutions learn and how a fundamental shift of mind can take place have been researched.

• The literature review was used to creatively conceptualise and construct a model for academic leadership to accommodate transformation and change.

1.4   RESEARCH DESIGN AND METHODOLOGY

Mouton (1996:24) finds it useful to compare scientific research to a journey. He indicates that a person undertakes a journey with a specific purpose in mind to reach a specific destination. McMillan and Schumacher (cited by Fourie, 1996:7) define research as "...a process of systematically collecting and logically analyzing information for a particular purpose."

For the purpose of this study an extensive computer search through the Human Sciences Research Council (HSRC) library in Pretoria has been done to review the literature in three main fields of study:

- Transformation,
- Leadership, and
- Learning organisations.

This information was used to do a comprehensive review of the literature on the nature of leadership, academic leadership and the roles and skills of leadership to successfully develop a model for academic leadership for the purpose of change and transformation towards learning organisations in higher education.

The researcher has used concepts in the literature of the three fields of study to conceptualise and construct a model. Mouton (1996:181) argues that concepts are 'carriers' of meanings and words. "Concepts may be defined as the most elementary symbolic constructions by means of which people classify or categorise reality.... A concept is (therefore) a symbol of meaning."

These concepts were used for the purpose of conceptualisation to reveal certain similarities and / or relationships in a simplified form to draw the attention to specific aspects in the three fields of study. This indicates that conceptual analysis / explication

formed the basis of creating 'new' understanding and 'new' meaning (Mouton & Marais, 1990:59) to form a conceptual framework to inform the constructing of a model for academic leadership towards the transformation and change to learning organisations in higher education.

Mouton (1996:195) deliberates that models provide a systematic representation of phenomena by identifying patterns and regularities amongst variables. Kaplan (cited by Mouton,1996:198) maintains that "the model is a particular mode of representation, so that not all its features correspond to some characteristics of its subject matter". Mouton (1996:196) and Mouton and Marais (1990:140) argue that "... the term 'model' is probably one of the most ambiguous in the vocabulary of the social scientist ... (and) that the heuristic (discovering) function is the most common characteristic of models."

Giere (cited by Mouton & Marais, 1990:139) deliberates that the use of models can be described in general terms as the asking of new questions. "The model also suggests ways of answering the questions ... So it is clear that models as the basis of analogies do play an important role in scientific research." It is, however, important to keep in mind that studying or using models (as indicated by the definition of Kaplan) is nothing more than a partial representation of a given phenomenon. It is a simplification of broad study fields (such as Transformation, Leadership and Learning Organisations) that have drawn the attention of the researcher to the specific theme of the study.

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

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

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

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

The proposed model was informed by the guidelines and principles for transformation, as spelt out in the White Paper 3 (RSA DOE, 1997a:1-7), to create a total "metanoia - a shift of mind" (Senge, 1990:13).

The aim of the researcher is (as indicated by Gorrel's characteristics of a model) to:

- Use the literature review in the three fields of study to conceptualise new questions and answers.
- Reveal similarities and / or relationships within the three fields of study to limit, isolate and simplify the domain researched.
- Provide explanatory diagrams to conceptualise new understanding and new meaning within the three fields of study.

The model tries to emulate the words of Bennis (1993:15): "In these new organizations, participants will be called on to use their minds more than at any other time in history. Fantasy and imagination will be legitimized in ways that today seem strange. Social structures will no longer be instruments of repression ... but will exist to promote play and freedom on behalf of curiosity and thought."

1.5   CLARIFICATION OF TERMS

1.5.1   Leadership

According to Bennis (1989:66) a person cannot function without a brain, in the same way can a society, organisation / institution not function without leaders.

Gardner (1990: 1) defines leadership as "the process of persuasion or example by which an individual (or leadership team) induce a group to pursue objectives held by the leader or shared by the leader and his or her fellows."

This statement fits with that of Senge (1990:359). He declares that what distinguishes leaders from others "...is the clarity and persuasiveness of their ideas, the depth of their commitment, and their openness to continually learning more." In their leadership they do not necessarily "have the answer", but they instill confidence in those around them, that, together, "we can learn whatever we need to learn in order to achieve the results we truly desire."

1.5.2   Academic leadership

Leadership has become synonymous with organisations and management. For the purpose of this study, though, the focus will be on academic leadership.

Middlehurst (1993:166) states that the general features of higher education have an impact on the definition of leadership. Middlehurst indicates that "... developing an ethos of constructive challenge and self-critical dialogue is a key task for 'a learning leadership' in a collective culture where individual autonomy and professional responsibility are ... highly prized."

As with leadership in general it seems hardly possible to pinpoint one definition as the

core of academic leadership. What is important is to be able to realise the full potential of creative academic institutions, where institutions will require "leadership that is brave enough to stand and be counted, yet wise enough to listen and learn." (Middlehurst, 1993:196).

1.5.3 Transformation

The reform of higher education is a known fact in a large number of countries. The dialogue however, is no longer about incremental change but about transforming higher education altogether (Green, 1997:49). Fundamental change needs to take place to bring about transformation.

The term "transformation" is used in the context of the Education White Paper 3:A programme for Higher Education Transformation (1997a) where it outlines a comprehensive set of initiatives for change and transformation to meet the challenges of a new democratic South Africa.

"The transformation of the structures, values and culture ... is a necessity, not an option for South African higher education" (RSA DOE, 1997a:29). Society is in transformation, and learning is a key process into that transformation.

1.5.4 Learning organisations

A learning organisation learns "... powerfully and collectively and is continuously transforming itself" (Marquardt, 1996:19). Longworth and Davies (1996:74) define a learning organization as one which "... has a vision of tomorrow and empowers its personnel and the need for a complete reorientation of the workforce towards the strategy of lifelong learning ." Successful lifelong learning motivates individuals to participate in the learning process and it should be freely available to all groups in a community or an

institution. This enables organisations to increase their corporate capacity to learn and to change to learning organisations.

Nonaka (1996:19-20) states that "... New knowledge always begins with the individual." He argues that much like an individual, a company can have a collective sense of identity and fundamental purpose. This is an organizational equivalent of self knowledge and creating common understanding of the real world. The knowledge creating organization fuels innovation which is the essence of motivation to recreate the world. "To create new knowledge means quite literally to recreate the company and everyone in it in a nonstop process of personal and organizational self-renewal."

Senge (1990:3) argues that the world is created of separate, unrelated forces. "Healthy and adaptive" (Green, 1997:47) learning organisations are "... organizations where people continually expand their capacity to create the results they truly desire, where new and expansive patterns of thinking are nurtured, where collective aspiration is set free, and where people are continually learning how to learn together." (Senge, 1990:3).

1.5.5   **Higher education**

The terms "institutions of higher education" and "higher education systems" refer to broad sectors of tertiary education for which a secondary school qualification (earned at about 18) is normally a prerequisite (Gellert, 1997:115)

In the proposed structure for a National Qualifications Framework (NQF), the higher education and training band consists of levels 5-8, and can be obtained after completion of the Further Education and Training (FET) Band (Olivier, 1998:5; NCHE, 1996:86). Institutions providing the services for this band are Universities, Technikons, Colleges and Technical Colleges. Higher education provides formal qualifications after completion of studies in the FET Band.

Menges and Mathis (cited by Fourie, 1996:9) indicates that "higher education has its own unique focal point as well as a richness and variety of scholarship, and it should not be regarded simply as a sub-speciality of the social science disciplines."

1.5.6. Paradigm / Paradigm shift

Babbie (1992:56) defines a paradigm as "a fundamental model or a scheme that organizes our view of something" . Kuhn (cited by Babbie, 1992:56,57) indicates that the history of (physical) science displays a pattern of periods of "normal science" followed by "scientific revolutions" followed by a period of "normal science".He suggests that "major scientific progress" takes the form of a "paradigm shift." Kuhn argues that, "...by choosing (paradigms) ... some accepted examples of actual scientific practice... provide models from which spring particular coherent traditions of scientific research" (Mouton & Marais, 1990:145).

Kuhn's use of the term 'paradigm' and the supporting theory had a major influence on the philosophy and methodology of the social sciences. Babbie (1992:145) states that the "...social systems paradigm focuses on the organizational structure of social life." It is therefore acceptable, according to Mouton and Marais (1990:150), to use the concept paradigm in a more metaphorical sense. Intrinsically social science is a process in which researchers give meaning to the reality in which they might find themselves. Creating / constructing new knowledge and new understanding of different phenomena can provide the 'paradigm shift' for the new millennium.

1.6   RESEARCH PLAN

In order to investigate academic leadership during a period of transition in higher education, the following research plan is followed.

Chapter 2 provides the background for the need for transformation in higher education, as well as the forces for changes and the challenges for leadership.

Chapter 3 gives an overview of theories and research on leadership, leadership roles and leadership development.

In Chapter 4 the focus is on learning organisations and the characteristics and structures to become learning organisations.

In Chapter 5 attention is devoted to creating and developing a model for academic leadership for the purpose of change and transformation and to become learning organisations.

Chapter 6 has as its aim to give a holistic overview of the model and how it influences hierarchical structures and learning organisations.

1.7   CONCLUSION

The transformation of higher education and higher education institutions places the focus on leadership within a changing environment. This chapter has provided evidence of the need for research into (academic) leadership and leadership roles for the purpose of change and transformation to meet the challenge of the twenty-first century. The attention was focused on 'what' will be investigated, 'why' it will be investigated and the 'product' (result) of such investigation. The boundaries within which the study will be conducted were indicated, and in the following chapters of the study a conceptual framework will be sought to creatively develop and construct a model to bring together the wide range of information that exists in the fields of study of higher education transformation, leadership and learning organisations.

CHAPTER 2

TRANSFORMATION OF HIGHER EDUCATION: A PARADIGM SHIFT

2.1 INTRODUCTION

Higher education is in a state of crisis in practically all countries of the world. "Never in the history of higher education has the university as an institution been subjected to so many challenges and changes than at present" (Kapp, 1996:1). Kerr (1994:45-46) reminds us of the reason for this change. He indicates that "universities" are amongst a very small group of institutions still in existence today doing much the same as in the 1500s. The current trends and new challenges facing higher education imply the need to rethink its role and mission, identify new approaches and set new priorities for future development (UNESCO, 1993:3). Higher Education institutions worldwide share remarkably similar problems and common purposes as they face a future that is increasingly complex, uncertain, and demanding. It is therefore not surprising that higher education reform is on the agenda in a number of countries, in spite of differences in cultures, traditions and structures (Green & Hayward, 1997:5). Saint (1992:121) indicates that African higher education institutions have been pressed to face and meet the same demands and problems of institutions worldwide, as well as the fact that legacies from the pre-independence era still shape the form and the substance of the institutions in an important way.

The forces for change demand transformation, and more specific - transforming higher education altogether. Transformation in higher education implies rethinking, re-examining and altering the fundamental aspects of its structures, operations and the ways of conducting business. The pressures and demands for change take on different shapes in each country, but they are not bounded by national borders or geography. On

the threshold of the twenty-first century, the complex challenges facing higher education call for a diversity of views and approaches and for the participation of many actors. (UNESCO, 1993:3)

2.2 INTERNATIONAL TRENDS IN HIGHER EDUCATION: FORCES FOR CHANGE

Globally there are a number of issues that drive change. Sibley (cited by Fourie, 1996:106), indicates that these pressures for change and transformation "... enormously constrain our planning and decision space, affecting as they do fundamental realities and perceptions about what can and cannot be done." Scott (1995:165) argues that mass higher education cannot be summed up in a single totalizing idea, it has plural meanings, being one of a series of multiple modernisations.

UNESCO (1993:14) points out that the main challenges facing higher education in a fast changing world can be grouped under three main (and very broad) headings:

- relevance (of higher education in society),
- quality (embracing all main functions and activities in higher education), and
- internationalisation (the inherent characteristic of higher education).

All these changes do have a cumulative impact (McTaggart, 1996:8). Fourie (1996: 106; 113), on the other hand, deliberates forces for change as "external forces of change" and "international trends in higher education".

For the purpose of this study the researcher will look at a more descriptive and simplified version of the same issues that drive change:

- Access.

- Funding.
- Economic and social development.
- Accountability and autonomy.
- Technology.
- Internationalisation (Green & Hayward, 1996:6).

Saint (1992:3) indicates that Africa's higher education "... stand in crisis at a pivotal point in their development." Higher education "... now require(s) reassessment as a result of changes in the world, in Africa, and in the universities themselves."

2.2.1 Access

There is worldwide pressure for greater access to higher education. Higher education is seen by many as the key to a better future, a better workforce and providing people, especially those who have been previously excluded, with employment skills. Bargh, Scott and Smith (1996:13;19) and Scott (1995:124) indicate that a revolution has taken place in intellectual culture and in the innovation systems that bears an influence on the reconceptualization of constitutions and the access of students.

A "quantitive expansion" (UNESCO, 1993:15; Saint, 1992:8;27) can be observed in student enrollments all over the world. This trend is due to factors such as:

- Demographic growth.
- Advances in primary and secondary education with the result that more people can be admitted to higher education.
- Economic growth and awareness that this development correlates well with investment in higher education.
- The emergence of independent and democratic countries, which see higher education as the key to economic development and political, cultural and social change (Scott, 1995:170; UNESCO, 1993:15).

The fundamental value of social justice and equity is related to increased and widened access. In industrialised countries access (and quantitive expansion) to higher education may mean "raising participation rates or including undeserved groups" (Green & Hayward, 1997:7) that will include woman, members of minority groups and very poor people. In developing countries the participation rate is generally very low and it is an imperative to bring greater numbers of students (especially equal access for women) into higher education (Lauglo, 1996:227).

Worldwide access remains a challenge (Gellert, 1997:117). Ways and means must be devised to address the financial and educational obstacles that disadvantaged students face. UNESCO (1993:16) indicates that in sub-Sahara Africa the opportunity for people who pursue higher education are 17 times lower than in industrially developed countries and it also projects that increases of students worldwide will increase from:

- 65 million in 1991 to
- 79 million in the year 2000 and
- 97 million by 2015.

The inequality for participation in higher education, however, will persist. Participation in higher education in developed countries should cover about half of the eligible population while less than ten percent of the population in the developing countries will be enrolled in higher education (Burnett, 1996:217; UNESCO, 1993:16; Saint, 1992:109-111).

The need to develop mass, quality higher education will represent a major challenge. Expanded access to higher education also creates new problems to solve such as:

- Higher dropout rates: there is a disproportionate dropout rate of minority students with a very high psychological toll on these who "fail".
- An oversupply of qualified people into a saturated market.

- The problem of funding.
- Overcrowding and quality education.
- The "diminishing" role of traditional universities because of the availability of other more market and job related kinds of qualifications at a lower cost (Green & Hayward, 1997:7).

2.2.2 Funding

The issue of funding is very closely related to that of mass access. The cost of training a student is increasing and countries (even the richer industrialised countries) are increasingly unable and / or unwilling to maintain their previous levels of expenditure on higher education. The allocation has therefore not been in line with the growth in the number of students (Saint, 1992:10;41).

Many institutions of higher learning had to make "... cutbacks in their budgets, study programmes, modernization of infrastructure, library holdings, international co-operation and even academic staff " (UNESCO, 1993:18). Gellert (1997:123) states that in North America, Japan and Europe, higher education institutions are becoming more "entrepreneurial". The clearest key feature for change and transformation involves finance. Funding must be diversified beyond state subsidies. Fourie (1996:109) states that higher education institutions could be more independent if they were less dependent on government subsidies. The report of the World Bank suggests that thirty percent of institutional revenues should come from non-governmental sources (World Bank, 1994:17). Worldwide at present it is almost impossible to support a comprehensive system of higher education from public funding. Alternative sources or diversification of sources of funding (Green & Hayward, 1997:9; Fourie, 1996:109; Scott, 1995:86; UNESCO, 1993:19; Saint ,1992:51;114) seem to be part of the policy landscape of higher education. There is growing evidence to suggest that a diversified funding base can enhance institutional autonomy and freedom of movement (Bargh et al, 1996:60; Brock-Utne, 1996:336).

It is thus expected of tertiary institutions to "earn" a certain percentage of their revenues and "... as a consequence there is enormous pressure for a modified distribution of cost-sharing responsibilities" (UNESCO 1993:19). This implies that higher education becomes more expensive for the individual and that poor students will be affected by this. These aspects will make governance of institutions more complex and will expect creative and innovative leadership from institutions to survive and to do more with less (Saint, 1992:60), but hopefully it will produce change that will ultimately make them more effective, efficient and stronger.

2.2.3 Economic and social development

Governments, public and students put pressure on institutions and expect of higher education to make a greater contribution to development, economic growth, job training, competitiveness and especially research that will help build and sustain economically productive activities in the belief that well-educated graduates will be contributors to society and not depend on it. Hayward (1997:89) argues that the growth in the number and size of tertiary institutions in Africa was fuelled by government expectations that tertiary education would provide the base for national economic development and that tertiary qualification would guarantee economic and social success. All of these have a strong bearing on the policy debate in higher education that ultimately calls for a fresh look at the mission, roles and functions of higher education. There is an "... emergence of a collective will for more efficient action at all levels to set development on a new course." (Rowley, 1996:170; UNESCO, 1993:21).

Green and Hayward (1997:13) state that the questions facing institutions are:

- What can institutions be expected to contribute to the process of economic and social development and how can they help nations become and remain competitive in a highly technological and competitive arena?

- How can institutions prepare opportunities for lifelong learning and produce well-trained graduates in a flexible delivery system to be prepared for the jobs of the modern age?

The development and change in this domain is of such an extent that the impact of technological and economic change goes beyond the usual ups and downs of economic fluctuations. If not dealt with in time it can unravel a whole set of social and political problems (Burnett, 1996:217; UNESCO, 1993:22).

To respond to and meet the needs of society, higher education must develop connections and interaction with their communities, other sectors of education and with business and industry to form partnerships that can provide opportunities for collaborative projects and research. Institutions can use these projects and research to develop outreach programmes to address social problems and to contribute to development. It is expected of higher education to cope with these shifting imperatives (Green &Hayward, 1997:12;13).

It is expected of higher education to respond to the needs of society, to help nations to be competitive in a highly technological arena and to respond to the growing demand for highly trained personnel in science, the professions, government and business. Higher education must therefore become more relevant to the society. (Green & Hayward, 1997:11-13; Scott, 1995:125; UNESCO, 1993:38).

The UNESCO policy paper (1993:23) indicates that "research into modern, social and economic development shows that it cannot flourish inside rigid or imposed structures." Higher education institutions must take note that rigid adoption of policies and foreign concepts and values, while negating national (institutional) cultures and philosophies, can and will have negative repercussions on education.

2.2.4 Accountability and autonomy

According to the UNESCO policy paper (1993:23,39) "... a new vision of higher education is needed which combines the demands for universality of higher learning with the imperative for greater relevance, in order to respond to the expectations of the society in which it functions. This vision stresses the principle of academic freedom and institutional autonomy while at the same time emphasizing the need for accountability to society."

Fourie (1996:114) asks the vital question of how higher education institutions can "... preserve its autonomy in the midst of the tumultuous changes at national and international levels ..." and also deal with the requirements of modern society and stakeholders "... which are causing a shift in emphasis from absolute autonomy to increased accountability" (Hayward, 1997:95).

Higher education institutions are publically funded and are therefore accountable to tax payers. Government officials represent the tax payers. This sparks off the debate on government interference and academic freedom. Non-government groups, e.g. students, faculty, staff, parents, citizen groups, business, donors, and professional associations are concerned about the performance of higher education and demand accountability (Green & Hayward, 1997:13-15; Hayward, 1997:97).

Fourie (1996:115) argues that as long as higher education is dependent on government subsidy (a single funding source) "... autonomy remains largely without subsistence". It is therefore to the best interest of institutions of higher education to have a diverse resource base that will be the best guarantee for institutional autonomy (Burnett, 1996:219).

Part of the debate around autonomy is focussed on the meaning and difference of understanding of the term. Invariably autonomy and accountability comes into conflict

with one another. Some view autonomy as a cover-up for self-interest, arrogance, indifference and inefficiency and that it is used to obstruct and oppose change. The questions that need to be asked are: to what extent should higher education institutions be allowed to determine their own destiny (Green & Hayward, 1997:15) and "whether all or even most institutional governance structures possess the necessary expertise and experience to cope with these issues?" (Fourie, 1996:115).

2.2.5   Technology

The enormous advances in science and the rapid development of new information- and communication technologies have been particularly imminent for the restructuring and re-organisation of higher education (Scott, 1995:96; UNESCO, 1993:17;40). The impact of new technologies have become a major force for change in institutions. Hayward (1997:95) deliberates that "... for African Higher Education, technology is the key to reversing the crisis in higher education".

The revolution in information technology has created the formidable potential for using new technology to increase the access to higher education. Television, satellite communication and interactive computer links provide major opportunities to expand access and to be more effective in meeting the needs of individual students and to link higher education institutions around the world. This potential, however, requires major investment in equipment and in training people / academia to use the technology and to redesign modes of instruction. Technology may reshape higher education in ways that it might or cannot control or anticipate (Green & Hayward, 1997:15,16; Scott, 1995:152).

2.2.6   Internationalisation / globalization

The question is if it is really necessary for institutions to become truly international and to be full participants in the global academic community. Green and Hayward (1997:17) argues that knowledge of the world is now "... a fundamental imperative for success."

There should be an awareness and understanding of what the rest of the world has to offer. From the importance of discoveries to the implications of new ideas and approaches. "The growing internationalization of higher education is first and foremost a reflection of the global character of learning and research" (UNESCO, 1993:33). Scott (1995:95) indicates that higher education institutions, not necessarily all, have always been international in their aspirations. Internationalization has been accentuated by the influence of research on the global economy.

Higher education plays a fundamental role in the development, transfer and sharing of knowledge. International academic co-operation should contribute to the total development of human potential. Part of the challenge is the awareness of the rest of the world and what the rest of the world has to offer (Hayward, 1997:99).

It is therefore vital that international partnerships should be encouraged and the participation in international academic mobility should not be restricted. This "... relates to the understanding that knowledge is universal, but its application is usually local" (Sweeting, 1996:284;285).

Modern technological advances make the creation and functioning of networking for academic excellence a reality. Higher education institutions that are not part of the "global market" are ignorant of new developments and are likely to be left out of important spheres of discovery and research. The concurrent trends and global challenges make it necessary to rethink and reform higher education institutions in most (if not all) countries and regions of the world (UNESCO, 1993:38).

2.3   MAJOR ACTORS AND STAKEHOLDERS IN THE PROCESS OF CHANGE AND TRANSFORMATION

There are different groups who are the major actors that are demanding or creating

change in addition to the general forces that drive change and transformation in higher education (Fourie, 1996:55; Saint, 1992:121-127).

2.3.1   The role of government

Government (the State) is one of the most powerful and persistent forces for change (Green & Hayward, 1997:18; Brock-Utne, 1996: 338) and they are establishing an education system through policy decisions that will affect the amount and distribution of resources, participation, academic programmes and personnel (Bunting cited by Fourie, 1996:57).

Maassen and Van Vught (1994:34-36) state that the concept of government steering has become prevalent in higher education. They have identified the "state control model" and "the state supervising model" which describe governmental steering as a framework of rules or boundaries within which institutions of higher education can make decisions and determine choices (Fourie, 1996:59).

2.3.2   The public

The public voices its demands both on local level as well as national level. At the local level, local communities, in the name of the public, can be a major force for change. At the national level, policy makers via the voices of politicians can call for greater access to higher education or they can put pressure on higher education institutions to demand change in the name of the society (Pelikan, 1992:139).

Within the general public certain groups such as business people, donors, local officials and alumni with their links / ties to higher education and their status in society can force their concerns and influence funding on behalf of the larger community (Green & Hayward, 1997:20; Fourie, 1996:76).

2.3.3 Academic staff members (teaching staff)

Academic staff members can and have played major roles in the process of change. They are important actors in the process because changes grow out of their work as teachers and scholars where they are acutely aware of changes in their fields, technological advancement and of new approaches that require restructuring of their fields and their institutions (Clark, 1993:168).

Green and Hayward (1997:21) argue that those who lead change and transformation are more likely to succeed when they have the (willing) cooperation from academic staff members.

2.3.4 Governing boards

Governing boards (councils, boards of trustees, boards of regents or boards of governance) comprise some combination of academic staff, students and members of the community which involves the supervision / trusteeship of outsiders or lay-persons of the institution (Fourie, 1996:79).

The major responsibility of higher education institutions, in some countries, rest with governing boards and they are also the highest policy-formulating and decision making structure of the higher education institution (Kauffman, 1993:238).

These bodies may have a political or personal agenda in either promoting or preventing change. Governing boards are not primarily involved in academic decision-making. Their roles are more that of trust-keepers, change-agents, mission reviewers and being involved in the academic planning process. These challenges cause increased emphasis on the responsibility and accountability of governing bodies (Fourie, 1996:81,84).

2.3.5 **Students**

Students have served as the conscience and protectors of the ordinary citizens against authority and throughout history they have been constant advocates of change through their belief, energy and idealism that change is possible. Their strength has been in their numbers, volatility, anonymity, energy, idealism and their belief that change is possible, and that the impact of students drive for change can be decisive (Green & Hayward, 1997: 21,23; Altbach, 1993:214).

The fundamental values of higher education such as search for truth, rational thinking, social criticism can be seen as the basic drive for change when academics and students are dissatisfied and feel that the real world is too far removed from the ideal world (Fourie. 1996:111).

Traditionally it was the role of higher education to ensure that products of higher education reflect the traditional values of the academy. "Students' movements have morally revitalised not only the internal life of higher education institutions but also the whole society" (Fourie,1996:112). The myth has been shattered and higher education became much more part of the real world.

Students have pointed out social and institutional failures, racism, secret research, the failure of some academic staff to take teaching seriously, privileged status of higher education, the underlying values of many courses and they are moving the process of change forward through their actions (Green & Hayward, 1997:22).

2.3.6 **Institutional leadership**

The role of leadership in higher education has changed dramatically. Great pressure and tension has become part of institutional leadership. Some of the most effective leaders

are not the traditional ones, but those with the skills and drive to capture the moment and help mould changes in the system (McLaughlin & Riesman,1993:197).

Fourie (1996:52) points out that "the process of change, particularly in the initial stages is therefore an uncomfortable one, because the individual or group has to reconstruct reality and develop new meaning". Scott (1995:170) indicates that institutions will have to develop their own distinctive missions for change and they will have to adapt to the more unbinding of structures to be replaced by networks and looser webs.

Green and Hayward (1997:23-25) raise the following questions:

- "How have higher education institutions responded to pressures for change?
- What is the role of institutional leadership in change?
- Can individual leaders provide the impetus for change?
- Can institutional leaders be more than caretakers or implementers of government policies?
- How are traditions of shared governance and academic freedom balanced against a need for vigorous leadership to promote and implement change?
- How do college and university (higher education institutions) leaders deal with the conflicting (and challenging) demands of change?"

Higher education institutions are very complex and it is very difficult for any person to lead alone. Institutions have often multiple leaders on different forums and levels with different voices to be heard. It is the difficult task of institutional leadership to take on and lead the slow, demanding, difficult and frustrating work of change and reform (Lee, 1990:21). Millet (cited by Fourie, 1996:76) points out that leadership has the essential task to link the management and the governance of higher education institutions.

Green and Hayward (1997:22) argue as McLaughlin and Riesman (1993: 197) that some of the "... most effective leaders are not the traditional ones." They are those with the

skills and drive to find and form new consensus. They are individuals on different levels and positions. They can "... capture the moment and help mould changes in the system".

It is expected of institutional leadership to capture this creativity, to be entrepreneurial in their thinking but also to preserve the core and fundamental values of higher education. They need to play a significant role in the change process (Dopson & McNay, 1996:31). Johnstone (1997:143) argues that the "academy and its present leadership" may lack neither agenda nor vision. They should have the capacity to implement and to institutionalize transformation and change.

It should be kept in mind that there are many different forces and actors in the process of change. What is important, however, is that institutional leadership should devise and adjust the process not for its own sake but for the sake of the welfare of higher education institutions. ISGUG (cited by Fourie, 1996:89) states that "what is called for is transformed ... structures which are empowered and capable of addressing the needs of current realities, and responding meaningfully to the concerns of all stakeholders of higher education." UNESCO (1993:42.43) describes a broad vision on which individual institutions can build and renew their own mission that will be essential for all forward-looking systems "... which can be best described as that of a '**pro-active university**' (higher education institution)" or "Cybernetic" institution(s) (Birnbaum, 1988:179) that accomplish change through self-correcting mechanisms which monitor organisational functions and transformation.

2.4   THE SOUTH AFRICAN PERSPECTIVE

Since 1996, five important publications namely:

- National Commission on Higher Education : report - A framework for transformation: 1996 (NCHE, 1996).

- The Green Paper on Higher Education transformation: December 1996 (RSA DOE, 1996).
- The Draft White Paper on Higher Education: April 1997 (RSA DOE, 1997b).
- Education White Paper 3 - A Programme for Higher Education transformation: July 1997(RSA DOE,1997a).
- Higher Education Act: 1997 (RSA, 1997),

have been published to bring about the necessary change and transformation in the higher education sector of South Africa.

Because of the legacy of the past, where:

- resources were inequitable and inefficiently allocated,
- governance structures were undemocratic,
- access was highly skewed on racial lines,
- there was a lack of coordination, common goals or a systematic planning,
- there was an inability to respond to the economic and social needs of the majority of the population (RSA DOE, 1996:10),

it became necessary to structure and transform the higher education scene in South Africa. The change and transformation in South Africa must be seen and understood in the context of the broad political, economical and social transformation of the South African society. Fourie (1996:205) points out that "on the threshold of a new millennium, this country is facing tremendous socio-economic challenges and development needs, and there are enormous expectations of higher education institutions to function as agents of change in order to bring about a better life for all South Africans".

These changes create an agenda for the role of higher education to change and develop. These changes must also include "the mobilisation of human talent and potential through life-long learning, ... the development of professional and knowledge workers with

globally equivalent skills ... and ... a continuous technological improvement and innovation, driven by a well-organised, vibrant research and development system" (RSA DOE, 1997a:4). Saint (1992:129) argues that the specific forms that these actions will take must be the responsibility of the government and of each individual institution.

The South African higher education system must provide:

- increased and broadened participation,
- responsiveness to societal interests and needs,
- cooperation and partnership in governance,

within an "enabling institutional environment and culture that is sensitive to and affirms diversity, promotes reconciliation and respect for human life, protects the dignity of individuals from racial and sexual harassment and rejects all other forms of violent behaviour" (RSA DOE, 1997a:4;5).

The following principles are regarded as fundamental principles that should guide the process of transformation in higher education in South Africa:

- Equity and redress.
- Democratisation.
- Development.
- Quality.
- Effectiveness and efficiency.
- Academic freedom.
- Institutional autonomy.
- Public accountability (RSA DOE, 1997a:5-7).

Rowley (1996:172) argues that institutions will need to recognise that they have a market,

product, technological- and goal diversity. They will have to incorporate the fundamental principles for change in these diversities.

2.4.1 Equity and redress

This principle requires fair opportunities for access and success in South African higher education institutions. The South African history of discrimination and inequalities makes it an imperative that existing inequalities must be addressed, and also redressed with the aid of a programme of transformation (RSA DOE, 1997a:5).

Samuels (cited by Fourie, 1996:221) points out that measurable objectives in the short and long-term, must be set. Fourie (1996:221) is of the opinion that measures of empowerment is needed to bring about equal opportunities. It is not only the question of access that need to be addressed, but also the fact that higher education institutions will need to change their teaching curriculum and how they address problems of students for the purpose of achieving academic excellence.

2.4.2 Democratisation

The democratisation of higher education institutions is one of the most important challenges faced by South African higher education institutions. The education White Paper 3 (1997a:6) states that structures and procedures should ensure that those affected by the decisions have a say in making them. This requires a transparent decision-making process in institutions and that those "...taking and implementing decisions are accountable for the manner in which they perform their duties and use resources."

A democratic value system (culture) must be developed that is characterised by mutual respect, tolerance as well as the maintenance of a well-ordered and peaceful community that can solve problems through dialogue and negotiation, instead of resorting to intimidation, prejudice and emotional rhetoric (RSA DOE, 1997a:6; Fourie, 1996:222).

2.4.3 Development

Higher education "... is indispensable for realising the socio-economic and socio-cultural potential of the country" (NCHE, 1996:72). To contribute to and facilitate the transformation of the higher education system, resources must be mobilised through the production and application of knowledge, the building of human capacity and the provision of lifelong learning opportunities (RSA DOE, 1997a:6; NCHE, 1996:72).

