

**A NORMATIVE LEADERSHIP MODEL TO GUIDE ORGANISATIONAL  
TRANSFORMATION OF PUBLIC INSTITUTIONS OF HIGHER  
LEARNING IN NAMIBIA**

**A DISSERTATION SUBMITTED IN PARTIAL FULFILMENT  
OF THE REQUIREMENTS FOR THE DEGREE OF  
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## ABSTRACT

The context for this study are the National Development Plans 2, 3, and 4. These are five yearly plans to implement and achieve the objectives and aspirations of Namibia's long-term vision for development, Vision 2030 (launched in 2004). Vision 2030 focuses on eight themes to realise the Namibia's long-term vision and the Harambee Prosperity Plan for Namibia (launched in 2016) sets out the vision of radically improved socio-economic conditions in Namibia. The focus of the study is on these two public institutions of higher learning in Namibia, namely the University of Namibia and the Namibia University of Science and Technology that have embarked on many transformational processes, but do not live up to the expectations vested in them by the Government of Republic of Namibia. The purpose of the study is to discover the perceptions of senior management, academic cadre, governing councils and Student Representatives on these councils on leadership at the two institutions and what factors might support or prevent successful organisational transformation. Various leadership styles are discussed in detail.

This study uses a mixed method approach and opts for purposive sampling. The population for this study covers senior, middle and lower management levels of the academic cadre and other relevant informants at both Universities and respondents were the Vice Chancellors, Pro-Vice Chancellors, all Deans and Heads of Department, as well as members of the governing councils and representatives of the Student Representative Councils.

The data reveals that the leaders at these two institutions should be business-minded leaders who could lead and manage the limited resources. They should embrace

ethical principles, be good listeners, trustworthy and caring for all stakeholders. Furthermore, leaders should have an inclusive approach towards decision-making and an open and inclusive communication approach towards all stakeholders. Such qualities in the most senior academic leaders would enable a successful organisational transformation process at the University of Namibia and Namibia University of Science and Technology that would contribute to the realisation of Vision 2030 for Namibia and Harambee Prosperity Plan for Namibia.

Four recommendations are made, namely that leaders at these public institutions of higher learning in Namibia should uphold leadership practices conducive to organisational transformation; leaders should embrace a transformational leadership style; leaders should streamline inclusive decision-making practices to ensure stakeholders take ownership and that the normative leadership model, based on a transformational leadership style, is the most appropriate and should be implemented to guide organisational transformation at the two public tertiary education institutions.

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## **DEFINITIONS OF KEY CONCEPTS USED IN THIS STUDY**

**Academic staff:** Staff appointed at a university primarily for teaching and research (University of Namibia, Statutes and Regulations of 2013 and Namibia University of Science and Technology Statutes, Rules and Regulations, 2016).

**Council:** The governance and executive of the University of Namibia vested in the Council (University of Namibia, Act of 1992). The governance and general control and executive power of NUST and all affairs and functions, and the administration of its property vested in the Council (Namibia University of Science and Technology, Act of 2015).

**Deans:** Deans are academics who head a Faculty. The Vice Chancellor appoint deans for a period of four years and are eligible for reappointment (Namibia University of Science and Technology, Statutes and Regulations of 2016). The Vice Chancellor at UNAM appointed deans for a period of 4 years and are eligible for reappointment for only one subsequent consecutive term (University of Namibia, Statutes and Regulations, of 2013).

**Executive Management:** The executive management refers to the top management personnel who are responsible for the day-to-day running of these institutions of higher learning. For UNAM the executive management include the Vice Chancellor, three Pro Vice-Chancellor, the Bursar, the Registrar and the Chief Librarian (University of Namibia, Act of 1992). The executive management of NUST consists of the Vice Chancellor, the two Pro Vice-Chancellor and the Registrar (Namibia University of Science and Technology, Act of 2016).

