

**THE TRANSFORMATION OF THE HIGHER EDUCATION INSTITUTIONS IN
THE POST-APARTHEID ERA: THE SOUTH AFRICAN RESEARCH CHAIRS
INITIATIVE AS AN INDICATOR**

by

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DECLARATION

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I declare that ***THE TRANSFORMATION OF THE HIGHER EDUCATION INSTITUTIONS IN THE POST-APARTHEID ERA: THE CASE OF THE RESEARCH CHAIRS INITIATIVE AS AN INDICATOR*** is my own work and that all the sources that I have used or quoted have been indicated and acknowledged by means of complete references.

Signature: Date:

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ACRONYMS

| | |
|-------------|--|
| ANC | African National Congress |
| CHE | Council of Higher Education |
| DoE | Department of Education |
| DST | Department of Science and Technology |
| EFA | Education for All |
| ERA | Emerging Research Areas |
| ETQA | Education and Training Quality Assurors |
| FRF | First Rand Foundation |
| GDP | Gross Domestic Product |
| GEAR | Growth, Employment and Redistribution |
| HCSP | Human Capital and Science Platforms |
| HEC | Higher Education Council |
| HEF | Higher Education Forum |
| HEI | Higher Education Institution |
| HEQC | Higher Education Qualification Committee |
| HRD | Human Resource Development |
| MDP | Millennium Development Goals |
| NMMU | Nelson Mandela Metropolitan University |
| NCHE | National Commission on Higher Education |
| NSI | National System of Innovation |
| PQM | Programme Qualification Mix |

| | |
|---------------|--|
| RDP | Reconstruction and Development Programme |
| RMBF | Rand Merchant Bank Fund |
| SAQA | South Africa Qualifications Authority |
| SARChI | South Africa Research Chairs Initiative |
| SU | Stellenbosch University |
| UCT | University of Cape Town |
| UKZN | University of KwaZulu-Natal |
| NWU | North West University |
| UFH | University of Fort Hare |
| UJ | University of Johannesburg |
| UNISA | University of South Africa |
| UP | University of Pretoria |
| UWC | University of Western Cape |
| UZ | University of Zululand |
| WSU | Walter Sisulu University |

ABSTRACT

The study investigated whether the South African Research Chairs and the research programmes of the Department of Science and Technology and the National Research Foundation Programme (DST/NRF programmes), have made an effective contribution towards the acceleration of transformation in Higher Education Institutions (HEIs) in South Africa. The study argues that the implementation of the Higher Education (HE) policies by HEIs and the South African Research Chairs are seriously undermined by legacies of colonialism and apartheid. It is further contended that unless more funds are made available to black students to study full-time, the pillars of democracy of social justice, redress and equality remain meaningless ideological slogans.

Guided by the insights provided by literature review on CDA, the study focuses more on the top-down relations of dominance (policy) that fuels continuing racial discrimination in higher education institutions, which the 2008 Final Report of the Ministerial Higher Education Committee isolated for criticism. The study posits that the thematic structural unifier, which links all the pieces of the multiplicity of the competing ideas and voices and threads through the whole study, is the endless probing and unravelling of the cultural and historical factors that continue to undermine the higher education transformation agenda.

The findings of this study suggest that the policy implementation of the HE transformation agenda continues to be constrained by mismatch between policy objectives and implementation results. The findings also indicate that although the research-driven performance of South African Research Chairs has progressively improved each year and student support and research outputs increased between the 2008/09 and 2009/10 financial years, the direct impact of the SARChI programme can only be determined when performance is measured against the South African Research Chair Holders' baseline performance. The data also suggest that despite access to educational services at HEIs improving, the existence of various forms of discriminatory

practices, are still employed, a major challenge attributed to the “great man” leadership styles adopted by many university’s vice chancellors and councils. This evaluation study utilises a small-scale purposive sample composed of three experts, with unstructured in-depth face-to-face interviews conducted with the experts.

KEY WORDS: South African Research Chairs, Higher Education Institutions, transformation agenda, Critical discourse analysis, research-driven knowledge, innovation, science, interpretive/narrative methods, and Higher Education policy implementation.

CHAPTER 1

INTRODUCTION

1.1 INTRODUCTION: MY PERSONAL JOURNEY

Some say that the liberation of the oppressed and the oppressor has now been achieved. But I know that that is not the case. The truth is we are not yet free. We have mainly achieved the freedom to be free, the right not to be oppressed. We have not taken the final step of our journey, but the first step to a longer and even more difficult road. For to be free is not merely to cast off one's chains, but to live in a way that respects and enhances the freedom of others - Nelson Mandela, Long Walk to Freedom

Amid the doubt and inactivity that descended over the globe after it turned out that 1989 had not, after all, ushered in a new world order, South Africa's first democratic elections in April 1994 shone out like a beacon. In an era when politicians were generally held in profound contempt, the new State President, Nelson Mandela, affectionately known as Madiba, towered like a colossus. Here at least there was a story that seemed to have a happy ending, as the new “rainbow nation” stepped proudly into the future.

The sweeping victory secured by the African National Congress (ANC) in the elections eventually marked the climax of a liberation struggle that started before the ANC was founded in 1912. It was a struggle for which Madiba had spent 27 years in prison, a struggle that had been fuelled and kept alive by the great Soweto school students' uprisings of 16 June 1976.

It will soon be 18 years since that historic victory, and the fundamental question that has bothered my mind since I started my career as a working class citizen in 1995 has been how well has the ANC-led Government of National Unity (GNU) fulfilled the hopes raised by its entry into office? Commentators typically approach this question by launching a sort of pre-emptive strike. They talk about the problem of *expectations*. By this they meant that the black people who voted for the ANC in April 1994 did so in the belief that the political transformation represented by black majority rule would rapidly usher in a social and economic transformation as well. Having won the elections, they expected from the ANC, dominate government jobs, houses, first-class resourced schools and world-class public health, amongst other things. Commentators admitted, however, that the euphoria and the paradisaical expectations are *unrealistic*. The GNU, like governments everywhere, has to worry about enhancing competitiveness and reducing public spending. The masses' hopes for a rapid improvement in their material conditions will have to be deferred, perhaps indefinitely.

It is almost three and half decades since the Soweto Students' Uprisings that marked a watershed in the liberation struggles. I was born during those tumultuous and political upheavals that set the stage for apartheid demise. Hence, my existential journey of life is mysteriously yoked to that pivotal historic epoch in the South African political history, which marked the first year of my right of passage (my 36 years of life) in Mother Africa. Perhaps, I was making my way down from my mother's womb through the birth canal and preparing myself to take in the first breath of the deadly smoke that followed the riots of 1976. Little did I know that nearly 18 years after political emancipation, a research project would magically re-awaken in me the same of the agonizing pains endured by those who fought and died for the restoration of racial pride and dignity to the disenfranchised indigenous African populations.

The ANC had campaigned on the Reconstruction and Development Programme (RDP), which set out a number of specific policy objectives, intended to advance both social upliftment and economic development. These included:

- Redressing the imbalances of the past ;
- A ten year transition to compulsory schooling; and
- Ensuring class sizes to be no more than 40 by the year 2000.

I have always wondered whether the failure of the ANC government to pursue any real attempt to transform society is a consequence of the strategy it has pursued. The scientific curiosity to understand the real truth behind the ANC-led government's failure is responsible for my embarking on this scholarly journey with the DST/NRF South African Research Chair in Development Education. My background from the National Research Foundation opened the doors for me to be able to take a closer look at some of the fundamental policies in the HE landscape. It had been a lifelong dream to work in academia. Working in academic environment gave false impression that identifying one's professional niche in life amounted to achieving one's destiny. Little did I know at the time that it was to be the beginning of my personal agony and being forced through the murky entrails of colonial and horrendous apartheid history that I have never before been emotionally subjected thereto. The imaginative and hermeneutic dialogic engagement with lived experiences and narratives of those who have walked the same treacherous and contested pathways, had sacrificed their lives, dreams and families so that could only tell why so much blood was shed.

It was a disturbing truth that had been hidden from me. The sudden realization and the sudden awareness of the historical truth of the coming into being of my beloved country confused me. I wondered if I had not been listening to stories told by my grandmother and my mother. I asked myself: *Am I too dumb to comprehend the violate past that shaped and informed my being?* I deluded myself into believing that it was not yet time to be actively involved. Should I carry on with business as usual until I reached a point in

my career where I would be able to let myself get out of the system, a system which continued to preach one thing and act in a different manner? The hidden agenda that drives the truth evades my understanding. However, my third sense told me that something was not what it seemed. I am seduced by academia despite the fact that it is an elite group, which tends to conceal its inner secrets from outsiders.

As I thirsted for knowledge and searched for personal understanding, I started having an interest in issues which scholars such as Dr. Nico Cloete, Dr. Crain Soudien, Professor. Jonathan Jansen were sharing on journal articles. These were issues of equality, access, transformation, redress, and social justice, amongst others. As I got closer into zooming into what they were talking about, it became clear that everyone was actually using these key words. All the programmes at the National Research Foundation (NRF) were inundated by the same words. The results however, were different from what the policy frameworks on the HE landscape in general had envisaged, and what the aforementioned scholars were talking about in particular.

*Does an approach to transformation constitute more of the centre of focus than simple imagination or abstract thinking or vice versa? Why are we not getting the urgency and the seriousness of the matter at hand? At the time I had reached a breaking point and my conscience did not allow me to carry this burden. As a young girl from the *bundus*¹ of Idutywa in the Eastern Cape, I knew the pain of walking long distance without shoes to get to school everyday. To get to school on time I had to leave home at the crack of dawn. I also knew the agony that awaited my return from school, the herding of cattle or take the livestock to the dip, a traditional boys' activity that led to my missing examinations sometimes. I experienced firsthand losing a bursary at university and my family not being in a position to pay for my university fees. I recalled the childhood fantasy of dreaming to be a celebrity that is read about in glossy magazines or hear about on the radio. I even went overboard by dreaming to be a famous academic, a mentor like my late*

¹ Rural area

grandmother, who lectured at the University of Lagos and never came back to democratic South Africa because of her untimely death in Nigeria. I knew I could not betray those I left behind – unfortunate millions still clutching to dreams which they were incapable of fulfilling even after *mahube a maka tsa kgomo*, the dawning of the dawn (Mbeki, 1999).

As fate would have it, the dictum² became a reality when I later met renowned scholar Professor. Odora Hoppers, who offered a safe space for me to unleash my frustrations and dilemmas. That was not all. Professor. Odora Hoppers also guided me through my quest for further education. Perhaps I must mention the fact that despite her busy schedule, Professor. Odora Hoppers did not only teach me academic skills for climbing the educational ladder, but she also did open the closed door to the amazing mysteries of knowledge acquisition. Prof. Odora Hopper’s untiring and sterling scholarship and mentorship empowered me to courageously embark upon this academic journey and my search for the Golden Fleece with caution and truthfulness.

My lifelong educational pursuit is guided by one personal value and strategy, to be the author of my own destiny. I hope that armed with this personal motto, I will not continue what African-Americans call the rat-race³ that leads to nothing or be left outside when the opportune time arrives. The “second dawning of the dawn”, to parody Thabo Mbeki’s words, envisages the walls that barred the excluded will inevitably begin to crack and fall into pieces. The crumbling of the walls of the status quo will make it possible for the historically underprivileged to have access to all the country’s material resources. The shattering of the status quo is also expected to lead to a gender-neutral, social, political and economic transformation of the country.

² An idiom that refers to the closing of one doors often leads to the opening of another door

³ Extremely busy and competitive world of work

1.2 BACKGROUND TO THE STUDY

The epigram, which opens this chapter, is taken from Mandela's Long Walk to Freedom. Mandela's prophetic words do not only expose the past and present chequered destiny of the rainbow nation, but they also foretell events that occurred after he stepped down as President of South Africa. Most importantly, the epigram canonises the enormous challenges that constrain the present concerted efforts aimed at redressing social inequalities embedded and reflected in all spheres of social life, as a product of the systematic exclusion of blacks and women under colonialism and apartheid (Badat, 2010:4).

This evaluation study on the impact of the South African Research Chairs Initiative (SARChI) on higher education is foregrounded by the racially structured political, socio-economic and social inequalities and injustices created by centuries of legacies of colonisation and apartheid during the period 1952-1994.

The research tasks that need to be performed by this study in order to achieve its fundamental intent can be highlighted by posing the following questions:

- What historical factors necessitated the creation of South African Research Chairs Initiative Programme?
- What higher education problems was the Research Chairs created to solve?
- What government policy frameworks have been designed to create an enabling environment for education to become accessible to all South Africans?
- What are the greatest constraints that impact negatively on the implementation of the higher education transformation agenda, the challenges that undermine the efforts made by universities and Research Chairs to implement their education transformation policy objectives?

- What policy implementation strategies have the SARChI adopted in order to ensure that the stated higher education transformation objectives designed by government are successfully implemented by both the Research Chairs and HEIs?

The historical perspective of the research problem needs to be reviewed. The former Minister of Education, Pandor (2005) re-confirms the general consensus of the extant literature. She declared that colonialism and apartheid rule have created the colossal problem of the social inequalities and injustice and highlighted the truism that “the worst legacy of apartheid is education (Online).

Therefore, the question that needs to be interrogated throughout the study is, *How have the Research Chairs and the HEIs responded to the three fundamental imperatives of social justice, redress and equality, the cardinal social democratic principles entrenched in the South African Constitution and other transformational policy documents?* Owing to the largely qualitative secondary textual nature of the data collected and the scanty nature of primary data collected, this study can only effectively deal with the impact of Research Chairs on the implementation of the higher education transformation agenda by adopting a mixed method approach. To provide a theoretical framework for the study, the researcher intends to frame the three pillars of the study, namely, social justice, redress and equality, within philosophical underpinnings. The theoretical structuring will consist of a blend of inclusive participatory social theories like social justice, democratic communitarian, transformational and distributed leadership.

The evaluation of the complex problem of determining whether the DST/NRF Research Chairs Initiative transformation efforts aimed at enhancing knowledge production at South African universities requires locating the research problem within the South African cultural and historical contexts. The study translates this didactic objective into reality by reviewing the relevant historical, political, socio-economic and social features of colonial and apartheid racist legislations that created, as Muller and Hoadley (2010:28)

stress, the enormous educational challenges to the South African government in its transition to democracy in 1995.

Research suggests that the major shortcomings and weaknesses of the higher education reform implementation stem from the chronic mismatch between the stated policy objectives and practices and implementation outcomes. The 2008 Final Ministerial Committee on Transformation Report indicated that there are currently two types of mismatch between policy objectives and implementation results (MoE, 2008:14). The first is the disjunction between policy and practice, which arises from poor dissemination of information pertaining to policy, limited awareness of policies, a lack of awareness of the roles and responsibilities pertaining to implementation that flow from the policies, and a lack of institutional will. The second, according to the report, is a disjunction between institutional culture and transformation policies (MoE, 2008:14). The Ministerial Report did not only report the existence of various forms discriminatory practices but also the lack of participation of all relevant stakeholders in the transformation process.

Hence, the report stated that: In view of the serious discrimination on the basis of race and gender in this investigation, it is recommended that consideration be given to the development of a transformation compact between higher education institutions and the DoE. The report also identified undemocratic leadership and governance as other constraints that impacted negatively on the transformation reform process and recommended that institutional councils should develop an unambiguous transformation framework, which should include transformation performance indicators and targets. The report recommended that the transformation performance indicators framework should form the basis of the vice-chancellor's contract. One fundamental finding that emerged from the 2008 Ministerial Committee Transformation Report on HEIs' implementation of the stated objectives of the transformation agenda centred on the effectiveness of policy implementation by HEIs, criteria that could be used to measure the SARChI's impact on universities. This discovery demands that the specific objectives of the study need to be extended to cover policy implementation strategies adopted by Research Chairs and how

HEIs have operationalized transformation policies, an area isolated by the Ministerial Committee Report for extensive criticism.

1.3 RATIONALE AND RELEVANCE OF THE STUDY

The key development issues that South African higher education has been preoccupied with during the past seventeen years are a combination of transformation efforts by the new government and responses to international trends in higher education. Universally, higher education systems are under pressure to be socially responsive to changes in society by addressing concerns such as equity, access, success, production of first-class scientific knowledge and creation of a democratic culture in the sector. In the South African context, this global trend was initiated by policy planning, implementation and evaluation of the policies planned and implemented to determine the impact thereof. The policy documents formulated during post-1994 period were informed by a culture that promoted the transformation of the higher education system. The intellectual climate was fuelled by great optimism and celebration because the legacy of apartheid injustices had been overthrown and the South African society embraced the promise of democracy.

It would appear that the current democratic dispensation in the country seems to possess all the answers to address transformation, and that the South African society has reached a state of stagnation and cannot develop further alternatives. For transformation in the higher education sector to be elevated to the level it deserves, there needs to be a revival of debate so that issues thereto related are evaluated and subjected to critical analysis. This is an important exercise that holds higher education institutions accountable for meeting the social justice imperatives and be socially responsive.

The transformation paralysis, which is currently affecting higher education, is detrimental to an important function of higher education, which is, the creation of a democratic culture. The study envisages contributing to the steps being taken to shift higher

education from the current state of paralysis to a new regime. This entails the resuscitation of the social justice agenda.

1.4 CLARIFICATION OF CONCEPTS

The following concepts are frequently referred to in the text and need to be clarified to avoid any misunderstanding or misinterpretation:

1.4.1 HIGHER EDUCATION

Higher Education is that education which, according to the national qualifications levels, is on level 5 and higher (Government Notice, 2001). According to the Higher Education Act, Act 101 of 1997 (as amended), to provide higher education means:

- Register students to complete qualifications at or above level 5 of the National Qualifications Framework as contemplated in the South African Qualifications Authority Act;
- Provide a qualification which meets the requirements of a unit standard as recognised by the South African Qualifications Authority at or above the level referred to above;
- Take responsibility for the provision and delivery of curricula;
- Assess students regarding their learning programmes; and
- Confer qualifications, in the name of the Higher Education institution concerned.

1.4.2 HIGHER EDUCATION INSTITUTION

The Higher Education Act defines a higher Education institution as any institution that provides higher education on a full-time, part-time or distance basis and which is:

- Established and deemed to be established as a public higher Education institution under this Act;
- Declared as a public Higher Education institution under this Act; and
- Registered or conditionally registered as a private Higher Education under this Act.

1.4.3 TRANSFORMATION

Transformation usually has the intent of the dissolution of existing social relations and institutions, policies and practices, and their re-creation and consolidation into something substantially new (Badat, 2009:75). These processes of dissolution and recreation may vary in pace, be uneven, and not uniformly result in a complete rupture or total displacement of old structures, institutions and practices. In the context of this study, transformation is a form of enacted change that is planned and intended to bring about significant changes in how an institution of higher learning is managed. Unlike a creative change, which is unplanned and takes place through the natural course of events, transformation is intentionally planned to alter organisational structures and relationships (Norris, 2001:52).

1.4.4 CHANGE

Change is taken to mean processes of *reform*, *reconstruction*, *development* and *transformation* in higher education. Chisholm (2004:12) rightly argues that the use of these terms interchangeably has tended to empty them of specific significance. While such processes may be related, they differ with respect to the intent and nature of change. For example, ‘improvement’ tends to be associated with limited or minor changes in existing policy, organisation or practice. Though these changes may enhance the achievement of specific goals and have an impact of considerable scope, they do not usually involve substantive changes in established policy, practice or organisation (Badat, 2009:75).

1.4.5 REFORM

Reform generally refers to more substantial changes and such changes may have considerable impact. They, however, remain circumscribed within the existing dominant social relations within higher education, and also within the wider social relations in the polity, economy and society. In short, notwithstanding that the changes attempted may be far-reaching, and may unwittingly also create the conditions for more radical change, it is not its intent to displace prevailing social relations as much as to reproduce these in new ways and forms (Badat, 2009:76). The Green Paper on Higher Education, published December 1996, preceded the White Paper on Higher Education by a few months. It laid out some similar principles, and described a national policy of quality assurance needing to be founded on a formative notion of quality assurance, focused on improvement and development rather than punitive sanction as well as a mix of institutional self-evaluation and external independent assessment, phrases echoed in the White Paper on Higher Education (Department of Education (DoE), 1996:2). It is also stated that quality is a key mechanism for ensuring the accountability and value for money of the higher education system.

1.4.6 HIGHER EDUCATION WHITE PAPER OF 1997

In December 1996, a Green Paper on Higher Education condensed to six chapters, was released. It endorsed most of the recommendations of the NCHE report, differing on the issue of governance. Instead of the two statutory bodies (the Higher Education Forum and Higher Education Council), the Green Paper proposed a single body termed the *Council on Higher Education* to regulate the sector, advise the Minister of Education on all policy matters and play the role of quality assurance.

The Education White Paper 3, summarised into 4 chapters, was released in July 1997. It built on the Green paper and the influence of the NCHE report comes through. It acknowledges several goals of higher education and suggests (ironically just when the

RDP was about to be replaced), that HE should contribute to and support the process of societal transformation outlined in the RDP, with its compelling vision of people-driven development leading to the building of a better quality of life for all. At the same time, a competitive market oriented theme, associated with the demands of globalisation expected shapes and informs some of the goals of the White Paper.

The RDP identified the following goals for higher education:

- Meeting all individual learning needs;
- Meeting the development needs of society and providing a skilled workforce for a knowledge-driven and knowledge-dependent society;
- Contributing to the socialisation of enlightened, responsible and constructively critical citizens;
- Recognising research as also an end in itself and emphasising intellectual inquiry through research, learning and teaching;
- Implementing equity and redress by ensuring that all forms of unjust differentiation are removed and equal opportunities are provided to the majority of South Africans;
- Promoting the culture of democratisation which ensures that democratic, representative and participatory governance prevails;
- Building and maintaining quality regulatory values that entail setting educational standards and ensuring that they are maintained in conformity with transformative norms, standards and ideals of excellence;
- Creating an enabling environment for development, that is, making certain that the educational system is transformed to enable it to contribute to the common good of society;
- Promoting effectiveness and efficiency to ensure that desired outcomes or objectives are achieved without unnecessary duplication and waste; and
- Creating institutional autonomy that fosters organisational choice and ensures that self regulation is embraced and facilitated (DoE, 1997:2).

The Higher Education White Paper (1997) aimed to restructure higher education into a single, national coordinated system. The document locates the transformation of higher education in the broader *political, social and economic transition*, which is constrained by globalisation.

1.4.7 TRANSITION

Transition includes political democratisation, economic reconstruction and development, and redistributive social policies aimed at equity. This national agenda is being pursued within a distinctive set of pressures and demands characteristic of the late twentieth century, often typified as globalisation. The term refers to multiple, inter-related changes in social, cultural and economic relations, linked to the widespread impact of the information and communications revolution, the growth of trans-national scholarly and scientific networks, the accelerating integration of the world economy and intense competition among nations for markets. These economic and technological changes will have an impact on the national agenda given the interlocking nature of global economic relations.

The transition process expects higher education to provide training, skills, innovations, and knowledge so that the South African economy can integrate and interact with the dominant global economy on a competitive footing. Higher education must be internally restructured to face the challenge of globalisation, in particular, the breaking down of national and institutional boundaries, which removes the spatial and geographic barriers to access education. The Higher Education Act also expects higher education to contribute towards the reconstructing of society to make it more equitable. The principles and goals further reveal the competing discourses (globalisation, empowering the people, economic needs; democracy) that coexist. It mentions the following:

- Increasing equity of access and fair chance of success while at the same time eradicating all forms of unfair discrimination and advancing redress for past inequalities;
- Teaching, learning and research to meet national development needs including employment skills training for industry;
- Supporting a democratic ethos and a culture of human rights by educational programmes and practices conducive to critical discourse and creative thinking, cultural tolerance, and a common commitment to a humane, non-racist and non-sexist social order; and
- Supporting all forms of knowledge and/or scholarship and addresses problems and/or demands of the local, national, southern African and African contexts, and upholds rigorous standards of academic quality.

1.4.8 NATIONAL PLAN FOR HIGHER EDUCATION OF 2001

The National Plan for Higher Education provided an implementation framework for the transformative vision presented in the White Paper (DoE, 2001). This National Plan outlines the framework and mechanisms for implementing and realising the policy goals of the White Paper. It is far-reaching and visionary in its attempt to deal with the transformation of the higher education system as a whole. It recognises the current strengths and weaknesses of the higher education system and is based on a developmental approach that is intended to guide institutions towards meeting the goals for the system as a whole

1.4.9 COMMISSION ON HIGHER EDUCATION

The Commission on Higher Education (CHE), founded in May 1998, forms the legislative basis outlined in the Higher Education Act of 1997, Act no. 101 of 1997. This Commission is an independent statutory body responsible for advising the Minister of

Education on all higher education policy issues, and for quality assurance in higher education and training (Council on Higher Education, n.d). The Commission's quality assurance responsibilities are delegated to the Higher Education Quality Committee (HEQC).

1.4.10 HIGHER EDUCATION QUALITY COMMITTEE

As stated above, the HEQC is a permanent sub -committee of the CHE. In accordance with the Higher Education Act of 1997, Act no. 101 of 1997, the HEQC must:

- Promote quality assurance in higher education;
- Audit the quality assurance mechanisms of higher education institutions; and
- Accredite programmes of higher education (DoE, 1997)

The Board later added a fourth directive of the HEQC, one of quality related capacity development. In line with this directive, the HEQC operates four directorates, as follows: Institutional Audits Directorate, Programme Reviews Directorate, Programme Accreditation Directorate, and Quality Promotion and Capacity Development Directorate (Council on Higher Education, n.d.).

It is clear that the visionary tone of the White Paper, speaking of quality assurance in terms of *development* and *continuous improvement* is intended to complement the legislative basis for a national quality assurance system.

The HEQC clearly defines its mandate. In accordance with the Higher Education Act of 1997, and the ETQA responsibilities of the CHE, the HEQC will:

- Promote quality among constituent providers in higher education in order to facilitate the development of quality awareness and quality responsiveness in public and private provisions;

- Audit the quality assurance mechanisms of higher education institutions;
- Accredite providers of higher education to offer programmes leading to particular NQF-registered qualifications by certifying that they have the systems, processes and capacity to do so. In relevant cases, this will be done cooperatively with professional councils and SETAs; and
- Co-ordinate and facilitate quality assurance activities in higher education within a partnership model with other ETQAs (CHE, 2001:7).

1.4.11 SOUTH AFRICAN RESEARCH CHAIR INITIATIVE

The South African Research Chairs are a strategic national intervention in the system to proactively reverse systemic malfunctioning while responding in a forward-looking way to the challenges of research and research capacity in the 21st century. The South African Research Initiative (SARChI) is a key intervention designed to address the scientific leadership development needs in the universities and is increasingly forging new public-private partnerships in order to give South African universities and industry a competitive edge. It was approved by Parliament. It is the Department of Science and Technology (DST) initiative, which is administered by the National Research Foundation (NRF).

1.5 AIM OF THE STUDY

The aim of this study is to examine how *social justice, equality and redress* are being implemented in the evolving South Africa's Higher Education policy frameworks, which are focused on South African Research Chair Initiative as an indicator.

1.6 OBJECTIVES OF THE STUDY

To achieve the above indicated aim of the study, the following objectives and targets have been derived:

- To present critical review of the apartheid policy legislations in education;
- To highlight the effects of apartheid on the higher education landscape;
- To examine the responses of higher education to the issues of *social justice, equality and redress* inherited by the apartheid system; and
- To assess the responses from SARChI as reflected in higher education policy.

1.7 STATEMENT OF THE RESEARCH PROBLEM

Much has been written on the subject of transformation in schools. However, the available literature regarding the meaning and achievement of transformation in higher education and the literature and theories around the Research Chairs are rather scanty. The paucity of the literature on the transformation of higher education as well as the relatively thin context of this subject might be attributed to the infant stages of the initiative.

This study, therefore, evaluates the impact of SARChI programmes on HE institutions and measures, through documentary data analysis and literature review, the implementation outcomes of Research Chairs and HE institutions. The thrust of the research problem focuses on attempts by government to effect transformation in the higher education sector. The study achieves this by examining the type of policies that have been put in place, their implementations and their outcomes. The study further seeks to examine not only the impact of Research Chairs Initiative Programme on the quantity and the quality of educational outputs of higher education institutions, but to also assess the constraints that have undermined and continue to undermine the transformation reform implementation across the higher education landscape.

One of the major concerns of the study, therefore, is to unravel the institutional power struggle between the beneficiaries of the legacy of apartheid segregated education system and the victims of apartheid education who seek to redress the existing racial inequalities and social injustices within the higher education institutions. The 2008 Ministerial HE

Report has confirmed research evidence that suggests that the implementation of South Africa's large-scale higher education transformational reform is constrained by massive unresolved racial and social justice agenda related issues, problems of fairness, distribution of resources, and the demographics of both the staff and students within the higher education system, especially the universities.

Hence, the study focuses on the transformation of South African higher education sector, which is aimed at enhancing equity and social justice. The SARChI Chairs have been put in place to bring innovation into the South African higher education institutions. The main purpose of using the Research Chairs as implementation drivers is to achieve the following:

- To deal with the history of the South African policy formulation and implementation;
- To highlight the views of policymakers on alternatives; and
- To bring about the Chairs' potential to break through the limiting factors.

Now that the SARChI instrument is in its fifth year of implementation, it is time to provide a scholarly analysis of its impact. The setbacks and contradictions, which are discussed above in the implementation of the policies, resulted from a number of factors. It is important to point out that these have affected the type of policies developed to transform the higher education sector. These factors also seem to have negatively impacted on the implementation of the policies. The resulting negative effects have undermined the achievements of the goals of transformation agenda in education. In the light of the above discussion, the new South Africa, especially higher education, has a large role to play in the country's transformation.

Although a lot has been written about the progress in implementing the higher education policy for addressing issues of social justice, there is little information about the root causes for these setbacks (Badat, 2004). It should be of interest and importance to understand how higher education institutions have responded to centralised policy, and

how the national and institutional policy processes work at local, or micro, level. For this purpose, the focus of this present study is on obtaining an improved understanding of the South African higher education policy process and the complex dynamics that characterises it. The study intends to achieve this objective by contributing to the theoretical literature on SARChI Programme by exploring the nature of the ‘gap’ between policy implementation and outcomes and locating the phenomenon within theoretical triangulation framework. To unravel the complexity of policy framework, which has been repeatedly identified in the literature and also highlighted by the 2008 Ministerial Committee Report, the study subjected the responses of the SARChI programme and the HE institutions to effective policy implementation to further analysis in Chapter 3 and Chapter 4.

