

TRANSFORMATIONAL LEADERSHIP AT A HIGHER EDUCATION INSTITUTION

by

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Great leadership is a unique form of art, requiring both force and vision to an extraordinary degree Leadership is more than technique, though techniques are necessary. In a sense, management is prose; *leadership is poetry*. The leader necessarily deals to a large extent in symbols, in images, and in the sort of galvanizing idea that becomes a force of history. People are persuaded by reason, moved by emotion: he (the leader) must both persuade them and move them. The manager thinks of today and tomorrow. The leader must think of the day after tomorrow. A manager represents a process. *The leader represents a direction of history*. Thus a manager with nothing to manage becomes nothing, but even out of power a leader still commands followers. Great leadership requires a great vision, one that inspires the leader and enables him to inspire the nation. People both love the great leader and hate him; they are seldom indifferent toward him. *It is not enough for a leader to know the right thing. He must also be able to do the right thing All of the really strong leaders that I have known have been highly intelligent, highly disciplined, hard workers, supremely self-confident, driven by a dream, driving others* [the italics are the researcher's].

Richard M. Nixon
(Nixon, 1982, pp. 4-5)

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SUMMARY OF STUDY

TRANSFORMATIONAL LEADERSHIP AT A HIGHER EDUCATION INSTITUTION

By

MM van Niekerk

Degree: MA (Industrial and Organisational Psychology)

Supervisor: Prof. JPR Joubert

This study investigates transformational leadership at a higher education institution. The systems paradigm serves as the point of departure, while the construct 'leadership', which forms the driving force of change in the organisation, and the concept 'transformational leadership', are integrated to yield a mechanism for the optimal positioning of the organisation in the ambit of transformation.

The results indicate that the leadership style at the higher institution in question is transformational in nature. From the literature review it became evident that although it is possible for transformational leaders to fail in the transformational strategy, the transformational leader may exhibit the most 'ideal' leadership style for the higher education institution engaged in a turnaround strategy. Based on the results of the study, additional proposals are made regarding further study in the area of transformational leadership as well as possible decisions regarding human resource management for the higher education institution in question.

KEY TERMS:

Transformational Leadership, Transactional Leadership, Higher Education Institution, Transformational Change, Transformation in Higher Education Realm, Academic Work, Constructs of Transformational Leadership, Authentic leadership, Pseudotransformational Leadership, Multifactor Leadership Questionnaire (MLQ 5X), Human Resource Management.

CHAPTER 1: INTRODUCTION TO THE RESEARCH

“I wanted to change the world. But I have found that the only thing one can be sure of changing is oneself” (Aldous Huxley as quoted by Strydom, 1998, p.1).

This study investigates transformational leadership at a higher education (HE) institution. The systems paradigm (with the institution as system) will serve as the point of departure, while the construct ‘leadership’, which forms the driving force of change in the organisation (Joiner, 1987), and the concept ‘transformational leadership’, will be integrated to yield a mechanism for the optimal positioning of the organisation in the ambit of transformation.

The first chapter provides background to and a motivation for the research as well as a problem statement. The general objective of the study is formulated, distinguishing between specific theoretical and empirical objectives. Thereafter various relevant research models are discussed, followed by a paradigm perspective that will specify the boundaries of the research. The research design and methodology are outlined, indicating the procedures to be adopted. Finally, an outline of the chapters of this dissertation concludes this first chapter.

1.1 BACKGROUND TO AND MOTIVATION FOR THE RESEARCH

The following perspectives from the literature provide the rationale and background to this study.

Firstly, we live in an era in which the pace and scope of change is unpredictable. According to Manning (2004, p.2):

In this extraordinary moment in human history, much of what we know about business has been turned on its head. Executives who don’t see the new realities – and adapt to them with lightning speed – will be left behind in the race for customers and profits.

Higher education (HE) institutions are confronted with the same changes and demands:

All providers of Higher Education today are faced with the challenge of building a system of Higher Education, which will be equipped to meet the needs of society in the next century. The requirements to respond positively to change and to manage it effectively have never been so urgent.

(Ford, 1996, p.1)

This is confirmed by Wilkenson, Fourie, Stydom, van der Westhuizen and van Tonder (2004), who state that international trends have shown that HE institutions need to reform their mission, and to better utilise their intellectual resources (academia), in order to meet the challenges posed to HE in the 21st century. It is further emphasised that great pressure is placed on institutions to respond rapidly to issues such as internationalisation and globalisation, the increasing economic role of knowledge, new communication and information technology, and reduced government funding of HE.

Coaldrake and Stedman (1999) emphasise specifically five key areas that are particularly important because of their impact on the work of staff within universities. The first area is *growth* in higher education participation or a massification in higher education. A second major change has been *the shift in responsibility for funding higher education from the government to the student*. Government has gradually repositioned itself from being a patron of universities to a “purchaser” or owner of higher education, and expects demonstrated accountability and returns for this investment.

A third area is *increasing knowledge and the demand for synthesis*. This implies: an emphasis on teams; that the research direction is shaped by interaction between researchers and users; overlapping problems and issues in different disciplines, organisational diversity; networks (connectivity draws together knowledge from diverse sources); and broadly based quality control incorporating academic peer review and judgments of users.

The fourth major impact is industrialisation and industrial relation's policy. In the South African context this is especially true regarding labour and higher education legislation. Occupational Health and Safety Act, No 85 of 1993 (RSA DoL, 1993b), Occupational Injuries and Diseases Act, No 130 of 1993 (RSA DoL, 1993b) Labour Relations Act, No 66 1995 (RSA, DoL, 1995), Unemployment Insurance Act, No 30 of 1996, (RSA DoL, 1996), Basic Conditions of Employment Act, No 75 of 1997 (RSA DoL, 1997), Employment Equity Act, No 55 of 1998 (RSA DoL, 1998a), Skills Development Act, No 97 of 1998 (RSA DoL, 1998b), and legislation regarding learnerships as stipulated in the Government Gazette No R. 1151 (RSA DoL,2000), all have a major impact on the employer-employee relationship. Higher education legislation and policy documents that impact on higher education in South Africa include the Transformation and Reconstruction of the Higher Education System (RSA DoE, 2002), Towards a New Higher Education Landscape: Meeting the Equity, Quality and Social Development Imperatives of South Africa in the 21st Century, (RSA DoE, 2000), and the National Plan for Higher Education (RSA, DoE, 2001) of the Ministry of Education (Asmal, 2001).

The last area of transformation is in *information technology* and the transformation of teaching and learning. Staff are confronted with major changes in the way they work, and frequently experience conflict with established practices governing workload allocation and professional recognition and reward.

Certain authors examined this changing nature of academic work to identify principles (e.g. leadership) by which universities might balance management imperatives with academic values, moving beyond sterile dichotomies of managerialism and collegiality (Coaldrake & Stedman, 1999).

The changes outlined above have fallen on a university system with widely held values (e.g. collegiality) about academic work and have an effect on academic work. These academic values, and the work practices they reflect, have come into conflict with the demands of an external world, upon which universities have become more and more reliant. Modern universities and staff have developed a disturbing imbalance with their environments: they

face an overload of demands and are equipped with an undersupply of response capabilities. Clark (1998, p. xiii) states that:

In a demand-response equation of environment-university relationships they may be seen as falling so badly out of balance that if they remain in traditional form, they move into a nearly permanent stage of disequilibrium. A tolerable balance requires a better alignment. Transforming pathways are then a means of controlling demand and enhancing response capability. To orchestrate the elements, institutional focus takes center stage.

Ford (1996) indicates that underlying the transformation are fundamental changes in the thought processes about the governance, management and functioning of the organisation. Ford (1996) further emphasises that a paradigm shift, that has an impact on every aspect of the organisation, is occurring. One aspect that is also affected by this paradigm shift is the approach to leadership.

The three policy documents that outline the most imminent challenge for Higher Education in South Africa are the National Plan for Higher Education of the Ministry of Education (RSA DoE, 2001), the Transformation and Reconstruction of the Higher Education System (RSA DoE, 2002), and Towards a New Higher Education Landscape: Meeting the Equity, Quality and Social Development Imperatives of South Africa in the 21st Century (RSA DoE, 2000).

The New Institutional Landscape for Higher Education in South Africa deals primarily with the reduction of institutions through mergers and/or incorporation in the South African context. Mergers and incorporations, as part of the solution to problems in higher education, are not embarked upon for purely administrative purposes, as has been the case in some countries. As was indicated by the Minister of Education in October 2001, it should rather be seen as part of the process of 'undoing some of apartheid's logic'. The Government's proposals will result in 21 higher education institutions and two national institutes for higher education (Asmal, 2001). The incorporations

and/or mergers are currently placing a heavy burden on institutions, which are confronted by two fundamental issues: the first is related to the overall human requirements for the running of the new institutions and the other to differences in conditions of service. Both issues have to be handled with care within the legal parameters of the Labour Relation Act, No. 66 of 2002 (Hay & Wilkinson, 2002).

Retrenchment and outsourcing of staff are further realities for South African institutions. A survey of support service outsourcing in public sector higher education institutions between 1994 and 2001, entitled *The Outsourced University*, states that the outsourcing trend changed ideas about the nature of the university. In particular, "the university is being reconceptualised as a knowledge industry, a site for the production of information technologies, a lucrative market for instructional wares, and a key source of skilled personnel" (The Outsourced University, 2002, p.1). This amounts to the commercialisation or 'marketisation' of higher education.

This commercialisation or transformation has drastic implications for the management and functioning of the institution. Leadership is a key to the effective management of educational change and transformation (Keller, 1983; Senge, 1990): a new generation of leaders, suited to the time and circumstances, is needed, and the kind of leadership required to bring about change is transformational leadership.

Fairholm (1998, p.8) emphasises the importance of leadership by stating that "understanding the role and function of leadership may be the single most important intellectual task of this generation and leading the most needed skill". The reason, according to Fairholm (1998, p.8) is simple:

Leaders define business and its practice. They determine the character of society. They define and shape our teams, groups and communities. They set and administer government policy. In all walks of life, leaders' behaviors set the course; others follow and determine the measures used to account for group actions taken.

Fairholm (1998) further argues that success in the new millennium, as in the past one, will depend on how well leaders understand their roles, the leadership process and their values and vision.

Although it is clear from research that leadership is the key to effective educational reform (Bass, 1998a; Clark, 1998; Coaldrake & Stedman, 1999; Green & Fisher, 1991; Harker & Sharma, 2000), it seems that appropriate leadership for managing transformation and change is urgently needed. Although the calibre of research and teaching at some institutions compares to international best practice and standards, overall effectiveness and efficiency reflect a range of systemic problems. These include management, leadership and governance failures (Naidoo, 2003). Cornesky (1992, p.57) confirms this claim when he states that "many universities are over-administered and under-led. They must make a commitment for all administrators to become leaders."

According to Zeffane (1996, p.6) the implementation of strategic change requires a melding of empowered people with new technology and re-engineered business processes. This is best achieved through effective transformational models of leadership. This view is the motivation for conducting this investigation into appropriate leadership in higher education in general, as well as on institutional level. In particular, transformational leadership is bound to be of great value in the effective management of change.

Macgregor (cited in Burns, 1978) uses the concepts '**transformational leadership**' and '**transactional leadership**' to denote various modes of action, thought and feeling. Zaleznik (1977, pp. 55, 67-78), who assigns the term 'leader' to the transformational type, and the term 'manager' to the transactional type, draws a similar distinction. Bass (1985) and Avolio and Bass (1988) postulate that transformational leadership is more effective than transactional leadership in achieving higher productivity, higher job satisfaction and lower employee turnover rates. These authors propose a six-factor model that includes both transactional and transformational leadership factors. The conceptualisation of the transactional and transformational

leadership model resulted in the development of a questionnaire, the Multifactor Leadership Questionnaire (MLQ), which includes leadership factors.

The factors – three transformational, two transactional and a passive-avoidance/laissez-faire factor – were extracted from principal components analyses using varimax rotation. The five leadership factors and the laissez-faire factor reported by Bass (1985) include: charismatic-inspirational leadership, intellectual stimulation, individualised consideration, contingent reward, management-by-exception and laissez-faire leadership. Bass (1985) also provides evidence for two higher-order factors, which he labels active versus passive leadership.

Bass (1997) states that in contrast to transformational leadership models of change, transactional models of leadership simply do not go far enough in building the trust and developing the motivation to achieve the full potential of one's workforce. Yet, coupled with individualised consideration, these models may potentially provide the base for higher levels of transformational leadership to have a positive impact on motivation and performance. The level of integration and interdependencies that are needed for the new work environment will require leadership that goes beyond the more basic transactional style to styles that are more intellectually stimulating, inspirational and charismatic, thus transformational. Such a leadership style will probably result in higher levels of cohesion, commitment, trust, motivation and performance being observed in those organisational environments.

1.2 PROBLEM FORMULATION

Most higher education institutions (HEIs) in South Africa are confronted with and exposed to the same large-scale processes of transformation and demands as discussed above. Large scale and intensive transformation and changes in the business environment and the society at large are taking place. Higher education functions in a more competitive world, where resources have become scarcer and where the impact of technology has

never been so great or so unpredictable. HEIs have entered global education markets, whilst also forging local and regional links. Frequently this results in the distinctions between study and employment and between different sectors of educational provision becoming blurred. This implies that higher education must constantly adapt and renew itself to ensure survival (Ford, 1996).

Green and Fischer (1991, p.3) highlight the following areas of change:

The effects of the expansion of higher education and the push for greater access, the problems of declining resources and the challenge of diversifying funding resources, the expectation that higher education would make a greater contribution to economic and social development, the pressures to be accountable to an increasingly skeptical and dealing public, the conflict surrounding institutional autonomy, the growth of technology and the drive for internationalisation.

Although much research has been conducted in the area of transformational leadership (as indicated in Chapter 2, section 2.3.2), no clearly integrated picture of this leadership style exists as yet. Therefore, an attempt should be made to determine whether transformational leadership is indeed the appropriate leadership style for change management and transformation in the higher education setting at this specific time and under these circumstances. This is especially important at the institution in question where the strategic management process is a conscious effort in transformation that requires much special activity and energy. Taking risks when initiating new practices where the outcome is in doubt is a major factor. This institution actively seeks to be innovative in how it goes about its business. It seeks to work out a substantial shift in organisational character to enable it to arrive at a more sustainable posture for the future.

Given the above problem statement, the research question may be formulated as follows:

Are the leadership styles of five top-level managers at a higher education institution suited to the changing higher education landscape?

1.3 OBJECTIVES OF THE RESEARCH

1.3.1 General objective

The general objective is to investigate transformational leadership at a higher institution undergoing transformation. The intention is to integrate the literature and the empirical findings, which will be utilised as part of an in-depth account of the leadership styles of five top-level managers within the institution (Chapter 2).

1.3.2 Specific literature objectives

The specific objectives of the literature review entail the following:

- To determine the role of leadership style in the effective management of transformation and change (Chapter 2).
- To analyse leadership theories critically, within the context of organisational transformation and change in higher education (Chapters 2 and 3).
- To analyse critically the transformational leadership model (Chapter 2).
- To analyse critically the transformational leadership model in order to determine whether transformational leadership is the appropriate leadership style for an institution in the process of transformation. (Chapters 2, 5 and 6).

1.3.3 Specific empirical objectives

Specific empirical objectives of the research entail the following:

- To ascertain the leadership styles that are currently exhibited by five top-level managers at the institution under investigation.
- To ascertain whether there are any differences between the transformational leadership styles of leaders at the higher education institution (Chapter 5).

It is hoped that the general literature study and the empirical objective of this research will lead to the identification of the transformational leadership style, most suited to the needs of the current situation in higher education.

The specific objectives encompass an attempt to formulate recommendations in terms of human resources management and development systems with regard to personnel selection and training and development.

1.4 THE PARADIGMATIC PERSPECTIVE OF THE RESEARCH

Mouton and Marais (1990, pp. 7-9) postulate that one of the characteristics of research in the social sciences is that different research traditions and paradigms may be found within each of the descriptive methodologies – hence social science descriptions are multi-paradigmatic. Since this research is part of the broad social science research, both the literature review and the evaluation of results will be representative of different schools of thought within the industrial psychological disciplines. The paradigmatic perspective adopted in this research will be outlined in terms of *intellectual climate* and the *market of intellectual resources*.

1.4.1 Intellectual climate

Intellectual climate refers to the variety of meta-theoretical values and statements of which the following will be formulated for the purpose of the

research: **industrial psychology, organisational psychology, the organisation as a system and transformational versus transactional leadership.**

This study is approached from a humanistic paradigm perspective. Meyer and van Ede (cited in Mouton & Marais, 1990, p.20) mention the following assumptions and conclusion to explain humanistic paradigms. In the context of a humanistic approach, the individual has an important impact on personal development. This perspective suggests that individuals need not be passive victims of circumstance. Individuals have freedom of choice and are therefore, also responsible for their own behaviour and development (Louw & Edwards, 1993). Individual growth and development do not cease after a time. Growth, including the growth as a leader, is a life-long process. Humanism places greater emphasis on optimal development and on how people can achieve their full potential (Louw & Edwards, 1993).

From a discipline perspective, this research focuses primarily on **Industrial Psychology**, which is rooted in other disciplines, particularly in the behavioural sciences (psychology, anthropology and sociology), economics and physical science (Bass & Ryterband, 1979, p.5). Industrial Psychology is defined by Louw & Edwards (1993, p. 791) as:

The scientific study of people within their work environment. This implies the scientific observation, evaluation, optimal utilisation and influencing of normal and to a lesser degree deviant behaviour in interaction with the environment as manifested in the world of work.

Benjamin and Nation (1990) add that human behaviour is studied in an endeavour to improve productivity and the quality of working life.

The sub-disciplines followed in the fields of industrial psychology are those of organisational psychology, organisation as a system, and leadership. Louw and Edwards (1993, p.809) describe **organisational psychology** as “aiming at providing a social environment which is conducive to job performance and

job satisfaction", while the **organisation as a system** is described by Louw and Edwards (1993, p. 810) as:

A living, dynamic whole where the whole is greater than the sum of its parts. The interrelationship between the components of the organisation as a system means that a change in one component necessarily brings about a change in the other components. Like the system as a whole, each component functions according to an input, transformation, output and feedback pattern.

Finally, theory about transformational leadership is rooted in Weber's theory about charisma (Hummel, 1974). The theoretical interest in transformational leadership and charisma in formal organisations intensified with Burns' distinction between transactional and transformational leadership (Burns, 1978).

1.4.2 The market of intellectual resources

The market of intellectual resources may be described as "the collection of beliefs which have a direct bearing upon the epistemic status of scientific statements, i.e. to their status as knowledge-claims" (Mouton & Marais, 1990, p. 21). The two major types are *theoretical beliefs* about the nature and structure of the domain phenomena and *methodological beliefs* concerning the nature and structure of the research process.

In the following sections both types will be discussed.

(a) Theoretical beliefs

"Theoretical beliefs are those beliefs that may be converted into measurable statements about social phenomena" (Mouton & Marais, 1990, p.21). The theoretical statements for this research include the *central thesis* and the *relevant theoretical models*.

The *central thesis* for this research is to determine which leadership style is suited to a higher education institution in a changing higher institution landscape.

The *theoretical models*, which will be applied in this research, are discussed from a humanistic paradigm perspective. Humanism places great emphasis on optimal human development and, according to Louw and Edwards (1993, p. 618), humanism “particularly tries to determine just how people can achieve their full potential.” Since growth of the leader within a changing environment is a life-long process (which implies that individual growth and development do not cease after a time) the study is approached from a humanistic perspective.

As a result of the nature and aims of this investigation, the following models and theories will be discussed as part of the literature review:

Models:

- Transformation and change
(Chapter 2, section 2.2)
- Organisations as systems of change
(Chapter 2, section 2.2.1)
- Leadership and transformational change
(Chapter 2, section 2.3)
- Appropriate leadership for transformation and change
(Chapter 2, section 2.3.1)
- Leadership as management
(Chapter 2, section 2.3.2)
- Transactional leadership as equated with management
(Chapter 2, section 2.3.2 (a))
- Management and transformational leadership distinguished.
(Chapter 2, section 2.3.2 (b))
- Management and transformational leadership are complementary
(Chapter 2, section 2.3.2 (c)).

Theories:

- Transactional and transformational leadership.
(Chapter 2, section 2.4)

(b) Methodological convictions

Methodological convictions "are beliefs concerning the nature of social science and scientific research with the inclusion of different types of traditions of schools in the philosophy of the social sciences and the methodological models such as quantitative and qualitative models" (Mouton & Marais, 1990, p. 23).

The qualitative models are those in which the procedures are not as strictly formalised, while the scope is more likely to be undefined, and a more philosophical mode of operation is adopted. They also focus more on personal interpretation, based on interviews. In contrast, the quantitative models refer to studies whose findings are mainly the product of statistical summary and analysis. They are more highly formalised as well as more explicitly controlled with a range that is more exactly defined and relatively close to the physical sciences (De Vos & De Vos, 1998, Welman & Kruger, 2001).

Huysamen (1994) indicates that qualitative field studies may be employed with great success in the description of groups, (small) communities and organisations, and in the development of theories of the functioning of such units.

The interpretive qualitative interviews derive from the phenomenological school of thought. The basic assumption is that objects exist for people only through the meaning that each person assigns to them - hence, it is possible to understand individuals if their immediate and subjective experiences are known (Spinelli, 1998, p.3). The foundations of knowledge are lodged in the phenomena of subjective experience and perception.

The approaches aim to understand and interpret the meaning that subjects give to their everyday lives. In order to accomplish this, the researcher should

be able to enter the subject's life world and place himself in the shoes of the subject (De Vos & De Vos, 1998).

It is assumed that there isn't necessarily a single ultimate truth to be discovered. Instead there may be multiple perspectives held by different individuals, with each of these perspectives having equal validity or truth (Leedy & Ormrod, 2001, p. 147).

In the case of qualitative research, the procedures are not as strictly formalised and explicated as in the case of quantitative research, the focus of purposive of qualitative research procedures is less constrained, and a more philosophical approach is adopted (Mouton & Marais, 1990, p.23).

The quantitative questionnaires are derived from the positivistic paradigm. According to Johnson (1975) the positivistic paradigm assumes that all knowable events have various properties that stand in various realities to each other. The only 'facts' are those properties and those relations that can be empirically observed and measured. Thus positivism constructs a language in which all knowledge can be reduced to a small number of axioms and their consequences, a way to make science objective by eliminating the subjective aspect.

1.5 RESEARCH DESIGN

Mouton and Marais (1990, p.34) refer to research design as "the arrangement of conditions for the collection and analysis of data in a manner that aims to combine relevance to the research purpose with economy in procedure". To achieve this, the research design will be discussed with reference to the description of the research design, unit of assumption, validity and reliability of the research project, and the dependent and independent variables.

1.5.1 Description of the research design

The present study makes use of a qualitative research design. Dingwall, Greatbatch, Parker & Watson (1998) states that qualitative research involves broadly stated questions about human experiences and realities, studied through sustained contact with people in their natural environments, generating rich, descriptive data that helps us to understand their experiences and attitudes.

A case study design will be employed. The term *case study* pertains to the fact that a limited number of units of analysis (often only one), such as an individual, group or institution, are studied intensively (Huysamen, 1994, p.168). According to Huysamen (1994), its objective is usually to investigate the dynamics of some single bounded system such as a group or institution. Huysamen (1994) further emphasises that the concern is not merely with a description of what is being observed, but to search in an inductive fashion for recurring patterns and consistent regularities. In discerning these patterns, **triangulation** is frequently used (Huysamen, 1994, p.169). De Vos & De Vos, 1998, p. 359, define triangulation, as a "conscious combination of quantitative and qualitative methodology". Page (1976) in Huysamen (1994) used for example, used tape recordings of conversations, semi-structured interviews and newspaper reports. In the present study, numerical data (derived from questionnaires) were included to add to the qualitative observations (interpretative interviews).

1.5.2 Unit of analysis

In this study the unit of analysis is the individual within a higher education institution and includes the different roles that the individual within the higher education institution will fulfill as individual and respondent.

As an individual the person serves as employee in his/her position as leader/manager in the organisation. As respondent he/she will react to

questions formulated around transformational leadership constructs while he/she is interviewed as interviewee, after which he/she will again be referred to as an individual in the conclusion and recommendations of the research.

1.5.3 The validity of the research project

The aim of research in the social sciences is to engage in collaborative human activity in which social reality is studied objectively - not merely to understand phenomena, but to provide a valid and reliable account of our understanding of reality (Mouton & Marais, 1990, pp. 7-8). In this study, the construct validity at conceptual level is ensured because the relationships amongst the core concepts are pointed out; a measuring instrument with proven validity to measure the transformation-related constructs of leadership is used.

In conducting the semi-structured interviews, the non-directive interviewing techniques of Rogers (1959, pp. 184-185) were used. This meant that responses were not guided. In order to assist this technique, questions were prepared according to the items of the Multifactor Leadership Questionnaire (MLQ) and utilized to stimulate responses. The responses of the respondents were audio – recorded and transcribed, while the typical themes that have bearing on transformational leadership or transactional management were identified. The organisation under scrutiny was a higher education institution in the process of transformation and change, as is the case with most higher education institutions. The results of this study are therefore relevant to the broader higher education context.

1.5.4 The reliability of the research project

A central consideration in the process of data collection is that of reliability. Reliability requires that the application of a valid measuring instrument to different groups under different sets of circumstances should lead to the same observation (Mouton & Marais, 1990, p. 79).

The measuring instrument (MLQ) used has known and accepted construct validity and reliability (Chapter 4, section 4.6.2 c, d, e).

The qualitative research methods were presented systematically and in adequate detail to enable other researchers to replicate the research. The respondents worked in the same higher education institution, and were exposed to the same conditions. The research was conducted at a specific time (December 2001) when no specific institutional changes were taking place.

1.6 RESEARCH METHODOLOGY

The research was conducted in two phases. The first phase consisted of a literature review, and the second phase of an empirical study.

1.6.1 Phase 1: Literature review (Chapters 2&3)

The most relevant models and theories were presented in an integrated way to serve as background for the analysis of perspectives and information generated by other researchers. This phase evolved in four steps.

Step 1: A critical analysis of leadership in the effective management of transformation and change. Here the role of leadership within the context of theories and change and the changing organisation was investigated in order to provide a theoretical perspective on appropriate leadership for transformation and change.

Step 2: A critical analysis of leadership theories within the context of organisational transformation and change in higher education. Leadership theories were analysed in order to provide a conceptual explanation of leadership.

Step 3: A critical analysis of the transformational leadership model.

The transformational leadership model was analysed in order to identify constructs that could be used to identify transformational leaders, and to determine whether transformational leadership is the appropriate leadership style for an institution in the process of transformation.

Step 4: A critical analysis of transformation in higher education

environment to determine the context wherein transformation and change is taking place.

1.6.2 Phase 2: Empirical study

The case study was performed as phase 2 of the project in operationalising the construct of transformational leadership. It consisted of the following steps:

Step 1: Research design (Chapter 1, section 1.5 and Chapter 4)

The research methodology in this case study made use of both data triangulation between qualitative measures, and method triangulation between quantitative and qualitative methods.

Data triangulation involves comparing and cross-checking the consistency of data from different sources at different times using different means (Patton, 1990). In this study it entails comparing the data from the qualitative interviews with leaders at a higher education institution with the data from the qualitative literature review.

Method triangulation entails the use of both qualitative and quantitative data collection methods. For the purposes of this research, the data from quantitative methods, for example standardised questionnaires, are combined with the data from the qualitative interviews (Chapter 4, section 4.2.2).

The quantitative method included:

- **A standardised questionnaire:** The Multifactor Leadership Questionnaire (MLQ) Form 5X.

The qualitative method included:

- **Semi-structured interviews.**

Step 2: Defining the population and selecting the sample

In a case study, a particular individual, programme, group or individual is studied (Leedy & Ormrod, 2001, Huysamen, 1994).

The population in this study consisted of five top-level managers ($n = 5$), namely, the Vice-Rectors and the general managers who were responsible for the core entities within the institution.