**Heads of Departments (HOD)** refers to the academic lower management who is in charge of the academic departments at institutions of higher learning appointed by the Vice-Chancellor (Namibia University of Science and Technology, Statutes, Rules and Regulations of 2016). The Heads of Department at UNAM are appointed by the Vice Chancellor on the recommendations of a selection committee and are eligible for reappointment for only one more consecutive term (University of Namibia, Statutes and Regulations of 2013).

**Vice-Chancellor:** The Vice-Chancellor manages and directs the day-to-day academic, administrative, financial, personnel and other activities and does other things as prescribed in the statutes or as necessary to achieve the objectives of NUST. The term of office is five years at NUST and the person is eligible for re-appointment (Namibia University of Science and Technology Statutes, Rules and Regulations of 2016). At UNAM the Vice Chancellor is the chief academic and administrative officer. Term of appointment is six years and he/she is eligible for re-appointment (University of Namibia, Statutes and Regulations of 2013).

**Pro/Deputy Vice-Chancellor:** Councils make these appointments. UNAM has three Pro Vice-Chancellors. They head Finance and Administration, Academic Affairs and Innovation and Research (University of Namibia, Statutes and Regulations of 2013). The Council at NUST appoint one or more Pro-Vice-Chancellors to assist the Vice-Chancellor. NUST currently has two Deputy Vice-Chancellors who are in charge of the Administration and Finance, and Academic and Research Affairs, respectively (Namibia University of Science and Technology, Statutes, Rules and Regulations of 2016).

**Public institutions of higher learning.** Institutions of higher learning established by Acts of Parliament (University of Namibia Act of 1992 and the Namibia University of Science and Technology Act of 2015).

**Student Representative Council.** This is a body established by the students of the two universities. The SRC will have a seat and voting rights on the supreme board of the university, the council. The UNAM Act provides for two students to serve on the Council (University of Namibia, Statutes and Regulations of 2013 while the NUST Act (Namibia University of Science and Technology, Statutes, Rules and Regulations of 2016) provides for one member of the SRC to serve on the Council.

**Statutes:** This refers to rules and regulations framed by two Councils (according to the Namibia University of Science and Technology, Act of 2015 and the University of Namibia, Act of 1992).

**Senate:** The academic governance and quality assurance, organising and superintendence of teaching, including assessment and learning, community and engagement and research are vested in the Senate (Namibia University of Science and Technology, Statutes, Rules and Regulations of 2016. Whilst at UNAM the organisation and superintendence of instruction, examination, lecturers, classes, curricula and research are vested in the Senate (University of Namibia, Statutes and Regulations of 2013).

**Stakeholders of the institutions of higher learning:** The internal stakeholders are stakeholders inside an institution like management, shareholders, and staff. While

the external stakeholders are stakeholders outside an institution for example society, government, competitors, media, etc.

**Polytechnic of Namibia:** The Polytechnic of Namibia Act was promulgated in 1994 and under this the Technicon of Namibia and COST were combined to become the Polytechnic of Namibia. This Act made provision for the gradual phasing out of vocational training courses and gave a mandate to PoN to offer degree programmes in the future.

**The Namibia University of Science and Technology (NUST):** NUST established by the Namibia University of Science and Technology Act of 2015.

**University of Namibia (UNAM):** The University of Namibia Act of 1992 established UNAM.

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## LIST OF ACRONYMS

<b>ATLAS. ti</b>	Archive of Technology, Life world and Language to link it to comprehensive qualitative data archive.
<b>B.Ed</b>	Bachelor of Education
<b>BETD</b>	Basic Education Teaching Diploma
<b>BoN</b>	Bank of Namibia
<b>CeLIM</b>	Centre for e-Learning and Interactive Multimedia
<b>CEO</b>	Chief Executive Officer
<b>CEOs</b>	Chief Executive Officers
<b>CES</b>	Centre for External Studies
<b>CODEL</b>	Centre for Open, Distance, and e-Learning
<b>COLL</b>	Centre for Open and Lifelong Learning
<b>COST</b>	College for Out-of-School Training
<b>DNA</b>	Deoxyribonucleic acid
<b>FNB</b>	First National Bank
<b>GRN</b>	Government of the Republic of Namibia
<b>HP-GSB</b>	Harold Pupkewitz Graduate School of Business
<b>HPP</b>	Harambee Prosperity Plan for Namibia
<b>HOD</b>	Head of Department
<b>HODs</b>	Heads of Department
<b>IT</b>	Information Technology
<b>LMX</b>	Leader-Member-Exchange Theory
<b>MBA</b>	Master of Business Administration
<b>Namdeb</b>	Namibia Diamond Corporation