1.8 DELIMITATIONS AND LIMITATIONS

A study of this nature is likely to have limitations and delimitations. The major limitations and delimitations are discussed below. The study undertaken by the researcher is largely involved with analyzing issues of South African higher education system, which have played a major role in advancing capacity in research, teaching, physical and human resources. The study is also concerned with the fundamental mismatches between what policies envisage and the desired practical outcomes of efforts aimed at achieving redress, equality and social justice imbalances.

The system of higher education must be reshaped to serve as a new social order that meets pressing national needs and responds effectively to a context of new realities and opportunities. This research investigation is intended to serve as the basis for such a process of transformation. It envisages a new system of higher education characterised by increased participation by all sectors of society, by greater institutional responsiveness to policy imperatives and by a new set of co-operative relationships and partnerships between higher education and the broader society. It is within the delimitation of the

study described above the researcher would like to emphasize the scope covered in this dissertation.

While the study focuses on the South African higher education landscape and the South African Research Chair initiative, the investigation only focuses on the policy frameworks of the two components of HE, and what impact/s there has been over the last 17 years. The researcher believes that the HE system plays a pivotal role in the political and social reconstruction efforts aimed at preserving what is valuable and addressing what is defective.

The study, therefore, does not focus on individual tertiary institutions. Instead, the study focuses on reviewing and submitting relevant textual data and official documents to hermeneutic-oriented analysis. The secondary textual data analysis is complemented by primary data analysis provided by interviewing the DST, NRF and a UNISA project manager within the College of Human Science.

The researcher is an employee and a student under South African Research Chair in Development Education, which is housed by the University of South Africa. The researcher understands the core business mission and vision statements of the University of South Africa. Although the researcher fully understands the three pillars (equality, redress and social justice), which are the key performance drivers of UNISA's core business, the researcher chose not to use the Chair for the research at this point in time and instead opted to focus on HE Policy Frameworks.

The research was, therefore, limited to document reviews (analysis), critical analysis (including interviews) and critical discourse analysis as opposed on doing a case study of a specific research Chair's initiatives and what role they play in allocated institutions. Therefore, scope and priority were determined by methods that would be cost-effective.

1.9 OUTLINE OF CHAPTERS

This study is divided into eight chapters. The division of the study into chapters is listed below:

CHAPTER 1: This chapter provides my educational rites of passage as a structuring framework for the whole study. The chapter also locates the investigation within its historical and cultural context. This is achieved by exploring themes that include the three pillars of social *injustice (redress, equality and social justice)*, the historical backdrop of the study, the aim and objectives of the study.

CHAPTER 2: This chapter outlines the scientific research process that entails the discussion of the different research paradigms and methods in order to identify the research path and methodology employed in this study.

CHAPTER 3: This chapter deals with the South African Higher Education Landscape pre-and post1994.

CHAPTER 4: This chapter reflects the policy frameworks (policy and its expectations) with regards to redress, equality and social justice in HE policy.

CHAPTER 5: This chapter reflects the operationalisation of policies in HEIs. This is substantiated by discussion around the response of the universities towards the demands of the Higher Education policies.

CHAPTER 6: Chapter 5 deals with the discussions pertaining to the SARChI policy framework and its response to the HE transformation agenda.

CHAPTER 7: This chapter deals with SARChI as an indicator in the HE transformation agenda.

CHAPTER 8: This chapter deals with the findings and recommendation and drawing conclusions based on the whole study.

CHAPTER 2

METHODOLOGY

2.1 CRITICAL DISCOURSE ANALYSIS (CDA)

The previous chapter locates the investigation, not only within a personal structuring framework centred on my rights of passage, but also within the history that shapes and informs the study. Chapter 2, on the other hand, focuses on the research methodology employed in this study. Cohen and Manion (1994) observe that the aim of research methodology is to help researchers understand, not only the product of scientific enquiry, but also the process itself. Anderson (1990:107), affirming Cohen and Manion observations, expatiates on research methodology by pointing out that a research method is a scientific process of inquiry devoted to addressing a research question or problem. Anderson compares methodology with *fine cooking*; a comment that highlights the need to identify and blend the different elements of the research process in order to create the most appropriate research design and methods for the study. However, the complexity of the higher education transformation policies and measures put in place to ensure their effective implementation require more than the blending of cooking ingredients. For effective implementation of policies, literature has suggested that an intricate balancing and juxtaposing of multiplicity of contested positions and conflicting stories is required.

To this end, this study focuses on the analysis of a web of policy frameworks on competing transformation policy ideological discourses, human rights, major ethical and contested issues on redress, equality and inequalities, within the South African society. Besides the above listed focal concerns, the investigation also directs attention to the unrelieved agony of those excluded from benefiting from the national resources, particularly, the denial of African students' access to equal quality higher education. Locating this cultural and historical study within a vacuum is sure to rob the investigation

of its essential historicism and African racial and cultural determinism. Hence, the hermeneutic research searchlight has to be directed at exposing the historical and the dominant contemporary hidden forces that had excluded and have continued to exclude the weak and the disadvantaged from having access to the material resources of the country, particularly quality higher education.

The massive qualitative data collected composed of competing discourses or texts that can best be interrogated through a blend of analytical techniques, including critical discourse analysis (CDA) methods. Framing the study conceptually requires locating the research within theoretical underpinnings that include social justice, democratic communitarian, transformational, distributed leadership, pragmatic theories and critical discourse analysis (CDA) approach.

Owing to the fact that the study involves mainly, the interpretation of secondary textual data composed largely of policy frameworks, the execution of the research enterprise is dominated by one fundamental critical research method, the critical discourse analysis. Hence, the dominant analytical and interpretative tool used throughout the study can be identified as critical discourse analysis. Like the literary research which relies solely on the multiplicity of interpretative devices inherent in critical discourse analysis research, this study relies heavily on literary research techniques embedded in CDA in order to achieve its didactic research objectives.

The question that needs to be confronted now is, “*What does critical discourse analysis mean?*”. The definition of critical discourse analysis offered by van Dijk (1998:1) does not only elucidate this study’s major concerns, but it also illuminates the thrust of the whole study. Van Dijk (1998:1) describes CDA as follows: “Critical Discourse Analysis is the type of discourse analytical research that primarily studies the way social power abuse, dominance and inequality are enacted, reproduced and resisted by text and talk in the social and political context”.

The researcher's personal philosophy and ideological orientation, that of which is concerned with the non-compromising rejection of the wide range of discrimination and inequality that characterise South African society, and which informs this research project, is exposed by what van Dijk described as the *social power abuse, dominance and inequality*. That CDA focuses on social inequalities and the need to redress is highlighted by van Dijk. In answering his own question posed as *What is Critical Discourse Analysis?*, van Dijk explains that critical discourse analysts take explicit position, and thus want to understand, expose and ultimately to resist social inequality.

Critical Discourse Analysis research have highlighted the vital role played by critical discourse analysis techniques in exposing all forms social iniquities and redressing the studies (Haberman, 1973; Fairclough, 1993; Van Dijk 1993; McGregor, 2003). These studies suggest that discriminatory hegemonic discourses and imbalances are normally created by power-hungry political groups and social elites. Van Dijk (1993, 1998) further points out that in the context of CDA, *dominance* denotes the exercise of social power by elites, institutions and groups that manifest in social, cultural, class, racial and gender inequalities.

Guided by the insights provided by literature review on CDA, the study focuses more on the top-down relations of dominance (policy) that fuels continuing racial discrimination in higher education institutions, which the 2008 Final Report of the Ministerial Higher Education Committee isolated for criticism. The study posits that the thematic structural unifier, which links all the pieces of the multiplicity of the competing ideas and voices and threads through the whole study, is the endless probing and unravelling of the cultural and historical factors that continue to undermine the higher education transformation agenda.

2.2 QUALITATIVE METHODS

The study used qualitative methods. Creswell (1994:2) defines a qualitative study as an inquiry process of understanding a social or human problem, based on building a complex, holistic picture, formed with words, reporting detailed views of informants, and conducted in a social setting. Babbie and Mouton (2001:646), however, describe the qualitative research paradigm as that generic approach to social science according to which research takes the departure point as the insider perspective on social action.

According to Babbie and Mouton (2001), qualitative researchers always attempt to study human action from the insiders' perspective (also referred to as the 'emic' perspective). The goal of qualitative research is identified as describing and understanding, rather than the explanation and prediction of human behaviour as demanded by quantitative research. The emphasis in qualitative is on methods of observation and analysis that 'stay close' to the research subject (Babbie & Mouton, 2001). Babbie and Mouton (2001: 53) reveal that there are a number of other terms that are often used as synonyms for qualitative research, which include *ethnography*, *field research* and *naturalistic research*.

Creswell (1998) defines qualitative research as follows:

Qualitative research is an inquiry process of understanding, based on a distinct methodological tradition of inquiry that explores a social or human problem. The researcher builds a complex, holistic picture, analyses words, reports detailed views of informants and conducts the study in natural setting.

The thrust of the study is to understand the complex phenomenon under study, which is the South African higher education transformation agenda. Babbie and Mouton (2001)

and Creswell (1998) have underscored fundamental preoccupation of qualitative research methodology understanding.

According to Denzin and Lincoln (2003: 4-5), however:

Qualitative research is a situated activity that locates the observer in the world. It consists of a set of interpretative and material practices that make the world visible. These practices transform the world. They turn the world into a series of representation, including field notes, interviews, conversations, photographs, recordings and memos to the self. At this level, qualitative research involves an interpretative and naturalistic approach to the world. This means that qualitative research may study things in their natural setting, attempting to make sense of, or to interpret, phenomena in terms of the meanings people bring to them.

In the literature reviewed above, the authors have pointed out that qualitative researchers make no attempt to hide their biases, but make them explicit. In other words, objective observation is impossible. The position of Denzin and Lincoln (2003) also reveals that the qualitative researcher has at his or her disposal a variety of methodologies and tools to use in gathering data while taking into cognizance the meanings that participants bring into the research endeavour.

A qualitative paradigm allows freedom and natural development of action and presentation since this is exactly what the researcher wants to capture. Henning, van Rensburg and Smit (2004:3) make a very powerful statement with regards to the qualitative paradigm: We do not just look at the actions of human beings, such as their speech and writing, but we also try to find out how they represent their feelings and thoughts in these actions. Similarly, Sherman and Webb (1995:4) see a qualitative researcher as being interested in the motives and aims, not just the behaviours of the subjects. Greene, Caracelli and Graham (1989), as quoted by Sherman and Webb

(1995:4), define qualitative research as an effort to comprehend, not only the methods of cultural arrangements, but also the way in which those arrangements are experienced by individuals. Shimahara (2002) posits that human behaviour is shaped in context and that events cannot be entirely understood adequately if separated from their contexts as in empirical research. The above view is further confirmed by Giarelli and Chambliss (1984), cited by Sherman and Webb (1995:5), who claim that, in general, inquiry, which normally is bounded and cannot be abstracted or approached, tends to focus on natural settings, hence it being called *naturalistic inquiry*.

Furthermore, Sherman and Webb (1995) have warned that researchers should not allow things to be taken for granted and recommend that the subjects under study must speak for themselves. Sherman and Webb (1995) also observe that experience is to be taken and studied as a whole together with all the related features of experience. Lincoln and Guba (1985) contend that qualitative research implies a direct concern with experience as it is *lived or felt*, a commentary that aptly sums up the views outlined above. The qualitative research investigation should, therefore, according to Sherman & Webb (1995:7), transport the reader to the scene, convey pervasive qualities or characteristics of the phenomenon and evoke the feeling and nature of the educational experience.

Another feature of qualitative inquiry is judging or appraising. In their explication of this qualitative feature, Sherman and Webb (1995:7) observe that:

Judging is an appraisal of the qualitative situation, the relation of parts and whole, and an indication of the potentialities that can be sought from the actualities. Judging is a means of keeping the enquiry going and for keeping it pertinent to the problem and its solution.

Sherman and Webb (1995) also have pointed out that research inquiry is set in motion when there are doubts about authenticity of research interests or values. Research

suggests that it is risky for a researcher to conclude that one form of inquiry is better than the other, since methods of inquiry often complement one another in order to produce the *fine cooking* result Anderson (1990) referred to. Struwig and Stead (2004:11-16) confirm the view that other terms are used as synonyms for qualitative research when they observe that there are many forms of qualitative research approach.

Qualitative research seems to have derived its name from the fact that it is non-numerical. Winberg characterises qualitative research as:

- Inductive – qualitative researchers form their understandings during the research process;
- Holistic – qualitative researchers look at people in their contexts;
- Sensitive – qualitative researchers find difficulty taking themselves out of the study - it reflects on their subjectivity;
- Humanistic – qualitative researchers get to know research participants personally and experience what they go through daily; and
- Validity is emphasised – qualitative researchers stay close to the real or empirical world (Winberg, 1997:41-43).

With regards to the SARChI programme, this study adopts a qualitative approach in deciphering the quantitative results of the evaluative study which the NRF had commissioned. The NRF study was aimed at determining whether SARChI Chairs had succeeded in implementing the policy objectives successfully. The study used qualitative evaluative research method. Both primary data and the existing qualitative secondary data collected required narrative and interpretative qualitative methods, which are described in literature by different terms.

2.3 EVALUATION RESEARCH METHOD

The methodological focus of the study is to evaluate the effectiveness of the SARChI programme in implementing national policy frameworks aimed at transforming and enhancing disadvantaged students' access to quality higher education. Wimmer and Dominick (2000:427) define evaluation research as a small-scale environmental measuring programme designed to measure an organization's social performance. According to Babbie and Mouton (2001:356), potentially, one of the most taxing aspects of evaluation research is determining whether the programme under review succeeded or failed.

Research suggests that since the people responsible for the educational training programme might have committed themselves in advance to a particular outcome that will be considered an indication of success, the researcher needs to compare these success criteria to her results in order to make conclusions. Babbie and Mouton (2001:356) advise that if this is the case, all the researcher needs to do is to ensure that the study is appropriately designed to "measure the specified outcome".

Studies suggests that evaluation research is conducted for many different purposes. Three of the most common purposes have been identified by Babbie and Mouton (2001:369):

- Judgement-oriented evaluation[s];
- Improvement-oriented evaluations; and
- Knowledge-oriented evaluations.

Babbie and Mouton (2001:369) have also identified four types of evaluation:

- The evaluation of need (needs assessment studies);
- The evaluation of process (programme monitoring/process evaluations);
- The evaluation of outcome (outcome and impact evaluations); and
- The evaluation of efficiency (cost-benefit and cost-utility analyses).

Babbie and Mouton's (2001:369) comment on the evaluation of outcome and the logic that drives the evaluation studies is that they should determine whether there has been a positive change over time; and that such change is in fact due to the intervention and not to extraneous factors. The description and types of evaluation research provided above by Babbie and Mouton (2001) crystallises the one of the major preoccupations of the SARChI research.

2.4 FACE-TO-FACE UNSTRUCTURED INTERVIEWS

The researcher employed face-to-face unstructured interviews focused on the positions of the individual experts interviewed. The interview scheme was distilled mainly from the preliminary analysis of secondary documentary data and relevant extant literature and research questions. The unstructured face-to-face interviews targeted three key-informants from the DST/NRF SARChI programme situated at UNISA.

Valdez and Bamberger (1994:330) report that face to face interactions has the irreplaceable character of non-reflectivity and immediacy that furnishes the fullest possibility of truly entering the life, mind and definitions of the other as this other conceives it. The face-to-face unstructured interview methods used enabled the researcher to obtain information on the implementation of policies in the higher education sector in general. Participant observation, unstructured interviews and face-to-face interactions enabled the researcher to obtain views and opinions of people on the implementation of policies.

2.5 ETHICAL ISSUES

Efforts were made to maintain confidentiality of the participants since the researcher has to earn trust from different stakeholders, who divulged information that perhaps was not supposed to be shared with people outside their organizations and institutions. This is very important because as a researcher who has her own values and convictions which are likely to affect the researcher's viewpoint on the way transformation in the higher education sector has taken place and the policies that have been put in place. The researcher's personal views of the world and intellectual make-up might also affect the way the data from three key-informant interviewees is interpreted. Being able to discuss the draft findings with the key-informants is also one of the ways of addressing the above imitation.

2.6 CONCLUSION

Adopting the critical discourse analysis and blending it with an interpretive qualitative methodology, the researcher was able to derive the multiplicity of triangulated advantages inherent in mixed-methods approach. The multiple techniques woven into the methodology include participant observation, unstructured interviews, face-to-face interactions for data collection, *narrative-cum-hermeneutic*, and content and document analysis methods for analyzing data. The mixed methods approach outlined in this chapter is further enhanced by theoretical triangulation that frames the entire study. A combination of such methods was intended to help the researcher conduct an in-depth examination of the process of policy processes in South African higher education system.

CHAPTER 3

THE SOUTH AFRICAN HIGHER EDUCATION LANDSCAPE PRE 1994

3.1 INTRODUCTION

While the previous chapter was concerned only with mapping out the appropriate research methodology for the study, Chapter 3 focuses mainly on the impact of SARChI Chairs on the higher education transformation agenda, a culturally-laden research that requires a scholarly evaluation of the impact of the SARChI Chairs on HEIs. Studies seeking to address the social injustices created by legacies of colonialism and apartheid need to be located within their historical context. The study intends to achieve the historicising of the investigation within the appropriate realistic historical context by analysing the apartheid philosophy and some of the legislations and the historical factors that account for the current lingering racial segregationist features of schools and the higher education sector.

Research studies have confirmed that racially structured legislations were responsible for the patent inequalities in educational provisions (Troup, 1977; Nkomo, 1990; Kallaway, 2002; Muller & Hoadley, 2010). Some of the apartheid legislations led to the banning of educational organisations and information, the practices of discrimination in education, the misrecognition and non-recognition of non-white views and experiences in the construction of knowledge in South Africa. The next section deals with some of the apartheid policies and legislations that created the current imbalances and inequalities that hinder concerted efforts to promote equal quality education within South Africa.

3.2. APARTHEID GOVERNANCE

3.2.1 The founding and early history

The extant literatures reveals that before the National Party's (NP) assumption of political power, adoption and propagation of apartheid ideology, there was a host of segregationist legislative acts passed by government, which had all the elements of apartheid ideology. The following Acts were included in segregationist Acts passed by the Union government:

- Mines and Works Act No. 12 of 1911, Mines and Works Act No. 27 of 1956 and Mines and Works Act 73 of 1973, which stated that black people could not be promoted to positions of authority over whites, and that blacks could not be foremen, mine and factory managers and that white people should have higher salaries than black people at all times;
- The Natives (Black) Land Act No. 27 of 1913, which attempted to reduced all black people in white owned rural areas to tenant or wage labour and limit black people to use 13,7 percent of the total of South African land;
- The Natives (Black) Urban Areas Act No. 21 of 1923, which implemented the subordination and exploitation of black people by establishing segregation in the cities and forced black people to carry special documents at all times in order to be allowed to stay in the cities; and
- The Representative of Natives Act, No. 16 of 1936, which weakened the political rights of black people in the Cape Province by removing qualified voters from the voters' rolls (Spepherd, 1941).

Dubow (1995:164) argued that the above Acts of Parliament were interpreted as integral parts of a unified ideology of segregationist policy that did not only deny black people their basic human rights but also kept them segregated in their own predominantly rural

areas. Research studies (Ngcokovane, 1989; Davenport, 1991; Worden, 1994) have identified D.F. Malan as the first NP politician to have entrenched the usage of apartheid ideology in South African politics, when he assumed power in 1948. It is reported that Malan promised his followers, the Volk, that non-whites would *be put in their place* (Ngcokovane, 1989:56). Malan was also reported to have assured the Volk that the Native reserves would become *the true fatherland of the black people* (Carter, 1966:4).

According to Readers Digest (1992:514), as an official government policy since 1948, apartheid invoked racial separation at all levels and embraced the following ideas:

- Apartheid was designed to segregate the South African population which consisted of four racial groups, namely, white people, coloured people, indians and black people; and
- Apartheid was a policy of *baasskap*, which literally means 'boss-ship'. The NP apartheid political ideology stipulated that whites were bosses (supremacists) whereas the black people were servants (inferior beings). From a Calvinistic point of view, the white people thought that they were superior to all other non-white people in South Africa.

However, Brown (1988/1989) and Worden (1994) have observed that apartheid or segregationist policies and attempts to classify the South African population were already evident centuries earlier since the beginnings of colonisation of Southern Africa. The historical data suggest that by the end of the 18th century, certain racially discriminatory regulations were imposed on indigenous Africans but it was only the period between the Anglo-Boer War in 1902 and the 1930s (after the establishment of Broederbond in 1918) that a cogent ideology of segregation emerged and was implemented (Worden, 1994:72). Although apartheid started as an Afrikaner-centred political ideology characterised by preferential benefits for Afrikaners, it managed to get broader white support as it also provided distinct advantages for the white English speaking population (Henrard, 2002:19). Research (Kashula & Anthonissen, 1995; Bennett, 1995) argues that the stated

objectives and fundamental tenets of apartheid were not only grounded on the political ideology of “divide and rule” but they were also aimed at foisting apartheid denigrated social roles upon the indigenous Africans and denying them social justice and equal rights, ensuring white survival and supremacy by dividing non-white population along racial and even ethnic lines (Henrard, 2002:19). Through the divide and rule ideological tactics, the apartheid regime successfully disenfranchised the indigenous Africans while giving the white privileges, especially the white Afrikaner population.

The colonial and the apartheid rule outlined above amounts to a celebration of an autocratic social order that subverts what Rawls (1971) calls the *first virtue of social institutions*. Rawls’ (1971) contends that a well-structured society cannot function harmoniously and be capable of overcoming its challenges without citizens with highly developed moral sensibilities:

If men’s inclination to self-interest makes their vigilance against one another necessary, their public sense of justice makes their secure association together possible. Among individuals with disparate aims and purpose, a shared conception of justice establishes the bonds of civic friendship, the general desire for justice limits the pursuit of other ends. One may think of a public conception of justice as constituting the fundamental charter of well-ordered human association (Rawls, 1971:5).

The colonial and apartheid society founded on *segregationism* did not require individuals with highly developed moral sensibilities to disenfranchise, and render 89% of the South African non-white population voiceless, disempowered second-class citizens. In his article *Enhancing Our Freedoms: Education and Citizenship in South Africa*, framed within the Rawlsian social justice of what is right and just, Soudien (2006: 2) argues that:

Central to Rawls’ argument is the idea that justice is concerned with establishing the priority of that which is right over that which is good. While

goodness can be determined in different kinds of ways, the principles of what is right and just place limitations on the individual's ability to privilege his or her own best interests.

3.3 POLITICS AND SOCIETY

The human societal desert created by colonialism and apartheid denigrated all the fabrics of non-white population's humanity. One of the most destructive apartheid ideological strategies was the official language policy that excluded all indigenous African languages and recognised only Afrikaans and English. The outcomes of the non-recognition of indigenous languages were job reservations for Afrikaners in the public service and the sustained promotion of the Afrikaner people through a highly racially-structured and segregated education system that nurtured white Afrikaners (Pelzer, 1966/1980; Wilkins & Strydom, 1978). Hence, the apartheid political ideology structured around racial inequalities and repressive social injustice was aptly categorised as a pervasive system of affirmative political framework for the white colonists, especially for white Afrikaners (Sachs, 1992; Sonn, 1993).

The plethora of apartheid regulations and legislations that created the racial classifications was not only based primarily on targeted racial group memberships. The first target of these racially-structured segregationist regulations and legislations were the black populations, ethnic groups such as the Xhosa, Zulu and Ndebele, who were submitted to an endless cycle of oppression and humiliation to prevent unified black resistance to apartheid rule (Manby, 1995; Kotzé, 1997). The apartheid racial classification policy based upon the 1950 Population Registration Act distinguished four major racial categories – white, black/African, coloured, and Indian/Asian. To strengthen the divide, the apartheid government self-consciously created an immediate position for coloured and Indian communities (Carrim, 1996).

The anti-democratic social order created by colonialism and apartheid rule was in opposition to African humanistic cultural values and the participative tenets of democratic communitarianism. Bellah (1995/96), professor of sociology at the University of California, Berkeley, crystallises the sentiments and African communal-oriented cultural ideals that currently drive the South African transformation reform process of higher education institutions.

The positive versus negative response to the word “community” unfortunately triggers from the majority of human beings and academics, and are highlighted by Bellah (1995/96:49) as follows:

The word “community” leads a double life. It makes most people feel good, associated as it is with warmth, friendship, and acceptance. But among academics the word arouses suspicion. Doesn’t community imply the abandonment of ethical universalism and the withdrawal into closed particularistic loyalties? Doesn’t it perhaps lead even to ethnic cleansing?

In his defence of the misconceptions about communitarianism, which invokes the African philosophy of *ubuntu* or humanism, Bellah (1995/96: 52-54) identifies four basic values of communitarianism, namely, human dignity, liberty, responsibility, and open discourse. Bellah’s four basic tenets of democratic communitarianism do not only re-echo the fundamental ethical and democratic ideals entrenched in the South African Constitution, which inform the higher education reform process, but also the three determinants of the Research Chairs Initiative Programme, which are, redress, social justice and equality.

This preferential treatment accorded coloured and Indians was intended to make the black population feel that in apartheid classification of the races, the indigenous people were considered the most inferior. The rigid apartheid classification of the people of South Africa was implemented and further extended to cover every fabric of human existence through various pieces of apartheid legislation.

The most important of the Acts that nourished the heinous pervasiveness of classification and associated compartmentalisations of the inhabitants of South Africa (Davenport, 1991) include the following:

- The 1950 Group Areas Act, which was implemented nationwide and obligatory residential segregation leading to forceful removals of non-white communities from their ancestral lands;
- The 1953 Reservation of Separate Amenities Act, which established obligatory segregated of all public amenities;
- A host of pass laws and labour control legislation, which were aimed at supporting the segregated residential framework and instituting migrant labour for black South Africans;
- The 1953 Bantu Education and related Acts that established the segregation in education; and
- The 1959 Promotion of Bantu Self-Government Act (Davenport, 1991).

The 1959 Act created the foundational basis for the independent homelands policy or *Bantustans* or *Grand Apartheid* (Davenport, 1991:336-341).

3.4 EDUCATION AND SOCIAL JUSTICE

According to Bennett (1995:7), Verwoerd and his successors put into operation a broad racially-motivated master plan of political and social engineering described as “separated development” or grand apartheid, which was aimed at concentrating and limiting indigenous African political rights to the respective, ethnically defined *Bantustans*. Worden (1994:110-111) argues that the intended objective of separate development was that ethnic homeland loyalty was to replace national political aspirations in a move which the state hoped would defuse calls for the moral necessity of African self-government within South Africa itself.

The comprehensive, racially-constructed, political and socio-economic mechanisms created by colonialism and apartheid rule to exclude non-white populations in South Africa have not only violated the three basic tenets of democratic communitarianism underpinned by Bellah (1995/96) above, but they have also become a centre of criticism for social justice, leadership and pro-democratisation theorists. One of such theorists is John Rawls, whose social justice theory contends that all persons are free and equal. According to Rawls' conception of social justice, the freedom of all human beings inheres in their possession of two moral powers, a capacity for a sense of justice and for a conception of the good (Rawls, 1996:19).

Rawls (1996:19) defines the first moral power, a sense of justice, as the capacity to understand, to apply, and to act from the public conception of justice which characterizes the fair terms of cooperation. This sense of social justice denotes a willingness to act in relation to others on terms that they also can publicly endorse. The second moral power, a conception of the good, includes a conception of what is valuable in human life.

The segregationist political philosophy and social concepts that drove the white supremacist political ideology that concentrated all elements of leadership in the hands of the white minority ignored all democratic leadership theories and focussed on the traditional top-down approach to leadership. This non-inclusive and non-participative undemocratic transformational leadership is categorised as 'great man' leadership theories (Bolden, Gosling, Marturano & Dennison, 2003:6). This is the same brand of governance/leadership styles criticised by the 2008 Final Report of the Ministerial Higher Education Committee.

The historical overview of apartheid rule and its subjugation of the indigenous peoples of South Africa created the chronic educational problems and challenges that plague post-apartheid South African education landscape today. The first problem created by the colonial and apartheid legacies is racially segregated structure of the South African education system, which was characterised by distinctive differences in state funding. The state funding was allocated according to apartheid racial classifications. The white

child received R1 211.00, the Indian child received R771.00, the Coloured child received R498.00 and the black child received R146.00 (Youth Group Fact Sheet 1, 2011:1). The racially-structured state funding system impacted negatively upon teacher/pupil ratio, qualifications of the teachers and other quality dynamics. The studies conducted by Davenport (1991) and Dube (1985) reported that the apartheid school curriculum was also self-consciously designed along racial lines. The ideological and political purpose racially-structured curriculum was to ensure that different racial groups could be educated and prepared for the jobs they were meant to do.

Thus, the above – mentioned two authors described *Bantu Education* or the education system for indigenous Africans as an educational system, which created a subordinated position in the workplace by focusing on practical subjects and inferior curriculum (Davenport, 1991:535; Dube, 1985:93-97). This view was also presented by Christie and Collins (1979), who argued that apartheid schooling was designed and motivated to ensure that *white* South Africans were schooled in order to take on management positions in society and to be dominant in economic, political and social areas of South African society, whilst black South Africans were being schooled explicitly to take on menial, un/semi-skilled, inferior positions, particularly in the economy.

The higher education sector did not escape the negative effects of the legacies of colonialism and apartheid racist rule. The higher education system was re-structured to operate as segregated system from 1959 and most of the faculties in the open universities denied African, Indian and Coloured students access and separate ethnically defined institutions of higher education were established as agencies of academic apartheid (Davenport, 1991:535).

Language policy has been used as an ideological instrument in enhancing the hegemonic agenda of the white rulers. Under apartheid, English and Afrikaans were the only official languages and mediums of instruction, an ideological strategy that projected African languages as inferior and ensured that both in the workplace and acquisition of education

African students' academic performance should be hampered by the need to use foreign languages. The most destructive goal of the language policy was to limit black access to employment. Henrard (2002:21) observes that the sudden change from mother tongue instruction to the double medium or 50/50 policy (English/Afrikaans) caused a great deal of the educational backlog among African students and caused major upheavals, for example, the Soweto Uprisings.