2.4.4 Quality

The maintenance of quality is "primarily the responsibility, ...(of) higher education institutions" (RSA DOE, 1997a:22). Measuring and enhancing quality implies that products and services have to be evaluated against set standards for the purpose to improve, renew and make progress (Figaji ,1997:286).

According to the Education White Paper 3 (RSA DOE, 1997a:6) there should be aimed at the "ideals of excellence" and to be able to do this the principle of quality must be maintained and applied to academic and educational standards to reach specific expectations and requirements. Deming (1986:466) argues that "... knowledge is a scarce national resource ... Unlike rare material which can not be replaced, the supply of knowledge can be increased by education .... Waste of knowledge ... that is there and available for development, is even more deplorable."

Fourie (1996:219) on the other hand argues that "... quality can be described as fitness for purpose", where the purpose of higher education in general is the meeting of the needs of the student " ... and the widest possible sense" to develop talent. She also maintains that a high quality can be achieved in higher education institutions without applying an "Euro-centric or American model."

2.4.5 **Effectiveness and efficiency**

Effective institutions function in such a way that it leads to or achieve desired outcomes or objectives. An efficient system, on the other hand, is one which works well, within the margins of affordability and sustainability without unnecessarily duplication or waste while doing things correctly making optimal use of available means. (RSA DOE, 1997a:6; NCHE. 1996:73).

2.4.6 **Academic freedom**

Academic freedom is regarded as a "precondition for critical, experimental and creative thinking and, therefore, for the advancement of intellectual inquiry, knowledge and understanding." It also implies the "absence of outside interference, censure or obstacles in the pursuits and practices of academic work" (RSA DOE, 1997a:7; NCHE, 1996:73).

Academic freedom is a cornerstone of higher education and academic freedom can only be maintained and upheld in academic institutions with a certain degree of autonomy (Figaji, 1997:285; RSA DOE, 1997a:7; NCHE, 1996:73; Fourie, 1996:216). "Academic freedom and scientific enquiry are fundamental rights protected by the constitution" (RSA DOE, 1997a:7). Price (1989:61) states that "...freedom of the true academic is no different from that of each and every citizen who is committed to the maintenance of democratic values and to restraints on a totalitarian society."

2.4.7 **Institutional autonomy**

The White Paper 3 points out that "the principle of institutional autonomy refers to a high degree of self-regulation and administrative independence with respect of student admissions, curriculum, methods of teaching and assessment, research, establishment of academic regulations and the internal management of resources generated from private and public funds" (RSA DOE, 1997a:7). In its very simple form autonomy can mean the

power to govern without outside controls. Such autonomy is a condition of effective self-government; while higher education institutions function within this value, they should at the same time operate in tandem and harmony with the social and cultural values of their supporting communities (Fourie, 1996:218).

2.4.8 Public accountability

NCHE (cited by Figaji, 1997:285) defines accountability to mean "the requirement to demonstrate responsible actions to one or more constituency." Fourie (1996:223) argues that higher education should not only be accountable to the government, but also to the community it serves. Individual academics and institutions are always accountable to a broader community of interested parties for the quality, ethical implications and efficiency of their academic work (NCHE,1996:73).

Transparent and participative decision-making procedures includes students and student decision-making bodies. Students are therefore also accountable for their actions and decisions in the same way as institutions and academic staff. An adequate measure of accountability is to be expected from all participants in higher education institutions. Fourie (1996:224) states that institutions must, as the point of departure, see to it that all structures involved in higher education institutions should, in the first place, work towards change for the welfare of the institution(s) and what it strives to achieve.

2.5   CONCLUSION

The discussion of the South African perspective has been to highlight the most important principles that will and are affecting change and transformation in higher education in South Africa. These principles form the philosophical background and guidelines for institutions on the route of their own transformation, and it is important for government to structure the processes of the future development of higher education in this country.

The White Paper 3 (RSA DOE, 1997a) and the Higher Education Act, number 101 (RSA, 1997) guide the way for institutions to implement their own structures and processes for change.

There is a natural tendency to resist change. For enduring change to occur, people must see the need for it and they must share the vision for any new institutional direction. They must participate willingly in its implementation and it is possible for leadership to serve as a catalyst for change (Green & McDade, 1991:17).

Although there are many actors, forces and principles in the change process, institutional leadership and individual leadership must and can play a significant role. Institutional leadership will be and are of increasing importance in the process of change and transformation.

Different forms of and viewpoints on leadership need to be constructed and used creatively to be able to fulfill the promise of change and transformation to try and make possible the mind shift, "metanoia"(Senge, 1990:13), for a changed paradigm. The following chapters will look into the historical development of leadership, the process of leadership, and the effectiveness of leadership to bring about change and transformation.

In the words of an unknown author:

> "Coming together is the beginning
>
> Keeping together is the process
>
> Working together is the success"(Figaji, 1997:293).

CHAPTER 3

LEADERSHIP: THE ROLE OF INSTITUTIONAL LEADERSHIP AND INDIVIDUAL LEADERS IN THE PROCESS OF CHANGE

3.1   INTRODUCTION

The focus of change and transformation in higher education has been discussed and highlighted in Chapter 2. The discussion brought to the fore the nature of the challenge to institutional and individual leadership and the impact that these challenges can have on institutions of higher learning. Leaders' role are shaped by conflicting demands and signals, and concepts of leadership are changing in a democratic society (Green & Hayward, 1997:24).

The important concept of leadership in the challenge to shape the future and to "... be purposeful about direction that distinguishes leaders from functionaries and   caretakers" (Green & Hayward, 1997:25) will be the focus of Chapter 3. In this chapter the focus is narrowed down to academic leadership in higher education institutions. As institutions claim greater autonomy and freedom to determine their own future, the role of institutional leadership will grow in importance (Green, 1997:29).

3.2   LEADERSHIP

The terminology, leadership and leadership effectiveness, means different things to different people (Yukl, 1998:2;5). "To study leadership is to transcend disciplinary and

cultural boundaries" (Green, 1997:29). To ask (call) for leadership is easy (Birnbaum, 1988:22), but despite a multitude of research little is still known about the phenomenon "leadership". Yukl (1998:494) indicates that the leadership literature currently includes over five thousand studies and that the number continues to increase by several hundred every year. Despite this volume of publication, no clear agreement exists on how leadership can be defined. Nahavandi (1997:4) states that it often seems that every researcher has his/her own definition of leadership. Bennis (cited by Middlehurst, 1993:12) has said: "Leadership is an endless subject and endlessly interesting because you can never get your conceptual arms fully around it.... I always feel rather like a lepidopterist chasing a butterfly."

3.3   AN OVERVIEW OF LEADERSHIP THEORY AND RESEARCH

This overview is intended to be illustrative rather than comprehensive. It will highlight the major themes in leadership research. Table 3.1 gives an overview of twentieth century thoughts.

3.3.1   **Trait theories**

The study of leadership traits prior to 1945, suggested that certain characteristics were essential for effective leadership (Yukl, 1998:286; Lathrop, 1990:10; Hersey & Blanchard, 1988:88; Callahan, Fleenor & Knudson, 1986: 168).

Nahavandi (1997:49) cites Bass that suggests that the findings of the early research of the individual factors related to leadership can be classified into six factors as indicated in Table 3.2.

Table 3.1: **Overview of twentieth century thought**

PERIOD	THEORIES / APPROACHES	THEME
Up to late 1940s	Trait theories	Leadership is linked to personal qualities
Late 1940s to late 1960s	Behavioural theories	Leadership is associated with behaviour and style
Late 1960s to present	Contingency theories	Leadership is affected by the context and situation
Late 1960s to present	Power and influence theories	Leadership is associated with the use of power
1970s to present	Cultural and symbolic theories	Leadership is the 'management of meaning'
1980s to present	Cognitive theories	Leadership is a social attribution

Source: Middlehurst (1993:13); Birnbaum (1988:23)

Middlehurst (1993:13;14) states that Trait theories are based on several assumptions:

- Leadership is a characteristic (personal quality).
- Certain qualities set leaders apart from other individuals.
- These qualities enable leaders to exert personal power to peoples' actions.
- Isolation of these characteristics could help to identify potential leaders.

Of 124 trait studies from 1904 to 1948 Stogdill's 1948 Review (cited by Yukl, 1998:236) found that the evidence from the earlier research were inconclusive to support the premise of the basic trait approach. It appeared that some traits were widely relevant for different kinds of leaders, but they could not insure leadership success (Bennis & Nanus, 1985:4). However, in 1974 Stogdill reviewed 163 trait studies from 1948 to 1970 (cited by Yukl, 1998:236) and he found that most of the same traits were found to be related to leader effectiveness. Bass (cited by Yukl, 1989:176) argues that there is a more balanced

Table 3.2:   Early trait research findings

CLASSIFIED FACTORS	INDIVIDUAL FACTORS
Capacity	● Intelligence ● Alertness ● Verbal facility ● Originality ● Judgement
Achievement	● Scholarship ● Knowledge ● Athletic accomplishment
Responsibility	● Dependability ● Initiative ● Persistence ● Self-confidence
Participation	● Activity ● Sociability ● Cooperation
Status	● Socioeconomic position ● Popularity
Situation	● Mental level ● Interest in followers ● Objectives

Source: Bass (cited by Nahavandi, 1997:50)

viewpoint today about traits. "It is now recognized that certain traits increase the likelihood that a leader will be effective, but they do not guarantee effectiveness. ... The different traits (are) dependent on the nature of the leadership situation." Table 3.3 gives an overview of traits and skills most frequently found to be characteristic of successful leaders.

Table 3.3:   **Traits and skills found most frequently to be characteristic of successful leaders**

TRAITS	SKILLS
● Adaptable to situations	● Clever (intelligent)
● Alert to social environment	● Conceptually skilled
● Ambitious and achievement-oriented	● Creative
● Assertive	● Diplomatic and tactful
● Cooperative	● Fluent in speaking
● Decisive	● Knowledgeable about group task
● Dependable	● Organized (administrative ability)
● Dominant (desire to influence others)	● Persuasive
● Energetic (high activity level)	● Socially skilled
● Persistent	
● Self-confident	
● Tolerant of stress	
● Willing to assume responsibility	

Source: Stogdill (cited by Yukl, 1998:237)

Trait research has made a comeback in a more sophisticated form (Hunt, cited by Middlehurst,1993:14). Bennis (1984:14-19) has completed a five year study of ninety outstanding leaders and their subordinates and he identified four common traits (areas of competence) shared by all ninety leaders:

●   Ability to communicate a sense of outcome / direction that attracts followers.

●   Ability to create and communicate meaning with clarity and understanding.

●   Ability to be reliable and consistent (trustworthiness).

●   Ability to know one's self and to use one's skills within the limits of personal boundaries (strengths and weaknesses).

Bennis indicates further that leaders empower organisations to create an environment where people feel significant, where learning and competence matter. Quality and dedication energises the environment, work is exciting and people feel part of the team (working community).

It is also true that there may be negative traits that hinder a person to reach his / her leadership potential. Geier (cited by Hersey & Blanchard, 1988:89) found three traits that kept group members from competing for a leadership role. In order of importance they are:

- The perception of being uninformed.
- Being non-participants.
- Being extremely rigid.

Other group members believe that members who are uninformed, disinterested and overly rigid would hinder the group's accomplishment of its goals. Zaleznik (1992: 542) points out that failure of leaders can be found within themselves and in their own inner conflicts which renders them unfit and unable to deal with difficult decisions.

McCall and Lombardo (1992:569) who examined why some leaders were "derailed" just before reaching their goal identified "fatal flaws" that included the following:

- "Insensitive to others: abrasive, intimidating, bullying style.
- Cold, aloof, arrogant.
- Betrayal of trust.
- Overly ambitious playing politics.
- Specific performance problems with the business.
- Over managing - unable to delegate or build a team.
- Unable to staff effectively.
- Unable to think strategically."

The most frequent cause for derailment was insensitivity to others but the worst and unforgivable sin was betrayal of trust.

In an academic environment it is the responsibility of academic staff members to make students more informed, more motivated, less rigid and to be able to work in groups. Hersey and Blanchard (1988:90) ask the question if lecturers really fulfill this task. Middlehurst (1993:14) moots the point that academia have been described in terms of personal traits (attributes) of interpersonal abilities and technical management skills as indicated in Table 3.4.

Table 3.4: **Personal-, interpersonal abilities and technical skills of successful academic leaders**

PERSONAL ATTRIBUTES	INTERPERSONAL ATTRIBUTES	TECHNICAL MANAGEMENT SKILLS
● Courage ● Humour ● Judgement ● Integrity ● Intelligence ● Persistence ● Hard work ● Vision	● Being open ● Building teams ● Empathy ● Being compassionate	● Goal achievement ● Problem solving skills ● Diagnostic and evaluative skills ● Resolve conflict ● Shape work environment

Source: Adapted from Middlehurst (1993:14)

Middlehurst, Pope and Wrey (cited by Middlehurst, 1993:14) also found that certain characteristics and abilities in the perceptions of institutional leadership is also of importance. Perceptions of leadership skills and abilities such as described were noted:

●   Professional and technical competence.

●   Interpersonal skills.

- Intellectual and conceptual abilities.

- Communication skills.

- Information-processing skills.

Research indicates that leadership is a dynamic process that is influenced by various factors and there is no 'one' universal set of traits that will ensure leadership success. People are complex and they do not always exhibit the same traits over time. It is important, however, to keep in mind that the findings of trait theories (although not conclusive) cannot be left out of the big picture when looking at the transformation process and a model for academic leadership.

3.3.2 Behavioural theories

The lack of consistent research findings in trait theories shifted the focus of leadership research in the late 1940s to that of behaviour of leaders, what leaders did and how they did it. Behavioural research included looking at leaders' actions and also the style in which these actions were performed. The notion of particular attributes and abilities did not disappear altogether. They were associated with leadership style (Nahavandi,1997:30; Middlehurst, 1993:15).

Kouzes and Posner (1987:187) found that leaders performing at their best were those that were "modelling the way". "Leaders stand up for their beliefs. They practise what they preach. They show others by their own example that they live by the values that they profess. Leaders know that while their position gives them authority, their behaviours earn them respect. It is consistency between words and actions that builds a leader's credibility."

The Ohio State University Leadership Studies (Yukl,1998:46; Nahavandi,1997:31; Middlehurst, 1993:15; Hersey & Blanchard, 1988:91) tried to identify leadership behaviour. The researchers identified two aspects of leadership behaviour:

- **Initiating structure** (an orientation towards the task).

- **Consideration** (an orientation towards relationships with people). (Table 3.5).

Table 3.5:   Two aspects of leadership behaviour

INITIATING STRUCTURE	CONSIDERATIONS
Activities such us: ● directing ● coordinating ● planning ● problem solving	Behaviour such as: ● supportive ● friendly ● consultative

Source: Adapted from Yukl (1998:47); Nahavandi (1997:31); Middlehurst (1993:15) and Hersey & Blanchard (1988:91;92).

These two aspects of leadership behaviour were found to be relatively independent behaviour. However, most leaders fall probably along a continuum between the two. At approximately the same time a parallel research study, the Michigan Studies, was carried out. The researchers took cognisance of the importance of informal leadership in contrast to formal leadership (associated with positions of authority and power).

Three models, that were developed on the basis of the research findings from the two studies, have been very influential. Likert (cited by Yukl, 1998:52) summarised results from these and later Michigan studies and found that three types of leadership behaviour differentiated between effective and ineffective managers ('leaders') namely:

- Task-oriented behaviour.

- Relationship-oriented behaviour.

- Participative leadership.

Yukl (1998:61) indicates that "some recent research" includes important forms of

- **Country Club**. Thoughtful attention to needs of people for satisfying relationships leads to a comfortable, friendly organization atmosphere and work tempo.

- **Task**. Efficiency in operations results from arranging conditions of work in such a way that human elements interfere to a minimum degree.

- **Middle-of-the-Road**. Adequate organization performance is possible through balancing the necessity to get out work while maintaining morale of people at a satisfactory level.

- **Team**. Work accomplishment is from committed people: interdependence through a 'common stake' in organization purpose leads to relationships of trust and respect."(Figure 3.1).
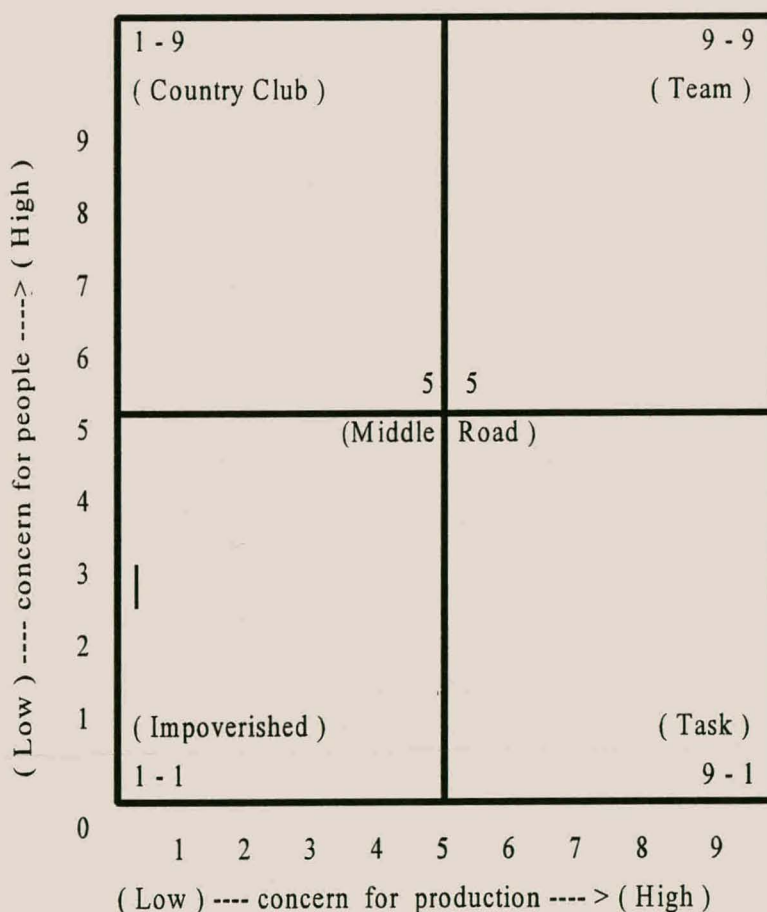
Figure 3.1:   The Managerial Grid - Leadership Styles

Source: Hersey & Blanchard (1988:100)

Adair's three Circle Model (Action-centered leadership)(Adair,1984:12)was a widely used model in the United Kingdom. Adair's work has been influenced by the research on leadership in the United States of America, group dynamics and motivation. The three overlapping circles represented three interconnected needs that people in organisations have:

- Achieving the task.
- Developing the individual.
- Building and maintaining the team.(Figure 3.2).

Figure 3.2:   Adair's three circle model

Source: Middlehurst (1993:19); Adair (1984:12)

leadership that has been excluded in earlier research. He argues that a three factor taxonomy provides the most useful way to group specific behaviours into general categories:

- Task-oriented behaviour.
- Relations-oriented behaviour.
- Change-oriented behaviour.

Likert developed his 'four systems of management' from the concept of participative leadership. Likert's four systems are based on the assumption that group relationships, employee-centered concern and general supervision were important aspects of leadership (Middlehurst, 1993:17; Hersey & Blanchard, 1988:93-99). The four systems can be depicted as:

- System 1 - management is seen as having no confidence or trust in sub-ordinates.
- System 2 - management is seen as having condescending confidence and trust in subordinates.
- System 3 - management is seen as having substantial but not complete confidence and trust in subordinates.
- System 4 - management is seen as having complete confidence and trust in subordinates.

Blake and Mouton developed the 'Managerial Grid' and it is based on the research findings of task orientation and relationship orientation. A person's leadership style can be identified within five leadership styles. Blake and Mouton (cited by Hersey & Blanchard,1988:100) described these five leadership styles as follows:

- **"Impoverished.** Exertion of minimum effort to get required work done is appropriate to sustain organizations membership.

Leadership (the actions of leaders) is concerned with achieving satisfaction in the relation to these needs. Adair's approach provides a bridge between the traits (quality) approach to leadership and behavioural approaches to management and leadership. Middlehurst (1993:20) rephrased this concept as follows: "Leadership is viewed as an activity which enables task, team and individual needs to be addressed while also being an expression of personality and character."

Hersey and Blanchard (1988:100) posed the question: "Is there a best style of leadership?" Some of the researchers hava tried to do just that and tried to find a style that maximises productivity and satisfaction, and growth and development in all situations. Further research has indicated that there is no 'one' best leadership style. According to the research, successful and effective leaders are able to adapt their style to fit the requirements to fit the situation.

3.3.3   Contingency theories (Situational theories)

Contingency theories deal with the major question of the extent to which managerial work is the same or unique across different types of organisations and levels of management. This perspective on leadership emphasises the importance of situational factors ('contingencies'). These theories assume that different situations require different patterns of behaviour or traits to be effective (Yukl, 1998:292; Chemers, 1993:296; Middlehurst, 1993:20; Lathrop, 1990:14,15; Hersey & Blanchard, 1988:106). Fiedler (1993:2) argues that the performance of a group or organisation depends not only on the leader but also on the situation. The common thread amongst situational approaches is that all situations require the leader to behave in a flexible manner. This will enable the leader to find (diagnose) and apply the appropriate style. Exponents of this theory are:

- Fiedler's contingency model (Fiedler, 1993:3).
- House's path - goal theory (Yukl, 1998:265).

- Hersey and Blanchard's situational leadership model (Hersey & Blanchard, 1988:105-106).

- The Vroom - Yetton decision making model (Nahavandi, 1997:109; Chemers, 1993:296).

Kerr and Jermier (1978:375) developed the leadership substitutes theory. Where other situational / contingency theories focus on situations in which either task or relationship oriented leadership improve a group's performance, Kerr and Jermier (1978) examine substitutes and neutralizers to make leader behaviour unnecessary and redundant. Substitutes render the leader's behaviour unnecessary while neutralizers prevent the leader from acting in specific ways or counteract the effects of leadership. Yukl (1998:274) points out that it is important to remember that the model was designed to deal only with substitutes for hierarchical leadership behaviour of a 'formal' leader, and that the contribution of the theory is to focus more on conditions that serve as substitutes or neutralizers.

Behavioural and contingency theories deal with leadership and organisational leadership.Some of the researchers, such as Yukl (1998), Nahavandi (1997), Hersey and Blanchard (1988) substitute leadership and management on a continuous basis. This indicates that these theories deal in effect more with successful and effective management issues rather than leadership per se and little account is taken of leader - follower interaction or follower influences on leadership. The focus has been on designated leaders of organizations. Middlehurst (1993:25-27) argues that the Kerr and Jermier model brings to the fore that, while organisational leadership is important, all leadership does not come only from leaders. This model may provide an explanation why top-down command and control models of leadership are not effective and sustainable within the norms and practices of academic institutions where much of the guidance and support are provided by the participants (academic staff members), the nature of the task or the characteristics of the institution and management philosophies such as total quality management.

Bryman (cited by Middlehurst, 1993:28) has coined the term 'new leadership' in his work on charismatic leadership (1992) for the research that has recently focussed on some previously neglected or more illusive features of leadership such as:

- The use and nature of power within leadership.
- The impact of organisational culture on leadership.
- The connection between leadership and change (individual and organisational levels).
- Leadership and vision.
- The nature of charisma in relation to leadership.

The 'new leadership' direction will be discussed in the next three sections (3.3.4; 3.3.5 and 3.3.6).

3.3.4   Power and influence theory

Hollander (1993:33) argues that power and influence are not the same but that at times they are used as virtual synonyms. "Power is considered to be the ability to exert some degree of control over other persons ... (and) it is associated with authority relationships... Influence involves more persuasion with the recipient having latitude for a free choice." These processes can become intertwined in so far as leaders may use both, depending upon the circumstances and the particular followers involved (Hollander, 1985:489).

Yukl (1998:175) states that "... the essence of leadership is influence over followers." The influence process between a leader and a follower, however, is not unidirectional. Leaders can influence followers and followers can also have some influence over leaders. Middlehurst (1993:29) clarifies the terms power and influence by citing the work of Handy (1985) who identifies the differences and connection between the terms power, influence and authority. He argues that influence is the process through which one

individual modifies that attitude(s) or behaviour of another and where power is the force that enables him / her to do so. Influence is therefore the use of power and power is the source behind it. There are thus different sources of power, such as, from personal loyalty to technical expertise, and different methods of influence, such as, from coercion to mutual exchange. The term "authority" on the other hand is used, when the power is seen as legitimate, or when it has some official support.

In their discussion of leadership and power, Smith and Peterson (1988:130) deliberate that "leader's exercise of power resides in the ability to transmit influence by way of the network of meanings which constitutes the organisation's culture." Moodie and Eustacy (cited by Middlehurst, 1993:30) have a different conception. They see power and influence as different degrees of a common phenomenon and they can be identified through the means by which they are exercised in practice. It can therefore be viewed as a perspective of where power and influence are stronger or weaker methods of persuasion and leadership is viewed as a particular kind of social influence. The following table (Table 3.6), summarises some of the proposed classifications for social power approaches by different researchers.

These classifications do not fully explain the nature of the leadership process and how the power is received or perceived by followers. Kipnis (cited by Middlehurst, 1993:31) addressed the interaction between leaders and followers through the analysis of power holders. He argues that the method of influence selected by power holders is a product of their individual needs, the perception of the target of influence, and the history of previous transactions with the target. However, control of the process is assumed to rest largely with the leader in the interaction and the use and impact of power. Nahavandi (1997:76) indicates that power is one of the many processes used by leaders to fulfill the primary goal of leadership and that our views of power are greatly influenced by our culture and social environment.

Table 3.6:   **Some social power approaches**

RESEARCHER	CLASSIFICATION
Webb (1948)	● Formal / official leaders: use social power to influence. ● Informal / emergent leaders: use personalities to influence.
French and Raven (1968)	● Legitimate power: influence through position in social / legal system. ● Reward power: exert influence through ability to provide rewards. ● Coercive power: exert influence through ability to threaten punishment. ● Expert power: influence through knowledge and expertise. ● Referent power: influence through personality.
House (1984, 1988)	● Charismatic. ● Expertise. Influence through the mobilisation of resources and ● Authority. controlling the flow of information. ● Political.
Yukl (1998)	● Position (as a source of) power, influence through: 　• formal authority, 　• control of resources and rewards, 　• control over punishment, 　• control over information, 　• ecological control. ● Personal (attributes as a source of) power: 　• expertise, 　• friendship / loyalty, 　• charisma. ● Political power (processes for gaining influence): 　• control over decision processes, 　• coalition, 　• co-operation, 　• institutionalization.

Source: Adapted from Yukl (1998:179); Nahavandi (1997:78); Middlehurst (1993:30,31) and Lathrop (1990:18-21)

Social power approaches assume one-way influence from leader to followers, however, power is not a static condition, and it can change over time. A group of researchers holds a different view of the interaction between leaders and followers. This viewpoint gives

more prominence to followers and concentrates on the social exchange of how power is gained and lost as reciprocal influence processes occur over time between leaders and followers based on an exchange of valued things (Yukl, 1998:189; Middlehurst, 1993:31,32). Hollander (1993:41) cites House (1977) who indicates that the "... leader-follower bond is seen to be less based on an emotional appeal than on the leader's program of action that grips followers."

The social exchange theory uses interaction processes between individuals as the basis to explain complex social behaviour in groups. Social interaction is an exchange of benefits or favours where the social exchange can include material benefits as well as psychological benefits (expressions of approval, respect, esteem, affection) (Yukl, 1998:190; Nahavandi, 1997:77).

Some people appear to have natural ability and to be competent of the leadership task. They demonstrate their competence and loyalty to the group and is therefore emergent leader (member) in a small group. They influence the expectations of other group members as to the leadership role of the specific individual in the group. The positive response of the group to the (emerging) leader provides legitimacy to the individual and enables the process of leadership to occur.

Bensimon, Neumann and Birnbaum (1989:10) indicate that the group agrees collectively to "... reduce its own autonomy and to accept the authority of the leader in exchange for the rewards and benefits (social approval, financial benefits and competitive advantage) the leader can bring them." Middlehurst (1993:32) argues that the leadership process is conceived as facilitating the personal growth and / or task achievements of the individuals and / or the group(s), which again in return brings increased loyalty to the leader. This process is probably much the same for formal leaders. The authority and decision power, however, makes formal leaders less dependent on followers' (subordinates') evaluation (and approval) of their competence. Leaders should, according to the social exchange

theory, be innovative. Innovation is not only accepted by followers from leaders but it is also expected.

Yukl (1989:29) states that to solve problems and attain results in the group are not the only competence and / or basis for evaluating leaders, but also how they (the leader(s)) carry out a variety of leadership functions (organising the work, distributing rewards, providing psychological support, etc.). Hollander (1993:30) deliberates that the legitimacy of the leader is important. "It affects how followers perceive and respond to the leader." Legitimacy implicates such qualities as credibility, trust, loyalty, and the leader's ability to be effective in exercising power and influence. Leadership and followership present interdependent reciprocal systems.

A distinction has been made between the acceptance of follower expectations (leadership as the fulfilment of follower expectations) and the challenging of follower expectations (leadership that changes or reshapes follower expectations) and these distinctions have been captured in the theories of transactional and transformational leadership (Bass, 1985:11).

The term 'transactional leadership' was coined by Burns (cited by Hollander, 1993:41; Bass, 1985:143) to contrast with transforming (transformational) leadership which he saw as opposite ends of a spectrum. Transactional leadership is in essence a social exchange approach, emphasising the implicit relational qualities of the transformation that exist between leader and follower (Hollander, 1993:32). It focusses on the practicalities / quality of leader - follower relationships, where leadership is regarded as a social process which is transactional in nature. The emphasis on the subordinate (follower) is important because the follower is often a leader as well (Lathrop, 1990:12). The key motivator in transactional leadership is self-interest (pay or status is exchanged for work effort) while transforming leadership seeks to build on people's altruistic motivations and personal ideals to achieve greater things.

Bass (1985:12) sees transactional leadership as a separate dimension from transformational leadership. Transactional leadership may be required for the maintenance of a steady - state situation. Lathrop (1990:13) cites Hollander which argues that "... where leaders and followers are bound together in a particular situations a 'locus of leadership' emerges." Both the leader and follower contribute and receive in the relationship and neither of them is self-sufficient. It is essential to show trust and fairness in such an interdependent relationship to encourage one another to take risks and to perceive that fair benefits are being returned for contributions made.

Graen and associates (cited by Yukl, 1998:150; Chemers, 1993:301 and Lathrop, 1990:13) developed the Vertical Dyad Linkage Model (leader-member exchange theory). The model suggests that leaders develop different exchange relationships over time with different subordinates. Some subordinates are given greater influence, autonomy and benefits in return for greater loyalty, commitment and assistance. The basis of each type of exchange involves expert and referent power and little coercive power in leader exchanges but more coercive power and little expert and referent power in supervision exchanges.

Burs (cited by Bass, 1985:11) indicates that transactional leaders "... approach followers with an eye to exchanging one thing for another while transformational leaders motivate ... followers to work for transcendental goals and for aroused higher-level needs for self-actualization rather than for immediate self interest." The distinction drawn between transactional leaders and transformational leaders makes it necessary to describe transformational leadership in more detail. Burs (as cited by Bass, 1985:20) has provided the opportunity to develop new (but also traditional) perspectives on leadership concepts (charisma, inspiration and vision). At the heart of transformational leadership lies the notion of higher-order change (at individual and organisational levels).

Transformational leadership increases follower motivation by activating higher needs of followers, appealing to moral ideals and ultimate values such as liberty, justice or equality

and empowering followers. (Organisational) Culture is influenced by aspects of the leader's behaviour. Transformational leadership has become synonymous with inspirational or innovative leadership. Fiedler and House (1988) cited by Hollander (1993:41) state that the leader strives to go beyond the usual norm to redirect and bring about change in follower thinking and action. The leaders employ strategies such as:

- Attention through vision.
- Achieving meaning through communication.
- Gaining trust through positioning.
- Gaining recognition or attention through positive self-regard (Yukl, 1998:347; Bass,1985:46;47).

The elements of transformational leadership include:

- Charisma (generates excitement, instills pride, gains respect and trust).
- Inspiration (sets example of behaviour, communicates high expectations, attitudes and vision).
- Individualized consideration (individual is treated with respect and trust, encouraged and stimulated to grow and develop through the creation of appropriate learning experiences).
- Intellectual stimulation (the leader challenges old ways, encourages new ideas, refocuses and resolves problems) (Bass, 1985:35;62;81;98).