<b>Namcode</b>	Corporate Governance Code of Namibia
<b>NBS</b>	Namibia Business School
<b>NDP</b>	National Development Plan
<b>NIED</b>	Namibia Institute for Education Development
<b>NQA</b>	Namibia Qualifications Authority
<b>NUST</b>	Namibia University of Science and Technology
<b>PhD</b>	Doctor of Philosophy
<b>PoN</b>	Polytechnic of Namibia
<b>RD</b>	Research and Development
<b>RSA</b>	Republic of South Africa
<b>SOE</b>	State Owned Enterprise
<b>SOEs</b>	State Owned Enterprise's
<b>SRC</b>	Student Representative Council
<b>SPSS</b>	Statistical Package for the Social Sciences.
<b>SWA</b>	South-West Africa
<b>UNAM</b>	University of Namibia
<b>UNESCO</b>	United Nations Educational, Scientific and Cultural Organisation
<b>VDL</b>	Vertical Dyad Linkage Theory

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## **DEDICATION**

I dedicate this work to my mother, Betty Du Plessis, brother, Henry, sister Jacque, brother-in-law, Peter, my sister-in-law, Gerda, nieces Bridene, Candice, Chantell and Meagan, my nephew Ronaldo, my cousin, Elizabeth Theron as well as my dear friends namely, Yvonne Yon, Maria Petersen, Richardine M Poulton-Busler, Pamela J Davids, Rebecca Iyambo, Susan Morkel and Ericah Erasmus for their patience, support, and understanding and above all, their unconditional love.

I do not want to forget my late father, Koot Du Plessis, for his believe of continuous education that he instilled in me. Lastly my dearest friend, the late Dinah C. Steenkamp, who unconditionally believes that I will be called doctor one day.

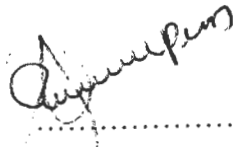
## DECLARATION

I, Davy Julian Du Plessis, hereby declare that this study is my own work and is a true reflection of my research, and that this work, or any part thereof has not been submitted for a degree at any other institution.

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31 August 2018

**Name of Student**

**Signature**

**Date**

## **CHAPTER 1: BACKGROUND OF THE STUDY**

### **1.1 BACKGROUND OF THE STUDY**

This chapter provides an overview of higher education in Namibia. Specific reference are made to the historical background and development of the two public institutions of higher learning in Namibia. The two cases under investigation are the University of Namibia (UNAM) and the Namibia University of Science and Technology (NUST).

In 2006, with the expansion of the higher education market for the previous two decades the question was asked whether “governments can rely on these higher learning institutions to assist them to meet the social and equity objectives of its nation” (Varghese, 2007, p.9). Links and Haimbodi (2011) claim that State Owned Enterprises (SOE’s) such as public institutions of higher learning play a significant role in service delivery, procurement, infrastructure development and employment in Namibia. The performance of institutions of higher learning can, largely, be regarded as an important indicator when assessing the overall health of a country’s economy. The problem statement underlying this study and the research questions to address the statement of the problem are deal with in the succeeding sections together with the importance and the limitations and delimitations of this study. The last section of this chapter covers an overview of the outline of the subsequent chapters. In conclusion, a summary of this chapter and an introduction of the second chapter are given at the end of this chapter.