The socio-economic effects of colonialism and apartheid during the period 1652-1994 on non-white populations were horrendous and inhumane. The scale of poverty endured by non-white groups, especially rural black South Africans under apartheid, who continue to endure worse forms of abject material deprivation in post-apartheid South Africa, is linked to the dispossession of indigenous people of their land that began in 1652 on the Cape and reached its climax in the 1970s.

The post-apartheid educational transformation process initiated by the South African government since the demise of apartheid in 1994 has been dominated by reform efforts aimed at addressing a history of political exclusion, racial and class discrimination and inequality (Henrard, 2002:22). These were chronic iniquitous problems associated with the racially-structured and fragmented educational systems created by 342 years (1652-1994) of colonialism and the apartheid. The ethical dimensions of black South Africans' exclusion from all forms of democratic participation in political, economic, and social affairs of apartheid South African society during the period 1652-1994 are illuminated by John Rawls' *Justice as Fairness: A Restatement*. According to Garrett (2005:2), Rawls' theory of justice as fairness develops principles of justice to govern a modern social order, democratic principles of social justice and human rights 89% of South Africans were denied.

The dark period of colonialism and apartheid can be viewed as centuries of democratic wasteland that rejected what Rawls' (1996) *Political Liberalism* advocated for, namely, the wellbeing of a healthy human social order. Rawls (1996:14) indicated that we need to

think of human society as a fair system of cooperation over time, from one generation to the next. Both the *colonial-cum-apartheid* past and post-apartheid black South Africans, particularly poor rural majority, are denied the full-measure of social justice that provides a moral framework for modern democracy to come to full expression (Rawls, 1971). In contemporary South Africa, poor black South Africans have not achieved full political and economic freedom, but only the right not to be oppressed. The truth is we are not yet free: we have mainly achieved the freedom to be free, the right not to be oppressed (Mandela, 1994:751).

From 1970 till the demise of apartheid, black people were deprived of their citizenship. Instead they legally became citizens of one of ten tribally-based self-governing homelands or Bantustans, four of which became nominally independent states. The government segregated education, medical care, beaches and other public services, and provided black people with services inferior to those of white people. Empirical research evidence has established a powerful correlation between educational outcomes of disadvantaged African students and entrenched poverty created by centuries of colonisation and apartheid.

3.5 LEGACY OF APARTHEID: POVERTY AND INEQUALITY

In her article titled *Rural Poverty in the Eastern Cape Province: Legacy of Apartheid or Consequence of Contemporary Segregationism?*, Westaway (2012:115-116) argues that:

Segregationism was a foundation stone of South Africa in 1910, and that it remains the foundational importance today, 100 years later. I used the term 'segregation' in its classic sense, to refer not to racism per se, but rather to the reservation of certain portions of the landholdings of a nation-state for particular racial groupings, and the governing of these reservations in specific ways. I concur with the overall thesis of Mahmood Mamdani, who describes 1994 as having institutionalised de-racialisation, but not democratisation (Mamdani, 1996). That is

to say, those portions of the country (particularly the Eastern Cape) that were reserved for designated African groups in terms of the 1913 Land Act, are still, after 1994, governed directly and differently from the rest of South Africa. The people of Port Elizabeth, Grahamstown and East London, black and white, are governed by rights, democracy and development. The people of Keiskammahoek, Cofimvaba and Lusikisiki, all black, are governed by custom, tradition and welfare.

Westaway's (2012) thesis contends the seizure of black land that began when the first Dutch settlers seized the land and cattle from the indigenous African people on the Cape in 1652 and turned the indigenous owners of the land into landless slaves has not been redressed in the post-apartheid Eastern Cape Province. The dispossession of African land and the passing of series of racist legislations that reduced the inhabitants into *aliens* in their aboriginal country reached its zenith in 1970 with the establishment of Bantustans, a grand apartheid political design that trapped the majority of the South Africans (blacks) in abject poverty. The centuries of colonial and apartheid agonising segregationist machine laid the foundation stone to the racial injustice and inequalities that shackled and continue to entrap the rural black South Africans in endless cycles of abject poverty and unrelieved suffering. The endless post-apartheid effects of 342 year colonialism and apartheid are graphically captured by Westaway's (2012) doctoral historical research study conducted on the Eastern Cape Province:

General poverty: The average monthly income in the Eastern Cape [Exchange rate was approximately 1US\$ – 6.3 ZAR] was R1 756.

West/ East: The further west a household, the better off it was (Nelson Mandela Metro, R2 438), and the further east a household, the poorer it was (Alfred Nzo District, R1 240).

Male/ Female: Male-headed households earned significantly more (R2 100) than female-headed households (R1 400).

Rural/ Urban: Rural households earned far less than urban households (R1 276, as compared with R2 357).

Seventy-three per cent of the rural people in the Eastern Cape were living on less than R300 per month in 2005/06, and more than half of them on less than R220 per month, which is well below the poverty line drawn by the Presidency in 2008.

The socio-economic inequalities outlined above provide empirical evidence that supports the thesis of how the racial politics of colonialism and apartheid had succeeded in creating eternal racially-differentiated socio-economic, unjust and gender inequities that have defied post-apartheid higher education transformation efforts. The recent mass protests of service delivery and redressing of chronic inequalities have re-enacted the futile apartheid attempts to quell the youth mass protests of the 1980s against the centuries of social injustice and blatant legal discriminatory legislations that reduced non-white populations into paupers and slaves in their own aboriginal country.

The 1980s apartheid reforms failed to quell the mounting opposition, and in 1990 President Frederik Willem de Klerk began negotiations to end apartheid. The negotiations culminated in multi-racial democratic elections in 1994, which were won by the ANC under Nelson Mandela. Despite the political achievement of political freedom from apartheid enslavement, the vestiges of apartheid still shape South African politics, education and society.

3.6 THE POST APARTHEID POLICY STRUGGLE

The post 1994 election period witnessed the formulation and implementation of different policies. These policies were geared towards bringing fundamental transformation of South African education from a racially segregated and differently resourced system into a desegregated and more equitable one. Policies were formulated and implemented in different areas. These policy areas included:

- Democratic governance and democratising relations within and outside the state;
- Establishing of sound management systems at national and provincial levels to drive reforms;

- Reviewing and strengthening resource allocation on the basis of redress and equity at all levels;
- Taking the discourse of education policy and reform into the public arena for debate and discussion; and
- Transforming learning by offering a curriculum that would shape future possibilities for education and training (DE, 1995).

Education was one of the major sectors that exacerbated the human injustices of the Apartheid regime. The segregated and fragmented educational systems created by apartheid legislations were already discussed. The enormous challenges created by the past social injustice and dehumanizing inequalities, which resulted in untold suffering and denigration of human dignity, appear to have defied all post-apartheid transformation efforts aimed at redressing the social iniquities. Both the pre-apartheid and post-apartheid leadership styles that have tended to be dominated by what leadership theorists describe as “the heroic paradigm” do come under criticism in recent government report on transformation report in higher education institutions (Burns, 1978; Bass, 1990; Yuki, 1994).

The 2008 Report of the Ministerial Committee on Transformation and Social Cohesion and the Elimination of Discrimination in Public Higher Education Institutions highlighted weak governance or flawed institutional leadership as one of its findings. The report stated that:

The major conclusion to which the Commission came upon reviewing the efficacy of Councils in providing leadership in the higher education institutions, is that several of them had failed to realise the full scope of their responsibilities in respect of transformation. The Committee frequently encountered passivity and dependence on management on the one hand, and a deference to alumni on the other. In the light of this, the Committee:

- Recommended that the Minister initiates a review of the size and composition of Councils in particular, in order to assess the appropriate balance between external and internal members, such as donors, the convocation and alumni on councils;
- Welcomed and supported the review of the role and functions of the Institutional Forums (IFs) that the Minister has initiated, as it is of crucial importance that the role of the IFs be strengthened; and
- Recommended that the DoE facilitate the training of Council members, including holding an annual conference during which the role, functions and performance of Councils are reviewed (MoE, 2008:17).

The report did not only underscore how poor leadership styles impacted negatively on the quantity and quality of the overall performance of higher education institutions, but also reiterated that the poor leadership performance of higher education institutions should be addressed. The second call to universities to remedy their leadership weaknesses was made in concluding remarks of the report (DoE, 2008:21), which indicated that it is recommended that institutional Councils should develop a clear transformation framework, including indicators accompanied by targets. This should form the basis of the vice-chancellor's performance contract.

The report also found gaps between transformation policies and implementation results and recommended solutions for these shortcomings. For example, it was pointed out that there was an absence of general transformation in the majority of the institutions in the country. To remedy this policy implementation failure, it was recommended that institutions should develop for themselves a transformation master plan that could serve as guideline and accounting instrument for change applicable to everybody who forms part of an institution. One of the findings of the report was that the freedom and right of students to organise along political lines had been taken away at some institutions and it was recommended that this democratic right should be reinstated.

The final recommendation aimed at redressing social injustice, inequalities and poor leadership styles that impact negatively on higher education knowledge production. The final recommendation suggests that every institution, via its Council, establishes an office of the Ombudsman, who would need to be independent of the institution and would receive and deal with all complaints relating to discrimination within that particular institution.

3.6.1 Leadership in Higher Education

As already indicated, the 2008 Ministerial Committee Final Higher Education Evaluation Report castigated the autocratic leadership styles that impacted negatively on knowledge production. The leadership style categorised as *great man leadership* or *heroic leadership paradigm*. The great man leadership or heroic paradigm leadership theories are based on the notion that leaders are born and not made. They are perceived as a select few people who are born with the unique set of skills and have rare leadership qualities/traits. The term *man* is deliberately used because since the twentieth century, the concept leadership is primarily regarded as male, military and Western (Burns, 1978; Baas, 1990; Bolden, Gosling, Marturano & Dennison, 2003).

The great man leadership theory (the oldest trait leadership theory), which appears to dominate the South African higher education landscape and politics, and is identified as one of the negative factors that continue to undermine the transformation process, is defined as *the heroic leader* image that characterises leaders as front and centre, directing the activities of others, *being in charge*, a non-participative, non-community-based, undemocratic leadership styles that treat all others as subordinates.

Commenting on this top-down approach to leadership, Harris (2004:123) argues that the *hero paradigm* leadership emphasises the capabilities of one person to transform and improve an organisation. The school leader, which is the Vice-Chancellor, and the research chair, is the goalkeeper of change. Drawing on the study by Beairsto (1999:7-9), Lazaridou and Fris (2008:2) argue that the heroic image of leaders is very clearly operationalized in bureaucratic hierarchies and structures, whether they approximate the

classic machine bureaucracy postulated by Max Weber or variants like matrix, professional, and ad hoc organizations. Leadership in such organizations adheres to the core tenets of bureaucracy, hierarchies, rational-legal influence, rules specifying acceptable behavior, and close supervision.

Keeping with the top-down heroic tradition that ignores all other opposing views, Northouse (2005:3) has defined leadership as a process whereby an individual influences a group of individuals to achieve a common goal. Northouse's (2005:4) further explication of leadership states that leaders and followers need to be understood in relation with each other, an explanation that ushered in *distributive leadership*. The study argues that *distributive leadership* is the most appropriate leadership style for both school and higher education systems.

Research studies on implementation of large educational reforms across the globe have marshalled convincing empirical evidence to suggest that there is a correlation between distributed leadership and educational outcomes. *What does the available research studies on distributed leadership theories say about the effects of distributed leadership on educational outcomes?* The aim here is to link the theory of distributed leadership with the actual practice (the impact of DST/NRF SARChI programme on the higher education institutions' transformation reform implementation performance).

Schwab (1969/2004) described theory as a *structure of knowledge* that abstracts a general or ideal case. Research studies (Leithwood & Jantzi, 1999, 2000; Gronn, 2000; Silins & Mulford, 2002; Spillane & Sherer, 2004a; Spillane *et al.*, 2004b) Spillane *et al.*, 2004c; Harris & Mujs, 2004; Harris, 2008; Leithwood & Mascall, 2008; Hulpia & Devos, 2011), which applied distribution leadership theories to actual practical research projects, have positively confirmed associations between collective and participative distribution leadership styles with better students' academic outcomes, better concerted collective staff commitment towards knowledge production and large-scale educational reforms success. The empirical evidence provided by the studies listed above has demonstrated

that distributed leadership tends to impact more positively on educational outcomes than other leadership theories.

A British higher education study comprising interviews with 152 university leaders at various levels in 12 UK universities conducted by Bolden, Petrov and Gosling (2007:1), explored competing expectations, experiences and approaches to leadership within HE, particularly the concept of distributed leadership and its potential as a descriptive and analytic framework, concluded that effective HE leadership requires both individual hierarchical leadership and shared bottom up leadership at all levels.

3.6.2 Language and Power

Another troubling challenge is the use of English and Afrikaans as mediums of instruction, a legacy of colonialism and apartheid that continues to derail black South Africans higher education objectives. The findings of the *2008 Report of the Ministerial Committee on Transformation and Social Cohesion and the Elimination of Discrimination in Public Higher Education Institutions* on students' academic performance had also highlighted the correlation between the language of instruction and educational outcomes, one of the most difficult challenges created by the colonial and apartheid injustice and inequalities:

The Committee found that students who are not first language-speakers of English continue to face challenges in many of the institutions. It was also found that the implementation approach to the parallel-medium language policies that are in place in a number of historically Afrikaans-medium institutions discriminated against black students. The Minister was therefore urged to initiate a broad review of the obstacles facing the implementation of effective language policies and practices, including a study of the application of equitable language policies and practices found in countries with similar social differences to those of South Africa.

The findings of the 2008 Ministerial Report highlighted the enormous challenges and difficulties higher education institutions have continued to experience and their attempts to implement their transformation policies aimed at giving effect to the commitment to multilingualism. Owing to institutional failure to create programmes that incorporate African languages and enhance the development of African languages as academic languages for classroom instruction and languages of communication, the Report recommended that the Minister should request institutions to indicate, as part of their institutional planning processes, how they will be addressing these difficulties.

The Committee also reported that the transformation of what is taught and learnt in institutions emerged as one of the most difficult challenges facing the higher education sector. Owing to the persistence of this challenge, it was recommended that institutions should initiate an overall macro review of their undergraduate and postgraduate curricula. The object of the macro curricula review was to enable HEIs to evaluate their appropriateness and relevance in terms of the social, ethical, political and technical skills and competencies embedded in them. It is important to draw attention to the Committee's ideological stance and commitment to locating curricula restructuring and redressing the current social inequalities inherent in the higher education landscape within the contemporary social context. The Report conveys this as follows: This should be done in the context of post-apartheid South Africa and its location in Africa and the world. In short, does the curriculum prepare young people for the role in South Africa and the world in the context of the challenges peculiar to the 21st century? (MoE, 2008:16-17).

The report highlighted some of the pertinent negative factors that continue to constrain efforts to implement the higher education transformation objectives being driven by DST/NRF Research Chairs Initiative programme. One of these is the use of English and Afrikaans as mediums of instruction and the negative impact of the usage of non-African languages on African students' qualification levels, academic performance and overall quality of knowledge production offered at historically black universities.

The use of European languages as mediums of education in South Africa and the rest of the African continent has continued to reduce the quantity and quality of knowledge production on the continent. In his keynote address at SAALA Conference, Alexander (2004:3) highlighted the negative effects on the usage of English and Afrikaans instead of African languages as mediums of education in South Africa as follows:

Africa is at the bottom of the world's educational league table. This realisation, deriving from the pressures for achieving Universal Primary (or Basic) Education, was the reason for what has turned out to be the decisive move in the sphere of language education, that is, the gradual but definite turn by an increasing number of Africa states to what I shall call mother tongue-based bilingual education. Unless the educational systems of the continent are based on the mother tongues of the people of Africa instead of on foreign languages as most of them are at present, all attempts at establishing a platform for improving the quality of education will in the final analysis, benefit only the elite and its progeny. This is not yet acknowledged even by the most courageous of our intelligentsia. It is still impossible for most African intellectuals and academics to conceive of universities where the main languages of tuition are indigenous African languages.

Research studies (Mawasha, 1996; Lao and Krashen, 1999; Mzamane *et al.*, 2000; Crystal, 2000; Ngubane, 2003; Sepota *et al.*, 2003; Alexander, 2004) have not only rehearsed the findings of 2008 Ministerial Report of non-use of African languages as medium of instructions, but have also endorsed the thesis that African schools and higher education institutions can only succeed in providing innovative and stimulating education, which addresses the massive failure and dropout rates, and are capable of enhancing learner/student performance if indigenous African languages become mediums of instruction. Hence, making the “many languages and tongues” of the *Rainbow Nation* work together, namely using bilingualism / multilingualism that exploits a combination of indigenous African languages and European languages, have been the focus of countless South African government policy documents (DoE, 2002; DoE, 2003; DAC, 2004; DAC,

2007). The call for the need to research and to prepare for mother-tongue-instruction education in South Africa appears to have been answered by only traditionally white universities. The focus of the DST/NRF Research Chairs Initiative aims at maximising the quantity, quality and levels of qualification of disadvantaged groups, particularly black and women South Africans. The poor state of higher education and the limited access of equal quality education to disadvantaged communities is further analysed below.

3.6.3 Equity, Development and new Knowledge Production

The fundamental drivers of the quality of knowledge produced by higher education institutions were crystallised by Badat (2010:5-6), who linked the core business of higher education to three cardinal purposes, namely, the production of knowledge, the dissemination of and the formation and cultivation of the cognitive character of students and the need to undertake community engagement. According to Badat (2010:5), the meaning of higher education and universities cannot be found in the content of their teaching and research, how they undertake these, or their admission policies. For Badat (2010:6), the core purposes of higher education and universities reside in the three purposes listed above. The monumental social injustice and inequalities created by centuries of colonialism and apartheid legacies are interrogated by social justice, human rights and distributed leadership theorists. The social injustice, gender inequities and socio-economic inequalities that require redressing are addressed by social justice theorists.

Social justice theorists, especially feminist social theorists such as Sen (1993) and Martha Nussbaum (2000, 2002 & 2006) have developed social justice and liberation theories grounded upon human rights issues and the concept of the citizen as a free and dignified human being (Nussbaum, 1999:46). While the Rawlsian conception of social justice requires an undertaking by citizens to acknowledge each other's individual identity, and recognise each other as free and equal persons within the framework of social order conceived on the model of nation-states, Nussbaum's approach to social justice as constructed in her *Sex and Social Justice* is internationalist (Nussbaum, 1999:40).

The bone of contention during both the colonial and apartheid period and contemporary South Africa, is how 89% of non-white majority in South Africa are perceived by the ruling elite or leadership. *Are they allowed to participate as free and equal members of the society and share equally in the resources of the country?* Nussbaum (1999:57) affirms the democratic values enshrined in the transformative reform process as follows:

At the heart of this tradition [of liberal thought] is a twofold intuition about human beings, namely, that all, just by being human, are of equal dignity and worth, no matter where they are situated in the society, and the primary source of this worth is a power of moral choice within them, a power that consists in the ability to plan a life in accordance with one's own evaluation of end. The moral equality of persons gives them a fair claim to certain types of treatment at the hands of society and politics. This treatment must do two things, respect and promote the liberty of choice, and respect and promote the equal worth as choosers.

Social justice theoretical ideas are intended to underpin democratic social principles of community engagement and African cultural existential humanistic ethos, that colonial and apartheid rulers had violated for 342 years, a dark disfranchisement apartheid legacy whose effects continue to strangle the South African society in the 21st century.

By locating the historical overview of the Grand Apartheid Design within a theoretical matrix, the researcher aims to illuminate the enormity of the educational problems created by the legacies of colonialism and apartheid, and why government's and stakeholders' efforts are focussed on redressing the past racial and social iniquities and centuries of injustice that have reduced the quantity and quality of knowledge production in black schools and in historically black higher education institutions.

The accumulative effects of colonialism and apartheid on student participation and academic performance of higher education students are summarised below by Badat (2008:3):

Under colonialism and apartheid social, political and economic discrimination and inequalities of a class, race, gender, institutional and spatial nature profoundly shaped South African higher education, establishing patterns of systemic inclusion, exclusion and marginalisation of particular social classes and groups.

On the eve of democracy, the gross participation rate in higher education was about 17%. Participation rates were highly skewed by race, approximately 9% for Africans, 13% for Coloured, 40% for Indians and 70% for whites” (CHE, 2004:62). While black South Africans (*Africans, Coloured and Indians*) constituted 89% of the population, in 1993, black students only constituted 52% of the total 473 000 students. African students, although constituting 77% of the population, made up 40% enrolments. On the other hand, white students, although comprising only 11% of the population, constituted 48% of enrolments. 43% of students were women. The representation of blacks and women South Africans in the academic workforce was marked by even more severe inequalities. In 1994, 80% of professional staff [members] were white and 34% were women, with women being concentrated in the lower ranks of academic staff and other professional staff categories (CHE, 2004:62). These statistics, taken together with the patterns of student enrolments by fields of study, qualifications levels, and mode of study, highlight well the relative exclusion and subordinate inclusion of black and women South Africans in higher education.

There is strong empirical evidence to support the argument that most of the higher education institutions have adopted institutional leadership styles that do not conform to policy documents on inclusive participation, but have rather, adopted governance styles that have openly violated either the democratic rights of staff members and students, a view confirmed by the 2008 Ministerial Report.

It is reiterated that the study evaluates the impact of DST/NRF Research Chairs Initiative Programme on South African higher education institutions’ implementation of

transformation reform aimed at redressing the social injustice and inequalities within higher education, and it is foregrounded by the legacies of colonialism and apartheid. The scale of the enormity of the social injustice and inequalities created by South Africa's colonial and apartheid past, which the 89% disfranchised African populations continue to endure even in post-apartheid South Africa, compelled Mbeki (1998:378) to describe South Africa in 1998 as a "two-nation" society, one of these nation is white, relatively prosperous, regardless of gender or geographic dispersal, and the second (and larger nation), is black and poor, with the worst-affected being women in the rural areas, the black rural population in general, and the disabled.

Although research (Seekings & Nattrass, 2005; Burger, 2003; Nattrass, 2002) has suggested that the basis of inequality in South Africa had shifted from race to class long before 1998, this argument does not refute the fact that the majority of the rural poor are black South Africans. How the social injustice and inequalities exacerbated by abject poverty of the rural black majority and women created by legacies of colonialism and apartheid impacted on participation rates of higher education students is one of the focuses of the study. Badat (2008:3) outlines how apartheid legacy impacted on the gross participation rate in higher education in 1993. The gross participation rate statistics data deals with the enrolment figures of Africans, Coloured, Indians, whites and women in 1993:

- Gross participation rate in HE was about 17%;
- 9% for Africans, 13% for Coloured, 40% for Indians and 70% for whites;
- Black South Africans constituted 89% of the population, but black students only constituted 52% of the student body of 473 000;
- White students, although only 11% of the population, constituted 48% of enrolments;
and
- 43% of students were women.

The impact of apartheid legacy on higher education student gross participation rate outlined above highlights the relative exclusion and subordinate inclusion of black and women South Africans in higher education (Badat, 2008:3).

Badat (2008:4) presents the reasons why policy must be successfully translated into practical implementation. To achieve inclusion, equity and redress, politics of equal recognition needs to be practically implemented to eliminate the exclusionary effects of the legacies of colonialism and apartheid. Since it was clear that the overthrow of apartheid and the establishment of democratic government cannot magically redress the challenges of social injustice, inequalities and the issues of abject poverty endured by the millions of the rural poor, the government set in motion a transformation reform process focussed on transforming the higher education landscape. Badat (2008:4) reinforces this view when he argues that the propositions aimed at addressing issues of inclusion, equity and redress cannot blithely proceed from the notion that the advent of democracy is in itself a sufficient condition for the erasure of the conditions, policies and practices that grounded and sustained exclusion. Only one realistic course of action has emerged from the analysis of the challenges that face higher education, making the idea of redress a fundamental and necessary dimension of HE and social transformation (Badat, 2008:4).

Hence, the South African transformation reform climate is dominated today by fundamental social multidimensional objectives, to redress past inequalities and to transform the higher education system to serve a new social order, to meet pressing national needs, and to respond to new realities and opportunities. The foundations for the development of a learning society, which can stimulate, direct, and mobilize the creative and intellectual energies of all the people towards meeting the challenge of reconstruction and development, are the main concerns of the HE transformation reform (and the DST/NRF SARChI Programme). For these reasons, the White Paper (2001) outlines a comprehensive set of initiatives for the transformation of higher education through the development of a single co-ordinated system with new planning, governing and funding arrangements.

Higher education has several related purposes. In the context of present-day South Africa, HE must contribute to and support the process of societal transformation outlined in the RDP. Mention must also be made of the fact that the RDP document itself was the product of many years of debate in the ANC, which was guided by its compelling vision of people-driven development leading to the building of a better quality of life for all (Marais, 1998; Lundahl, 1999). Among the purposes in this document, those that are the most appropriate for the study are:

- To meet the learning needs and aspirations of individuals through the development of their intellectual abilities and aptitudes throughout their lives. Higher education equips individuals to make the best use of their talents and of the opportunities offered by society for self-fulfilment. It is thus a key indicator of life chances;
- To embrace RDP as an important vehicle for achieving equity in the distribution of opportunity and achievement among South African citizens;
- To address the development needs of society and provide the labour market, in a knowledge-driven and knowledge-dependent society, with the ever-changing high-level competencies and expertise necessary for the growth and prosperity of a modern economy. Higher education teaches and trains people to fulfil specialized social functions, enter the learned professions, or pursue vocations in administration, trade, industry, science and technology and the arts;
- To contribute to the socialization of enlightened, responsible and constructively critical citizens. Higher education encourages the development of a reflective capacity and a willingness to review and renew prevailing ideas, policies and practices based on a commitment to the common good; and
- To contribute to the creation, sharing and evaluation of knowledge. Higher education engages in the pursuit of academic scholarship and intellectual inquiry in all fields of human understanding, through research, learning and teaching.

Whether the purposes above have led to equitable or inequitable distribution of access and opportunity for students and staff along lines of race, gender, class and geography will be assessed by this study. The study intends to employ a triangulation theoretical framework that includes pragmatic, social justice and leadership theories to unravel the complexity of equal distribution of higher education resources and services, and how the DST/NRF Research Chairs Initiative transformation project impacted on higher education outcomes.

As already indicated earlier, there has been gross discrepancies in the participation rates of students from different population groups, indefensible imbalances in the ratios of black and female staff compared to whites and males, and equally untenable disparities between historically black and historically white institutions in terms of facilities and capacities.

A Youth Group Fact Sheet 1 titled *Unequal Schools/Unequal Outcomes* graphically illuminates the crux of the three thrusts of the study, redress, social justice and equality. After reviewing the differentiated apartheid funding for the white (R1211), Indian (R771), Coloured (498) and black (R146) child, school fees and teacher salaries, which created “unequal” schools and higher education institutions, the fact sheet presents a comparative analysis of a public high school in Rondebosch (Cape Town) and 19 public high schools from Khayelitsha. While the 2009 and 2010 matric results of “unequal” schools from Khayelitsha were 51% (2009) and 50% (2010), the “equal” high school (located in Rondebosch), which benefited from apartheid funding of R1 211 per child scored 100% in 2009 and 2010 matric examinations. The statistical analysis of matric results also showed that, while 165 matric learners from the high school in Rondebosch achieved 404 A’s, 3228 matric learners from the 19 Khayelitsha schools produced only 44 A’s (Youth Group Fact Sheet 1, 2011:1-3).

The relationship between the quantity of resources and/or funding available to an educational institution and academic outcomes outlined above demystifies the correlation

between disadvantaged socio-economic conditions and/or educational inequalities and poor academic performance of learners, and the academic outcomes of HE students in historically white and historically black universities. This postulation crystallises the major challenges that confront higher education institutions across the country, which is the focus of DST/NRF Research Chairs Initiative Programme. *What themes have emerged from the review of literature focused on the historical context of the research problem and the social theories that inform the contextual factors that impact on the study?*

The review of literature suggest that the historical dimension indicates the SARChI Chairs were created by the democratic government of South Africa to redress the social injustices created by colonialism and apartheid that have trapped the higher education provisions within higher education systems structured along racial, ethnic and class lines. The most challenging aspect of the higher education transformation agenda, however, is the quantity and the quality of knowledge produced by the majority of the severely under-resourced historically black universities. As the literature has indicated, the poor quantity and quality of knowledge production could be traced to under-resourced black schools and their learners, whose academic performance are seriously undermined by countless socio-economic constraints.

3.7 CONCLUSION

To conclude this chapter, attention is drawn to how the continuous failure to eliminate the chronic historical and social inequalities has trapped the poor and the disadvantaged in endless cycles of unrelieved suffering. The literature reviewed suggests that the concerted attempts by the ANC-led government to use the SARChI programme as an instrument in enhancing the educational outcomes of higher education institutions have failed. This conclusion is re-affirmed by the findings of the 2008 Ministerial Report, which evaluated the implementation performance of higher education institutions. The Report suggests that the failure of university management to implement policy frameworks created

specifically for the higher education transformation agenda emerged as the greatest constraint that, so far, has undermined the transformation of higher education landscape. The mismatch between stated objectives embedded in policy frameworks and implementation outcomes was isolated for criticism by the literature reviewed.

As a result of the continuous failure of the ANC-led government and relevant stakeholders to improve the quantity and quality of higher education through the SARChI programme, the intended beneficiaries, which are the disadvantaged African students, continue to endure the denial of equal access to quality higher education. Seventeen years after the dawn of democracy in South Africa, the sons and daughters of poor black South Africans do not appear to be having any access to the fruits of democratic South Africa. Like their grandparents, who were forced to receive substandard racially-structured Bantu education and Bantustan segregated university education, the majority of black South African students are forced to receive higher education provided by historically black universities situated in former homelands. These disadvantaged students are yet to have equal access to the world-class quality higher education meticulously described in the higher education policy frameworks.

The disadvantaged South African wakes up every morning and is greeted by her or his under-resourced surroundings, a structure serving as “a house” with no tap water supply, no electricity, no sanitation and toilet facilities. He or she cannot provide nourishing meals for his or her children and is forced to send them with an empty stomach to a dysfunctional school many kilometres away from home. However, the most disheartening aspect is the unfulfilled dream, the resource-depleted school with no adequate furniture and compelling three or two learners to share a chair meant for one child. This re-invokes the dark days of Bantu education during the heydays of apartheid. In this educational-resource-depleted school environment, the children of poor South Africans are subjected to boring, unimaginative and non-stimulating classroom instructions, which prepare learners for neither successful matric results nor decent future employment.