On 1 September 1998, a restructuring exercise was completed where critical services were ranked in order of importance. For the purposes of this research project, the emphasis was on the top five strategic services within the higher education institution, and semi-structured interviews were conducted with the various general managers and the vice-rectors. It has already been mentioned that an additional instrument, the MLQ (Form 5X) (Bass & Avolio, 1995), was utilised to add to the qualitative data.

Step 3: Compilation, discussion and motivation for the battery of measurement instruments

Five semi-structured interviews were conducted and the MLQ 5X was utilised. Thus, the analysis focused on concrete and detailed descriptions produced by the respondents from experience and actions taken.

The most important elements, patterns and total structure of transformational leadership were analysed beforehand by the researcher. A literature study was performed prior to the study in order to familiarise the researcher with the nature of transformational leadership and transactional management.

Given this analysis as the starting point, a guideline for interviewing was drawn up in which the most important areas of transformational leadership were outlined. The items of the MLQ were transformed into possible questions to be posed during the semi-structured interview and utilised to compile the interview guidelines. The interviews were intended to focus on the subjective experiences of leaders when they were exposed to the leadership situations in the organisation. By analysing the subjective experiences of the leaders and comparing them with the in-depth review on the nature of transformational leadership and transactional management, the researcher was enabled to establish whether the theories on leadership do indeed reflect social reality, and if not, to formulate new hypotheses.

There were other aspects that also required attention. The five respondents had to be reassured that their responses would be treated as confidential and that their anonymity was guaranteed (Mouton & Marais, 1990). It was explained to respondents that the interviews would be recorded on audiotape to ensure that the primary data was not lost. An effort was made to establish a relaxed atmosphere with respondents. The way in which the interviews were to be conducted, was outlined in detail beforehand.

Step 4: Information gathering

The data was collected by means of audiocassettes, questionnaires (the Multifactor Leadership Questionnaire (MLQ 5X), and notes that were taken by the researcher to be added to the qualitative interview data.

Step 5: Discussion of the analysis of data

The MLQ data was analysed by using descriptive statistics (frequencies and measures of central tendency). Central tendency calculations were performed during the qualitative and quantitative data gathering process to assist in the identification of possible themes of leadership styles.

The mean scores and standard deviation of the items of the MLQ were calculated as well. Likewise, to obtain the means of the leadership style, the mean scores and standard deviation of the items of the MLQ were calculated.

Step 6: Data processing

The quantitative and qualitative data were processed separately:

(a) Processing quantitative data

A marking key was used to score the MLQ 5X objectively.

Step 1: Scoring

The MLQ was individually and objectively scored after completion by the respondents. This was done by making use of a Scoring Key (5X) Short.

Transformational leadership is defined, operationally, as the composite mean of the charisma, inspiration, intellectual stimulation, and individualised consideration leadership factor means, while transactional leadership is defined, operationally, as the composite mean of the contingent reward and management-by-exception factor means (Bass, 1985) (Chapter 2, section.2.4.1),

The MLQ scale scores are average scores for the items on the scale. The scores can be derived by summing the items and dividing the total by the number of items that make up that scale. All of the leadership style scales have 4 items.

Step 2: Central tendency

Central tendency and variability were performed by calculating the mean and standard deviation of the different MLQ factors individually as well as that of the transformational and transactional leadership factors in order to obtain an overall indication of the leadership styles of the participating sample.

(b) Processing qualitative data

In this study the subjects formed part of the top-management structure of the higher education institution. It has already been mentioned that the most important aspects of transformational leadership were analysed beforehand by the researcher and that a literature study was performed prior to the study in order to familiarise her with the nature of transformational leadership.

According to Leedy and Ormrod (2001) the task of the qualitative researcher is to analyse and integrate findings. Isolated fragments have to be combined into a meaningful matrix. On this basis, conclusions and recommendations were made. This method of data processing requires insight and creative thinking.

After transcribing the interviews, the researcher took the following steps:

- **Organisation of details about the case and categorisation of data**

The items of the quantitative instrument MLQ 5X (short form) served as a guideline to identify relevant topics and statements. These were arranged into 'meaning units'. The researcher grouped the segments into categories that reflect the various aspects ('meanings') of transformational leadership as it is experienced.

- **Interpretation of single instances**

The researcher looked at and considered the various ways in which different people experienced the phenomenon by allowing open discussion based on the various statements related to the topic.

- **Synthesis and generalisations**

The researcher used the various meanings identified to develop an overall description of transformational leadership as people typically experience it.

The final result was a general description of the leadership styles of leaders within a higher education institution, as seen through the eyes of people who were experiencing it firsthand. The focus was on common themes in the experiences, despite the diversity of the individuals and settings studied.

Step 7: Reporting and interpretation of quantitative and qualitative results (refer to Chapter 5)

Results are described from a humanistic paradigm (a descriptive focus as adopted per theme). The findings are presented in the form of tables and graphs.

Step 8: Formulation of the conclusion and recommendations (refer to Chapter 6)

Recommendations are formulated with reference to the literature study, the empirical objectives of the research, and the processes related to human resources-management processes. These recommendations include suggestions about the training and development of leaders within a higher education institution.

1.7 DEMARCATION OF CHAPTERS

The study is divided into the following 6 chapters:

Chapter 1 provides an introduction to the research. Chapter 2 discusses leadership in the context of organisational transformation and change. Chapter 3 concentrates on forces of change and transformation in higher education. Chapter 4 provides the research methodology. Chapter 5 deals with the research results. Chapter 6 presents the conclusion, limitations and recommendations and provides the summary of the research.

CHAPTER 2: LEADERSHIP IN THE CONTEXT OF ORGANISATIONAL TRANSFORMATION AND CHANGE

2.1 INTRODUCTION

The aim of this chapter is to provide a theoretical perspective on transformational leadership at a higher education institution. The proposed theoretical frame of reference consists of a meta-theoretical perspective (transformation and change), a theoretical perspective (leadership and transformational change), and finally an exposition of forces of transformation and change in higher education with specific reference to a higher education institution in the process of transformation. The following section thus views leadership within the context of theories of change and the changing organisation.

2.2 TRANSFORMATION AND CHANGE

This section summarises and criticises some of the major perspectives on transformation and analyses organisations as systems of change. The differences between system and cultural change are investigated, specifically in view of the importance of leadership in the changing higher education environment.

Mankind appears to be locked in an ambivalent relationship with change. Despite evident resistance to the unsettling consequence of change (Senge, 1990; Gerard, 1994), the desire for change characterises much of human endeavour, and has done so since the dawn of consciousness.

Owen (1987, p. 5) describes transformation as "the organisational search for a better way to be." In fact, Owen argues that it is when the environment alters in such a way that the old way of doing business is no longer appropriate or possible, that a new way becomes essential in order to survive.

The central idea of the word transformation is movement across or through forms and Owen (as quoted in Strydom, 1998, p. 1) states the following in this regard:

Transformation is a process of transmutation of one form into another. In the educational milieu this refers, in part, to changes in the knowledge and abilities of students - the development of domain of expertise - but it also refers to the process of coming to understand.

Strydom (1998) concludes that the term 'transformation' remains elusive and confusing. It has even been defined as that fuzzy area between reform on the one hand and revolution on the other. Yet, despite the lack of clarity on this term, consensus has been reached on the notion of the transformation of the higher education sector – enough reason for all of us to make a concerted effort at its realisation.

From the above discussion the following conclusions can be drawn:

- (1) Transformation is either a process or a state.
- (2) Transformation can be change in either a compositional/structural or an apparent sense.

Ford (1996) uses models of logic to provide different understandings of the change process. He argues that our understanding of organisational change will vary depending on the logic that is deployed. The logic of dialectics emphasises conflict or struggle as the basis for change. The conflicts between the forces for and against change are two opposing actions that “work at each other” until one dominates and the resulting outcome is a synthesis that is distinct but which contains elements of both forces. This model assumes that dissatisfaction with the status quo is necessary before change can occur.

In contrast, the logic of trialectics proposes that change occurs through attraction. Changes are not caused by pushes or pressure to move away from the present situation – they result from being pulled toward or attracted to different possibilities.

Polkinghorne (cited by Pietersen, 1996, p. 5) provides the researcher with a useful synthesis of these two views:

The history of the universe from the moment of the big bang onwards has been a tug-of-war between two opposing tendencies. One is the expansive (centrifugal) force of the big bang itself, throwing matter apart. The other is the force of gravity, pulling matter together (centripetal). They are closely balanced and it is not sure which will win in the end.

According to Fromm (Pietersen, 1996) we will always be affected by these two opposing systemic powers. This principle is generalised to apply to any open system as well as to organisations as living, dynamic systems where the powers are directly responsible for stability and change taking place. "They can also be referred to as system-stabilising and system-generating processes" (Pietersen, 1986, p. 7). When the equilibrium level of functioning of a system (for example a psychological, social or organisational system) is disturbed by either the environment or an internal choice, it exhibits deviation-counteracting tendencies (positive or negative) in order to return to the original level of equilibrium.

All self-regulating open systems have limited power to prevent destruction or dystrophy. The healthy organisation (or individual or group) is constantly trying to counteract the two extreme poles of dystrophy: stability-stagnation and drastic change.

2.2.1 Organisations as systems of change

An organisation is a complete functioning unit made up of integrated systems that allow it to operate to accomplish its purposes or goals. The separate subsystems of an organisation include the social system, the technical or operational system, and the administrative system (Dyer & Dyer, 1986, p. 14). As Pietersen (1996) propose, systems are, firstly, integrated wholes (for

example individuals, groups, organisations or societies) whose specific structures and identity derives from the interactions and interdependence of their constituent or component parts. Systems thinking emphasises processes and dynamic ongoing relationships rather than isolated elements. Additionally, all organisations are open - that is, they continually interact with the external environment. Certain inputs (people, materials, controls and demands) must be processed by the subsystems, and ultimately certain outputs (products or services) must be produced (Dyer & Dyer, 1986).

Searight and Openlander (1986, p. 75) quote Baterson's basic rule of systems theory: "If you want to understand some phenomenon of appearance, you must consider that phenomenon within the context of all completed circuits that are relevant to it." From this perspective organisational change requires an understanding of, and intervention in, the wider context of what Boverie (1991) refers to as a system. Because of the increasing interconnectedness and interdependence of individuals, groups, organisations, institutions and societies, brought about by changes in communication and transportation, our environments are larger, more complex, and less predictable - in short, more turbulent. Organisations must position themselves to ensure that growth and survival is possible, in spite of forces that work in on them (Manning, 1991). Kreitner and Kinicki (1998, p. 614) support this by saying: "Companies no longer have a choice - they must change to survive."

Old (1995) argues that what she calls 'whole system organisational change' occurs on three levels: transactional (observable ongoing work), systemic (strategy, structure, culture, rewards, technology, information), and deep structure (underlying patterns). She reasons that a well-integrated change methodology is needed if organisations are to respond well to change and embed new thinking and a change orientation in the organisation's deeper systems and interactions.

System change differs to a large extent from cultural change, which is engaging in some action that gets at basic beliefs, values, and perspectives. (Dyer & Dyer, 1986, p.18).

Table 2.1 outlines some of the differences between cultural change and system change.

Table 2.1 Differences between system change and cultural change
(Dyer & Dyer, 1986, p. 20)

SYSTEM CHANGE	CULTURAL CHANGE
1. Problem-orientated	1. Value-orientated
2. More easily controlled	2. Largely uncontrollable
3. Involves making incremental changes in the system	3. Involves transforming basic assumptions
4. Focuses on improving organisational output/measurable outcomes	4. Focuses on the quality of life in an organisation
5. Diagnosis involves discovering nonalignment between subsystems	5. Diagnosis involves examining dysfunctional effects of core assumptions
6. Leadership change is not essential	6. Leadership change is crucial

The system approach to organisational change emphasises the inputs, the transformation processes, and the outputs that transverse the organisation and focuses in particular on deficiencies in outputs (Dyer & Dyer, 1986, p. 15).

According to Gagliardi (1986) the process of cultural change is a grey area. On the one hand, culture is defined as a complex, unchangeable, comprehensive system of assumptions and basic values that distinguishes one group from another. The more deep-rooted and complex these values are, the less willingness there is to change the culture. According to this approach cultures can be forced to change although, for the organisation, it will be a very costly endeavour. Thus, organisational structure is a variable that will depend on and adapt to the organisational strategy.

Peters and Waterman in Calori, 1991, p.52, investigated some of the most successful organisations and came to the conclusion that "a strong corporate culture (i.e. shared values) is the 'cement' of those excellent organisations".

There is a constant interplay between culture and leadership. Leaders create the mechanisms for cultural development and the reinforcement of norms and behaviour expressed within the boundaries of culture. Cultural norms arise and change because they are influenced by what leaders focus their attention on, by how leaders react to crises, by the behaviour they display as role models, and by the kind of people they attract to their organisations. The characteristics and qualities of an organisation's culture are taught by its leadership and eventually adopted by its followers (Avolio & Bass, 1994, pp. 541-548).

A 6-stage model of cultural change was identified by Dyer and Dyer (1986, p. 20). This model suggests that the culture of an organisation changes in concert with the undermining of the organisation's leadership. New leadership arises to resolve the crisis, and after a period of conflict, these leaders become the new cultural élite. The old guard is frequently purged in the process. Finally, the new leaders must reinforce their new culture with symbols, beliefs, and structures.

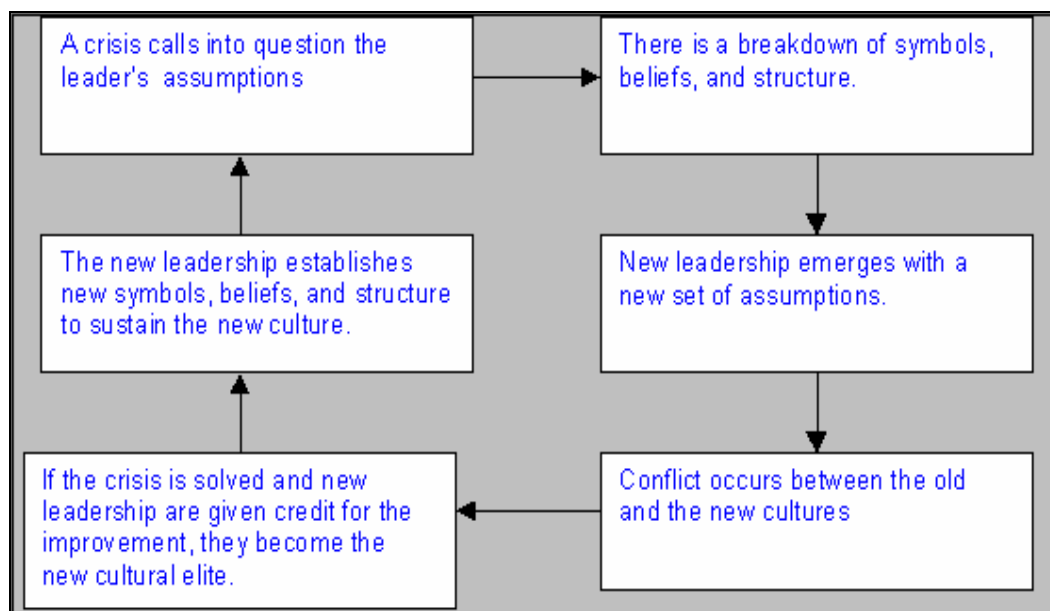


Figure 2.1 Cultural change cycle (Dyer & Dyer, 1986, p.20)

From the above process of cultural change it seems that the concept of leadership is crucial for successful transformational change.

The organisation's culture develops largely from its leadership while, in turn, the culture of an organisation can also affect the development of its leadership. For example, transactional leaders work within their organisational values following existing rules, procedures, and norms. Transformational leaders change their culture by first making sure that they understand it and then realigning the organisation's culture with a new vision and a revision of its shared assumptions, values, and norms (Avolio & Bass, 1994, pp. 541-548).

Leaders need to be attentive to the conservative factors reflected in beliefs, values, assumptions, rites, and ceremonies embedded in the culture that can hinder efforts to change the organisation. They need to modify key aspects of culture, when it is possible to do so, to fit with new directions desired by the leadership and membership of the organisation. As organisations move across time, external constraints change, forcing the company to question its deeply rooted assumptions and values. Consequently, it is incumbent upon the leaders in the organisation to view the development of assumptions and values as an evolutionary process – a process that periodically challenges the organisation and its membership to question its assumptions, and to change them if the conditions warrant such change (Avolio & Bass, 1994, pp. 541-548).

To accomplish the necessary changes in an organisation's culture, it is essential for top management to articulate the change that is required. An organisation that wants to tap the expertise of its membership to the fullest may highlight its 'consultative' style of leadership. Changes, consistent with this message, are introduced into the daily practices of the organisation. Desired role models of leadership begin at the top and are encouraged at each successive level below. The behaviour of top-level leaders becomes symbolic of the new culture (Avolio & Bass, 1994, pp.541-548).

2.3 LEADERSHIP AND TRANSFORMATIONAL CHANGE

This section summarises and criticises some of the major perspectives on the study of leadership and transformational change, viewing it specifically within the context of transformational change.

The literature supports the idea that the issue of leadership is not only closely related to transformational changes but also essential when discussing them (Almaraz, 1994). These changes include workforces with a greater degree of demographic diversity, technological change, and increased international competition, which will place new demands on the leaders of tomorrow (House, 1995). The importance of leadership to the change management process is underscored by the fact that change, by definition, requires the creation of a new system (as explained in the previous section) and then institutionalising the new approaches. Carr and his fellow researchers (as cited in Kotter, 1990) propose that producing change is the primary function of leadership. Important, according to Joiner (1987), is that leaders must adopt a new perspective in order to lead the changes required to build world-competitive organisations. He adds that organisations are firstly social systems and secondly economic enterprises and that “action-orientated, value-driven, supportive leadership is at the center of every organisation to provide the driving force for change” (Joiner, 1987, p.159).

While change management depends on leadership to be enacted, to date there has been little integration of these two bodies of literature. Recent theoretical research has attempted to integrate change as a contextual variable influencing transformational leadership (Pawar & Eastman, 1997). Such research focuses on (i) determining when organisations will be more receptive to transformational leadership, and (ii) the match between receptivity level and the actual transformational leadership process.

Kotter in Kreitner & Kinicki, (1998) believes that organisational change typically fails because senior management commits one or more fundamental errors. He recommends that organisations should follow eight sequential steps to overcome these problems (see Table 2.2). Each of the steps shown

in Table 2.2 is associated with a fundamental error. According to Kreitner and Kinicki (1998, p. 622) these steps also subsume Lewin's model of change. The first four steps represent Lewin's 'unfreezing', steps 5,6 and 7 represent 'changing', and step 8 corresponds to 'refreezing.'

The value of Kotter's steps (in Kreitner and Kinicki, 1998) is that these steps provide specific recommendations about behaviour that managers as leaders need to exhibit in order to lead organisational change successfully. Kotter's research reveals that it is ineffective to skip steps and that successful organisational change is 70% to 90% leadership and only 10% to 30% management. Senior managers are thus advised to focus on leading rather than managing change.

It is clear that organisational survival depends on the ability to effectively respond to change (Kreitner & Kinicki, 1998). In order to achieve this, **appropriate** leadership is needed to guide the transformation and change processes. This is especially true for higher education. The future of academic institutions depends on the development of effective leadership skills at all levels in the organisation (Rowley, 1997).

Table 2.2 Kotter's eight steps for leading organisational change
(Kreitner & Kinicki, 1998, p. 622)

<i>ERROR</i>	<i>STEP</i>	<i>DESCRIPTION</i>
Failure to establish a sense of urgency about the need for change.	Establish a sense of urgency.	Unfreeze the organisation by creating a compelling reason why change is needed.
Failure to create a powerful enough guiding coalition that is responsible for leading and managing the Change process.	Create the guiding coalition.	Create a cross-functional, cross level group of people with enough power to lead the change.
Failure to establish a vision that guides the change process.	Develop a vision and strategy.	Create a vision and strategic plan to guide the change process.
Failure to communicate the new vision effectively.	Communicate the change vision.	Create and implement a communication strategy that consistently communicates the new vision and strategic plan.
Failure to remove obstacles that impede the accomplishments of the new vision.	Empower broad-based action.	Eliminate barriers to change, and use target elements of change to transform the organisation. Encourage risk taking and creative problem solving.
Failure to systematically plan for and create short-term wins. Short-term wins represent the achievement of important results or goals.	Generate short-term wins.	Plan for and create short-term "wins" or improvements. Recognise and reward people who contribute to the wins.
Declaration of victory too soon. This derails the long-term changes in infrastructure that are frequently needed to achieve a vision.	Consolidate gains and produce more change.	The guiding coalition uses credibility from short-term wins to create more change. Additional people are brought into the change process as change cascades throughout the organisation. Attempts are made to reinvigorate the change process.
Failure to anchor the changes into the organisation's culture. It takes years for long-term changes to be embedded within an organisation's culture.	Anchor new approaches in the culture.	Reinforce the changes by highlighting connections between new behaviors and processes and organisational success. Develop methods to ensure leadership development and succession.

In the next section appropriate leadership for transformation and change will be discussed.

2.3.1 Appropriate leadership for transformation and change

Bass (1985, p. xiii), using Burns' work as his point of departure, acknowledges that "breakthroughs come slowly in leadership practice, theory, and research". Nevertheless, he argues that "a shift in paradigm is in order", that the time has come to go beyond thinking of leadership in transactional terms and that "another concept is required to go beyond these limits". His point of view is that "to achieve follower performance beyond the ordinary limits, leadership must be transformational. Followers' attitude, beliefs, motives, and confidence needs to be transformed from a lower to a higher plane of arousal and maturity" (Bass, 1985, p. xiii).

Bass's reference to the needs of these times is directly related to the changes required of organisations in a postmodern era. Lower-order changes, such as those experienced in more stable conditions can, Bass (1985, p. 4) maintains, "be handled adequately by the current emphasis on leadership as an exchange process, a transactional relationship". Higher-order changes, however, call for "an accelerated increase in effort and/or a change in the rate in which a group's speed and accuracy are improving" and "may involve large changes in attitudes, beliefs, values, and needs" (Bass, 1985, p.4). These are the changes that lead to so-called "quantum leaps in performance" (Bass, 1985, p. 4): new paradigms; new contextual frameworks. The old models of transactional leadership do not suffice here: "the higher order of change calls for something distinguishable from such an exchange relations - transformational leadership" (Bass, 1985, p. 4). So-called quantum leaps in performance may result when a leader with innovative or revolutionary ideas and a vision of future possibilities rouses a group from its despair. Thus, leaders may help bring about a radical shift in attention.

Tichy and De Vanna (1990) focus on transformation at the macro-level; that is, the transformation of the organisation. Their interest in transformational leadership derives from the need for contemporary organisations to change and be innovative. The creative, imaginative, empathetic, and risk-taking leader is the centre of the transformation process that fosters organisational viability (Tichy & De Vanna, 1990; Schein, 1991).

Tichy and De Vanna (1990) studied the process by which transformational leaders move large organisations through major change and found that these leaders move through three phases. Firstly, the transformational leader recognises the need for change and persuades key people in the organisation of the seriousness of this need. Secondly, the leader involves key people in the development of an inspiring vision of the future. Finally, he or she mobilises commitment to the new vision. Thus, according to these researchers organisational transformation occurs in three steps: (i) recognising the need for revitalization, (ii) creating a new vision, and (iii) institutionalising change (Tichy & De Vanna, 1990, pp. 5-6). Bennis and Nanus (1985, p. 41), list three slightly different three steps to transformation: (i) create a new and compelling vision, (ii) develop commitment for the new vision, and (iii) institutionalise the new vision. Both groups of researchers contend that transformation involves changing the values of members to support an important, compelling, and rewarding vision that encompasses the members' needs and values.

2.3.2 Conceptual explanation of leadership

Finding the true nature of leadership, like any significant idea, is difficult. It is no wonder that the leadership literature reflects many points of view, each with its own advocates.

Ericson (Fairholm, 1998) states that learning to lead and understanding the leadership process is like learning to live. We each perceive reality differently, and our ideas and experiences differ at various stages of our lives. Understanding leadership, therefore, is more about appreciating what

perceived environmental stage someone is in, than about learning actions and events or principles chronicling this human interaction pattern (Fairholm, 1998).

Disagreement about the definition of leadership stems from the fact that "it involves a complex interaction among the leaders, the follower and the situation" (Kreitner & Kinicki, 1998, p. 495). Some researchers define leadership in terms of personality and physical traits, while others believe leadership is represented by as set of prescribed behaviours. Bennis and Nanus (as cited in Harung, Heato & Alexander, 1995, p. 4) even state that "leadership is the most studied and least understood topic of any in the social sciences".

Fortunately, although the models of leadership differ, we do know some basic elements of leadership: it is objective; it exists; it has always been a part of group relationships; it is a process that is repeated in most circumstances, places and over time; it is part of every social situation in which we are a part. Simply put, leadership is one person affecting the lives of others in intentional ways. It is and has always been a process of inspiring followers to do things for the group that both parties come to accept at intimate emotional, mental, and even spiritual levels (Kouzes & Posner, 1987; Fairholm, 1991).

Kreitner and Kinicki (1998) propose that among the different definitions of leaders, the common thread is **social influence**. McShane and Von Glinow (1998, p. 434) agree with this, arguing that a leader can only be defined as someone who has followers. According to them "leaders are not people in specific positions. Rather, the people they serve define leaders" (McShane & Von Glinow, 1998, p. 434). They add that leadership is "the process of influencing people and providing an environment for them to achieve team and organisational objectives" (McShane & Von Glinow, 1998, p. 434). Kreitner and Kinicki (1998, p. 495) define leadership in a similar way: it is "a social influence process in which the leader seeks the voluntary participation of subordinates in an effort to reach organisational goals".

Peters and Austin (1985, pp. 5-6) describe leadership in broader terms:

Leadership means vision, cheerleading, enthusiasm, love, trust, verve, passion, obsession, consistency, the use of symbols, paying attention as illustrated by the content of one's calendar, out-and-out drama (and the management thereof), creating heroes at all levels, coaching, effectively wandering around, and numerous other things. Leadership must be present at all levels of the organisation. It depends on a million little things done with obsession, consistency, and care, but all of those million little things add up to nothing if the trust, vision, and basic belief are not there.

This definition incorporates a number of different facets of leadership and emphasises the complex nature thereof. There are however, three clear messages (Rowley, 1997, p. 3):

- Leadership is concerned with a sense of direction and vision and the imparting of that vision.
- Leadership involves working with others, probably in teams, and the maintenance of relationships.
- Leadership is a careful and relentless process that involves attention to detail.

Effective leaders help groups of people define their goals and find ways to achieve them. They use power and persuasion to ensure that followers have the motivation and role clarity to achieve specified goals. Leaders also arrange the work environment - such as allocating resources and altering communication patterns – to enable those employees to achieve corporate objectives more easily. According to McShane and Von Glinow (1998, p. 434) anyone in the organisation may be a leader: "We should avoid the idea that leaders are people in certain positions. Anyone may be a leader at an appropriate time and place."

2.3.3 Leadership as management

In organisations, management is distinguished from leadership (Zaleznik, 1977; Bass, 1981; Waldman, Bass & Yammarino, 1990; Fairholm, 1991, 1997).

Leadership focuses on the basic purposes and values of the organisation (Bennis & Nanus, 1985). It encourages commitment, shapes meaning, uses symbols, promotes shared values, and takes advantage of opportunities for change (Deal & Kennedy, 1982). Leadership uses vision to mobilise and direct energy (Bennis & Nanus, 1985; Kotter, 1990). According to Schein (1991, p. 317) "the unique and essential function of leadership is the manipulation of culture" and is it essential in adapting to a changing environment (Schein, 1991).

Bass, a leadership expert, states that leaders manage while managers lead and that the two activities are not synonymous. He argues that although leadership and management overlap, each entails a unique set of activities or functions. Broadly speaking, managers typically perform functions associated with planning, investigating, organising and controlling, while leaders deal with the interpersonal aspects of a manager's job. Leaders inspire others, provide emotional support, and try to get employees to rally around a common goal. Leaders also play a key role in creating a vision and strategic plan for an organisation. Managers, in turn, are charged with implementing the vision and strategic plan (Bass, 1985).