The historians agree that higher education began at the start of the 13<sup>th</sup> century (Hooker, 1997) while the short history of African institutions of higher learning in contrast, dating back to the 1960s, when most African countries obtained their independence from colonial rule (Eshiwani, 1999). According to Eshiwani, (1999) the challenges facing African institutions of higher learning were twofold. The first challenge was to use higher learning as a vehicle to offer high level training for the citizens of the newly independent countries. To achieve this, institutions of higher learning were force to expand their numbers and the quantity of programmes offered to both address the legacy of colonialism and to provide for the future needs of the independent republics. The second challenge was that the new African institutions of higher learning were expected to learn from the colonial traditions and academia, while responding to the actual problems, needs and expectations of the newly independent countries. The institutions of higher learning in Africa were see as the drivers of economic development in their societies. Although these higher learning institutions made a significant contribution to ensure high-level work force for their country, it is difficult to find real evidence of any contribution made to the development of the African economies, with Namibia as no exception.

The Republic of Namibia became the youngest country in Africa at that time to gain its independence in 1990. Namibia currently has a population of 2.48 million people (IndexMundi, 2017). Namibia is situated in the south-western part of the African continent and is one of the least densely populated countries in Africa, with an average of 2.5 persons per square kilometre (IndexMundi, 2017). The country has 14 different cultural groups and eight indigenous languages with English as the official language (IndexMundi, 2017). Agriculture, mining and tourism are the most

important sectors spearheading the economy of the country (IndexMundi, 2017). According to the World Bank, Namibia Gross National Income per capita was \$ 10 550 (purchasing power parity) (World Bank, 2016). The World Bank, therefore, placed Namibia in the upper-middle income group of countries. However, this failure to take into account the ethnic divide masks the developmental challenges some sections of the population faces.

Prior to independence the population was made up of 87,5% black and 12,5% of other groups (IndexMundi, 2017). The black people of Namibia did not experience the same opportunities as their white counterparts in South West Africa (SWA). Twenty seven years after independence the Government of the Republic of Namibia (GRN) is still struggling to reduce inequality and poverty. Currently Namibia is one of the countries with one of the most unequal wealth distributions in the world, with a Gini coefficient of 0,5971% in 2009/2010 as estimated by World Bank (World Bank, 2016).

## **1.2 ORIENTATION OF THIS STUDY**

Namibia was initially a colony of Germany (1885-1915) and then a colony of the government of the Republic of South Africa (RSA) until 1990, before it became independent on 21 March 1990 after a protracted liberation struggle (1966-1989) (IndexMundi, 2017)

Opportunities to obtain higher learning prior to 1979/1980 for the then people of SWA were only available in the RSA or abroad. The duration of primary education

in Namibia is seven years and secondary education is five years. Today primary and secondary education are fully funded by GRN in public schools (Namibia Broadcasting Corporation, 2017). Students who qualify and want to pursue higher learning qualify for grants from the GRN for tertiary education, locally and internationally under the following conditions: prospective students should qualify for admission at a higher learning tertiary institution with a minimum of 25 credit points in their five best subjects (including English) in their grade 12 year final examination or qualify under mature age entry scheme and prove that their parents/guardians' source of income does not exceed \$54 945.80 per annum (Namibia Students Financial Assistance Fund, 2017).

The GRN since independence in 1990, spends between 20 to 33% of its National Budget on Education (Republic of Namibia, 2015). The fact that the largest percentage of the national budget is allocated to education underlines the GRN's vision to reduce illiteracy and inequality. The fundamental question is: Does the lion's share of the National Budget, 27 years after independence, earmarked to education by the GRN deliver the desired results?

From independence in 1990 until 2015 Namibia's education at primary, secondary and tertiary education came under The Ministry of Education (Education Act of 2001). In 2016 the Ministry of Education was divided into two ministries: The Ministry of Education and The Ministry of Higher Education, Innovation and Training. The Ministry of Education supervises primary and secondary education (grade 1 to 12) whilst tertiary education and vocational training were placed under the jurisdiction of the Ministry of Higher Education (Higher Education Act of 2003).