In other words, in an educational environment devoid of academic stimulation, black South African student's education does not only fail to equip them for employment, but reinforces their abject poverty-stricken socio-economic backgrounds, trapping them permanently. The minority of fortunate ones, who manage to pass matric examinations and get admitted into higher education institutions, are doomed to drop out or become jobless graduates. *What does life hold for a disadvantaged black South African student? Does the quality of education he or she receives provide unlimited opportunities or does it offer the three cardinal choices of life, identified by Dr Carmen Lawrence (2002)?*

According to Lawrence (2002), it is the prospect of genuine employment and good health, a life of choices and opportunity, free from discrimination. The three cardinal values of human dignity and alienable rights to freedom is conceptualised by Lawrence in his attempt to immortalise the idea that all human beings are of equal worth, deserve to be treated decently and to have a fair share of the community's wealth. Lawrence interrogates the near impossibility of scientifically laying bare multifarious connotations of "social justice" when he asserts that the problem with the phrase "social justice" is that for many people it has no meaning, beyond the inference that it somehow refers to laws and society. Lawrence's comment does not immediately point to the scholarly efforts to define and create a civilized society, a "good" society or to policies designed to eliminate discrimination and redress inequalities in opportunity and the distribution of resources. Stated simply, the goal of social justice aims at achieving a more equal and just society, a goal that requires active government intervention and social change.

This chapter has located not only the study within its cultural and historical contexts, but has also framed the issues of redress, social injustice and inequality within social justice, democratic communitarian, participative, transformational and distributed leadership theoretical frameworks. This was achieved by outlining a historical overview of South Africa during the colonial and apartheid period (1652-1994). The racially-structured colonial and apartheid South Africa is prised open by hermeneutic interpretive tools for interpretation and the accumulated debris of 342 years of subjugation of black Africans is unravelled. The demystification of South Africa's colonial and apartheid past is achieved

by highlighting some of racist legislations that created the world's most pernicious segregationist political, social and economic systems ideologically designed to trash the dignity of mankind.

The chapter also reviews the extant literature on the need to redress social injustice, gender iniquity, abject poverty and gross socio-economic inequalities that dated back to 1652. The social justice and leadership theories that interrogate the issues of social redress, social injustice, inclusive democratic participation and equal access to services by all racial groupings are exploited in framing the background to the study within the appropriate theoretical underpinnings.

CHAPTER 4

POLICY FRAMEWORKS: REDRESS, EQUALITY AND SOCIAL JUSTICE IN HIGHER EDUCATION

4.1 INTRODUCTION

The previous Chapter dealt with the pre-1994 higher education landscape and the review of relevant literature on apartheid legislations responsible for the current racially engineered South African socio-economic and political structures that seriously constrain efforts aimed at transforming the South African higher education by using the SARChI programme. Chapter 4, on the other hand, aims to analyse the structured policy frameworks created by government to deal with challenges that face the higher education landscape. In other words, this Chapter is devoted to successful implementation of the stated transformation objectives of SARChI Chairs and the institutional objectives higher education institutions are expected to successfully implement. The transformation of higher education is aimed at redressing the centuries of poverty and inequalities created by colonialism and apartheid, which had dispossessed African people of most of their land, restricted their opportunities for employment and foisted upon them, low-quality public education and health care and physically confined them to impoverished rural parts and cities of the country (Wilson & Ramphela, 1989; Seekings & Natrass, 2005).

The ANC-led government that came into power in 1994 was and still is, determined to eliminate the past social injustice and socio-economic inequalities. As such, the newly elected ANC-led government set out to establish policy frameworks for transforming the past racial and social structures that entrenched the abject poverty, social injustice and socio-economic inequalities of the African people.

Like the negotiated transition from apartheid racial autocracy to democracy, the planning and the construction of policy frameworks for higher education, and the allocation of resources, was characterised by fierce competition for power. Perhaps the most contested aspect in the competition for power and allocation of resources was the request by black student organisations for free higher education, amongst other things, with the resultant being a battle for domination and influence within the HE landscape. The clash between indigenous populations and the heirs of the colonial and apartheid system that reared its ugly head during the transition period still dominates South African higher education landscape today.

The inherent ideological clash between historically white universities and historically black universities, and the clash between the state and higher education institutions, marking the era of transition, appears to have matured into subtle but unbridgeable division between historically under-resourced former homeland universities, attended by African students, and historically over-resourced white universities, attended mostly by white students and middle-class-African students. *What policies and legislations constituted the policy frameworks for the higher education transformation reform?*

4.2 POLICY FRAMEWORKS

The first document that laid the foundation stone for the transformation reforms aimed at exorcising apartheid racial spirit from democratic South Africa was the 1994 ANC's election manifesto, the RDP, which promised that attacking poverty and deprivation would constitute its first priority of democratic government.

It was envisaged that the RDP would energise and empower the poor to grab opportunities to develop to their full potential and to sustain themselves through productive activity within a socio-economic environment in which the state ensured improved access to social security, public education and other social services. The RDP declared that all South Africans should enjoy a decent living standard and economic

security (ANC, 1994:15-16, 79). The ANC policy-makers identified two fundamental root causes responsible for the huge social injustice, abject poverty and socio-economic inequalities that strangled the African people, namely, unemployment and education.

4.2.1 The contextual paradigm shift

National policy regarding HE provided the broad conceptual and legislative contexts for the transformation of the racially-structured post-school institutions into a new higher education landscape. A number of Acts were promulgated, strategies and policies were designed and implemented to ensure that the required changes took or were constantly taking place.

The South African transition from an apartheid state to a post-apartheid society created the conditions for fundamental changes at all levels of education, including higher education. However, a question needs to be posed, “*What were the transitional conditions facing higher education at the end of apartheid era?*”. Jansen (2001) argues there is a dire need for the restructuring of the Higher Education Institutions and moving them towards the creation of new institutional forms. The statistical data used in this section was taken from *The Governance of Merger in South African Higher Education* by Hall, Symes and Luecher (2004).

Firstly, the South African higher education was and remains a system divided by racial inequalities with white and black institutions bearing the markings (material, cultural and social) of their separate histories. Worse still, African students were heavily concentrated in the humanities, arts and education, with only 3 per cent of graduates in engineering, 12 per cent in the natural sciences and 2 per cent in accountancy for the period 1991-1998. Similar inequalities were held for academic staffing on the eve of the 1994 elections. In 1993, about 87 per cent of members of academic staff in universities and technikons were white with only 2 per cent and 7 per cent African staff in technikons and universities,

respectively. This under representation, especially of African students and staff in higher education, continued through 2001.

Secondly, the historically black universities and technikons were, with few exceptions, deeply entangled in ongoing conflict, instability and crisis. Students were in conflict with the institutional leadership over their inability to pay tuition and registration fees, staff were in conflict with vice-chancellors, senates confronted councils, councils were deeply divided among themselves, especially on the issue of management. Sometimes staff and students created a common bloc acting against allegedly corrupt senior managers who were constantly replaced by 'acting' leaders (Cloete, 2000). The changing nature of alliances among campus stakeholders ensured that the period after apartheid was highly volatile and unstable in black technikons and universities. Fuelling much of this instability was the high levels of student debt and the steadily declining fall in institutional revenues, leading many to depend on bank overdrafts to keep their institutions afloat.

Thirdly, South African institutions witnessed a dramatic and unexpected decline in student enrolments, a trend that had particularly devastating consequences for the struggling black universities. In 1999, for example, total headcount enrolments (universities and technikons) dropped by 41,000 students (or 7 per cent) from the previous year, starting a downward spiral in especially university enrolments over the next three years (NCHE report, 1996). That was not all. For example, in 1998 only 69 000 students gained matriculation exemption, which gave them a direct entry into university. This matric pass rate fell below the 130 000 predicted by the National Commission on Higher Education (NCHE). This meant that there were fewer students, and fewer good students, to occupy the first-year spaces at universities. More devastatingly, the few good students, black and white, now both enjoyed access to the urban, better-resourced and former white universities.

The consequences for black universities were immediate, direct and devastating, fewer students were admitted, and those who were drawn to the historically black universities (HBUs) were more uniformly poor, under-prepared and desperate for higher education, but without the ability to pay. In short, the new government inherited an institutional landscape which was shaped, enlarged and fragmented with a view to serving the goals and strategies of successive apartheid governments.

The black institutions were and remain mainly located in under-developed, impoverished rural areas with little economic infrastructure for supporting local development and university expansion. South Africa inherited a wide range of institutions spread thinly and unevenly over urban and rural areas with considerable variation in their capacities for teaching, research and development. For example, despite the explosion of institutions, two of the nine provinces have no universities and technikons (that is, the Northern Cape and Mpumalanga).

Given the racial origins of these institutions, the distribution of higher education was highly inefficient and even illogical, with similar institutions sharing fences, like the KwaZulu Natal technikons, or expensive institutions located in close proximity to each other, like the Faculties of Veterinary Sciences (Barnes, Baijnath & Sattar, 2010).

It would be difficult to understand the restructuring of higher education without grasping the nature of this transitional context from apartheid rule. However, the specific policy and planning instruments selected for reshaping higher education can only be understood by examining the macro-political environment of the late 1990s. In 2000, the Centre for Higher Education Transformation (CHET) reformulated the broad goals and principles of the White Paper 1997 into 3 broad transformation goals of Higher Education. The NCHE report, and the White Paper, accepted three features that would underpin the new system.

Below is a brief description from the NCHE report:

| TRANSFORMATION PILLAR | BRIEF EXPLANATION |
|---|---|
| INCREASED PARTICIPATION | The key feature here is a policy of growth, an expansion of student enrolments, feeder constituencies and programme offerings. SAHE needs principles of equity and redress, as well as the realities of demography and development (NCHE report, 1996) |
| GREATER RESPONSIVENESS | This advocates a heightened responsiveness to societal needs. The higher education system must deliver the research, knowledge and highly trained people required in South Africa to be able to compete successfully in a rapidly changing international context (Cloete & Bunting, 2000:5) |
| INCREASED CO-OPERATION AND PARTNERSHIP | An enabling environment must be created in Higher Education Institutions. This environment must be sensitive to and affirm diversity, promote reconciliation, respect for human life and protect the dignity of individuals (Cloete & Bunting, 2000:5) |

The NCHE framework for transformation was debated vigorously by civil society, academics and scholars at large. The debate generated a lot of discussions and heated conflicting arguments. The inclusiveness and openness of the transformation process led to favourable international reviews. Some commentators described it as by far, the most comprehensive and ambitious *reform* of a higher education system that was undertaken anywhere in the world. Scott (1997) in Cloete and Muller (1998:11) stressed that the NCHE had produced a fine report, soberly argued and succinctly written. The author further argued that the shifts that the NCHE talks about would help resolve tensions between metropolitan knowledge traditions, which were no longer able to sustain their claims to be objective and universal, and local knowledge traditions that characterize open access, democratic, mass systems of education. He argued that as long as the

intellectual and scientific culture of the west persisted in claiming to be universal, other cultures would be marginalized and be obliged to choose between irreversible redundancy and angry ideological opposition.

While the NCHE received international acclaim, a minor revolt brewed within the national student body, the South African Students Congress, which stated that the report failed to deal with issues of redress and equity extensively, and is silent about restructuring of curricula (Higher Education Review, 1996). The student body also complained bitterly that the NCHE had dismissed the possibility of free higher education and did not give enough consideration to African, Latin American and Asian models of higher education.

At the same time, students expressed some of their dissatisfactions with the NCHE report at a conference held at the University of Venda in 1997. One of the resolutions of the Conference was that the NCHE had not related higher education reform to aspirations for liberations and had based its thinking on western values of self-interest instead of African values of community (Higher Education Review, 1997:7).

From the broad outline and the comments, it was clear that the new framework and associated proposals were eminently contemporary (a combination of international best practices). It incorporated the latest features of European and Australian “steering through planning and incentives within a framework of autonomy with accountability” (Cloete & Muller, 1998). This was a US approach to affirmative action. The Euro-US-centred approach incorporated equity, access, student-centred programme and student diversification, the latest European Union and US policies for expansion, with flexible, generic skills, recognition of prior learning and life long learning as prominent curricular features. The Commission had produced a transformation framework that put together a post-modern, international best practice policy framework. Like the new South African constitution, which is generally regarded as the most advanced in the world, the complex

set of interlinking policies proposed a cutting edge, state of the art higher education system.

On the dismantling of apartheid and the election of the democratic government, the role of the universities in South Africa came to be redefined. The institutions were no longer able to afford to support the apartheid status quo. Instead, the higher education institutions experienced a paradigm shift, which meant moving towards multicultural and reformist institutions that sought to promote transformation as outlined in the White Paper of 1997. This led to the HEI's to partly embrace the culture and ideology of the democratic period. The paradigm shift was not only to be experienced in its philosophical outlook, but in the demography of the student's population that had become almost representation of the South African population.

The shift towards serving the interests of all South Africans occurred gradually with several missions and vision statements being formulated by HEI's in their strategic plans to highlight the various positions of the HEI's relevant to the democratic dispensation. The universities were expected to be leaders in higher education in South Africa. This role requires higher education institutions to become first-class research universities, which would be recognised internationally for their academic excellence. It was envisaged that their core business would focus strictly on quality.

The universities had to strive to be known for international competitiveness, local relevance, and a commitment to continuous innovation, to be universities of choice for students, staff, employers of graduates and those that require research solutions. There were to be inclusive and enabling value driven culture that provides an intellectual home for the rich diversity of South African academic talent, and be committed towards discharging social responsibilities. The universities were to be a symbol of national aspiration and hope, reconciliation and pride.

The strategic drivers identify the universities as academic institutions that are committed to providing access to all students in a supportive learning environment. Embedded in the White Paper of 1997 is transformation, which is a crucial driver that indicates that institutions are committed to the principles of democracy and redress of past inequalities and injustices.

4.3 RELEVANT POLICIES AND ACTS

The Policy Framework for Education and Training (ANC, 1994) set out proposals for the ANC's policy on education and training. The document states the goal as follows: The challenge that we face at the dawning of a democratic society is to create an education and training system that will ensure that the human resources and potential in our society are developed to the full (ANC, 1994:2).

The NCHE started operating in 1995 and was set up by the new government. The central proposal of the NCHE was that South African higher education should be massified in an attempt to resolve the equity-development tension. The final NCHE report, released in July 1996, included the following principles:

- Equity in the allocation of resources and opportunities;
- Redress of historical inequities;
- Democratic, representative and participatory governance;
- Balanced development of material and human resources;
- High standards of quality;
- Academic freedom;
- Institutional autonomy; and
- Increased efficiency and productivity.

The plan called for expanded access within the limits of public funding, development of a single coordinated system of higher education, including universities, technikons, colleges and private institutions, an expanded role for distance education, a three year national and institutional higher education plans, development of a National Qualification Framework level within the Ministry of Education and a new funding formula with both a revised equitable funding formula and earmarked funding for programmes that meet vital national policy objectives (Moja & Hayward, 2000).

4.3.1 The green paper

The release of the Green Paper marked the formal response of the Ministry and Department of Education to the NCHE Report. The Green Paper on transformation is expected to overcome the inequities of the past and to develop a higher education system so that it would make a far greater contribution to social, economic, and political development (DoE, 1996). The Green Paper endorsed the NCHE's recommendation to establish a single coordinated higher education system. An important addition to the Green Paper focused on restructuring higher education to foster economic development.

Moja and Hayward (2000:347) state that the most contested change to the NCHE's recommendations had to do with governance. The report disregarded the necessity for the Higher Education Forum (HEF) and Higher Education Council (HEC). The HEC was thus limited to an advisory role and the HEF was transferred into a new body called the Council for Higher Education (CHE).

4.3.2 The draft White Paper on Higher Education

The initial White Paper prepared by the DoE differed significantly from major proposals contained in both the Green paper and the NCHE Report. It focused primarily on the role of higher education in national development, but devoted little attention to many of the

values and goals central to the recommendations of the NCHE Report and the Green Paper.

The then Minister of Education, Professor S. M. E. Bhengu, stated the Education Ministry's task as one central to the activities of the society. Education is of vital interest to every family and to the health and prosperity of our national economy. The government's policy for education and training is therefore a matter of national importance second to none (DoE, 1995).

The White Paper and the Higher Education Act of 1997 (Act was amended in 2000 and 2001). The major policy change focused on the transformation of the higher education system:

- To address the inequities of apartheid;
- To meet the needs of a new South Africa with fundamentally changed, economic, social and political structures; and
- To facilitate changes by establishing a new single coordinated system in contrast to the 15 autonomous structures under apartheid (DoE, 1997:1).

This new unitary structure is seen as an essential condition for higher education's role in providing a better quality of life for the country and its citizens. It is also regarded as key to establishing effective democracy at both the national and institutional levels (DoE, 1997:2-3,6), as cited in Moja and Hayward (2000:349).

4.3.3 The National Plan for Higher Education

The National Plan for Higher Education was released by the Ministry of Education in 2001. It was the Ministry's response to the Council on Higher Education Report, *Towards a New Higher Education Landscape: Meeting the Equity, Quality and Social Development imperatives of South Africa in the 21st Century*, which was released in June

2000. Professor Kader Asmal stated the objective as follows: The National Plan outlines the framework and mechanisms for implementing and realizing the policy goals of the White Paper. It is far reaching and visionary in its attempt to deal with the transformation of the higher education system as a whole (DoE, 2001).

Naidoo and Singh (2005:13) assert that faced with the massive and resource-intensive task of restructuring and transforming all areas of social provision, the state, in all its key policy pronouncements, has signalled very clearly its requirements and expectations of higher education. It has established indicative targets for the size and shape of the higher education system including overall growth and participations rates, institutional and programme mixes and equity and efficiency goals. It also provided a framework and outlines the processes and mechanisms for restructuring the institutional landscape of the higher education system, as well as for the development of institutional three-year rolling institutional plans (DoE, 2001:1). The transformed system is intended to better the social, educational and economic needs of a democratic South Africa. The evaluations done by the CHE indicates clearly that at least 15 years after the introduction of democratic government, the education objectives have not been realized. Block (2006) stresses that in a country with great expectations of equity, education is failing to make the grade in a way that particularly impacts on poor, rural and township schools.

Professor Barney Pityana, the former Vice Chancellor of the University of South Africa, in his criticism of higher education policy, states that it at times was prescriptive, ineffective, and often incoherent and often contradicted other aspects of policy. In this regard, Professor Pityana could possibly have cited policy on massification and open access. In 2005, the DoE's Deputy Director of Higher Education, Ahmed Essop, reported that the Department wanted to cap students as HEI's (Roberts, 2006:8). In 2006, the former Education Minister, Naledi Pandor, announced that government was considering wresting away control over the levels of fees tertiary institutions can charge students in a bid to accelerate transformation and access to higher education (Financial Mail, 2006).

Professor Mokadi, Vice Chancellor and the Rector of the Vaal University of Technology, reported that higher education transformation will only be complete when our institutions produce graduates who participate meaningfully in society. He further states that the DoE is tinkering with policies, student capping, funding formulae, Programme Qualifications Mix's (PQMs), mergers and so forth, without getting to the real issues. He identifies the real issues as primary and high school delivery, (Sunday Times Higher, 2005). At the same time, Jansen (2005) contends that while the legal establishment of mergers was easily accomplished, the more difficult and complex issue is merging the institutional cultures.

4.3.4 Other higher education policies established

Additional HE policies developed are the:

- South African Qualifications Authority Act, Act No. 58 of 1995, that provided for the establishment of the National Qualifications Framework and regulations under the Act;
- South African Constitution Act, Act No. 108 of 1996, which required education to be transformed and democratized in accordance with the values of human dignity, equality, human rights and freedom, non-racism and non-sexism;
- Education White Paper 3, a programme that sought to form the basis for the transformation of Higher Education sector via an institutional planning and budgeting framework;
- Higher Education Act, Act No. 101 of 1997, as amended by Act 55 of 1999, Act 54 of 2000, and Act 63 of system of Higher Education, made the statutory Council on Higher Education (CHE) responsible to advise the Minister of Education issues and to govern quality assurance and promotion by means of the Higher Education Quality Committee (HEQC);
- Skills Development Act, Act No.97 of 199, which rules the development of the skills of the South African workforce. The main aim of this Act is to enhance the quality of

life of all employees: academic, non-academic and support staff or service employees in the case of Higher Education institutions (Greyling, 2001:37);

- Criteria and guidelines for Education and Training Quality Assurors (ETQAs) published by the South Africa Qualifications Authority (SAQA) in 2000 to ensure that all structures are in place for the quality assurance of registered standards and accredited providers;
- National Plan for Higher Education is a response to the Council on Higher Education's report titled *Towards a New Higher Education Landscape*;
- Human Resources Development Strategy was jointly put in place by the Ministers of Labor and Education to ensure that the development of human resources takes place according to plan;
- A discussion document regarding the New Academy Policy for programmes and qualifications in Higher Education was published by the CHE;
- Regulations under the Skills Development Act concerning the registration of intended learner ships and learner ships agreements;
- The National Skills Development Strategy (NSDS) was launched in April 2001 and had to be fully implemented by March 2005 where after new targets would be set. Targets were set to ensure that thousands of learners are registered on learner ships and obtain career-focused skills;
- The Higher Education Amendment Act, Act No. 63 of 2002, which amends the Higher Education Act of 1997 by bringing legal certainty to the merging, declaration and establishment of Higher Education processes, to lower the number of members in Higher Education Councils and to give the Minister authority to make regulations; and
- The National Skills Development Strategy 1 April 2005, 31 March 2010;
- The announcement of the Restructuring of the South African Higher Education. In 2002, it was announced that some of the 36 institutions would be merged with others in an effort to mitigate the inequities of higher education and the financial drag that these had imposed on the entire system for a protracted period.

The strategic framework proposed the following:

- DTI Chairs for Entrepreneurial and Enterprise Development Implementation Plan 2004;
- National Research Foundation Strategic Plan 2004-2005;
- DST/NRF SA Research Chairs Initiative Strategic Framework, September 2005; and
- Knowledge Society Research Chairs Implementation Plan 2005/2006.

4.4 ADDITIONAL HIGHER EDUCATION TRANSFORMATION IMPLEMENTATION POLICIES

Financial constraints had presented another major challenge for the implementation of policies and the government's transformative education programmes. With the establishment of the new government, it was realized that the country was already spending a large share of its Gross Domestic Product (GDP) on education which was higher than the international average for developing countries. Hence, increase in education expenditure would only be financed by economic growth.

During the initial two-year period, the post-apartheid government put forward its RDP, which was developed prior to the 1994 elections. It entailed massive Human Resource Development (HRD) as one of the key components driving the nation's economic reconstruction. Under the RDP, budgeting for education would be based on needs. However, given the scale of injustices and inequities that existed, it was realised that there was a need for more investment than the state could afford. Therefore, the government committed itself to a macroeconomic policy framework, the Growth, Employment and Redistribution (GEAR) strategy to provide stability in the economy and resources for attaining greater distributive justice.

GEAR was based on an export-led strategy with reduced tariff barriers to attract foreign investment and stimulate economic growth. It also emphasized privatization of essential state assets and removal of exchange controls. It was aimed at reducing the government's fiscal deficit and focused on a projected economic growth of 6% per annum. However, the fact that GEAR failed to attract the amount of required foreign investment as expected and the economic growth per annum was at times negligible or very low meant that there was no additional funding for educational expenditure. Hence, additional funding to enable redress could only be raised by allowing schools to charge fees, redistribution of resources through the Equitable Shares Formula and resource targeting of poor schools (intra- provincial equity).

The original intention of the HEQC, as set out in its founding document, was to develop a framework and criteria for quality assurance, which were to be based on:

- Fitness for purpose in relation to specified mission within a national framework that encompasses differentiation and diversity;
- Value for money judged in relation to the full range of higher education purposes set out in the White Paper. Judgments about the effectiveness and efficiency of provision will include, but not be confined to, labour market responsiveness and cost recovery; and
- Transformation in the sense of developing the capabilities of individual learners for personal enrichment, as well as the requirements of social development and economic and employment growth (CHE, 2001:9).

In 2005, the CHE published a research report it had commissioned and titled *Towards a Framework for Quality Promotion and Capacity Development in South African Higher Education*. The 2005 CHE Report was intended to serve as a discussion document for deliberation. In 2006, a Draft Framework the 2003 CHE report was published. However, this Draft Framework copy does not appear to have materialised as a working document. The framework, according to the then executive director of the HEQC, Dr. Mala Singh,

was intended to complete the process of developing policy foundations of a new quality assurance system for South African higher education (CHE, 2005). Earlier mention of this framework is found in the National Plan for Higher Education, where the HEQC was to have released a framework to guide its work in the development of a robust quality assurance system indicating that the preparation of a final framework has been a long time in the making (DoE, 2001) .

Guico, Menez and Garcia (2009) describe higher education as a place to accelerate education contribution as a collective resource in achieving the goals of social change and nation building. The authors maintain that higher education institutions are, therefore, expected to cater to the imperatives of total human development and to uplift the lives of the society in the context of merging borderless global community and a borderless thinking in a global thinking society.

Educational institutions, as the backbone of social development, has the social responsibility to participate in building a community that is truly marked by reduction of, if not absence from, hunger, poverty and crime. As partners of social change, it incessantly extend programs that will be more humane and socially responsive to the needs of society and its people (Guico *et al.*, 2009) thus, saving the constituency from the pains of economic degradation, ecological imbalance, and social ills (Bautista, 2000). All the collaborative efforts, resources and commitment devoted by educational institutions in partnership with the community and concerned agencies definitely enhanced social development and lead to societal peace everyone prayed for, however, in the implementation of community extension programmes, there are certain concerns that must be addressed to ensure the sustainability and relevance.

Universities all over the world have been making improvements in the kind of community programmes that they want to deliver. With the desire of universities to address their noble mission of sharing in nation building, several models designed for community extension served as their inspiration in the hope that development and

progress may be facilitated, if not attained, in a relatively short period of time. Such models include Institution Building Model developed by Brekelbaum (1985), Tridimensional Model by Amansec (1986), Integrated Community Development Model by Morato (1989), Context, Input, Process, Product (CIPP) Model by Stufflebeam used by Bautista (2000) and the Participative, Integrative and Curriculum Based Extension Model by Pasicolan (2001).

| MODELS | BEST FOCUS/FEATURE | DESIRED OUTPUT/RESULT |
|---|--|--|
| Institution Building Model (Brekelbaum, Gertitude, 1985) | Feasibility study/Needs Assessment Institutional Design Implementation Evaluation. | To serve as a process model for establishing viable integrated rural development service centers at the regional level in third world countries. |
| Tridimensional Model (Amansec, Wilhem B., 1986) | Focuses on the physical, socio-economic and religious cultural thrust. | For the school to be truly a dynamic social agent, a responsible commitment and a liberalizing and self-reliant community. |
| Integrated Community Development Strategy Model (Morato, Eduardo Jr., 1989) | Focuses on the three (3) wheels of the development vehicle, namely, environmental development, economic development and people development. | Aims to increase the productivity of the environment sacrificing the quality of the people and the regenerative potentials of its resources. |
| Stufflebeam, (CIPP) Model (Bautista, 1999) | Planning discussions to determine objectives, structuring decisions for instructional procedures, implementing decisions to improve procedures, recycling decisions to judge and react to the outcome produced | Information obtained from the context. Input are product evaluation will be the bases in redefining the community extension services of the school |

| | | |
|---|---|---|
| Participatory, Integrative, Curriculum Based Extension Model (PICE Pasicolan, 2001) | Community organizing process involving: needs analysis and resource assessment, network of information technology and resources action strategies implementation, and monitoring and evaluation. | Strengthen community management capability, improved socio-economic condition, and empowered communities. |
|---|---|---|

4.5 IMPLEMENTATION: ACCESS TO SOCIAL JUSTICE THROUGH UNIVERSITIES

This section is categorised as the main thrust of the study because it deals with the implementation of HE policies, the South African Agenda for higher education. The South African Agenda for South African policy implementation planning logically gave birth to the transformation policy triplets:

- Policy framework, which was a strategy and a sign of implementation itself, the logic to move from the old apartheid ways to a new democratic South Africa;
- Restructuring of HE institutions (mergers); and
- The logic of restructuring of HEIs naturally led the Restructuring of HE Curriculum (Programme Mix).

The resultant outcomes of the three processes outlined above created the impetus and the enabling environment for transforming the higher education landscape initiated by mergers of HEIs. The historical underlying conditions fuelled the 2001-2005 controversial institutional mergers are analysed in *The Restructuring of South African Higher Education* (Barnes, Baijnath & Sattar, and 2010:288). The institutional inherent weaknesses of the pre-1994 36 universities coupled with their social and racial iniquities,

which necessitated the need for the restructuring of higher institutions and transforming them to achieve social justice, are illuminated by Barnes *et al.* (2010:1).

The three authors assert that the fact that South Africa supported 36 higher education institutions before 1994 was among the most obvious manifestations of the cancerous social engineering of apartheid. Ever since the passage of the infamous Extension of Universities Act of 1959, which imposed racial segregation on university admissions and staffing, a veritable plethora of institutions were either built or reshaped to accommodate specific racial and language groups. It is further argued that the Bantustans or 'homelands', those particularly cruel and obnoxious fictions of apartheid, had their own institutions of higher education. In South Africa as a whole, English-speaking whites had the universities of Cape Town, Natal, Rhodes, and the Witwatersrand. The University of South Africa (Unisa) operated through the medium of distance education. Afrikaans-speaking whites had the universities of Stellenbosch, Pretoria, Rand Afrikaans, Orange Free State and Poschestroom. The University of Port Elizabeth was officially bilingual in English and Afrikaans. African students were accommodated at the universities of Fort Hare, Bophuthatswana, the North, Venda, Zululand, the Medical University of South Africa (Medunsa), the Transkei and Vista University. Indian students were served by the University of Durban-Westville and coloured students by the University of the Western Cape. There was also a full, matching set of technikons – Cape Technikon, Peninsula Technikon, Border Technikon, Technikon South Africa, and so on. It is worth noting that wherever they were situated and whatever they were called, all these institutions were managed and professionally staffed overwhelmingly by white males. The views of Barnes *et al.* (2010) crystallise the underlying racial, gender and social iniquities that warranted the higher education transformation and the efforts aimed at implementing the South African transformation policy agenda and achieving the objectives of the higher education reform.