The leader's attributes indices a process by which charismatic leaders arouse enthusiasm and commitment from followers through the articulation of an appealing vision. The more innovative and unconventional the leader's strategy and the more personal risk the leader takes in advocating a new vision, the more likely it will be that the leader will be perceived as charismatic (Yukl, 1989:230;231). Transformational leadership can be related to higher performance rating, higher performing groups, higher potential for advancement and more satisfied followers (Middlehurst, 1993:35; Bass, 1985:21).

Bass (1985:37) argues that charismatic leaders are more likely to emerge when an organisation is in a state of stress and transition. Charisma is fostered when formal authority has failed to deal with severe crises and when traditional values and beliefs are questioned.

Sashkin and Rosenbach (1993:102) moot the point that recent researchers involved in transformational leadership refers to it as a "paradigm shift." They define "... a paradigm as a way of thinking, a frame of reference .... (We are sometimes) forced to change the way we look at and think about things."

3.3.5   Cultural and symbolic approaches to leadership

Many of the leadership ideas discussed in 3.3.4 contain further / broader clarifications of earlier models but on the other hand are also significantly different.

Middlehurst (1993:36) argues that the earlier theories / models "... assume that leaders exist in a world that is essentially rational, certain and linear, and that leadership as an entity can be discovered through the application of scientific analysis and reasoning." Leadership can therefore be identified, explained and improved by systematic and careful study. The cultural and symbolic approaches suggest in contrast that leadership is not something that must be discovered, it is part of the interactive process of making sense and creating meaning that members of organisations are continuously engaged in and battle with. Leadership can only be understood in relation to these shared 'cultures' (invented meanings).

Schein (1985:56) defines culture as the basic assumptions and beliefs shared by members of a group. "The culture makes for a shared interpretation of events. It maintains the organization's boundaries and provides members with a sense of community, loyalty and commitment" (Siehl & Martin, cited by Bass, 1985:24). Leaders can influence cultures by affecting people's sentiments and commitments and help to make sense of events that

would otherwise be overwhelming and chaotic. The major function of culture is therefore to help us to understand the environment and how to respond to it and deal with it, while reducing anxiety, uncertainty and confusion. Yukl (1998:329) argues that culture helps to make sense and create understanding of the environment and how to respond to it. Shared assumptions are developed through experience and over time the assumptions become so familiar that members of an organisation are no longer consciously aware of them and a culture has therefore been established. Table 3.7 indicates the five primary and secondary mechanisms that give leaders the greatest potential for embedding and reinforcing aspects of culture.

One of the most important elements of culture is the set of beliefs that differentiate one organisation from another. Leaders can therefore articulate, influence and reinforce consistent norms and values but they can also reshape and transform culture in line with institutional outcomes. They can influence culture by affecting people's sentiments and commitments to units and / or institutions. Institutional / organisational culture is a crucial element in the management of an institution and an effective organisational culture must and need to be developed and maintained over years. "There are no shortcuts" (Middlehurst, 1993:39).

Tichy and Devanna (cited by Yukl, 1998:335-337) describe certain processes that must occur when leaders transform organisations:

- Recognise the **Need for Change** and manage the transition process.
- Create a **New Vision** through a participative process. Values and assumptions of culture have to be internalised.
- Institutionalising the **Change(s)**. Plan for support and participation and develop a new coalition of people who will be committed to the vision. For effective transformation leaders must:
  - see themselves as change agents,
  - be risk takers,

Table 3.7:   **Mechanisms for embedding and reinforcing culture**

PRIMARY	SECONDARY
● **Attention:** leaders communicate priorities, values and concerns. ● **Reactions to crises:** increases potential for learning about values and assumptions. ● **Role modelling:** communicates values and expectations by own actions of loyalty, self sacrifice and service beyond call of duty. ● **Allocation of rewards:** recognising contributions and achievements.. ● **Criteria for selections and dismissal:** recruiting people who have particular skills, values and / or traits.	● **Design of organisation structure:** influence assumptions about internal relationships such as a decentralised structure reflects belief in individual initiative and shared responsibility. ● **Design of systems and procedures:** formal management systems can reduce role ambiguity. ● **Design of facilities:** facilities can be designed to reflect basic values such as openness, flat structures. ● **Stories, legends and myths:** a reflection of culture. ● **Formal statements:** public statements (of values) and philosophies communicates only a small portion of cultural assumptions.

Source: Adapted from Schein (cited by Yukl, 1998:330; Nahavandi, 1997:237,239; Hersey &. Blanchard, 1988:347.351)

       •   believe in people and be sensitive to their needs,

       •   be flexible, open and learn from experience,

       •   have cognitive, disciplined thinking and analytical problem-solving skills,

       •   be visionaries who trust their intuition.

Bennis and Nanus (1985:88-107) on the other hand point out the following practices to

reshape and adapt to environmental changes:

- Developing a vision.
- Developing commitment and trust.
- Facilitating individual and organisational learning.

It is, however, important when developing and fostering an institutional culture and techniques of management meaning and social change, that individual needs of followers are not ignored and that leaders should be alert to the need of cultural sensitivity.

House and Shamir (1993:82) refer to these theories as a "new genre" (of charismatic theory because charisma is a central concept). According to this new genre (House, 1977; Burs, 1978; Bass, 1985, Bennis & Nanus, 1985; Tichy &Devanna, 1986; Conger & Kanungo, 1987; Sashkin, 1988 cited by House & Shamir, 1993:82), leaders transform the needs, values, preferences and aspirations of followers from self-interests to collective interests. They argue that this "new genre" charismatic leadership can be distinguished on the basis of:

- A set of behaviours.
- A set of personal traits.
- Specific perceptions and attributions by the followers.
- Specific effects they have on the followers.

It is clear that cultural and symbolic approaches to leadership describe the way leaders change the culture and strategies of an organisation, how "... they formulate a vision, develop commitment to it among internal and external stakeholders, implement strategies to accomplish the vision, and embed the new values and assumptions in the culture and structure of the organization" (Yukl, 1998:347).

3.3.6   **Cognitive theories**

Cognitive approaches, like cultural and symbolic theories, concentrate on ways of creating meaning in social context of institutions but, within these (cognitive) approaches, greater emphasis is placed on ways in which individuals construct reality than on the nature of their reality (Middlehurst, 1993:39). "Under these conceptions, leadership is seen as 'a social attribution - an explanation used by observers to help them find meanings in unusual organisational occurrences'" (Bensimon et al, 1989:23). Cultural and symbolic approaches stress the role of leaders in inventing reality for followers, while cognitive models emphasize the importance of followers in inventing leaders.

The cognitive theory deals with the cognitive abilities of leaders. It focuses on the contribution of individual traits to the development of leadership concepts and behaviours. Of great importance in this context is the notion of cognitive complexity or cognitive power and it can include:

- The ability to differentiate and integrate large numbers of elements.
- The ability to adapt to different task and situational demands.
- The scale and complexity of what an individual can pattern and construe mentally (Middlehurst, 1993:40).

Cognitive complexity will therefore give leaders the flexibility to understand situations through different and competing scenarios and to act upon them simultaneously while paying attention to different institutional needs. Middlehurst (1993:41) cites Hunt's 'extended multi organizational-level leadership model' that takes into account:

- The nature of individual personality characteristics, skills, behaviours, experience, attitudes, values, beliefs and mental abilities.

- The nature of followers, in groups, in different cultures and organisational circumstances.
- The nature of organisational circumstances.
- The nature of the organisational context, internally and externally.
- Different levels of leadership and different kinds of critical leadership tasks.

The model of Hunt tries to explain differences between face-to-face leadership that operates in small units, teams and at lower levels of the organisations and indirect leadership process at the top of the organisations. Middlehurst (1993:42) argues that the distinctions indicated are represented by the division between 'old' and 'new' (3.3.3) approaches to leadership.

One of the biggest and most difficult issues to clarify or to reconcile is whether leadership resides in the eye of the beholder or in the actions of leaders. Middlehurst (1993:46;47) indicates that the two views are associated with alternative perspectives of reality. Alternative perspectives and methods to analyse the problem may provide better understanding. Hunt (cited by Middlehurst, 1993:47) advocates the approach of 'critical pluralism', an attitude which tolerates and is non-judgmental about alternative views to gain, use and assess leadership understanding. He further suggests that it is necessary and useful to consider leadership from different perspectives to be able to understand, think and act more effectively in relation to the assumptions, purposes and definitions of leadership. It would therefore seem that whatever the area of focus and concentration (behaviour, thinking, learning, interpretation or meaning) in relation to leadership is, it would be wise to adopt a pluralistic approach that attempts to accommodate alternative paradigms.

3.4   DEFINITIONS OF LEADERSHIP

The overview of leadership approaches indicates that a number of interpretations and

viewpoints exist on leadership and that the term **Leadership** means different things, to different people. Yukl (1998:2) cites Bennis who surveyed the leadership literature and concluded: "Always, it seems, the concept of leadership eludes us or turns up in another form to taunt us again with its slipperiness and complexity. So we have invented an endless proliferation of terms to deal with it ... and still the concept is not sufficiently defined." The idea of leadership is complex, difficult to capture and open to numerous definitions and interpretations. In the literature on leadership there is no consensus or common agreement about the essence of leadership or the means by which it can be identified, achieved or measured.

Bennis and Nanus (1985:41) have indicated:

> Never have so many labored so long to say so little. Multiple interpretations of leadership
> exist, each providing a sliver of insight but each remaining an incomplete and wholly
> inadequate explanation... Definitions reflect fads, fashions, political tides and academic
> trends. They don't always reflect reality and sometimes they just represent nonsense. It's
> as if what Braque once said about Art is also true of leadership: The only thing that matters
> about art is the part that cannot be explained.

Anderson (1992:6) argues that successful leadership development begins on the inside. He gives a general definition of leadership: "to 'lead'... means to exert transforming and developmental impact on people, groups and organisations for the purpose of enhancing the quality of life and the effectiveness of your own and others' performances, whether at home, at work or in other environments."

Middlehurst (1993:7) deliberates that "although leadership is spoken about as a concrete and observable phenomenon, it remains an intangible and illusive notion, no more stable than quicksand.... Like beauty leadership is likely to consist of a number of separate elements which only in combination can be set to represent the whole."

A number of popular conceptions of leadership exist:

- **Being in charge:**

  the designation of leaders that denote a process of influence, a form of priority, a symbol and a role.

- **Direction setting:**

  guidance towards an ideal or a direction of events.

- **Influence over outcomes:**

  the exercise of leadership has an influence either upon people or upon a course of events in such a way that things happen.

- **Commanding following:**

  leadership commands and is associated with followership.

- **Style of leadership:**

  a number of ways exist in which influence is exerted, authority exercised and dreams fulfilled.

- **Leaders are different:**

  they are set apart from others in a qualitative way (i.e. integrity, honesty and trust) (Nahavandi,1997:14;17; Middlehurst, 1993:8-10).

The three dominant conceptions of leadership drawn from the underlying characteristics of the ideas about leadership are:

- Leadership is an active process.
- Leadership is a role or function.
- Leadership is symbolic (Middlehurst, 1993:8-13).

To find and settle on a single definition or description of leadership, that is general enough to accommodate these many meanings and views, Yukl (1998:5) points out that "... it is neither feasible nor desirable at this point in the development of the

discipline to attempt to resolve the controversy over the appropriate definition of leadership."

Nahavandi (1997:4) argues that the various definitions of leadership have a few things in common:

- It is a group phenomenon: there are no leaders without followers.
- Leaders use influence to guide groups: leadership is goal-directed.
- The presence of leaders often assume some form of hierarchy: even when the hierarchy is very flat. These three concepts allow leaders to be effective.

3.5   LEADERSHIP AND MANAGEMENT

Management and leadership are often thought of as one and the same thing. There is, however, important distinction between the two concepts. Hersey and Blanchard (1988:51) state that leadership is a broader concept than management. According to them management is thought of as a special kind of leadership where the achievement of organisational goals is paramount. Leadership on the other hand occurs any time one attempts to influence the behaviour of an individual or a group.

Gardner(1990:3-4) indicates that leaders have long-term and future-oriented perspectives, and provide a vision for their followers that look beyond their immediate surroundings. Managers, on the other hand, have short-term perspectives and focus on routine issues within their own immediate surroundings.

Bennis and Nanus (1985:21) propose that "managers are people who do things right and leaders are people who do the right thing." Managers accepts the *status quo*, leaders challenge it. Leaders create and articulate vision, managers ensure it is put into practice.

It is therefore clear that leadership is different from management although some of the leadership theories intermingle the terms. Kotter (1992:16,17) states that "... leadership and management are two distinctive and complimentary systems of action. Each has its own function and characteristic activities." He deliberates the point further and states that "... management is about coping with complexity."Good management brings a degree of order and consistency to key dimensions. "Leadership, by contrast, is about coping with change." Major changes are more and more necessary, and more change always demands more leadership. The way in which Kotter differentiates between management and leadership is set out in Table 3.8.

Table 3.8:   Leadership vs Management

LEADERSHIP	vs	MANAGEMENT
• Setting a direction.		• Planning and budgeting.
• Aligning people.		• Organising and staffing.
• Motivating people.		• Controlling and problem solving.

Source: Adapted from Kotter (1992:18-22 and 1990:27;28)

Nahavandi (1997:10) argues that the debates on leadership and management suggest that "...leaders are assigned attributes that allow them to energize their followers," while managers "...are simply the individuals who take care of mundane and routine details." It is not possible for everybody to be good at both leading and managing. Smart institutions value both kinds of people, those who have the capacity to become excellent managers but not strong leaders as well as those who have great leadership potential but have difficulty in becoming strong managers, and they work hard to make them part of the team.

3.6   **ACADEMIC LEADERSHIP AND CHARACTERISTICS OF HIGHER EDUCATION INSTITUTIONS**

Academic institutions (organisations) function significantly different from business or industrial organisations. Lathrop (1990:7) indicates that over the years there has been a tendency to apply general leadership theories and approaches to higher education and that many organisational characteristics of academic institutions make them more difficult to manage (and lead) than business.

Baldridge, Curtis, Ecker and Riley(1978:9) indicate that:

> The organizational characteristics of academic institutions are so different from other institutions that traditional management theories do not apply to them. Their goals are more ambiguous and diverse. They serve clients in stead of processing materials. Their key employees are highly professionalized. They have unclear technologies based more on professional skills than on standard operating procedures. They have 'fluid participation' with amateur decision makers who wonder in and out of the decision process. As a result, traditional management theories cannot be applied to educational institutions without carefully considering whether they will work well in that unique academic setting.

Most studies of leadership have taken place in business organisations, the military and governmental agencies. Little attention was given to higher education. Leadership and the study of leadership is even more difficult in higher education because of the dual control systems, conflict between professional and administrative authority and unclear goals. There is also a strong resistence to leadership (as understood in traditional and hierarchical organisations). One could think of academic staff members more in terms of constituents rather than followers (Birnbaum, 1988:4;24-28). Veblen (cited by Birnbaum, 1988:6) indicates that scholars pursue their work individually, each in his / her own way. The role of administration is not to govern scholars but rather to serve as their assistants and cater for their idiosyncratic needs. Higher education institutions will lose their effectiveness if this does not happen. "A free hand is the first and abiding requisite of

scholarly and scientific work." Therefore, within the academic context, the distinction between leadership and management has other connotations. The traditions of higher education institutions have for long upheld a separation between leadership and policy-making on the one hand and policy-implementation and administration on the other (Middlehurst,1993:45;46).

3.6.1   Higher education institutions as professional organisations

According to Middlehurst (1993:50) the key focus of higher education institutions as institutions is on professionalism and the (professional) characteristics of the staff. She indicates that there is still disagreement among researchers and scholars on the precise range of features that characterise professionals and professionalism.Middlehurst (1993:50), cites Downey (1990), Jarvis (1983), and Johnson(1972) who argue that some characteristics which are often quoted include:

- "A lengthy period of education and training."
- "Apprenticeship and socialization into the norms and procedures of the professional group."
- "A license to practice on the basis of specialist knowledge and skills."
- "The offering of a service to clients."
- "Autonomy in directing one's own work."
- "Adherence to the standards and codes of practice established by the professional associations - where they exist."

Within professional organisations the working relationship is that of partnership(s) of independent individuals. The mode of governance prizes autonomy and professionals play a key part in policy- and decision making. The form of authority in governance is based on seniority and expertise.

Higher education institutions can be identified as organisations of professionals.

According to Harman (cited by Middlehurst, 1993:51) universities (higher education institutions) are extreme cases of professionalised organisations. They create and transmit new and specialised knowledge and skills, academic staff members are granted a great deal of autonomy (if and when they have recognised qualifications and competence) and their professional expertise is the basis of their authority. Birnbaum (1988:29) states that "... leaders in higher education are subject to (these) internal and external constraints that limit their effectiveness and make their roles highly symbolic rather than instrumental." Institutions have basic professional characteristics:

- The nature of their work (in teaching professional subjects, and training professionals).
- Undertaking research and scholarship (that underpin professional practice).
- The way academic work is carried out (in structures of governance).
- The employment of support service professionals.

Leadership in professional institutions includes an emphasis on:

- Negotiation and persuasion.
- The development of consent and / or consensus.
- Facilitation (and encouragement) of group achievement.
- Create an appropriate working climate.

These issues provide an image against which to examine leadership (Middlehurst, 1993:69). Corson (cited by Birnbaum, 1988:9) indicates that higher education ("colleges and universities") presents "... a unique dualism in organization structure" that can and does present difficulties and problems for academic leadership.

3.6.2   The problem of academic leadership

Leadership in academic settings is associated with academic excellence and it is practised either collectively or individually and can be practised in a variety of academic settings. Individual leadership based on the concept of intellectual leadership can be achieved in research, teaching and scholarship. Academic leadership which is associated with influencing the direction of academic activities and areas of studies is possible within departments, schools or faculties. Institutional (and / or systems) leadership give the opportunity for administrative leadership (Middlehurst, 1993:69).

Academic leadership is pursued within a value system of academic freedom, critical reflection, rationality, democratic participation and autonomy. Academic staff members are motivated by individual direction and choice to the quest for knowledge and truth in specific disciplines and fields. It is therefore possible to achieve expertise regardless of age and rank and have a voice in academic affairs on the basis of reasoned argument and democracy. Middlehurst (1993:74) indicates that within the notion of critical reflection and evaluation, embedded in expertise and professionalism, "... authority from any source is open to challenge." Apart from individual expertise and leadership a hierarchical governmental system does exist of which the most conspicuous institutional leader is the institutional head. Birnbaum (1988:203) argues that institutional leaders "... influence the constraints within which those at lower levels function." The responsibility of the institutional leader is to keep the institution in proper balance. He defines the leading of an institution as "... both a science and an art." As a science the institution is directed by the understanding of structures, schedules, systems and power. As an art the leadership process is informed by sensibility, connoisseurship and intuition. The institutional leader tries to create new realities and influence others. "To lead without science is ineffective, to lead without art is usually sterile" (Birnbaum, 1988:208). Institutional leaders "... should complicate themselves by learning to look at their institutions using multiple rather than single frames (of perspectives)", and they will have to understand and make sense of their leadership and organisational roles (Birnbaum, 1988:209;228).

(i)   The Vice Chancellor

The Vice Chancellor has a representative role as figure head, ambassador and interpreter as well as establishing strategy, direction and climate. This indicates that the Vice Chancellor has an external as well as an internal role to play (Green, 1997:34).

Middlehurst (1993:99-102) identified that the leadership role of the Vice Chancellor can be divided into five key elements. These elements can be categorised into two leadership areas, namely that of administrative and academic leadership which include an educational leadership dimension. The key elements are:

- **Clarifying and determining direction:**

   The vision of the leader is regarded as the blueprint for the institutional direction and strategy. Wide consultation from / in all parts of the institution is used to develop the vision to encourage ownership of the 'blueprint'.

- **Positioning the institution:**

   Promoting the status of the institution in the wider community.

- **Improving the climate through communication:**

   Leadership involves setting a tone and style, objectives, being involved in strategic thinking, identifying good ideas and articulating and interpreting the purpose, beliefs and values of the institution.

- **Decision-taking and adjudication:**

   This view constitutes a managerial frame of reference as well as a political imperative.

- **Institutional representation:**

   The Vice Chancellor has to manage both the external as well as the internal institutional environment.

Green (1997:36-39) deliberates seven leadership tasks for institutional heads:

- Clarifying and determining direction.

- Managing change (facilitate the process of 'adaptive change').

- Setting the tone: articulating institutional values and aspirations internally and externally.

- Overseeing Education and Research: enhancing the core functions of the institution

- Relating the institution to its external constituencies.

- Securing resources and overseeing their use.

- Overseeing opportunities.

(ii) *The Academic Vice Rector / Principal*

The role of the academic Vice Rector is to represent the academic voice in the governance (and management) of the institution within the 'Senior Management Group'. The academic Vice Rector is to support the Vice Chancellor with managing of the institution and he / she must be trusted to guide and influence the committees and Heads of Departments and Deans. Green and McDade (1991:81) indicate the following responsibilities for the Vice Rector aimed at the specific conditions of educational principles:

- Creating vision.
- Directing operations.
- Forging links with the senior leadership team.
- Securing resources and overseeing their use.
- Linking the academic units to the institution's mission.
- Relating the academic unit to the institution and the community.

(iii)   Deans and Heads of Departments

Traditionally leadership roles may be exercised at faculty level by a Dean and at departmental level by the head of the department. At faculty and departmental level there has been considerable autonomy for developing the discipline and deciding the direction of teaching and research.

The responsibilities of Deans according to Green and McDade (1991:99) are to provide academic leadership. That includes:

- Setting academic priorities.
- Building and maintaining an academic programme.
- Ensuring academic quality and creating a community of scholars.
- Ensuring the best academic staff and students.
- Participating in the academic staff promotion and evaluation process.
- Manage the unit:
  - Direct operations.
  - Securing resources and budgeting for their use.
  - Supervising and developing support staff and academic staff.
  - Creating the working environment.
  - Linking the institution to the faculty.
  - Linking disciplines within the faculty.
  - Understand the higher education environment.

Tucker (1984:59-60) found that the duties and tasks of departmental heads include:

- The setting and maintenance of academic standards.
- The monitoring of academic quality.
- The organisation of teaching and research.
- The acquisition and management of resources.

- The implementation of institutional policy.

- Internal liaison and representation.

- External liaison.

- Public relations.

- Marketing and representation.

- Student and staff welfare.

- Relations and development.

Green and McDade (1991:139-141) gave a classification of formal responsibilities of heads of departments:

- Governing the department.

- Managing teaching.

- Managing personnel.

- Promoting departmental development and creativity.

- Working with students and student issues.

- Representing the department to the institution.

- Serving as link to external groups.

- Managing the budget and resources.

It is quite clear that from these studies emerge a picture of a wide range of leadership and management competencies. "The quality of the core academic success of the institution depends on the quality of the chairperson.... In short their ability to management and lead" (Bennet, 1988:57).

(iv)   Individual (Academic) Leadership

It is expected of the individual academic to be an expert and a manager. The scope for leadership expected of the ordinary academic is very wide. A list of roles could include, the academic:

- as teacher, researcher and scholar,
- academic manager / administrator,
- entrepreneur, and
- follower.

The individual academic must exercise independent judgement, shape and direct his / her own work, feeling confident and using initiative and creativity. The variety of roles give the opportunity to develop and deploy different skills and behaviours (Middlehurst, 1993:158;159). Middlehurst (1993:187) deliberates two opposing arguments:

- Academic leadership has always existed in academic institutions.
- Leadership has never fitted the academic value system or the structure and operations of higher education institutions.

According to Green and McDade (1991:155) the cultivation of individual academic leadership is less straightforward than institutional leadership. Institutional leadership derives from the authority of the position, while individual leadership emerges. They are often self-appointed and can function as role models. They also indicate that the opportunities for academic staff to lead are numerous. Academic staff must take initiative for their (one's) own development by:

- Taking an active role in creating opportunities.
- Staying active with colleagues in the discipline.
- Developing a contract for personal and leadership development.
- Taking action (Green & McDade, 1991:165).

The researcher has discussed in Chapter 2 the aspects that influence change in higher education and the challenge that these issues are for institutions. There is, thus, a realisation that these changes have consequences for academic activities of institutions.

Intellectual and interactive elements have formed a major part of academic excellence and leadership. To be able to find a new framework for change and transformation an interactive dimension of viewpoints must be kept in mind and the full range of intellect and expertise must be used to successfully incorporate integration of past values and present imperatives (Green, 1997:40,44; Middlehurst, 1993:193). "New" leadership theories (Bryman cited by Middlehurst, 1993:28) (3.3.3) and the interactive dimension of viewpoints for change and transformation are interconnected and should be in balance and help to align theory and practice in academic leadership.

3.7 A CONCEPTUAL FRAMEWORK TOWARDS TRANSFORMATION AND CHANGE IN ACADEMIC LEADERSHIP

"Despite constraints imposed by human nature, structures and traditions, higher education leadership can and do make a difference" (Green, 1997:48). Trow (1985:145) claims that institutions have the ability to adapt and respond through the ability of institutional leaders to innovate, motivate and to lead. The challenges for higher education leaders are enormous. Institutions have much to protect and preserve but have to move forward at the same time. Green (1997:50) argues that "... enduring fundamental change requires that those who are affected undergo a change in their beliefs and values so that they become the implementers of change, not the passive victims of changing policies and pressures." She also states that it is part of human nature to resist change. Leadership can therefore not impose change on followers and institutions, but they have an enormous task and they will have to find and / or provide ways to let followers "see the need for change", to "embrace it" and to "share the vision of the rightness of the change." Bennis (1992:214) points out that we have to pay attention to what is changing today in order to know, what we must do better tomorrow. Leaders will have to focus on their "... own emerging view(s) of the creative process." He / she will have to create a dream and "... manage the dream." Drucker indicates that the first task of the leader is to define the

mission. De Pree said: "The first responsibility of a leader is to **define reality**. The last is to **say thank you**. In between, the **leader is a servant**" (Drucker and De Pree cited by Bennis, 1992:215). These viewpoints influence the way we conceptualise academic leadership.

3.7.1   'Define reality'

To be able to define reality one must first have a dream or a vision. Quigley (1993:3) indicates that leaders understand life. A leader's vision implies an understanding of the past and the future and it provides a road map that suggests the guidelines to the future. Leaders use this understanding, and this road map of vision, transferred into reality, to compete for the minds and the hearts of followers and those who would like to join. Although we tend to think of developing a vision as dreaming, it is in actual fact thinking and thinking hard. It is important for leaders to expand this cognitive power or vision in order to help followers expand and improve their own vision (Sashkin & Rosenbach,1993:98).

This visionary appeal to hearts and minds must include values (fundamental beliefs), mission (what it aspires to) and direction (where it is going). The leader who has a clear vision, direction and a set of values, has a fundamental source of power. "A leader's power is the capacity to translate a vision and supporting values into reality and sustain them" (Quigley, 1993:6;10).

It is therefore quite clear that leaders must have key qualities and that they know who they are and where they are going. They are self-reliant individuals with great stamina and tenacity who can move the world with their enthusiasm, optimism and high motivation. Leaders set priorities and mobilize energies, they have entrepreneurial imagination and are prepared to take risks. They have the ability to stir things up in a healthy and desired conflict. However, the leader must have integrity, a sense of humour

and proportion but also be intelligent and wide thinking in their perspectives (Cronin,1983:16-22).

Peters and Austin (1985:397) state that corporate philosophies that are effective and lasting are in truth about "the obvious" and "common sense", and that success lies in the fact that they are lived with intensity. The philosophy or vision is quickly turned into symbols (vision made visible). "Vision, energy, empathy, persistence, passion, attention to detail, a picture of the goal", are the factors that predict success (Peters & Austin, 1985:409,410). Greenleaf (1996:295) indicates that values, goals, competence and spirit are the essential abilities required to lead. He expresses these abilities in two sets of requirements: "the ability to set and articulate goals and reach them through the efforts of other people and the ability to satisfy the people who's judgement must be respected."

It is therefore important to note that leadership is often a unique and new mode of perception, and that leading requires a refocusing of the mind. For the leadership mind, greatness matters - greatness in thought and in action. Koestenbaum (1991:6;7) points out that genuine leaders are committed to four principles of greatness (The Leadership Diamond), vision, reality, ethics and courage. Philosophic greatness is thus the commitment to relinquish mediocrity forever.

3.7.2 'Say thank you'

'Thank you' is the most basic verbal manifestation of a value. Value (s) and beliefs are the most fundamental part of the three elements of a vision (the other two are mission and direction) and values precede mission and direction in logic and in reality, (Quigley, 1993:15). Peters and Austin (1985:408;409) indicated that leaders in excellent organisations had crisp and clear visions but behind those visions was a set of clear and intense shared values that allow lots of room for autonomy, creative expression, love, care and empathy.

The ideas an organisation 'live' by are embedded in customs, the unwritten norms or standards by which the culture bides the conduct of its members, specifying what is proper and improper, right and wrong. The power of guiding by values often triumph. Without values there is no meaning. Leaders must keep alive values about individual moral responsibility, caring for others, honour, integrity, tolerance, mutual respect and above all, individual fulfilment within a framework of values (Gardner, 1990:75;77).

Schein (cited by Sashkin & Rosenbach, 1993:99) argues that "... the **only** thing leaders do may well be constructing culture." The values and beliefs shared by people in the organisation are the essence of the organisation's culture. The elements of organisational culture are not just selected by chance. They deal with the most fundamental issues faced by people in organisations. Sashkin and Rosenbach (1993:103) said that leaders transform not only organisations but also followers because they (the followers) accept and internalise the key values and beliefs that leaders have identified as the basis of the organisation's culture. Culture, according to Koestenbaum (1991:103), is the personal (soft side) of leadership. People (followers) in organisations must fully understand, live and teach the personal side of leadership.

3.7.3 'The leader as a servant'

Sashkin and Rosenbach (1993:98) indicate that transformational leaders use cognitive power to understand complex leadership issues and to make decisions that will benefit organisations and advance the leader's vision. Success, however, is not only because of this cognitive power, but as much as from the effective and successful development of followers' cognitive abilities. Successful leaders learn to use cognitive power effectively. It is the thought and action of employees and managers at lower levels that must effect current and short-term future operations. The two researchers therefore point out that it is more important for leaders with great cognitive power or vision to help followers expand and improve on their own (the follower's) vision and to teach followers to develop the characteristics of effective leaders for themselves as well as the belief that

one's destiny is a matter of self-control (self-efficacy). Effective leaders empower followers to be effective in organisations and to base and define their decisions, policies and programs on values and beliefs that are part of the philosophy of the organisation.

Followers are thus seen as active and engaged "... in leadership and not just in followership" (Sashkin & Rosenbach, 1993:105). Leaders' essential contribution are different from those of followers. The contributions of leaders include synthesising and extending the purposes of followers and they also construct conditions under which followers can be transformed into leaders. Rost (cited by Sashkin & Rosenbach, 1993:105) thinks that the leader exists primarily to focus and help carry out the visions of followers. Greenleaf (1996:287;294) states that "a leader is one who goes ahead to guide the way", he uses the phrase "the servant-leader is a servant first." Greenleaf makes it quite clear that "... you (the individual) have to take the responsibility for leadership" (Greenleaf, 1996:293).

Greenleaf (1996:183) indicates that organisations have become so complicated that a contribution of an individual is almost lost in the process. He argues that to correct this tendency every worker must feel an integral part of the organisation, the worker must believe that one of the aims of the organisation must be to his / her own benefit and an opportunity must be given to claim satisfaction of achievement within the organisation. Accomplishing these objectives will give way to group achievement. Drucker (1955:194) states that institutions / organisations must create the conditions under which potential leadership qualities become effective. Leadership must be present at all levels of the organisations as well as the trust, visions and basic beliefs (Peters & Austin, 1985:6).