Bennis and Nanus (1985, p. 21) propose that managers are people who "do things right" and leaders are people "who do the right thing". Zaleznik (1977) states that managers are concerned about how things get done, while leaders are concerned with what things mean to people. The essential distinction appears to be that leaders influence the commitment of people, whereas managers merely carry out position responsibilities and exercise authority.

Burns (1978, p. 19) defines leadership as "inducing followers to act for certain goals that represent the values and the motivations - the wants and needs, the aspirations and expectations - of both leaders and followers". He sees it in terms of the relationship between leaders and followers who are acting interactively to attain some purpose.

The nature of that interaction can be either transactional or transformational. These two leadership styles, in relation to the concept 'management', are discussed in the following section. In this explanation, specific attention is given to (i) transactional leadership as equated with management, (ii) the distinction drawn between management and transformational leadership, and (iii) management and transformational leadership as complementary terms.

(a) Transactional leadership as equated with management

Gasper (1992) draws from Bass's (1985) MLQ to distinguish between transformational and transactional leadership. According to Bass (1985) transactional leadership can be considered as **synonymous** with management. Management selects goals, directs resources and activities, rewards performance, strategises the best way to accomplish tasks, negotiates and bargains, penalises for non-performance, and ensures that the skills for task completion are available (Zaleznik, 1977). It is concerned with contractual arrangements to accomplish narrowly defined goals within established time constraints (Moch & Seashore, 1981) and uses contractual arrangements to exchange rewards for performance (Bennis & Nanus, 1985). Bass's (1985) transactional leadership factors of management-by-exception and contingent reward are congruent with the conceptualisation of management described above.

(b) The distinction between Management and transformational leadership

Transformational leadership differs from management (or transactional leadership) in terms of goals, skills, values, and competencies (Fairholm, 1991). In section 2.3.3 leadership was characterised as focusing on the basic

purposes and values of the organisation, encouraging commitment, shaping meaning, using symbols, promoting shared values, and taking advantage of opportunities for change. Transformational leadership, however, uses vision to mobilise and direct energy (Bennis & Nanus, 1985; Kotter, 1990). This kind of leadership is essential in adapting to a changing environment and operates on the emotional level, while management, on the other hand, operates on the physical level (Bennis & Nanus, 1985). Management is concerned with quantitatively measuring and controlling activities (Fairholm, 1991): if a task can be measured, it is related to management. Transformational leadership, in contrast, relates to values that inspire independent follower action and is a qualitative phenomenon. Leadership tasks cannot be counted (Fairholm, 1991).

(c) Management and transformational leadership are complementary

Transformational leadership serves change; management serves stability (Kouzes & Posner, 1989; Kotter, 1990; Flanagan & Thompson, 1993). However, leadership and management are both needed (Tosi, 1982; Bradford & Cohen, 1984; Kotter, 1990; Fairholm, 1991). While management maintains a focus on production and goal attainment, leadership excites the organisation and unleashes discretionary energies (Berlew, 1974). Stoner-Zemel (1988) found that effective management and visionary leadership behaviour, in combination, were positively correlated with organisational performance: being a good manager involves leadership, and effective organisational leadership requires a proper managerial foundation (Jaques & Clement, 1991). Thus, it may be concluded that good managers have to be leaders as well as managers (Fairholm, 1991, p. 44).

2.4 FROM TRANSACTIONAL TO TRANSFORMATIONAL LEADERSHIP

This section deals with some of the major theoretical perspectives in the study of transformational leadership. Specific attention is paid to the distinction between the theoretical framework of transactional and transformational

leadership. Finally, the theoretical framework of transformational leadership is discussed in more detail.

2.4.1 Transactional and transformational leadership

Because leadership scholars have linked transformational and transactional leadership, it is essential to have an understanding of both.

Burns (1978) was the first to describe two types of political leaders: transactional and transformational. However, a formal theory of transformational leadership was not developed until 1985 when Bass (1985, p. 17) wrote:

Transformational leaders attempt and succeed in raising colleagues, subordinates, followers, clients, or constituencies to a greater awareness about issues of consequence. This heightening of awareness requires a leader with vision, self confidence, and inner strength to argue successfully for what he sees is right or good, not for what is popular or is acceptable according to the established wisdom of the time.

Deluga (1988) notes that transactional leadership promotes mediocrity. Mediocrity is promoted by the contractual focus on the minimum acceptable performance of assigned tasks. Transactional leadership is distinguished by negotiation, exchange, and contractual dimensions between manager and employee, hence the name transactional.

For the purposes of this discussion, the researcher will refer to transformational and transactional leaders when the leaders have a profile reflecting of the full range of leadership characteristics that includes both transformational and transactional factors. However, those whom we call transformational exhibit many more transformational than transactional characteristics: in their defining moments, these leaders are transformational

(Bass & Steidlmeier, 1998). Those whom we label as 'transactional' leaders display far more transactional than transformational leadership behaviour. They are, in other words, more likely to have attitudes, beliefs, and values more consistent with transactional leadership, although they are still likely to be transformational at times.

The best leadership style is that which is both transformational and transactional. Transformational leadership augments the effectiveness of transactional leadership; it does not replace transactional leadership (Waldman, Bass & Yammarino, 1990). An excellent example of this is the story of Abraham Lincoln. He made many transactional executive decisions based on his own sense of timing and political expediency, such as delaying the Emancipation Proclamation until after the first Union victory at Antietam in 1862. Even then, to keep the slave states of Delaware, Maryland, Kentucky and Missouri in the Union, the Proclamation only prohibited slavery in those 11 states that had seceded. As an authentic transformational leader, however, his sense of duty and what he personally thought was right, good and proper, propelled him into executive decisions unapproved by Congress and unsupported by public opinion. He suspended the *habeas corpus* in 1862 when Washington, D.C. was almost surrounded by rebel troops. Nevertheless, by his second inauguration in 1864, he was espousing a generous, forgiving peace settlement "with malice towards none" (Bass & Steidlmeier, 1998, p. 3).

(a) The constructs of transformational leadership

The challenge for Bass and his associates was to demystify how leadership contributes to performance beyond expectations (Bass, 1985), that is, why members of organisations sometimes do more than they might reasonably be expected to do. The research examined behavioural components of both transactional and transformational leadership, seeking to determine their relationship to expected performance and performance beyond expectations.

Emerging from this research are three transformational factors, – i.e. charismatic leadership (which includes inspirational leadership), individual

consideration, and intellectual stimulation – and two transactional factors – i.e. contingent reward and management-by-exception (which is defined as intervening only when something goes wrong). This research, which involved different kinds of leaders, including educational administrators, supports the conclusion that "extra effort by subordinates, perceived unit effectiveness, and subordinate satisfaction were more highly correlated with the transformational factors than with transactional factors" (Bass, 1985, p.32).

Bass (1985) identified a serious shortcoming in the work of Burns, who argued that transactional (managerial) and transformational leadership were the two extremes of a continuum. Bass found that they were in fact two independent dimensions: a person could exhibit one, the other, both, or neither. In 1985, he presented a formal model of transactional and transformational leadership, which was subsequently refined to describe leadership behaviour on seven dimensions: four transformational, two transactional and one laissez-faire, or the absence of true leadership (Bass & Avolio, 1990; Avolio & Bass, 1991).

Transactional leadership involves role clarification, the initiation of structure, attempts to meet the social needs of subordinates, and the distribution of rewards and punishment according to performance. It relies on management-by-exception (MBE) and/or contingent reward (Bass, 1985).

Leaders who exclusively practice MBE take action only when there is evidence of something not going according to plan. There are two types of MBE: active and passive. The former describes a leader who actively searches for variances from expectations, and takes action when irregularities are identified. The passive form describes a tendency to intervene, often reluctantly, only when specific problems become apparent, or are drawn to the attention of the leader. Followers of MBE leaders tend to avoid initiating change and risk taking, preferring instead to maintain the status quo (Bass, 1985).

The second transactional dimension, contingent reward (CR), is an exchange process where the leader and follower agree on roles and responsibilities for reaching designated goals and the leader provides rewards, for example in

the form of praise, pay increases, bonuses and promotion when followers perform adequately. Contingent reward leadership is by no means ineffective, for it is associated with both improved performance and the satisfaction of followers (Avolio & Bass, 1994).

Transformational leaders behave in ways intended to achieve superior results by employing one or more of the following four strategies: individualised consideration, intellectual stimulation, inspirational motivation and idealised influence (Avolio & Bass, 1994).

The first factor namely Individual consideration describes leadership behaviour that means that the leader gives personal attention to followers, building a considerate relationship with each individual and focusing on that person's needs. It also implies that the leader provides challenges and learning opportunities and delegates to raise skill and confidence. In the process, the leader exhibits trust, respect, and some tolerance for mistakes occurring as learning proceeds. The result is that followers are more likely to be willing to develop competence and take initiative. Furthermore, they trust and respect their leader.

The second factor, intellectual stimulation, describes leadership behaviour that encourages followers to use their imagination and to rethink old ways of doing things. The leader provides a flow of ideas, questions assumptions, creates a broad, imaginative picture and encourages followers to come up with their own structures and solutions to problems. The message is that followers should feel free to try out new approaches in the knowledge that their ideas will not be publicly criticised if they differ from those of the leader.

Inspirational motivation, the third factor, creates a clear picture of the future that is both optimistic and attainable. Leaders set high standards, use symbolism to focus efforts, and communicate a vision to followers in simple language. Followers react by willingly increasing their efforts to attain the vision.

Finally, idealised influence is exercised by such leaders being role models for their followers. They show great persistence and determination in the pursuit of objectives, exhibit high standards of ethical and moral conduct, sacrifice self-gain for the gain of others, and share the success and the limelight. As a result, these leaders are admired, respected, trusted, and followers identify with them and want to emulate them.

The seventh dimension is the absence of true leadership. The laissez-faire leader allows followers to do as they please and hands responsibility over to them. He/she refrains from intervening, avoids taking a stand on issues, and is often absent, disorganised and indifferent. Typical follower reactions include conflict over responsibilities and attempts to usurp the role of leader.

In subsequent writings Bass (1985) noted that although charismatic and inspirational leadership are unique constructs, they are often not empirically distinguishable. Accordingly, he reduced his original multifactor model to six factors and proposed the **6-factor model** of transactional and transformational leadership.

The factors and their operational definitions are:

1. **Charisma/Inspirational** provides followers with a clear sense of purpose that is energising, is a role model for ethical conduct and builds identification with the leader and his/her articulated vision.
2. **Intellectual stimulation** gets followers to question the tried and true ways of solving problems, and encourages them to question the methods they use to improve on them.
3. **Individualised consideration** focuses on understanding the needs of each follower and works continuously to get them to develop their full potential.
4. **Contingent reward** clarifies what is expected of followers and what they will receive if they meet expected levels of performance.

In addition, Bass (1985) provides evidence for two higher-order factors, which he labels **active versus passive management-by-exception leadership**:

5. Active management-by-exception focuses on monitoring task execution for any problems that might arise and correcting those problems to maintain current performance levels.

6. Passive-avoidant or laissez-faire leadership tends to react only after problems have become serious enough to take corrective action, and often avoids making any decisions at all.

Transformational leadership is defined, operationally, as the composite mean of the charisma, inspiration, intellectual stimulation, and individualised consideration leadership factor means while transactional leadership is defined, operationally, as the composite mean of the contingent reward and management-by-exception factor means (Bass, 1985).

(b) A conceptual explanation of transformational leadership

Bennis and Nanus (1985) conceptualise transformational leadership as a process that changes the organisation by focusing action, converting followers to be leaders and leaders to be agents of change. Followers become leaders when they are committed to a cause and are self-managing (Sergiovanni, 1990). The transformational leader communicates values and norms supporting an articulated vision, establishes trust by announcing and adhering to a position on issues, and models self-confidence through risk-taking (Bennis & Nanus, 1985).

(c) Ethical criticisms of transformational leadership

The concepts of leadership the researcher endorse represent ideal types where transactional leadership rests upon transformational foundations and transformational leadership is enlivened and guided by an inner ethical core.

Nonetheless, its ethics have been questioned despite the fact that transformational leadership was conceived as leadership that involved moral maturity (Kuhnert & Lewis, 1989) and the moral uplifting of followers (Burns, 1978).

Meta-analytical evidence supports the generaliseable findings that transformational leadership is more effective, productive, innovative, and satisfying to followers than transactional leadership (Lowe, Kroeck & Sivasubramanniam, 1996). People's implicit theories of leadership are likely to be more transformational than transactional (Avolio & Bass, 1991). However, the ethics of transformational leadership have been questioned. It has been suggested that transformational leadership: (i) lends itself to amoral puffery since it makes use of impression management; (ii) is antithetical to organisational learning and development involving shared leadership, equality, consensus and participative decision making; (iii) encourages followers to go beyond their own self-interest for the good of the organisation and even emotionally engages followers irrationally in pursuits of evil ends contrary to the followers' best interests; (iv) manipulates followers along a primrose path on which they lose more than they gain; and (v) lacks the checks and balances of countervailing interests, influences and power to avoid dictatorship and oppression of a minority by a majority (Stevens, D'Intino & Victor, 1995).

(d) Morality and value

Bass and Steidlmeier (1998) state that the literature on transformational leadership is linked to the long-standing literature on virtue and moral character, as exemplified by Socratic and Confucian typologies, as well as to the major themes of the modern Western ethical agenda: liberty, utility, and distributive justice. Deception, sophistry, and pretense are examined alongside issues of transcendence, agency, trust, striving for the congruence of the values, cooperative action, power, persuasion, and corporate governance to establish the strategic and moral foundations of authentic transformational leadership.

As Yukl (1989, p. 210) observes:

For Burns, transformational leadership may be exhibited by anyone in the organisation in any type of position. It may involve people influencing peers and supervisors as well as subordinates. It can occur in the day-to-day acts of ordinary people, but it is not ordinary or common.

Burns himself (1984, p. vii) states: "Transforming leadership carries grave but always recognized moral implications". The result of such leadership is to raise "the level of human conduct and ethical aspirations of both leader and led, and thus it has a transforming effect on both" (Burns, 1978, p. 20). Such leadership is seen by Burns as "dynamic leadership in the sense that the leaders throw themselves in a relationship with followers who feel 'elevated' by it and often become more active themselves, thereby creating new cadres of leaders" (1978, p. 20).

While Bass's and Burns' ideas on transformational leadership are similar in many respects, there is one fundamental difference, which Bass (1985, p. 21) explains as follows:

Burns saw the transformation as one that was necessarily elevating; furthering what was good rather than evil for the persona and the polity. For Burns, Hitler was not a transformational leader For us, Germany was still transformed, although the leadership itself was immoral, brutal, and extremely costly in life, liberty, property, and the pursuit of happiness to his victims, and in the long run, to his "Master Race".

For Burns, transformational leadership is moral in nature. However, Bass (1985) did not subscribe to the tenet that transformational leadership necessarily needs to be moral. He argued that Hitler's leadership was transformational, even though it might be depicted as having evil purposes

rather than morally elevating ones. Bass's (1985, p. 21) argument is that "we put the emphasis on the observed change in followers and argue that the same dynamics of the leader's behaviour can be of short- or long-term benefit or cost to the followers". What matters to Bass (1985, p. 21) is "that followers' attitudes and behaviour were transformed by the leader's performance".

(e) Authentic versus pseudo- transformational leadership

The morality of transformational leadership has been sharply questioned. Bass and Steidlmeier (1998, p. 1) argue that in order to be truly transformational, leadership must be grounded in moral foundations. Avolio & Bass (1994) hypothesises that transformational leaders may be at a higher stage of moral development as a result of life experiences. This higher stage would allow the leader to put personal interest aside in favour of satisfying his/her followers' needs.

The process of transformational leadership is making "conscious what lies unconscious among followers" (Burns, 1978, p. 40). The leader accentuates the latent conflict between divergent values, or between values and actual behaviour. The role of the leader is to move both self and follower(s) up to higher, more fundamental values that provide a transcendental purpose for all members (Burns, 1978). There is a transformation of the leader and followers with regard to their values, motives, and needs. Burns focused on the moral elevation of values with a transcendental common purpose.

Furthermore, he (Burns, 1978, p. 4) adds by saying that the transforming leader recognises and exploits an existing need or demand of a potential follower. Beyond that still, the transforming leader looks for potential motives in followers, seeks to satisfy higher needs, and engages the full person of the follower. The result of transforming leadership is a relationship of mutual stimulation and elevation that converts followers into leaders and may convert leaders into moral agents.

According to Bass and Steidlmeier (1998) many leaders walk a fine line of moral probity. In their efforts to accent the positive, to make inspiring appeals, and to maintain the enthusiasm and morale of followers, they may be manipulative. They will withhold the release of information or they will time its release for when it will do the most good. They will give the appearance of confidence even when they are unsure about what they are doing and what they are telling followers to do. They will initiate projects that they personally oppose and delay implementing them so that the projects are never completed. They will publicly support but privately oppose proposals. They will openly compromise but privately divert the implementation of the compromise (Martin & Sims, 1956; Bass, 1998b). They may have the public image of a saint but privately are deceptive devils. They may appear to their followers to behave as transformational leaders but appearances are deceptive: inwardly they remain more interested in themselves than in their followers. They knowingly focus their followers' attention on fantasies instead of attainable visions. They engage in shams and pretense and these masquerades are at the expense of their followers. They are pseudo-transformational (Bass & Steidlmeier, 1998, p. 4).

Bass and Steidlmeier (1998) point out that Burns discusses leadership as transforming, and on occasion, as transformational. Both the leader and the led are transformed – sharply changed in performance and outlook. But transforming others is just one of the effects of the leadership. We also need to examine the behaviour of authentic transformational leadership and the attributes given to transformational leadership on a moral basis. It is the presence or absence of such a moral foundation that grounds the distinction between authentic versus pseudo-transformational leadership.

Unfortunately, critics attribute manipulative, deceptive and other such devious behaviour to transformational leaders, authentic or pseudo-transformational. Martin and Sims (1956) and Bailey (1982) hold that to succeed, **all** leaders must be manipulative. But, in fact, it is the pseudo-transformational leaders who are deceptive and manipulative. Authentic transformational leaders may have to be manipulative at times for what they judge to be the common good, but manipulation, however, is a frequent practice of pseudo-transformational leaders and an infrequent practice of authentic transformational leaders.

While true and false transformational leaders may fail to exhibit any one of the four components (idealised influence, inspirational motivation, intellectual stimulation or individualised consideration), the component that ordinarily is missing in the personalised leadership of the pseudo-transformational leader is individualised consideration. Furthermore, instead of earning idealised influence from their followers, the pseudo-transformational leaders seek to become the idols (rather than the ideals) of their followers (Howell & Avolio, 1992). The ethics of transformational leadership are subverted by the pseudo-transformational leaders' contempt for self and others, by their learning to rationalise and justify their deceptions, and by their feelings of superiority. They see themselves as having an unconventional but higher morality. Nevertheless, they are mistaken. O'Connor, Mumford, Clifton, Gessner and Conelly (1995) contrast the biographies of 82 world class personalised and socialised charismatic leaders. The socialised charismatics were rated more highly in their morality than were the personalised, especially concerning their behaviour during their rise to power.

Bass (1998a, p. 171) summarises the differences between these two types of leaders as follows:

Leaders are authentically transformational when they increase awareness of what is right, good, important, and beautiful, when they help to elevate followers' needs for achievement and self-actualization, when they foster in followers higher moral maturity, and when they move followers to go beyond their self-interests for the good of their group, organisation, or society. Pseudo-transformational leaders may also motivate and transform their followers, but, in doing so, they arouse support for special interests at the expense of others rather than what's good for the collectivity. They will foster psychodynamic identification, projection, fantasy, and rationalization as substitutes for achievement and actualization. They will encourage "we-they" competitiveness and the pursuit of the leaders' own self-interests instead of the common good. They are more likely to foment envy, greed, hate, and conflict rather than altruism, harmony, and cooperation. In making this distinction between the authentic transformational and pseudo-transformational leader, it should be clear

that we are describing two ideal types. Most leaders are neither completely saints nor completely sinners. They are neither completely selfless nor completely selfish.

2.4.2 Focus on the transformational effect

Transformational leadership is intended to bring about desired outcomes at the macro, cultural level and the micro, individual level in the organisation (Tichy & Ulrich, 1984; Boal & Bryson, 1987; Conger & Kanungo, 1988; Sergiovanni, 1990). Some authors emphasise changing overall culture, while others stress changing individual members. Burns (1978) notes the differing levels of leadership in society. His major focus is on the macro, political level. In Burns' opinion, leadership is concerned with the collective purpose, based on an elevating, moral relationship between leaders and followers.

Bass (1985) concentrates on leadership's effect on the individual follower. As a result of the leader's influence, followers transcend their lower level values for higher values beneficial to the organisation's collective effort.

Bennis and Nanus (1985) are concerned with changing the organisation by elevating each individual follower to self-leadership in achieving the common purpose. They studied 90 individual leaders to determine the leadership factors that are associated with organisational success. Kouzes and Posner (1989) concentrate on the organisational level, with a primary emphasis on initiating change and adapting to the external environment, while Tichy and De Vanna (1990) focus on changing the organisation by means of transformational leadership.

Ultimately, however, transformational leadership is concerned with influencing the follower's values and attitudes. The effect of this influence is to empower individual followers to assist in organisational transformation as a whole (Yukl, 1989; Fairholm, 1994). According to Fairholm (1994, p. 3): "It is the cumulative result of individuals who change in conformance to a shared vision and shared values that changes the organisation for the better". The

outcomes of transformational leadership are thought to include greater organisational effectiveness, greater member commitment to the mission and organisation, willingness to exert extra effort, higher moral and motivation levels, and emotional responses such as inspiration to excel and attachment to the leader (Burns, 1978; Avolio & Bass, 1988; Boal & Bryson, 1987; Graham, 1987; Conger & Kanungo, 1988; Deluga, 1988; Stoner-Zemel, 1988; Sergiovanni, 1990; Gasper, 1992).

2.4.3 Constraints in responding to the calls for leadership

The concern about institutional leadership has increased in recent years. The Academic Strategy states that “one of the most significant developments in postwar academic life has been the progressive breakdown of governance and leadership” (Keller, 1983, p. 27). The faith in the power and wisdom of leadership and its potential to make a difference in colleges and universities underlies much of the literature of higher education. Although calls for leadership abound and optimism runs high at the thought of finding new, vigorous, decisive, transforming and inspirational leaders, few are consistent with normative statements describing how college and university leadership and governance should ideally function. The study of leadership in colleges and universities may therefore be more problematic than in other settings because of the dual control systems, conflicts between professional and administrative authorities, unclear goals, and other special properties of normative, professional organisations (Bensimon, Neuman & Birnbaum, 1989).

2.5 SUMMARY

With reference to the research methodology in Chapter 1 (section 1.6.1), the specific objective of this second chapter was (i) to determine the role of leadership style in the effective management of transformation and change, (ii) to analyse leadership theories critically, within the context of higher education, (iii) to analyse critically the transformational leadership model and

(iv) to analyse the transformational leadership model in order to determine whether transformational leadership is the appropriate leadership style for an institution in the process of transformation.

To obtain these specific objectives, leadership within the context of transformation and change was discussed. The discussion on transformation and change was followed by an analysis of leadership and transformational change. A conceptual explanation of leadership was given specifically referring to leadership as management. Transformational leadership theory was further analysed, focusing on the constructs 'transformational' and 'transactional' leadership.

In the next chapter change and transformation in the higher education environment, and specifically current developments in South African higher education, will be discussed.

CHAPTER 3: TRANSFORMATION IN HIGHER EDUCATION

3.1 INTRODUCTION

While the forces behind change (creating ongoing challenges) have been operating for decades in universities, the pace of change continues to accelerate, demanding an insightful balance between management imperatives (managerialism) on the one hand and academic values (collegiality) on the other. According to Ford (1996, p. 134):

HEIs (Higher Education Institutions) are moving into an era in which change will be one of the few constants, if not the only one. Those institutions that best understand how to control and manage change will be those best placed to prosper.

The aim of this chapter is to provide a perspective on forces of change and transformation in the higher education arena. The proposed frame of reference will consist of an exposition of forces of transformation and change in higher education with specific reference to a higher education institution in transformation.

3.2 FORCES OF CHANGE AND TRANSFORMATION IN HIGHER EDUCATION

The reasons for ongoing change in higher education are complex and inter-related. Rather than seeking to summarise or review the extensive literature on this subject, important forces driving change will be outlined. These are key forces because of their impact on leadership within universities.

Kanter, Stein and Jick (1992, p. 56) postulate that any discussion on organisational change must begin with an understanding of the major forces

driving change. This phenomenon is an organisational reality determined by a number of forces.

Green and Fischer (1991, p.xiii) emphasise the following forces of change:

The effects of the expansion of higher education and the push for greater access, the problems of declining resources and the challenge of diversifying funding resources, the expectation that higher education would make a greater contribution to economic and social development, the pressures to be accountable to an increasingly sceptical and dealing public, the conflict surrounding institutional autonomy, the growth of technology and the drive for internationalisation. Since expanding demands will not relent, conditions of constancy cannot return.

The result of these forces driving change is that modern universities have developed a disturbing imbalance with their environments – they face enormous demands yet are ill-equipped with an insufficient supply of response capabilities. In a demand-response equation of environment-university relationships they may be seen as falling so badly out of balance that if they remain in their traditional form, they will move into a nearly permanent state of disequilibrium. “A tolerable balance requires a better alignment. Transforming pathways is then a means of controlling demand and enhancing response capability. To orchestrate the elements, institutional focus takes center stage” (Clark, 1998, p. xiii).

Clark provides another perspective on the change process by an examination of the actors involved: government, faculty members, governing boards, students, and institutional leaders. The role of the institutional leaders depends to a large extent on the relative importance and clout of the other actors involved in the change process (Strydom, 1998).

Clark (1998, p. 8) comes to the conclusion that it appears as if transformational leadership practices emphasise social interaction and group processing. He points out that:

University transformation, for the most part, is not accidental or incidental. It does not happen because several innovative programmes are established here and there within a university: the new approaches can be readily sealed off as minor enclaves. It does not happen because a solitary entrepreneur captures power and runs everything from the topdown: such cases are exceptions to the rule. Universities are too bottom-heavy, too resistant from the bottomup for tycoons to dominate very long. Rather, transformation occurs when a number of individuals come together in university basic units and across a university over a number of years to change, by means of organised initiative, how the institutions is structured and oriented. Collective entrepreneurial action at these levels is at the heart of the transformation phenomenon.

Munitz (Rowley, 1997, p. 2) notes that the radical changes that were occurring in higher education in the USA fundamentally altered the nature of the university. These changes required that colleges and universities restructure their management processes and modify their traditional notions about academic leadership. In addition, Munitz argues that there is a whole collection of myths surrounding higher education. According to him it is necessary for institutions to negotiate if higher education is to meet the needs of a changing world. This also applies to the South African Higher Educational context.

3.3 DEVELOPMENTS IN SOUTH AFRICAN HIGHER EDUCATION

The following section investigates current realities and developments in South African higher education. It focuses on the National Plan for Higher Education, on the impact of these changes on leadership in higher education as well as on a higher education institution as an institution in transformation.

3.3.1 The National Plan for Higher Education of the Ministry of Education

The National Plan for Higher Education (RSA DoE, 2001), was launched by the Minister of Education, Prof. Kader Asmal, on 5 March 2001. This Plan is a further step in the process of restructuring South African higher education which started with the National Education Policy Investigation (NEPI) in the early nineties, the investigation and report of the National Commission on Higher Education in 1996, the White Paper on Higher Education Transformation (RSA, DoE, 1997) and the Higher Education Act (RSA, DoE, 1997). Since the publication of the new higher education policy and legislation in 1997, higher education institutions have experienced a so-called 'policy implementation vacuum', which to a large extent is now being addressed by the National Plan. The Plan puts in place a framework with clear recommendations in terms of policy implementation, and strives to balance the two important principles of equity (redress) and excellence (quality). According to the Minister's address at the launch of the Plan, "It marks the beginning of a new phase of delivery of a quality higher education system that will truly contribute to the social, economic and political challenges that face our country" (Asmal, 2001,p.3).