Overcoming the persistent historical and racially-structured divisive factors that separate the former-homeland universities from historically white universities is one of the

greatest challenges that plagued the higher education reform agenda during the transition period, and continues to undermine the transformation of higher education agenda today. The second greatest challenge was and still is integrating the two irreconcilable university management cultures practised by the former Bantustan universities and historically white universities, a transformation task so complex and so difficult that government appears to be avoiding it as Professor Mokadi, Vice Chancellor and the Rector of the Vaal University of Technology, had rightly pointed out. The scale of social injustice and social inequalities outlined above is responsible for the government's creation of transformational framework for redressing the deeply ingrained racial and social structures that perpetuate various forms of discrimination against African students across the higher education landscape: the focus of government's HE transformation agenda.

The SARChI programme created by government, the HE transformation mechanism, is viewed as a effective tool to be used for accomplishing alleviation of poverty, eradication and reduction of poverty, oppression and other social problems experienced South Africa prior to its 1994's first democratic election. The rationale for exploiting higher education as the driver for the higher education transformation agenda is based on the notion that, if higher education was transformed to world class standard, it would tackle key socio-economic problems, and that would ultimately help to unlock and improve the quality of life for all.

The importance of transformation lies in the fact that school education and higher education sectors continue to build on the great democratic values triggered by post-apartheid independence enriched by human rights and the Bill of Rights entrenched in the 1996 Constitution. In the era of a knowledge driven society, transformation in the education sector has become a necessary tool for ensuring social justice.

Global studies confirm that transformation is the key concern in current educational policies and practices. The achievement of transformation as theorized globally entails the provision of equal opportunities to all citizens, the promotion of the human rights

culture and freedom from all forms of oppression and discrimination as advocated by Young (2000), as well as the liberation of space proposed by Ramphela (2002).

The views expressed above are perhaps a conservative conception of social justice or the confirmatory function of social justice embedded within the liberal tradition of social justice. The liberal concept of social justice does not reflect the radical view of social justice of the transformation agenda advocated by the youth of the South African rainbow nation. Social justice forms part of the South African transformation agenda of higher education, an important focal part of the investigation. This focal attribute of the research will be explored by subjecting the transformation pillars of higher education to a critical analysis. The analysis will argue that increased access to higher education, coupled with a broadened participation in higher education, embodies the essential hermeneutic elements necessary for achieving one of goals of social injustice, namely, redressing the imbalances and inequalities of the past.

Consequently, for access to promote a social justice agenda, it needs to reflect aspects of radical conception of social justice that informs this study. It is evident that the achievement of social justice is one of the greatest challenges of the 21st century and education has been noted as a vehicle for accomplishing the objectives of social justice, namely, to reduce oppression, inequality and to eradicate other social problems. The rationale for education as a vehicle in this respect is informed one of 21st century socio-economic hypotheses. The global developmental idea is based on the human capital premise that argues that investment in education provides the key to the socio-economic development that would improve the quality of life of all citizens on a long term basis. Related to this view of education is the liberal notion that it has also added unrestricted benefits that would promote equality in society (Bowles & Gintis, 2001). The socio-economic and private returns on investment in education are crucial on global scale and have been the goals of Education for All (EFA) and the Millennium Development Goals (MDG). During the current century, the demand for increased access to and participation in higher education is even more urgent owing to the cultural, economical and political

importance of the post secondary sector to the future of democratic societies (Giroux & Schmidt, 2004).

The importance lies in the fact that this sector continues to build on the great democratic and civil rights struggles of the 20th century which advanced education as a human right with the power to transform society, in order for the principles of justice to become a lived experience for all. In the current era of a knowledge driven society, expanded access to education has become a necessary tool for ensuring social justice. In the South African context, issues of access are similarly crucial to the transformation agenda of higher education and of the state and are embodied in one of the transformation pillars.

Importantly, social justice is quite complex in its application or implementation, particularly with reference to education. The elements of social justice in education are found in the scholars who argue that in the pursuit for a just society there need to be just institutions, curriculum justice and equity pedagogy (Clark, 2006). Equity pedagogy involves teaching strategies and environments that help diverse students obtain the necessary knowledge, skills and attitudes in order to function effectively within a just, democratic society (Clark, 2006). This implies that, ideally institutions of learning which promote social justice need to ensure open access, and to promote the success of their students. The three progressive discourses that enliven social justice are critical pedagogy, cultural studies and anti-globalization movement. In her review article *Education for Social Justice: Provocations and Challenges*, Hytten (2006:221-236) argues that the common feature of these discourses is to call for education whose goal is to transform the socio-economic status quo and recommend socially just alternatives.

Hytten (2006:229) reconfigures the vision and promise of social justice as follows:

Firstly, it asks us to uncover, examine, and critique the values and politics that undergird educational decisions and practices, even as we also explore the more instrumental issues of organizing curriculum and instruction. Secondly, it compels

us to challenge educational common sense and to ask important questions about why we do things we do in schools and who benefits from them. Thirdly, it calls for us to attend to the ways in which schooling often contributes to the creation, maintenance and reproduction of inequalities, particularly along lines of race, class, gender, language, sexual orientation and other categories, ultimately so we can construct more empowering alternatives.

The above passage illustrates that access to higher education needs to be more empowering and liberating for students so that they can critically question the status quo in order to transform it into better alternatives. Access, as theorized by social justice, moves beyond the obsession with numbers to a more holistic empowerment of students so they can make a meaningful contribution to the development of democracy. Thus, access needs to be informed by the elements of social justice education. Clark (2006) argues that social justice is crucial and must be accompanied by its implementation so it gains the impetus if is utilized as a standard against which policies and practices can be judged. The tangible yet theoretical underpinnings of social justice that promise empowerment and liberation are found in the principles of social justice education, of which four key processes could bring about social justice in any educational environment.

In his arguments concerning social justice, Nunan (2000) argues that educational theory that promises social justice is inclusive education. In principle, in an inclusive institution, diversity is celebrated and valued, the curriculum and delivery process accommodates all students and conscious steps are taken to ensure that institutional resources are accessed and used equally by all. The main objective of inclusive education at all levels of schooling is to reinforce social good as well as individual benefit by opening up access and further creating an environment that promotes the capabilities of all, culturally and economically (Nunan, 2000).

Advocates of inclusive education are aware that it is a contested terrain which is perceived as unachievable and undesirable by opponents but they maintain that for the

sake of promoting social justice, inclusive education is a more appropriate standard of excellence. The theoretical underpinnings of social justice and other related educational trends and philosophies such as social justice, inclusive education, critical pedagogy and universal design, though originating from diverse backgrounds, are united in promoting and opening access and encouraging the success of all students, regardless of race, class, gender or ethnic origin.

Transformation is a thorough on-going process of bringing about fundamental change that is designed to unseat the status quo and replace it with a qualitatively higher order. Seen in this light, transformation is progressive and beneficial, and addresses long term societal interests compared to ad hoc reforms (which is defined by Oxford Dictionary as amendment of what is defective, vicious, corrupt, or depraved). Transformation entails not only policies, institutions and processes but values and attitudes that resonate with and support the transformed environment. Contestations and struggles between competing groups in the transformation and the policy process are highlighted throughout the process. The contestations between competing contenders for power manifest when policy texts are being produced, when they are being discussed and scrutinized in public discussions and hearings, when they are being adopted in the legislature or other bodies, and when they are being implemented, monitored and evaluated. Such actors and groups use a variety of strategies and methods to influence decision making, policy content and implementation to their own advantage.

Transformation, and in particular, the policy transformation process is beset with continuous debate, contestation and struggle for the success of ideas and interests which are pursued by individual actors, groups and policy networks through the institutions. During these different stages policies are modified, constituted and reconstituted. As a result, they give rise to intended and unintended outcomes which are likely to support or contradict the objectives of those policies. Hence, the process cannot be explained using only one approach or theory. Therefore, this study has been situated in ideas, group and network and institutional approaches or theories to examine the factors that have affected

higher education policies, their formulation and implementation and the overall transformation of higher education in South Africa. It contends that policy change and variation result from interaction of ideas and interests within patterns of group and policy networks and preset institutions. The study adopts qualitative interpretive methods in order to question, understand and explain institutions, interests groups and ideas, socio-economic and power relations involved in the process.

4.6 LEADERSHIP APPROACHES/THEORIES OF THE POLICY PROCESS AND CHANGE

While the above discussions show the complexity of the policy process, theoretical triangulation or multiple social justices, pragmatic, communitarian and distributed leaderships theories have been employed to unravel the competition for powerbase that characterised the HE transformation process as well as to link the diverse literature and data together.

Another aspect of linkage structuring techniques entails the exploitation of institutional, socio-economic, group, network and rational choice approaches and ideas. Perhaps, it must be reiterated that the study has been situated in ideas, group and networks and institutional approaches aimed at discussing education policies, their formulation and implementation and the overall transformation of the education sector in South Africa. The following discussion presents the approaches that have been adopted to examine the phenomenon under investigation and to outline how they have been used to achieve the objectives of the study.

4.6.1 Institutional approach

Traditionally, the institutional approach tends to concentrate on describing the formal and legal aspects of governmental institutions, mainly by discussing their formal organization, rules and procedures, legal powers, activities and functions. However, the

traditional approach did not pay much attention to explaining how institutions operate or analyze public policies produced by institutions. Moreover, it did not attempt to find out the relationships between institutional structures and public policies (Anderson, 1990; Dye, 1992/2007). Subsequently, the attention of this approach shifted from concentrating on formalism to analyzing the political processes within governmental institutions focusing on the behavior of participants in the process and on political realities. Despite its narrow focus, this approach can be used in public policy analysis. Government institutions are a set of regularized patterns of human behavior known as rules or structures that persist over time. It is their differing kinds of behavior patterns that distinguish, for example, courts from legislatures, from administrative agencies and so forth (Anderson, 1992).

Rules and structures can affect decision making and the content of public policy. Rules and structural arrangements are not neutral and may give advantage to certain interests in society and withhold advantage from other interests. Some individuals and groups may enjoy greater access to government power under one set of structural characteristics than under another. Hence, the structure of governmental institutions may have important policy consequences. In some countries, power is allocated among different spheres or levels of government creating different arenas of action. In other cases certain groups may be able to exert more influence if policy is made at the national level whereas others may benefit more from policy making at state, regional or local level.

The institutional approach has been adopted in the study to explain the effect of institutional rules or structures, arrangements and procedures on the adoption and content of policies in the education sector in South Africa including the outcome of their implementation. This has been done by examining the institutions (the provincial and National Departments of Education, the National Assembly, the National Council of Provinces (NCOP), provincial legislatures and other bodies) and the existing rules or structures of the institutions that are involved in the education policy process. It also entailed an analysis of the formal policy process in education, and the different roles

performed by each institution in the process. The above measures were intended to find out and explain whether institutional rules or structures facilitate certain policy outcomes or obstruct others, and whether they provide advantage to certain interests in the society or exclude others. The institutional approach has also been adopted to examine the organisation or arrangements of the institutions at different levels (national, provincial, district and school) including allocation of powers, roles and responsibilities in the policy process (formulation and implementation of policies in education) as provided for in the South African Constitution.

However, the institutional approach has limitations. For instance, it may not be adequate to analyse how different actors in the different institutional structures, for example, the executive (the national and provincial DoE) relate to and interact informally with others (like groups from outside the government, politicians and other members of the executive and bureaucracy), and how such relationships and interactions affect the outcome of the policy process in education. Moreover, the Constitution of South Africa provides for consultations and participation of citizens in the policy process. However, the institutional approach on its own may not enable the researcher to find out the informal relationships and interactions which take place in the different institutions and avenues between different groups during the policy, or on how they effect on the adoption and content of the policy.

The institutional approach is also not adequate to analyse the types of individuals or groups that participate or are involved in consultations, including their values, aspirations and perceptions, and those that are excluded from the process. This would have enabled the study to explain how inclusion and exclusion of different groups and individuals affect the adoption and content of policies and their implementation. Limitations of the institutional approach have been identified in a number of studies. Dewey (1909) observes that the institutional approach tends to neglect the political and social context that affect the way formal rules and norms operate. Actors and groups often circumvent institutions in the pursuit of their interests. Moreover, any institution becomes weak if

powerful groups gain access to public decision making. Groups have resources to ensure that politicians and bureaucrats respond to their interests no matter what legal and constitutional weapons are available (Howlett & Ramesh 1995; Brown, 1995). Owing to the above identified limitations, this study has complemented institutional approach with group and network approaches in order to analyse and explain the effects of the above factors on the adoption and content of education policies and their implementation.

4.6.2 Group and network approaches

Group and network approaches put emphasis on the importance of interactions between the participants in the policy process. This approach believes that policy emerges as a result of informal patterns of association. Groups formulate policy and set the agenda. Groups also try to influence the legislative and executive decisions. Besides the above areas of involvement groups usually participate in the decisions about implementation. That they often implement policies themselves needs to be also mentioned (Sabatier, 1999).

Practitioners of group approaches contend that politics is about associational relationships because the formal office holders are part of interest-based politics just like the groups themselves. This means that political parties are composed of groups, legislatures are constituted by group action, and different branches of public bureaucracies behave as groups in their own right (Dewey 1909; Anderson 1992). Hence, the assumption is that the state is fragmented into different groups, each with its own interests and preferences. Advocates of this approach also contend that patterns of alliances build up between outsider groups and the bureaucrats. Such groups have different interests, preferences and powers. The patterns of alliances are the ones which structure policy rather than the institutions of the state.

The group approach has been criticised for exaggerating the importance of groups while underrating the independent and creative role played by public officials in the policy

process. They have also portrayed a stable relationship between a few sets of actors without taking into consideration the complexity of the policy process. It is contended that the emergence of a variety of issues besides economic interests, the prevalence of protest, the questioning of authority and the loss of certainty and optimism in solving policy problems, have led to a vast number of relationships between groups of all types and rendered the policy process more complex (Dewey, 1909). This has led to policy networks approach, which explains relationships between decision makers as they operate in different policy sectors. The group approach assumes that different kinds of relationships between group representatives, bureaucrats, politicians and other participants in decision-making account for the different ways in which political systems process policy (Rhodes, 1994; Dewey, 1909; Sabatier, 1999).

The policy networks approach is different from group politics because the relationships between decision makers matter more than the effect of the presence of an organisation in the policy process. It is similar to the group account because it focuses on the informal and associative aspects of decision making rather than just on formal arrangements. Rhodes (1994) asserts that currently policy making involves a large number of institutions in each policy sector, especially when there are elected and non-elected bodies. Although decision making bodies have room to manoeuvre, they normally depend on each other particularly in exchange of resources and therefore form close dependent relationships within a policy sector. Relationships within a network can be established by finding out the extent in which actors are linked to each other, the person who facilitates contact of members/actors, the closeness of actors to each other in terms of the structure of their relationship and the number of clusters of relationships.

Studies have distinguished between policy networks and policy communities (Rhodes, 1994; Wilks & Wright, 1987). Policy networks have loose, open and reputable actors. They are interest-based and participants are assumed to take part in the networks in order to further their own ends, which are seen as essentially material and are recognisable from outside the network.

On the other hand, policy communities are characterised by stable and restricted membership, shared responsibilities for delivering services and a high level of integration. They consist of a small number of participants who know each other well and who share the same values and policy goals. It is assumed that policy emerges through the roles and values of the participants rather than through debates in the wider democratic process (Wilks & Wright, 1987; Rhodes, 1994; Dewey, 1909). It is also contended that networks are a space within which trust and policy learning takes place. Through networks actors trust each other and exchange policy ideas, and this enhances the potential for policy learning (Rhodes, 1994; Dewey, 1909).

Groups and policy networks approach have been adopted in the study to explain the effect of relationships and informal interactions that obtain in different groups and policy networks. These groups and networks consist of interest groups and lobbyists, experts, policy analysts, executive administrators, bureaucracies, politicians and other actors that formulate and implement policies in education. This study examines different groups and policy networks that were involved in the policy process in particular, the South African Schools Act, their organisation and the relationships among them. It identifies how actors contacted each other and whether there were specific leaders in each group, it examines how close the actors were to each other in terms of the structure of their relationship, and it identifies the advantages and other means they had that enabled the groups and networks to remain cohesive. Furthermore, the study seeks to find out and explain how groups and networks involved in the policy process operate, why and how relationships in the networks are formed, how they are organised, how actors manage differences, and how all these factors affect decision making, the content of policies and the outcome of their implementation.

Groups and policy networks approach has also been adopted to examine the strategies and methods used by different groups and networks to influence the policy process in each phase and in various institutional structures. The main focus is on the South African

Schools Act although reference is also been made to other education policies. However, the group and network approach on its own is not adequate to explain decision making, policy variation and change. The issue of how networks operate, their values, aspirations, interests and goals, including the strategies and methods adopted to influence decision making in the policy process, entails the inclusion of the role of ideas in the analysis. It is assumed that ideas as well as interests bind together groups and individuals in a policy sector, thus enabling them to exert more influence (Anderson, 1992; Parsons, 1995; Dewey, 1909).

4.6.3 Ideas

The policy process is permeated by ideas about what the best course of action should be and beliefs about how goals could be achieved. However, in most cases, there are disagreements on the goals to be achieved and the proper course of action to adopt. Therefore, participants or advocates of the policy process put forward contrary ideas and engage with others in order to emerge as winners. The advocates may be experts, agency bureaucrats, legislators, politicians, members of different interest groups and so forth. Hence, an ideas based approach emphasises that the reasons for policy change and stability are the ideas that the above actors bring to the public sphere. According to John Dewey (1909:145):

The reason why there are particular policies is because people believe and try to influence decision makers on the basis that there is a right course of action. Advocacy is a causal factor over and above the effects on policy of political institutions and interests.

Consequently, Majone (1989:2) argues that in addition to political institutions and interest groups, advocacy has effect on policy change. He asserts: We miss a great deal if we try to understand policy making solely in terms of power, influence and bargaining to the exclusion of debate and argument. Policy analysts contend that different public

decision making forums in the United States and many other countries weigh different forms of evidence and attempt to find solutions to policy problems. Dewey (1909:145) argues that the reasons for policy change are not about the relative power of interests, each with resources and strategies which would be able to influence outcomes in the policy process, but about the quality of arguments which the lobbyists and government agencies present to other public decision makers, to the media and to other experts. The ability of participants to argue, to use rhetoric and to marshal evidence is crucial. Even if these activities are not scientific and hide real interests, the conditions of public discourse demand objective and research based argument. Advocacy, however, elaborates and stylizes such arguments while not challenging their rationality. Studies have shown the importance placed on the role of analysis and ideas on the policy process.

Sabatier (1999) has identified advocacy coalitions which form in a policy sector and whose members are distinguished from other coalitions through shared values and knowledge. Hence, a policy position is based on claims about knowledge and causation. Policy analysis and the growing need of arguments for evidence in the policy process has led to an increase in the number of participants, among them experts, analysts, technicians, journalists, television programmers, researchers and academics.

Ideas have also been important in policy transfers (Majone, 1989). Policy makers investigate the negative and positive experiences of others and seek to apply the positive policy attributes to their own contexts. In such cases, what is being transferred are ideas. Most of the approaches to the policy change and variation show the importance of ideas in the process. Institutional analysis emphasises the importance of ideas. As Krasner (1988) has shown, institutions effect actions. This transformation of actions is carried out by shaping the interpretation of problems and possible solutions. This objective is achieved by constraining the choice of solutions and the way and extent to which they can be implemented. Although ideas do not have an independent existence, they play a major role in group and network approaches, debates and ideas are advanced by competing interests to influence policies to their favour (Lindblom, 1980; Ham & Hill, 1984; Sabatier, 1999; Kingdon 1984).

The discussion above shows that one approach on its own is not adequate to explain the policy process. As a result, the study has been located in ideas, group and networks and institutional approaches to examine the factors that have influenced policies, their formulation and implementation and the overall transformation in education.

4.7 CONCLUSION

The review of the policy frameworks has revealed that the complexity of the policy frameworks undermines their successful implementation undertaken by higher education institutions, a scenario that ultimately impacts negatively on the quality and quantity of graduates produced by higher education institutions. The failure by HEIs to successfully implement policies has led to chronic mismatches between policies and implementation practices. Research concludes that it is clear that the policy process normally is not matched in terms of implementation outcomes. Cloete *et al.* (2002) confirm this state of affairs when they state that policy studies show convincingly that policy outcomes are hardly ever the same as the policy intentions. Cloete *et al.* (2002) conclude that there is a yawning gap between politics and political programmes and the dynamics of public sectors such as higher education.

Sandbrook (1998/2003), who is more direct in his evaluation of transformation processes and states that the view that democratization will resolve problems of inequality and poverty is overly sanguine. Sandbrook (1998/2003) further argues that in principle electoral politics empowers the poor to demand reform. In practice the entrenched power of the dominant classes obstructs social and economic reform. In his evaluation of the performance of the HEIs, Jansen (2002) reports that the national and provincial policy makers display a rich tapestry of policy symbols signalling mass opportunity, but are stitched together with a thin thread. Jansen (2002) refers specifically to the promises of a lifelong learning that did not come to much.

Cloete and Muller (2002) observe that although international experts describe the NCHE proposals for transformation as one of the best tertiary education policy documents ever written, the question remained whether the government has the ability to implement them. Professor Pityana's recommendation is that policy must factor in the contributions expected from higher education and how such partnerships can be structured to become our common responsibility. He says that in partnerships, universities must not be mere recipients of the state's bounty but be co-investors with the state and other sectors of society in a common enterprise (Pityana, 2005). The next Chapter discusses how the higher education institutions practically operationalise the policies and legal frameworks in order to implement or translate stated objectives of HE transformation reform process into practical and successful actions. The practical operationalisation of policy objectives of higher education transformation reform by universities is the focus of the next Chapter.

CHAPTER 5

THE OPERATIONALISATION OF POLICIES IN HIGHER EDUCATION INSTITUTIONS

5.1 INTRODUCTION

The previous Chapter focused on the structured policy frameworks created by government to deal with challenges that face the higher education landscape. The Chapter achieved this by focusing its attention on analysing the challenges encountered by concerted efforts aimed at implementing HE transformation policies. The previous Chapter tackled this aspect of the study by exploring how universities' implemented policies aimed at ensuring transformation in the HE landscape. Chapter 5 on the other hand is devoted to evaluating or measuring how HEIs have operationalized and implemented the higher education transformation policy objectives, the thematic area that was virulently criticised by the 2008 Ministerial Committee Report on implementation of transformation agenda policies by universities.

In 2008, the Higher Education Ministerial Committee carried out a process evaluation that investigated whether higher education institutions had successfully implemented transformation reform objectives aimed at redressing past social inequalities. The findings of the 2008 Higher Education Ministerial Committee Report found that persistent forms of discrimination still existed in the majority of universities. The findings suggested that various forms of social injustice existed in many universities and isolated major social justice violations for criticism. The major discriminatory acts included unequal access to services within universities, gross inequalities and undemocratic leadership styles that excluded black student participation in historically white higher education institutions. Besides the gross violations of policy goals aimed at democratising

and creating an equality-oriented academic environment for knowledge production to flourish, the report found out that there was a constant mismatch between government transformation policies and the HEIs' implementation results.

The disjunction between policy and practice, according to the Ministerial Committee Report, stemmed from poor dissemination of information pertaining to policy, limited awareness of policies, a lack of awareness of roles and responsibilities pertaining to the implementation that flow from the policies, and a lack of institutional will (Final Report of Higher Education Ministerial Committee, 2008:14). The above finding reflects a rather poor operationalisation of policies in Higher Education Institutions regarding implementation.

5.2 THE TRANSITION

The political transition in South Africa is regarded by many as a democratic miracle. The relatively peaceful transition into a hopeful democracy laid the foundations for fully democratic institutions to be established in the new order. Kotzé (2002a) notes that in this process, the apartheid regime, which had effectively merged the ruling regime and state into a single hegemonic unit of social control, was effectively dismantled. In the political space previously controlled by apartheid government, a republic had emerged with the characteristics of an autonomous state underwritten by relatively rigid constitution. The apartheid authoritarian and discriminatory political, social, socio-economic and racially structures inherited by the ANC-led government in 1994 compelled the new government to effectively set South Africa on the path of state transformation and more importantly, deliver the benefits of democracy to the greater majority.

In 1994, South Africa held its first non-racial elections. The holding of such elections enabled political parties to exercise legitimate authority and citizens to obtain protection by the rule of law. However, more significantly, the 1994 democratic election ushered

South Africa into an era of democracy that set key pillars of democracy in place (Muthien, 2000).

Following the first democratic elections held in April 1994, South Africa's first Constitutional Assembly had exactly two years from May 1994 in which to draft a new Constitution that would replace the Interim Constitution (Act No. 200 of 1993) drafted during the negotiation process of the Convention for a Democratic South Africa (Codesa) (Venter, 2001). The Interim Constitution acted as the guiding criteria by which the new constitutional text would be measured. The final draft of the Constitution was signed into law in 1996, (Act No. 108 of 1996) signalling the democratic turnaround and success of the 1994 elections.

With the structural and institutional changes that came with the new democratic order, came the drafting and the implementation of new policies that would reverse the effects of apartheid and address the challenges of socio-economic development through redistribution. Before 1994, the ANC took the ownership of the COSATU-designed RDP, an ambitious plan for socio-economic transformation and the dismantling of the structure of the two nation's society, that is, black and white (Kotzé, 2002b). However, the plan did not live up to expectations and proved difficult to implement and practise. The Growth, Employment, and Redistribution (GEAR) plan, launched in 1996, was regarded as the neo-liberal macro-economic strategy, surpassing the RDP feasibility.

5.3 THE POST-1994 TRANSFORMATION PROCESS

Following the first democratic elections in 1994, the ANC and allied mass movements were busy designing principles, values, visions and goals for a new education order. Considerable attention was also focussed on the role of the state in higher education transformation, and the relationship between the state and civil society (Badat, 2004). There was a higher degree of participation by mass movements and civil society in the context of political and constitutional negotiations.

Beginning with the National Commission on Higher Education and culminating in Education White paper 3 of 1997 and the Higher Education Act of 1997, the concerns were to elaborate in greater detail an overall policy framework for higher education transformation. The more extensive elaborations included sharply defined goals and policies, as well as elaborate structures for policy formulation and implementation. The detailing of operationalisation also extended to devising strategies and instruments for effecting change in areas such as success, learning and teaching, governance, financing and funding, and determining the shape and size of higher education (Badat, 2004).

Badat (2004) further argues that the South African Constitution of 1996, the 1997 White Paper and the Act directed the state and institutions to realise profound and wide ranging imperatives and goals in and through higher education. In essence, the social purposes articulated in the White Paper resonate with the core roles of higher education of disseminating knowledge and producing critical graduates, producing and applying knowledge through research and development activities and contributing to economic and social development and democracy through learning, research and community engagements.

5.4 DYNAMICS OF CHANGE

As part of the vision of a transformed, democratic, non-racial and non- sexist system of higher education, higher education was called upon to advance specific goals (DoE, 1997). These included equity and redress, quality, development, democratisation, academic freedom, institutional autonomy, effectiveness and efficiency and public accountability. The key levers for transforming higher education were to be national and institution-level planning, funding and quality assurance. In the context of commitment to societal reconstruction, and a development programme to which higher education was expected to make significant contribution, the higher education transformation agenda was complex, extensive in scope, and also fundamental in nature.

The government began to make decisions with respect to crucial policy goals and issues. The government focused on these issues because it was believed that there had been little progress or unintended policy outcomes, either because of inadequate state steering or the assumption that there would be a common understanding among all the key higher education actors on the goals and appropriate strategies of transformation. The 2001 National Plan on Higher Education embodied these decisions. This comes after the signalled impatience of the Ministry of Education with the pace and nature of change and its determination to act. The Ministry of Education noted: After apartheid, privilege and disadvantage is no longer kept in place by violence but by the workings of inertia and continuing privileged-higher-system, in large measure, continues to reproduce the inequities of the past, and this must end. The Ministry added that the time is long overdue. The reform of higher education cannot be further delayed, nor can it be left to chance. The plan is not up for further consultation and certainly not for negotiation (MoE, 2001).

The goals stipulated in the plan related to the production of graduates (participation rate, student recruitment, distribution of students by fields and the quality of graduates), student and staff equity, the maintenance and enhancements of research outputs, differentiation and diversity in the higher education system, and restructuring of the higher education landscape, (MoE, 2001).

Badat (2004) argues that if the 1997 White Paper on Higher Education was the outcome of a largely participatory process, and represented a national democratic consensus on the principles and goals of higher education, the strong contestation between the state and higher education institutions during this later period revealed the fragility of the consensus regarding the principal criteria, processes and strategies that were to be employed to achieve policy goals. This was subsequently highlighted with regard to institutional restructuring and the creation of a new higher education landscape. In the face of the strength of particularistic institutional interest, which made substantive

consensus on crucial issues difficult, the role of the state began to predominate, and there was acceleration towards substantive policy development of a distributive and material nature. To the extent that significant and diverse social and institutional interests were not effectively mediated, there was a danger of policy paralysis and reproduction of status quo.

The transformation process was taken one step further when the Higher Education Act of 1997 was promulgated by Parliament making Institutional Forums mandatory for all institutions of higher education. The functions of an Institutional Forum of a public higher education institution include the following: Advising the council on race and gender equity policies, the selection of candidates for senior management positions, codes of conduct, mediation and dispute resolution procedures, and the fostering of an institutional culture which promotes tolerance and respect for fundamental human rights and creates an appropriate environment for teaching, research and learning (The Higher Education Act, Act 101 of 1997).

Research argues that accepting this challenge implies, among other things, managing the diversity which is created by affirmative action interventions, changing the organisational culture, re-conceptualising appropriate leadership styles, restructuring organisations, reformulating what constitutes good teaching, and developing staff and students to work in an organisation that is very different from what it used to be (Havenga, 1993:12).