In the early 1980's the Academy, as the first higher learning institution in Namibia, was established (Academy for Tertiary Education Act of 1980). The courses offered by the Academy were limited to teacher training and secretarial courses only. In 1985, another act of the Academy (Academy for Tertiary Education Act of 1985) was published to authorise the Academy to establish a university, a Technicon and a College for Out-of-School Training (COST). Education, Science, Nursing, Social Science and Commerce degrees and diplomas were offered by the University component. The Technicon component offered 17 diplomas and various certificate courses. The diplomas and certificates offered included the following disciplines: Agriculture and Nature Conservation, Personnel Management, Public Administration, Cost Accounting, Secretarial Training and Communication and Legal Training. COST offered 13 certificates in commercial, technical, educational and general qualifications (Keyter, 2002).

After the independence of Namibia in March 1990, the Presidential Commission on Higher Education (known as the Turner Report) recommended that those three institutions established under the umbrella of the Academy for Tertiary Education be abolished and that two independent institutions of higher learning to be established (Keyter, 2002). The two institutions of higher learning were UNAM and the Polytechnic of Namibia (PoN). UNAM came into existence in 1992 by virtue of the University of Namibia Act of 1992. The other two components of the Academy for Tertiary Education, namely the Technicon and COST, remained and were placed under the oversight of UNAM (Keyter, 2002). In 1994, the Polytechnic of Namibia Act of 1994 was proclaimed by virtue of which the Technicon of Namibia and COST became Polytechnic of Namibia (PoN) (Polytechnic of Namibia Act of 1994). This

act provided for the gradual phasing out of vocational training courses and gave PoN the mandate to offer degree programmes (Polytechnic of Namibia Act of 1994).

### **1. 2.1 Historical overview of the University of Namibia**

In August 1992, UNAM was established as an independent public institution of higher learning in Namibia (University of Namibia Act of 1992). UNAM's main campus moved to the campus of the former Windhoek College of Education in Pioneers Park in Windhoek. Prior to independence, the Windhoek College of Education catered for the training of white teachers only. The first Chancellor of the University of Namibia was the Founding President of Namibia. The position is a titular position, which means that the Chancellor is not involved in the day to day functioning of the institution. The current Vice-Chancellor, is the second vice-chancellor since UNAM's establishment in 1992.

The Council according to the University of Namibia Act of 1992 consists of the following members: the Vice-Chancellor, the Pro-Vice-Chancellors, Presidential appointments that may not be more than six, four members from Senate, two members from the alumni, the Permanent Secretaries of the Ministries of Finance and Education, one member of the administrative staff, one person from the City of Windhoek, two non-Namibian residents and two members of the Student Representative Council (SRC) (University of Namibia Act, 1992). The Vice-Chancellor is the Chief Executive Officer (CEO) and is in charge of the academic and administrative affairs of the institution. The Council, according to the University of Namibia Act of 1992, appoints a person or persons as Pro Vice-Chancellors, the Bursar, the Chief Librarian and the Registrar.

The Vision of UNAM is “to be a beacon of excellence and innovation in teaching, research and extension service” and the Mission is “To provide quality higher education through teaching, research and advisory services to our customers with the view to produce productive and competitive human resources capable of driving public and private institutions towards a knowledge-based economy, economic growth and improved quality of life”(University of Namibia, 2017). To ensure that the university upholds its vision and mission it guarantees that its operations are guided by the following qualities professionalism, mutual respect, integrity, transparency, equity and accountability). The institution has shown exponential growth since 1992. The question is whether UNAM upholds the mandate that is embedded in the University of Namibia Act of 1992 and its vision and mission (University of Namibia, 2017).

Since its establishment in 1992, UNAM has shown exponential growth in the number of student enrolment and its staff complement. Table 1.1 below shows the growth in the number of student enrolment and the staff complements for the period 2011 to 2015. Can the significant increase in the numbers of students and staff at UNAM be an indication that this public institution meets the expectations of the GRN and the people of Namibia at large?