The Plan consists of seven sections covering inter alia the following:

- Producing the graduates needed for social and economic development in South Africa.
- Achieving equity in the South African higher education system.
- Achieving diversity in the South African higher education system.
- Sustaining and promoting research.
- Restructuring the institutional landscape of the higher education system.

To a large extent the Plan succeeds in balancing the realities of South African higher education and the need to restructure and transform the sector in order to meet the challenges of the new millennium. The Plan paves the way for

more central (national) steering of the higher education system in order to reconfigure it in line with the developmental needs of the country, and to create some order in the system. Key recommendations of the Plan include the differentiation of the missions of South African higher education institutions through the identification of niche areas. These areas will be negotiated between each institution and the Ministry, in the light of institutional strengths and capacity as well as regional and national needs. Institutional niches will serve as points of departure for the consideration of teaching and research areas and programme mixes.

The Minister plans to increase the participation rate in higher education from 15% to 20% over the next ten to fifteen years. He also intends to shift the balance of enrolments between (i) the humanities, (ii) business and commerce, and (iii) science, engineering and technology to a ratio of 40:30:30 over the next five to ten years. The Plan pays significant attention to student and staff equity, and institutions are expected to develop employment equity plans with clear targets for rectifying race and gender inequities.

With regard to the reconfiguration of the institutional landscape, the Plan proposes the establishment of a single, dedicated distance education institution by means of the merging of the University of South Africa, Technikon SA and the incorporation of the distance education campus of Vista University (VUDEC). Other proposals in this regard include the unbundling of Vista University and the incorporation of Uniqwa with the University of the Free State. The establishment of national institutes for higher education in Mpumalanga and the Northern Cape is also suggested.

Although the Plan is generally welcomed by the entire higher education sector in South Africa, concerns have been raised about the lack of capacity at both national and institutional levels to give full effect to mostly very good proposals.

3.3.2 The effect of change on academic work

The changes outlined above have fallen on a higher education system (especially universities) with widely held values about academic work. These values extol individual independence and autonomy underpinned by secure full-time employment, authority derived from academic standing, local control over all academic matters, high status for original research and widespread disdain for what is seen as the lesser tasks of administration and management (particularly those not directly associated with research and teaching-learning).

Inevitably, these academic values, and the work practices they reflect, have come into conflict with the demands of an external world on which universities have become more reliant. Five aspects of change in academic work, reflecting the external pressures already outlined, will be discussed here (Coaldrake & Stedman, 1999).

These are:

- the growing pressures on time, workload and morale;
- more emphasis on performance, professional standards and accountability;
- the shifting of staffing policies from local control and individual autonomy to a more collective and institutional focus;
- academic work becoming more specialised and demanding; and.
- new tasks blurring old distinctions between categories of staff.

(a) Pressures on time, workload and morale

In the main, academic workload has extended rather than adapted to meet the challenges posed by transformation of the higher education sector. The preference of many institutions and individual academics is rather than to undertake the more difficult and threatening task of making strategic choices and reconceptualising what it means to be an effective and productive academic, to allow for accumulation and accretion of work .

The effect of this accumulation has been revealed by surveys of academic staff which, taken together, have shown a consistent picture. Academics remain intrinsically motivated by their work, but many feel they are under growing pressure and are disconnected from their universities. Many academic staff feel burdened by the increasing weight of expectations placed upon them, in contrast with their ideal of determining the parameters of their own working lives. This apparent anomaly is in part, likely to be due to the increasing use of part-time and casual teaching staff to offset the burden on full-time academic staff. It is also true that workload has become more sustained across the calendar year than was formerly the case. This change is likely to be reinforced by the increasing teaching and learning outside formal semesters and the ongoing pressures on academic staff to find time to accommodate the multitude of expectations that are placed upon them.

Another significant change emerging in the pattern of workload is an increase in 'non-core' work. Despite recording a drop in reported time spent on 'administration' (which may have been interpreted as time spent on traditional academic administration such as course coordination), a majority of academics now believe that their administrative load has actually increased substantially in recent years. The category of administrative work that apparently causes the greatest dissatisfaction is that relating to external demands for accountability and quality assurance. This issue is not adequately appreciated in the recognition of service to the university through management, administration and expert advisory tasks in committees of the university.

(b) Performance, professional standards and external accountability

If academic staff are stressed by the imposition of external demands for accountability and performance, then the more than thirty national policy implementation documents for higher education in many critical areas, should warn them that these expectations are just going to grow.

Despite frequent use of the term 'academic profession', academic work is organised and governed in ways that do not reflect what other groups might understand by the term 'professional'. Specialised initial and ongoing training and external quality assurance of output (usually through peer review) mostly only apply to the research activities of academics.

As already mentioned, policy implementation will only expect more and in this regard the quality assurance expectation of the Higher Education Quality Council (HEQC), professional bodies and Education and Training Quality Assurance (ETQA's) are good examples of quality pressures.

Those who provide funding for higher education, whether they be fee-paying students, business or government, are unlikely to accept less accountability, efficiency, effectiveness, and quality. In the United States, post-tenure review is now implemented in 60% of those campuses where tenure is applicable (North, 1999 in Coaldrake & Stedman, 1999). Student evaluation of teaching is widespread in the UK, Australia, and the USA and is mandated in many institutions. National quality assurance mechanisms are undergoing reappraisal and development in most developed and even developing countries that share a desire to hold universities more closely accountable for the outcomes of higher education. Performance management of the work of academic staff (and support staff) has therefore become essential.

(c) The shift from local control to individual autonomy

In South Africa – as in many other countries where league tables have been produced, explicitly or implicitly ranking institutions rather than their component parts – the focus of attention for much external accountability is the institution rather than individual academics. Calls for greater systemic diversity are usually phrased in terms of institutions developing niches, using corporate strategies instead of allowing academic organisational units to evolve in their own direction.

In a more competitive environment, it is also the institution that often is the point of market differentiation and student attention. The student-centred view

of higher education is of programmes of study rather than academic departments, and corporate and other clients will usually consider research and teaching from a multidisciplinary perspective. National funding policies in higher education in South Africa are also emphasising programme funding rather than institutional funding to an ever increasing extent.

This focus on broader organisational levels is reinforced by the impact of technology, which requires attention to cross-institutional systems, standards and cost-effectiveness. Goddard (1999), drawing on studies of information technology projects in universities in the United Kingdom, has observed that moves to the 'virtual university' do not necessarily imply a shift to unconstrained Mode 2-type operations. Many drivers of change in the sector reinforce the need for a more corporate approach in the adoption of information systems. Thus, many bottom-up attempts to realise the virtual university fade away because they are not mainstreamed and systematised across the institution. In addition, public demands for more responsive universities further reinforce the need for more integrated institutions with an enhanced capacity for internal knowledge management.

Higher education institutions have been responding to growing diversity in enrolments by introducing expensive student development programmes in a format of bridging and foundation initiatives. As such initiatives move to the mainstream of university activity, there is the potential to shift the locus of control for the management of the curriculum from locally-oriented academic staff to teams of academic and non-academic staff working within strategic institutional parameters.

In tandem with these shifts towards greater institutional prominence, most universities are increasing the level of organisational and management devolution to faculties and schools. This devolution, while increasing intermediate management authority, also requires increased accountability. Thus institutions are centrally adopting stances akin to those promoted by government management reforms from 1994, where government policy-making and advice are separated from service delivery and an emphasis is placed centrally on broad policy 'steering', accountability and performance.

This development is without doubt influencing the models of governance (management) at higher education institutions: there is a move from a position dominated by features of the 'collegium' and 'bureaucracy' to one closer to the 'corporation' or 'enterprise'.

A trend towards more entrepreneurial styles of university operation has major implications for institutional culture and policy, and for academic staffing policy in particular. It places pressure on the ideal that all academics are equal members of a scholarly community, or at least that differentiation and status should be determined primarily by academic authority. As some members of that community are able to capitalise on various opportunities more successfully than others, rewards, status and resources will flow unevenly throughout the institution. While control over the conditions and direction of working life may shift away from individual academics in some areas of the university, others will enjoy greater freedom and authority if their work is demonstrably valuable to the organisation. Such value, in an 'entrepreneurial' institution is likely to be measured in more diverse ways than by disciplinary research status. Successful response to particular opportunities may also depend increasingly on adoption of Mode 2 types of operation, which depends on the capacity to mobilise people and facilities flexibly into impermanent project-based groupings across organisational boundaries.

Gibson (1999, p. 34) notes that:

Those who wish to contribute to research in this mode must adopt a different set of research practices. But if they do they will be 'out of synch' with the existing reward structure of universities. Universities that wish to be active in Mode 2 research will have to become much more entrepreneurial in the ways in which they utilise their 'intellectual' capital, and this may mean experimenting with a much broader range of contractual employment arrangements.

Within departments and schools there are also moves that shift authority and control away from the individual academic. Academics are increasingly working in teams for both research and teaching. Most institutions now have

detailed processes for the development of new programmes and subjects, which require academics to provide unprecedented justification in terms of market demand and economic viability. Furthermore, the growing emphasis on establishing and assessing the learning outcomes of programmes requires a more comprehensive view of curriculum structures than might emerge solely from reflecting the interests of departments or individual academic staff.

All of these developments seem to run counter to the academy's fixation on the individual faculty member, rather than on the common purposes of the institutions. Linking the work of individuals with the goals of the organisation is a major challenge for modern universities. Frequently this is attacked as 'managerialism' and opposed on the grounds that it represents an attempt by management to control academics and remove their academic freedom. Certainly no institution can expect to operate strategically by demanding greater output and imposing unilateral inspection and control on its staff.

On the other hand, it is wishful thinking to expect that some invisible hand will guide the path of individual academics into a strategic direction, or that effective change can only come about by academic introspection and reflection. Academic freedom remains an important cornerstone of higher education, but it has always been circumscribed - for example, by professional accreditation of programmes and by the requirement to observe the law. For each traditionally oriented institution, the task of melding individual work and organisational or team direction will be managed differently. In particular, most universities need to develop mechanisms for negotiating the match between organisational goals and individual work, and for allowing substantial freedom for academic staff to contribute to those goals.

(d) Specialisation and complexity of university work

Academic work is usually described under the banner of the triumvirate of teaching, research and service (including management and scholarship) – all of which are expected to be part of the repertoire of each academic. Yet, such headings do not do justice to the variety and complexity of tasks that occupy

most academics. Nor do they reflect either the staffing policies of most universities or the reality of actual academic work.

For many, the core of academic work is teaching and research. Other tasks, even those of programme coordination or managing a department or school, are relegated to the status of distractions. Within the 'core' of teaching and research, academic work has also become more specialised and demanding. Deeper understandings of the nature of student learning, and pressures to reposition the teaching and learning environment around learning outcomes, demand a more professional approach to university teaching.

Academics are being asked to meet the needs of more diverse student groups, to teach at more flexible times and locations, to master the use of information technology in teaching, to design curricula around learning outcomes and across disciplines, to teach in teams, to subject their teaching to evaluation and to develop and implement improvements, to monitor and respond to the evaluations made by students and graduates, to improve assessment and feedback, to meet employer needs, and to understand and use new theories of student learning. At the very least, these demands require a greater call on the time of staff. Similarly, research demands are increasing: to improve postgraduate supervision, to publish or patent, to establish links with industry, and to prepare, submit or review grant applications. In the face of an ever-increasing array of expectations and growing complexity of work, it is inevitable that staff will have greater strengths in some areas than others, and that their interests and productivity will change over time. McInnis' (1998) survey of Australian academic staff demonstrated this clearly: he notes that the observed patterns of change suggest the possibility of internal restructuring of academic roles on the basis of performance; the potential for increasing status differentiation on the basis of teaching and research; and the already clear demand for collective effort to improve productivity and efficiency in teaching and research.

In addition to the specialisation of traditional academic tasks, new categories of academic work are called for as universities are expected to play effective roles in 'knowledge systems'. In such systems, knowledge is produced locally,

nationally or internationally, inside or outside university settings. In this context, one role for universities might be to act as a broker, intermediary and focus, to bring relevant knowledge to bear on particular problems in partnership with other stakeholders. In essence this is the Mode 2 paradigm put forward by Gibson (1999). Of course most universities already undertake such roles to a limited extent, through various activities in technology transfer, community service and continuing professional education. However, the difference is that such activities are generally on the margin of university life. In addition, most university education programmes are shaped by the interests of the academics employed by the institution. Indeed it is expected in the traditional framework of academic work that university teaching should be influenced by the research interests of individual staff (Coaldrake & Stedman, 1999).

(e) Diffusion and blurring of roles

Full-time academic staff have usually been considered the essential core of the university. So much so that the review of efficiency and effectiveness of higher education, undertaken in commissions in other countries as well as in South Africa, devote entire chapters to academic staffing but make no reference at all to non-academic staff and only passing reference to part-time academics.

The career opportunities for non-academic staff in higher education are widening in areas such as libraries, computer support, technical support and administration. To this list can be added a growing range of 'para-academic' roles associated with equity units, staff development, learning support, and instructional design. It seems that in several policy discussion documents it is suggested the distinctions between staff groups are becoming increasingly irrelevant as staff move across functions.

One study concludes that there are several areas of overlap in the two areas of work. Although it is greatest in specialist research institutes and laboratory and demonstration work, it also occurred:

- where staff other than academics undertake (limited) lecturing in business studies areas on a guest lecturer basis in areas of special expertise;
- where many people classified as academic staff find that the majority of their time is increasingly involved with departmental/faculty administration; and
- in support areas where professionally qualified general and academic staff are jointly involved in programmes that concentrate on the 'teaching' function of universities. These include specialised language preparation and curriculum design, development and delivery, and particularly delivery associated with distance learning or electronic delivery.

It is more and more accepted that if universities are to prosper as professionally managed organisations, then they must recognise that there is a growing range of specialist tasks, which have for too long been undertaken either in an amateur fashion by academics, or considered unimportant to the 'real' work of the university. Such tasks include human resource management, management of information technology, marketing, strategic planning, and financial and investment planning. These are all areas undertaken in the outside world by highly paid and skilled professionals.

Nevertheless, the actual and potential blurring of roles is important, and will continue to grow in significance as universities move into more flexible modes of delivery of teaching and learning and as they seek to support and reward staff for their skills, performance and potential rather than on the basis of job classifications. The latter is a significant point, because academic and non-academic employment and career development are quite different in nature. Most importantly, non-academic work is linked to particular positions while academic work and career advancement are determined by skills and past performance, often judged on a required range of activities encompassing teaching, research and service. Furthermore, academics continue to derive much of their peer support, satisfaction, direction, recognition and work focus from membership of a discipline grouping which transcends institutional or even national boundaries. Many academics see their primary loyalty as being to their discipline, rather than to the institution where they work. Other staff

members, on the other hand, by and large have little doubt about the direction of their loyalties. Such differences can work against easy transition to and from academic work and non-academic work, either within the university or outside (Coaldrake & Stedman, 1999).

Part-time and adjunct academics form another group of university staff frequently overlooked in discussions of policy and institutional strategy. Potentially, the use of such staff can add enormous practical value to university teaching, bringing in people who are practising professionals to add a further dimension to the learning experience of students. Indeed, if universities are to play the role of brokers in distributed knowledge systems as Gibson (1998) has suggested, then much of the knowledge will have to be 'bought in' through contractual and part-time arrangements, rather than being expected to be available through staff engaged on the full-time payroll of the university. Yet, in practice, many casual and part-time staff complain of being isolated from the university, being unable to participate in decision making, having no access to support facilities or development opportunities and being subjected to arbitrary fluctuations in employment.

3.3.3 Impact of changes on leadership in higher education

Some authors have focused more directly on the impact that such changes may have on specific leadership roles in universities and colleges. Seagren and his fellow researchers (cited in Rowley, 1997, p. 2) examine the changing role of the academic department chair in the arenas of leadership, influence and faculty development. They report that this role is ambiguous, unclear in authority, and difficult to classify as faculty administrator. The academic chair is squeezed by the demands of upper administration and the expectations of the faculty, staff and students.

They also claim that institutions of higher education differ from other organisations, requiring leadership to be a more shared phenomenon than in most profit-centred enterprises. Since the concept of faculty ownership is fundamental to academic institutions, leadership requires more focus on

empowering activities than in most types of organisations (Rowley, 1997, p. 2).

Seagren and his fellow researchers (Rowley, 1997) also note that the requirements for leadership are dependent on various factors, including:

- the department's stage of development;
- the specific management function;
- the academic discipline; and
- the chair's own style of leadership.

One of the challenges in developing a general definition of leadership is that it must serve for leadership in a variety of different environments and roles in an organisation. In academic institutions, leadership should be exhibited at different levels in the managerial hierarchy. Typical roles and the areas within an institution in which leadership might be exhibited can include the following (Rowley, 1997, p.3):

- Module leadership: (concerned with designing the learning outcomes of a module and ensuring that those learning outcomes are achieved by students. It involves planning, coordinating small teams, as well as designing teaching, learning and assessment strategies).
- Course leadership (operational management): concerned with ensuring that courses are delivered successfully on a day-to-day basis, and that team, leadership, motivation and resource management necessary to facilitate this process are available.
- Research project leadership (academic leadership): involves the identification of appropriate projects and the framing of research questions, the selection of research methodologies and appropriate directions for achieving valuable contributions to knowledge).
- Operational management: concerned with ensuring that specific stages in a research project are satisfactorily completed in accordance with a pre-agreed timetable.

- Head of department, (tactical management): concerned with the creation of a vision concerning excellence in relation to specific subject areas, and the allocation of resources to pursue each of these individual agendas. It also includes facilitation and interfacing with institutional systems.
- Senior management, including vice-chancellor, deans, directorate and pro-vice chancellors (strategic leadership): It involves the creation and taking forward of visions concerning the future market position and reputation of the institution. Thus, it involves the creation of a culture, systems and values that facilitate progress towards the vision.

This illustrates how very complicated top-down and bottom-up relationships are and how the interface and alignment of leadership and management top-down functions must integrate with bottom-up staff functions of teaching-learning, research, service, scholarship and management. To understand fully the complexity of this integrated relationship between top-down and bottom-up functions, it is imperative to understand the current complexities and issues around academic work in the 21st century. If the university is to lead the performance of work at the institution effectively, we must clearly understand the nature of this work.

3.4 THE HIGHER EDUCATION INSTITUTION IN QUESTION: AN INSTITUTION IN TRANSFORMATION

With the discussion of the forces of change and transformation in higher education as background, the following section provides an overview of the higher education institution included in the study.

3.4.1 An overview of the institutional context to operationalise the mission

The vision of this specific institution is "to be a top quality university in the new South Africa", indicating the dual objectives of quality and equity. The existing mission is formulated in a largely generic fashion, indicating the intrinsic nature of a university as societal institution:

The pursuit of scholarship as embodied in the creation, integration, application and transmission of knowledge by promoting an academic culture ... critical scientific reflection ... relevant scientific education ... pure and applied research ... community service ... and development of the total student as part of its academic culture.

(Fourie & Fourie, 2002, p. 4)

However, the concretisation and realisation of the mission of any institution is circumscribed by the particular historical and societal context of that institution. This context determines the 'envelope' within which the more generic mission of the university can be operationalised in a given planning period.

The environment of the institution in question is characterised by rapid changes taking place within the context of the South African socio-political and development situation, increasing competition from large South African and foreign universities, the new era of globalisation, ever-present financial pressures as well as the national 'steering policy' towards a reconfiguration of the South African higher education landscape.

For the past four to five years this institution has intensified its strategic change management approach. It has built on the key principles of academic integrity, quality, equity/access, inclusiveness, financial sustainability, and competitive positioning, in order to adapt to and take up the challenges and opportunities offered by this rapidly changing environment. A balanced growth strategy is integral to this approach.

The vision, mission and values of the institution are accepted as directives for this process, and thus also for the particular programme and qualification mix for the next five years (Fourie & Fourie, 2002; Malherbe, 2000). The recent institutional financial and transformation history revolves around the Turning Strategy, envisaged in the 2000-2002 three-year rolling plan. Since the mid 1980s and especially the early 1990s this university has been experiencing growing financial pressure due to, among other things, fiscal constraints on the central government's higher education budget and resultant reductions in

the so-called a-factor over a period of almost two decades. The institution was also at a sub-optimal size for attaining scale economies and resultant cost-efficiencies. All of this had a stifling effect on this tertiary institution's expenditure on academic resources and capacity, leading to: (i) various phases of rationalisation of staff; (ii) under-investment in information resources, technology, physical resources, maintenance and staff development; (iii) a growing difficulty in attracting and retaining high quality academic staff. By 1999 the prospect of budget deficits and financial vulnerability, coupled with the prospect of the decreasing competitiveness of a largely rural based medium-sized university against the large, metropolitan universities, had become a reality.

Early in 1999 the Executive Management adopted an entrepreneurial approach with a view to becoming financially viable. Late in 1999 it designed and launched an official Turning Strategy geared towards achieving a major 20% (R60 million) turnaround in the financial position of the institution within 3 years, with the intention of (i) correcting the expenditure pattern towards strategically important elements of being a good university, (ii) reducing costs and achieving better scale economies in terms of critical mass (size), and (iii) increasing efficiency.

Roughly speaking the Turning Strategy involved a 10% cutback in costs and a 10% increase in revenue. The cost side primarily entailed a reduction in support staff costs, which was achieved within 10 months by means of a fully inclusive process with the full involvement and co-operation of the labour unions, and without any protest or disruption. The income side primarily involved increased revenue flows from (i) increasing student numbers (via innovative new programmes, better service to students, new markets such as working adults and open learning students, better market penetration and innovative marketing), and (ii) entrepreneurial actions such as innovative contract research, research partnerships with industry, intellectual property strategies and asset development.

Although the Turning Strategy was a 3-year plan, through utmost commitment, hard work by all staff involved in the process, strong leadership,

tight change management and good fortune, the institution achieved a major financial turnaround within the first 14 months. This placed it in a distinct strengthening phase and has enabled the institution to start, in 2001, to re-invest in the identified strategic areas crucial to being a good university. At the same time the income side of the Turning Strategy was pursued with renewed vigour, since new strategic challenges such as employment equity and other historical backlogs had already increased the desired turnaround figure to at least R100 million.

The continued success of the Turning Strategy depends on the successful implementation of further innovative growth strategies and the attainment of scale economies (plus, of course, the continued financial input from the State to fund academic output and excellence) (Fourie & Fourie, 2002, pp. 4-6).

3.4.2 Transformation management at a higher education institution

Even though the institution had a conservative image for the latter part of the 20th century, it was one of the first Afrikaans universities to open its doors in 1989 to significant numbers of Black students at undergraduate level, to accommodate them in residences, and to remove any language barrier that may have existed by adopting a vigorous parallel-medium language teaching policy as early as 1993. This was accomplished at quite an expense to the university (financially and, especially, in terms of teaching and research time).

Since 1997 this institution has succeeded in making its Council and Management more representative in terms of designated groups. A strong culture of inclusive consultation has been created, solving a variety of serious problems. Via a portfolio committee system this university has succeeded in involving expertise on a wide basis on the campus. The Broad Transformation Forum (BTF), which includes 29 organisations from the region, successfully negotiated a new private act and statute that offers a new regulatory framework for the future.

The Student Transformation Forum (STF), and later the Student Parliament, created a solid and legitimate forum for debate and inclusive negotiations that

provided win-win solutions. The student affairs department was revamped to successfully focus on student needs and problems, especially those of students from historically disadvantaged communities, creating a stable campus environment and promoting a culture of learning. In fact, the pass rate of students from historically disadvantaged communities improved by 16% between 1994 and 1999.

Although transformation is and will be an ongoing process for many years to come, today the institution is regarded as a leader in transformation, having pre-emptively and successfully handled challenges that other historically Afrikaans universities are only now beginning to address. The student body has transformed rapidly from an overwhelmingly white, Afrikaans-speaking one, to more or less equal representation between Afrikaans and English, Black and White, and male and female (women outnumber men by a ratio of 1,2:1). As is the case with most universities, staff composition remains a significant challenge for several reasons that are beyond the scope and purpose of this thesis. However, strategies are in place to continue to address this element of transformation as well.

In the future the success of employment equity strategies will also be linked to the ability and resources of this institution (as a medium-sized university in a secondary city in rural South Africa) to attract and retain appropriately qualified academic, professional and management staff, given the competition from and drawing power of not only richly endowed universities in the large metropolitan areas, but also that of the public and private sectors that are equally pressed to compete for a still limited national and regional pool of qualified academic, professional, and management staff from disadvantaged communities and designated groups. This underlines the importance of a successful turning and growth strategy.

It is quite difficult to attract graduates and experienced professionals to the Free State region, given the higher income and remuneration levels in other metropolitan areas. Part of the solution is to attract (and retain) recently matriculated students to the region, which may prove to be an easier option. In order to accomplish this, the institution in question offers a broad enough

range of programmes of high quality, and competes vigorously in the national pool of potential students.

The demographics, income and poverty profile, developmental needs and geographical expanse of the central areas and heartland of this university simultaneously indicate:

- the responsibility of the university to present a broad range of quality higher educational offerings at a full range of levels to the central region, and
- the inescapable need to project itself aggressively and innovatively in the larger national and international markets in order to achieve and sustain the necessary size and economies of scale to be financially sustainable as a really good university in an essentially non-metropolitan city in the central area of the country, given a highly competitive academic environment.

In short, the institutional context absolutely requires the mission to be operationalised in a way that manifests in the broad range of study fields and levels of study currently offered by this specific institution. This contextual imperative also explains the historical development of its faculties and programmes as well as the demands and needs of prospective students. Therefore the fit between the mission-in-context, the extensive existing programme mix and the broad-ranging proposed programme profile appears to be logical and self-evident (Malherbe, 2000).

3.5 LEADERSHIP FOR STRATEGIC CHANGE

At the institution in question, the strategic management process is a deliberate effort in transformation that requires much special activity and energy. Taking risks when initiating new practices where the outcome is in doubt is a major factor. This institution actively seeks to be innovative in how it goes about its business. It seeks to work out a substantial shift in organisational character to enable it to arrive at a more promising posture for the future.

The turnaround concept is operationalised in the literature as performance decline followed by performance improvement (Schendel, Patton & Riggs 1976; Robbins & Pearce, 1992). This definition is used to emphasise the fact that company turnaround is a process which takes place within a context and practices and procedures.

Although major challenges in this field are still facing this university, it is determined to find solutions to optimise the throughput of students without compromising quality. The commitment of the institution to optimise its effectiveness and efficiency is illustrated by its aim to become financially sustainable through entrepreneurship within the next three years. Every effort will be made to reach this goal (Malherbe, 2000).

Work by Castrogiovanni and his fellow researchers (cited in Harker & Sharma, 2000) found the research on turnaround performance and leadership change to be limited and inconclusive. However, while Harker and Sharma (2000) state that there is no single formula or set timetable for turnaround success, Van der Vliet (1998) claims that there are common themes and Bibeault (1982) determined that strong leadership is the most important factor cited for successful turnarounds.

Hoffman (quoted by Landrum, Howell & Paris, 2000) reviewed 17 studies of corporate turnaround strategies and noted that the strategies typically involve one or all of the following components: the restructuring of leadership and the organisation/culture, cost reduction, asset redeployment, a selective product/market strategy, and repositioning. Hoffman cites Bibeault's (1982) study of the connection between leadership and strategy in which this researcher notes that strong leadership is the single most important factor for successful turnaround strategies. Specifically, Burns (1978) sees the transformational leader as reflecting the traits and behaviour (empathy, need for power, good rhetorical skills, intelligence, and consideration for others) that are necessary for initiating change. This leadership style inspires or motivates followers, gains commitment from them, changes the attitudes, beliefs, and/or goals of individuals, changes the norms of the organisation, makes subordinates feel they are being treated as individuals, helps individuals see

problems in new ways, and communicates and transmits a vision of the organisation.