Of significance to the process of change in South Africa was the research conducted by Jackson and Holvino (1988), which had resulted in a model that describes three developmental stages that any organisation traverses as it moves from a mono-cultural state to a diverse or multicultural state. The three stages are:

- a. The mono-cultural stage which is characterised by either implicit or explicit exclusion of racial minorities or women;

- b. The non-discriminatory state which is characterised by a sincere desire to eliminate the majority's unfair advantage. However, this is done without the organisation significantly changing its dominant culture, but by ensuring that the climate of the organisation is not a hostile place for the new members of the workforce; and
- c. The multicultural state which describes the organisation that is either in the process of becoming or has become diverse in the most visionary sense that reflects the contribution and interests of the diverse cultural and social groups in the organisation's mission operations, products, or services. The organisation also commits to eradicate all forms of social discrimination and shares power and influences so that no one group are put at an exploitive advantage.

The above three stages can be related to the transformation process that South Africa was facing and would have to grow through. The mono-cultural stage can be compared to the apartheid ethos, when the dominant culture was *white-Eurocentric* and open discrimination was practised. During this stage, the vast majority of the country's student population was discriminated against in terms of access to quality education. This stage had now been left behind with the dismantling of the apartheid system and the election of a democratic Government. South Africa was now entering the non-discriminatory stage, which could be linked to the implementation of affirmative action interventions which would be to put in place to redress the past imbalances of the former stage. However, a *white-Eurocentric* culture still tends to dominate in many organisations including the institutions of higher learning. Finally, the country would have to enter the last stage, that of multiculturalism, which could only be brought about by the acceptance of a diverse nation and by the eradication of all forms of discrimination. It is when this stage is reached that a 'new' culture built on the country's diversity may emerge.

Motshabi (1993:33) explicates South African multiculturalism as follows: The different cultures of South Africa may yet yield a common culture, the whole of which is an improvement on its constituent parts. It is, therefore, argued that the transformation must be focused on the human being, and move away from a "white male-orientation" in

management, all levels of academic and administrative staff, and the student body. How the overall transformation of the South African education has been affected by the large-scale educational reform is the preoccupation of the next section.

5.5 TRANSFORMATION OF EDUCATION IN SOUTH AFRICA

The political situation in South Africa inevitably affected education in the country, which is one of the most important pillars in building any society and in ensuring a decent life for its people. However, during the apartheid era, education was provided according to the roles that people were supposed to play in society. In line with its policies of discrimination, the apartheid state enacted the Bantu Education Act in 1953 which ensured that the majority of African children received education that relegated them to unskilled manual labour and low status jobs.

In June 1999, the Ministry of the Department of Education presented a *Status Report* following the second democratic general election. The *Status Report* was a compact yet informative review of the transformation of education since the advent of the democratic rule. For the purpose of this study, the researcher will discuss two critical issues touched in the report, namely, redress and institutional support for historically disadvantaged institutions (HDIs).

The Ministry of Education identified the years between 1994 and 1999 as the years of change, with a number of undeniable achievements. The first democratic leadership or administration unleashed profound forces of democratisation which resulted in a significant imprint on the country's education and training system. In the first place, the complex disestablishment of nineteen fragmented apartheid education departments was initiated and completed. The Pre-1994 education dispensation was replaced by a unitary non-racial system of provincial education management and administration.

Over time, the nine provincial departments, together with the national department, started the complex task of functioning as a single national system of education and training. Without regard to race, class, religion or creed, South African children and university students were brought under one roof. These changes were brought about in compliance with the provisions of the South African Schools Act of 1996, the further Education and Training Act of 1998 and the Higher Education Act of 1997. The *Status Report* of course, refers to many other matters of importance. This means that, the first five years of change produced four groundbreaking education White Papers, six Acts of Parliament and nineteen associated government notices covering regulations. Additionally, a number of statutory and non-statutory councils and bodies were established to facilitate the implementation of government policies. The most notable amongst these was the South Africa Qualification Authority (SAQA) and the Council on Higher Education (CHE).

There was a racially and ethnically divided system of governance, with 19 operating departments under 14 different cabinets, each implementing its own regulations under 12 education Acts (ANC Policy Framework on Education and Training, 1995). The authoritarian system of educational governance and management produced a bureaucracy that was inefficient, ineffective and of low quality at all levels. The non-consultative and top-down style of bureaucracy restricted wider participation in policy formulation and ensured political control by its top echelons. Resistance to the education system (which was also linked to the overall political struggle) was transformed in 1976 when the Soweto Students' Uprising took place. During this historic students' revolt against the heinous apartheid system and Bantu Education, African learners boycotted the use of Afrikaans as a medium of learning. Student protests and school boycotts intensified throughout the 1980s and early 1990s. Although such mass movements were geared towards challenging the state's education system, they were linked to the broader political struggle of black communities against the evils perpetrated by the apartheid system.

During the negotiations towards the eradication of apartheid in education, different groups and constituencies advanced views on how to transform the educational system in

South Africa in order to address the problems created by the apartheid system. The South African higher education sector (before the fall of apartheid) was inevitably deeply coloured by racism politically propagated by the apartheid regime. The sector was highly fragmented. Institutions were intended to serve specific races and ethnicities and to embrace specific ideological values. The system included institutions now termed as *historically white* or *advantaged* and those termed as *historically black* or *disadvantaged*. This past legacy continues to make its influence felt in the transforming higher education sector in South Africa today (Badat, 2004:2-3). The South African higher education sector includes 23 public higher education institutions.

The democratic government established after the 1994 elections outlined the transformational vision for South African education as one that was comprehensive and which would bring fundamental changes in all major aspects of the educational system. The principles that guided the new government's transformation process and education policy formulation efforts were outlined by the Department of Education (1995) as:

- Equity and redress: ensuring that all forms of unjust differentiation are removed and equal opportunities are provided to the majority of South Africans;
- Democratisation: ensuring that democratic, representative and participatory governance prevails;
- Quality: setting educational standards and ensuring that they are maintained in conformity with transformative norms, standards and ideals of excellence;
- Development: making certain that the educational system is transformed to enable it to contribute to the common good of society;
- Effectiveness and efficiency: ensuring that desired outcomes or objectives are achieved without unnecessary duplication and waste;
- Institutional autonomy: ensuring that organisational choice and self regulation are embraced and facilitated.

The post-apartheid South African government has committed itself to achieving fundamental transformation of the education system. The government has adopted policies and measures that were aimed at achieving the goals of equity and redress and enhancing democracy and participation of all groups in development and decision making processes at all levels. It is acknowledged that the democratic government has accomplished a lot in education within this short period and has made numerous strides in enhancing equity, redress and social justice, providing high quality education for all the people of South Africa, promoting democratisation and development, and enhancing effectiveness and efficiency. Despite these apparent achievements, research suggests that there has been a number of setbacks and contradictions in policies. The resulting contradictions arising out of the higher education agenda have affected the process of bringing about fundamental change and transformation in the education sector. These contradictions have also affected the formulation and implementation of the policies, thereby limiting the achievements of the goals of the transformation agenda in education.

5.6 CONCLUSION

Chapter 5 probes the operationalisation of policies in HEIs by situating the thrust of the Chapter around the response of the universities towards the demands of HE policies. The review of the data suggests the higher education institutions are struggling to implement the policy objectives successfully. This conclusion is re-affirmed by the findings of the 2008 Higher Education Ministerial Committee Report.

Race attitude research indicates that the acceptance of the principle of racial equality is frequently offset by opposition to policies designed to eliminate injustice (Durrheim & Dixon, 2004). To achieve its objectives, the study used document analysis that entailed a systematic examination of the documents produced by the DST, the NRF and data that deals with the South African Research Chairs. The study also directs its attention to determining whether the performance of SARChI Chairs and HEIs have succeeded in meeting the stated objectives and the targets of their mandate.

The researcher's concern in this chapter was to assess the data collected and to extract evidence to support the thesis that the tool, namely, the SARChI Programme, has enhanced academic performance of the higher education institutions. The focus of the analysis is dominated by literary and critical discourse analysis rather than by a mere description of the documents and data. The analysis poses pertinent questions about the purpose of these Research Chairs, the issues of racial equity raised by the National Plan, the outcome performance indicators of the policy implementation since the commencement of SARChI programme, how the incumbent Research Chairs and universities have implemented transformation policy goals and resultant educational outputs of SARChI Chairs and HE institutions.

The researcher is of the opinion that this holistic approach works best when the fundamental purpose is directed at gaining deeper insights and understanding of all the myriad of data sources relevant to the phenomenon under study. Hence, the researcher is of the opinion that document analysis blended with critical discourse analysis helps her recognize the transformation pattern that the Research Chairs might lead to in the future. It is important to point out that emerging pattern referred to above is generated through the use of the first-round SARChI programme evaluation documents and research reports which have been distributed across higher education institutions.

The 2001 National Plan of Education states clearly that one of the measurable outcomes of the Research Chairs entails promotion of equal access to HE and fair chances for success to all who seek to realize their potential through higher education, a social justice objective that also entails eradicating all forms of unfair discrimination and advancing redress for past inequalities (White Paper of 1997). The fundamental purpose of this social injustice redress exercise is to ensure that the student and staff profiles progressively reflect the demographic realities of South African society and to increase the representation of blacks and women in academic and administrative positions, especially at senior levels. Just as the policy frameworks form the foundational basis that

generate the HE transformation agenda, the Research Chairs are envisaged to be the vehicle that drives the implementation of higher education institutional stated objectives. Hence, the SARChI implementation mechanism is expected to address the issues of retaining and attracting black qualified research scientists to the HE sector and to create research career pathways for highly skilled, high quality young and mid-career researchers that effectively address historical racial, gender and age imbalances.

The researcher is preoccupied with assessing whether the Research Chairs have successfully addressed the past ineffective institutional practices, cultural norms, decision-making and standard operating procedures of public and private institutions that may seem race-neutral, but generate racially biased outcomes be with the SARChI Chair holders themselves or the students of the Research Chair.

The other reason for employing the document analysis for interpretation of data collected is driven by the need to submit documentary data pertaining to the study (such as legislations and policy documents within the South African context) to critical narrative analysis and critical discourse analysis . The review of the large body of qualitative secondary data intends to provide context as well as in-depth narrative textual analysis. The next chapter deals with the greatest thematic concerns of the research study, which is the SARChI Policy Framework.

CHAPTER 6

THE SARCHI POLICY FRAMEWORK

6.1 INTRODUCTION

The previous Chapter focussed on evaluating how HEIs have operationalized and implemented the higher education transformation policy objectives, the thematic area that was virulently criticised by the 2008 Ministerial Committee Report on implementation of transformation agenda policies by universities.

Chapter 6 focuses on the transformation of higher education institutions undertaken by the South Africa government, which aims at using the production of world-class graduates as development-driven tool to stimulate the stagnant economy and also to redress centuries of black impoverishment ideologically engineered by colonialism and apartheid rule, which stretched from 1948 to 1994. The South African Research Chairs are expected to transform the underperforming HEIs, particularly historically black higher education institutions into research and innovation institutions that are capable of producing first-class graduates, who could transform the country's economy and reduce the huge unemployment.

6.2. THE SOUTH AFRICAN RESEARCH CHAIRS INITIATIVE

The Government and the DST have, in 2006, introduced an intervention through the South African Research Chairs Initiative, which is mainly a human resource intervention of the government of South Africa, led by the DST and being managed by the NRF. The programme is funded through contract funding from government departments and private sector companies, with the DST currently being the only government department and major funder, exclusively supporting 80 Research Chairs. Recently, the FirstRand

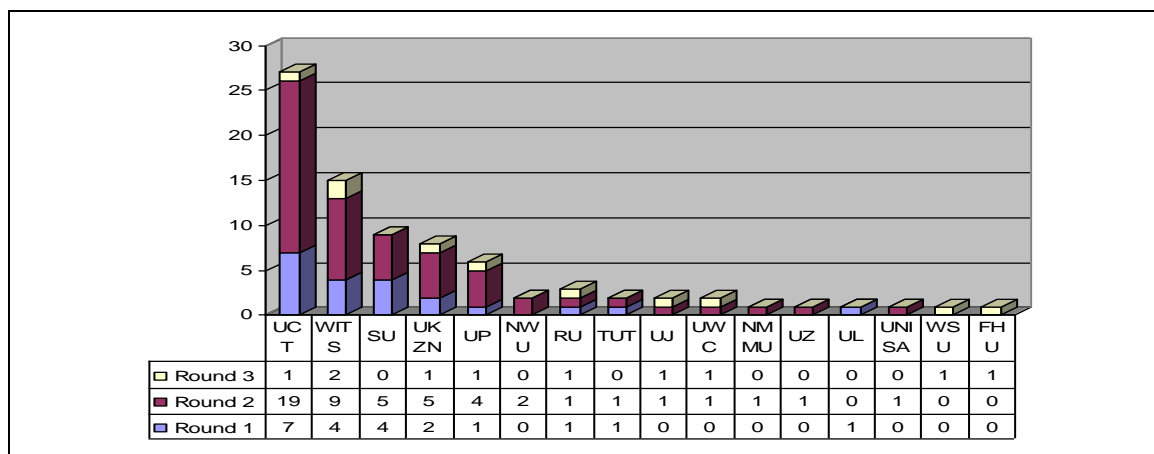
Foundation (FRF) together with Rand Merchant Bank Fund (RMBF) have partnered with the DST/NRF in co-funding two Research and Development Chairs. However, funding from the DST/NRF comes from various programmes. The Research Chairs are funded by respective programmes and the operational status of Research Chairs. Out of the 69 operating Research Chairs that are covered by the report, 96% of the operational running costs are funded by the DST/NRF Human Capital and Science Platforms (HCSP) programme, 3% by the DST/NRF Emerging Research Areas (ERA) programme, and 1% by the National Indigenous Knowledge Systems (IKS) programme.

The initiative is basically mandated to significantly expand the scientific research base of South Africa in a way that supports the implementation of the National Research and Development Strategy and its relevance to the national development in an internationally competitive global knowledge system. The South African Research Chairs are a strategic national intervention aimed at proactively reversing systemic malfunctioning while responding in a forward-looking way to the challenges posed by efforts directed at enhancing research and research capacity in the 21st century. This initiative is expected to make a significant contribution towards the creation of a coherent and productive national research and innovation system built on new knowledge generated by research in the natural sciences, engineering, social sciences, humanities and indigenous knowledge.

Since the programme's inception in 2006, 82 Chairs have been awarded to 16 publicly funded universities. Of the 82 awarded Chairs, 79 were accepted by incumbents and 69 Chairs are currently operating. Ten of the 13 Chairs, which are not yet in operation, were awarded in 2009, 9 of which commenced in the first term of 2010, one is a vacated Chair currently being re-filled. Hosting institutions are also in the process of filling the other two unoccupied Chair positions. The ten Chairs awarded in 2009 include two FirstRand Foundation South African Mathematics Education Chairs, which are a result of the first public-private partnership between the Department of Science and Technology, FirstRand Foundation and Rand Merchant Bank Fund.

The 82 awarded Research Chairs are distributed across 16 universities, the majority of which are concentrated at five universities, namely, the University of Cape Town (UCT), University of the Witwatersrand (Wits), Stellenbosch University (SU), University of KwaZulu-Natal (UKZN) and University of Pretoria (UP). These five institutions account for 79% of Research Chairs, with the remaining 11 universities accounting for 21%. Figures indicate that during the first round of allocation, only eight universities were successful in attaining Research Chairs, and in subsequent rounds, additional universities were successful in their applications to host Research Chairs. New participating universities in round two were the North West University (NWU), University of Johannesburg (UJ), University of the Western Cape (UWC), Nelson Mandela Metropolitan University (NMMU), University of Zululand (UZ) and University of South Africa (UNISA). In round three, new participating universities were Walter Sisulu University (WSU) and University of Fort Hare (UFH).

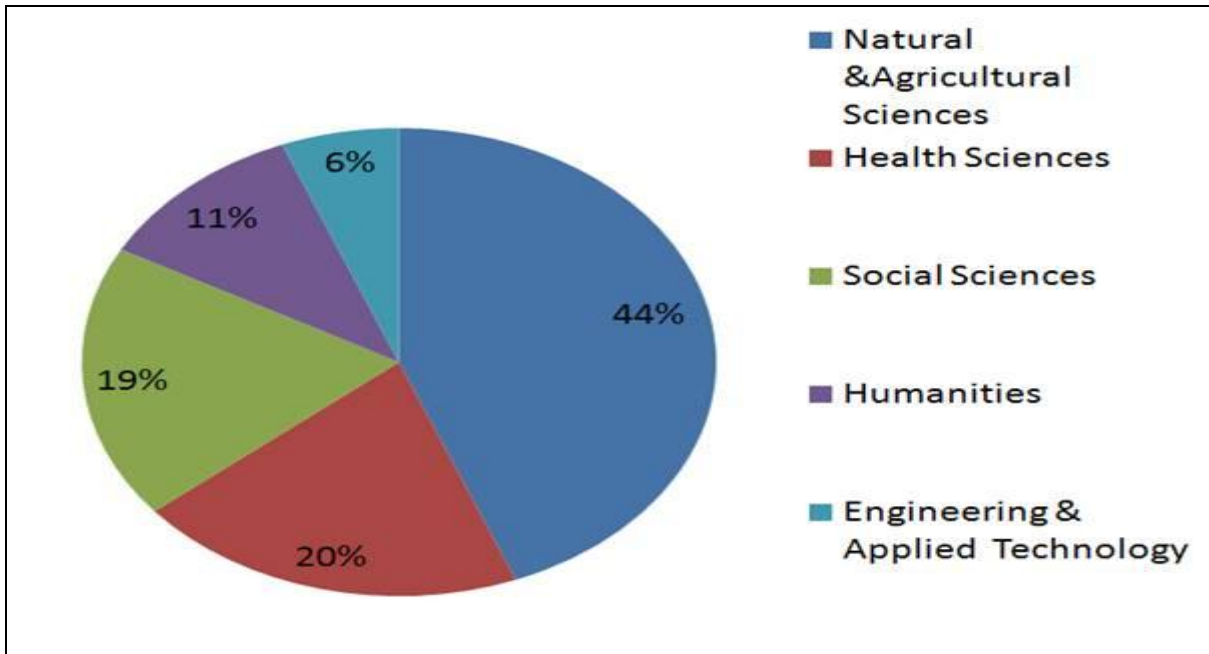
FIGURE 1: DISTRIBUTION OF RESEARCH CHAIRS ACROSS UNIVERSITIES



The 82 Research Chairs are awarded in diverse disciplines of research. Figure 2 classifies them in broad research fields, that is, Natural and Agricultural Sciences, Health Sciences, Social Sciences, Humanities, Engineering and Applied Technology. The majority of Research Chairs are in the Natural and Agricultural Sciences, representing 44% of the awarded Research Chairs, followed by Health Sciences at 20% and Social

Sciences both at 19%. Participation in Humanities, Engineering and Applied Technology is still relatively low. Research Chairs in these disciplines represent 11% and 6%, respectively of the awarded Research Chairs.

FIGURE 2: DISTRIBUTION OF AWARDED RESEARCH CHAIRS ACROSS DISCIPLINES



The Research Chairs are based on experience generated by a Canadian Research Chair system. This Canadian model has been seen as pertinent to South African policy-decision makers since the Canadian government pioneered a national intervention programme in 2000 as part of its strategy to make Canada a world leader in the knowledge-based economy. Renaud (2005), Chairman of the Steering Committee of the Canadian Research Chairs programme, commends the Research Chair programme as follows: The Research Chair program has literally reversed the brain drain in Canada. About 35% of all CRC holders are from outside Canada.

6.2.1 Objectives of the initiative

The objectives of the SA Research Chairs Initiative are:

- To retain and attract Black qualified research scientists to the Higher Education sector;
- To help reverse the systemic decline in research outputs, focus and capacity at publicly funded higher education institutions and science councils and research institutions;
- To stimulate strategic research, in other words, to encourage research that is directed in a very general way by broad national economic objectives to which research can contribute, this kind of research is carried out with an expectation that it will produce a broad base of knowledge likely to form the background to the solution of recognised current or future problems (Johnston, 1990);
- To strengthen and improve the capacity of HEIs, Science Councils, Museums and Academic Health Complexes to generate and apply new knowledge in order to make South Africa competitive in the international knowledge economy based on its existing and potential strengths;
- To create research career pathways for highly skilled, high quality young and mid-career researchers that effectively addresses historical racial, gender and age imbalances;
- To improve and accelerate the training of highly qualified personnel through research; and
- To make South Africa internationally competitive.

Creating conditions that enhance South Africa's an ability to compete successfully within the global international knowledge production market entails Research Chairs Initiative's preoccupation with the production and the development of new knowledge. Another

major goal of the SARChI is the need to create science-based and technology-based knowledge and innovation industry which could be useful in industrial application, technological and social innovation or in the policy and everyday-life practice.

It has been envisaged that at the heart of scientific production, there would be researchers. The communities of researchers would consist of highly skilled men and women whose primary occupation will be to explore and engage with ideas at a theoretical and practical level in order to better understand, explain or engage with natural and social phenomena.

Mouton's (2010) analysis of the system of knowledge production and reproduction in South Africa shows that knowledge production and reproduction have become stagnant in terms of research foci and outputs. South Africa's research-based knowledge industry, it was observed, experienced a decline in public research capacity and has been unable to make a significant dent on the gender and racial imbalances in public research capacity. This trend in decline of research-based industry currently continues through natural attrition, and South African research-based industry is expected to lose a substantial segment of senior scientists capable of supervising the next generation of researchers.

Therefore, this study has been situated in ideas that have affected the implementation and outcomes of the initiative towards the transformation of the South African higher education. In order to do so, a broad analysis of factors relating to formulation of such policies needs to be attempted.

This Chapter looks at the Research Chairs as a vehicle to be used by government to accelerate transformation in the Higher Education landscape. The main objective of the SARChI is to strengthen scientific research leadership and capacity in South African universities, thus creating a sustainable critical mass of world class academics and scholars that will train future generations of South African knowledge workers and support a South African knowledge-based economy. The Chairs are expected to

contribute significantly towards helping universities realise their strategic research plans. The Research Chair initiative is intended to provide a base on which to consolidate and extend excellence in research. The Research Chairs were awarded on a competitive basis through a combination of open and focused calls to publicly funded HEIs, which could hold such Chairs in their own right or jointly in collaboration with Science Councils, Museums or other institutions that conduct research and develop research capacity as part of their usual functioning.

Research Chairs were also awarded in any discipline of scientific research, including social science, humanities, law, natural science, engineering and technology. The Chairs were designed to fit into the normal management structures of their host institutions. There was no restriction on the number of Research Chairs that may be awarded to a single institution. Research Chairs are tenable for five years, renewable for two further five year periods, giving a total life span of 15 years. Eligibility for renewal will be entirely performance linked.

The South African Research Chairs Initiative proposed to make an award of up to R2.5 million per annum per Research Chair in Tier 1 and up to R1.5 million per annum per Research Chair in Tier 2. This award would need to cover salaries, postdoctoral fellowships and postgraduate student bursaries, research operating costs and equipment for the well founded laboratory relevant to the Chair.

6.3 TRANSFORMATIONAL TOOL INITIATIVE FOR HIGHER EDUCATION LANDSCAPE IN SOUTH AFRICA

The aim of educational transformation is intended to fulfil two compelling purposes, namely, to promote economic efficiency and enhance legitimacy of the government (Kelly, 1990; Plank & Adams, 1989; Jacobson & Berne 1993). However, the two imperatives require quite different policies. Policies intended to increase efficiency of the education system may undermine the legitimacy of the government. For example,

measures to increase school fees or reduce labour costs may be met with strong opposition from learners, parents and teachers. According to Nkinyangi (1991:157) opposition from educated, cohesive, articulate interests threatens government survival. On the other hand, the implementation of policies intended to enhance government legitimacy may be beyond the means available to public officials. For example, the right of all citizens to basic education is enshrined in most national constitutions, and the goal of providing primary education for all children is reaffirmed by governments and international agencies every decade (Cheru, 1995). Despite these declarations, however, millions of children remain out of school, and enrolment rates are falling in many countries (Jacobson & Berne 1993).

As third world countries attempt to achieve the two competing objectives (Plank & Adams, 1989), however, they are confronted with a number of problems in executing this pursuit. According to Plank (1990:540), any significant change in the structure and operation of the educational system or in the distribution of educational resources is almost certain to damage the interests of one or more powerful constituencies. Educational transformation is therefore undertaken only at the peril of the government's survival. However, in the eyes of both domestic and international audience's failure to address educational transformation reveals lack of commitment to address a looming crisis. Inaction on such crisis threatens both domestic political support and the government's claim on international aid (Jacobson & Berne, 1993). Therefore, often policy initiatives are announced but they remain symbolic as they are likely not to be implemented as planned. Plank (1990) argues:

The consequence of this dilemma is a style of politics familiar in countries around the world, in which governments have much to gain from the announcement of policy initiatives and much to lose from their implementation. Under these circumstances reform rhetoric stands in for reform, the declaration of good intentions takes the place of action that might lead to its realisation. In adopting such strategies, politicians and public officials seek to gain the benefits that derive

from active engagement with crises while avoiding the costs that inevitably accompany changes in the prevailing distribution of resources.

Therefore, in many developing countries, transformation, or a stated agenda of educational transformation, very often fails to achieve its goals. Another major factor of education transformation in developing countries is that the transformation agenda is defined to a large extent by policy prescriptions from the international aid agencies especially the World Bank (Cheru, 1995; World Bank 1992). Jacobson and Berne (1993:165) outline two main reasons:

In many countries, the revenues that public officials can generate locally are no longer sufficient for the responsibilities assumed by the government in education as in other sectors. Local revenues are fully committed to the payment of salaries and the maintenance of existing programmes, and resources needed to fund new initiatives must be sought abroad. The power to provide or withhold resources from governments gives the donors tremendous leverage over educational policies, such as deciding which reforms will be funded or withdrawal of support from governments that adopt policies disapproved.

Most educational research studies in developing countries are conducted by or under the auspices of the principal aid agencies, primarily because they provide the necessary human and financial resources. Unconstrained by local political considerations, the policy preferences of the international aid agencies are guided largely by research-based assessments of *what works*. As a result, the linkage between educational research and educational policy is much tighter than in developed countries.

Due to the pervasive influence of the international aid agencies, transformation in HE adopted in developing countries tend to look much the same (Samoff, 1992). Kelly (1990) provided, as examples, those countries that are engaged in macroeconomic policy changes under the auspices of the International Monetary Fund (IMF) and the World

Bank. The changes that are often referred to as structural adjustment programmes include substantial reductions in public employment and public expenditure. Mkandawire (2002) observed that because the education system often accounts for the largest share of both, governments have been advised to adopt educational transformation that reduce costs and increase efficiency.

The need to transform higher education in South Africa stems from two sets of factors. Firstly, a historical legacy of inequity and inefficiency, which inhibit ability to meet the moral, social and economic demands of the new South Africa. Secondly, a context of unprecedented national and global opportunities and challenges (Green Paper on Higher Education Transformation, 1996).

The Green Paper was aimed at seeking responses to the following problems within the South African higher education at the time:

- The system at the time perpetuated an inequitable distribution of access and opportunity for students and staff along lines of race, gender, class and geographical discrimination. There are gross discrepancies in the participation rates of students from different population groups and indefensible imbalances in the ratios of black and female staff compared to whites and males. There were equally untenable disparities between historically black and historically white institutions in terms of facilities and capacities;
- There was a chronic mismatch between higher education's output and the needs of a modernising economy. In particular, there is a shortage of highly trained graduates in fields such as science, engineering, technology and commerce (largely as a result of discriminatory practices that have limited the access of black and women students) and this has been detrimental to economic and social development;
- Higher education had not succeeded in laying the foundations of a critical civil society with a culture of tolerance, public debate and accommodation of

differences and competing interests. Nor had it contributed significantly to a democratic ethos and a sense of citizenship perceived as commitment to a common good; and

- While South Africa's higher education could claim academic achievement of international renown, it has been characterised by teaching and research policies which favour academic insularity and closed-system disciplinary programmes. There has been an inadequate consideration of and response to the needs of our society and insufficient attention to the problems and challenges of the broader African context.

In response to the problems listed above, the White Paper and other key policy documents such as the 2001 National Plan call urgently upon higher education to address the challenges of social equity, development, effectiveness and efficiency. Higher education is asked to provide equitable opportunities for learning and self-development, to be responsive to societal needs, producing relevant knowledge and socially committed graduates, to contribute positively to the development of the country (and by extension, its region and continent) and to be publicly accountable for the manner in which it applies resources in the fulfilment of these roles.

While the government's vision for higher education transformation and the rationale are implicit in these policies and their goals, they were no explicit realities at the time the policies were written. By the mid-1990s, public confidence in the ability of higher education to deliver accountably while at the same time satisfying the requirements of the new order was low. The lack of trust in public higher education was the result of a number of factors.

Firstly, there was a perception that higher education institutions (HEIs) remained essentially fixed in their apartheid past. Secondly, there was concern about the quality of output and institutions. Thirdly, numerous inefficiencies plagued the system. For example, South Africa had too many HEIs. What was worse was the fact that the many

higher education institutions were seriously plagued by governance and financial problems, inadequate financial systems, the unwarranted duplication of programmes and lack of optimal use of infrastructure and human resources. Fourthly, problems of trust and accountability occurred in a new context, as private providers rapidly entered the arena and seemed to erode the historical monopoly enjoyed by the public HEIs. Given that the deep distrust engineered by apartheid education continued to abide in the system after 1994, the rallying cry to higher education to contribute to transformation has been at the same time a cry to higher education to transform itself in order to fulfil its potential for serving the needs of a democratic South African society. To address all these problems policies had to be developed during the transitional period.

6.4 INVESTMENT IN THE DST/NRF RESEARCH CHAIRS

The SARChI programme is funded through contract funding from government departments and private sector companies. The Department of Science and Technology currently is the only major government department funder, which exclusively supports the 80 Research Chairs. Recently, the FirstRand Foundation (FRF) together with Rand Merchant Bank Fund (RMBF) have partnered with the DST/NRF in co-funding two Research and Development Chairs. However, funding from the DST/NRF comes from various programmes. Detailed information of the funding of the programme is provided by Table 1, which summaries the number of Research Chairs funded by respective programmes and indicates the operational status of the Research Chairs. Of the 69 operating Research Chairs, the study covers progress of 96% of the Research Chairs that are funded by the DST/NRF Human Capital and Science Platforms (HCSP) programme, 3% by the DST/NRF Emerging Research Areas (ERA) programme, and 1% by the National Indigenous Knowledge Systems (IKS) programme.