Lee (1991:114) points out that "... organizations that have effective leaders tend to be the kind of places that develop effective followers." Effective followers are partners in creating vision, they take responsibility for their jobs, they take initiative to fix problems or improve processes, they question leaders, "... in other words they act a lot like leaders themselves. ... Good followers exhibit exactly the sorts of characteristics ... when

describing good leaders." It is important to build a team of individuals. Individuals bring different talents into a team. The individuals are strong and independent and they form partnerships with their leaders (Kelley, 1992:123). It is therefore important for leaders to understand the essential contributions, as well as the limitations of good followers. De Pree (1992:137-140) argues that a leader has to learn the perspective of followership to do good work as a leader. He echos the concept of 'a leader as a servant' by indicating what a leader can learn by walking in the shoes of a follower and what a leader should be aware of, that inhibits good followership.. The leader must be **"primus inter pares (first among equals)"** (Greenleaf, 1996:247). He differentiates distinctively between "chief" (hierarchical principle) and "primus", where the primus tests and proves **that** leadership, constantly amongst a group of able peers (Greenleaf, 1991:61), as indicated in Figure 3.3.
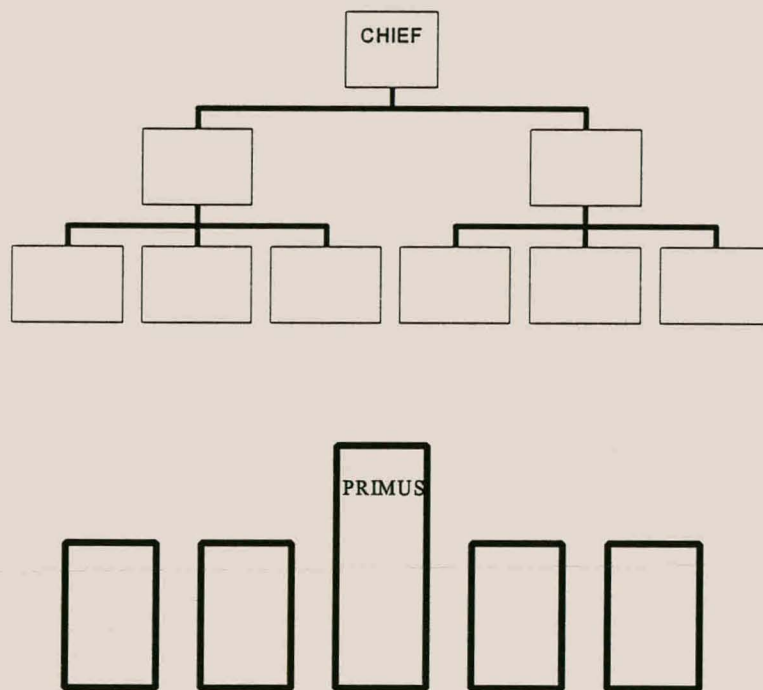

Figure 3.3   Hierarchical institutions and "Serving" institutions
Source: Greenleaf (1991:62;66).

The relationship between the leader as a servant and the follower as a leader can be explained as a master has explained the essence of wheel-making to the craftsman: "Think of sunlight. The sun nurtures and vitalizes the trees and flowers. It does so by giving away its light. But in the end, in which direction do they all grow? So it is with a master craftsman (leader)" (Chan Kim & Mauborgne, 1992:153).

3.7.4   Leadership: An African perspective

In Africa, "**umuntu ngumuntu ngabantu** (a person is only a person because of other people)" and the concept of leadership exist in this particular context of humanity (Boon, 1996:80). Boon argues that people that are willing to accept accountability and responsibility for themselves have found the foundation of leadership, a challenge for all human beings and that is the courage to lead themselves. People respect and are guided by the behaviour of courageous people and this guidance is often easier to accept. A leader whom people willingly follow, facilitates a process of interaction. It is a process where people who respect the leader's courage and honesty are encouraged to share their inner feelings. Through this process of interactive leadership followers become accountable for their own actions.

Boon (1996:82) defines interactive leadership as "... the interaction and resultant growth and progression that occurs when individuals demand and encourage accountability, first of themselves and then of each other."

This way of interaction indicates a form of sharing that involves the community, and is based on trust, respect, honesty and loyalty. Values and principles are therefore at the heart of interactive leadership. To be able to interact with integrity and honesty a person needs to know him- /herself well and self-examination lies at the heart of this process. A person behaves according to a set of values and is accountable to him- / herself.

According to Boon (1996:106) we also have a collective accountability, that is to accept

accountability for each other. Interactive leadership involves leading one another, i.e. leading and being led. This assumes equality of humanity and include individual and group aspirations and goals. A culture defined by values can be created that will be conducive to achieving goals.

It is important to take notice of the fact that values are not (only) the domain of the individual but are in actual fact created by the group. The group therefore becomes accountable for living the values. Being accountable to oneself and the group it is expected of the leader to be exemplary, to lead strongly and effectively with the values as guide (Boon, 1996:127).

In this process and environment of trust, and openness and respect, the leader has enhanced power but the follower (each person) regardless of rank, has the same opportunity to contribute their opinions and will not allow leadership to behave and act outside of these principles and value systems. The leader is therefore, just as exposed and vulnerable as every member of the community. People belong simultaneously to both the hierarchical leadership structure and the community structure as illustrated in Diagram 3.1. The individual is at the same time part of the community, but can also be part of the hierarchical leadership structure.

Interactive leadership has as a firm base a culture of values and principles. The interactive leadership structure is informed by this culture that creates behaviour practice that will have effective and efficient organisational / business results. According to Boon (1996:81) the "first leadership challenge for all human beings is to lead themselves." They need to be accountable and responsible, and the acceptance of accountability takes great courage and forms the foundation of leadership. Courage is something that people respect and they are guided by the behaviour of courageous people. A leader whom people willingly follow facilitates the interaction. Through this interaction people are encouraged to share their inner feelings, they become exposed, vulnerable and accountable. Being accountable they again become leaders (Boon, 1996:82). The first step in building an interactive

Diagram 3.1: Interactive leadership structure

Source: Boon (1996:128)

leadership system is to create values and principles. Boon (1996:84) argues that in certain African languages there are only one word to describe both concepts and for that reason values include principles. Shared values are created by everyone through a process of agreement (and disagreement) and openness to consensus, in this way people buy into a value chain. People then become accountable to themselves for behaving according to the created values. The shared values indicate a collective accountability which involves a process of leading one another (regardless of their position in the organisation) and that assumes equality of humanity. All of these can happen because of the environment of trust, openness and respect.

It is important to note that African interactive leadership does not depend on blackness or whiteness but it is based on humanity. This form of leadership "... is expressed in the

Now African (who accepts a blend of cross-cultural attitudes, philosophies and behaviours unique to Africa) who draws on a collective heritage of powerful community ..., a sophisticated sense of self ... and the warrior ethics of rugged determination, complete preparedness, discipline, loyalty and respect" (Boon, 1996:131).

3.8   CONCLUSION

Bass (1990:30) indicates that "... for too long, leadership development has been seen as mainly a matter of skill development. But leadership - particularly transformational leadership - should be regarded as an art and a science." It is important that in times of rapid change and uncertainty there is a need for flexible organisations with determined, servant leaders, who can create a value system and learning culture that will inspire employees to participate enthusiastically in team efforts but at the same time will empower followers and individual leaders.

In developing a background and framework for the study one is compelled to look at an African perspective that should be part of the understanding of leadership and creation of transformation and change.

This chapter has given an overview of different leadership theories and research that has bearing on this study. It is important to note that for the purpose of transformation and change one needs superior leadership performance. Transformational leadership occurs when leaders broaden and bring to a higher level the interest of their employees when they create awareness and make the purpose of the mission of the group acceptable. When they can move their employees to look beyond their own self- interest for the good of others, and of the group. It is possible for leaders to meet the emotional needs of followers, to intellectually stimulate them and empower them (3.3.4). Organisations need a radically new understanding of what it is to be an effective leader (3.7.2). An empowering SuperLeader is needed to bring out the effective self-leadership potential

of others, and lead others to lead themselves. "The SuperLeader has the strength of ten (or more) because that strength is based on the experience, knowledge and capability of many" (Simms & Manz, 1996:7). Each individual is a competent self-leader and is a pillar of strength. The SuperLeader leads others to lead themselves so that the organisation can succeed and flourish without constant external direction. It is therefore important to realise that you have to learn to lead yourself, before you can lead others. Welch (cited by Simms & Manz, 1996:9) calls for "boundaryless organisations", with non-traditional strategies, reducing supervision, empowering employees and emphasising work in teams over traditional structures. Leadership starts with the individual, therefore, self-leadership is the power that drives these organisations and it requires a reallocation of the locus of power and control.

The next chapter will look into the concept of learning organisations and how these organisations function and how the concept can be used for higher education institutions to become learning organisations.

CHAPTER 4

CREATING LEARNING ORGANISATIONS

4.1   INTRODUCTION

"A Learning Organisation harnesses the full brainpower, knowledge and experience available to it, in order to evolve continually for the benefit of all its stakeholders."(Mayo & Lank, 1994:viii).

"The need for a culture of learning in organisations has rarely been greater" (Garrat, 1988:429). Marquardt (1996:xv; xvi) points out that organisations will not survive if they don't learn faster and adapt to rapid change. He also cites Revans who indicates that "... learning inside must be equal to or greater than change outside the organization or the organization is in decline, and may not survive." We have clearly entered the "... **knowledge era**" (Marquardt, 1996:6). Therefore the "... survival in a rapidly changing world is dependent on adaptability; adaptability is dependent on the capability to learn; and that capability is dependent on the motivation for continuous learning of everybody in an organisation within a supportive environment."(Mayo & Lank, 1994:vii).

In Chapter 3 the concepts of leadership have been discussed. The focus has been on the SuperLeader who can create a company of heroes. This leader focuses on followers who become self-leaders and together they (the leader and the follower) represent the source of wisdom and direction. However, before the leader can lead others, he / she must learn to lead him/herself. SuperLeaders empower self-leadership. Self-leadership is the power that drives new "boundaryless organizations". By changing the culture (especially the leadership culture) of the organisation and learning from 'new knowledge', (learning organisations) any organisation has the potential to become a "company of heroes" and a "boundaryless organisation" (Sims & Manz, 1996:9; 25 ;239; Sims & Lorenzi, 1992:304; Manz & Sims, 1989:4;5). Kotter (1990:35) argues that such strategies help to

create an organisational culture where people value strong leadership and strive to create it. He states that there is a need for more people to provide leadership in complex organisations as well as a need for more people to develop the cultures that will create that leadership.

4.2   EMERGENCE OF LEARNING ORGANISATIONS

Transformation and change have influenced the workplace in the four areas of environment, workplace, customer and worker. Organisations and institutions are no longer able to respond and handle these new challenges. Francis Bacon cited by Thurbin(1995:1) said that "... if a man will begin with certainties, he shall end in doubts, but if he will be content to begin with doubts, he shall end in certainties." Albert Einstein (cited by Marquardt, 1996:15) once wrote that "No problem can be solved from the same consciousness that created it; we must learn to see the world anew." New problems won't be able to be solved with "old" structures, mindsets or knowledge that was part of the organisations in the past (Marquardt, 1996:15).

The same forces that have generated the changes and transformation can be captured by organisations and systematically synergize them to develop the subsystems of the learning organisation: i.e. learning, organisation, people, knowledge and technology. Organisations that are able to evolve into higher learning capability, will "... be able to learn better and faster from their successes and failures, from within and from outside" (Marquardt, 1996:16;17). Although learning organisations have attributes along many dimensions, it is important to note that:

- "... they have an exploratory attitude, and
- current solutions and processes are open to questioning."(Argyris &Shön, cited by Bakken, Gould & Kim,1994:245).

Fourie (1996:99) argues that the learning organisation emphasizes the dynamics of the organisation as well as the continuous interaction between the organisation and its actors. Organisations have to develop and implement a systemic orientation to look at how the disciplines or subsystems interrelate. Senge (1990:12) indicates that systems thinking makes understandable the new way individuals perceive themselves and their world. "At the heart of a learning organization is a shift of mind, ... it is a place where people continually discover how they create their reality ... and how they can change it." Senge (1990:13;14) uses the term "Metanoia" which means shift of mind. To fully grasp and understand the meaning of "metanoia" is to grasp the deeper meaning of "learning". He argues that learning also involves a fundamental shift or movement of mind and he defines a learning organisation as "... an organisation that is continually expanding its capacity to create its future." "Adaptive learning" for the purpose of transformation must be joined by "generative learning" that enhances an organisation's capacity to create. The intentional use of learning processes can help to ensure that organisations will not only continue to survive but also to thrive, by reacting effectively to whatever the future may bring, but also helping to shape that future. In this sense all organisations need to be learning organisations (Pearn, Roderick &Mulrooney, 1995:x).

Duke (1992:1) defines a learning organisation very simplistic as "an organisation that both learns and fosters learning". Marquardt (1996:19) on the other hand states that "a learning organisation, systematically defined, is an organisation which learns powerfully and collectively and is continually transforming itself to better collect, manage, and use knowledge for corporate success." A learning organisation empowers people within and outside the company to learn as they work. Pearn et al (1995:16;17) deliberate the difference between "**the** learning organisation" and "**a** learning organisation". They state that "the" learning organisation indicates a steady state, while "a" learning organisation indicates the dominant feature of learning and an institution which questions and examines for the purpose of empowerment. It is, therefore, important to remember that an institution "... never fully **is** a learning organization. Change always continues ... and the need for learning is never finished" (Marquardt, 1996:179).

Lank (1997:406;407) argues that leaders are starting to recognise the significance of the 'knowledge era'. They realise that although, invisible and difficult to measure, knowledge and human expertise are the principal creators of value for organisations and that knowledge and expertise within people is truly thé asset. Lank (1997) defines a learning organisation as follows: "A learning organization harnesses the full brainpower knowledge and experience available to it, in order to evolve continually for the benefit of all its stakeholders." A number of things however are new and must be taken into consideration:

- The speed of change and the competitive environment.
- The influence of technology that enables global knowledge-sharing.

It is important to take on the challenge and to identify and to take on the specific actions to turn individual and team learning into organisational learning. The learning organisation must harness brainpower across the boundaries of an organisation and enable its employees to deliver maximum value (Lank, 1997:407).

Senge (1990:6-11) indicates five "components" that each develop separately and provide a vital dimension in organisations that can truly learn:

- **Systems thinking:** A conceptual framework (a body of knowledge and tools) that makes the full organisational patterns clearer and assists in attaining a vision of how to change these patterns effectively.
- **Personal mastery**: This is the essential cornerstone, the spiritual foundation of the learning organisations. Personal mastery is the discipline of "continually clarifying and deepening our personal vision, of focusing our energies, of developing patience, and of seeing reality objectively" (Senge, 1990:7).
- **Mental models:** These are the deeply ingrained assumptions, generalisations (pictures and / or images) that influence our understanding of the world. It has a bearing on how we take action. To be able to make use of and take advantage

of accelerated organisational learning people need to unearth and bring to the surface their own mental models, to expose their own thinking and to make the thinking open to the influence of others. De Geus (1996:94) states that institutional learning is the process whereby management teams change the shared mental models of the company and think of planning as learning and of corporate planning as institutional learning.

- **Building shared vision:** It is the ability to create the capacity to hold shared visions / pictures of the future, to excel and learn because people want to and not just because of compliance to the vision of the leader. The shared vision must be a set of principles and guiding practices that fosters genuine commitment.

- **Team learning:** It is the ability to allow a group to discover insights that can not be attained individually. The process of team learning starts with dialogue or 'thinking together' that can make it possible that the intelligence of the team (group) can exceed the intelligence of the individuals in the team. Kanter(1996:44) indicates that the institution's structure must promote synergies that are "... a whole that multiplies the value of the parts."

Systems thinking is the discipline that integrates and fuses the disciplines into a meaningful process of theory and practice, it continually reminds the institution(s) that the whole can exceed the sum of the parts. The five dimensions of an organisation that can truly learn will be discussed in more detail in 4.3.1(iii) that deals with the development of learning skills.

Longworth and Davies (1996:75) and Marquardt (1996:19;20) indicate a number of important dimensions and characteristics of a learning organisation. (Table 4.1). These characteristics are part of a systems-linked learning organisation (Marquardt, 1996:20) and is made up of interrelated subsystems that interface and support one another. Marquardt (1996) indicates that the core subsystems of the learning organisation is learning that runs like a silver thread through the other four subsystems. Each of these four subsystems are necessary to ".. enhance and augment the quality and impact of

Table 4.1:   Characteristics of a learning organisation

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

Source: Longworth and Davies (1996:75); Marquardt (1996:19;20)

learning." (Marquardt, 1996:20). The subsystems are interrelated and complement each other.

4.3   THE SYSTEMS LINKED LEARNING ORGANISATION

"The fifth discipline" or systems thinking (Senge, 1990:12) indicates a developmental path for acquiring certain skills or competencies, the cornerstone of the learning organisation, that must be put into practice. The five learning disciplines that Senge indicates (see 4.2) are personal disciplines. By practicing these disciplines the individual becomes enlightened and aware of his / her ignorance. Excellence is something the individual strives for and by practicing these disciplines the individual becomes a lifelong learner. This has as affect that learning organisations are always in the state of practicing the disciplines of learning. The skills of systems thinking, mental models, personal mastery, team learning, shared vision and dialogue are necessary to maximise organisational learning.

There are five disciplines that inform the five subsystems of Marquardt's system-linked learning organisation (Marquardt, 1996:21). The five dynamical interrelated subsystems are:

- Learning (the core sub-system).
- Organisation.
- People.
- Knowledge.
- Technology (Diagram 4.1).
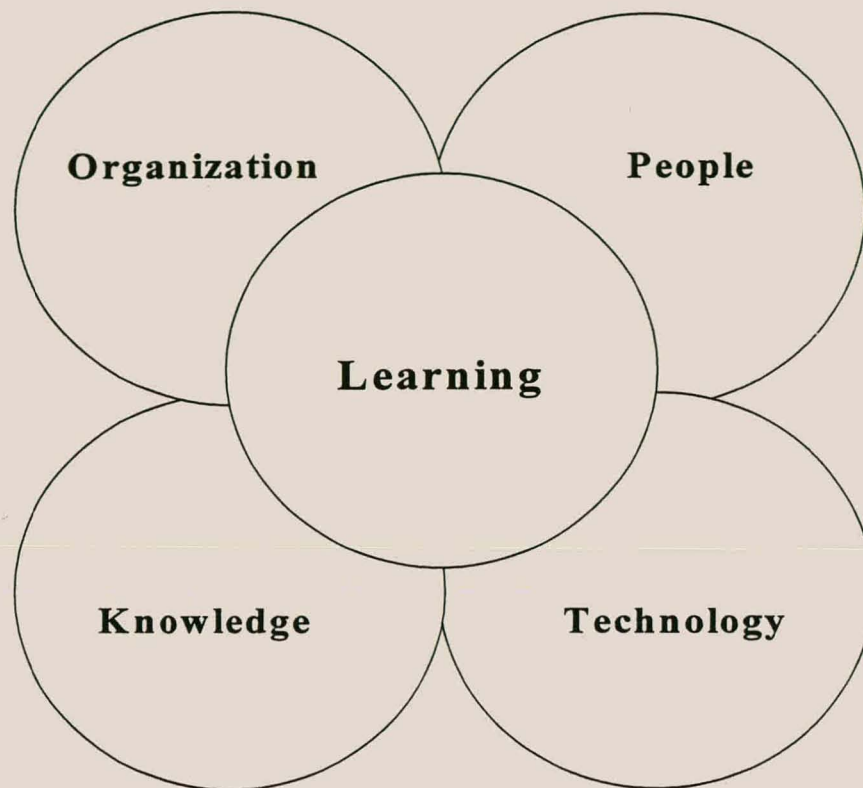
Diagram 4.1: Systems learning organisation

Source: Marquardt (1996:21)

4.3.1 The learning subsystem: Building dynamic learning throughout the organisation

To create the conditions for learning people need to look from the inside-out to be able to get them to think and look at the world differently (McCrimmon, 1995:105). Marquardt (1996:29;30) argues that the speed, quality and leverage of the learning process form the foundation of the learning subsystem and have an affect on three complementary dimensions - levels, types and skills.

- Levels of learning:
    - individual,

- group or team,

- cross-functional, and

- organisational (internal, external realities, future possibilities) (Pearn et al, 1995:22-24).

- Types of learning:

    - adaptive,

    - anticipatory (Senge, 1996:289),

    - deutero,

    - single and double loop, and

    - action-reflection (Marquardt, 1996:30).

- Skills:

    - systems thinking,

    - mental models,

    - personal mastery,

    - team learning,

    - shared vision (Senge, 1990:5-10) (4.2) and

    - dialogue (Marquardt, 1996:30).

For organisations to learn effectively they should understand that there are different kinds of learning which may be applicable at different times and stages of the learning process. Senge (1996:289) argues that it is no longer possible to "... figure it all out at the top. The old model the top thinks and the local (bottom) acts must give way to integrative thinking and acting at all levels." Senge (cited by Marquardt, 1991:31) indicates that learning has very little to do with taking in information. Learning is a process that enhances the ability to build the capability to create new knowledge, understanding and solutions.

(i)   Levels of learning

Without individual learning the common transformation of an organisation cannot take place. Each person's commitment and ability to learn is essential. The individual must be

dissatisfied with the way things are and must take the responsibility to be a learner and support the learning of others (Taylor, 1997:338 and Marquardt, 1996:33). Argyris (cited by Taylor, 1997:337) argues that the employees must take active responsibility for their own learning, develop and share new knowledge and empower themselves by shaping lasting solutions to fundamental problems. It is important to develop the ability of individuals to learn more in less time through varied techniques of accelerated learning to be effective in building innovation, imagination and creativity into the learning process (Marquardt, 1996:33). Intellectual capital and knowledge are the most important assets of an organisation (Wiig, 1997:403). Therefore, individuals need to be encouraged to learn in the same manner as the entrepreneurial organisation by taking risks, experimenting and adjusting behaviour on the basis of what is successful and what does not work (McCrimmon, 1995:107).

Organisations have to deal with more complex problems and they found that group / team learning have become more and more important. The performance of individual specialists depend on individual excellence and the ability to work well together (Senge, 1990:233). The group has to function as a whole through alignment and synchronicity (Jaworski, 1996:84). "Team learning is the process of aligning and developing the capacity of a team to create the results its members truly desire" (Senge, 1990:236). Learning organisations create a full range of teams. These teams take time to reflect and do action learning for the purpose of organisational change and renewal. Organisationwide learning occurs through shared insights, knowledge and mental models. The success of learning organisations is the result of the know-how embedded in the whole group working in unison (Marquardt, 1996:37). Most of the successful 'culture change' uses a learning process which starts with top team commitment, cascades the responsibility to learn to teams and individuals and encourage individuals to become active problem-solvers (Garratt, 1988:432).

(ii)   Types of learning

More than one type of learning exist in learning organisations, and organisations can employ more than one type of learning at the same time. The process by which teams work and learn in real time rely heavily on action learning and cybernetic loops that can help to win the learning race for a creative future (Garrat, 1988:432; Hampden-Turner, 1990:423). Revans' (cited by Marquardt, 1996:39 and Zuber-Skerritt, 1991:xiii) equation for learning is: $L = P + Q$, i.e. programmed knowledge + questioning insight, and it forms the basis of the action learning process where learning builds upon the experience and knowledge of an individual or a group and the skilled (new) questioning that results in creative, new knowledge. Knowledge can therefore be created by observing and reflecting on the experience which provides new concrete experience. Argyris (1992:8-10, and 1980:14-17) makes a distinction between 'single-loop' learning and 'double-loop' learning, where single-loop learning is "... any detection and correction of error that does not require changes in the governing values" whereas double-loop learning "... is the detection and correction of error that requires change in the governing values," as indicated in Diagram 4.2. Marquardt (1996:38) uses the principles of single-loop and double-loop learning in what he terms "adaptive learning" which he depicts as:

action ➡ outcome ➡ results data ➡ reflection.

Senge (1996:289) states that leading organisations focus on "generative learning", which is about creating, as well as "adaptive learning", which is about coping. "Anticipatory learning" (Marquardt, 1996:38) happens when organisations learn from expecting the future which is a vision - reflection - action approach and planning is used as learning. Jaworski (1996:140) cites Duncan of the Royal Dutch Shell Group who does its planning through the use of decision scenarios. Scenario planning is the process whereby management teams change their mental models of the business environment and the world, and it is the trigger to institutional learning. By presenting other ways of seeing the

world, decision scenarios give leaders the ability to re-perceive reality and to form insights beyond the mind's reach (Senge, 1990:178).

"Deutero learning" involves self-evaluation. Reflecting on past experience, identifying strengths and weaknesses in the way problems and errors are identified and introducing solutions, the organisation learns how to become better at both single-and-double loop learning (Calder, 1994:42) (Diagram 4.3). Argyris and Schön (cited by Marquardt, 1996:39) call this "learning about learning".

All of these processes of learning are based on the principle of having an experience, reviewing, concluding and planning (Zuber-Skerritt, 1995:8;9). For action learning to be effective it requires double-loop learning and the values of:

- producing valid information;
- free and informed choice in decision-making;
- commitment to decisions-made;
- evaluation of their effect;

as well as strategies and behaviour such as:

- advocating personal positions and inviting others to confront these;
- being open and testing the validity of ideas and actions of colleagues;
- collaborating with others;
- sharing power in solving common problems.

Marquardt (1996:41) indicates several organisational skills that participants in action learning gain through the action learning process:

- New ways of thinking.
- Self-understanding on the feedback of others.

fundamental assumptions, beliefs and values.

double-loop

experience

Kolb's learning cycle single-loop

try out, act on ideas

observation and reflection

new or modified ideas
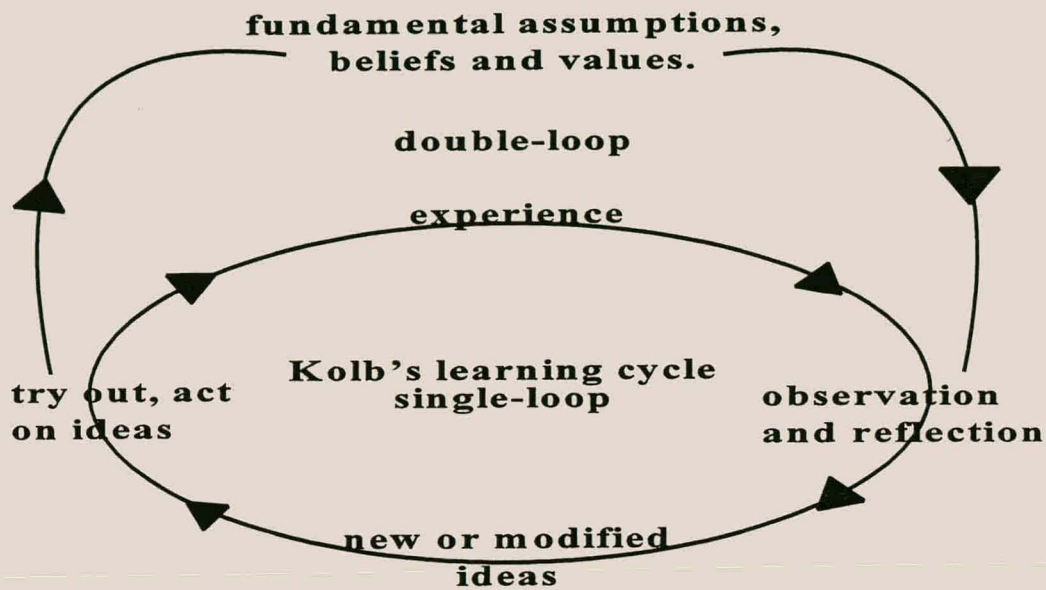
Diagram 4.2: Single- and double-loop learning

Source: Pedler (1994:148)

set goals

set goals

correct error

monitor

detect error

set goals

correct error

correct error

monitor

correct error

monitor

monitor

detect error

detect error

set goals

correct error

detect error

monitor
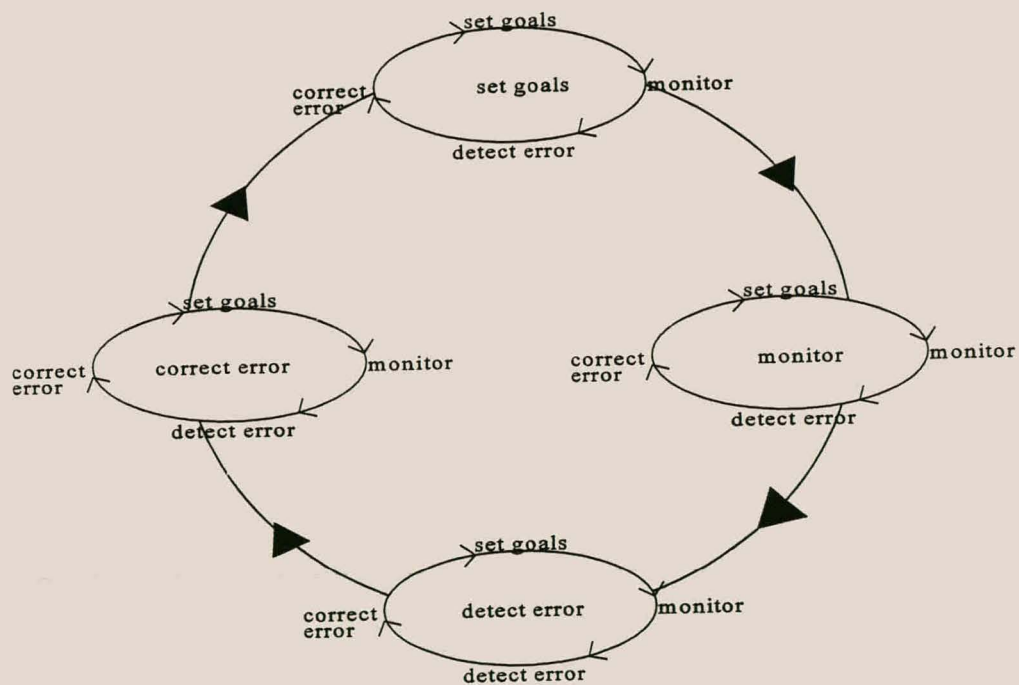
detect error

Diagram 4.3: Deutero learning

Source: Calder (1994:43)

- Development of critical reflection skills.
- Teamwork skills.

The core entity in group action learning is the action learning set or team where the dynamics of the group and the diversity of the group's participants are the keys to the success. The reason why action learning programmes are successful is because basic human needs such as success / worth, fun / enjoyment, freedom / choice, belonging / respect / love were met (Zuber-Skerritt, 1995:11).

(iii) Learning skills / disciplines

Senge (1990:6-11) identified five learning disciplines that would facilitate the transition of an institution to a learning organisation. The disciplines have been mentioned in 4.2, but are more broadly discussed here as learning skills:

- **Systems thinking:** The practice of system thinking starts with the understanding of the concept of feedback ".. that shows how actions can reinforce or counteract (balance) each other. It builds to learning to recognize types of "structures" that recur again and again" (Senge, 1990:73). Ultimately systems thinking simplifies life. It helps us to see the deeper patterns lying behind events and details to form, eventually, a rich "language" to describe interrelationships and patterns of change. Marquardt (1996:43) points out that systems thinking and systems dynamics are very dynamic tools to facilitate organisational learning. Reinforcing and balancing feedback and delays are the building blocks of systems thinking where reinforcing feedback discovers how small changes can grow into large consequences, balancing processes discover the sources of stability and resistance and system delays can be recognised, understood and minimised in order for action to happen (Senge, 1990:79-92).

- **Personal mastery:** This is the spirit of the learning organisation and it is the discipline of personal growth and learning. "Organisations learn only through

individuals who learn" (Senge, 1990:139). Learning in this context means expanding the ability to produce the results we truly want in life. People with a high level of personal mastery live the concept of lifelong learning that has as a result the total development of an individual, and it illuminates the integration of reason and intuition, the individual's connectedness to the world, compassion and commitment to the whole (Senge, 1990:141-143; 167).

- **Mental models:** These models are deeply ingrained image, perspective or assumption that influences the way we understand the world and how we take action. An understanding of shared mental models bring about new understanding of concepts that underpin real consensus. The new scenarios and the unfreezing of mental models prepare individuals and organisations mentally for a reality that is suspected and might need to be faced. The learning skills of action learning (reflection and enquiry) are embedded in the managing of mental models. Reflection slows down the thinking process to become more aware of the formation of mental models and how it influences our actions, while enquiry skills influence how we operate interaction with each other. The ultimate benefit from the integration of systems thinking and mental models are the recognition of longer term patterns of change and the underlying structures that produce those patterns (Senge, 1990:191; 204).

- **Shared vision:** "A shared vision is not an idea ... It is, rather, a force in people's hearts, a force of impressive power" (Senge, 1990:206). Marquardt (1996:45;46) indicates that a shared vision provides members of an organisation with the stars to steer by. When there is truly shared vision, people tend to excel and learn, because they sincerely want to. "Shared vision compel courage so naturally that people don't even realize the extent of their courage" (Senge, 1990:208). Courage (shared vision) foster risk taking and experimentation that has an influence on greatness and personal empowerment. Empowering people is a form of teaching. Koestenbaum (1991:51), however, points out that it is the best way of teaching

and it will develop leadership. He uses a "leadership teaching or empowerment" formula:

$$E = A \times D \times S$$

E - Empower: release energy and creativity.