Gerstein and Reisman (in Landrum et al., 2000) on the other hand, identify the main organisational needs for a turnaround as rapid, accurate problem diagnosis and correcting short-term and long-term problems. According to them the traits and skills required of a leader are strong analytical and diagnostic skills and a high energy level; a leader also needs to be an excellent business strategist and risk taker, to handle pressure well, to have good crisis management skills and to be a good negotiator.

Unlike theorists such as Anantaraman (in Landrum et al., 2000), who suggests that strategic change of an organisation is so completely encompassing that it requires transformational leadership to be successful, others indicate that charismatic and transformational leaders can fail at turnaround strategies. Nadler and Tushman (1989), for example, believe that charismatic leadership is necessary but not sufficient for strategic change. They postulate that transformational or charismatic leadership must be accompanied by instrumental leadership (leader behaviours that are instrumental in implementing the change), otherwise the transformational or charismatic leader will fail.

The rate of failure of turnaround attempts recorded by Slatter (1984) – three in four – and Bibeault (1982) – two in three – suggests that the ‘quick-fix’ solutions described so often in the business press may be addressing the wrong problems. Although Robbins and Pearce (1992) have shown that retrenchment, a strategy that is preferred by a large number of the so-called ‘company doctors’, has a favourable impact on company performance during turnaround irrespective of the cause of the corporate decline, Arogyaswamy (in Landrum et al., 2000) claims that this is not enough. They continue by arguing that firms must manage external stakeholders, the internal climate, and the decision-making processes as well, in order to stem corporate decline. This suggests a leadership style that not only encompasses both transformational and transactional elements (Bass, 1985; Nelson & Clutterbuck, 1988), but also operates at macro and micro levels within and

outside the organisation. Unfortunately, little recorded research on the board of directors' role in the corporate turnaround process exists.

In contrast with those who match a charismatic leader to an organisation in need of a turning strategy, some researchers as cited in Landrum, et al. (2000), advocate a team-based approach (Emery & Purser, 1996) or a bottom-up approach (Clarke & Meldrum, 1999). The team-based approach referred to here involves using employees from all levels of the organisation, including management, to design and implement the vision and the strategic plan. These teams of individuals may be responsible for the overall strategic direction of the organisation. Therefore they are called strategic teams.

Emery and Purser (1996) suggest ways to guide an organisation in changing from a bureaucratic organisational structure to a more democratic structure in which power and decision-making are diffused throughout the organisation. The new democratic structure allows teams (as opposed to a single leader) to plan and lead strategic change through the process of a Search Conference. The Search Conference model involves groups of employees from all levels of the organisation in planning and implementing large-scale organisational change and creates an organisation characterised by flexibility and continuous learning.

3.6 INTEGRATION

Based on the cumulative evidence thus far about leadership in the context of higher education institutional transformation and change, transformational leadership as identified by Bass's 6-factor model of transactional and transformational leadership (refer to Chapter 2, section 2.4.1 (a)) will probably result in higher levels of cohesion, commitment, trust, motivation and performance. Transformational leadership, as derived from the literature review, seems to be the appropriate leadership style for this specific time and place for the higher education institution in question. Transformational leadership is enlivened and guided by an inner ethical core. The one factor that is lacking in pseudo-transformational leadership versus authentic transformational leadership, is individualised consideration (as defined by

Bass, 1985). Morality in leadership style will thus also define appropriateness within a specific context of change and transformation.

Diversification, globalisation and technological innovation have caused many business organisations, including higher education institutions, to change rapidly. The need for continued flexibility is clear. Change cannot be static; it must be fluid. Teams of multi-talented and diversified individuals could be the answer to strategic planning and change for the future. On the other hand, transformational leaders may, not be the universal remedy for organisations in need of turnaround. While transformational leaders may have the appropriate leadership style to affect change, it can be derived from the literature that perhaps team-led strategic change would be better oriented to future business needs in rapidly changing and complex environments. More research is needed regarding the conditions under which teams (or individual transformational leaders) are a better or a worse choice for leading strategic change.

3.7 SUMMARY

With reference to the research methodology (Chapter 1, section 1.6, phase 1, steps 1, 2 and 3), the specific objective of this chapter was (i) to determine the role of leadership in the effective management of transformation and change in a higher education institution, and (ii) to determine whether transformational leadership is the appropriate leadership style for the given time and circumstances.

A discussion on forces of change and transformation in higher education were followed by an overview of current developments in South African higher education. Specific reference was given to a higher education institution in transformation.

It seems that understanding the role and function of leadership may be the single most important intellectual task of this generation and leading the most needed skill. Leaders define business and its practice. They determine the character of society. They define and shape our teams, groups and

communities. They set and administer government policy. In all walks of life, leaders' behaviour sets the course others follow and determines the measures used to account for group actions taken. Success in the new millennium, as in the past one, will depend on how well leaders understand their roles, the leadership process and their values and vision.

Traditional leadership, thought of in terms of the head (or chief officer) of an organisation, regardless of the tasks or functions they may perform (Mintzberg, 1977), is outmoded. These tasks more accurately define a managerial role; only a part of the leader's total task. Given the nature of modern society - an exploding information base, global markets, fast-changing product demands, a diverse and demanding population and a labour pool increasingly composed of knowledge workers - traditional management alone will no longer be effective (Pinchot & Pinchot, 1993).

The winning organisation of the future is that organisation which can lead, create and cause change. Jones (Laburn, 1994, p. 5) warns about the resistance to change and against the wrong perception, namely that people will learn to like change. According to him "organisations change only when the people in them change and people will only change when they accept in their hearts that change must occur" (Laburn, 1994, p. 5). If an institution wants to position itself effectively for future change and transformation, it is crucial that the principles of transformational leadership be accepted in order to adapt to the rapidly changing environment.

CHAPTER 4: RESEARCH METHODOLOGY

4.1 INTRODUCTION

With reference to the methodology of this research (Chapter 1, section 1.6, phase 2, steps 1-6), in order to investigate transformational leadership at a higher education institution, the purpose of this chapter is to provide an overview of the basic research design used to carry out this study. This overview will include the basic research design, sampling issues, the construction of the measuring instruments, the process of data collection, and the statistical techniques used to analyse the data.

4.2 RESEARCH DESIGN

The aim of the research design is seen as a concerted effort to "plan and structure the research project in such a way that the eventual validity of the research findings may be enhanced" (Mouton & Marais, 1990, p. 32). Mouton and Marais (1990) refer to the contextual and universal significance of this aspect and Mouton (2001, p. 55) concludes that "a research design is thus a strategy or a plan or blueprint of how you intend conducting the research."

In this **qualitative study**, the **case study design** was used.

Weiss (1994) describes a case study as a way of organising data so as to keep the focus on totality. One who conducts case studies tries to consider the interrelationships among people, institutions, events, and beliefs. Rather than breaking them down into separate items for analysis, the researcher seeks to keep all elements of the situation in sight holistically.

Yin (1994) defines the case study as empirical inquiry that investigates a phenomenon in a natural setting when the boundaries between the phenomenon and its context are not clear, using multiple sources of evidence. The defining feature is the exploration of complex real-life interactions as a composite whole.

Case studies allow variation/individual differences to be fully recognised and characterized. The unit of analysis may be a person, an event, a program, a time period, a classroom, a critical incident, a community – the possibilities are endless. Regardless of the unit of analysis, a case study seeks to describe that unit in depth – in detail – in context – holistically (Yin, 1994).

Data are obtained from semi-structured interviews and structured questionnaires (MLQ), where the data are collected from respondents' oral accounts or observable behaviour (see Chapter 1, section 1.5). This corresponds with the view that qualitative research yields descriptive data as obtained from respondents' written or oral responses or observable behaviour (Boydan & Taylor, 1975). Descriptive studies may be seen as an umbrella term used for many different types of research. This type of research involves either identifying the characteristics of an observed phenomenon or exploring possible correlations between two or more phenomena (Leedy & Ormrod, 2001).

The results of qualitative research or evaluation can be reported in many different ways. One of these methods is the “sense of story”, which includes aspects such as: attention to detail, descriptive vocabulary, direct quotes from those observed or interviewed, and thematic observation. Qualitative methods permit the evaluator to study selected issues, cases, or events in depth and detail. Data collection is not constrained by predetermined categories of analysis, allowing for a level of depth and detail that quantitative strategies can't provide. A mix of qualitative and quantitative data gathering enriches evaluation; the open-ended comments provide a way to elaborate and contextualize statistical "facts."

The empirical aspect of this research attempts to convert the literature component into a measurable format by means of triangulation – a concept that is used to "designate a conscious combination of quantitative and qualitative methodology" (De Vos & De Vos, 1998, p. 359) – in order to solve the research problem. The empirical methods will thus focus on both a

quantitative instrument and qualitative interviews (see 4.2.2 for a discussion on the use of triangulation in this study).

Leedy & Ormrod (2001) emphasise certain characteristics of qualitative research. They regard it as a creative, scientific process that:

- may serve as an alternative to the experimental method;
- regards words as the basic elements of the research data;
- primarily adopts an inductive approach to data analysis; and
- yields theory development.

Leedy & Ormrod (2001) add by stating that the researcher's ability to interpret and make sense of what he/she sees is critical to an understanding of any social phenomenon. In this sense, the researcher is an instrument in much the same way as a rating scale or intelligence test. This implies that the qualitative researcher may be regarded as a 'research instrument' because: (i) he/she becomes involved in the situation, 'making sense' of often unordered data that have to be considered; (ii) he/she has an interpretative character, since the researcher's intention is to explain the observed phenomena, and to search for the deeper-seated meaning of it; and (iii) he/she has credibility derived from the insights generated and the instrumental usefulness of the methodology.

4.2.1 The research model

An integrated research model proposed by Mouton and Marais (1990), is utilised in this study. In terms of their model, research in the social sciences is defined as follows:

Social sciences research is a collaborative human activity in which social reality is studied objectively with the aim of gaining a valid understanding of it.

(Mouton & Marais, 1990, p. 7)

In the context of organisational psychology as a discipline, organisations are confronted with large-scale changes. As a result large-scale transformation takes place. An attempt is made to create a social environment that will promote achievement as well as job satisfaction and the study of the construct 'leadership' may be utilised for this purpose.

Mouton and Marais (1990) identify five dimensions of research: sociological, ontological, teleological, epistemological and methodological. Each of these dimensions will be discussed in the following sections.

(a) The sociological dimension

In section 4.2.1 it was mentioned that within the context of organisational psychology as a discipline, an attempt is made to create a social environment that will promote achievement and job satisfaction. It was also indicated that the study of the construct 'leadership' might be utilised for this purpose.

At the moment the higher education institution in question is moving through large-scale transformation and restructuring. A new management model is being implemented, and the organisation is in the throes of a comprehensive restructuring phase. Specifying the typical nature of transformational versus transactional leadership approaches within a climate of change may constitute a critical contribution to staff development at this institution.

In the paradigmatic context, a humanistic approach is proposed where the realisation of the inherent potential of the individual through leadership development is emphasised. Louw & Edwards (1993, p. 814) states that "with the present trend of moving towards the humanization of work, the ideas of democratising and liberating the individual at work have emerged".

He adds quite correctly: "the need for studies in leadership is still far from exhausted" (Louw & Edwards, 1993, p. 814). Therefore, this self-initiated research project that focuses on the nature of leadership, and is performed under the direct supervision of an industrial psychologist, was undertaken.

(b) The ontological dimension

"Research in the social science is always directed at an aspect or aspects of social reality" (Mouton & Marais, 1990, p.12). From an organisational psychological perspective, the world of the 1990s was characterised by an increase in complexity, unpredictability, risks and uncertainty, while organisations and individuals are placed under enormous pressure to adapt to these changes (Meyer, 1979; Handy, 1989; Peters, 1989; Bennis, 1990).

The transformational leader seems to be best equipped to facilitate the process of sociological, philosophical and organisational transformation. From this point of view, the focus is on the empowerment of the individual in the organisation – seen as a holistic system – where the measure of conceptual shifts from transactional to transformational leadership may be observed. Thus, in order to generate a holistic view of the organisation as a system, in the initial stages the emphasis is on the individual within a particular grouping in the job situation.

Within the paradigmatic context, the leadership construct is dealt with from a humanistic perspective. Moreover, leadership is considered at a conceptual level as an individualistic phenomenon within the larger organisation so that the emphasis is on the realisation of the individual's potential within the organisation as a system, as well as on the capacity of the organisation to adapt effectively to transformation.

This research project focuses on the reality that "many universities are over-administered and under-led. They must make a commitment for all administrators to become leaders" (Cornesky, 1992). Thus, the focus is on the top manager as an individual who may be observed as a leader or manager of a work unit within the organisation.

(c) The teleological dimension

"As a human activity, research in the social sciences is intentional and goal-directed, its main aim being the understanding of phenomena" (Mouton & Marais, 1990, p. 13). Within this discipline, the focus of this study is to determine whether the leadership styles at a higher education institution are suited to the changing higher education landscape.

Practical objectives entail an account of the social environment so that achievement and job satisfaction may be promoted within the organisation. In particular, the emphasis will be on an accurate and meticulous account of the construct 'leadership' within the organisation as a social system. Within the paradigmatic context, an attempt is made to understand to what extent transformational leadership may facilitate the effective management of transformation.

This research project is aimed at gaining an understanding of the current leadership styles exhibited by the leaders at a higher education institution. Theoretically, it is a descriptive study of the construct 'leadership', which includes an account of the current state of leadership within the organisation. From a practical point of view, the study provides information that may be utilised in the planning and monitoring of social programmes such as leadership development.

(d) The epistemological dimension

Mouton and Marais (1990, p. 14) argue that "the aim is not merely to understand phenomena, but rather to provide a valid and reliable understanding of reality".

Within the discipline of organisational psychology, an attempt is made to generate insights that pertain to a higher education institution as a higher education institution. A meticulous and accurate account of the nature of leadership within the institution is generated through a qualitative investigation.

Within the paradigmatic context, the scope of transformational leadership as the appropriate leadership style within a transformation-oriented organisation, is investigated.

Earlier in this chapter it was mentioned that the research project focuses on a higher education institution as an institution undergoing transformation, specifically to ascertain the leadership styles currently are exhibited by five top-level managers at the institution under investigation. The intention is to investigate this in the form of a literature review, which will be utilised as part of an in-depth account of leadership within the organisation as a system.

(e) The methodological dimension

"Research in the social science may be regarded as objective by virtue of its being critical, balanced, unbiased, systematic and controllable" (Mouton & Marais, 1990, p. 16).

In this case study, the focus is on the individual within the organisation as a system. An attempt is made (within the context of the discipline), to explain and observe leadership within the transformational organisation, as well as to promote the objectivity of these observations. Within the paradigmatic context, the state of leadership at a higher education institution is considered from a case study design (refer to chapter 1, section 1.4.2 b).

The research project provides an account of transactional management versus the scope of transformational leadership in the organisation. Transformational leadership is seen as the realisation of individual potential within the transformational organisation and therefore this project is approached from a qualitative perspective.

4.2.2 Theoretical foundation of the research design and methodology

The suggested research model is based on a theoretical foundation or rationale for the procedures and methods that were used to investigate

transformational leadership at a higher institution (refer to chapter 1, section 1.5.1). This section elaborates on the use of a combination of qualitative and quantitative research methods and data better known as triangulation. This method is graphically illustrated in the following diagram:

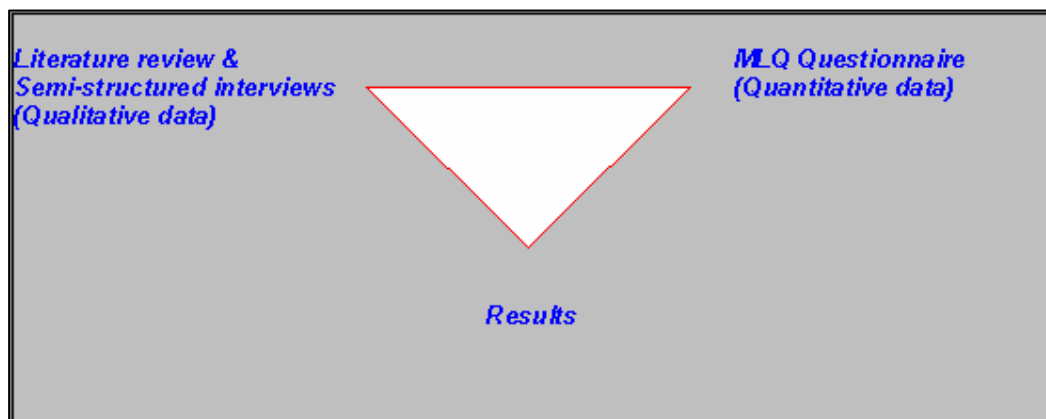


Figure 4.1 Conceptual layout of the theoretical foundation of the research design (De Vos & De Vos, 1998, p. 359)

As can be seen from the conceptual layout, the theoretical research approach in this study includes both qualitative and quantitative methods.

The concept of 'triangulation' is sometimes used to designate a conscious combination of quantitative and qualitative methodology. According to Mouton and Marias (1990, pp. 72, 91) this term, originally coined by Denzin (1978) refers mainly to the use of multiple methods of data collection in order to increase the reliability of observation; and not specifically to the combination of quantitative and qualitative approaches. The logic behind triangulation is that no single method ever solves a problem of rival causal factors; therefore multiple methods must be used since each method reveals a different aspect of empirical reality (Patton, 1990). According to Miles and Huberman (1994) the aim of triangulation is to pick triangulation sources that have different biases and strengths so as to complement one another in order to provide the researcher with a corroboration of results from the use of different methods.

There are four types of triangulation: (i) theory (the use of multiple perspectives to interpret a single data set); (ii) data (the use of a variety of

data sources); (iii) investigator (the use of different researchers); and (iv) methodological (the use of different methods to study a single problem) (Denzin, 1978).

In the following sections the characteristics of data triangulation (the method used in this study), as well as the advantages and disadvantages of this method, will be highlighted.

(a) Data triangulation

Data triangulation involves comparing and cross-checking the consistency of data from different sources at different times using different means (Patton, 1990). In this study it entails comparing the data from the qualitative interviews with leaders at a higher education institution with the data from the literature review (see Chapter 1, section 1.5.1). For the further purposes of this research, the data from quantitative methods, the standardised questionnaire, are combined with the data from the qualitative interviews. Triangulation relying on qualitative data seldom leads to a single, totally consistent picture but rather captures different things challenging the researcher to try and understand the different reasons for the inconsistencies between the data sets (Patton, 1990).

(b) Advantages and disadvantages of data triangulation

Data triangulation has a number of advantages. Firstly, it provides the researcher with the opportunity to describe the phenomenon with greater accuracy, thus improving the validity of the research. Secondly, it captures more data, which provides a more complete, holistic and contextual portrayal of context. It produces important opportunities to increase confidence in the research results and for the researcher to think of creative interventions. The combination of different perspectives enhances the assets and diminishes the liabilities of a single method while validation is increased by the cross-checking of data (Stage & Russell, 1992, pp. 485-491).

Unfortunately, it also has a few disadvantages. According to Patton (1990) researchers who use different methods should not expect that the methods will come together and form a nicely integrated whole. Data triangulation is a form of comparative analysis, which means that the decision on whether the data sets converge or not still remains a very delicate exercise. The convergence of data usually leads to inconsistencies and in some cases contradictions that complicate the interpretation of results (Stage & Russell, 1992, pp. 485-491).

4.3 QUALITATIVE METHODOLOGY

As mentioned in section 1.6.2 (phase 2, step 1), in this specific study semi-structured interviews were used to gather qualitative data. This aspect will be discussed in the following section.

4.3.1 The unstructured interview

The unstructured interview is a qualitative research method that is based on the phenomenological paradigm. According to Leedy and Ormrod (2001, p. 153) “in its broadest sense, the term phenomenology refers to a person's perception of the meaning of an event, as opposed to the event as it exists external to the person.” The phenomenological method is an inductive, descriptive method of research where the total human being within his/her world of experience is described.

According to Huysamen (1994) various degrees of structuredness in interviews are possible. Interviews between structured and unstructured extremes are called semi-structured. Instead of an interview schedule, interview guides are used in the semi-structured interview. The latter involves a list of topics and aspects of these topics which have a bearing on the given theme and which the interviewer should mention during the course of the interview. Huysamen (1994) further states that although all respondents are asked the same questions, the interviewer may adapt the formulation, including the terminology, to suit the background and educational level of the

respondent. Similarly, the order in which these topics are broached may vary from one person to the next, and depends on the way in which the interview develops.

(a) Advantages and disadvantages of the interview as qualitative method of research

The qualitative interview can yield a great deal of useful information. In a qualitative study, the interviews are rarely as structured as the interviews conducted in a quantitative study. Instead, they are either open-ended or semi-structured (Leedy & Ormrod, 2001). This can be seen as either an advantage (in terms of the quality and the quantity of data), or a disadvantage (in terms of objectivity).

The greatest disadvantage of these interviews is a lack of objectivity. Most researchers strive to be objective in their research. They believe that their observations should be influenced as little as possible by any perception, impressions, and biases that they may have. Many researchers believe that there isn't necessarily a single, ultimate truth to be discovered. Instead, there may be multiple perspectives held by different individuals, with each of these perspectives having equal validity or truth (Leedy & Ormrod, 2001). It is thus very difficult to obtain objectivity with the qualitative interview methodology.

4.4 QUANTITATIVE DATA

As mentioned in 1.6.2 (phase 2, step 1), the quantitative data in this study were gathered using a standardised questionnaire.

4.4.1 Quantitative tests and questionnaires

The Multifactor Leadership Questionnaire (MLQ) Form 5 X, as used in this study, uses standardised measures to fit the diverse and varied responses to questions into predetermined response categories. The purpose of quantitative statistics is to summarise, to compare and to make easy and precise generalisations (Patton, 1990).

(a) Advantages and disadvantages of quantitative questionnaires

Quantitative measures tend to be succinct, parsimonious and easily aggregated for analysis. These methods are also systematic, standardised and take less time than their qualitative counterparts (Patton, 1990). They tend to be more accurate and convenient as well (Marshall & Rossman, 1989).

However, quantitative measures do have some disadvantages. Marshall and Rossman (1989) indicate that quantitative methods have little value for examining complex social relationships or intricate patterns of interaction.

Having reflected on the theoretical foundations of the research design and methodologies, the focus now shifts towards an exposition of the research methods and procedures. The aim of the following sections is to describe the practical implementation of the research methods used as well as the procedures that were followed.

4.5 SAMPLING STRATEGY

With reference to the research methodology (1.6, phase 2, step 2), the sampling strategy will be discussed in this section.

According to Terr Blanche and Durrheim (1999, p. 57) a sampling strategy involves the following:

- How the sample will be selected and why this method of sampling is appropriate to the study.
- What the characteristics of the required sample are and why they are required.
- What the sample size is.

This section discusses the sampling strategy followed by the current research, structured according to the outline provided above.

4.5.1 Sampling method

Social researchers have been using two types of sampling techniques. The first is known as probability sampling, the second as non-probability.

Probability sampling, as the name suggests, is based on the idea that the people or events that are chosen as the sample because the researcher has some notion of the probability that these will be representative cross-section of the people or events in the whole population being studied. On the other hand non-probability sampling is conducted without such knowledge about whether those included in the sample are representative of the overall population.

Because the researcher will not have sufficient knowledge about the sample to undertake probability sampling and may not know how many people make up the population, under these circumstances, the researcher will turn to the forms of non-probability sampling as the basis for selecting the sample. The crucial and defining characteristics of non-probability sampling whatever from it takes, is that the choice of people or events to be included in the sample is definitely not a random selection. Streubert & Carpenter (1995) point out that there is no need to randomly select individuals because manipulation and control are not the purpose of the exercise. By using the non-probability sampling, this does not mean the researcher will know absolutely nothing about the population, but not enough to use the probability sampling.

(a) Purposive sampling

A non-probability sampling design was thus considered appropriate for the purposes of this research since it is less complicated than a probability sample (Dunham, 1988). In the context of the present study, the type of non-

probability sampling utilised for the current research involved purposive sampling (Bailey, 1982).

With purposive sampling the sample is "hand-picked" for the research. As mentioned earlier, the researcher already will know something about the specific people or events and deliberately will select the top-level management of the institution consisting of the five top-level managers representing these services, and a vice-rector. As the population in this case was very small, all the mentioned persons were included in the sample, with whom semi-structured, in-depth interviewe were conducted.

Dane (1990) points out the advantage of purposive sampling is that it allows the researcher to home in on people or events, which have good grounds in what they believe, will be critical for the research. With a non-probability sampling methods the researcher feels that it is not feasible to include a sufficiently large number of examples in the study, this very much goes hand in hand with qualitative research. The aim of the study is to explore the quality of the data not the quantity (Nachmias, 1996).

There are, however, some sound theoretical reasons why most qualitative research uses non-probability-sampling techniques and good practical reasons why qualitative researcher deals with small numbers of instances to be researched. There are infact two things, which can be said about sample size in qualitative research. Firstly, it is unlikely to be known with precision or certainty at the start of a research project. Second, the sample size will generally be very small. Both points can be unnerving. They go against the grain as far as conventional survey approaches are concerned, and open up the prospect of accusations of sloppy and biased research design. The researcher is quite explicit about the use of non-probability sampling (Miles & Huberman, 1994). Another point is that phenomenology is well suited to purposive sampling. This type of sampling permits the selection of interviewees whose qualities or experiences permit an understanding of the phenomena in question, and are therefore valuable. This is the strength of purposive sampling.

It is for this reason purely, that the researcher has decided to interview five top-managers at the higher institution in question. This small sample size is quite in keeping with the nature of qualitative data.

One justification for using the non-probability purposive sampling is that it stems from the idea that the research process is one of "discovery" rather than testing of hypotheses. It is a strategy where Lincoln & Guba (1985) describe as 'emergent and sequential'. Almost like detective, the researcher follows a trail of clues, which leads the researcher in a particular direction until the questions have been answered and things can be explained (Robson, 1993).

4.5.2 Characteristics of the sample

The population is the group of potential participants from whom a sample can be drawn (Salkind, 2000, p. 86) and about whom the results of the study may be generalised.

On 1 September 1998, a restructuring exercise was completed within the higher education institution in question, where critical services were ranked in order of importance. For the purposes of this research project, General management, Finance, Human Resources, Operations and Administration were ranked in order of importance. The top management of the institution consisted of the five chief directors representing these services, and a vice-rector. As the population in this case was very small, all the mentioned persons were included in the sample, with whom semi-structured, in-depth interviews were conducted.

4.5.3 Sample size

The sample consisted of 5 top-level managers ($n = 5$): the vice-rector and the chief directors who are responsible for the core entities within a higher education institution.

4.6 MEASUREMENT INSTRUMENTS

With reference to the research methodology of this research (section 1.6, phase 2, step 2), namely the compilation, discussion and motivation of the battery of measurement instruments, the qualitative and quantitative instruments are discussed in more detail.

The battery of measurement instruments consisted of five semi-structured interviews (qualitative component of the data) and the Multifactor Leadership Questionnaire of Bass and Avolio (1995) (quantitative component of the data). Thus, the analysis focused on concrete and detailed descriptions produced by the subject from experience and actions taken.

4.6.1 Qualitative instrument

The interviews were semi-structured (see Appendix 1). The interviewer began by asking an open question. Thereafter, judgement was used in probing areas of interest with further open-ended questions, which were designed to assess the interviewee's approach to transformational leadership. Each interview lasted about 1-2 hours. A tape recorder was used to capture these interviews and the responses were transcribed.

The following section provides details of the background to, preparation for, and conducting and description of the semi-structured interviews.

(a) Background and aim

In qualitative studies, the researcher serves as the 'instrument' through which data are collected (Sorrell & Redmond, 1995, p. 1118). A skilled interviewer uses responses of the participant as a research instrument to guide data collection, probing for further information as needed for depth and clarity. Although the interview should be guided by a tentative interview guides, the interviewer must identify proper balance of structure and flexibility (Sorrell & Redmond, 1995).