TABLE 1: CLASSIFICATION OF AWARDED RESEARCH CHAIRS BASED ON SOURCE OF INVESTMENT

| INVESTMENT SOURCE | NUMBER OF AWARDED RESEARCH CHAIRS | OPERATING RESEARCH CHAIRS | TO COMMENCE IN 2010 |
|--|--|----------------------------------|----------------------------|
| HUMAN CAPITAL AND SCIENCE PLATFORMS, DST | 69 | 66 | 3 |
| FRF, RMB, HUMAN CAPITAL AND SCIENCE PLATFORMS, DST | 2 | 0 | 2 |
| SOCIO-ECONOMIC PARTNERSHIPS, DST | 7 | 0 | 7 |
| EMERGING RESEARCH AREAS, DST | 2 | 2 | 0 |
| NATIONAL INDIGENOUS KNOWLEDGE SYSTEMS, DST | 2 | 1 | 1 |
| GRAND TOTAL | 82 | 69 | 13 |

SOURCE: DST/NRF ANNUAL REPORT ON SOUTH AFRICAN RESEARCH CHAIRS, 2010

Since the inception of the programme in 2006, grants to a total value of R285 562 035 have been disbursed by the NRF to support the 69 operating Research Chairs (See Table 1). In addition to the disbursed funds received from the above mentioned funders, the Chair holders have leveraged an additional amount of R680 140 471 from other sources of funding (Table 2) to expand their respective Research Chair activities.

TABLE 2: TOTAL FUNDS INVESTED IN THE PROGRAMME FROM 2006/07 TO 2009/10

| YEAR | TOTAL AMOUNT EXPENSED | AMOUNT LEVERAGED BY CHAIR HOLDERS (R) |
|--------------------|------------------------------|--|
| 2007/08 | 31 846 143 | 74 749 624 |
| 2008/09 | 117 927 337 | 294 000 000 |
| 2009/10 | 135 788 555 | 311 390 847 |
| GRAND TOTAL | 285 562 035 | 680 140 471 |

SOURCE: DST/NRF ANNUAL REPORT ON SOUTH AFRICAN RESEARCH CHAIRS, 2010

6.4.1 Research chair holders

Of the 79 filled Research Chair positions, almost three quarters of incumbents previously held appointments at South African publicly funded universities while the rest were recruited from industry and abroad (See Table 3). Seventy-seven percent (63) of Chair holders were appointed at the Tier 1 level, whose incumbents are recognised as leaders in their fields. Twenty-three percent (16) are appointed as Tier 2 Chair holders who are established researchers with the potential of becoming leaders within five to ten years. The demographic break down indicates that 61% of the Chair holders are white and 39% are black, with the latter group comprising of Coloureds, Indians and Africans. Eighty-one percent of the Chair holders are male and 19% are female.

These demographics highlight one of the major challenges faced by the programme, that is, to increase representation from members of disadvantaged groups. However, this problem is a consequence of gender and racial imbalance in the pipeline, that is, the pool of potential candidates eligible to participate in the programme. Addressing this problem would require interventions at the level of emerging researchers and below to establish a well represented and balanced pipeline of research leaders and academics.

TABLE 3: CHAIR HOLDER STATISTICS FOR THE PERIOD 2007/08 TO 2009/10

| | 2007/08 | 2008/09 | 2009/10 |
|--|---------|---------|---------|
| TOTAL NUMBER OF FILLED RESEARCH CHAIR POSITIONS | 34 | 69 | 79 |
| CHAIRS RECRUITED FROM SOUTH AFRICAN UNIVERSITIES | 28 | 50 | 58 |
| CHAIRS RECRUITED FROM INDUSTRY AND ABROAD | 6 | 19 | 21 |
| | | | |
| TIER 1 CHAIRS | 25 | 53 | 63 |
| TIER 2 CHAIRS | 9 | 16 | 16 |
| | | | |
| FEMALE CHAIR HOLDERS | 3 | 13 | 16 |
| MALE CHAIR HOLDERS | 31 | 56 | 63 |
| BLACK (AFRICAN, INDIAN, COLOURED) CHAIR HOLDERS | 11 | 27 | 30 |
| WHITE CHAIR HOLDERS | 23 | 42 | 49 |

SOURCE: DST/NRF ANNUAL REPORT, 2010

6.4.2 Student Support

Table 4 indicates the number of students and post-doctoral fellows trained and mentored by the 69 operating Chair holders. Over the past three years, there has been a steady growth in the number of SARChI grant-holder linked bursars, from 125 recorded in 2007/08 to 514 in 2009/10, representing a 76% increase. Table 4 also indicates that in 2009/10, 54% of the students were males and 46% females, a slight improvement on the 2008/09 figures of 58%/42% split in representation of males and females, respectively. Furthermore, the 2009/10 statistics show a slight decline in the racial breakdown,

whereas in 2008/09 there was a 56%/44% black/white racial break down, in 2009/10 black students representation decreased slightly to 53% while white students constituted 47% of the total number of students against programme targets of 60% black students and 40% white students.

Whilst the overall female representation in 2009/10 was 46%, representation of black female students is still relatively low at 21%, representing only a 1% increase from 2008/09. This is followed by white males at 22%, white females at 24% and black males comprising the largest proportion at 32%. Seventy-one percent of the SARChI grant-holder linked bursars supported in 2009/10 are South African and 29% non-South African.

In addition to students supported through SARChI grant-holder linked bursaries, Chair holders have students supported from additional leveraged funding. The lower panel of Table 4 shows the number of students and post-doctoral fellows supported. This had also has decreased from 650 in 2008/09 to 397 in 2009/10, thus reducing the total number of students and post-doctoral fellows trained and mentored by Chair holders.

TABLE 4: STATISTICS OF SARCHI AND NON-SARCHI BURSARS AND POST-DOCTORAL FELLOWS

| | 2007/08 | 2008/09 | 2009/10 |
|---|---------|---------|---------|
| NUMBER OF OPERATING RESEARCH CHAIRS | 34 | 69 | 69 |
| SARCHI GRAND-HOLDER LINKED BURSARS AND POST-DOCTORAL FELLOWS | | | |
| FEMALE | 46 | 171 | 235 |
| MALE | 77 | 233 | 279 |

| | | | |
|---|------------|-------------|------------|
| NOT-SPECIFIED | 2 | 1 | - |
| | | | |
| BLACK | 62 | 226 | 271 |
| WHITE | 59 | 176 | 236 |
| NOT-SPECIFIED | 4 | 3 | 7 |
| TOTAL | 125 | 405 | 514 |
| BURSARS AND POST-DOCTORAL FELLOWS SUPPORTED FROM ADDITIONAL LEVERAGED FUNDING (NON-SARCHI) | | | |
| TOTAL NUMBER | 254 | 650 | 397 |
| GRAND TOTAL | 379 | 1055 | 911 |

SOURCE: DST/NRF ANNUAL REPORT, 2010

Table 5 provides a further break down of SARChI and non-SARChI bursaries and post-doctoral fellows into study levels. The break down shows a fairly consistent trend from 2007/08 to 2009/10, with the majority of the trained students at Masters level, followed by Doctoral degree candidates. Though the number of post-doctoral fellows is still low, there has been a steady increase from 31 in 2007/08 to 124 in 2009/10.

TABLE 5: BREAK DOWN OF SARCHI AND NON-SARCHI BURSARS AND POST-DOCTORAL FELLOWS BY STUDY LEVEL

| | 2007/08 | | | 2008/09 | | | 2009/10 | | |
|--------------------|------------|------------|------------|------------|------------|-------------|------------|------------|------------|
| | SARChI | Non-SARChI | Total | SARChI | Non-SARChI | Total | SARChI | Non-SARChI | Total |
| UNDERGRADUATE | 6 | - | 6 | 17 | 11 | 28 | 5 | 9 | 14 |
| HONOURS/B.TECH | 27 | 3 | 30 | 82 | 33 | 115 | 91 | 28 | 119 |
| MASTERS | 39 | 98 | 137 | 145 | 303 | 448 | 204 | 140 | 344 |
| DOCTORAL | 33 | 87 | 120 | 106 | 263 | 369 | 137 | 173 | 310 |
| POST-DOCTORAL | 20 | 11 | 31 | 55 | 40 | 95 | 77 | 47 | 124 |
| NOT-SPECIFIED | - | 55 | 55 | - | - | - | - | - | - |
| GRAND TOTAL | 125 | 254 | 379 | 405 | 650 | 1055 | 514 | 397 | 911 |

SOURCE: DST/NRF ANNUAL REPORT, 2010

Table 6 shows the number of graduated students from 2007/08 to 2009/10. The number of graduated students has increased for both SARChI and non-SARChI students. Graduated students have increased from 23 in 2007/08 to 114 in 2008/09 and 175 in 2009/10 for SARChI grant-holder linked bursars. Similarly, with non-SARChI students, the number of graduated students has steadily increased over the three years, with an increase from 35 in 2007/08 to 210 in 2009/10. The significant increase in graduates from 136 in 2008/09 to 210 in 2009/10 could be a contributing factor to the decrease in number of supported non-SARChI students in 2009/10 (See Table 4).

The decline in supported non-SARChI masters degree students from 303 in 2008/09 to 140 in 2009/10 (Table 5), is consistent with the increase in post-graduated masters students from 81 in 2008/09 to 126. Similarly, with doctoral students, Table 5 shows a decrease in the number of supported non-SARChI doctoral students in 2009/10 corresponding to the increase in doctoral graduates between 2008/09 and 2009/10 (Table 6). However, both the number of SARChI supported and graduated students increased in 2008/09 and 2009/10. The number of graduated students is not included in the number of supported students identified in Table 4.

TABLE 6: GRADUATED SARCHI AND NON-SARCHI BURSARS BY STUDY LEVEL

| | 2007/08 | | | 2008/09 | | | 2009/10 | | |
|--------------------|-----------|------------|-----------|------------|------------|------------|------------|------------|------------|
| | SARCHI | NON-SARCHI | TOTAL | SARCHI | NON-SARCHI | TOTAL | SARCHI | NON-SARCHI | TOTAL |
| UNDERGRADUATE | - | 4 | 4 | 18 | 7 | 25 | 15 | 7 | 22 |
| HONOURS/B.TECH | 16 | 1 | 17 | 63 | 36 | 99 | 96 | 25 | 121 |
| MASTERS | 3 | 25 | 28 | 26 | 55 | 81 | 51 | 75 | 126 |
| DOCTORAL | 4 | 5 | 9 | 7 | 38 | 45 | 13 | 103 | 116 |
| GRAND TOTAL | 23 | 35 | 58 | 114 | 136 | 250 | 175 | 210 | 385 |

SOURCE: DST/NRF ANNUAL REPORT, 2010

Tables 7 and 8 group data on student support according to the source of funding for the respective Research Chairs. Table 7 shows that the 66 operating Research Chairs funded by the DST Human Capital and Science Platforms (HCSP) programme have 505 SARChI

supported students, of which 46% are female and 54% are male. Racial break down indicate that 53% are black and 47% are white. These statistics correspond with the programme statistics where black males hold the largest proportion at 31% and black females have the least at 21%. White females comprise 25% and white males 22% of the total number of students in this group. The two operating Nanotechnology Research Chairs funded by the Emerging Research Areas (ERA) have a total of eight students supported through SARChI. Seven of these students are black and one is white. There are three female supported students and five males. The one operating Research Chair in Indigenous Knowledge Systems funded by the National Indigenous Knowledge Systems (IKS) accounts for one black female SARChI supported student (Table 7).

TABLE 7: DEMOGRAPHICS OF SARCHI GRANT HOLDER-LINKED BURSARS UNDER THE THREE GROUPS OF RESEARCH CHAIRS FUNDED BY THE DIFFERENT DST/NRF PROGRAMMES IN 2009/10

| | HCSP | ERA | IKS | TOTAL |
|----------------------------|------------|----------|----------|------------|
| NUMBER OF OPERATING CHAIRS | 66 | 2 | 1 | 69 |
| FEMALE | 231 | 3 | 1 | 235 |
| MALE | 274 | 5 | - | 279 |
| | | | | |
| BLACK | 263 | 7 | 1 | 271 |
| WHITE | 235 | 1 | - | 236 |
| NOT-SPECIFIED | 7 | - | - | 7 |
| GRAND TOTAL | 505 | 8 | 1 | 514 |

SOURCE: DST/NRF ANNUAL REPORT, 2010

In addition to the SARChI grand-holder linked bursars, the Research Chairs funded by the DST/NRF/HCSP are also supporting 376 students through leveraged funding, bringing the total number of bursars supported through this programme to 881 in

2009/10. The two DST ERA supported Research Chairs, on the other hand, are supporting 18 additional students bringing the total number of students trained under these Research Chairs to 26. The IKS funded Research Chair is supporting three additional students bringing the total number of students supervised by this Chair to four. In line with the programme objectives, a majority of the students supported by others sources of funding are black. However, there are more male than female students (Table 8).

TABLE 8: DEMOGRAPHICS OF NON-SARCHI BURSARS UNDER THE THREE GROUPS OF RESEARCH CHAIRS FUNDED BY THE DIFFERENT DST PROGRAMMES IN 2009/10

| | HCSP | ERA | IKS | TOTAL |
|----------------------------|------------|-----------|----------|------------|
| NUMBER OF OPERATING CHAIRS | 66 | 2 | 1 | 69 |
| FEMALE | 168 | 9 | 3 | 180 |
| MALE | 208 | 9 | - | 217 |
| | | | | |
| BLACK | 233 | 14 | 3 | 250 |
| WHITE | 134 | 4 | - | 138 |
| NOT-SPECIFIED | 9 | - | - | 9 |
| GRAND TOTAL | 376 | 18 | 3 | 397 |

SOURCE: DST/NRF Annual report, 2010

6.4.3 Research outputs

Research publications produced by the 69 operating Research Chairs have been classified into peer reviewed journal articles, books and book chapters authored by the Chair holder together with collaborators and supervised students. Publication outputs comprise of accepted and referenced publications only, no submitted publications have been included.

In addition to the research publications, other relevant outputs include keynote addresses and/or plenary presentations, technical reports and patents.

Table 9 indicates that the overall number of publications, with respect to peer review journal articles, books and book chapters, increased from the initial 179 reported in 2007/08 to 549 in 2009/10. Major contributors to these outputs are peer reviewed journal articles which constitute 91%, 85% and 87% of the total publications in 2007/08, 2008/09 and 2009/10, respectively. Moreover, other types of publications, particularly book chapters, are also showing a steady increase since 2007/08.

Chair holders are increasingly being invited for keynote addresses and/or plenary presentations at conferences, indicating the level of influence and contribution they have in their fields. In 2009/10, seven patents were reported, a considerable decrease from the 17 reported in 2008/09. However, these will be further analysed to determine their status.

TABLE 9: NUMBER OF RESEARCH OUTPUTS FOR THE PROGRAMME FROM 2007/08 TO 2009/10

| | 2007/08 | 2008/09 | 2009/10 |
|---|------------|------------|------------|
| NUMBER OF OPERATING RESEARCH CHAIRS | 34 | 69 | 69 |
| PEER REVIEW JOURNAL ARTICLES | 162 | 385 | 477 |
| BOOKS | 4 | 11 | 10 |
| BOOK CHAPTERS | 13 | 58 | 62 |
| TOTAL | 179 | 454 | 549 |
| KEYNOTE ADDRESSES/PLENARY PRESENTATIONS | 3 | 28 | 63 |
| TECHNICAL REPORTS | 4 | 20 | 16 |
| PATENTS | 1 | 17 | 7 |
| GRAND TOTAL | 187 | 519 | 635 |

SOURCE: DST/NRF ANNUAL REPORT, 2010

Table 10 allocates research outputs according to groups of Research Chairs funded by different DST programmes. Research Chairs funded by HCSP produced a total of 571 research outputs in 2009/10, which accounts for 89.9% of all outputs, followed by ERA supported Research Chairs at 7.6% and 2.5% for IKS funded Research Chair.

TABLE 10: BREAK DOWN OF 2009/10 RESEARCH OUTPUTS BY FUNDING SOURCE

| | HCSP | ERA | IKS | TOTAL |
|---|-------------|------------|------------|--------------|
| OPERATING RESEARCH CHAIRS | 66 | 2 | 1 | 69 |
| PEER REVIEW JOURNALS | 427 | 48 | 2 | 477 |
| BOOKS | 10 | - | - | 10 |
| BOOK CHAPTERS | 61 | - | 1 | 62 |
| TOTAL | 498 | 48 | 3 | 549 |
| KEYNOTE ADDRESSES/PLENARY PRESENTATIONS | 53 | - | 10 | 63 |
| TECHNICAL REPORTS | 13 | - | 3 | 16 |
| PATENTS | 7 | - | - | 7 |
| GRAND TOTAL | 571 | 48 | 16 | 635 |

SOURCE: DST/NRF ANNUAL REPORT, 2010

6.5 CONCLUSION

The evidence for determining the gap between the desired outcomes of higher education transformation and the practical implementation performance achieved by HEIs was obtained by escalating the impact of South African Research Chairs Initiative programmes on the higher education institutions' implementation results. The findings were generated by analysing and interpreting the primary data provided by participant

observation and the unstructured-interviews with expert informants and secondary data provided by the existing policy documents and secondary textual data collected from qualitative sources.

CHAPTER 7

SARCHI AS AN INDICATOR OF TRANSFORMATION IN THE HEI

7.1 INTRODUCTION

The thematic concern of the previous Chapter was the transformation of higher education institutions aimed at exploiting the production of world-class graduates as development-driven tools to stimulate the stagnant economy, as well as redressing centuries of black impoverishment ideologically engineered by colonialism and apartheid rule that stretched from 1948 to 1994. This focal point is extended by Chapter 7.

Chapter 7, however, is preoccupied with whether higher education institutions and DST/NRF South African Research Chairs are using the same policies in their implementation of the HE transformation agendas. In responding to the policy goals and challenges of the large-scale transformation reform of higher education initiated by government education policies such as the National Education Policy Investigation (NEPI, 1992), the National Commission on Higher Education (NCHE, 1996), the Higher Education Act of the Republic of South Africa (DoE, 1997a) and the Education White Paper 3: A Programme for the Transformation of Higher Education (DoE, 1997b), both higher education institutions and DST/NRF Research Chairs Initiative are confronted by the difficult problem of pursuing both equity and redress and quality in higher education simultaneously (Badat, 2004:21).

7.2 THE FUNDAMENTAL GOALS OF SARCHI INITIATIVE

The fundamental goals of the policy framework on the transformation of higher education and South African Research Initiative programme are to redress the past social injustice, gender and racial iniquities and to produce high-quality knowledge to enhance economic and social development. The fundamental preoccupations of higher education are:

- High-quality knowledge production aimed at advancing our understanding of natural and social worlds and enriching our accumulated scientific and cultural heritage;
- Dissemination of knowledge; and
- Undertaking community engagement (Badat, 2010:5-6).

The above goals are expected to be implemented within the broad framework of redress, social injustice and equality, and the South African political and socio-economic transformation policy imperatives that govern both higher education institutions and DST/NRF Research Chairs. *Do the specific stated goals and values of SARChI require adherence to different government implementation policies?*

The seven stated interrelated objectives of SARChI, which constitute a strategically focused knowledge and human resource interventionist programme are:

1. To increase the number of world class researchers in South Africa;
2. To retain and /or attract back qualified research scientists to the Higher Education sector and thereby;
3. To help reverse the systemic decline in research outputs, focus and capacity at publicly funded HEIs, Science Councils and other research institutions;
4. To strengthen and improve the capacity of Science Councils, Museums and other research institutions (e.g. University linked Teaching Hospitals) to generate and apply new knowledge;
5. To stimulate strategic research across the knowledge spectrum and thereby increase the level of excellence in research areas of national and international importance;
6. To create research career pathways for highly skilled, high quality young and mid-career researchers that effectively addresses horizontal racial, gender and imbalances; and
7. To improve and accelerate the training of highly qualified personnel through research (NRF SARChI Guide, 2008:5-6).

Although academics at higher education institutions and research fellows of South African Research Chairs are governed by the same external government policies on higher education, the research fellows and the holders of Chairs of DST/NRF Research Chairs are expected to achieve stringent performance standards and research targets. Besides the high quality standards that measure their performance their selection and appointment procedures ensure that only researchers with proven experience and excellent scholarship are appointed. The majority of higher education institutions, for various reasons, do not attract world-class researchers or academics. The SARChI programme was aimed at addressing scarcity of highly-qualified researchers and academics. The global competition for world-class scientists, researchers and academics was exacerbated by the massive emigration of white South African highly-qualified personnel overseas after the overthrow of apartheid rule. That is not all. The threat of stagnant economy and development that could wipe out South Africa's current development status is described by research, a scenario pre-empted by the higher education transformation reform and the SARChI programme.

Kearney (2009:9) in her paper *Higher Education, Research and Innovation: Charting the Course of the Changing Dynamics of the Knowledge Society* argues that over the past decade new dynamics have emerged in each of the key domains of higher education, research and innovation (HERI), which are the integrated base for activities of UNESCO Forum on Higher Education, Research and Knowledge. In higher education, the new emerged dynamics include the following:

- Demand;
- Diversification of provision;
- Changing lifelong learning needs; and
- Growing Communication and Information Technology (CIT) usage and enhanced networking and social engagement, both with the economic sector and with the community at large.

A comparison between what the *Education White Paper 3: A Programme for the Transformation of Higher Education* identified as the social purposes that higher education institutions are intended to pursue and purposes of SARChI will illuminate the policy differentiation of the two sectors (DoE, 1997b). The White Paper listed the following purposes:

- To mobilize human talent and potential through lifelong learning and provide the labour market, in a knowledge-driven and knowledge-dependent society, with the ever-changing high-level competencies and enterprise necessary for the growth and prosperity of a modern economy;
- To undertake the production, acquisition and application of new knowledge and contribute to the creation, sharing and evaluation of knowledge;
- To address the development needs of society and the problems and challenges of the broader African context;
- To contribute to the social, cultural and intellectual life of a rapidly changing society, socialise, enlightened, responsible and constructively critical citizens and help lay the foundations of a critical civil society, with a culture of public debate and tolerance; and
- To promote increased and broadened participation including greater access for black, women, disabled and mature students and equity of access and their chances of success to all, while eradicating all forms of unfair discrimination and advancing redress for past inequalities.

The above social purposes re-invoke the core business of higher education institutions, which entails dissemination of knowledge and production of critical graduates, production and application of knowledge through research and development activities and contribution to economic and social development and democracy through learning and teaching, research and community engagement.

To reiterate, the purposes of South Africa Research Chairs are:

- To advance the frontiers of knowledge through focused research in identified fields or problem areas;
- To stimulate and coordinate the work of other researchers active in identified fields and problem areas;
- To teach/supervise postgraduate level students and postdoctoral researchers whose learning should be embedded in the field of the research focus;
- To provide a critical locus for the development of excellence in ideas and capacity; and
- To promote gender and racial equity in the scientific community (NRF SARChI Guide, 2008:6).

The key policy determinants of the higher education transformation reform are re-affirmed by both the objectives and purposes of both South African DST/NRF SARChI programme. An analysis of the *World Conference on Higher Education/ Higher Education in the Twenty-First Century: Vision and Action*, which took place in 1998, and which adopted UNESCO World Declaration on Higher Education for the Twenty-First Century: Vision and Action and Framework for Priority Action for Change and Development in Higher Education, showed that the government policies on higher education landscape that includes South African public research councils, research centres of excellence, research hospitals and DST/NRF Research Chairs, were based on the international higher education vision and action recommended by the 1998 UNESCO World Conference on higher education (UNESCO World Conference Preamble, 1998:1-15).

The UNESCO key higher education policy indicators, which have been embedded in all progressive national educational policy frameworks across the globe (including South Africa), are:

- Missions and functions of higher education: Article 1 – mission to educate, train and to undertake research;
- Article 2: Ethical role, autonomy, responsibility and anticipatory function [of students];
- Article 3: Shaping a new vision of higher education: equity and access;
- Article 4: Enhancing participation and promoting the role of women;
- Article 5: Advancing knowledge through research in science, the arts and humanities and dissemination of its results;
- Article 6: Long-term orientation based on relevance;
- Article 7: Strengthening co-operation with the world of work and analysing and anticipating societal needs;
- Article 8: Diversification for enhanced equity of opportunity;
- Article 9: Innovative educational approaches: critical thinking and creativity;
- Article 10: Higher education personnel and students as major actors;
- Article 11: From vision to action: qualitative evaluation;
- Article 12: The potential and the challenge of technology;
- Article 13: Strengthening higher education management and financing;
- Article 14: Financing of higher education as a public service;
- Article 15: Sharing knowledge and know-how across borders and continents;
- Article 16: From 'brain drain' to 'brain gain';
- Article 17: Partnership and alliances (UNESCO World Conference Preamble, 1998:3-10).

The goals and purposes of both SARChI programme and HEIs embedded in government policy frameworks that govern the higher education landscape are contained in the 17 articles of UNESCO higher education vision listed above.

Below is the table analyzing the discussions above with the Indicators, HE Policies against the SARChI frame work as an indicator.

Analysis Diagram:

| INDICATORS | RECONSTRUCTION DEVELOPMENT PROGRAMME | EDUCATION GREEN PAPER | EDUCATION WHITE PAPER 3 POLICY | SARCHI FRAMEWORK |
|----------------|---|---|---|---|
| REDRESS | <p>1. To contribute to the creation, sharing and evaluation of knowledge. Higher education engages in the pursuit of academic scholarship and intellectual inquiry in all fields of human understanding, through research, learning and teaching.</p> <p>2. To contribute to the creation, sharing and evaluation of knowledge.</p> | <p>1. Addressing chronic mismatch between higher education's output and the needs of a modernising economy.</p> <p>2. While South Africa's higher education could claim academic achievement of international renown, it has been characterised by teaching and research policies which favour academic insularity and closed-system disciplinary programmes.</p> | <p>1. To address the development needs of society and the problems and challenges of the broader African context.</p> | <p>1. To help reverse the systemic decline in research outputs, focus and capacity at publicly funded higher education institutions and science councils and research institutions.</p> <p>2. To retain and attract Black qualified research scientists to the Higher Education sector.</p> <p>3. To strengthen and improve the capacity of HEIs, Science Councils, Museums and Academic Health Complexes to generate and apply new knowledge in order to make South Africa competitive in the international knowledge economy based on its existing and potential strengths.</p> <p>4. To create research career pathways for highly skilled, high quality young and mid-career researchers that effectively addresses historical racial, gender and age imbalances.</p> |

| | | | | |
|------------------------|--|---|---|--|
| <p>EQUALITY</p> | <p>1. An important vehicle for achieving equity in the distribution of opportunity and achievement among South African citizens.</p> | <p>1. Address inequitable distribution of access and opportunity for students and staff along lines of race, gender, class and geographical discrimination. There are gross discrepancies in the participation rates of students from different population groups and indefensible imbalances in the ratios of black and female staff compared to whites and males.</p> | <p>1.To promote increased and broadened participation including greater access for black, women, disabled and mature students and equity of access and their chances of success to all, while eradicating all forms of unfair discrimination and advancing redress for past inequalities.</p> | <p>1. To improve and accelerate the training of highly qualified personnel through research.</p> |
|------------------------|--|---|---|--|

| | | | | |
|------------------------------|--|---|--|--|
| <p>SOCIAL JUSTICE</p> | <p>1. To meet the learning needs and aspirations of individuals through the development of their intellectual abilities and aptitudes throughout their lives.</p> <p>2. Higher education teaches and train people to fulfil specialized social functions, enter the learned professions, or pursue vocations in administration, trade, industry, science and technology and the arts.</p> <p>3. To contribute to the socialization of enlightened, responsible and constructively critical citizens. Higher education encourages the development of a reflective capacity and a willingness to review and renew prevailing ideas, policies and practices based on a commitment to the common good.</p> | <p>1. Addressing inadequate consideration of and response to the needs of our society and insufficient attention to the problems and challenges of the broader African context.</p> | <p>1. To contribute to the social, cultural and intellectual life of a rapidly changing society, socialise, enlightened, responsible and constructively critical citizens and help lay the foundations of a critical civil society, with a culture of public debate and tolerance.</p> <p>2. To mobilize human talent and potential through lifelong learning , and provide the labour market, in a knowledge-driven and knowledge-dependent society, with the ever-changing high-level competencies and enterprise necessary for the growth and prosperity of a modern economy.</p> | <p>1. To stimulate strategic research (research that is directed in a very general way by broad national economic objectives to which research can contribute, this kind of research is carried out with an expectation that it will produce a broad base of knowledge likely to form the background to the solution of recognised current or future problems.</p> |
|------------------------------|--|---|--|--|

| | | | | |
|---------------|--|--|--|---|
| OTHERS | | | <p>1. To undertake the production, acquisition and application of new knowledge and contribute to the creation, sharing and evaluation of knowledge.</p> | <p>1. To retain and attract Black qualified research scientists to the Higher Education sector.</p> <p>2. To make South Africa internationally competitive.</p> |
|---------------|--|--|--|---|

7.3 CONCLUSION

The government policy frameworks aimed at ensuring successful programme delivery by HEIs and the South African Research Chairs appear to operate at the different levels of efficiency. Owing to performance-target-oriented mechanism attached to SARChI appointments and NRF annual evaluation and monitoring system, the quality and the quantity of research outputs are better than those of majority of HEIs. The 2008 Final Report of the Ministerial Committee on Transformation and Social Cohesion and the Elimination of Discrimination in Public Higher Education Institutions reported worrying gaps between policies and their implementation outcomes in many higher education institutions. The root cause of the mismatch between transformation policies and the implementation outcomes was attributed by the Committee to the failure of some HEIs to implement policies correctly and lack effective leadership supervision, a failure that impacted negatively on the quantity and quality of graduates.

However, the excellent institutional monitoring and evaluation mechanism that are in place in SA Research Chairs management, the various levels of shortcomings stemming from gaps within policy compliance are not expected to occur. For example, the internal NRF policies clearly indicated how the R2.5 million per annum per Research Chair should be spent. The award will need to cover salaries (salaries of the incumbent of the Chair and limited administrative/research support), postdoctoral fellowships and postgraduate student bursaries, research operating costs and equipment for the well founded laboratory relevant to the Chair (NRF SARChI Guide, 2008:17). One area of distinction between HEIs and SARChI programmes is that the same policy frameworks, which compel higher education institutions to focus on massification of students (a survival strategy that compromises quality), drive incumbents of South African Research Chairs to continuously aim at producing world class graduates.