A - Autonomy: taking full responsibility.

D - Give direction: goals.

S - Support: validate who they are.

For learning and empowerment to take place, all three - autonomy, direction and support - are essential. The leadership virtues must be multiplied to show that a zero in one gives a product of zero (Koestenbaum, 1991:51). Senge (1990:231) argues that vision can only become a living force when people truly believe they can shape their future.

● **Team learning:** This skill focuses on the process of alignment and synchronicity that will develop the capacity of a team to develop specific learning results. Team learning is a collective discipline which involves the practices of dialogue and discussion and the capability of how to deal creatively with these forces. Bohm (cited by Jaworski, 1996:82 and Senge, 1990:241) argues that "the whole is necessary to the understanding of its parts, as the parts are necessary of the understanding of the whole." To get a group of people working together with one another they have to find a new way to operate that would not be individual. The individuals would have to operate as if with one mind to have a real impact. People and groups think of themselves as separate. If they could learn to dialogue with one another at a deep level the perception of separateness could be dissolved in order to shift to wholeness. "Once they have experienced the shift to wholeness, they cannot deny the insight that results. ... 'Seeing things whole' amounts to an inner shift of awareness and consciousness" (Jaworski, 1996:88; 117). Dialogue is therefore the power of collective thinking.

It is important to build the learning capacity of organisations and to understand that learning organisations make a paradigm shift in emphasis from training to learning. The dimensions to consider are therefore:

- The speed of learning.
- The depth of learning.
- The breadth of learning.

4.3.2 The organisation subsystem: Organisation transformation for learning excellence

The organisation is the structure and body where individual, group and organisationwide learning occurs. To go from a non-learning organisation to a learning organisation requires a significant transformation. Marquardt (1996:67) points out that to flourish as a learning organisation an institution needs to reconfigure itself through an intensive focus on the dimensions of vision, culture, strategy and structures of the organisation subsystem. The "... key features of a learning organisation are its vision of how it wants to be and a clear articulation and understanding of its purpose or mission and the ways in which these manifest themselves in values and behaviour" (Pearn et al, 1995:20).

(i)   Vision

A shared vision is an appeal to the hearts and minds of the individuals in an organisation. The vision must indicate a clear understanding where the institution is today and offer a roadmap for the future (Quigley, 1993:5;6). Marquardt (1996:68) says that the first and probably the most important step in becoming a learning organisation is to build a foundation of shared vision about learning together with an understanding and recognition that, unless the institution becomes a learning organisation, it cannot achieve its vision. Pearn et al (1995:21) argues that an important aspect to note about a learning organisation

is that it exists only as a set of complex relationships which link the organisation's vision, mission, values and behaviour to desired outcomes and results (Diagram 4.4). Sustained continuous learning and adaption are critical, therefore, learning (its importance and achievement) must be a prominent feature.
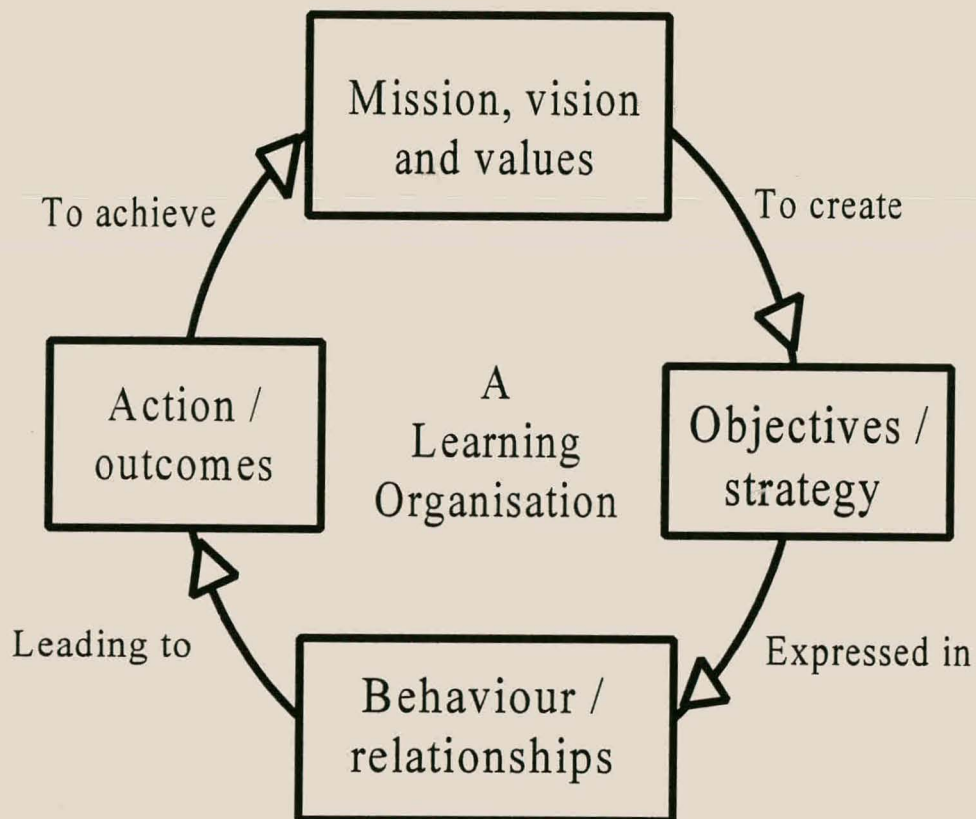
Diagram 4.4: Complex relationships of a learning organisation

Source: Carré and Pearn (cited by Pearn et al, 1995:21)

Fromm (cited by Jaworski, 1996:58) explains that the survival of the individual depends on a radical change of the human heart. It is a call to service that will take great courage. It is a call to redefine what is possible, to see a vision of a new world and to be willing to undertake what is necessary to achieve that vision.

A style in which the world thinks: strategic intelligence and system thinking, is a critical success factor for the strategy of vision. These skills are mindsets that are the trainable ability to understand large portions of information at once, how it can be integrated, and to recognise their interconnections (Koestenbaum, 1991:107). Learning organisations are living organisms, they need a collective sense of identity and fundamental purpose. Gannon (cited by Marquardt, 1996:69) says that "... visions are what energize the organisation and they represent the dreams that pull us forward ..." Visions should be exhilarating and must create the spark and excitement for the organisation to develop renowned, visionary products.

(ii)   Culture

The changes in the economic and social climates make it easier for institutions to pay serious attention to learning in all its aspects in organisations (Garratt, 1988:435). To become a learning organisation the traditional cultural values of non-learning and anti-learning need to be transformed to an entrepreneurial culture of taking risks, trying new approaches, sharing information. Despite the natural creativity of some individuals everyone can be encouraged to think more creatively by a culture that explicitly and continuously challenges and rewards employees to come up with something new (McCrimmon, 1995:138;139).

Culture consists of a distinct combination of values. The values complement the force of an organisation's vision and they are the guidelines and steering mechanism that enable the organisation to reach the vision. Schein (cited by Senge, 1996:292) argues that "Leadership is intertwined with culture formation. Building an organization's culture and shaping its evolution is the unique and essential function of leadership." There is an emphasis on developing leaders who can develop organisations because most top executives are not qualified for the task of developing (Sashkin & Burke cited by Senge, 1996:311). Learning organisations represent a potentially significant evolution of organisational culture, therefore, it should come as no surprise that learning organisations

will remain a distant vision until the leadership capabilities they demand are developed (Senge, 1996:311). Schein (1997:4) indicates that "... the culture of an organization is both the consequence of the organization's prior experience to learning, and the basis for its continuing capacity to learn." Cultural assumptions provide stability and meaning to daily life and they structure perception and thoughts on how to evaluate and feel about things.

(iii)   Strategy

Senge (1990:1) says: "Give me a lever long enough ... and single-handed I can move the world." Analysing Senge's words indicates that there are restraining forces as well as pushing forces present in all organisational activities. Argyris (1992:71) indicates that the strategy for change is to overcome the restraining forces by strengthening the pushing forces. Top leadership is normally uncomfortable in discussing negative feelings and aspects openly that leads to mistrust and ineffectiveness. Changing the strategy of an organisation to that of becoming a learning organisation provides a living educational experience for individuals and groups on how to work together, develop internal commitment and reduce destructive rivalries. Time, however, is a critical factor but the real issue is whether the time will be used constructively and effectively so that the organisation can learn from its experience and in that way increase its competence in becoming a problem-solving system (Argyris, 1992:82).

(iv)   Structure.

The form or structure of many organisations prevents them to develop towards organisational learning. Although the structure should allow function, more often than not the opposite is the case. Marquardt (1996:82) indicates that rigid boundaries, bulky size, and bureaucratic restrictions all help to kill rather than nourish learning.

The structure of learning organisations on the other hand exude flexibility, openness,

freedom and opportunity. It is a boundaryless structure which maximises the flow of information and that is open to experiences. The structure of a learning organisation is based on the need to learn and the overriding principle to give people the necessary freedom, support and resources that will best allow and support learning and give access to knowledge. Marquardt (1996:82-84) supports the following guidelines to establish a structure for a learning organisation:

- Streamlined, flat hierarchy: Tall hierarchies deter learning as they prevent the necessary free, fast and unimpeded flow of knowledge that is essential to being competitive. Streamlined structures with team collaboration maximise the flow of knowledge and learning.

- Seamless, boundaryless and holistic structures: Boundaries impede and inhibit the flow of knowledge. Building a culture that is focused on maximising the learning capability crosses all boundaries and it possess a holistic, systematic view of institutional life.

- Project form of organising and implementing: More of the work of the future will be done by project teams which is small, quick, accountable, efficient and more applicable to learning.

- Networking: Effective learning organisations have networking structures that makes them effective and efficient.

- Small units with entrepreneurial thinking: Learning organisations are creative and operate with entrepreneurial spirit. When the size of working units become too large, knowledge and empowerment get lost.

- Bureaucracies are rooted out: As a result of a new learning vision, culture, strategy and structure, institutions are transformed from rigid, management-focused bureaucracy to a dynamic learning organisation.

Table 4.2 indicates the differences between a learning organisation and bureaucracy.

Table 4.2:   Bureaucracy vs Learning organisation

BUREAUCRACY	LEARNING ORGANISATION
● Short-term goals	● Corporate and individual vision
● Rigid culture	● Flexible culture
● Product orientation	● Learning orientation
● Regional emphasis	● Global emphasis
● Management direction	● Employee empowerment
● Procedure bias	● Risk bias
● Analysis only	● Creativity, analysis, intuition
● Competition	● Collaboration and co-operation

Source: Marquardt (1996:85)

4.3.3   The people subsystem: Empowering and enabling people

People are at the heart of any organisation. People, however, are the pivotal part of a learning organisation because only people in fact learn. The people subsystem in the learning organisation includes leaders, employees, customers and community.

These groups of people need to be empowered and enabled to be an effective part of the learning organisation, however people have no real comprehension of the type of commitment it requires to build learning organisations. According to Senge (1996:290) to be able to foster change leaders require new skill to build learning organisations.

(i)   Leaders.

Leadership and leadership styles were discussed in Chapter 3 and it became quite clear that many leadership styles that were acceptable in the past will be unacceptable in the future. Leaders will have to deal with transformation and change where cognitive and social transformation leadership skills play a big part. Kanter (1989:75) deliberates that leaders need to develop different skills to survive:

- They must learn to operate without the might of the hierarchy behind them.

- They must know how to be competitive in a way that enhances rather than undercuts co-operation.

- They must operate with the highest ethical standards.

- They must have a dose of humility.

- The must develop a process focus.

- They must gain satisfaction from results.

- They must have a belief in self rather than in the power of the position.

- They must have the ability to collaborate and become connected with new teams in various ways.

- They must have the willingness to keep learning.

According to Senge (1996:290) leaders are designers, teachers and stewards. It is the leaders' task in designing processes whereby people throughout the organisation can deal with critical issues and to develop competency in the learning disciplines. The vision of a learning organisation is not the possession of the leader but it is shared and part of something larger. The leader becomes the steward of the vision and it becomes a calling. The leader as a teacher is not about teaching people how to achieve vision, it is however about fostering learning for everyone and to help the organisation to develop systemic understandings (Senge, 1990:341-357).

Marquardt (1996:106) points out that it is expected of leaders in learning organisations to explore many new roles which may include:

- Instructor, coach and mentor: The leader must enable the people around him / her to learn by making use of different approaches.

- Knowledge leader: Each individual will be judged by its contribution to the success of the learning organisation and will also determine what knowledge is important.

- Co-learner and model for learning: Leaders will encourage, motivate and assist workers to improve their skills and learning.

- Architect and Designer: It is the responsibility of the leader to develop a "fit for purpose" learning organisation.

- Co-ordinator: The leader has the responsibility to be a Servant Leader where the leader is a servant first (Greenleaf, 1996:1) The learning leader walks in the shoes of his followers (De Pree, 1992:138) and he empowers many people to perform their best.

- Advocate and champion for learning processes and projects.

Senge (1996:291) argues that "... leaders in learning organizations are responsible for building organizations where people are continually expanding their capabilities to shape their future - that is, leaders are responsible for learning."

(ii)   Employees

There are several principles to consider in the empowerment and enablement of employees. It is important to empower the individual and to guide an overall leadership development process that will be a worthwhile learning experience. Cacioppe (1998:47-49) provides elements of effective individual leadership development that result in a worthwhile individual learning process and indicates that it is necessary to:

- Improve self-knowledge and self-worth.

- Reshape mind sets.

- Experience in Action learning.

- Improve abilities, skills and relationships.

- Observe models of leadership.

- Participate in the changing direction and new culture of the business.

- Global focus.

- Networking - link up with people relevant to your work.

It is important for leaders to treat employees as mature capable workers and learners and to provide freedom that encourages enthusiasm and creativity. In the structure of a learning organisation employees must be involved in the development of strategies. It will provide them with the opportunity to take responsibility and to develop individual leadership skills.

4.3.4 The knowledge subsystem

Intellectual capital and knowledge are the most important assets of most enterprises and these assets represent the enterprise's future potential. Wiig (1997:505) argues that intellectual capital and knowledge can only contribute to the success and viability of the enterprise if they are used effectively and renewed continually. Marquardt (1996:129) says that "knowledge is the food of the learning organisation. It is the nutrient that enables the organization to grow." Roos and Roos (1997:413) state that "hidden" assets (like knowledge and intellectual capital) increasingly play a major role in organisational survival and it is a valuable asset and can be a sharp competitive weapon. These assets are called hidden because they cannot be shown on an organisation's balance sheets. Drucker (cited by Roos & Roos, 1997:413) said: "In the knowledge era the company needs to serve and nurture the 'knowledge worker'." It is therefore important to manage knowledge, the heart of the subsystem. The subsystem focuses on how knowledge is acquired and created.

(i) Knowledge acquisition

Knowledge can be acquired from external and internal sources. To be competitive and a market leader, organisations must look outward for continuous improvement and new ideas and they must be able to acquire, adopt and advance this knowledge. A vast number of methods are available to acquire knowledge from the external environment. Benchmarking, attending conferences, collaboration with other institutions are but a few

of the options of which benchmarking is one of the most effective and most used tools (Marquardt, 1996:131).

New knowledge always begin with the individual. The individual's personal knowledge is transformed into organisational knowledge. Making this knowledge available to others is the central activity of the knowledge creating organisation (Nonaka, 1996:18). The ability to learn from within on the other hand needs aspects such as:

- Tapping into knowledge of the organisation's staff.
- Learning from experts.
- Implementing change processes.

Learning organisations must build intentionally into the acquiring of knowledge (Marquardt, 1996:133).

(ii)   Knowledge creation

Knowledge creation is a generative process. Every person in an institution must take the responsibility to do it and it must be at the "epicenter" of an institution's strategy to enable it (the institution) to constantly create new knowledge, disseminate it widely throughout the institution and quickly embody it in new results (Nonaka cited by Marquardt, 1996:133). We have to find ways for informal knowledge - the knowledge that we have inside but do not now how to express, and formal explicit knowledge - knowledge easily shared, to interact and build to create new knowledge. Revans (cited by Zuber-Skerritt, 1991:xiii) says: "L(learning) = P (programmed instruction, i.e. knowledge in current use) + Q (questioning, i.e. fresh insight into what is not yet known)" (4.3.1(ii)). This concept forms the basis of action learning that can result in creative new knowledge.

The concept of questioning insight makes it possible for institutions to review and assess successes and failures of the past and to build and creatively benefit from it. Institutions

must find ways to determine what knowledge is important to retain (store) and how to retain it and how this knowledge can be effectively retrieved again by different groups of people. This transfer of knowledge is indispensable for the learning organisation.

4.3.5 The technology subsystem

The technology subsystem of the learning organisation includes the supporting, integrated technology networks and information tools that will allow access to and exchange of information and learning. This refers to:

- Information technology.
- Technology-based learning.
- Electronic performance support systems.

Morton (cited by Marquardt, 1996:160) identifies the following impacts of information technology on institutions and how institutions learn:

- Information technology changes the way work is done and enables the integration of business / workplace functions.
- Information technology causes shifts in the competitive climate and presents new strategic opportunities.
- Information technology demands basic changes and forces transformation.

4.3.6 Higher education and learning organisations

Are higher education, and therefore teaching institutions, under the impression that they automatically 'qualify' for the status of being a learning organisation? The transformation and change debate in higher education, to produce students who are skilled in lifelong learning and who take greater responsibility for their own learning, has put pressure on higher education institutions to adopt quite different teaching and learning strategies. For

this shift to happen institutions should make an institutional commitment on aspects such as staff development, other infrastructure-support and overall strategic planning.

Chapter 4 has described the learning organisation and how organisations / companies can implement these characteristics in its operational plans. Higher education institutions are not companies that run themselves on business lines. Longworth and Davies (1996:119) indicate that higher education institutions have a different culture and outlook but that nothing prevents them from being learning organisations. The principles of becoming a learning organisation would have to be interpreted according to their own needs. Cochinaux and De Woot (cited by Longworth & Davies, 1996:120) said that "Tertiary education seeks to awaken the critical multidisciplinary minds able to gain a thorough understanding not of a particular mass of knowledge, but rather the process of production of knowledge. Therefore it has to learn how to learn rather than how to teach."

Many organisations have respected research and development departments and have included research and development in their mission. In their endeavour to be in the forefront and to deliver quality products they have embarked on the mission to provide a high level of education and research to employees. If higher education has to compete in the market, be in the forefront of developing technology and knowledge, and must deliver graduates that are better 'products' they will have to find a way to become learning organisations. Brinkerhoff and Gill (1994:8) argue that the most powerful force for learning in a company is, however, not the training department but is the organisation itself.

The role of academia has changed from the traditional involvement in teaching, research and community (Tann, 1995:45;46) to a more intricate and involved role to address their own development for the purpose of transformation and to be able to meet the demands of change. Academic staff members will have to take the responsibility to be involved in their own learning for ensuring staff development (Tann, 1995:46).

Organisational (institutional) learning involves new understanding and new behaviour underscored by principles and practices. Higher education institutions have traditionally fallen into the trap of confusing intellectual understanding with knowing how to do something (Tann, 1995:54). Academic staff members in higher education will have to require different skills and be involved in different forms of learning to put in practice the development of a learning organisation. Mayo and Lank (1994:2) argue that institutions can only win if they can learn fast and mobilize the combined learning most effectively. "These contributors embrace the broadest possible range of intelligence, innovation and experience available. It is this challenge that is driving organizational transformation, causing traditional models of hierarchy and structure to be questioned." Revans cited by Mayo and Lank (1994:2) first coined the formula that:

$$\text{" L} > = C \text{ (sic)"}$$

This is, "... the pace of learning in organisations and individuals must equal or be greater than the rate of change being faced."

Traditionally higher education institutions do not have a history of responding to change. Brew (1995:2) states that higher education was viewed as broadly separate from the economic activity of a country, but this is no longer so. "Institutions must be responsive to their environments to survive, and the responses ... (will have) profound effects on their governance structure and processes". The task of higher education institutions is not to be the best predictor of the future but to be more responsive to change (Mayo & Lank, 1994:3) and to learn faster and better to accommodate change (Argyris, 1992:84).

4.3.7   Steps to become a successful Learning Organisation

The concept of continuous learning in organisations evolved in response to statements such as: " tomorrow's illiterate will not be the man who can't read; he will be the man who has not learned how to learn" (Gerjuoy cited by Caroselli, 1994:3). The principles

of the learning process have to be a mainstream activity and the development of lifelong learning must be a major commitment for leadership. Organisations that make a conscious decision and commitment to become a learning organisation finds that the true "... problem of a Learning Organisation is to remain a Learning Organisation" (Longworth & Davies, 1996:84). The true problem for a Higher Education institution might be to become a Learning Organisation.

Marquardt (1996:211) states that to cause a significant organisation transformation is never quick and easy and because of the Dinosaur attitude towards change organizations may fail and drift back into their comfort zones. "Building a learning organisation is a challenge that demands an understanding and commitment to mobilizing ... (the) subsystems of the systems learning organization model" (Marquardt, 1996:179) (4.1).

Marquardt (1996:179-191) used the following criteria as guidelines for learning organisations:

- "Commit to becoming a learning organization.
- Connect learning with the strategic goals of the organization.
- Assess the organization's capability on each subsystem of the systems learning organization model.
- Communicate the vision of a learning organization.
- Recognise the importance of systems thinking and action.
- Leaders demonstrate and model commitment to learning.
- Transform the organizational culture to one of continuous learning and improvement.
- Establish corporatewide strategies for learning.
- Cut bureaucracy and streamline the structure.
- Empower and enable employees.
- Extend organizational learning to the entire institution.
- Capture learning and release knowledge.

- Acquire and apply best of technology to the best of learning.
- Encourage, expect, and enhance at individual, group, and organization levels.
- Learn more about learning organizations.
- Continuous adaptation, improvement, and learning."

Each organisation, however, must develop a structure and style that is best suited for its own people with the understanding that there is no single, guaranteed way of becoming a learning organisation.

4.4   CONCLUSION

"Learning organizations are where global success is more possible, where quality is more assured, and where energetic and talented people want to be." (Marquardt, 1996:220). To be able to survive the next millennium, not only organisations, but also higher education institutions will have to strive for empowering their workforce and to become learning organisations. Higher education institutions will have the task to look newly and differently at how they learn and what they learn, and if they learn fast enough to accommodate the challenges of the twenty-first century.

In the next chapter the researcher will use the information and research of the previous chapters on transformation, leadership and becoming a learning organisation to construct and propose a model for academic leadership in the process of change and transformation.

CHAPTER 5

CONSTRUCTING A MODEL FOR TRANSFORMATION AND CHANGE TOWARDS A LEARNING ORGANISATION

5.1 INTRODUCTION

In the process of change and transformation one has to take a stand and declare to create a new reality. "In our being we have this inner certainty we can reinvent the world. The reality is already in the system waiting to be brought forward." Part of the transformation and change that takes place, is a declaration and a commitment from someone who has changed his stance from "resignation" to "possibility" (Valera cited by Jaworski, 1996:179). Organisations and individuals must operate from the generative orientation, from possibility rather than resignation, so that the future into which we are living can be created rather than merely reacting to it when we get there. It is important to realise that leadership is about creating a domain in which we and the world around us can continually deepen our understanding of reality and allow and empower us to participate in shaping the future (Jaworski, 1996:182).

The previous chapters have dealt with the concepts of transformation, leadership and learning organisations that are:

- Transformation: to form new "mental models" (Senge, 1990:174)- Chapter 2.
- Leadership: to empower ourselves and those around us to the future-Chapter 3.
- Learning organisations: to be empowered and to live the future as a reality-Chapter 4.

These concepts and views will inform the development and structure of the model.

Jaworski (1996:183) argues that to make the future happen (the "dynamics of predictable miracles") we need a fundamental shift, and creative leadership:

- **In the way we think about the world:** The realisation that the world is not fixed and we can, through a sense of possibility, create the future every moment. Our world, communities and organisations will only change if we change.

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

- **In the nature of our commitment:** The power of commitment does not only lie in the dedication and disciplined way that we do and stick to something, but also with the willingness and integrity that we are prepared to trust in the future and to create that future (Jaworski, 1996:183-185).

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

5.2   TRANSFORMATION AND CHANGE TO MEET THE FUTURE.

Argyris (cited by Taylor, 1997:337) deliberates that organisations / institutions will find it hard to survive and flourish in the twenty-first century unless employees have learned to take active responsibility for their own behaviour, develop and share quality information and make use of empowerment to shape lasting solutions to fundamental problems.

Early in the study the researcher has discussed the international trends (2.2), the major

actors (2.3) and the South African perspective (2.4) regarding change and transformation of the higher education sector. Taylor (1997:335) indicates that organisations / institutions should be more entrepreneurial in their transformation process. McCrimmon (1995:70) says that "creativity is the core of entrepreneurial activity ... which arises from a dynamic interaction with a fast changing environment." One needs to be creative to be able to see possibilities where no one else does. However, higher education institutions do not easily change or transform and it therefore contributes to the problems of transformation (Fourie, 1996:288).

Clark (in Peterson, Dill, Mets & Ass., 1997:xv) states that higher education institutions are encouraged to become more responsive-, self regulating- and entrepreneurial universities. He also indicates that a central tension in the entrepreneurial university is the need to reconcile new management (and leadership) with traditional academic values.

The ability of higher education institutions to adapt successfully to the "revolutionary challenges" they face (Peterson, et al, 1997:xix), depends a great deal on an institutions collective ability to learn, implement (successfully) appropriate change, and continuously improve the core structures, systems and technologies of the institution. These challenges for transformation and change (Chapter 2) call for a "revolutionary redesign" (Peterson, et al., 1997:xx) of our institutions.

Fourie (1996:289) poses a strategy that should not be seen as a linear process, but as consisting of "... four interconnected perpetual and mutually reinforcing sub-processes." Taylor (1997:336), Peterson, et al. (1997:xx) and Peterson and Dill(1997:26) use the same process but the semantics are slightly different. Table 5.1 indicates these differences in the strategies for transformation.

How to effectively design, implement and carry out planning is increasingly a critical test of institutional leadership and will be a major challenge for change and transformation for the next millennium.

Table 5.1:   A strategy for transformative institutions

Fourie	Taylor	Peterson & Dill
● Re-align	● Reframe	● Redefine
● Redesign	● Restructure	● Redirect
● Redefine	● Revitalize	● Reorganize
● Re-engineer	● Renew	● Renew

Source: Taylor (1997:336); Peterson, (1997:xx); Peterson and Dill (1997:26) and Fourie (1996:239)

It is important for higher education institutions to know and understand the external world in which they must operate and exist. They have to focus on the nature of an institution's relevant environment, how the environment is changing and the relationship of the institution to that changing environment. These forces have an influence on "...the growth of secondary knowledge industry (higher education institutions) that delivers knowledge, information, and the capacity to teach and learn in a vast and flexible knowledge network" (Peterson & Dill,1997:4). Higher Education institutions are challenged not only to understand the nature of the new challenge but also to reconsider their institutional role and mission, their academic and administrative structure, and their academic processes. This is a shift to a new realisation in our thinking and understanding about the external and internal context of our institutions from higher education institutions to higher education knowledge systems or industries (Peterson & Dill, 1997:3). Leadership in Higher Education institutions can use the strategy for transformation to start the process of thinking new and differently about the role and the functioning of their institutions. The strategy for transformation as indicated by Fourie (1996:239) is used for the following discussion.

5.2.1   The process of re-aligning

According to Peterson and Dill (1997:8) the forces reshaping higher education to a knowledge system or industry are:

- Changing societal conditions and challenges.

- Internal and external impacts on institutions.

- Institutional planning perspectives and approaches.

Fourie (1996:290) indicates that institutional governance structures need to re-align themselves and their institutions to the changing internal and external context in which they are operating. In the South African context change are driven by forces such as equity and redress, democracy, development, quality, effectiveness and efficiency, academic freedom and autonomy, and accountability (see 2.4).

To adapt higher education institutions to their new challenges the essential first step is to develop and publically articulate a set of core values at the corporate level. Coordination through these set values permits people in institutions the autonomy and independence they need to develop their capabilities (Dill, 1997a:97). Fourie (1996:290) indicates that for the process of re-aligning members of institutional governance structures and stakeholders of the institution have to reach consensus on those values which are to be adopted for a transformed institution. Dill (1997a:97) argues that the planning process for change must be designed to foster institutional adaptation and improvement that encourages integration and promotes collaboration. Re-aligning must establish legitimacy and validity to accommodate all structures involved in institutional governance and transformation (Fourie, 1996:290).

In the context of the academic planning process the re-alignment can be organised into four general categories:

- Designing and grouping related functions where necessary.

- Encouraging down-up (reciprocal) communication and contact.

- Promoting a planning capability within each strategic area / unit.

- Increasing direct communication with the members of the larger academic community (Dill, 1997a:98-102).

Higher education institutions will have to re-align their direction towards the twenty-first century to incorporate in their planning process:

- **Advanced learning:** Institutions will have to change their orientation from one of higher education to that of advanced learning. Advanced learning cares only that learning takes place regardless of how and where it happens. It views learning as assessed by outcomes and it sees lecturers as coaches (not pillars of wisdom) who work collaboratively with students towards the same objectives. This may not only be a semantic exercise. Institutions that embrace this concept will work and measure their success differently than today's higher education institutions (Heydinger, 1997:108).

- **Anywhere, anyplace learning:** This includes concepts such as distance learning, open learning and the virtual classroom. The twenty-first century will witness the full force of this development (Heydinger, 1997:108-110).

- **Instructional enterprises:** Heydinger (1997:110-111) argues that as the boundaries of classrooms disappear, higher education institutions may become more "horizontal organizations", with units or individuals collaborating across a number of campuses to offer services. This can have as a result a whole new set of institutional arrangements and advanced learning options.

- **Market makers:** This is a term borrowed from industry and is defined as a forum that brings together willing sellers (higher education providers) and buyers (learners). Heydinger (1997:111) indicates that such a development can encompass some of the most potent forces for constructive change across traditional higher education.

- **Learning agents:** This concept is built on the assumption of agents or futuristic ways that will help the learner to assemble a learning package fit for purpose and to the learners' convenience (Heydinger, 1997:113).

- **Virtual enterprises:** This assumption indicates that higher education of today will (can) be unbundled and each unit, such as the library, computer centre, business school might become free standing enterprises (Heydinger, 1997:114).

Heydinger (1997:121;122) indicates that effective higher education institutions will be able to use change and transformation to their advantage and will be willing to compete directly with learning organisations that are entering the traditional higher education market. This is a challenge to 'fast-forward' higher education institutions well into the twenty-first century - a time that has the potential to be a most exhilarating, challenging time for traditional higher education.

5.2.2 The process of redesigning

The re-aligning process influences how institutional governance structures rethink their composition, function and procedures. The next step higher education institutions must take in the transformation and change process is redesigning the power and influence relations, as well as redesigning policy-and-decision making structures and procedures, and communication and information channels (Fourie, 1996:290).

To be able to plan and transform institutions, higher education institutions need to:

- Be pro-active.
- Anticipate macro changes.
- Have the potential to transform institution.
- Have comprehensive strategies.
- Require multidimensional leadership (Peterson, 1997:127).

Peterson (1997:137) promotes a holistic approach that will redesign or reorganise higher education institutions' primary academic functions, processes and structures to meet the re-aligned (changed) institutional role, such as contextual planning. Contextual planning is pro-active and it is seeking to shape the environment as well as reshape the institution.

It is important to realise that to be able to successfully implement a contextual planning process, requires a paradigm shift for institutional leaders. The contextual planning focuses

on the emerging knowledge industry, significant changes in the internal environment of the industry, and it requires contextual thinking. This means to understand the internal and external environment and the holistic dynamics between them (Peterson, 1997:149; 150).

Dill (1997b:172;188) argues that in the process of re-aligning and redesigning, the focus on the institutional mission is to provide coherence and integration. Mission, it is argued, is best conceived as a collection of strategic decisions that influence the core competencies in a specific niche area that is grounded in the culture and specified collective values and criteria of the institution. The redesigned higher education institution may need more significant social actors than in the past to enhance the leadership factor in planning. Effective and good leadership cannot be merely an activity on the inside, it should be more integrated. Academic staff are the primary contributors to substantial social and economic change, thus future academic institutions should seek substantive expertise from their internal environments (Neumann & Larson, 1997:193). Neumann and Larson (1997:197) state that management's "... own leadership may be framed by the very individuals they seek to lead within their institutions."

5.2.3   The process of redefining

Peterson, et al (1997:265) deliberate that to plan for a changing environment requires redefining the external context and substantial redirecting of the internal institutional context. To reinforce the process of re-alignment and redesigning, roles and responsibilities within the institution should be redefined in an inclusive and transparent way (Fourie, 1996:291).