The format, timing and sequence of questions may change as the data collection process continues. The researcher maintains control of the interview, but there must be sufficient flexibility to respond to important content responses and general nonverbal cues from the participant. Most interviews begin with open-ended questions and eventually narrow the focus as clarifying questions are asked and themes emerge (Sorrell & Redmond, 1995).

To achieve this aim, the non-directive interviewing techniques of Rogers (1959, pp. 184-185), including semi-structured interviews, were used. The responses of interviewees were not guided. Instead, possible questions were prepared according to the items of the MLQ and utilised to stimulate responses.

(b) Overview of the use of the interview in qualitative research

With reference to the research methodology (1.6.2, phase 2, step 4), namely information gathering, the preparation for and conducting of the semi-structured qualitative interview is discussed. The manner in which interviewers evoke respondents' recall, information, expressions and feelings have a direct impact on the quality of the data obtained (Sorrel & Redmond, 1995). The research literature provides general information on how to conduct an interview (Moustakas, 1994; Sorrel & Redmond, 1995), through little detailed guidance for the researcher in tailoring the interview format to a specific type of qualitative methodology (Sorrel & Redmond, 1995).

(i) Preparing for the interview

According to Moustakas (1994, p.103), a systematic, organised and disciplined study consists of the following procedures, which were utilised in this study:

- The one-to-one interview focuses on demarcated subjects and questions and it is tape-recorded.

- In this study an interview guideline, based on the items of the constructs of the MLQ Form 5X was compiled (see Appendix 1).
- The data are organised and analysed to obtain the individual contextual and structural descriptions, the compositional contextual description, the compositional structural descriptions, as well as a synthesis of the contextual and structural meaning and ascension of it.
- The identification of a subject and a question that lie within the autobiographical meaning and values as well as the social meaning and significance of it.
- A comprehensive investigation of professional and research material.
- An agreement is reached on the authorisation, confidentiality and responsibility of the participating parties that is consistent with ethical principles of research.

(ii) Conducting the interview (style and structure)

While conducting the interview, the format, timing and sequence of questions may change as the data collection process continues. The researcher maintains control of the interview, but there must be sufficient flexibility to respond to important content responses and general nonverbal cues from the participant. Most interviews begin with open-ended questions and eventually narrow the focus as clarifying questions are asked and themes emerge (Sorrell & Redmond, 1995). The interview situation carries with it a unique intimacy that is shared between interviewer and respondent. Respondents often reveal information during an interview that they would not provide in a questionnaire. Varying lengths of time may be needed for a 'warm-up' period to establish trust between the interviewer and the respondent.

In contrast to empirical studies where the researcher strives for objectivity, the interviewer in qualitative research provides for mutual sharing of information between interviewer and respondent, freely exchanging ideas, impressions and opinions (Sorrell & Redmond, 1995).

According to Sorrell and Redmond (1995) the careful framing of an opening question for the interview is critical for gathering data to answer specific research questions. They propose that after establishing rapport, the interviewer must encourage the respondent to describe his/her unique perspective of an experience that the researcher is studying.

The interview is structured by asking 'inside-out' questions. Unstructured conversations that encourage respondents to share their stories and to uncover common meanings in their experiences are most helpful. The interviewer wants the respondent to describe the experience, rather than interpret it. In this way, the researcher can gain a holistic understanding of the experience that forms an important part of the respondent's day-to-day existence (Sorrell & Redmond, 1995, p. 1120).

(iii) Reliability of the semi-structured interview

As no information is available on the reliability of this instrument, the theoretical reliability will be discussed. According to Kerlinger (1986, p. 440) and Mouton and Marais (1990, p. 79), the reliability of an interview is influenced by four variables: the researcher (interviewer), the interviewee (respondent), the measuring instrument and the research context.

Here the reliability was enhanced by the interviewer who had experience in the use of the non-directive approach of Rogers. As the image of the interviewer as a colleague of the interviewee could affect the reactions of the interviewee, special care was taken not to prompt specific reactions from the interviewee. No leading questions were asked, so that the measuring instrument itself would allow ample freedom for the interviewee to express himself. With reference to the research context, the interviews were all scheduled to take place within 2 weeks to ensure that spatio-temporal factors would remain the same for the interviewees. In addition, each interviewee agreed on a venue for the interview, thus rendering both the interviewer and interviewee comfortable with the interview setting.

(iv) Validity of the semi-structured interview

As no information is available on the validity of this instrument, the construct validity will now be discussed. Kerlinger (1986, p. 440) postulates that special care should be taken to eliminate the interviewer's bias, questions should be tested for unknown biases, and the particular research problem and the nature of the information sought should dictate whether the interview will be used. In this study special care was taken not to prompt a reaction from the interviewee. It has already been mentioned that if the interviewer refrains from asking leading questions, he/she provides the opportunity for the respondents to express themselves freely. In this study the bias of the researcher would be further limited, as the response of each interviewee would be analysed according to the items and constructs of the MLQ Form 5 X.

(v) Motivation to make use of the semi-structured interview

The study investigated transformational leadership in a higher education institution. As the leadership styles of leaders are most probably of a sensitive psychological, sociological and even philosophical nature, the rationale is that this open, less strictly formalised interview will create a milieu for interviewees to reveal their thoughts and feelings freely.

With reference to the above, it is clear that an interview where the responses can be categorised and subsequently corresponded with an objective norm – such as the constructs of the MLQ – will enhance the reliability of the interview. The sensitive information that was gained from the leaders at the higher education institution in question, the possible bias of the interviewer, and the confidentiality of each respondent's responses, motivated the researcher to use the interview as discussed.

4.6.2 Quantitative instrument

In the following section the MLQ Form 5X is described.

(a) Background and aim

The MLQ is the result of Bass's conceptualisation of transactional and transformational leadership (Bass, 1985). It included seven leadership factors, which he labelled charisma, inspirational motivation, intellectual stimulation, individualised consideration, contingent reward, management-by-exception and laissez-faire leadership. In subsequent writings, Avolio and Bass (1988) noted that although charismatic and inspirational leadership were unique constructs, they were often not empirically distinguishable. Thus, the original seven factors were reduced to six.

Following Bass (1985), Avolio and Bass proposed a 6-factor model instead of a 7-factor model of transactional and transformational leadership. There have been several comprehensive analyses, reviews, and critiques that have offered recommendations to modify the components in the model (Bass, 1985; Avolio & Bass, 1988; Yukl, 1994). Suggestions for modification arose when a number of authors were not able to replicate the 6-factor model proposed and confirmed by Bass (1985). Their results led these authors to recommend collapsing some of the original leadership factors into higher order factors such as transformational leadership (Bass & Avolio, 1990; Avolio & Bass, 1991).

(b) Composition of the Multifactor Leadership Questionnaire

Ackermann, Scheepers, Lessing and Danhaused (2000) state that the MLQ Form 5X serves as the new standardised form of the MLQ. The Multifactor Leadership Questionnaire Form 5X (MLQ) (Short Form) (Bass & Avolio, 1990) used in this study is a 36-item questionnaire with a 5-point Likert-type scale for rating the frequency of observed leader behaviour (Refer to table 4.1: The factor structure of the MLQ). The rating scale has the following designations: 0 = not at all; 1 = once in a while; 2 = sometimes; 3 = fairly often; 4 = frequently, if not always.

The MLQ measures the seven leadership factors defined by Bass and Avolio (1990; 1991) as types of interactions between leaders and followers. These

include charisma (idealised influence: attributed and idealised influence: behaviour), inspirational motivation, intellectual stimulation, individualised consideration, contingent reward, management-by-exception (active) and management-by-exception (passive), as well as laissez-faire leadership. Transformational leadership is defined, operationally, as the composite mean of the charisma, inspirational motivation, intellectual stimulation, and individualised consideration leadership factor means. Transactional leadership, on the other hand, is defined, operationally, as the composite mean of the contingent reward and management-by-exception (active and passive) factor means.

Table 4.1 The factor structure of the MLQ (Bass, 1985)

SCALE	NUMBER OF ITEMS
TRANSFORMATIONAL LEADERSHIP	
Charisma	8
Idealised influence (attributed)	4
Idealised influence (behaviour)	4
Inspirational motivation	4
Intellectual stimulation	4
Individual consideration	4
<hr/>	
TRANSACTIONAL LEADERSHIP	
Contingent reward	4
Management-by-exception	8
Active	4
Passive	4
<hr/>	
AVOIDANCE OF LEADERSHIP	
Laissez-faire leadership	4
<hr/>	

RESULT FACTORS

Extra effort by followers	3
Effectiveness of individual and group	4
Satisfaction with the leader	2

TOTAL	45
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The MLQ is unique in the sense that it identifies a wide spectrum of leadership behaviour – from charismatic to avoidance of leadership (laissez-faire leadership) (Ackerman et al., 2000).

The questionnaire consists of two forms: the self-rating form, in which the leader rates him-/herself as a leader, and the rater form in which followers rate the leader. In this study the self-rating form was used.

(c) The validity of the Multifactor Leadership Questionnaire

The results of factor analysis, using varimax rotation methods, provided construct validity for MLQ leadership factors in business settings. The same leadership factors emerged during two independently conducted factor analyses by Bass (1985). Additionally, almost the same structure was maintained in two replications of the original factor analysis when conducted by Hater and Bass (1988) and Seltzer and Bass (1990). Factor analytic findings for items representative of each factor ranged from 0.57 for individualised consideration to 0.77 for charisma (Bass, 1985).

(d) Examining the construct validity of the MLQ 5X

The MLQ 5X was developed primarily to address substantive criticisms of the MLQ 5R survey. Again, the criticisms concerned the generally high correlation between the transformational scales, as well as between the transformational leadership scales and contingent reward, the mixing of behaviours, impact and outcomes within a single leadership scale – such as

charisma – and distinguishing between charismatic leadership that was behaviourally-based (referred to as ‘idealised influence: behaviour’ in this study), and an attribute on or impact on followers (referred to as ‘idealised influence: attributed’ in this report, or elsewhere as ‘attributed charisma’) (Conger & Kanungo, 1987; House, 1995).

(e) The reliability of the Multifactor Leadership Questionnaire

As reported in the Multifactor Leadership Questionnaire’s manual (Bass & Avolio, 1990, p. 22), alpha reliability coefficients for leadership scales (MLQ rater form) yielded a range of 0.77 – 0.95.

A reliability check for the MLQ (Bass, 1985) was conducted to provide evidence that within an inclusive education setting, the instrument was consistent in producing the data for which it is designed. Cronbach alphas were computed for the seven leadership factor subscales. Nunnally (1970) suggests that a reliability coefficient of 0.70 or higher is acceptable for hypothesis testing of constructs. With the exception of the scales for contingent reward (0.68) and management-by-exception (0.59), reliability coefficients were within the acceptable range (0.75-0.94).

Since a new genre of leadership theory was introduced by Burns (1978) and expanded by Bass (1985), many conceptual and empirical studies have now confirmed that in comparison with transactional leadership, transformational leadership has a greater impact on associates’ motivation, self-efficacy and individual, group and organisational performance (Avolio & Bass, 1994). In terms of performance, three recent meta-analyses of the military and broader organisational psychology literature have confirmed that the relationships between transformational leadership and rated and objectively measured performance were stronger and more positive than the transactional styles of leadership and the less active non-transactional style of laissez-faire leadership (Gasper, 1992; Patterson, Fuller, Kester & Stringer, 1995); Lowe, et al.(1996), who include in their meta-analysis over 30 independent empirical studies using the MLQ, conclude that there are strong positive correlations

between all components of transformable leadership, and both objective and subjective measures of performance. Transactional contingent reward leadership was less positively correlated with performance, and management-by-exception was negatively correlated with measures of performance.

The hierarchical ordering of leadership constructs with respect to their relationship with performance reported by Bass (1985) and further developed by Avolio and Bass (1991), has been confirmed in each of the meta-analyses discussed above. Specifically, Avolio and Bass (1991) propose that transformational leadership will be most highly correlated with effectiveness, followed by transactional and non-transactional styles of leadership.

(f) Augmentation effects

The 'augmentation effect' was conceptualised by Bass (1985) as a challenge to Burns' (1978) original assumption that transformational and transactional leadership were at opposite ends of the same continuum, that is, one is either one or the other.

The augmenting effects of transformational leadership proposed by Bass (1985) have also been confirmed by several independent studies (Hater & Bass, 1988; Howell & Avolio, 1992; Yammarino, Spangled & Bass, 1993). Bass (1985) argues that transformational leadership raises individual needs and desires to achieve more, to work harder and to strive for the highest levels of performance.

In contrast to Burns's original assumption, several studies have confirmed the augmentation effect, reporting that transformational leaders motivate followers to perform beyond their own expectations, based on the leaders' idealised influence (II) or charisma, inspirational motivation (IM), intellectual stimulation (IS), and individualised consideration (IC). These transformational leadership styles build on the transactional base in contributing to the extra effort and performance of followers.

It has been mentioned that the initial conceptualisation of the transactional and transformational leadership model presented by Bass (1985) included six leadership factors. A 5-factor structure combining charisma and inspirational leadership was recently confirmed by Bycio, Hackett & Allen (1995) for the earliest version of the Multifactor Leadership Questionnaire (MLQ Form 1) used by Bass (1985).

However, Bycio, Hackett and Allen (1995, p. 474) do have some reservations regarding their findings indicating that:

Although the overall confirmatory factor analysis fit indices tended to support the existence of five leadership components the transformational factors were highly correlated, and more important, they generally did not have strong differential relationships with the outcome variables.

However, the MLQ has been much revised since 1985. Since the original 6-factor model was proposed by Bass (1985), several additional factors have been uncovered through subsequent research using revised versions of the MLQ (Bass & Avolio, 1995). One of these factors provides for attributes of the leader's transformational style, and is based on distinguishing between charismatic behaviours and attributes. Management-by-exception is divided into management-by-exception: active (MBEA) and management-by-exception: passive (MBEP). Thus, 9-factor scores were obtained for MLQ Form 5X and the analyses for this report. Six of these were used previously in MLQ Form 5R and three were newly created.

Refinements to these leadership factors negate neither the theoretical relevance nor the significance of the original 6-factor model. Rather, they represent an attempt to define more precisely the constructs associated with leadership style and behaviours that constitute what Avolio and Bass (1991) labelled a 'full range' of leadership styles and behaviour. This range includes leadership styles that vary from highly transformational to highly avoidant. Still another possible factor, not explored in this report, could be created by splitting CR into contingent reward recognition and exchange.

(g) Prior concerns regarding the MLQ (Form 5R)

The MLQ Form 5R, the primary survey instrument that has been used over the last 10 years to measure transformational, transactional and non-transactional (*laissez-faire*) leadership has been criticised by several authors for its inability to draw valid distinctions between the factors comprising the survey, for including behavioural and impact items in the same survey scales, and because the factor structure initially proposed by Bass (1985) has not always been replicated in subsequent empirical research (Smith & Peterson, 1988; Yukl, 1994).

Bass and Avolio (1993, p. 61), following their review of prior empirical studies completed on the MLQ, conclude that:

The original factor structure presented by Bass (1985) does still represent conceptually and in many instances empirically, the factors of transformational, transactional and *laissez-faire* leadership. But already we see that the structure is more complex than originally proposed. Further refinements are in the offing.

(h) Motivation for use of the MLQ 5X

The fact that the MLQ 5X was found to be both a reliable and a valid instrument for assessing transformational leadership, supports the decision to make use of this instrument. Since it assesses individual leadership traits, this instrument is not only suitable but also important for the purposes of the empirical study.

4.7 DATA ANALYSIS

With reference to the research methodology (1.6, phase 2, step 5), the aim of the current subsection is to outline the way in which the data collected were prepared and analysed.

4.7.1 Data preparation

After the data have been collected, the first stage of data analysis is to prepare the raw data and to transform this into a machine-readable format (Blanche & Durrheim, 1999, p. 98). For this purposes, numeric variables are assigned to variables, for example 1 to 'male' and 2 to 'female'.

4.7.2 Statistical analysis

The statistical techniques used to analyse the data are discussed below.

(a) Descriptive statistics

Descriptive statistics describe the general characteristics of a set or distribution of scores (Salkind, 2001, p. 150). Frequencies, means and standard deviations were the descriptive statistics used in the current study. The mean score and standard deviation of the items of the MLQ were thus calculated.

As indicated in chapter 2, section. 2.4.1, transformational leadership is defined, operationally, as the composite mean of the charisma, inspiration, intellectual stimulation, and individualised consideration leadership factor means, while transactional leadership is defined, operationally, as the composite mean of the contingent reward and management-by-exception factor means (Bass, 1985). The mean scores of each factor were derived by summing the items and dividing the sum by the number of items that make up that scale. For the sake of completeness, the percentiles for the individual factor scores are also given in Appendix 3.

To calculate the mean score of each factor the average score of all the items comprising the specific factor was calculated. Likewise, to obtain the mean of the leadership style, the means of the factors were calculated.

Definitions of the descriptive concepts that were used in this study are the following:

‘Frequencies’ is merely the number of times a response has been given. This concept was used to describe the sample in terms of the demographic variables, for instance the proportion of males to females.

A ‘mean’ is the sum of a set of scores divided by the number of scores and is usually accompanied by a ‘standard deviation’ which measures variability around the mean (the average amount that each of the individual scores varies from the mean of the set of scores) (Salkind, 2001, p. 154). In this study the mean scores and standard deviations of the answers to each item as well as for the different factors were calculated.

4.7.3 Data processing

With reference to the research methodology (1.6, phase 2, step 6), the quantitative and qualitative data were processed separately. These procedures will be discussed in the following sections.

(a) Processing quantitative data

As indicated in 1.6 (step 4), the average score of the quantitative instruments was obtained by means of standardised results. The following steps were taken:

Step 1: scoring

The MLQ was objectively and individually scored after completion by the respondents. This was done by making use of a Scoring Key (5X) Short.

Transformational leadership is defined, operationally, as the composite mean of the charisma, inspiration, intellectual stimulation, and individualised consideration leadership factor means while transactional leadership is defined, operationally, as the composite mean of the contingent reward and management-by-exception factor means (Bass, 1985) (Chapter 2, section.2.4.1),

The MLQ scale scores are average scores for the items on the scale. The scores can be derived by summing the items and dividing the aim by the number of items that make up that scale. Each of the leadership style scales has four items.

Step 2: central tendency

Central tendency and variability analysis were performed by calculating the mean and standard deviation of the different MLQ factors individually, as well as those of the transformational and transactional leadership factors, in order to obtain an overall indication of the leadership styles of the participating sample.

(b) Processing qualitative data

The subjects to be interviewed must form part of an observable social situation. The most important elements, patterns, and total structure of transformational leadership were analysed beforehand by the researcher. A literature study was also performed prior to the study to familiarise the researcher with the nature of transformational leadership and transactional management.

According to Creswell (Leedy & Ormrod, 2001, p. 150) the central task during data analysis is to identify common themes in people's descriptions of their experiences. After transcribing the interviews, the researcher took the following steps:

- **Organisation of details about the case and categorisation of data**

The items of the quantitative instrument MLQ 5X (short form) served as a guideline to identify relevant topics. The researcher separated relevant from irrelevant information obtained during the interview and then divided the relevant information into small segments (for example phrases or sentences) that each reflected a single, specific thought. Group statements were compiled into 'meaning units'. The researcher grouped the segments into categories that reflect the various aspects ('meanings') of transformational leadership as it is experienced.

- **Interpretation of single instances**

The researcher scrutinised the various ways in which different people experienced the phenomenon by allowing open discussion based on the various statements related to the topic.

- **Synthesis and generalisations**

The researcher used the various meanings identified to develop an overall description of the phenomenon as people typically experience it.

The final result was a general description of the leadership styles of leaders within a higher education institution as seen through the eyes of people who have experienced it firsthand. The focus was on common themes in the experience despite the diversity of the individuals and settings studied.

The task of the qualitative researcher, according to Leedy (2001) is to analyse and integrate findings. Isolated fragments have to be combined into a meaningful matrix. On this basis, conclusions and recommendations will be made and it is evident that insight and creative thinking is required by this method of data processing.

4.8 REPORTING RESULTS

Results are described within a humanistic paradigm (a descriptive focus as adopted per theme considered) and are presented in the form of tables and graphs. (Refer to Chapter 5).

4.9 SUMMARY

This chapter reflected on the research design, the methods of data collection, the procedures of data collection, and on the processing of the data. It therefore provides a satisfactory backdrop for the discussion of the research results in the next chapter.

CHAPTER 5: RESEARCH RESULTS

5.1 INTRODUCTION

With reference to the research methodology discussed in the first chapter (1.6.2, phase 2, step 7), the objective of Chapter 5 is to report the results of this study.

Firstly, a profile of the participants (a description of the leaders/managers in terms of demographic variables) will be provided. Thereafter, the quantitative and qualitative data of the research will be presented and interpreted.

The mean scores of the five respondents on each of the leadership styles will be presented and graphically illustrated to ease interpretation.

Secondly, the qualitative data will be discussed in a summary of findings of the personal interviews.

Finally, the researcher developed an overall description of the transformational leadership. The final result was a general description of the leadership styles of leaders within a higher education institution. The focus was on common themes in the experience despite the diversity of the individuals and settings studied.

5.2 PARTICIPANT PROFILE

A summary of the demographic information of the leaders is given in Table 5.1.

Table 5.1: Demographic description of each respondent

<i>Leader no.</i>	<i>Age</i>	<i>Years at institution</i>	<i>Years in current position</i>	<i>Gender</i>	<i>Language</i>	<i>Management position in...</i>
1	56	9	7	Male	English	General management
2	59	35	35	Male	Afrikaans	Finance
3	48	3.5	3.5	Male	Afrikaans	Human resources
4	54	8	3.5	Male	Afrikaans	Operations
5	58	36	3.5	Male	Afrikaans	Administration

All respondents were older than 40 years of age and occupied senior management positions from a spread of disciplines. All but one were Afrikaans speaking.

5.3 DESCRIPTIVE RESULTS

The MLQs of the five top-level managers were scored and the mean and standard deviations of all the items comprising the questionnaire were calculated. The results are presented in Table 5.2.

Table 5.2 Average scores per factor of the MLQ Form 5X

<i>FACTOR</i>	<i>No. OF ITEMS</i>	<i>RESPONDENT NO. 1</i>	<i>RESPONDENT NO. 2</i>	<i>RESPONDENT NO. 3</i>	<i>RESPONDENT NO. 4</i>	<i>RESPONDENT NO. 5</i>
TRANSFORMATIONAL LEADERSHIP						
Charisma						
Idealised influence (attributed)	4	2.50	3.00	2.50	2.50	2.75
Idealised influence (behaviour)	4	3.00	3.75	3.25	4.00	3.00
Inspirational motivation	4	2.50	3.25	3.00	4.00	3.50
Intellectual stimulation	4	2.75	3.00	3.75	3.50	3.25
Individual consideration	4	2.50	3.50	2.75	3.75	3.00
MEAN	4	2.65	3.30	3.05	3.55	3.25
TRANSACTIONAL LEADERSHIP						
Contingent reward	4	2.25	3.25	2.50	3.00	3.50
Management-by-exception						
Active	4	2.00	3.25	3.00	1.50	1.00
Passive	4	1.25	1.00	0.25	0.75	1.25
MEAN	4	1.92	2.50	1.92	1.75	1.75
AVOIDANCE OF LEADERSHIP						
Laissez-faire leadership	4	0.00	0.75	0.00	0.50	1.75

The respondents could obtain a maximum score of 4. The scores of 3.3 and 3.55 for transformational leadership indicate that Leaders 2 and 4 obtained the highest scores for transformational leadership. Leader 2 obtained the highest score for transactional leadership and Leader 5 the highest score for laissez-faire leadership.

A total mean score for transactional, transformational and laissez-faire leadership styles was calculated for (i) each respondent individually, and (ii) all respondents combined. Table 5.3 indicates the descriptive information of all of the leadership styles of institutional leaders at the institution.

Table 5.3: Descriptive information on the leadership styles

	N	Minimum	Maximum	Mean	Standard Deviation
Laissez-faire	5	0	0.75	0.35	0.335
Transformational leadership	5	2.65	3.55	3.16	0.336
Transactional leadership	5	1.75	2.50	1.97	0.310

Overall, transformational leadership is the style with the highest mean. It can be derived from the table that there is a relatively high trend towards transformational leadership present in the top-management structure of the institution.

Figure 5.1 graphically illustrates the mean scores of each of the five respondents on the leadership styles.

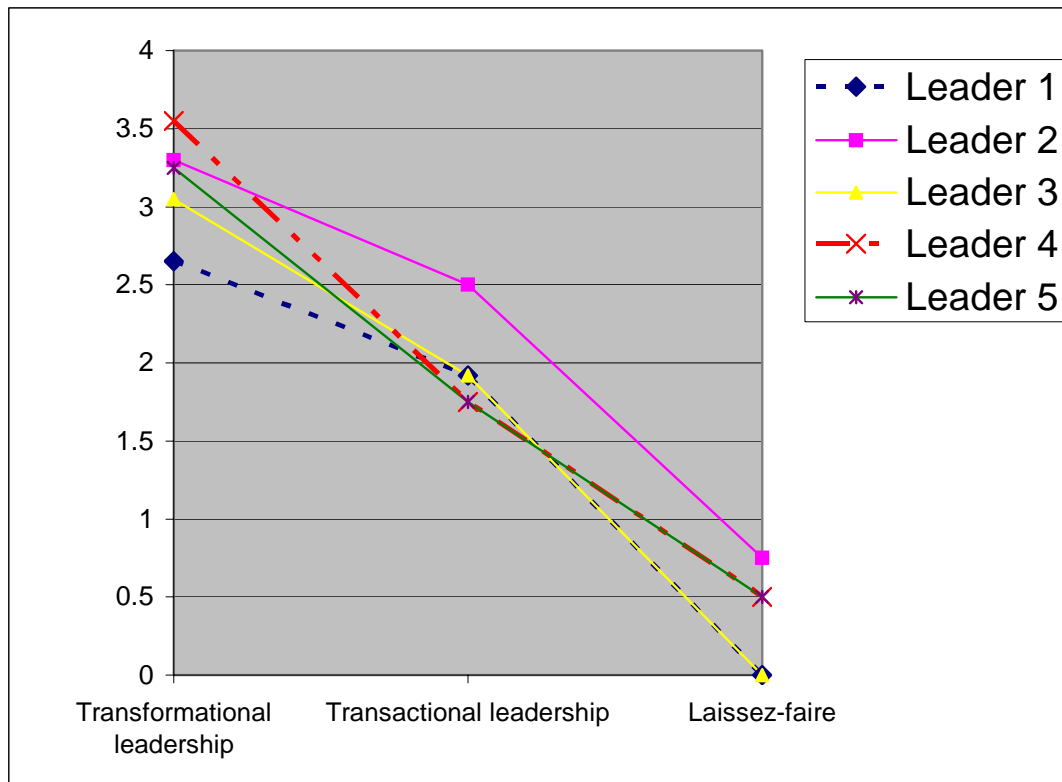


Figure 5.1 Average score on the leadership styles

Based on the leadership style scores of each respondent it is clear that the leadership styles of Leaders 3 and 5 are relatively similar (with transformational leadership scores of 3.05 and 3.25 respectively), while Leader 1 has a 2.65 score that is low in comparison with the other scores. Leaders 2 and 4, (with transformational leadership styles of 3.30 and 3.55 respectively) however have a relatively high transformational leadership score. Leader 2, also has a relatively high transactional leadership score (2.50).

The different mean scores of each respondent on the factors of each leadership style were also plotted to gain a more in-depth look at their leadership styles.