CHAPTER 8

CONCLUSION AND RECOMMENDATIONS

8.1 INTRODUCTION

The previous Chapter is preoccupied with whether higher education institutions and DST/NRF South African Research Chairs are using the same policies in their implementation of the HE transformation agendas. Secondly, the previous chapter is also aimed at exposing how different internal operational mechanisms impact on the quantity and quality of graduates produced by the two higher education sectors sets of institutions Chapter 8 is concerned with making general conclusions based on insights and findings produced by the study and making suggestions or recommendations for future actions.

To quickly recap the purpose of the study was to interrogate: *How have the Research Chairs and the HEIs responded to the three fundamental imperatives of social justice, redress and equality, the cardinal social democratic principles entrenched in the South African Constitution and other transformational policy documents?*

8.2 CONCLUSIONS

From the review of extant literature and discussions initiated at the beginning of the study and continued through the rest of the Chapters has become evident that to tackle transformation, one needs to be aware of how much change has been created by existing forms. Understanding of the institutional change conditioned by existing apartheid forms entails the needs to understand it realistically, in other words, one need to understand the constraints and imperatives that exist in the ongoing structures of institutional work, its beliefs and authority. The insights distilled from the data and the research results indicate that the interest of the institutional change as evident from the hermeneutic interpretation

of documents is mostly internal. It must be reiterated that this focus on institutional change, which is expected to nourish world-class knowledge production, is at the heart of the dynamics of the educational system as a whole. Viewed within this context, Clark (2004) argues that internal forces of transformative change and struggle are shaped by the underlying academic forces of production, forces that steadily produce contradictions and at the same time aid promote certain interests more than others.

The process of change in higher education Institutions is illuminated by classic sociological arguments, particularly those of Emile Durkheim on why differentiation occurs as a virtually irresistible form of change. Transformation also flows across national boundaries and the phenomenon of international academic patterns is pursued as a second major avenue of change, one fraught with problems of acceptance and adaptations. Transformation in higher education systems as an experience particularly in South Africa proves to be disjointed, contradictory and opaque. It postulates a clash of broad societal values in HE landscape, which find various supporters in locales of power and influence. Primary values such as equality and competence often contradict one another necessitating tradeoffs, fanatical pursuits of any one value leading to an ineffectual system.

What makes higher education system viable, productive and capable of progress? There is strong evidence to support the thesis that power must be divided, variety supported and ambiguity legitimated, a postulation re-affirmed by both the 2008 HE Ministerial Committee Report and the democratic communitarian and distributed leadership theories discussed. These preferences are linked to the uniqueness of the higher education system, expanding and re-enacting the issues that were interrogated throughout the study.

Seventeen years after the first democratic election, the optimism of transformation has faded and bright anticipation has evaporated almost to a point of paralysis. Currently, there appears to be a paralysis regarding issues of transformation in the sense that the noble calls to address social concerns have remained at symbolic and rhetorical levels

with limited substantial implementation. Even those aspects that have been implemented fall short of portraying a complete transformation agenda (Cloete & Muller, 2000).

The outputs of the Research Chairs are progressively improving each year, indicating progress towards the programme's objectives. Student support and research outputs increased between 2008/09 and 2009/10 with the same number of operating Research Chairs. However, the direct impact of the programme will be ascertained when performance is measured against Research Chair Holders' baseline performance, which is currently underway. The additional funding leveraged by the Research Chairs was more than double the investment through the Research Chairs programme.

The lag in the number of awarded Chairs against the set target of 210 by 2010 is a result of a number of matters, including the financial constraints. According to the interviews with some of the key informants, the researcher makes the following conclusions:

One of the main challenges faced by the programme is attracting international candidates, due to a number of reasons, the latest being candidates' unwillingness to relinquish their full-time appointments in their home countries. Although it is possible to make a 50% appointment, this presents challenges with respect to travel and accommodation costs, remuneration and ongoing student supervision. However, together with host universities the programme is making effort, without compromising the programme and its beneficiaries, to accommodate and recruit such candidates so as to enrich the pool of expertise and supervisory capacity within the HE system.

In addition, the programme is still falling behind its target on members from designated groups. The challenge here stems from the pipeline, efforts need to be directed at ensuring adequate gender and racial representation in the pipeline of scholars to researchers potentially eligible to participate in the programme.

It appears that the post-apartheid higher education policies associated with greater social justice and redress have been remarkably effective in the case of the SARChI. The effectiveness of the SARChI interventionist programme in bringing young black scholars (female and male) into centres of research excellence is remarkable, considering the fact that the policy is only 5 years old. Its very success in doing so, however, has probably led to a greater marginalization of historically *black* universities, while favouring the historically *white* universities.

The overall immediate outcome of the RARChI programme, however, leans towards the paradoxical. Although the SARChI policy has been remarkably effective in the short run (in terms of promoting academic publications, and in attracting young black scholars to centres of excellence), the long term operation might produce the opposite result. In other words, in the long run, the SARChI programme may exacerbate the historical dual structure of higher education the SARChI programme was supposed to tackle by drawing young black scholars into formerly white institutions and further weakening historically black universities. Institutional changes take time, possibly 10 or more years, to materialize. Transforming formerly *black* institutions into promising centres of research excellence is, therefore, a matter of substantial time, dedication and resources.

The study argues that it should be accepted that for good political and social reasons, values, goals and strategies that are in tension to be pursued simultaneously. Paradoxes have to be creatively addressed and policies and strategies have to be devised that can satisfy multiple imperatives, balance competing goals and enable the pursuit of equally desirable goals.

Research has proved that the historically black institutions do not have adequate financial standing as the historically white institutions, to compete fairly. This evidence could be used to sustain the argument that perhaps, SARChI is not an appropriate medium for creating institutional equality, redressing past occurrences nor for realizing the social justice enshrined in the South African Constitution. This suggests that the capacities,

capabilities and institutional profiles of higher education institutions are not yet considered, and there is a vast room for further improvement, that all the identified new improved transformation mechanisms can be developed over time to serve vital social needs.

From the documentary, textual secondary and primary interview data analyses, it could be argued that owing to the research-focused mandate of South African Research Chairs Initiative programme, the NRF target-performance monitoring and evaluation mechanism that determine renewal of appointments and the fact that only the best researchers with PhDs were appointed as the incumbent Chair holders, the graduates that are produced through this DST/NRF interventionist programme are deemed to be of higher-quality graduates than those graduating from the general HEIs. Another major underlying factor, which enhances the quality of SARChI graduates, is the fact that the programme attracts the best postgraduate students.

An important academic environmental factor that maximises the knowledge production of SARChI project is the fact that R500 000 is allocated to equipment that is relevant to the Research Chair, a factor that enables postgraduate students learn and conduct practical research within a world class academic environment. Research by Badat (2010:20) reported that there were a total of 2 781 185 people between ages of 18-24 that were neither in employment nor at education or training institutions. This evidence supports the thesis that South African higher education institutions have failed to achieve the institutional objectives aimed at producing world class graduates that are mobile and employable or capable of establishing their own small businesses. It will be interesting to investigate whether any SARChI graduates are among the figure indicated above. The enabling learning and research environment created by DST/NRF Research Chair Initiative make possible for teaching/learning and research to thrive. This factor is one of the determinants of effective and high-quality knowledge production and is conveyed to prospective postgraduate students by the benefits and employment opportunities available

to those who manage to successfully complete their studies. The benefits for pursuing postgraduate studies with a DST/NRF Research Chairs are:

- You get to work with a world-class researcher and leader in their field;
- In addition to receiving a bursary or fellowship, you get to work on a funded research project;
- You receive dedicated supervision and mentorship (Research Chairs are required to spend at least 95% of their time on research development and student training and supervision) ; and
- You develop your career through expert leadership and established networks” (SRChI, 2012:2).

While the majority of higher education academics, including professors and heads of departments occupy their positions until retirement age, whether they are research-focused and productive or not, Research Chairs are tenable for five years, renewable for two further five-year periods (15-year lifespan) and eligibility for renewal is entirely performance linked (SARChI, 2012). These unique features of the conditions of appointment of SA Research Chairs impact positively on the quantity and the quality of the graduates trained through this interventionist programme.

8.3 RECOMMENDATIONS

Based on the documentary analysis, the review of extant literature and the conclusions outlined above, the study makes the following recommendations:

1. There is overwhelming evidence to substantiate the fact that the difference between the quality and the quantity of graduates produced by historically black and historically white higher education institutions is linked to financial and educational resources and the quality and performance of the academic and non-academic staff. The disparity between socio-economic conditions of black and white students also

plays a crucial role in the quality and the quantity of academic outcomes of black and white students, a conclusion highlighted by the 2008 HE Ministerial Committee Report. It is, therefore, recommended that black students' poverty-related problems and under-resource conditions of *black* higher education institutions should be redressed to enhance both the quality and quantity of knowledge production and research and innovation in historically black HE institutions;

2. Although the fundamental goal of the transformation of HEIs and the South African Research Chairs is to produce world-class graduates particularly in mathematics, science and ICT, who can produce high quality research-based knowledge that could feed the South African economic and industrial development and train research-focused young PhDs for South African higher education institutions, the salary structures and working conditions of higher education institutions are less attractive than those of the private sector and the civil service. Hence, the best graduates do not find academic profession lucrative and those who do prefer working at historically white HEIs. It is suggested that the government and other policymakers must recognise this HE reality and rectify the negative financial conditions that constrain the HE reform project;
3. The interpretation of the documentary data and evaluation of the implementation outcomes of SARChI programme and the HEIs have suggested that over two million graduates with first degrees as well Honours, Masters and PhD degrees are neither employed nor engaged in further education, a finding that questions the quality of the knowledge these graduates had acquired (Badat, 2004). The study, therefore, recommends that all programmes offered by universities of technology must be restructured to become practice-based programmes, programmes that incorporate compulsory 12-month practice-based learning within the appropriate vocational or professional working environment and to be mentored by professional or expert/supervisor within workplace; and

4. The findings have suggested that the majority of the HEIs policy implementation outcomes continue to be marred by discriminatory and *great man* or heroic leadership styles that concentrate decision-making only in the hands of top-management, a top-down leadership approach that impacts negatively on efforts to produce world class knowledge. The 2008 HE Ministerial Committee Report has castigated HE councils and VCs for this non-inclusive institutional leadership, which violates the fundamental imperatives of the transformation agendas. The study concurs with the Ministerial Committee Report recommendation that called for HEIs to establish their own Watchdog Committees that ensure that all transformation policies are implemented and also the establishment of an independent Ombudsman by every higher education institution.

Following the notion of *Cognitive Justice* as promoted by the Chair in Development Education, it would be more logical to propose for the establishment of the *South African Knowledge Chairs for Innovation* (SAKCHI). For instance, the University of Venda, which is regionally based in Venda and is strongly oriented to agriculture. This Chair could be charged with the linkage between different knowledges, involving local experts such as elders.

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APPENDIX 1

SAMPLE OF INTERVIEW SCHEDULE:

Interview questions/themes will be as follows for semi-structured:

Background Information:

1. How long have you been working at Higher Education Institutions?
2. How long are you in the current position?

Transformation Questions:

Government has placed a high value on “Transformation” in higher education policy: In this context what is your understanding of transformation versus reform

1. What have been the intended outcomes of transformation in your institution
2. Describe an initiative your institution has undertaken in addressing transformation
3. Has there been any challenges that you face in implementing the transformation policies within your institution
4. How have you addressed those challenges
5. Is there anything that you think might be relevant about this topic that you might want to address
6. General implementation questions:
7. What is your role in policy institutional implementation
8. How active are/were you in implementing institutional strategy/vision?

Role in governance policy process (planning, formulating, implementing, evaluating) -
Institutional policy making/Faculty level policy making

1. Where does the real/perceived power to implement a policy lie? (At the institutional level/ At the faculty level)
2. Challenges with implementation? (Successes – what works/ Failures/ problems)

Specific Questions (SARChI)

1. What were the objectives set by the government Research chairs when they decided to embark on the initiative?
2. I believe SARChI is a national strategic intervention of the government of South Africa. What measurement tools are in place to ensure sustained university commitment and prioritization of research areas in which Research Chairs are applied for?
3. In order to ensure well informed and impartial decision making relating to the awarding of Research Chairs to universities, is there a plan towards fairness, (transparency etc)?
4. To what extent do the Research Chairs ensure commitment to excellence having an understanding of the South African Higher Education System and National System of Innovation?
5. South Africa is in its 17th year of democracy, there has been so many interventions towards our Education policy to make sure that Transformation in Higher Education Institutions make place, if I may, having worked for the National Research Foundation, there has been enormous mishaps that infiltrated the system (which led to some of these interventions failing), are there any systems in place for damage control should this initiative not turn out to be what is envisaged by the government?

APPENDIX 2

INTERVIEW WITH PROF HIGGS 22 JULY 2011 (08H30)

Prof Higgs is a Project Manger in UNISA within the College of Human Science. He has been in this position for 5 years but 20 years as a Professor at UNISA.

These were the questions and answers:

Cebisa:

My name is Cebisa Nkhumeleni and I am part of the UNISA contract staff as well as a master's student under Professor Hopper. I am part of the student cohort under the DST/NRF Research Chair in Development Education. Thank you for allowing me to have a conversation with you regarding my thesis.

Prof Higgs:

Thank you for meeting with me. My name is Professor Higgs and I am Project Manger in UNISA within the College of Human Science. I have been in position for 5 years but 20 years as a Professor at UNISA will try and answer your all questions.

Cebisa:

Thank you Prof. I would like to talk to you about the research Chairs in South Africa as a tool used by the government to accelerate higher education transformation within the South African Education Landscape. Do you mind giving me your broader view on this phenomenon?

Prof Higgs:

Yes. Firstly, the concept has been ‘borrowed from the Canadians’. The main ideas of these Chairs should be focussing on issues relating to the whole story of transformation. And yes, the intention/philosophy behind the Chairs was constructive because it means that the universities can deal with issues of increasing research capacities in universities, in production of post graduate students, production of outstanding scholars and retaining of them in the system, retainment of excellent researchers, reversing of brain drain. The other important factor is that of access and success with relation to student demographics. The expectation is that the Research Chair must be in alignment with the University Programme and Qualification Mix approved by the Department of Higher Education and Training. Look at the Vision and Mission of UNISA for instance:

1. To empower postgraduate students to independently acquire specialised theoretical and research-based knowledge, that will allow them to take up research, managerial and leadership roles
2. To cultivate community participation by offering expertise as a service to society
3. To lead in research in an African and global context

The incumbents of the Chairs are expected to dedicate most of their time conducting research and mentoring an average amount of masters and doctoral students.

The initial stages of the Chair with particular reference to UNISA were to establish good networks around the globe and across Africa. People out there needed to recognise this Institution and I think with the appointment of the Chair and the incumbent that has been achieved. The universities made networks and the environment was set up for UNISA. For example, I know that one of the partners that Unisa, PASCAL.

Cebisa:

So you know Professor Hoppers?

Prof Higgs:

Yes, I know Professor Hoppers. In fact, I am the one who recommended her to take up the Chair here in UNISA. I have known her for many years, when she was still at the HSRC and the University of Pretoria. She is one of the Champions of the IKS. She was, to me, the ideal candidate in terms of the missions and visions of the statements of UNISA:

1. To achieve academic excellence in communication science as a discipline in an African and global context
2. To empower postgraduate students to independently acquire specialised theoretical and research-based knowledge, that will allow them to take up research, managerial and leadership roles
3. To cultivate community participation by offering expertise as a service to society
4. To lead in research in an African and global context
5. The higher Education System still needs to address issues of curriculum, governance, research, social networks/responsibilities etc, and with the strategic set up of these, one could be confident in achieving plans for future implementation.

So her recommendation was based on her reputation and past experience and her contribution in the Higher Education system. The management of UNISA then approved her candidacy because of her reputation.

One question that needs to be taken up, and perhaps you can take up on your Phd level, should you be interested is:

“To what extent has the implementation of the Chairs achieved the goals set out for addressing various issues in the transformation of the HEI”.

I think I will end there and should you need more clarity on what I have said. You are welcome to do so.

Cebisa: Thanks for your time Prof.

APPENDIX 3

AN INTERVIEW WITH MR BHEKI HADEBE FROM DST 06 JUNE 2011

Director DST: South African Research Chairs Initiative

The recording started at 11:00 with Mr Bheki who has agreed to participate and will be given the scribed notes to verify if it is as it transpired.

The conversation started with introductions between myself Cebisa (Interviewer) and Bheki (Interviewee)

Cebisa: Can you please give an overview of the strategic context of the South African Research Chairs and how it is embedded on the South African Transformation policies and goals?

The context in which these Chairs were initiated was upon the White paper on Science and Technology and the National Research and Development Strategy (NRDS), which placed emphasis on the need for South Africa to transform its Science, Engineering and Technology (SET) workforce. There are other policies and strategies of government, including the Human Resource Development Strategy (HRDS) and the Medium term Strategic Framework (MTSF) noting the shortage of high level skills as a significant constraint in the development of the economy and the society. Looking at this background it became inevitable therefore that with regard to South Africa, it must produce a greater number of highly skilled individuals, particularly in SEAT, to achieve the goal of an equitable, sustainable and inclusive growth path that brings decent work and sustainable livelihoods, education, health, safe and secure communities and rural development.

Mr Hadebe's Introduction towards the Research Chairs

The South African Research chairs Initiative was modelled similar to that of the Canadian programme. Its focuses on how we attract back the experienced, qualified expertise of higher education that have left our country so that they can train and mentor post graduate students and researchers. It is a response to the many studies that done in South Africa. One of them that have been done is: Flight of the flamingos. It focused on how researchers are leaving our country to other well developed working systems abroad, referred to as brain drained. They are moving to private sectors that they believe have better facilities. This leads our Higher education sector to lose a lot of qualified professors.

The South African Research Chairs is ideally a strategic instrument aimed at strengthening and innovation capacity in public universities, enhancing the training of a new generation of researchers and the further development of established researchers in all knowledge areas while responding to national priorities and strategies as set the South African government.

These Chairs have been custom made to serve as programmes for the universities and may be held in partnership with a public research institution such as another university, science council, a national facility or an academic health complex.

The initiative offers funding of 2, 5 million, and is roughly divided in three categories:

1. Salary for the expertise
2. Support for students that are being mentored (Post Graduates)
3. Also research support such as equipments and other operational challenges that support the work of the Research chair. E.g. The national diplomat programme

Research chairs are allowed to apply for bigger strategic equipments and because of this there are certain requirements that they have to meet.

1. They need to train post graduate students – as a result of meeting this requirement, of the stipulation is that they must spend 95% doing research or mentoring students. 5% spent on undergraduate students. This is a result of a survey done in 2003, The National Research development survey, which showed that there is a decreasing number of full time equivalent qualified researchers. A full time equivalent researcher is one who does a research in an institution and works for 8 hours doing research. So they are adding to the number of full time researchers within the higher education sector. Certain principles are adopted in enrolling in the initiative:

Need a disciplinary equity –where 80% is science and engineering technology, which is placed on strategic perspective and that it is a scarce skill. 20% is social science and humanities that are strategic in development of government (it is a government initiative)

The principles of nationality – the higher education sector has objectives. Firstly to attract abroad candidates for the research chair back in South Africa, be it a chairman or Britons. This is good for the system as it adds value to the Higher education sector. The Dust forum is looking for Africans who went to other countries; SA could act as a retrenchment place to attract the different nationalities back that are excellent in their work. With nationality another level that they look at is appointing a local person for the research chair, one of their staff members or any university which is local. This means that the institution is meant to absorb the salary, the university does not get paid and they have to find someone to be an additional staff who will continue the duties of the staff that is placed at the chair. This helps produce a growing number of teachers and researchers. There are targets that have been set out: 60% of the chairs should be coming from outside the country as they are the ones that have to be attracted back and for mentorship capacity. 40% should be staff members from the higher education sector. The target in this is not well done, 2 chairs +-20% of the quality must be from outside and +-75 within the higher education sector. In the 40% target gender and race has been taken into consideration, applied and within the 60% target race and gender could not be applied as the candidates will be coming from different countries and governments which

may cause conflict. As long as they are able to get someone within the target it's a win-win situation for the higher education sector.

In the 40% gender target it should be 50/50 female and males, 60% blacks (inclusive of Indians and coloureds).

There has not been a target set out for disabled people and Mr Bheki Hadabe acknowledges that it is a grave omission because in all instruments there is a target set out, 2% allowed by the employment equity act.

The purpose of post graduate mentoring is Research, knowledge output and innovations. This is based looking at the number of students produced, the research publications and outputs.

To go out to the market to seek sponsorship partnership, e.g the First Rand foundation (bank) is co-sponsoring with the department 6 chairs in mathematics education. Emphasis on the research is not pronounced like the others, it works with skills, developing teachers. The researchers are placed in strategic areas of the government. As much as it is an academic research there is a lot of developmental part because the government has particular key areas- research relation – national development. Chairs are vital to the research.

Cebisa: Is there a criterion on awarding the Chairs, given the fact that there is what is called previously White and previously Black Institutions.

Answer: chairs are awarded on merit and equity but almost on merit alone. The expertise and tools used also play a role and when awarded, the winner takes all. The allocation of chairs is mirrored by the research performances. The process is run but the agency (the National Research Foundation) which makes recommendations based on merit and scholarly issues. It is a two stage process.

In black universities that have been awarded or offered the chairs you find that there is not much support system towards the chairs. Institutions must have a PQM, right to offer

a degree at a certain level, to offer Phd in certain areas. Interventions have been done to look at the point of failure in these historical institutions. They have asked the National Research Foundation last year to have focused workshops and seminars so that they are able to produce quality proposals, specific with research proposals.

They should be able to demonstrate capability, suitability, readiness and commitment to host and support the research chair, that has to be in the in the research context. At the first level proposals should look at the strategy of the university in:

1. The research subject
2. Where they want to be in 5 years time
3. And focusing on what.

These are all necessary, parallel scoping. The second level, proposals looks at when you have been awarded the right to host the chair, what is it that you are required to do. You are required to recruit a candidate who will set in the chair position and who meets the requirements and the target.

You would recall that there has been a perception around universities and institutional differences. Way back in 1996 there was talk of 3 types of institutions:

1. Research intensive Institutions
2. Community development Institutions
3. Teaching Institutions

This to some extent is true, Institutions focus on all 3 but need to define their competitive advantage on one area. The policy is informal but you may find institutions producing students and attracting graduates.

There is no doubt in my mind that all the institutions need to understand the importance of research, it brings in new expertise, produce innovations etc...Institutions therefore need to take advantage of the research chairs, because the country has a lot of ageing white males who are established, well renowned and qualified researchers, so they need

to use them while they are still around and regenerate growth in the country. In terms of training targets, issues of gender and race parameters should be supported as there's a high number of African graduates in the country.

Cebisa: I really appreciate that point but at the same time it is a fact that some of these old scientist do not want to disseminate any information to the younger academics.

Answer: I am not certain about that. Personally my take would be the suitability of these old academics in securing more grants than the others. The issue is an important one, not an issue of holding information but lies in bursary allocation processes. (Personal opinion given).

Cebisa: Do you really think that we have quality researchers in South Africa?

Answer: We really get quality researchers and they represent and it's a very private sector than you think. The DST develops a range of instruments that they can be done in the pipeline, where they assist those who want to go further with their research. It even assists people that are working and is looking at the new generation of researchers.

Cebisa: In conclusion, Mr Hadebe how do you foresee the future of the Research Chairs in the South or perhaps is there any change/move towards a better human development, transformation and sustainable livelihoods through the Chairs that are in place at the moment?

Answer: Well, that is food for thought. Listen, the objectives of the Chairs have been at least realised, yes, there are shortfalls that we are experiencing. However, the 1st phase of the Chairs are operational and there has been a shift of towards the production of both Masters and PhD candidates already been seen. The gender and racial issues have been an ongoing issue, it is a massive adjustment towards the realisation of our targets but there is

no hope lost as yet. We have seen a growth of international renowned academics showing interest in the transformation of South Africa through these Chairs.

Research chairs are tenable at two Tiers, Tier 1 is for established researchers that are recognised internationally as leaders in their fields and have substantial international recognition for their research contributions. Tier 2 is for established researchers, with strong research, innovation and human capital development output trajectory, and the potential to achieve substantial international recognition for their research contributions in the next 5-10 years. Tier 2 Chairs may be considered for upgrading to the Tier 1 level either after the 1st or during 2nd year term. That is transformation in its making.

The review of the process application and awarding to of Research Chairs should demonstrate readiness, commitment and suitability of the universities in order to host and support the initiative.

62 Chairs have been allocated, through making a final selection taking into account the strategic objectives of South African Research Chair Initiatives and the transformation needs of the sector and the National Research Foundation.

The interview ends.

APPENDIX 4

INTERVIEW WITH MR ROBERT KRIGER 25 JULY 2011 (08H30)

Mr Robert Kriger works for the National Research Foundation - Executive Director: International Relations and Collaboration. He is well established policy analyst and has been involved in Higher Education policy making and implementation through the National Research Foundation.

Mr Kriger did not want a question and answer interview, he decided on a discussion style of Interview, he was to give me his opinion on Higher Education Transformation, Policy implementation and the role of the National Research Foundation pertaining to the Research Chairs and other tools used to accelerate transformation in higher Education System.

Mr Kriger's Discussion

The core issue with regard to research in Africa is that of building stronger research capacity (i.e policies, infrastructure, funding, and human resources). Furthermore, these important areas are interrelated in many ways. The gap between the policy-making and the reality of weak HEI institutions has become dangerous and there is a continuous problem of research funding and evaluation of research outcomes.

The crisis should not be used as an excuse not to meet the Millennium Development Goals which encapsulate the major challenges facing developing countries. Research is essential to propose sustainable long-term solutions to these complex problems.

Governments should put in place a set of policies to actually develop and strengthen national research systems. The growing role of universities in R and D activity needs to be underlined.

Higher Education Institutions role in collaboration with the instruments used to fast track transformation in South Africa including the Chair initiative would be in my understanding to:

1. Equity and Redress
2. Adherence to quality
3. Internationalisation of research
4. Focus on African diaspora and abroad
5. Positioning the Higher education system within the National Systems of innovation
6. Organisational transformation: Business processes and procedures
7. Human resources and Transformation
8. Financials

My point is

Political will is the basis for sustaining a creative research community and for building research capacity including the management of resource allocations.

Government commitment is vital to support R&D.

Funding issues must be tackled by increasing the voice of the research community and by defining a legitimate funding framework by governments.

A clear distinction must be made between country proposals and those made by international entities. Partnerships and bilateral agreements are important but these should respect national and local priorities.

It is important to create critical centres of excellence so as to promote the base for applied research which links directly to development challenges.

OECD countries should renew their commitment to adopting a coherent strategy of policy implementation, as well as continued support to R&D and to research cooperation.

As the main stakeholders in the benefits of research outcomes, governments /HE institutions/ NGOs/ donors should continue to maintain and deepen genuine dialogue to face the following challenges that are currently our killer in this country.

1. Implementation of policies in Africa
2. Political influence
3. Learning the process
4. Less funds dedicated for research by government
5. Disbursements of funds in Africa
6. Granting processes
7. Activities funding in scope of programme
8. No students and scholarships due to brain drain and lack of finance

The innovation approach that comes through the programs like Centre of Excellence and the Research Chairs (i.e innovation considered as a continuum, a value chain which, from the transformation of knowledge produces good services, thereby increasing productivity, competitiveness, and ultimately welfare) requires relevant guidance regarding research subjects, a guidance based on the requirements of current socio-economic challenges in a fighting poverty oriented approach, but also a multiplicity of social actors, stake holders such as the NGO's, the private sector, social and civil organisations etc...

It implies shared responsibility for the monitoring and control of decisions as lower levels. This principle guarantees ownership and sustainability of innovation at grassroots level.

This is ensured by both the Department of Science and Technology and the National Research Foundation and its partners to make recommendations and final recommendation towards equality, access and transformation target issues. It is still real that there is still poor participation on women and historically Black Institutions (obvious reasons of infrastructure, historical legacies and systems).

As a scholar yourself you and a former NRF employee you will recall that there are levels to funding within the NRF pertaining the Research Chairs which most of the time outcast the former Black universities, for instance:

Capability to host the Chair is one

Presentation of research trajectory is two etc...

The second level will be to recruit the envisaged candidate to the position and demonstrating the profile of that particular candidate (through post graduate record and research record). This is where the institutional differentiation comes in as you may know that between 1996-1998 universities were mostly classified as research (HWI), teaching (universities like UNISA) and community (UNIVEN for instance) institutions).

This is an enormous struggle as the two other universities become feeders to the HWI because of funding, they are competent and inevitably get the money, and because these initiatives come with conditions they dangle a carrot and the rest is history. This is simply because the “White Institutions) have conceptualised these categories:

1. Functionality
2. Preparedness
3. Receptiveness
4. Incapacitations

It is therefore clear based on this discussion that

1. Creation of a high level infrastructural research environment is fundamental because it is recognised that where there is an improvement of the national research environment and infrastructure, the private sector, government and other donors are more inclined to invest in R&D development
2. Therefore, to convince innovators and private sector to engage in the process of innovation, we must propose new and diverse forms of public financial investment such as grant funding, tax incentives, public –private partnership contracts etc..

The Chairs for instance work on a contract model for public-private partnership intended to promote innovation that defines criteria for:

1. Risk sharing, since the business success of innovation is at very high risk; the market led orientation and selection of highly competitive and not only technologically interesting products
2. Technical support of innovation project initiators in their project implementation
3. Regular performance monitoring and evaluation in a participative approach

It is these huge challenges that we have to pick up with great lucidity and determination, bearing in mind that this is a long-term strategy. But, not only do we have to think, but we have to think while acting, in other words we must "learn by doing."

Building entrepreneurial capacity in science and technology coupled with smart funding systems that emphasize creativity and risk rather than the comfort of bureaucracy calls for the creation of a science and technology alliance between the North and the South, with a view to promoting a staunch and sustainable partnership.

We hope that these Chairs, coupled with partnerships between Northern countries and Africa will emerge, a partnership based on a shared vision and a shared approach to innovation as the driving force of research in Africa, with particular emphasis placed on the promotion of entrepreneurship driven and fuelled by creativity.

The interview ends.