To be able to plan and redefine in a process of change and transformation is becoming more complex and less predictable. Jones (1997:267) indicates the enormous opportunities for innovation and change created by the explosion in educational technology and how it can change teaching and learning activities, and inform management's support and planning functions.

The redesigned roles and responsibilities of higher education staff and the role of technology will have an essential influence on the planning process for change and the process and structure of transformation. The roles and responsibilities of higher education staff are informed by the policies of a higher education institution and are the prime reflections of the strategic choices the institution wants to make. These policies are intended to contribute to reaching the objectives that the institution has set for itself and to realise the conditions that the institution judges to be important for the purpose of change (Van Vught, 1997:399; 400).

Kern (cited by Van Vught, 1997:400) indicates that policy analysis will be there to support the future leaders of higher education institutions in their redefined roles and responsibilities. The new millennium and the change process will bring both greater need for academic leadership and more difficult circumstances for realising such leadership.

5.2.4 The process of re-engineering

The re-engineering process pertains particularly to the dynamics of the institutions, the understanding of the challenges they face and how institutions might plan to address these challenges. Fourie (1996:292) argues that the process of re-engineering should meet the demands of transformation and change:

- Processes should be swift. Decision making powers should be developed to as low a level as possible within a flatter hierarchical structure for the purpose of empowering the individual.

- Dialogue within the institution and processes of communication should empower people by being clear, simple and providing the necessary information.

- Pro-active polices and decisions implemented in the processes for change and transformation should be put in place beforehand to pre-empt demands or possible conflict.

- Achieving a balance between the long term vision of a transformed institution and

dealing swiftly and decisively with critical institutional issues, will be a major challenge to institutional and individual leadership. Processes should be re-engineered within a climate of legitimacy, trust and acceptance.

It is important to realise that leadership at all levels is integral to the implementation and formulation of the transformation process. At any level of the modern organisation the thinking can no longer be separated from the doing and the thinkers from the doers (Vandermerwe & Birley, 1997:351). They also indicate that modern institutions need leaders who approach problems creatively, who thrive on change and who can by their thoughts and actions take their colleagues and institutions into the future. In the re-engineering process it is expected of them to:

- Set milestones.
- Look at new initiatives as new ventures.
- Reward people for new ideas as well as for results.
- Develop an organisation which learns from failure.
- Give people the opportunity to follow their instinct and feelings.
- Facilitate active networking and resource sharing.

It is very clear that re-engineered processes and institutions function within the boundaries of modern learning organisations and that this requires an innovative spirit. Re-engineered institutions should not fall into the trap of following single-factor management initiatives which lead to brief performance improvement followed by reduced effectiveness and undesirable side-effects. Wiig (1997:400) states that the re-engineered institutions must focus on the creation of "intellectual capital", that is renewing and maximising the value of the institutions' intellectual assets, as well as maximising the institutions' knowledge-related effectiveness. Knowledge management is a hands-on process "... to understand, focus on and manage systematic, explicit, and deliberate knowledge building, renewal and application" (Wiig, 1997:401).

Intellectual capital and knowledge are the most important assets of most institutions and leaders should integrate these two concepts in processes to re-engineer higher education institutions. Creative leadership and open minds are therefore imperatives to implement institutional transformation and "... systems transition" in the "... interconnected, perpetual and mutually reinforcing processes for re-aligning, redesigning, redefining and re-engineering" (Fourie, 1996:289).

5.3 LEADERSHIP AND LEADERSHIP ROLES FOR CHANGE AND TRANSFORMATION.

The aim of this research has not been to get caught in the leadership definition argument. Earlier in the study the overview of leadership theory and research (3.3), definitions of leadership (3.4) and leadership and management (3.5) formed part of a background understanding of the controversies and complexities and the immense development in the leadership discipline. The aim of the study is therefore to use the researched knowledge on leadership and the development in the leadership discipline to develop a model for academic leadership for the purpose of transformation in higher education institutions to meet the needs and pressures of change as indicated in Chapter 2

Most contemporary leadership scholars trace the current resurgence of interest in leadership to the prevailing concern with change - its scope, its pace, its duration and its consequences. Middlehurst (1993:82) argues that in times of change and uncertainty there seems to appear a heightened need for leadership. Higher education institutions have at their service specialist knowledge and leadership skills (highly trained personnel) and it is vital to engage all the staff who can make a contribution to transformation and change (Vandermerwe & Birley, 1997:341). For the purpose of transformation leadership do not only transform organisations, they also transform followers. They empower followers to act by sharing power and expanding influence throughout the institution. Leaders make it possible for followers to accept and internalise the key values and beliefs that they (the

leaders) have identified as the basis of the institution's culture. Leaders teach followers self-efficacy and followers become more capable of independent, autonomous action based on shared values. Followers must be seen as active, and engaging in leadership, not just followership (Sashkin & Rosenbach, 1993:103).

Lee (1991:117) indicates that empowerment seems to describe many of the dynamics that links effective, independent - thinking followers with effective leaders. Peters (cited by Lee, 1991:121) terms it: "... to turn the organisation upside down." This is a situation where the individual takes the responsibility for the leadership role. Even in a hierarchical system the leadership role starts with the individual. You (the individual) have to take responsibility for leadership (Greenleaf, 1996:293). The institutional head or leader is firstly an individual leader and secondly the elected or appointed leader. In (5.3.1) and (5.3.2) the institutional leadership roles and the individual leadership roles will be discussed as part of two sub-structures that form part of the model for transformation and change and becoming a learning organisation. The researcher has constructed the sub-structures from the information in Chapters 2, 3 and 4.

5.3.1   **Institutional leadership**

In a study of middle managers, looking into the cross-cultural attitudes towards leadership dimensions, McKenna (1998:110;111) found that there was only measures of total agreement across all respondents of the study in relation to leadership. The definition took into account that visionary leadership:

- is broader and longer range,
- is able to stand apart from day to day activities and see the whole,
- focuses on major goals,
- conveys a strong sense of direction,
- helps others to see and feel how things can be different and better, and
- uses all forms of communication to define a goal for the organisation.

It seems therefore that this concept of leadership transcends national and cultural boundaries. Bennis (1992:214) argues that leaders will have to define reality and create a dream, and then manage the dream to accommodate change and transformation. Diagram 5.1 indicates the sub-structure of institutional leadership in the model for academic leadership and the transformation process of which the different elements will be clarified in the following sub-sections.
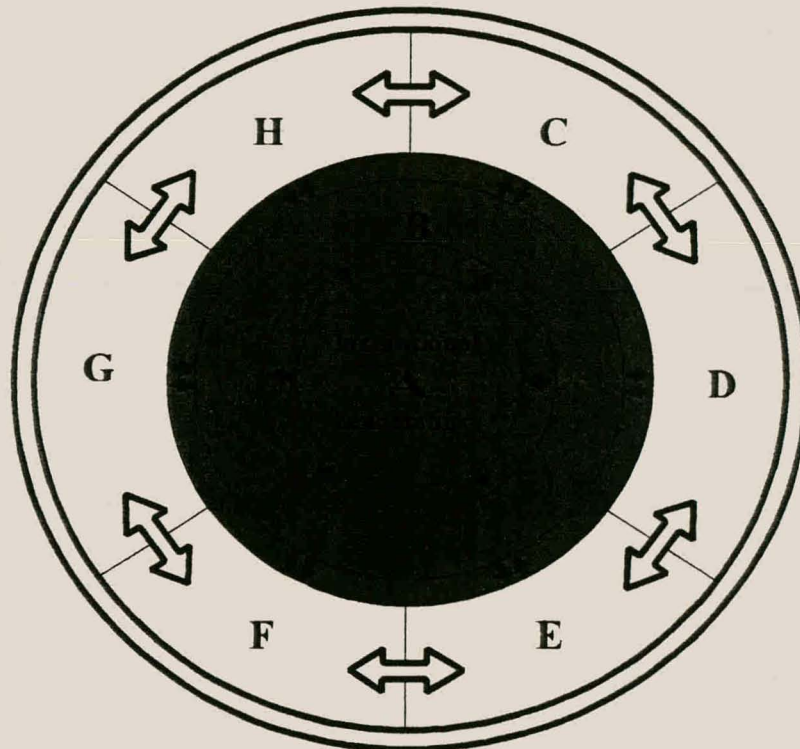
A	Institutional leadership	E	Alignment
B	Culture	F	Servant leadership
C	Vision	G	Value system
D	Direction setting	H	Define reality

Diagram 5.1: The institutional leadership sub-structure

Fundamentally leadership means the ability to influence others. Kouzes and Posner (1987:187) said that leaders stand up for their beliefs. They know that while their position gives them authority their behaviour earns them respect. It is consistency between words and action that builds the leader's credibility. It is therefore important to look at the different leadership roles for the institutional leader as indicated in Diagram 5.1.

(i)   *Institutional leaders have a vision.*

"Not much happens without a dream. And for something great to happen, there must be a great dream. Behind every great achievement is a dreamer of great dreams. Much more than a dreamer is required to bring it to reality" (Greenleaf, 1991:16).

The vision of a leader implies an understanding of the past and the present (Quigley, 1993:3) and it is an appeal to the followers' hearts and minds. It is an indication of what the institution stands for, what it aspires to, what it is committed to and where it is going. Egan (cited by Anderson, 1992:58) indicates that although a leader's vision is compelling, the vision does not blind others, but empowers them. However, the leader who offers a clear vision that is coherent and credible and lives by a set of values that inspire imitation has a fundamental source of power. Quigley (1993:10), as well as, Bennis and Nanus (1985:66;67) say that a leader's power is the capacity to translate a vision and supporting values into reality and sustain them. It is thus clear that power flows from vision but the leader's power can only be optimised if it empowers others. Ultimately, a leader's vision-based power must result in superior competitive performance (Quigley, 1993:11).

Koestenbaum (1991:84-86) states that vision means thinking big and new. To think big means to see things from a high level of perspective, for there is always a perspective beyond the one, one has adopted (this is vertical thinking). Thinking new is horizontal or sideways (lateral) thinking. Creative people have new ideas, new insights, new intuitions that come virtually from nowhere. In total, vision means to be in touch with the unlimited potential and expanse of the human mind. A personal vision derives its power from an

individual's deep caring for the vision, however, a shared vision is a force in people's hearts. A vision should not be imposed on others. A shared vision is derived from common caring and people that are truly committed to it. Vision becomes a living force only when people truly believe they can shape their future (Senge, 1990:214;231). Neuman and Larson (1997:192,193) indicate that one of the challenges of higher education leadership will be to have a vision and to "... inspire thinking that exceeds current or established views on higher education ..." administration and planning and encourage others to experiment with alternative ways of knowing in light of "... the dramatic external and (concomitantly) internal changes in higher education."

(ii)   Institutional leaders can define reality.

To be able to define reality one must first have a dream or a vision for the future. Leaders use their understanding of the past, the present and the future to provide guidelines to and for the future (3.7.1). Realism means being in touch with your internal realities such as ideals, values, feelings and attitudes, as well as being in touch with people and being connected to the external world. Realism is the pragmatism of being in touch with the real world, and existing comfortably at the interface between your inner and outer worlds - that is understanding yourself and what you (the leader) expect from yourself and how you make yourself understandable to the institution and its community and indicating what you expect from them. Koestenbaum (1991:88;99) indicates the following supporting tactics, that teach the leadership mind and develop realism in leadership intelligence:

- Pay meticulous attention to practical details and attend to the precise needs of the 'client'. This is the minimum requirement for professional behaviour.
- Adhere to professional standards (it stands for objectivity, research, facts and calculations). It is a commitment to obtain extensive information and maintain a stance of objectivity, as well as knowing the 'business' and what it surrounds thoroughly.

- Focus on a mind set of survival. It signifies a relentless results and market driven orientation that is critical for success.

- Focus on a strategic commitment to reality. This means direct contact and embodiment with yourself, others and how others perceive you.

To be in touch with reality, means to be in touch with in the world and to be in steady dialogue with yourself and the world (Koestenbaum, 1991:89). Jaworski (1996:182) states that: "Leadership is about creating, day by day, a domain in which we and those around us continually deepen our understanding of reality and are able to participate in shaping the future." Facing the twenty-first century higher education institutions should take into account what is occurring elsewhere in the world. They will have to learn how to do certain things, such as operating an open-door system of mass higher education, to constructing world-class research universities (Clark, 1997:xviii).

(iii)   Institutional leaders have a value system.

In a healthy, reasonable coherent community, people come to have shared views concerning right and wrong, better and worse, how they define legal or illegal, virtuous or vicious and good or bad (Gardner, 1990:13). A value system or ethics as a dominant leadership dimension or strategy means primarily that people matter to you and the institution, that you reach out to them (the people) and that morality and integrity are really important. Senge (1990:140;223) indicates that institutional leaders must realise their responsibility for the lives of so many people. He argues that a core set of values is only one piece of a larger activity in developing the "governing ideas" for the institution. A vision not consistent with values that people live and work by day by day will fail to inspire genuine enthusiasm. A core value system indicates to an institution what they believe in, how they should behave and it is a navigation system to make decisions day to day. These values might include shared beliefs and 'mental models' (Senge, 1990:8) on integrity, openness, honesty, freedom, loyalty, respect, equal opportunities to name a few. Leaders are responsible for the integrating of values and ethics with the everyday working

life and environment (Reeves-Ellington, 1998:101). Middlehurst (1993:79) indicates that "... education in general and higher education in particular, as creator and disassembler of new knowledge, and as defender or critic of current social and cultural values, plays a central role ... in higher education." It implies on the ways in which access to higher education is defined and controlled as well as the ways in which outcomes of higher education are determined and received. This will have profound effects on social and cultural status and beliefs as well as economic prospects (Ball, and Tapper & Salter, cited by Middlehurst, 1993:79).

Leaders, therefore, either recognise the existing culture of an institution and seek to interpret and represent its values through their words and deeds, or aim to change the institution's culture in order to achieve necessary shifts in attitudes and academic practices.

(iv)   Institutional leaders set direction.

The leader's vision is regarded as the blueprint for institutional direction and strategy, it is about persuading most of the people most of the time and getting others to articulate their goals and direction clearly. Kotter (1992:18) argues that to produce change the setting of direction of that change is fundamental to leadership. Setting direction is not the same as planning (or even long term planning that is designed to produce orderly results); it is more an inductive process that looks for patterns, relationships and linkages that helps explain things. "The direction-setting aspects of leadership does not produce plans; it creates vision and strategies" (Kotter, 1992). Creating and defining reality from having a vision is not a mysterious, mystical process, but it is thinking and thinking hard to create new possibilities to cope with complexity and change. Developing direction is a tough, exhausting process of gathering and analysing information. Leaders who articulate such visions and set directions accordingly are broad-based strategic thinkers who are willing to take risks.

A competent direction-setting process provides a focus in which planning complements the process and can be realistically carried out (Kotter, 1992:19). Senge (1990:341) compares the leadership setting of direction with that of the designer of a ship. It is fruitless to be the leader of an institution that is poorly designed. The first task of institutional design concerns the governing ideas (i.e. purpose, vision and core values). Systems thinking and systems leadership (Senge, 1990:6-11) provides the direction for the institution. Setting direction therefore, is "... developing a vision of the future along with strategies for producing the changes needed to achieve that vision" (Kotter, 1992:17).

(v)   Institutional leaders align people.

Institutions of higher learning has a unique structure where the individual is intrinsically motivated and the responsibility of achievement lies within. Modern institutions on the other hand have a central feature of interdependence. These linkages present a special challenge when organisations attempt to change. Kotter (1992:20) deliberates that executives (who are under educated in leadership) tend to think that getting people moving in the same direction is an organisational problem. What they have to do is align them towards common goals and this is more a communication challenge than a design problem. Middlehurst (1993:8) indicates that direction-setting also refers to an activity that explicitly encourages others to move towards certain goals.

Kotter (1992:20) argues that aligning is more of a communication challenge than a design problem and it needs a holistic approach. Aligning leads to empowerment in a way that organising rarely does. This empowerment gives a clear sense of direction and employees can initiate action without fear, and being vulnerable to superiors. Aligning people to the same course has the virtue of change by convincement rather than coercion.

Many academics do not see themselves as belonging to a structure that has to be lead and managed at all. Middlehurst (1993:138) states that the problem in leading and managing academics is that they are highly individualistic with no strong sense of corporate identity

either to the department or the institution. It is therefore important to inspire and "align" consent through their professional expertise and in their personal style and characteristics.

(vi)   Institutional leaders as Servant Leaders.

Greenleaf (1996:1;294;346) indicates that the notion of **"primus inter pares** (first among equals) (3.7.3) forms the underlying philosophy of Servant Leadership." He states that "... the servant-leader is a servant first," it begins with the natural feeling that one wants to serve first (Greenleaf,1991;13). He defines leadership in its simplest form as "... one who goes ahead to guide the way." If you want change and want to change something constructively you have to take the responsibility of leadership. Responsibility as he uses the word requires that a person think, speak and act as if personally accountable to all who may be affected by his or her thoughts, words and deeds.

Although Greenleaf is perhaps the foremost contemporary advocate of servant leadership, he is not the first to adopt this perspective. The Bible (Matthew 20:27) reads as follows: "And whosoever will be chief among you, let him be your servant." Bogue (1994:135) cites Lao-Tzu's *Tao Te Ching*: "If you want to govern the people, you must place yourself below them. If you want to lead the people you must learn to follow them."

De Pree (1992:137-140) echoes the concept of 'a leader as a servant' (3.7.3). He argues that a leader can learn by walking in the shoes of a follower. Leaders have to understand the essential contributions as well as the limitations of good followers. Becoming a good follower is not the only way to become a good leader, but it provides training and experience that can be the best teacher. Being a 'servant leader' and 'walking in the shoes of a follower' builds trust between leader and followers, as well as between followers (Greenleaf, 1996:336).

(vii)   The institutional leadership roles inform the institutional culture.

Kotter (1992:24 and 1990:35) says that: "Institutionalizing a leadership-centered culture is the ultimate act of leadership." This implies that the continuously interacting sub-components of the institutional leadership structure must harmonize to create a climate in which the functions and work of the institution is carried out effectively. To be able to address the process of change and transformation the need for a culture of learning, as discussed in 4.3.1 has rarely been greater. Garatt (1988:432) indicates that characteristic of a successful learning process is that the top team is seen to behave continuously in the way that is advocated how others should behave. It is the role of institutional leadership to model and encourage the process of learning. He argues that most of the successful culture changes are implemented through the commitment and continuous presence of the top-team. Roberts (1989:60) uses the 'sayings' of Attila the Hun to voice his view on the culture of leadership. He states that:

> It is essential to the Hunnish nation that we have in our service leaders at every level who possess the skills, abilities and attitudes that will enable them successfully to carry out the responsibilities incumbent to their office. There is no quick way to develop leaders. Huns must learn throughout their lives - never ceasing as students, never being above gaining new insights or studying innovative procedures or methods - whatever the source.

Kotter and Heskett (cited by Quigley, 1993:12) have found that institutions with a strong corporate culture, based on a foundation of shared values have outperformed other institutions by a huge margin. Because of this strong culture and foundation of shared values, organisational change and transformation can be more easily implemented. Egan (cited by Anderson, 1992:58) said that "... transformational leaders are shapers of values, creators, interpreters of institutional purpose, exemplars, makers of meanings, pathfinders and molders of organization culture."

Middlehurst (1993:161) distinguishes between the 'hard systems' and the 'soft systems' of an academic institution. The hard system involves aspects of the organisation's

infrastructure that can have an impact on behaviour. The soft systems include aspects such as values, norms, traditions, habits of thought, and they compliment the hard systems of the institution. She argues that together the two systems create ethos, climate and eventually an institutional culture.

The soft systems can influence leadership and more specifically individual leadership by facilitating the development of leadership. It is important for the purpose of change and transformation to have as the core element of the institution the culture of leadership learning and development to become a learning organisation.

The discussion of the institutional leadership structure has concentrated on the sub-structure of the model that influences and informs leadership, however, "... in the end, it is the **person**, the leader as an individual, who counts. Systems, theories, organisation structures are secondary. It is the inspiration and initiative of individual persons that move the world along" (Greenleaf, 1996:334).

5.3.2   Individual Leadership

In the process of change and transformation, transformational leaders do not simply identify and build a clear vision from the visions of followers. They identify what followers wish, but cannot envision, and they provide followers with the conditions that allow them to achieve goals and aims they share with leaders. Leaders enable followers to change themselves and to realise their potential. In short: "Leaders' contributions include synthesizing and extending the purposes of followers as well as constructing conditions under which followers can be transformed into leaders" (Sashkin & Rosenbach, 1993:105).

Manz and Sims (1989:4-8) depart from the viewpoint that leadership comes mainly from within a person. They have coined the term of "SuperLeadership" and define "... a SuperLeader as one who leads others to lead themselves". It recognises self influence as

a powerful opportunity for achieving excellence, rather than as a threat to external control and authority. "SuperLeaders wants self-leaders" (Sims & Manz, 1996:66). The notion of self-leadership suggests purposeful leadership of self towards personal standards of behaviour and performance. Self-leadership means independence, it involves a certain capability to perform well, also in the face of an external environment that does not encourage excellence. Self-leadership gives followers confidence in themselves and strong self-efficacy. Strong self-efficacy leads to innovation and high performance. It is therefore not only institutional leadership that is informed by different leadership roles (5.3.1) but individual leadership as well. Diagram 5.2 describes the sub-structure with the different
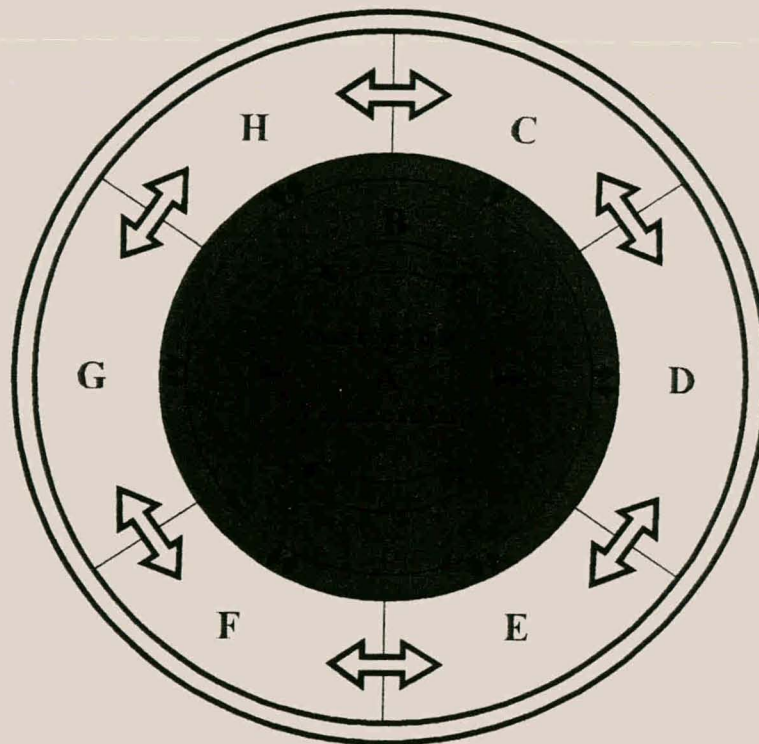
A	Individual leadership	E	Followership
B	Culture	F	Creativity and entrepreneurial skills
C	Lifelong learning	G	Systems thinking
D	Personal and professional development	H	Action learning

Diagram 5.2: The individual leadership sub-structure

individual leadership roles and skills that enable and empower individual leaders to accommodate change and transformation as indicated and discussed in the previous three chapters.

(i)   Individual leadership and lifelong learning.

Mets (1997:345) states that: "There is an emerging reconceptualization of organizational change that emphasizes individual learning as the core process in organizational change." One of the characteristics of a learning organisation is that it facilitates learning of its individual members and continually transforms itself. Tann (1995:46) argues that high achievement in formal education is no guarantee of the ability to apply that knowledge, and wide experience is no guarantee of knowledge, understanding or competence. Institutions should not only encourage lifelong learning, but they should demand lifelong learning.

Senge (1990:13;14) deliberates the meaning of "metanoia - a shift of mind". He states that "... to grasp the meaning of "metanoia" is to grasp the deeper meaning of learning." Real learning gets to the heart of what it means to be human. We re-create ourselves through learning and we become able to do things we were never able to do. Learning enables us to reperceive the world and our relation to it, and we extend our capacity to create and to be part of the generative process of life.

The case for lifelong learning is not new. Longworth and Davies (1996:8) cite Comenius who wrote in 1906 that a person's whole life, from cradle to grave, is a school. He argues that no age is too late to begin learning, and that we must say: "Every age is destined for learning."

Longworth and Davies (1996:22) define lifelong learning as:

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

They argue that this definition encompasses the complete range of human experience and that it is a human potential development model for the future to replace the inadequate education and training model of the present. Lifelong learning empowers and provides new life skills that emphasize reflecting and thinking, studying and learning, co-operating, entrepreneurship and communicating. Lifelong learning is one of the most powerful philosophies of our time. "It influences in opening up new opportunities and new horizons, empowering people and expanding ideas. ... The university which does not want to be part of that scene is indeed an ivory tower, fossilized, full of its own intellectual self-importance - and irrelevant" (Longworth & Davies, 1996:107).

Successful lifelong learning motivates individuals to participate in the learning process. A love of learning will only emerge if it is enjoyable and of tangible benefit to the individual and / or the organisation (Longworth & Davies, 1996:138).

(ii)   Individual leadership and action learning.

Action learning is a continues process of learning and reflection with an intention of getting things done (McGill & Beaty,1992:17).The basic philosophy behind action learning and experiental learning is that knowledge can be created by concrete experience and by observing and reflecting on this experience. Kolb (1996:271) and Kolb (cited by Tann, 1995:46 and Zuber-Skerritt, 1995:3) focuses on problem-orientated learning, starting from the position that what people have learned must be evident from their actions. This learning cycle has been of considerable influence amongst educators and trainers (see Diagram 5.3).

The cycle commences with experience leading onto reflection, conceptualization, deciding

and returning to (re)doing (Tann, 1995:46). Pedler (cited by McGill and Beaty, 1992:27 and 1995:31) explains the process as follows:

- **Experience:** Observing and reflecting on the consequences of action in a situation
- **Understanding:** Forming or reforming understanding of a situation as a result of experience.
- **Planning:** Planning actions to influence the situation based on newly formed or reformed understanding.
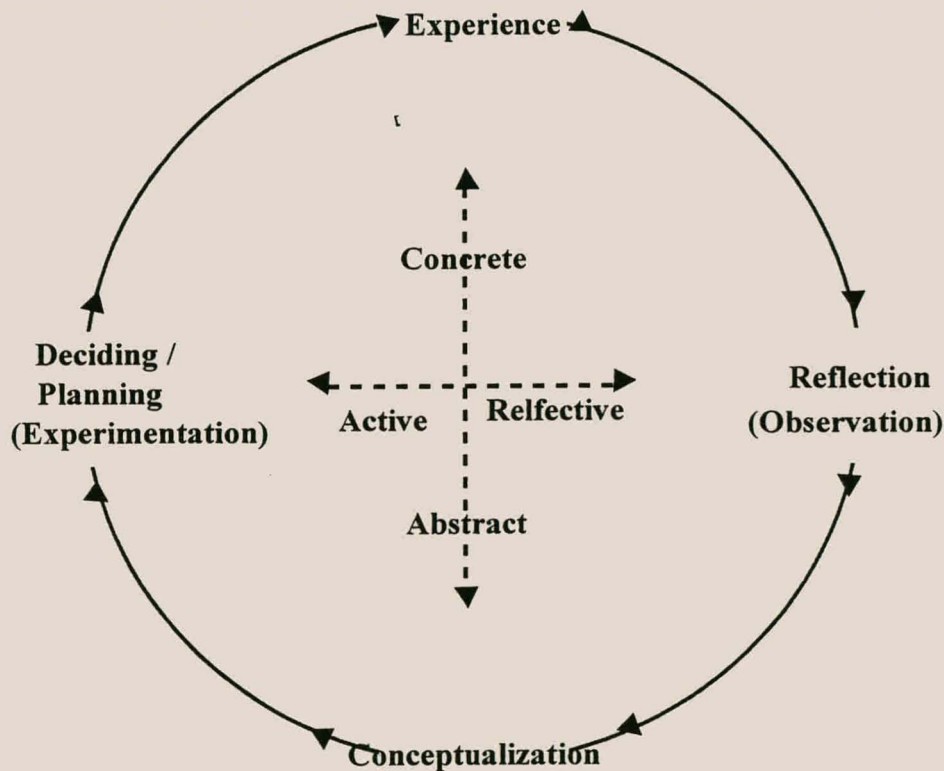- **Action:** Acting or trying out the plan in the situation.

Diagram 5.3: Kolb's Learning Cycle

Source: Kolb (1996:271) ;Tann (1995:47) and Zuber-Skerritt (1995:7)

This implies that a process of learning and relearning is constantly part of the learning process and it leads to making sense of an experience in a new way, leading to understand

and have insight which allow for new plans, new strategies for action and new modes of behaviour (McGill & Beaty, 1992:27).

Wiig (1997: 400;403) indicates that knowledge is our most important asset, and knowledge-based assets will be the foundation of success in the twenty-first century. He states that institutions "... have increasingly realized that knowledge and intellectual assets, and capital must be managed deliberately, systematically and with expertise to survive." Intellectual capital consists of assets created through intellectual activities ranging from acquiring new knowledge (learning) to creating valuable relationships. Intellectual capital management focuses on renewing and maximising the value of the enterprise's intellectual assets.

The responsibility of generating and creating new knowledge lies with every group and every individual in the institution. The approach of knowledge creation involves working on real problems, focusing on the learning acquired, and implementing the solutions (Marquardt, 1996:133-135). The process of action learning can involve single- and double loop learning as well as deutero learning (4.3.1 (2)). Taylor, Marais and Kaplan (1997:50; 52) indicate that action learning is ideally suited for use with groups and it works well in organisational life. "Ideally, action-learning should become an integral part of the organisation's culture. This will turn it into a 'learning organisation' - an organisation which uses every opportunity to learn from its own practice" (Taylor et al, 1997:50). It is important for institutions that all aspects of institutional activity can and should be reflected on, learned from and planned for to improve future performance of the institution.

(iii)   Individual leadership and Systems thinking.

System thinking forms part of the five learning disciplines of the learning organisation created by Senge (1990:5-12), which has been discussed in Chapter 4. The five learning disciplines are:

- Systems thinking.
- Personal mastery.
- Mental models.
- Building shared vision.
- Team learning (4.3.1 *(iii)*).

Senge (1996:298) indicates that new leadership skills are required for new leadership roles. The leadership skills can only be developed through a lifelong commitment. Senge (1990:11) argues that "... To practice a discipline is to be a lifelong learner." It is important to look at the influence of systems thinking on the individual leadership role and for the purpose of understanding the individual leadership substructure it is mentioned again. The five disciplines are "personal" disciplines. Senge (1990:11;12) states that each has to do with how we think, what we truly want, and how we interact and learn with one another. The five disciplines must develop together as an ensemble of which systems thinking forms the cornerstone of the learning organisation. "It is the discipline that integrates the disciplines, fusing them into a coherent body of theory and practice."

Systems thinking is a discipline to see things in a holistic manner (as a whole), and it provides a framework for:

- Interrelationships.
- Seeing patterns of change.
- A general set of principles.
- A set of specific tools and techniques.
- Sensibility.

System thinking provides the skills to see major interrelationships underlying a problem and it can lead to new insight into what might be done. However, to master the concept of systems thinking also requires to master the other complimentary learning disciplines. Each of the disciplines contribute important principles and tools to simplify life and by

helping us to see deeper patterns lying behind the events and the details (Senge, 1990:73;135).

(iv)   Individual leadership and creativity and entrepreneurial skills.

Creativity and Entrepreneurial skills "... seem to coexist (peacefully) enough but are seldom explicitly recognised as interrelated or brought into close contact with each other" (Nystrom, 1995:65-70). He argues that "... change and creative genius" make a potent mix, not only in the world of art but also in the world of "academia" or "business". If we want to gain new insight and find new opportunities in a changing world academia will have to be more open in their search for knowledge and more serious in studying the creative process and its implications for development. Academia will also have to learn to understand better the conditions for individual and institutional creativity and entrepreneurship to build on their knowledge of how successful creative artists as well as successful business people view and handle reality.