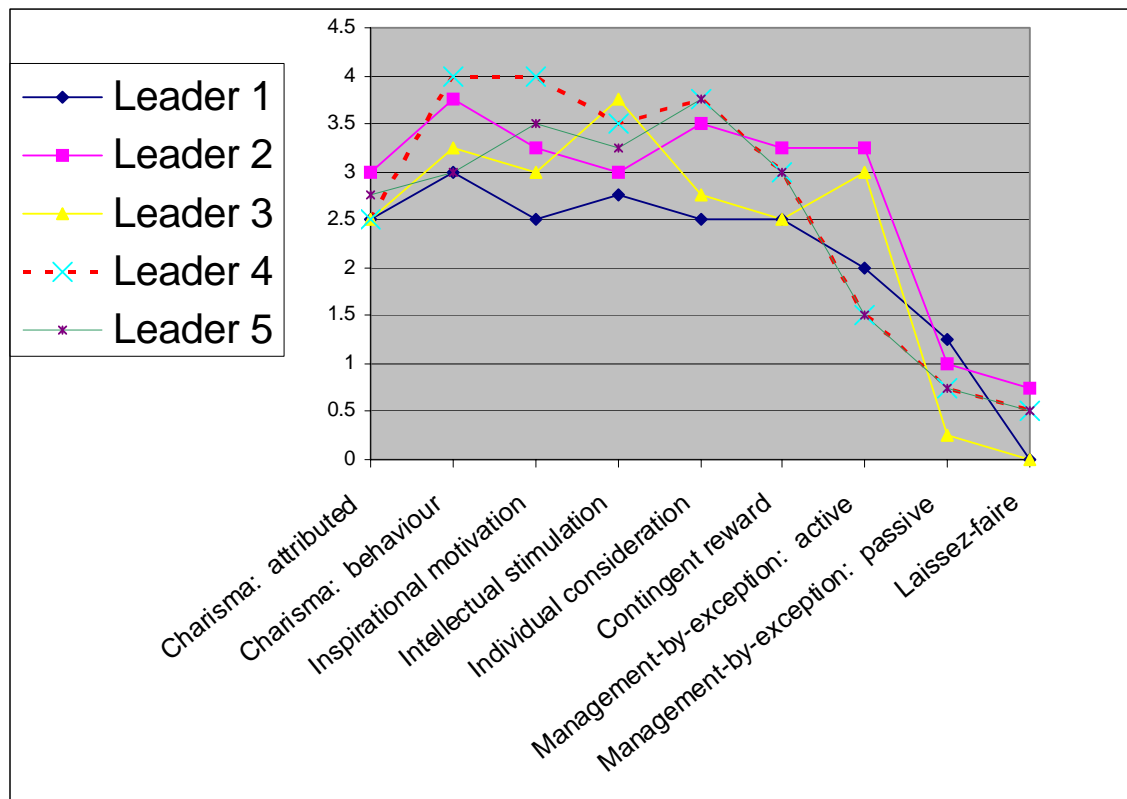


Figure 5.2 Mean scores of the 5 respondents on the factors of the leadership styles

Of all five respondents, Leader 1 has the lowest mean scores on all the transformational factors, yet those scores are higher than his scores on the transactional and laissez-faire leadership styles. It also appears that Leader 1 has the lowest score on individual consideration (2.5) where a high score is an indication of authentic transformational leadership and a low score an indication of pseudo-transformational leadership.

As indicated in Chapter 2, section 2.4.1, the difference between authentic and pseudo-transformational leadership is the absence of individual consideration. Although authentic transformational leaders may have just as much need for power as pseudo-transformational leaders, authentic transformational leaders channel the need in socially constructive ways into the service of others. Pseudo-transformational leaders use power primarily for self-aggrandisement and are actually contemptuous of those they are supposed to be serving as leaders (Howell & Avolio, 1992). Although this may not be expressed publicly,

privately pseudo-transformational leaders are concerned about their power and how to gain more of it. Insiders who work closely with them know them to be deceptive, domineering, egotistical demagogues even though their public image may be that of a saviour. Pseudo-transformational leaders are predisposed toward self-serving biases. They claim they are right and good; others are wrong and bad. They are the reason things go well; other people are the reason for things going badly. They wear different masks for different occasions, believe themselves to be high in self-monitoring but are betrayed by their nonverbal contradictory behaviour.

Interestingly, Leader 2, while having achieved high transformational scores, also achieved very high scores on two of the three transactional leadership style factors: he achieved 3.25 for contingent reward and 3.25 for management-by-exception (active). It was only because a low score (1) on the factor management-by-exception (passive), that he did not receive a higher total score for transactional leadership. Leader 2 has both a strong transformational leadership style as well as a strong transactional leadership style; more so than that of any of the other leaders. The strong transactional component involves role clarification, the initiation of structure, attempts to meet the social needs of subordinates, and the distribution of rewards and punishment according to performance. As indicated in Chapter 2, section 2.4.1, the active-management-by-exception transactional leadership factor focuses on monitoring of task execution for any problems that might arise and correcting those problems to maintain current performance levels while a passive-management-by-exception transactional leadership factor tends to react only after problems have become serious enough to take corrective action, often avoiding making any decisions at all.

The transformational components that were the strongest in this leader were those of charisma; idealised influence (behaviour), with a score of 3.75, and individual consideration, scoring 3.5. The high score on the charisma factor means: (i) that the leader provides followers with a clear sense of purpose that is energising; (ii) that he is a role model for ethical conduct; and (iii) that he builds identification with himself and his articulated vision.

As indicated in Chapter 2, section 2.3.2, Stoner-Zemel (1988) found that effective management and visionary leadership behaviour, in combination, were positively correlated with organisational performance: being a good manager involves leadership, and effective organisational leadership requires a proper managerial foundation (Jaques & Clement, 1991). Thus, it may be concluded that good managers, as indicated by the quantitative results of Leader 2, have to be leaders as well as managers (Fairholm, 1991, p. 44).

Although Leader 3 has a low charismatic: idealised influence (attributed) score (2.5), he has the highest score on intellectual stimulation (3.75). This factor describes leadership behaviour that encourages followers to use their imagination and to rethink old ways of doing things. The leader provides a flow of ideas, questions assumptions, creates a broad, imaginative picture and encourages followers to come up with their own structures and solutions to problems. The message is that followers should feel free to try out new approaches and that their ideas will not be publicly criticised if they differ from those of the leader.

When all the factors are taken into consideration, it becomes evident that Leaders 4 and 5 are clearly the most transformational leaders of all. Both of these leaders have high scores on the transformational factors and low scores on the laissez-faire style (0.5). This does not necessarily indicate that they are the most effective leaders. However, those whom we call transformational exhibit much more transformational than transactional characteristics: in their defining moments, these leaders are transformational (Bass & Steidlmeier, 1998).

In fact, none of the leaders show a high score on the laissez-faire leadership style (the highest mean score (0.75) was achieved by Leader 2).

Due to the special focus on transformational leadership, the mean scores of the total group on each transformational factor are plotted below in Figure 5.3.

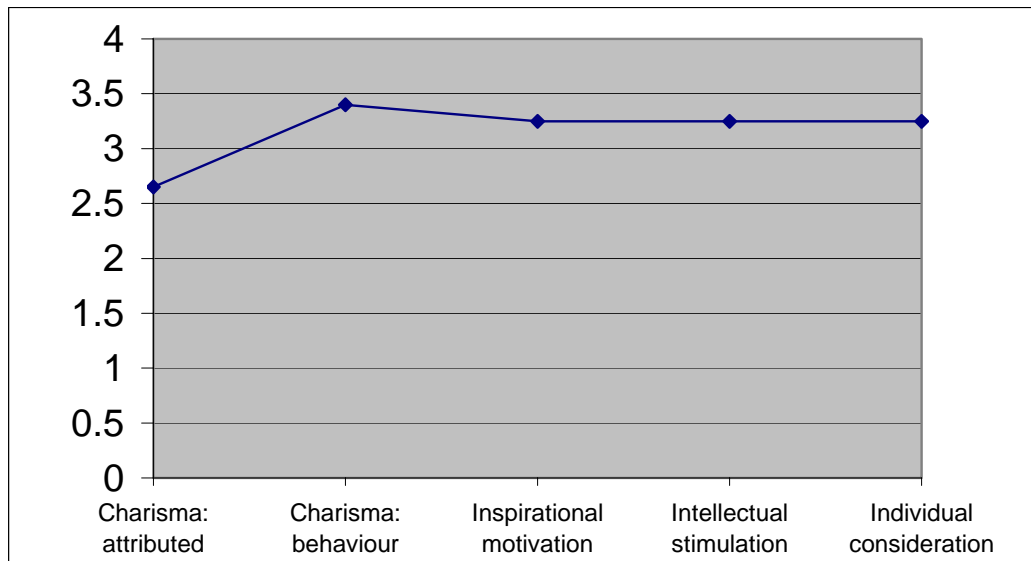


Figure 5.3: Mean scores on the transformational factors ($n = 5$)

The transformational leadership factor that has a relatively low value is charisma (attributed), (2.65). In contrast, the charisma (behaviour) factor has the highest score (3.4). It has already been mentioned that leaders with a high score on charisma provide followers with a clear sense of purpose that is energising, that they are role models for ethical conduct, and that they build identification with themselves and with their articulated visions. Individualised influence consideration (including attributional and behavioural components), thus means that the leader pays personal attention to followers; that he/she is considerate towards each individual, focusing on that person's needs. The leader provides challenges and learning opportunities, and delegates tasks calculated to raise skill levels and confidence. In the process, he/she exhibits trust, respect, and some tolerance for mistakes occurring as learning proceeds. The result is that followers are more likely to be willing to develop competence and take initiative. Furthermore, they trust and respect the leader.

Charisma is purported to be one of the cornerstones of transformational leadership, yet this dimension did not receive much empirical support. The research indicates that respondents cannot differentiate idealised influence as an independent construct, which may be due to large variances in attributes in

a stable organisation. These results are similar to those of several other studies that have been unable to demonstrate support for the charismatic leadership dimension (Bycio et al., 1995; Hinken & Racey, 1999, p. 6). Hinken and Racey (1999) further state that a crisis (when dissatisfaction is high and value congruence and unquestioned obedience are needed to ensure organisational survival) may be a necessary condition for a charismatic leader to emerge. It would certainly be appropriate for managers in organisations facing turbulence and uncertainty to utilise inspirational motivation, intellectual stimulation, and individualised consideration. By assuming these leadership roles, managers can create awareness of the need for change.

5.4 QUALITATIVE INTERVIEW RESULTS

The statements from the qualitative interviews were analysed by the researcher and were classified according to which of the MLQ factors they reflected (See Appendix 2). As indicated in Chapter 4, section 4.7.3, the central task during data analysis is to identify common themes in people's descriptions of their experiences. After transcribing the interviews, the researcher took the following steps:

- **Organisation of details about the case and categorisation of data**

The items of the quantitative instrument MLQ 5X (short form) served as guideline to identify relevant topics. The relevant information was divided into small segments and group statements were compiled into 'meaning units' that reflect the various aspects ('meanings') of transformational leadership as it is experienced.

- **Interpretation of single instances**

The researcher allowed open discussion based on the various statements related to the topic.

The actual statements of each respondent are provided in Appendix 2 and Table 5.4 summarises the number of statements a respondent made reflecting each factor.

Table 5.4 Number of statements from qualitative interviews that reflecting each factor

SCALE	Respondent No. 1	Respondent No. 2	Respondent No. 3	Respondent No. 4	Respondent No. 5
TRANSFORMATIONAL LEADERSHIP					
Charisma					
Idealised influence (attributed)	3	2	3	5	4
Idealised influence (behaviour)	4	7	8	9	6
Inspirational motivation	4	3	4	5	2
Intellectual stimulation	4	3	4	5	2
Individual consideration	1	5	1	6	4
Total number of statements	16	20	20	30	18
TRANSACTIONAL LEADERSHIP					
Contingent reward	0	3	0	0	0
Management-by-exception					
Active	3	3	2	4	0
Passive	1	2	4	0	0
Total number of statements	4	8	6	4	0
AVOIDANCE OF LEADERSHIP	1	4	2	0	0
Laissez-faire leadership					

According to the total number of statements judged by the researcher to be indicative of transformational leadership, Leader 4 exhibited the highest number of transformational leadership statements. Leader 2, while displaying a relatively high number of statements in the transformational leadership construct, had the highest number of statements (8 in total) in the transactional leadership construct.

The highest number of transformational responses was exhibited by Leader 4, and, overall, the respondents made more statements indicative of transformational leadership than of either of the other two leadership styles.

5.5 INTEGRATION AND INTERPRETATION OF THE RESULTS

The qualitative data reflected and supported the quantitative data to a large extent.

Both the high scores on the transformational construct in the MLQ Form 5X and the high number of statements made during the interview that reflect transformational leadership characteristics, confirmed that overall the leadership style at the higher education institution in question is transformational of nature. Leader 4 is considered the strongest transformational leader due to the high scores he obtained in the quantitative section and the high number of statements that are indicative of a transformational leadership (30 in comparison with the 20 of Leaders 2 and 3). Leader 5 also exhibited strong transformational characteristics because, although he only had 18 statements recorded in this section, he displayed no other leadership style characteristics.

There is still, however, a strong transactional component present as Leader 2 showed a strong transactional component in both the qualitative and quantitative results. This combination of transformational and transactional leadership styles may be referred to as the 'augmentation effect'. As indicated in Chapter 2, this effect was conceptualised by Bass (1985) as a challenge to Burns' (1978) original assumption that transformational and

transactional leadership were at opposite ends of the same continuum: one is either one or the other.

With reference to the literature review in Chapter 2, this emphasises that the question that should be asked is: is transformational leadership enough? In the second chapter it became evident that some researchers indicate that charismatic and transformational leaders can fail at turnaround strategies. However, with reference to the empirical results, the transformational leader may exhibit the most 'ideal' leadership style for the higher education institution that is engaged in a turnaround strategy.

As indicated in Chapter 3, section 3.7, transformational leadership will probably result in higher levels of cohesion, commitment, trust, motivation and performance. Transformational leadership is enlivened and guided by an inner ethical core. Morality in leadership style will thus also define appropriateness within a specific context of change and transformation. As indicated in Chapter 3, section 3.7, transformational leaders may not be the universal remedy for organisations in need of turnaround. While transformational leaders may be the appropriate leadership style to affect change, it can be derived from the literature that perhaps team-led strategic change will be better oriented to future business needs in rapidly changing and complex environment.

5.6 SUMMARY

In this chapter the results of the empirical study were reported. With reference to the specific empirical objectives of the research (1.3.2) the first two have been addressed, namely:

- to ascertain the leadership styles currently are exhibited by five top-level managers at the institution under investigation; and
- to ascertain whether there are any differences between the transformational leadership styles of leaders at the higher education institution.

While the general literature and empirical objectives of this research attempt to identify the transformational leadership style, the specific objectives attempt to formulate recommendations in terms of human resource management and development systems in terms of personnel selection and training and development. This will be considered in the recommendations proposed in the next chapter.

CHAPTER 6: CONCLUSIONS, LIMITATIONS, AND RECOMMENDATIONS

6.1 INTRODUCTION

With reference to the research methodology discussed in Chapter 1 (1.6, phase 2, step 1) the aim of Chapter 6 is to formulate conclusions regarding the objectives of the research as stated in the first chapter (1.3), and to identify the limitations of the research. Finally, recommendations will be made in terms of the literature review, empirical study and human resource management related issues, for example the training and development of leaders within the higher education institution.

6.2 SUMMARY AND CONCLUSIONS

The conclusions are discussed in terms of the specific objectives of the literature review as well as the specific empirical objectives (see Chapter 1, 1.3.2).

6.2.1 Conclusions pertaining to the literature review objective

With reference to the specific objectives of the literature review (Chapter 1, section 1.3.2), the following conclusions are drawn:

1. The first literature objective was to determine the role of leadership style in the effective management of transformation and change in a higher education institution (refer to Chapter 2). A comprehensive literature review on transformation and change was conducted and perspectives on transformation and organisations as systems of change were obtained and analysed.
2. The second literature objective was to analyse leadership theories critically, within the context of organisational transformation and change in higher

education (refer to Chapters 2 and 3). In order to achieve this goal, the third objective was to analyse critically the transformational leadership model. A conceptual explanation of leadership was given, specifically referring to leadership as management. Transformational leadership theory was further analysed, focusing on the constructs 'transformational leadership' and 'transactional leadership'. Keeping this in mind, a discussion on transactional and transformational leadership was followed by a conceptual explanation of transformational leadership, ethical criticisms of transformational leadership, morality and value, authentic versus pseudo-transformational leadership, and focus on the transformational effect. This was followed by a discussion on the constraints in responding to the calls for leadership.

Keeping this background in mind, a discussion on forces of change and transformation in the higher education was followed by an overview of current developments in South African higher education. Specific reference was given to the higher education institution in question as an institution in the throes of transformation.

3. The third objective of the literature review was to analyse critically the transformational leadership model in order to determine whether transformational leadership is the appropriate leadership style for the given time and circumstances (refer to Chapter 2). Keeping this background in mind, a discussion on forces of change and transformation in higher education was followed by an overview of current developments in South African higher education. Specific reference was given to the higher education institution in question as an institution in the throes of transformation.
4. The fourth objective of the literature review was to analyse critically the transformational leadership model in order to determine whether transformational leadership is the appropriate leadership style for an institution in the process of transformation (refer to Chapters 5 and 6). A discussion on leadership for strategic change indicated that it is crucial that

the principles of transformational leadership be accepted in order to adapt to the rapid changing environment.

6.2.2 Conclusions pertaining to the empirical study objective

With reference to the empirical objectives of the research (Chapter 1, section 1.3.2), the following conclusions are drawn:

1. The first empirical objective was to ascertain the leadership styles currently exhibited by five top-level managers leaders at the higher education institution under investigation. It was determined that – in varying degrees – all of them exhibit a transformational leadership style.
2. The second empirical objective was to ascertain whether there are any differences between the transformational leadership styles of institutional leaders at the higher education institution in question. Based on the results obtained it was confirmed that this is indeed the case.

6.3 LIMITATIONS

With reference to step 8 of the research methodology (Chapter 1, section 1.6), the limitations of this research are now discussed.

It should be pointed out that this research, despite the systematic approach adopted, needs refinement before the results can be used for any other population. The limitations experienced, which obviously limited the inferential value of the research, are now discussed in terms of the literature review and empirical study.

6.3.1 Limitations in terms of the literature review

There are a number of predicaments associated with understanding and defining the concept 'leadership'. The definitions of leadership and transformational leadership have been fraught with conceptual deficiencies

and contradictory results. To secure a universally accepted measure of the various leadership styles of a particular organisation is a complicated matter because of the employees' different perceptions.

6.3.2 Limitations in terms of the empirical study

A primary limitation of this study is that a purposive sampling was used. The utilisation of such a sample implies the risk of possible subjectivity and bias. It is argued that this type of sampling is suitable for preceding studies because it has the inherent inability to provide information about a population that augments the possibility of sampling faults.

A major limitation, which can reduce the external validity of the current study, is the small sample size utilised. With only five respondents providing leadership data, the probability for detecting main themes in the analysis was relatively small.

A further limitation is the fact that the sample is only applicable to one higher institution, which reduces its ecological validity. Thus, the results cannot be generalised and applied to other higher education institutions.

With reference to the qualitative interviews, the researcher experiences the fact that all the respondents were known to her as a limitation. In spite of the fact that the reliability and validity of the interviews were carefully planned in advance, it is questionable to what extent the respondents may have reflected their true feelings and perceptions regarding their own leadership styles.

The interpretation (scoring) of the interview was impeded by the fact that some of the respondents were very methodical and did not repeat or address certain themes during the interviews. The number of times a specific theme was used was limited.

A further complication that influenced the results of the study was the small number of interviewees. Thus, no generalisations can be made, as the findings constitute a too slender basis for a scientific investigation.

Furthermore, the interpretations of the interviews may be rejected as random and subjective because they depend entirely on the perspective of the analyser of the interviews. It is possible that the interpreter will find the answers he/she expects – and wishes – to find.

With reference to the use of the quantitative instruments, the MLQ Form 5X was used in the current study. The questionnaire consists of the MLQ Self-rating Form and the MLQ Rater Form. In the current study only the first form was used. Ideally, the rating forms should have been completed by at least three subordinates, who should have been selected randomly by a neutral party. A perceptually measured leadership style may not always reflect reality. The reason for this is that leaders influence the perception, goals and behaviour of followers, but followers also shape the perception, goals and behaviour of leaders. Thus, leadership is actually very much a two-way street involving reciprocal influence.

The above limitations cause the study to have a low external validity. Consequently it may be impossible for other researchers to generalise the results and apply them with confidence to other organisations.

6.4 RECOMMENDATIONS

In section 6.1, it was mentioned that the recommendations are made with reference to the literature objectives, empirical objectives and human resource management decisions such as training and the development of leadership at a higher education institution.

6.4.1 Recommendations pertaining to the literature objectives

With reference to the literature objectives identified in Chapter 1 (section 1.3), the following recommendations are made:

6.4.4.1 Through extensive research, the existing profile of transformational leadership can be supplemented. The profile itself should be subjected to a qualitative study to verify what the typical profile of transformational leadership entails.

6.4.4.2 It is recommended that extensive literature reviews should take the following factors into consideration:

- (a) The literature review of authentic transformational leadership styles included a range of constructs. Future research can specifically concentrate on the implications of morality on transformational leadership within the context of transformation and change.
- (b) An extension of the description of a universal remedy for organisations in need of turnover. The inclusion of team-led strategic change in the discussion of transformational leadership would be to the advantage of the further development of leadership within the context of change and transformation.

6.4.2 Recommendations pertaining to the empirical objectives

With reference to the empirical objectives stated in Chapter 1 (1.3), the following recommendations are made:

6.4.2.1 It is recommended that an extended quantitative empirical study should take the following factors into consideration:

- (a) To enhance the quality of the research, the possibility of adding another quantitative instrument could be considered.
- (b) Since the sample included only male managers employed by a higher education institution, a much larger sample, including females and leaders from different race groups, is needed.

6.4.2.2 It is recommended that an extensive qualitative empirical study should take the following aspects into consideration:

- (a) The use of an interviewer unknown to the respondents would eliminate possible bias on the part of the researcher and respondents.
- (b) The use of a more refined technique for the interpretation of the interviewees' responses is advisable. The method used to interpret interviews in this empirical study could be subjected to qualitative and subsequently quantitative research on the method itself.

6.4.2.3 Since a small portion of the sample was used in this empirical study to integrate ten quantitative and qualitative results, it is recommended that in future a bigger sample should be selected.

In the next section, with reference to the results of the empirical study as discussed in Chapter 5, recommendations regarding human resource management related decisions will be made (refer to Chapter 1, section 1.6.2, phase 2, step 8).

6.4.3 Recommendations regarding human resource management decisions for the higher education institution

Indications are that leaders at the higher education institution in question are exposed to constant change due to the transformation taking place in the higher education . Transformational leadership should be encouraged, for it can make a big difference to the institution's performance at all levels. Much can be done to improve leadership in an organisation and to enhance transformational leadership. The overall amount of transformational leadership can be increased substantially by suitable organisational and human resource policies. The new model of transformational leadership presents opportunities for enhancing a corporation's image and for improving

its success in recruitment, selection, and promotion. This model also has implications for the organisation's training and development activities and for the design of its jobs and organisational structure.

(a) Implications for the corporate image

A firm that is permeated with transformational leadership from top to bottom conveys to its own personnel as well as to customers, suppliers, financial backers, and to the community at large that (i) it has its eyes on the future; (ii) it is confident; (iii) it has leaders who are pulling together for the common good; and (iv) it places a premium on its intellectual resources, flexibility, and the development of its people.

(b) Implications for recruiting

Increasing transformational leadership within the organisation may assist in recruitment. Candidates are likely to be attracted to an organisation whose CEO is charismatic and whose public image is that of a confident, successful, optimistic, dynamic leader. In addition, prospects are likely to be attracted by interview experiences with other members of management who exhibit individualised consideration. More intelligent prospective employees will be particularly impressed with intellectually stimulating contact made during the recruiting and hiring process.

(c) Implications for selection, promotion, and transfer

Since the factors associated with transformational leadership can be identified and measured, these factors should be incorporated into managerial assessment, selection, placement, and guidance programmes, along with related assessments of relevant personal dimensions and individual differences. Somewhat more transformational leadership factors are generally expected and found as managers move to successively higher levels in the organisation. However, it is reasonable to expect that an individual's performance at one level will be similar to his/her performance at the next level.

Peers and supervisors can be asked to describe the manager's current leadership style, using the MLQ, and their responses should be considered when decisions are made regarding promotions or transfers. Feedback from these respondents can also be used for counselling, coaching, and mentoring.

(d) Implications for development

Organisational policy needs to support the leader who is willing to take unpopular decisions, who knows when to reject conventional wisdom, and who takes reasonable risks.

Intellectual stimulation also needs to be nurtured and cultivated as a way of life in the organisation. The so-called 'best and brightest' people should be hired, cultivated, and encouraged. Innovation and creativity should be fostered at all levels in the institution.

(e) Implications for training

Contrary to conventional wisdom, transformational leadership is a widespread phenomenon. This leadership style can be learned, and it can and should be a facet in management training and development: research has shown that leaders at all levels can be trained to be charismatic in both verbal and nonverbal performance (Bass, 1985).

However, in order to increase the productivity of the research, it must be emphasised that ideally a similar study should be conducted which includes a national sample of higher education institutions in South Africa. A stratified random sample that is more representative and that can be generalised – and hence has higher external validity – should also be utilised in future research.

6.5 SUMMARY

In this chapter, phase 2 of the empirical study as depicted in Chapter 1 (1.6.2) has been completed: the conclusions as well as the recommendations (step 8) have been formulated. These recommendations were made with reference to the literature review, the empirical study, and human resource management related decisions. Thus, the general and specific objectives of this research, as identified in the first chapter (1.3), have been addressed.

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APPENDIX 1: INTERVIEW GUIDELINE

INTRODUCTION

- Vertel my van die verloop van die afgelope jaar.
- Hoe het die draaistrategie u as leier van u eenheid beïnvloed?
- Hoekom het dit gebeur?
- Vertel my meer daarvan.
- Hoe het dit gebeur?
- Wat het gebeur?
- Hoekom dink u het dit gebeur?

POSSIBLE QUESTIONS TO BE POSED DURING THE INTERVIEW THAT WERE COMPILED GUIDED BY INDIVIDUAL ITEMS OF THE MULTIFACTOR LEADERSHIP QUESTIONNAIRE (MLQ)

IDEALISED INFLUENCE (CHARISMA)

- **Hoe weet u** dat u u ondergeskiktes **positief beïnvloed**?
- Wat is **u unieke bydrae** in u werkgroep?
- Vertel my van 'n situasie waar u **meer gedoen het** as wat van u verwag is ter wille van die algemene goeie belang van u werkgroep.
- Op watter **manier** gaan u te werk om u **belangrikste waardes en denke** aan ander in u werkgroep oor te dra?
- Vertel my van 'n geleentheid waar u **in 'n moeilike situasie standpunt** moes inneem. Was u suksesvol?
- Hoe **bevorder u wedersydse vertroue** in u werkgroep?

INSPIRATIONAL MOTIVATION

- Hoe sien u die **toekoms van u werkseenheid** binne die UV?
- Hoe het u te werk gegaan om u ondergeskiktes deurentyd te ondersteun?
- Hoe gaan u te werk om aan u **werkgroep oor te dra wat presies gedoen moet** word?
- Vertel my van 'n situasie waar u **entoesiasties was oor wat gedoen**

moes word. Hoe het u dit oorgedra?

INTELLECTUAL STIMULATION

- Hoe gaan u te werk wanneer daar **uiteenlopende menings** in u **werkgroep** gehuldig word?
- Hoe gaan u te werk om **iemand van u standpunt te oortuig**?
- Vertel my van 'n **situasie waar u 'n probleem uiters suksesvol opgelos het.**
- Hoe het u te werk gegaan?

INDIVIDUALISED CONSIDERATION

- Vertel my van u werkgroep.
- Hoe gaan u te werk om u **ondergeskiktes te ontwikkel**?
- Hoe gaan u te werk om **individuele klagtes** binne u werkgroep aan te spreek?
- Hoe gaan u te werk om individue wat **afgesonderd voorkom te betrek by die res** van die groep?
- Is daar **individue binne u werkgroep met wie u 'n ontwikkelingspad stap**?

CONTINGENT REWARD

- Wat is u **onderliggende filosofie oor die beloning van prestasie**?
- **Hoe beloon u prestasie binne u eenheid**?
- **Onderhandel u met u ondergeskiktes oor die belonings wat hulle kan verwag**?
- **Kommunikeer u met u ondergeskiktes oor doelwitte en verwagte standaarde**?