To be able to change and lead transforming institutions into the future a new type of leader has to be found (Vandermerwe & Birley, 1997:345). The 'new type' of leader needs to be creative in order to see possibilities where no one else does. Sinetar (1985:113) states that "... every truly creative individual is a minority of one. There is no one else like him / her." For the creative person thinking is play and this becomes both his / her motive ('I desire to think') and his / her goal ('so that I can think some more'). Creativity means therefore, bringing into existence something that has never existed before (Sinetar, 1985:112).

McCrimmon (1995:70) argues that creativity is at the core of entrepreneurial activity, this is the creativity that arises from dynamic interaction with a fast-changing environment. It is possible to distinguish two types of creative entrepreneurs:

- **The activist** is a doer and has an innate understanding of what it takes to run, expand, reconceptualize or create an enterprize. The doer has a steady, incremental
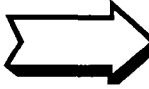
way of thinking, doing and communicating that fits naturally (and compliment) the core of institutional life. The doer has a sixth sense when it comes to motivating and dealing with new concepts.

- **The creative thinker** is more like an artist or inventor. He / she derives his / her greatest pleasure from the act of thinking and from the creative process in action. Achievement is when mental abstractions are transformed into concrete forms, i.e. when ideas become reality. The creative thinker sort out problems in a stylized, unpredictable and often disorganized manner, however, they thrive on freedom in the general area of their work (and how it gets done), to ask novel or disturbing questions and to come up with unusual solutions to the things they are thinking about (Sinetar, 1985:110;111).

Learning organisations should unleash the entrepreneur within their minds. The creative entrepreneur thrives on innovation, is willing to take risks, has innovative leadership skills, is willing to improvise and act without plans, is flexible in attitude and direction and has a willingness to learn and tolerate mistakes and learn from them (McCrimmon, 1995:22).

There is a clear connection between entrepreneurialism and self-renewal, where self-renewal is the goal and entrepreneurialism is the means. The concept of entrepreneurialism within an organisation provide the skills for self-renewing and creative leadership as indicated in Table 5.2.

Table 5.2: Self-renewal (learning) organisation and creative leadership

Entrepreneurialism ➡ result ➡ effort		
● organizational learning	● innovation	
● knowledge leadership	● vision	self-
● creative resourcing	● teamwork	renewal
● Flexible structures	● diversity	

Source: Adapted from McCrimmon (1995:47)

It is important to realise the empowering principles of creative and entrepreneurial leadership if they are to exploit new ventures and directions that generate risk-taking. Learning organisations also need to change their culture to accommodate and allow room for this "bottom-up" form of leadership to live side-by-side with the more conventional "top-down" form of leadership (McCrimmon, 1995:90).

(v)   Personal and Professional Development

The transformation in education and higher education implies that education is no longer just something that crosses your path when you are young. The expectation is that education carries on throughout life (5.3.2 (i)). This concept has an impact on personal and professional development and it includes "... developments which inform the teaching of students and the management of the organization as well as those which enhance the skills, adaptability and flexibility of (the) staff themselves (Middlehurst, 1993:3). The expectation that learning carries on throughout life affects staff as much as their students.

The danger of no interest in personal and professional development is "... the danger of safe mediocrity" (Drucker, 1955:180). 'Safe mediocrity' does not encourage people to take risks and discourage them from trying anything new. Institutions should require and put a high demand on performance and learning. However, people should not be driven, they should drive themselves to set high standards of performance and learning for themselves.

Institutional leadership, as well as, individual leadership development is of the utmost importance. Drucker (1955:194;195) argues that institutions cannot create leaders. They can only create the conditions under which potential leadership qualities become effective. Institutions should also lay the foundation for the right kind of leadership. He states that: "Leadership is the lifting of a man's vision to brighter sights, the raising of a man's performance to higher standards, the building of a man's personality beyond its normal limitations."

Traditionally academia has taken the responsibility for their own professional development, while higher education institutions have been allowed to get on with its work of teaching students irrespective of the world in which it is situated (Brew, 1995:2). This is no longer so and the traditional role of teaching, research and community development has changed beyond recognition. The role of the lecturer has become multi-faceted to meet the challenges of change and transformation.

For the purpose of transformation and change the responsibility of professional and personal development lies with both the individual and the institution. Brew (1995:6) indicates that in addition to the changes in the broad context of higher education (Chapter 2) staff are facing changes which lie at the heart of our ideas about knowledge, the nature of facts and disciplines which bound them and the enormous expansion in knowledge and the speed in which new knowledge is replacing existing knowledge. Academic staff members must be creative and flexible enough to take the risks and challenge the challenges of change for the new millennium.

(vi)   Individual Leadership and Followership.

Leaders come from the ranks of followers, in fact few leaders can be successful without first having learned the skills of following (Rosenbach & Taylor, 1993:109). They argue that the same qualities that make effective followers are the same qualities found in effective leaders. Kouzes (1988:135) indicates that in his and Posner's research with leaders and followers they have found that in every survey honesty and competency ranked first and second in the expectations of what one wants from leaders and followers.

"The reality is that most of us are more often followers than leaders. Even when we have subordinates, we still have bosses. For every committee we chair, we sit as a member on several others" (Kelley cited by Lee, 1991:115). Kelley further indicates that followers are not sheep. Effective followers are those who engage in "... enthusiastic intelligent and self-

reliant participation ... in pursuit of an organisational goal" (Kelley cited by Lee, 1991:114).

Organisations that have effective leaders tend to be the kind of places that develop effective followers. Lee (1991:114) states that effective followers are partners in creating vision, they take the responsibility for getting their work done, they take the initiative for fixing problems and / or improve processes, they question leaders when they think they are wrong. "In other words, they act a lot like leaders themselves." (Lee, 1991:115).

Lundin and Lynne (cited by Lee, 1991:118) made some observations about effective followers:

- They have personal integrity that demands loyalty and willingness to act according to their beliefs.
- They have a holistic view in seeing the organisation.
- They are versatile - skillful and flexible to adapt to change.
- They take the responsibility to be in command of their own careers, actions and their own development.

Effective independent - thinking followers are linked with effective leaders. An effective follower is therefore an "empowered" and "enabled" individual. De Pree (1992:138) points out that the story of the emperor and his clothes is more a parable than a fairytale. "If leaders are to stay dressed, they need a lot of help. Leaders cannot function without the eyes and ears and minds and hearts of followers." Strong leadership that motivates followers to perform beyond expectations is built upon personal identification with the leader, a shared vision of the future and subordination of self interests. "This transformational form of leadership creates an organizational culture that values renewal and revitalization of the individual" (Rosenbach, 1993:148).

(vii)   Individual Leadership culture

The institutional leadership culture informs the individual leadership culture. The individual is in the forefront of "doing". He / she lives out the culture of leadership development and institutionalising the culture of a learning organisation.

Shein (cited by Sashkin & Rosenbach, 1993:99-103) said that: "... the only important thing leaders do may well be constructing culture." According to Shein there are mainly three ways how leaders can construct culture:

- Develop a clear, simple, value-based philosophy through the use of cognitive power within the context of the institution.
- Leaders empower others to define organisational policies and develop programs that are based on the values and beliefs contained in the philosophy.
- Leaders inculcate values and beliefs through their own individual behaviour and their personal practices.

Sashkin and Rosenbach (1993:101) argue that these are the reasons why transformational leadership take so much time and effort and why leaders for the purpose of transformation and change must also be good managers with strong management skills. Leaders use the not yet changed bureaucratic processes and instills the value of 'empowerment' and 'enablement' into it. The discussion of leadership and leadership roles in higher education takes place in the setting of academic institutions. There is therefore much to be learned about leadership and its application within different roles, functions and levels within the institutional context. According to Middlehurst (1993:170) these will include certain management functions that forms part of the management processes. It is therefore not only expected of the individual to develop institutional- and individual leadership skills, but administrative leadership skills as well to be able to manage the management functions and processes.

5.3.3   Administrative Leadership and Management processes.

The emphasis of this study has been on examining leadership and leadership roles for transformation and change and becoming a learning organisation. The reality of leadership practice demonstrates a close association between leadership and management (3.5). Goldstein and Luger (1997:525) indicate that higher education institutions behave like any other economic organisation. It is therefore important that the institutional- and individual leader will also develop administrative leadership skills.

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

To be able to manage is to be able to cope with complexity and to bring a degree of order and consistency to key dimensions while leadership is about coping with change (Kotter, 1990:27). Diagram 5.4 indicates the sub-structure of administrative leadership and management processes in the model for academic leadership and the transformation process.

Leadership gives content and guidance to:

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

- **People management:** people are the most important resource in any institution. A good people management programme is important for growth and success (Van der Westhuizen, 1998b:1; Longenecker & Moore, 1987:432).

- **Resources management:** this implies resources such as equipment and supporting material which are important for effective institutional functioning (EFQM, 1998:21).

- **Technology management:** rapid changes in technology and information technology necessitates the proper management. Technology will in future permeates every aspect of the academic institution (Fink, 1997:337).
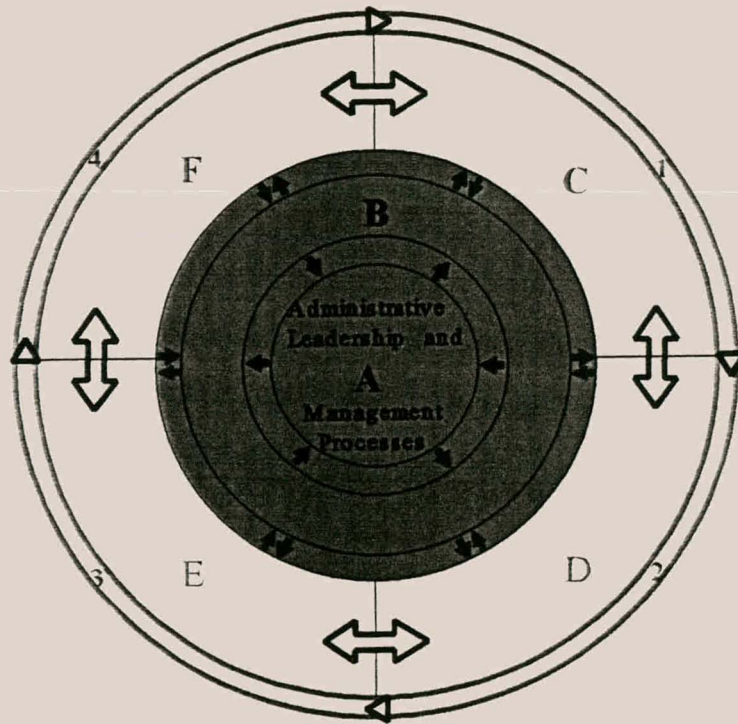
A	Administrative leadership and management processes				
B	Culture	**E**	People	**2**	Redefine
C	Resources	**F**	Policies and strategies	**3**	Re-engineer
D	Technology	**1**	Redesign	**4**	Re-align

Diagram 5.4 - Administrative leadership sub-structure

The European Foundation for Quality Management indicates that these are the institutional conditions under which process management can be appropriately implemented (EFQM, 1989:3). The culture of this substructure is informed by both the culture of the institutional

leadership sub-structure as well as the individual leadership sub-structure. It has to enhance, support and assist these leadership sub-structures with leadership development and becoming a learning organisation.

(i)   *Policies and Strategies*

The policy and strategy criterion are informed by the culture of the institution and it refers more specifically to the values, vision and direction of the organisation. The European Foundation for Quality Management (1989:11) indicates the following sub-divisions that serve as the point of departure for the academic institution and its transformation and change:

- The presence of plans and policy and (other) documents in which institutional outcomes are formulated and translated into operational sub-processes, and how it informs the quality improvement process.
- The development of policy in a transparent and democratic way.
- The communication with regard to policy and the openness of the structure to involve staff, students and external interesting parties.
- The testing and improving of the policy and strategy - comparing with national and international standards and counterparts.

It is, however, important to note for the purpose of transformation and change, higher education will have to embark on a road of policy analysis that involves the collecting and analysis of pertinent facts that will inform particular planning activities (Longenecker &Moore,1987: 399). Van Vught (1997:382) indicates that "policy analysis is understood as a set of professional support activities to help top administrators of higher education institutions find and formulate strategic choices." Policy analysis can provide a better understanding of the environment of higher education institutions and it can offer a vehicle for conscious design and adoption of institutional policies and strategies to accommodate transformation and change (Van Vught, 1997:388). Van Vught (1997:400)

cites Kerr who indicates that the coming decades will bring both greater need for academic leadership and more difficult circumstances for realizing such leadership. He states that "... policy analysis will be there to support the future leaders of higher education institutions".

(ii)   *People Management*

People management refers to both the quantitative aspect of personnel planning and the quality of the personnel policy. The initial step in a sound people management programme is recruitment of capable employees. It is important to employ the right people and getting their enthusiastic performance. The following aspects influence effective people management:

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

Van der Westhuizen (1998b:17) states that personnel planning and management is not an unnecessary luxury but the key to efficiency. People is, however, only one of the many resources of an academic institution.

(iii)   Resource Management

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

- The way in which information on the external environment and the development and learning process is used within an educational institution.
- The way in which financial resources are obtained, distributed and applied.
- The way in which material resources are purchased and administered.
- The way in which information technology is applied in the improvement of the work processes.
- The way in which knowledge and intellectual management are integrated (EFQM, 1989:18 ; Wiig, 1997:399-403).

According to Appley's definition of management (5.3.3), guiding physical and human resources means that managers have to balance the attention they give to people and things (technology) (Van der Westhuizen, 1998a:3). The rapid changing face of higher education, science, technology and information systems will have a major impact on academic institutions in the future. Fink (1997:324) argues that to serve this knowledge-based society the facilities at academic institutions need to both anticipate and accommodate rapidly changing advances in telecommunications, personal computing, multimedia and information technology.

(iv)   Technology Management

Probably the most pervasive challenge for institutions is the rapid expansion and influx of interactive communication on networks (Peterson & Dill, 1997:13). The most influential force for change is the potential for innovation and re-invention in the core technology: the development, transmission and dissemination of knowledge in society and

higher education. The telematics revolution has introduced a powerful new interactive information-handling technology and offer potentially revolutionary changes in moving from traditional modes of teaching, learning and research to varied, responsive, flexible, interactive and individualised modes (Peterson & Dill, 1997:21).

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

(iv)   Management processes

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

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

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

- Constructing the curriculum and designing the study course components.

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

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

- Carrying out student and teacher activities.

- Internal analysis.

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

It is important to note that academic leadership roles have to expand to incorporate administrative leadership roles that will empower academics to use the management processes for the purpose of change and transformation in the academic institution. The management processes focus on educational organisation and are informed by the policies and strategies, people-, resource-, and technology management.

The societal and transformation challenges to higher education and the changed paradigm of the higher education industry can require extensive institutional change that will need new planning and management processes to cope with the change transformation in the future. These processes will have to incorporate the reciprocal process and strategy for change and transformation of re-alining, redesigning, redefining and re-engineering (5.2) on continues basis (Peterson & Dill, 1997:26;27; Fourie, 1996:289), to provide the space and the mind shift to develop academic institutions to become learning organisations.

5.4   LEARNING ORGANISATIONS

The concept of the learning organisation has been discussed in Chapter 4. For the purpose of the development of the model for change and transformation it is touched on again. There is an emerging reconceptualisation of institutional change that emphasizes learning as the core process in organisational change. This change is viewed as organisational

learning. Senge (1990:4) says: "Forget your tired old ideas about leadership. The most successful corporation of the 1990's will be something called a learning organization." We are approaching the new millennium and while some organisations have transformed to become a learning organisation, higher education institutions still have to go a long way.

For higher education institutions to implement the concept of a learning organisation to become a learning organisation, institutional- and individual leadership as well as the management processes and administrative leadership will have to:

- Create readiness for change.
- Overcome resistance.
- Articulate vision.
- Generate commitment.
- Institutionalise the implementation of becoming a learning organisation (Cameron & Ulrich cited by Mets, 1997:347).

Longworth and Davies (1996:107;119) argue that industry is developing new internal cultures by implementing concepts of the learning organisation. They link all their practices towards the learning needs of their workforce. Higher education institutions by definition should already be Learning Organisations, however, it seems that they do not meet the characteristics of Learning Organisations, therefore, higher education institutions may wish to develop its own concept of the Learning Organisation - they would have to interpret the principles according to their own needs that can differ according to the different types of institutions.

Tann (1995:44-46) argues that "... until educational institutions actively accept that they have a major role in promoting and enabling the learning of their employees, besides the provision of teaching and learning opportunities for others, they will not be identified as institutions concerned with modeling lifelong learning - a core feature of a learning organisation."

5.5   THE STRUCTURE OF THE MODEL

The transformation structure, as indicated by Fourie (1996:289), gives academic institutions the opportunity to look at themselves and to provide the climate and environment for change and transformation. The three substructures that have been discussed (5.3.1; 5.3.2 and 5.3.3) need to find a 'place' and a 'space' in the institutional environment to form a coherent structure.

5.5.1   Filling the 'gap'

The process / strategy for institutional transformation (5.2) provides a vacuum and / or basis for the development of a structure for higher education institutions to become learning organisations through the development of academic leadership (Diagram 5.5).
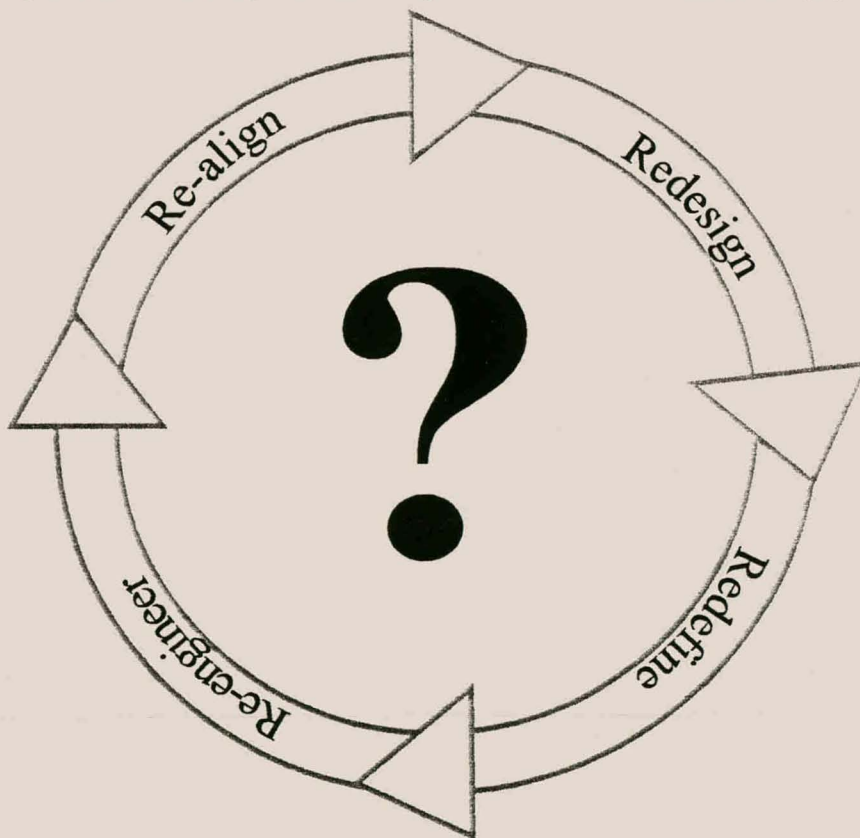

Diagram 5.5: A strategy for transformation that provides the 'space' for change
Source: Fourie (1996:289)

The "... four interconnected perpetual and mutually reinforcing sub-processes"(Fourie, 1996:289) suggest the need for planning which will allow the following basic questions to be asked:

- What is the nature of 'higher education knowledge industry' (Peterson&Dill, 1997:26), and what is the institution's role in it? (re-align)

- How should the institution's mission change to reflect these new realities, and what new external relationships should be developed? (re-design)

- How should the academic processes and structures be re-defined and the management processes be re-organised? (re-define)

- How do institutions renew or re-engineer the academic workplace and institutional culture? (re-engineer) (Peterson & Dill, 1997:26).

These questions provide the first step to generate new knowledge and to challenge the status quo. It gives the opportunity to put the three leadership sub-structures in 'place' to provide the institution with the necessary skills and capacity to become a learning organisation.

5.5.2 A dynamic academic leadership structure

The two sub-structures for Institutional leadership and Individual leadership (Diagram 5.1 and 5.2) provide the top and the bottom sub-structure of an interconnected and integrated process. The different leadership roles and skills take place simultaneously and never stop. There is never a time when one of these processes does not take place. The different roles and tasks inform one another as well as the whole process on a constant interconnected and dynamic way. However, the leadership substructures do not stand and / or function on their own. To form part of a functional process the administrative leadership and management processes substructure needs to be put in place (Diagram 5.4). This substructure informs both the academic leadership substructures and influence the total balance of the structure. All three the substructures are finely balanced and

regulated. If one of the substructures should lose the dynamic movement it will put the other two substructures in jeopardy as indicated in Diagram 5.6.

Therefore the three sub-structures inform each other in three interconnected ways:

- 'Bottom-up' leadership.
- 'Top-down' leadership (Sims & Manz, 1996:11; McCrimmon, 1995:90 and Quigley, 1993:55)
- Management processes and administrative leadership provide an effective and efficient organisational structure (EFQM, 1998:22; Mayo & Lank, 1994:186).

The two leadership sub-structures provide the core structure of the learning organisation while the management processes and administrative leadership sub-structure fit into the core structure and provides the support functions. This academic leadership model fills the 'gap' provided by the strategy for transformation where the continuous evolving, finely balanced, process leadership structure provides the mechanism for higher education institutions to become learning organisations as indicated in Diagram 5.7.

The South African higher education system operates in Africa but is informed by international concepts that includes the concept of becoming a learning organisation. It is, therefore, thus an imperative to look again at an African perspective and how and if it fits into this model. The viewpoint on an African perspective is based on the work of Boon (1996) and his deliberation on Interactive leadership.
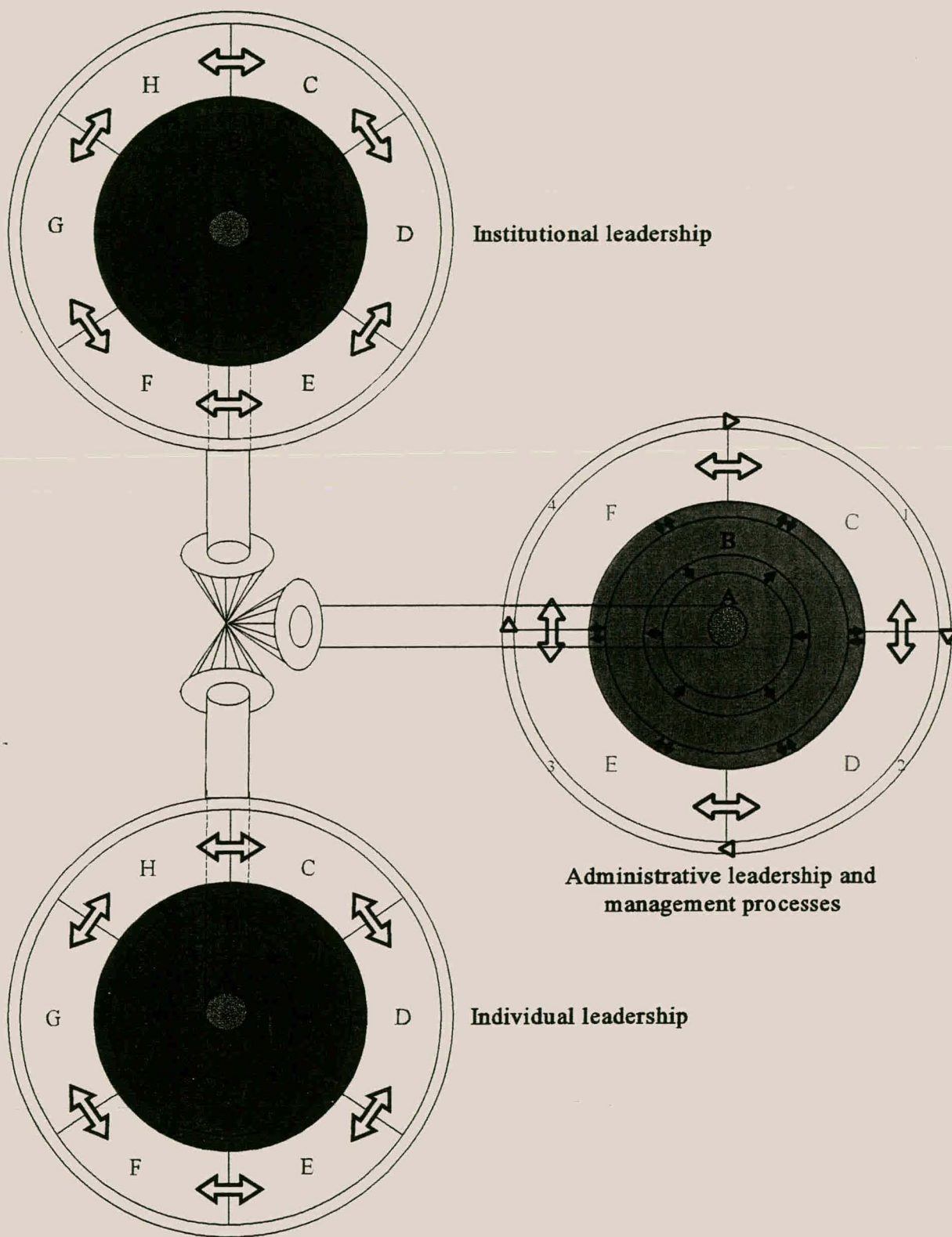
Institutional leadership

Administrative leadership and
management processes

Individual leadership

Diagram 5.6: The Dynamic Academic Leadership structure (Legend: p 160a)

Legend: **Diagram 5.6 - Dynamic academic leadership structure**

Green: **INSTITUTIONAL LEADERSHIP SUB-STRUCTURE**

      A Institutional leadership
      B Culture
      C Vision
      D Direction setting
      E Alignment
      F Servant leadership
      G Value system
      H Define reality

Blue: **INDIVIDUAL LEADERSHIP SUB-STRUCTURE**

      A Individual leadership
      B Culture
      C Lifelong learning
      D Personal and professional development
      E Followership
      F Creativity and entrepreneurial skills
      G Systems thinking
      H Action learning

Red: **ADMINISTRATIVE LEADERSHIP SUB-STRUCTURE**

      A Administrative leadership and management processes
      B Culture
      C Resources
      D Technology
      E People
      F Policies and strategies
      1 Redesign
      2 Redefine
      3 Re-engineer
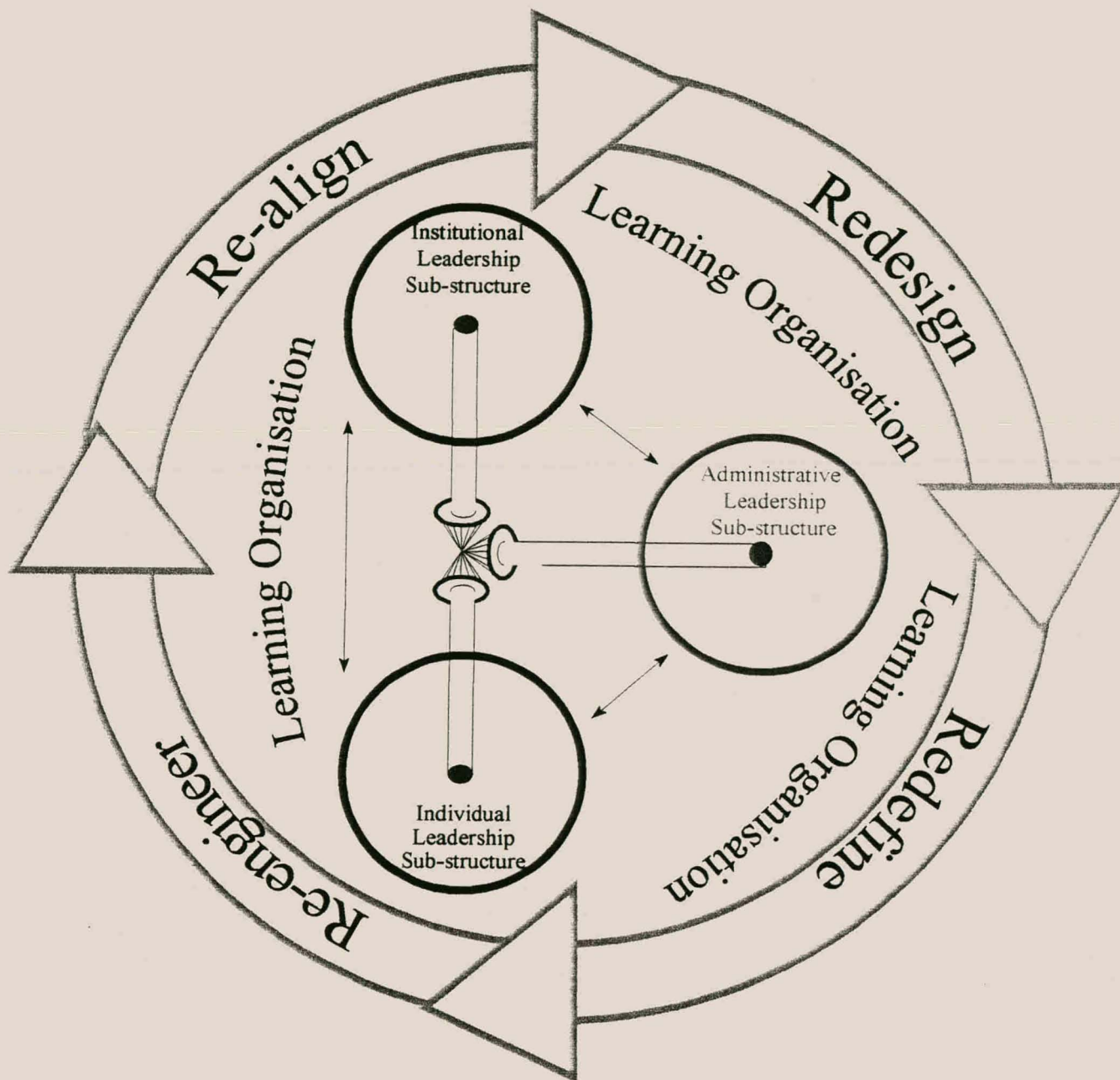   **4** Re-align

Diagram 5.7: The Academic 'Process Leadership' Super structure

5.6 THE AFRICAN PERSPECTIVE AND HIGHER EDUCATION LEADERSHIP STRUCTURE

The traditional higher education institutions with a mostly hierarchical leadership structure have a negative influence towards becoming a learning organisation (Diagram 5.8).
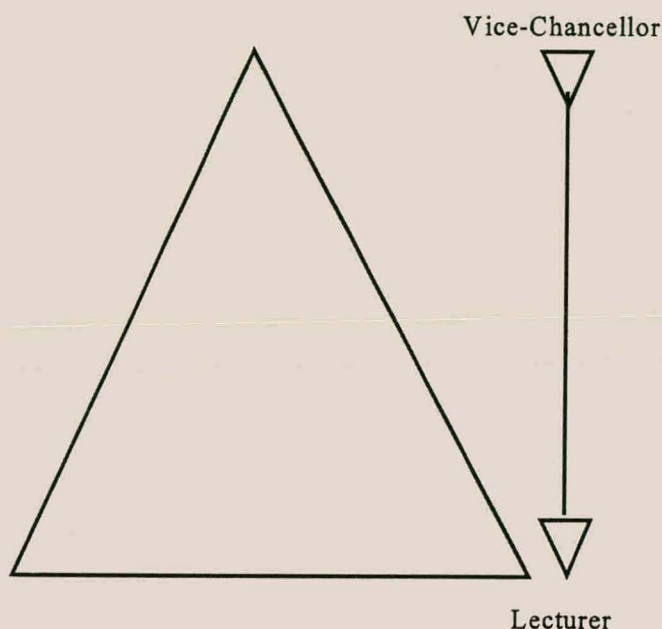
Vice-Chancellor

Lecturer

Diagram 5.8: Hierarchical Academic Leadership

The interactive leadership structure (the African perspective) (Boon, 1996:82) (3.7.4) has two super-imposed structures which are at work constantly. The one is a classic hierarchical leadership structure and the other a community structure. People belong to both structures simultaneously as previously indicated in Diagram 3.1. The elected leader has tremendously enhanced power because of the environment of trust, openness and respect. In this open system the community is encouraged to challenge leadership and to be strong. Criticizing a leader is completely in tune with traditional African culture (Boon, 1996:124;128).

The interconnected continuous evolving system of the three leadership sub-structures, Institutional leadership, Individual leadership, and Administrative leadership as indicated

in Diagrams 5.1, 5.2 and 5.4 has the ability to 'flatten' or 'crush' the hierarchical leadership structure. The African perspective indicates that leadership forms and is part of the community, where the community indicates the position of the individual in the institutional community as well as the community external to the institution. The three leadership substructures are interconnected and if they are placed in the interactive leadership structure (that implies the interconnectedness of the leader in the community) it brings down the height of the pyramid of the hierarchical leadership structure as indicated in Diagram 5.9 (McCrimmon, 1995:216).
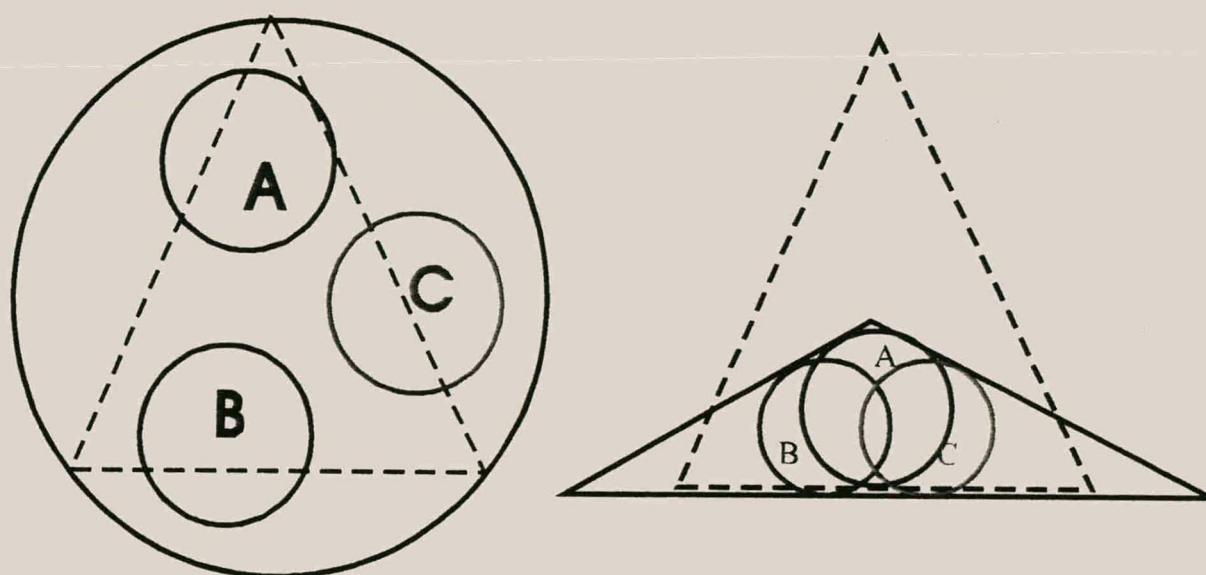
A = Institutional Leadership

B = Individual leadership

C = Management processes

Diagrams 5.9: The Crushed Hierarchical Leadership structure

The African perspective on leadership is, therefore, attainable through the development of leadership in higher education institutions.

5.7   CONCLUSION

The first four chapters of the study provided the background and literature study for this chapter. The information provided the researcher with the different components to form the three leadership sub-structures (Diagrams 5.1, 5.2, and 5.4) that inform the model (Diagram 5.6) for the dynamic academic leadership structure. The strategy for transformation (Diagram 5.5) provides the space and the environment for academic transformation and change as indicated in the academic 'process leadership' super structure (Diagram (5.7).

The model provides institutions with the opportunity to create a culture for the purpose of leadership development and to become a learning organisation. The model however does not indicate this. In Chapter 6 the researcher will use the information of the previous chapters to put the model in perspective and provide a holistic view (point) to indicate the scope of the learning organisation and the boundaryless organisation.

CHAPTER 6

CONCLUSIONS AND RECOMMENDATIONS

6.1 INTRODUCTION

This study was aimed at investigating the process of transformation, and to find creative solutions to accommodate the change, vision and principles of transformation in higher education institutions. In order to effect this, the following were examined:

- Transformation of higher education and a paradigm shift (Chapter 2).
- Leadership and the role of individual leaders and institutional leadership in the process of change (Chapter 3).
- Creating learning organisations (Chapter 4).
- Constructing a model for academic leadership development and becoming a learning organisation for the purpose of change and transformation (Chapter 5).

The discussion in Chapter 2 focused on three areas of transformation:

- The forces for change that influence international trends in higher education.
- The major actors and stakeholders in the process of change and transformation.
- The vision and expectations for a transformed South African higher education society.

For these changes to happen a process or strategy for change is needed, and the strategy for change and transformation as proposed by Fourie (1996:289) was used for the purpose of this study as discussed in Chapter 5 (cf 5.2).

Chapter 3 gave an overview of leadership theory and research, as well as the different viewpoints on leadership and management. This overview was very broad and the researcher therefore gave a conceptual framework that informed the core elements of the leadership sub-structures of the model (*cf* 5.3). It was also very necessary to look into academic leadership and the characteristics of higher education institutions. However, the different viewpoints on leadership and leadership development did not include an African perspective on leadership. The researcher incorporated this perspective into the development of the model for change and transformation in higher education.

In Chapter 4 the researcher deliberates that teaching institutions do not automatically qualify as becoming learning organisations. The structure of Marquardt (1996:21) was used to define and structure the principles that enable institutions to become not only learning organisations (*cf* 4.3), but boundaryless organisations as well (*cf* 3.8).

The model in Chapter 5 incorporates all the different elements of the transformation process. This model includes the concepts of individual leadership, institutional leadership, and administrative leadership and management processes, as well as the influence of an African perspective on leadership and hierarchical structures (*cf* 5.6).

To come to a full understanding of all the different elements and the sub-structures in the model, a (w)holistic (Senge, 1990:339; 371) structure has been conceptualized for the model.

6.2   THE PROCESS FOR INSTITUTIONAL TRANSFORMATION

The process / strategy for institutional transformation as described by Fourie (1996:289) generates the first force for the asking of new questions and generating new knowledge about the institution (*cf* 5.2). This process that initiates transformation provides the "cylindric casing" as well as the "gap / vacuum" in which the leadership model to become

a learning organisation, can be (and has been) developed (Diagram 6.1). Although this process for institutional change and transformation is discussed separately, it forms an integral part of the total model as indicated in the academic 'process leadership' super structure (*cf* 5.7).
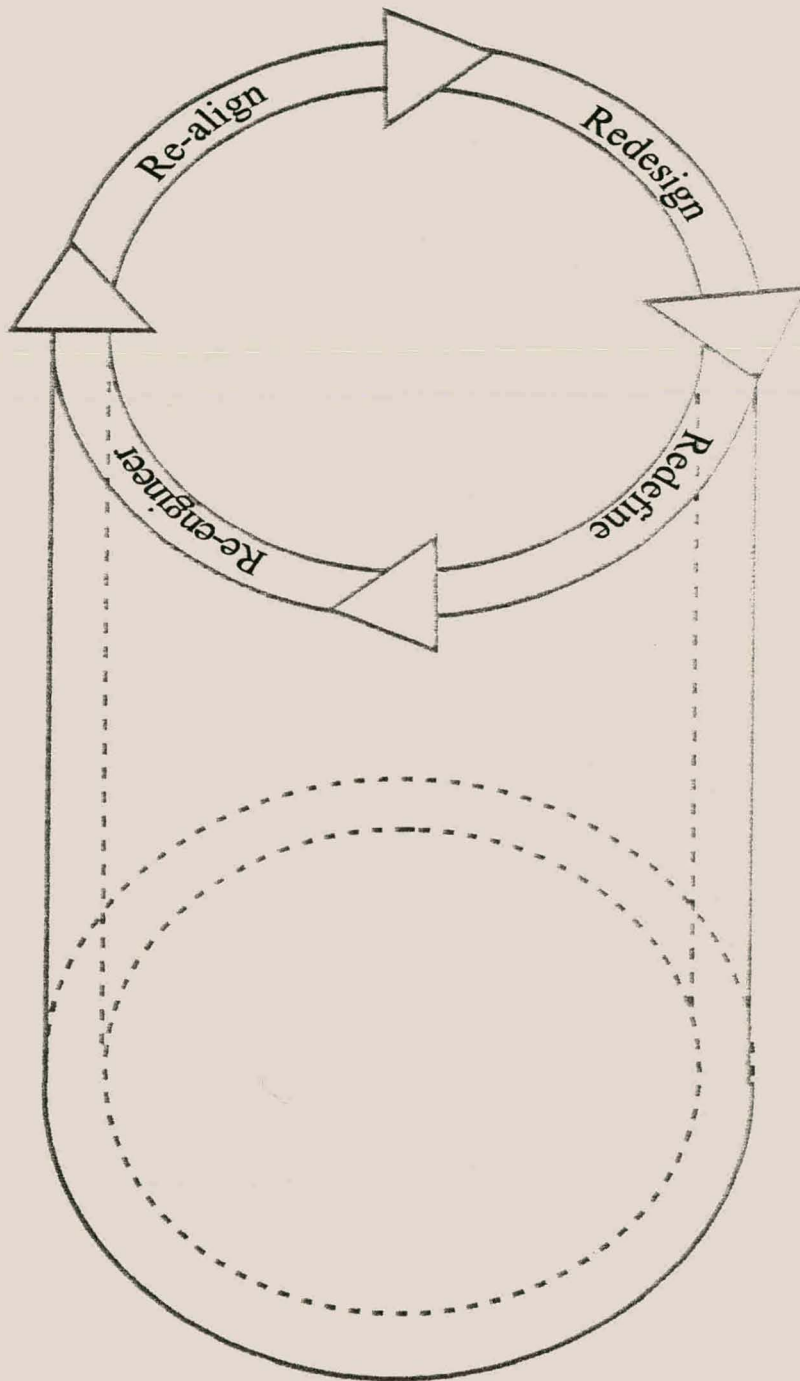
Diagram 6.1: The Cylindrical Casing of the strategy for Transformation

6.3   THE DYNAMIC ACADEMIC LEADERSHIP STRUCTURE

This structure (*cf* 5.6) consists of three sub-structures:

- Institutional leadership.
- Individual leadership.
- Administrative leadership and management processes

Although these sub-structures seem to form three lose standing units, they are in fact one complete holistic unit, that fits into the "gap / vacuum" (Diagram 6.2) created by the institutional strategy for transformation.

This diagram indicates how the three, seemingly separate, sub-structures fit into the institutional transformation "cylindric casing"(Diagram 6.3) and evolves and interact around:

- a core leadership axis,
- an inner institutional culture ring and
- an empowerment ring. (Diagram 6.4).

In the overview of leadership theory and research (*cf* 3.3), the researcher has indicated the different viewpoints and research on the institutional leader (the appointed leader), the individual leader and the role of the manager (administrative leadership) (*cf* 3.5). Academic staff members in higher education fulfill all three these roles. As an individual leader the academic staff member can achieve excellence in research, teaching and scholarship and take responsibility for his / her own development as a highly skilled professional, with a tradition of autonomous working (Brew, 1995:7). The role of 'institutional leader' is normally an appointed position for the academic staff member. What is important to note, is that the academic staff member, because of his / her professional and academic development is first and foremost an individual leader.
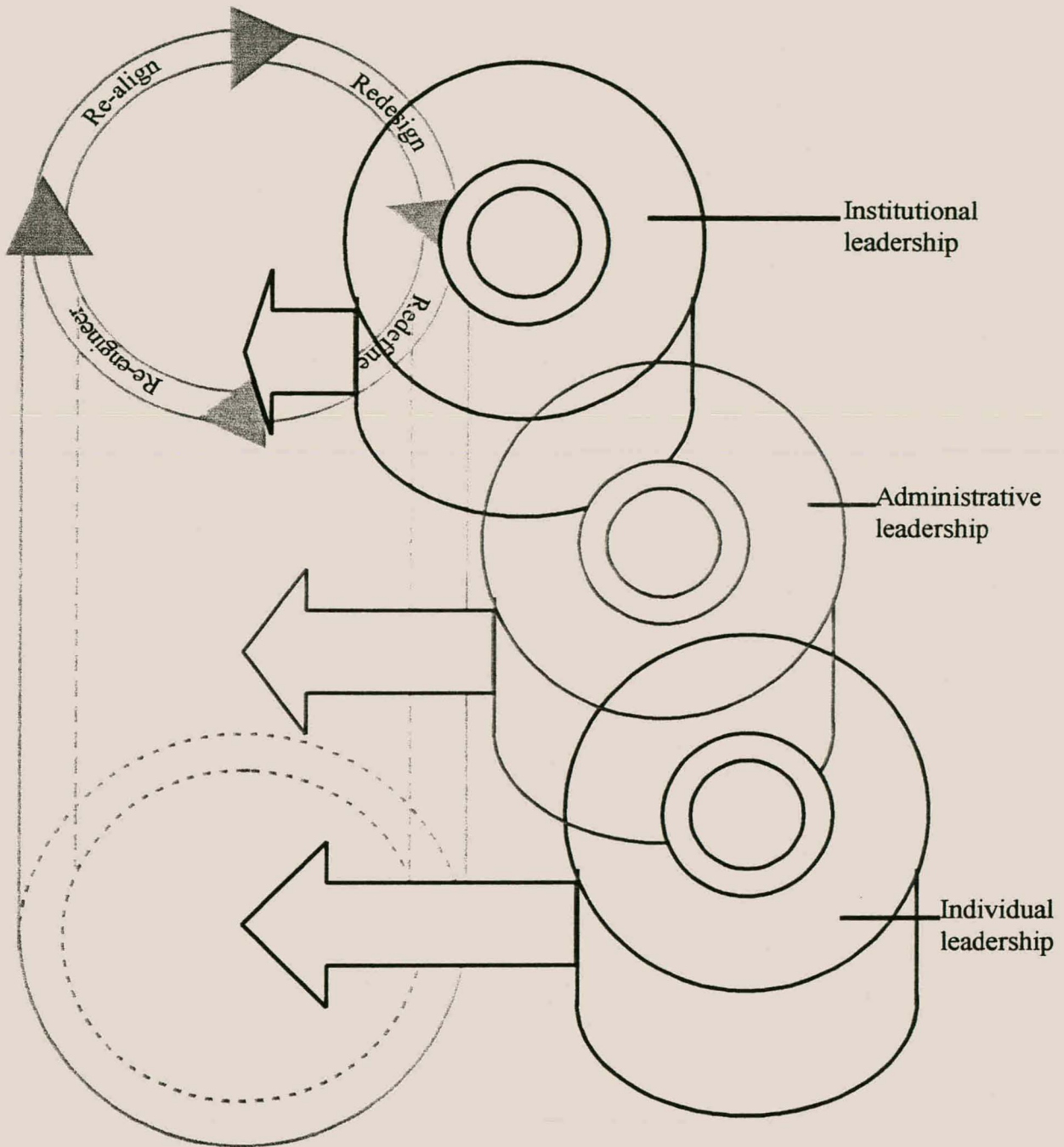
Diagram 6.2: A holistic view of the Academic 'Process Leadership' Super

structure - A

Transformation casing

Institutional leadership

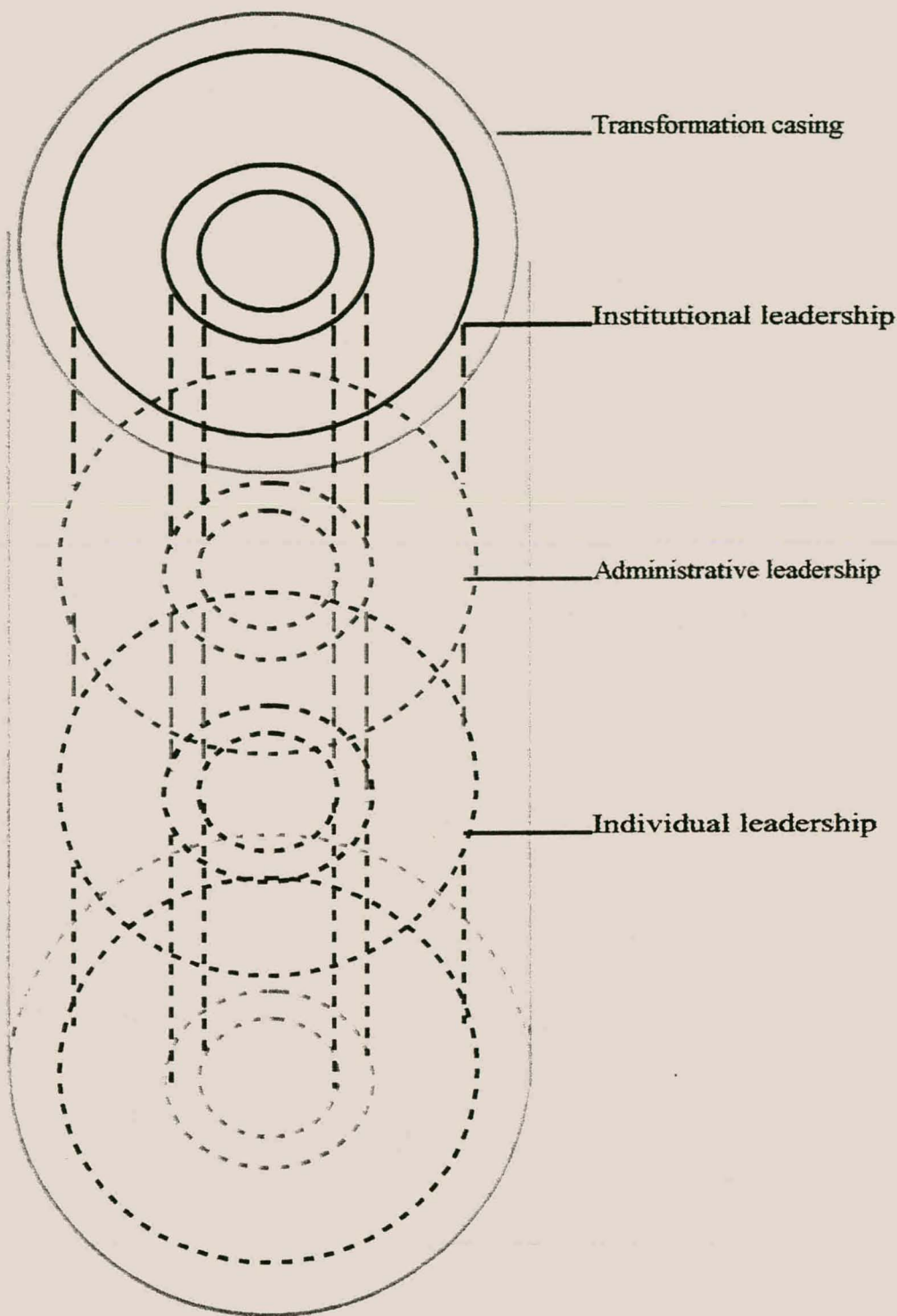Administrative leadership

Individual leadership

Diagram 6.3: A holistic view of the Academic 'Process Leadership' Super structure - B
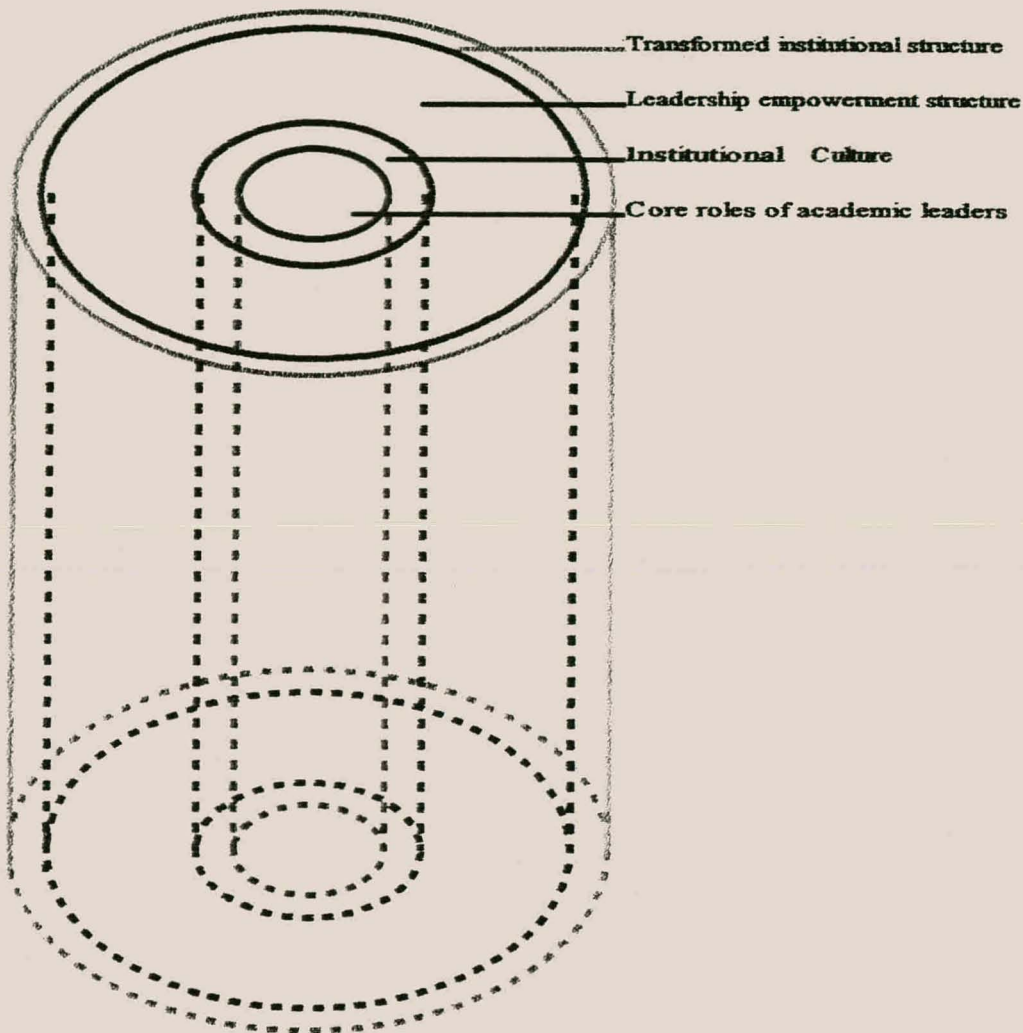
Diagram 6.4: A cross-section of the profile of Academic Leadership in becoming a Learning Organisation

The individual academic (leader) has specific administrative duties while the institutional leadership position has inherent administrative or management functions, that give the opportunity for administrative leadership (*cf* 3.6.2). One can come to the conclusion that the individual academic staff member cannot be separated from these three leadership roles.

6.4   THE SCOPE FOR BECOMING A LEARNING ORGANISATION

The cross-section of Diagram 6.4 provides the profile of academic leadership in becoming a learning organisation. The core leadership axis informs the three leadership roles of the academic staff member and it interacts with the inner culture ring. This ring provides the scope for leadership development and becoming a learning organisation. Marchese (1979:10) indicates the necessity for leadership to enact their vision of how important it is to "enculturate" a supportive workplace for learning and leadership development. Every organisation has various sub-systems that develop their own culture that can become the primary target of organisational transformation. It is important that leadership will provide the vision for an organisational culture (Schein, 1997:6-7).

The outer empowerment ring (that evolves around and interacts with the core leadership axis and the inner culture ring) provides the scope, and structure for individual, group and organisation-wide learning to occur (*cf* 4.3.2). This whole structure, however, is not possible if the outer "cylindrical casing" of the institutional strategy for transformation does not exist or did not happen. This profile for a learning organisation (Diagrams 6.4 and 6.5), as well as the three leadership roles of the individual provides the scope for a "crushed" or flat hierarchical systems which has the flexibility of the boundaryless institution.

6.5   THE   BOUNDARYLESS   INSTITUTION   AND   INTERACTIVE LEADERSHIP

In Chapter 3 interactive leadership or the African perspective(*cf* 3.7.4) has been discussed. In Chapter 5 (*cf* 5.6), however, the principle (although not widely researched) features again. It is only at this stage of the holistic view of the model that it is possible to indicate that interactive leadership can form part of and can be incorporated in the whole structure (Diagram 6.5).
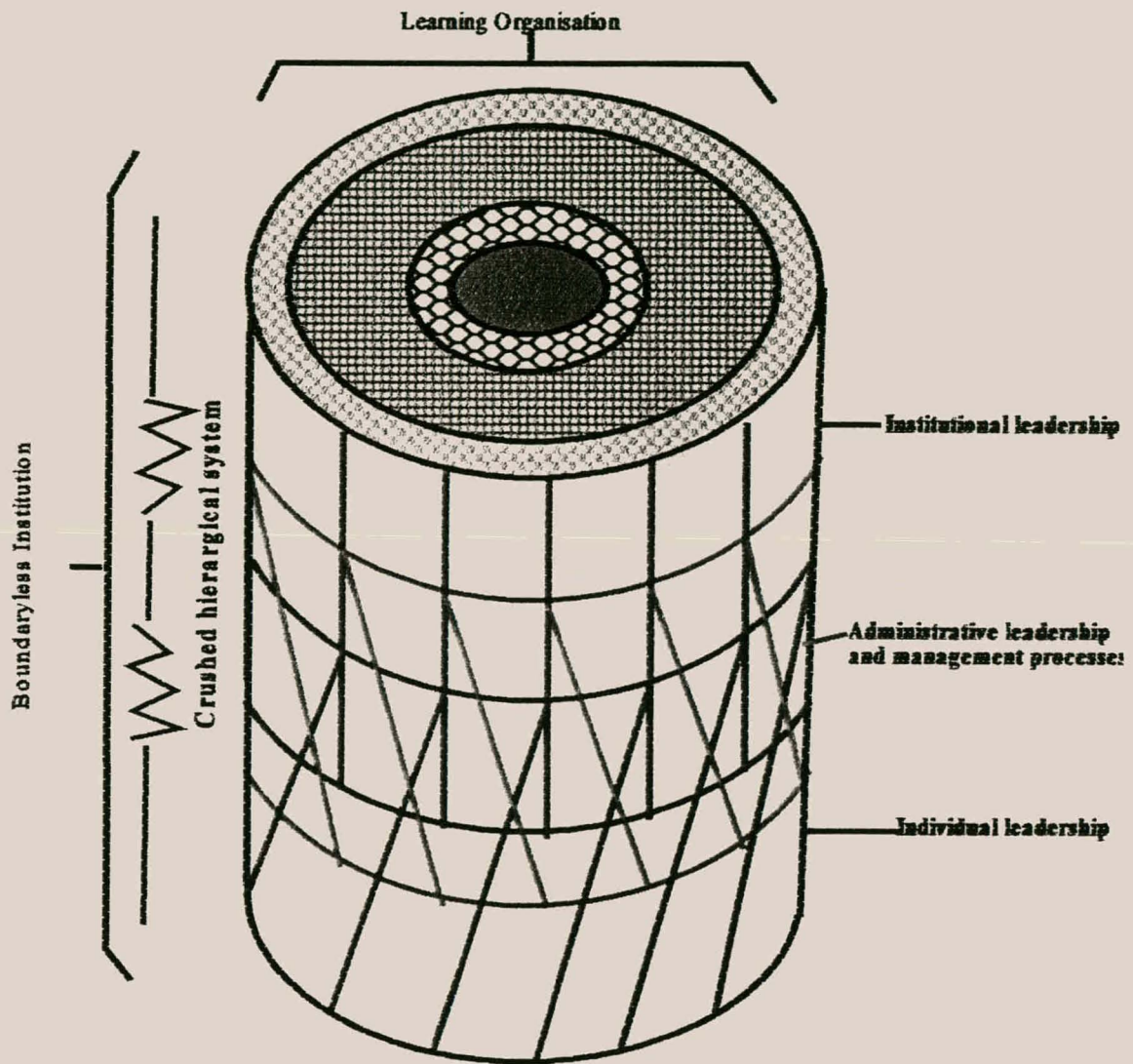
Diagram 6.5: Empowered Institution

In (6.3), the researcher came to the conclusion that the individual or the academic staff member fulfills all three the leadership roles. Diagram 6.5 indicates that the institutional leader is also and firstly an individual leader and that institutional leadership is informed by individual leadership and leadership roles and skills. Management processes and administrative leadership form part of both individual and institutional leadership. However, some management processes will inform both individual and institutional

leadership at the same time. This structure provides the flexibility and indicates the possibility of a 'crushed' hierarchical structure and a boundaryless institution. Birnbaum (1988:196) argues that these types of institutions tend to run themselves. He states that "... this does not mean that leaders are unnecessary to the system." The effectiveness of the leaders depends on the functioning of the organization within the culture of the institution, and that leaders are prepared to learn, learn about others and learn about the institution.

6.6   LIMITATIONS OF THE STUDY

In the study the researcher dealt with three very broad study fields:

- Higher education transformation and change.
- Leadership and academic leadership.
- Learning organisations.

To stay within the boundaries of this study some important viewpoints might have been left out that could bring other researchers to other conclusions. It was, however, the researcher's intention to bring together and conceptualise a number of aspects within the three fields in a creative and constructive way which is open to discussion.

The researcher has indicated in the study the importance of the personal or "soft side" (3.7.2) in the leadership development field. For the purpose of indicating the dynamic interaction and a continuous evolving movement, the diagrams represent a rather mechanistic view of the concepts of leadership, institutional change and structures. This representation(s) rather negates the "soft side" of the leadership and change principles.

For the purpose of constructing a model the researcher has not gathered any empirical data to contextually verify or validate the theoretical viewpoints contained in this study. As indicated in 1.4, to be able to conceptualise a framework to construct a model, a different

approach (and analogy) is used to find and reveal similarities and / or relationships to simplify the complexity of the three broad fields of study to come to 'new' answers and 'new' understanding.

The researcher found that in the field of learning organisations most of the literature were written by academics, for organisations and the research and training of staff members were also done by academics within these organisations (Castleberg & Roth, 1998; Thomas 1997; Schein, 1997; Marquardt, 1996; De Geus, 1995; Schein, 1995; Senge, 1990). The same concept has not been applied (by the academics) and put to the test in higher education institutions. Therefore the researcher had to rely in her study, on the principles and criteria for organisations, as indicated by the different researchers.

The scope for an African perspective and the literature on this viewpoint were very limited. The researcher, however, felt that in spite of the limited information, and little research done on this aspect, this viewpoint is of such importance in the transformation precesses that it could not be left out of the study. The transformation process in higher education institutions and the empowerment of previously disadvantaged communities in South Africa are at present highlighted and stressed in documents concerning higher education transformation in South Africa (RSA, 1997; RSA DOE, 1997a).

The researcher, therefore, feels that regarding the limited research on learning organisations and higher education, an African perspective on leadership in higher education, and the lack of qualitative and / or quantitative research, other researchers could use other methodologies and involve themselves in creating "new knowledge" regarding these concepts.

After reflecting on the limitations of the study it is necessary to look at recommendations for further study regarding the model for academic leadership, transformation and change, for a higher education institution to become a learning organisation.

6.7   RECOMMENDATIONS FOR FURTHER RESEARCH

It is recommended for the purpose of further research that the academic leadership model for transformation towards learning organisations in higher education, could be used to:

- Evaluate the progress of transformation and change in higher education institutions and investigate, if the institutions are on their way to change and transform into learning institutions.
- Develop a programme for the development of academic leadership of an institution to become a learning organisation in the three subfields of:
  - institutional leadership,
  - individual leadership, and
  - administrative leadership.
- Evaluate the   level of   institutional learning within the three leadership substructures of the model.

It is also recommended that the above model for academic leadership for transformation towards a learning organisation be incorporated into the structure of higher education institutions for the purpose of developing a culture of leadership development and becoming learning organisations (institutions).

6.8   CONCLUSION

Traditionally higher education institutions have been slow to adapt to change. The demands for access and the transformation of higher education institutions have made it an imperative to accommodate change and to learn fast to adapt to change, to be of any significance in higher education in the twenty-first century.

It was argued very early in this study that a model could be developed to accommodate the transformation process as envisaged for South Africa. Indications, from the theories analysed in this study, were very strong that a relevant model for the process of transformation and leadership could be developed for the higher education environment in South Africa. The researcher has indeed made an attempt to that effect. What remains is to test and validate this model through further research.

It is, therefore, possible for higher education institutions to become learning organisations if they are prepared to implement the strategy for transformation, and leadership development. Institutions will also have to learn how to learn fast and differently to create new knowledge. However, it is not possible to "be" a learning organisation. It is only possible to keep trying to become a learning organisation. There is never an ultimate point of "knowledge" and "having learned everything", because learning anew and creating new knowledge never stops. It is a continuous evolving interactive development process that empowers institutions and individuals within these institutions.

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DECLARATION

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