MANAGEMENT-BY-EXCEPTION (ACTIVE)

- Hoe gaan u te werk om **standaarde te handhaaf**?
- Hoe **tree u op as daar foute begaan** word?
- Watter **reëls het u daargestel om foute te vermy**?
- **Hoe gereeld en wanneer sal u pogings aanwend om verbeteringe** in werksprosedures te inkorporeer?
- **Wat beskou u as minimum standaard binne u eenheid?** Gee voorbeelde daarvan.

MANAGEMENT-BY-EXCEPTION (PASSIVE)

- Glo u daarin om in te gryp of om dinge te verander as dit **vlot verloop**?
- Is daar **probleme** binne u eenheid waarvan u bewus is?

LAISSEZ-FAIRE

- Hoe gaan u te werk wanneer **probleme chronies** raak?
- **Het u versoeke verkry om ondersteuning te verskaf?** Het u dit opgevolg?

CONCLUSION

- Vertel my van 'n **laagtepunt** hierdie afgelope jaar.
- **Wat het bygedra tot die moeilike situasie?**
- Vertel my van 'n **hoogtepunt** hierdie jaar.
- Wat het bygedra tot die sukses van die situasie?
- Waarin lê u krag?
- Hoe sien u die toekoms van u eenheid?

APPENDIX 2: SUMMARY - RESULTS OF QUALITATIVE INTERVIEWS ACCORDING TO MLQ 5X LEADERSHIP ITEMS

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FINAL SCALE ITEMS IN MLQ 5X	ITEM CONTENT (RATER VERSION)	Respondent 5	Respondent 4	Respondent 3	Respondent 2	Respondent 1
ITEM						
Idealised influence (attributed)						
10	Instils pride in being associated with him/her.					
18	Goes beyond his/her own self-interest for the good of the group.	Op 'n punt en 'n tyd gaan óf ek óf my base sê: "So kan dit nie aanhou nie!"	Ek dink net daar is baie dinamiese persone, veral in die bestuurspan, wat baie haastig was en nie altyd verstaan het wat die dinamika van so 'n proses is nie. Jy moet die leisels net so 'n bietjie terughou.	Die denkpatoon wat mens maar het binne jou afdeling, haal dit uit jou hande uit. Die enigste ou wat dit gesien het, is ek. So die UB moet 'n ding goedkeur waarvan ek vir hulle sê: "Alles is nie in plek nie, maar ons het nie 'n keuse nie. Julle sal net die goed moet goedkeur, maar julle bemark dit al van Maartmaand af. Daar is nie omdraaikans nie, julle	En ons het gegaan en ons het al die <i>flaws</i> uitgehaal en dis belangrik dat ons vir die Departement Onderwys gesê het: "Julle moet baie mooi verstaan, dis nie ons wat 'n fout gemaak het nie. Dis grotendeels ook julle."	So we had to delay the process. He has problems but is fine, not because he is having those problems that should be identified.

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				moet dit goedkeur.” Die besluit wat geneem is waarvoor ek baie gekritiseer is, was om stelselmatig met regstellende aksie te begin.		
21	His/her actions build subordinate's respect for him/her.					We gave the chair ... then I listened and I talked and I presented my issue. But it gives you an opportunity to sit.

25	Displays a sense of power and confidence.		<p>En ek dink dit het 'n bietjie gehelp dat ek met daardie ervaring in die bestuurspan kon inkom en die nodige leiding kon gee.</p> <p>Om weereens gemoedere te kalmeer, weer vergaderings te belê en weer te praat.</p>		<p>Van: "Ek het beheer oor hierdie proses. Ek het beheer oor die portefeulje." Ek moes die sein stuur.</p> <p>Ek is besonder, besonder dankbaar dat ek die sterk geestelike ingesteldheid het wat my in staat stel om steeds koelkop te bly.</p>	So yes, we tried with confidence.
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FINAL SCALE ITEMS IN MLQ 5X	ITEM CONTENT (RATER VERSION)	Respondent 5	Respondent 4	Respondent 3	Respondent 2	Respondent 1
ITEM						
Idealised influence (behaviour)						
6	Talks to subordinates about his/her most important values and beliefs.		Een is baie geduld. Praat en kommunikeer. Nie net praat nie – want praat beteken jy praat en luister nie – maar werklike kommunikasie in die eerste plek.	Lojaliteit wat ek op hierdie plek geken het – en wat daarvan oor is op hierdie stadium – bestaan nie. En as jy regtig glo in die besluit wat jy neem, dan moet jy maar vasstaan.	Hierdie kantoor moet onthou word as 'n kantoor waar daar reg bestuur is, nie goed bestuur is nie. Daar is 'n baie groot verskil daar, nie net 'n nuanse van verskil nie. Ek wou nie 'n populêre bestuurder wees nie. Ek wil 'n regverdige bestuurder wees. Mense moet my onthou vir dit wat ek reg gedoen het, nie vir dit wat ek goed gedoen het nie. Die <i>downside</i> daarvan is dat mense my natuurlik	

					as baie hard ervaar.	
6 (cont.)			In die tweede plek, as daar oor klein dingetjies ooreen- gekom word, byvoorbeeld om inligting te voorsien aan die vakbond, dat dit onmiddellik gedoen is. En dat party begin sien het dat dit gebeur wat jy gesê het gaan gebeur.	Dit was in die eerste instansie om te sê ons moet openlik met mekaar wees. Ons moet regtig transparant wees, ons moet die probleme op die tafel sit en ons moet openlik daaroor kan gesels.	Nou die spelreëls vra vir wedersydse respek, ongeag of ek die kantoorhoof is en of sy die sekretaresse is. Of laat ek dit anders stel: was die totale <i>commitment</i> van hierdie kantoor en die portefeulje absoluut noodsaak- lik? Of laat ek dit anders stel: die totale <i>commitment</i> van hierdie kantoor en die portefeulje was absoluut nood- saaklik. En dis daardie geloofsdimensie	So that in a way you know without ... questioning all the time, but it also works against trust. We are supposed to live and die with courage.

					wat mens moet inbring in jou bestuurstyl – 'n geloofsdimensie van hoop, van vertrouwe en van regtig 'n totale oorgawe en om te sê: “Here, nou bestuur U hierdie kantoor.”	
14	Specifies the importance of having a strong sense of purpose.	Maar as ons na die geheelprentjie kyk – en daarvan is ek 100% oortuig – as ons nie deur hierdie soort proses gegaan het nie, of trouens nog besig is om te gaan nie, dan het hierdie Universiteit, dan het hy bankrot gegaan.	Mens moet saamwerk tot voordeel van die maatskappy of die organisasie. Almal in die departement moet dieselfde doelwitte nastreef.	Tog die mense bymekaar te kry om te sê: “Maar kom ons sleep die wa deur die drif.” Spanfunksionering, want as jy dit nie het nie, as jy dit nie kan bewerkstellig nie, is jy verlore.	Verder om die departments- hoofde te laat inkoop in die proses. Een van die departementshoofde praat nog steeds van die Rektor se draaistrategie.	We must say: “This is our plan and we are going for it, the three of us.”
23	Considers the moral and ethical consequences of his/her	Wil nie my meerderes eva-			Reg bestuur beteken dat ek	We must do it because ... it has

	decisions.	<p>lueer nie.</p> <p>Nou hang daardie swaard oor hulle koppe en dit kom nie uit die pad uit nie. Dis sleg.</p>			<p>die regte dinge op die langtermyn doen.</p>	<p>to be done but it must be based on trust.</p> <p>We must be fair to all.</p> <p>Treat everybody ... fairly.</p>
34	Emphasises the importance of having a collective sense of the mission.	<p>Daar is vir seker hoop en ons sien dit, want uit die begrotings wat ons die afgelope tyd voorgelê het, sien ons die effek van die draaistrategie en is ons op pad – en ons is ver op pad – ons staan nie aan die begin van daardie pad nie.</p>	<p>Saam met hulle begin kyk na alternatiewe om personeelvergoedingskoste te verminder, maar terselfdertyd ook so min as moontlik mense af te dank of uit diens te plaas.</p> <p>En wat nou interessant was, was om dit nou te beleef en deel daarvan te wees waar die vakbond beweeg het van</p>	<p>Openlik nie binne hierdie paar mense wat die senior groep in die afdeling is nie, maar binne die breër groepering van die afdeling.</p> <p>Spanfunksionering, want as jy nie dit het nie, as jy nie dit kan bewerkstellig nie, is jy verlore.</p> <p>So die feit dat ons as 'n eenheid oor die kliënt-student kan saampraat en nie in twee aparte lyne</p>	<p>Maar jy sien nou dit is wat ek sê – die kompleksiteit van hierdie proses Dat jy die groot prentjie moet sien waarbinne jy deurlopend moet analiseer en vra: “Waarheen gaan ons?”</p> <p>Maar die turbulente omgewing is geskep as gevolg van die draaistrategie wat as</p>	<p>One thing we can do is we need to continue now; we need to have a plan.</p>

			<p>absoluut militant, stakings, waar hulle meer volwasse geword het en waar bestuur ook meer volwasse geword het en besef het, maar dit is 'n belangegroep wat jy nie kan ignoreer nie.</p>	<p>daaroor kan saampraat nie – dat ons in een lyn kan saampraat oor studente, terwyl dit in die vorige bedeling in twee lyne was wat nooit saamgepraat het nie. En ek dink die sukses daarvan sal in die geskiedenis opgeteken staan en vandat hierdie proses saamgekom het, is hier rustigheid op die kampus.</p>	<p>fokus sterk verkoop moes word en die totale eienaarskap van die personeel moes dus verkry word.</p>	
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FINAL SCALE ITEMS IN MLQ 5X	ITEM CONTENT (RATER VERSION)	Respondent 5	Respondent 4	Respondent 3	Respondent 2	Respondent 1
ITEM						
Inspirational motivation						
9	Talks optimistically about the future.	Nie waarskynlik nie. Daar is vir seker hoop. Want ons kan waarskynlik ... nee nie ... ons kan nou iets daaraan begin doen.	Daar is ook baie ander idees wat mens wil invoer en implementeer.	Dit het sy voordeel: jy maak 'n klomp kreatiwiteit los, want jy laat immers nie binne strukture dink nie, jy laat hom dink so wyd soos die Heer se genade.	Die totale prentjie is een van dat ons uiteindelik by 'n punt gekom het waar ons gesê het ons begin 'n proses wat ons gaan deurvoer. Ons moet ons effektiwiteit verbeter. Ons moet 'n inkomstegenere-rende strategie aan die gang kry.	So that in a way I think it would maybe be an opportunity. And then again it opened up a lot of opportunities for us.
36	Expresses his/her confidence that subordinates will achieve their goals.			Dat as jy nie ervaring (personeel) gehad het in hierdie tye nie, sê ek vir jou dat hierdie proses nie sou gereëliseer het nie.		

13	Talks enthusiastically about what needs to be accomplished.		<p>Jou menslike hulpbronne is in werklikheid konsultante vir die totale maatskappy ten opsigte van enige menslike hulpbron aangeleentheid.</p> <p>Een manier om personeel te motiveer is om 'n leidende rol te speel spesifiek ten opsigte van ondersteuning, evaluering en terugvoer.</p>	<p>Binne ons spesifieke werkopdrag is die deel van standarde taamlik maklik om te evalueer: jy kan net 'n graad kry as jy 'n sekere aantal kursusse geslaag het; aan al die vereistes van die kurrikulum voldoen het.</p>	<p>En ons het dit op Topbestuursvlak vir mekaar aan die einde van verlede jaar al gesê: "Ons moet onself tot hierdie proses verbind."</p> <p>Dat jy jouself as't ware moet herskeduleer, as't ware herfokusseer, maar as't ware ook herpatroniseer – 'n patroon kry.</p> <p>Om saam met jou mense te gaan loop; <i>you must walk the talk.</i></p> <p>Deur van dag een af <i>upfront</i> te sê wat die spelreëls is. <i>Upfront</i>. Wat is die spelreëls. En dan</p>	<p>But if you are Chair sometimes you have to discipline.</p>
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					bepaal ek nie alleen die spelreëls nie, maar ons bepaal dit gesamentlik.	
26	Articulates a compelling vision of the future.			En daarom fokus ek baie sterk op die langtermyn doelwit van die universiteit – 'n topgehalte universiteit.	Die spelreëls vra tweedens ook dat ons 'n gesament- like, gedeelde visie het. Ons moet deel in dit wat ons moet doen.	

FINAL SCALE ITEMS IN MLQ 5X	ITEM CONTENT (RATER VERSION)	Respondent 5	Respondent 4	Respondent 3	Respondent 2	Respondent 1
ITEM						
Intellectual stimulation						
2	Re-examines critical assumptions to question whether they are appropriate.	Dit was nie 'n eksakte, wiskundige, matematiese proses nie en daarom kan die eindresultaat ook nie eksak wees nie.			<p>Ek moes daardie onsekerheid uit my sisteem kry. Maar hoe kry jy dit uit jou sisteem? Ek het dit gedoen deur vir die departements- en afdelingshoofde te sê: "Evalueer my."</p> <p>Miskien omdat ek ook gewoon is om dinge anders te wil doen en my nie regtig altyd steur aan die wetenskaplike reëls nie.</p>	<p>Everyone will get an opportunity and we will decide ... talk and then we will analyse.</p> <p>Should know what people are saying about you and you cannot leave, you are a leader, you are a leader of the people, you are not ... yourself.</p>

8	Seeks differing perspectives when solving problems.		<p>En om daardie koppe gedraai te kry, om te sê: "Maar die oplossing oor jou werk lê by jou, nie by my nie. En hoe gering dit ookal is, jy moet met die oplossing kom in jou werk." En ek dink dit het nogal baie daartoe bygedra dat mense begin vorendag kom het met oplossings, met voorstelle, met nuwe idees.</p>		<p>So die uitdagings dink ek is baie; jy moet oor nuwe goed begin dink, jy moet nuwe denke kry.</p> <p>So daar is 'n groot verskil tussen oplossingsgewys dink en toekoms-gewys dink.</p>	<p>Also come and discuss it in a civil way and then we can help him or her find out that maybe he or she must look at some other possibilities.</p>
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32	<p>Suggests new ways of looking at how subordinates do their jobs.</p> <p>Encourages subordinates to rethink ideas that have never been questioned before.</p>	<p>Verskeie voorstelle gemaak.</p> <p>Sit die mense wat daardeur geraak word, afdelingshoofde wat daardeur geraak word, sit koppe bymekaar en ons dink.</p>	<p>En ek dink tog menslike hulpbronne se rol – nie net ten opsigte van die proses nie, maar ook ten opsigte van ander aspekte – het miskien bietjie meer dinamies begin raak in terme van advies en konsultasie. En dit op sigself is nogal 'n groot uitdaging, om mense so ver te kry om oplossingsgewys te dink.</p> <p>So jy moes daardie persepsie by mense draai om te sê jy kan maar waag en jy kan maar 'n fout maak, jou kop sal nie rol nie.</p>		<p>'n Kantoor wat die toon aangee in terme van verandering. Breed, strategies, maar nou is die uitdaging om dit klein, kompartementeel, partikulier toe te spits en te sê: "Nou gaan ons!"</p> <p>En leierskap, Dalene, binne 'n breë bedryfsosiologiese definisie daarvan sou dus beteken dat mens verseker voortdurend vir jouself moet vrae vra.</p>	<p>One-stop service. What do you mean by putting it like that? And then in April he came and talked about it and put it up there and we talked and said that we wanted to go for it. So it immediately changed, it was no longer only his idea, it was for all of us now to go for that ... going to try, ... found out.</p>
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30	Gets subordinates to look at problems from many different angles.	Die afdelingshoof moet sy insette lewer.	Saam met hulle begin kyk na alternatiewe om personeelvergoe-dingskoste te verminder, maar ook terselfdertyd so min as moontlik mense af te dank of uit diens te plaas.		Ons kan nie maar net bestuur soos wat ons in die verlede dit gedoen het nie; ons het nou 'n ander <i>challenge</i> .	Also come and discuss it in a civil way and then we can help him/her to find out that maybe he/she must look at some other possibilities ... let people talk, we must listen. If you want to phone me or just come to my office ... any time now have to ... open the door.
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FINAL SCALE ITEMS IN MLQ 5X	ITEM CONTENT (RATER VERSION)	Respondent 1	Respondent 2	Respondent 3	Respondent 4	Respondent 5
ITEM						
Individualised consideration						
19	Treats subordinate as an individual rather than just a member of a group.		<p>En daarmee saam het professor Khotseng 'n baie sterk ingesteldheid oor die mens, oor die kliënt.</p> <p>Daarom moet jy die mense goed ken, jy moet weet waarheen beweeg word met die spesifieke probleem of die projek of wat ookal.</p>		<p>Verder, die feit dat daar van die afdelings is wat nie geraak is nie en afdelings wat byna moet toemaak as gevolg van hoe dit geraak is, het gevra dat jy ook 'n bepaalde strategie en leierskap moes ontwikkel om daardie ouens wat verskriklik geraak is hier by jou te hou. Maar om terselfdertyd ook te sorg dat die ouens wat nie geraak is nie, nie wegraak omdat hulle dink hulle is</p>	

					<p>beter nie.</p> <p>Want nie alle departementshoofde is goeie bestuurders nie. Daar is van die departementshoofde wat goeie <i>practitioners</i> is, baie goeie <i>practitioners</i> is.</p>	
31	<p>Focuses subordinate on developing his/her strengths.</p>		<p>Gryp jy te vroeg in, dan ontnem jy persone van sekere inisiatiewe. Gryp jy te laat in, dan veroorsaak jy soveel skade dat jy nooit by die doelwit uitkom nie.</p> <p>Die totale dinamika van die onderhandelinge en hierdie proses</p>		<p>Ria het nou die BOP gedoen en dit goed gedoen ook.</p> <p>Vir my is dit 'n verdere stap van ontwikkeling, een vir myself, maar 'n verdere uitdaging om daardie terugvoer baie subtiel in te werk in 'n nuwe fase</p>	<p>I am saying I would understand but I would say: "Create the space for people to realise that they also can make a difference." It's not only about you, you, you, but about other people.</p> <p>Towards the</p>

			<p>was baie verrykend</p> <p>Is ook maar binne hierdie projek van <i>grow your own timber</i> wat die Ekonomiese en Bestuurswetenskappe, in die besonder politieke administrasie ... stelsel.</p>		<p>van die draaistrategie.</p>	<p>development of ... issue ... we should show our appreciation.</p>
15	Spends time teaching and coaching subordinate.				Maar ek moet haar <i>coach</i> .	
29	Treats each of the subordinates as individuals with different needs, abilities, and aspirations.				<p>Nou daardie variasie vra 'n bepaalde inset van 'n lynhoof om nie mense natuurlik, jy weet homogeen te kry sodat almal maar dieselfde lyk nie, maar dat jy regtig 'n smartieboks effek het.</p>	

					Sê om werklik sterk leierskap te weerspieël, moet jy waaragtig ook empaties kan bestuur.	
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FINAL SCALE ITEMS IN MLQ 5X	ITEM CONTENT (RATER VERSION)	Respondent 5	Respondent 4	Respondent 3	Respondent 2	Respondent 1
ITEM						
Contingent rewards						
1	Provides his/her assistance in exchange for subordinate's effort.					
11	Makes sure that subordinates receive appropriate rewards for achieving performance targets.					
35	Expresses his/her satisfaction when subordinate does a good job.					

FINAL SCALE ITEMS IN MLQ 5X	ITEM CONTENT (RATER VERSION)	Respondent 5	Respondent 4	Respondent 3	Respondent 2	Respondent 1
ITEM						
Management-by-exception (active)						
4	Focuses attention on irregularities, mistakes, exceptions, and deviations from standards.	<p>Op my tafel lê 'n pakkas goed) waarby ek nie uitgekome het nie.</p> <p>As mense met mekaar vriendelik is in die gang, as dit lyk asof hulle tyd het vir grappies dan wil ek weet: "Hoekom werk jy nie?"</p>	<p>En daar was harde konfrontasies gewees. Wat gebeur het was dat daar net ingegryp is en die partye bymekaar gebring en die reëls van die spel weer uitgespel is en dit het seker vier, vyf sessies geneem om dit wel te bepaal.</p>	<p>Lojaliteit wat ek op hierdie plek geken het – en wat daarvan oor is op hierdie stadium – bestaan nie.</p>	<p>Het dit geweldige frustrerende momente gehad omdat ek nie regtig kon deurvoer wat ek graag sou wou nie.</p> <p>Ewe belangrik is dus dat die lynhoof ook foute maak en net soos wat die lynhoof foute maak en op sy foute gewys moet word, is dit op dieselfde basis ook noodsaaklik vir die ondergeskikte. Dis waar die evaluering vandaan kom: ek wil weet watter foute jy maak.</p>	
22	Spends his/her time trying to "put out fires".	<p>Moes ons probeer om deur verskuiwings dit</p>	<p>In leierskap is tydsbestuur en daar was nie</p>	<p>Gelukkig kon ons dit bolwerk deur vrywillige be-</p>		

		<p>wat regtig noodsaaklik is, nog te doen.</p>	<p>sprake van tydsbestuur nie, want die tyd is absoluut gereël.</p> <p>Dit is net dat dit my frustreer dat ons nog nie daarby uitgekóm het nie.</p> <p>So konfrontasie is 'n besliste metode om in te gryp in menslike verhoudinge. Dit is weereens die hoe en die wat.</p>	<p>dankings en dit was almal junior personeel ge-wees. Gelukkig deur vrywillige bedankings, gelukkig junior personeel.</p>		
24	Keeps track of subordinate's mistakes.				<p>Nou die een wat ja gestem het vir die UVPERSU ding, dié weet nie ek weet nie. Jy sien, so dis maar goed dat hy nie weet ek weet nie. Dis 'n werklike groot</p>	

					<p><i>challenge</i> om daardie ouens almal in een pakkie te sit en te bestuur.</p> <p>'n Persoon moet regtig ook weet dat daar baie druk is as jy voortdurend foute herhaal. So as jy foute maak, dan moet jy vir 'n persoon sê: "Ja, daardie fout het jy gemaak, maar jy moet self kom met die regstelling".</p>	
27	Directs his/her attention toward failure to meet standards.	Het ek nie die hulp van my meerderes gekry wat ek van hulle verwag het nie.				

FINAL SCALE ITEMS IN MLQ 5X	ITEM CONTENT (RATER VERSION)	Respondent 5	Respondent 4	Respondent 3	Respondent 2	Respondent 1
ITEM						
Management-by-exception (passive)						
3	Fails to intervene until problems become serious.	Want ek weet nie meer wat hier lê nie.	So as jy kom met 'n saak, dan moet dit regtig so 'n uitermate uitstaande krisispunt wees en dan alleenlik sou hy jou steun vir addisionele personeel. Niemand hoor ons nie, so dit moet nou maar gaan soos dit wil.	En ek dink dit was die uitdaging van die jaar gewees. Maar ek dink dit was so 'n bietjie onbillik van Topbestuur gewees om 'n proses so te laat ontwikkel. Ek dink dit was 'n onbillikheid gewees. Soos rekenaarontwikkeling; ons praat al jare oor rekenaarontwikkeling. Ons kan nie agterraak met rekenaarontwikkeling nie, want as jy agtergeraak het,		

				kan jy nie opvang nie. Maar nie- mand hoor jou nie.		
12	Things have to go wrong for him/her to take action.			<p>Vandag, as jy daarna terugkyk, dan is dit nie meer so gelukkig nie, want jy moes vier mense laat loop het wat junior mense was, maar hande is ook belangrik.</p> <p>Die emosionele word uitgehaal, maar die uit- dagings wat dan in die afdeling agterbly is groter, want van meet af sit jy nie met 'n proses wat jy beplan het nie.</p>		
17	Shows he/she is a firm believer in "if it ain't broke, don't fix it".					

20	Problems must become chronic before he/she will take action.					
Laissez-faire						
5	Avoids getting involved when important issues arise.		<p>So in die eerste plek het dit wat jou beplanning in jou afdeling betref, so 'n bietjie die kas onder jou voete laat wankel.</p> <p>Die frustrasies word nie aangespreek nie, want die frustrasies lê nie op die departementele vlak nie, dit lê op 'n hoër vlak.</p> <p>Dit was vir my so bietjie van 'n skok toe ek hoor ek moet R215 000 lewer.</p>		Ja, daar is baie hoë waardering vir mensgerigtheid, maar daar hang tog 'n vraagteken oor taakgerigtheid.	

			Dit is net dat dit my frustreer dat ons nog nie daarby uitgekom het nie.			
7	Is absent when needed.					
28	Avoids making decisions.			Daar was nie spelreëls gewees nie. So jy het nie geweet nie – jy hardloop op die veld en jy weet nie gaan jy sokker speel of gaan jy rugby speel nie; jy weet nie met watter spelreëls gaan jy speel nie.		
33	Delays responding to urgent questions.	Want ek weet nie meer wat hier lê nie.		Hierdie goed was – daar was geen administratiewe dissipline of orde binne die sisteem nie. So die proses het maar aangefoeter tot op 'n punt waar		

				iemand gesê het: “Kom, ons weet alles is nie in plek nie, maar kom ons maak maar ons oë toe en ons kyk hoe gaan dit volgende jaar.”		
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APPENDIX 3: DESCRIPTIVE STATISTICS OF EACH ITEM IN THE MLQ FORM 5X QUESTIONNAIRE

Item number	N	Mean	Std. Deviation	Skewness		Kurtosis	
				Statistic	Std. Error	Statistic	Std. Error
V1	5	3	1.581	-	0.913	-1.200	2
V2	5	2.8	1.095	-1.293	0.913	2.917	2
V3	5	3	0.707	-0.000	0.913	2.000	2
V4	5	1	0.707	0.000	0.913	2.000	2
V5	5	2.6	1.517	-0.315	0.913	-3.081	2
V6	5	0.2	0.447	2.236	0.913	5.000	2
V7	5	3	1.000	0.000	0.913	-3.000	2
V8	5	1.2	1.304	0.541	0.913	-1.488	2
V9	5	3.4	0.548	0.609	0.913	-3.333	2
V10	5	3.2	0.837	-0.512	0.913	-0.612	2
V11	5	2	1.581	-0.000	0.913	-1.200	2
V12	5	3.2	0.447	2.236	0.913	5.000	2
V13	5	0.6	0.548	-0.609	0.913	-3.333	2
V14	5	3.4	0.548	0.609	0.913	-3.333	2
V15	5	3.4	0.548	0.609	0.913	-3.333	2
V16	5	3	1.000	-	0.913	-3.000	2
V17	5	1.8	1.304	-0.541	0.913	-1.488	2
V18	5	1.4	0.548	0.609	0.913	-3.333	2
V19	5	3.6	0.548	-0.609	0.913	-3.333	2
V20	5	3	0.707	-	0.913	2.000	2
V21	5	0.6	0.548	-0.609	0.913	-3.333	2
V22	5	2.4	1.140	0.405	0.913	-0.178	2
V23	5	2.2	1.304	0.541	0.913	-1.488	2
V24	5	3.8	0.447	-2.236	0.913	5.000	2
V25	5	1.8	1.304	-0.541	0.913	-1.488	2
V26	5	2.6	0.894	1.258	0.913	0.312	2
V27	5	3.2	0.837	-0.512	0.913	-0.612	2
V28	5	2	0.707	0.000	0.913	2.000	2
V29	5	0.4	0.894	2.236	0.913	5.000	2
V30	5	3.2	0.447	2.236	0.913	5.000	2
V31	5	3.2	0.837	-0.512	0.913	-0.612	2
V32	5	3	1.000	-0.000	0.913	-3.000	2
V33	5	3.4	0.548	0.609	0.913	-3.333	2
V34	5	0.6	0.894	1.258	0.913	0.312	2
V35	5	3.4	0.894	-1.258	0.913	0.313	2
V36	5	3.2	0.837	-0.512	0.913	-0.612	2
V37	5	3.2	0.447	2.236	0.913	5.000	2