Table 1.1: Student Enrolment and Staff Complement 2011-2015: UNAM

	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>
<b>Student Enrolment</b>	16 370	16 846	17 518	19 506	21 012
<b>Staff: Academic</b>	650	704	831	825	893
<b>Staff: Administration and Support</b>	230	614	607	690	725

Source: University of Namibia: Annual Reports 2011 to 2015

This number for administration and support staff excludes the executive management and part-time staff. The executive management consists of seven members, namely the Vice-chancellor, Pro-Vice Chancellor: Academic Affairs, Pro-Vice-Chancellor: Innovation and Research and Development and the Pro-Vice-Chancellor: Administration and Finance, the Bursar, the Registrar and the Chief Librarian. Over the years, UNAM has expanded the number of faculties to eight, namely the Faculties of Agriculture and Natural Resources; Economics and Management Sciences; Education; Engineering and Information Technology; Humanities and Social Sciences; Science; Law; and Health Sciences (University of Namibia, 2017). UNAM offers 44 doctoral degrees, 59 master degrees (University of Namibia, 2017), 58 under-graduate degrees, 27 diplomas, six post graduate degrees and three certificate across the eight faculties (University of Namibia, 2017). Five of the faculties are hosted on the Main Campus in Windhoek. The Faculty of Agriculture and Natural Resources is located at Neudamm outside Windhoek, Engineering and Information Technology is located in Ongwediva in the north of Namibia and the School of Medicine and School of Pharmacy in the Faculty of Health Sciences are located in the grounds of the Windhoek Central Hospital in Windhoek. UNAM has 12 campuses and seven regional centres' across Namibia (University of Namibia, 2017).

Over the years UNAM has expanded its faculties by adding schools to its faculties. In 1999 UNAM joined with the First National Bank (FNB) Foundation and entered into a partnership agreement with the Maastricht School of Management in The Netherlands to offer an Executive Master in Business Administration (MBA) at the Namibian Business School (NBS) at UNAM. NBS was established as an

independent unit at UNAM has been established 1999 in response to the needs of the Namibian market. This partnership was formed because of the demand for executive management training in the Namibian market. First National Bank (FNB) Foundation had the vision and commitment to financially support the programme. This commitment is still ongoing. FNB is one of the founders of the NBS in collaboration with the Bank of Namibia (BoN), Namibia Diamond Corporation (Namdeb Diamond Corporation (Pty) Limited), the Ohlthaver and List Group of Companies and UNAM. The NBS was officially launched on 30 October 2008. NBS is registered at the High Court of Namibia and its executive management is vested in a Board of Trustees. The vision of NBS (Namibian Business School, 2016) is to distinguish the school as a world-class institution. NBS as an African institution at the cutting edge of management education, research, consulting and related services. The mission of NBS is ([www.nbs.edu.na](http://www.nbs.edu.na)) to deliver world-class management education in an African context, to carry out world-class research from an African perspective and to provide world-class consulting in Namibia, Africa and beyond. To uphold its vision and mission, NBS strives to maintain the following values explicitly: integrity, creativity and excellence (Namibia Business School, 2016). The academic operations fall under the jurisdiction of the Faculty of Economics and Management Sciences and NBS offers the following programmes, namely a Post Graduate Diploma in Business Administration, a MBA in Finance, a MBA in Management Strategy and a Doctorate in Business Administration (DBA) (Namibia Business School, 2016).

In June 2008, after five years of intensive dialogue, groundwork and the establishment of partnerships with various stakeholders, the School of Medicine was

established. The curriculum was finalised and approved in 2009 and in 2010, the first 55 students were registered. In 1992, the Department of Nursing was set up and became the School of Nursing in 2010. In 2011, the School of Pharmacy was established. The School of Medicine, School of Nursing and School of Pharmacy fall under the Faculty of Health Sciences. In 2016, the first medical doctors graduated from UNAM's Medical School. The School of Medicine's projection is to establish degree programmes for Dentistry, Medical Laboratory and Rehabilitation Science as from 2011 and postgraduate training from 2015 onwards (University of Namibia, 2017).

UNAM's Senate approved the School of Veterinary Medicine at UNAM in September 2015. The School offers two-degree courses and a Diploma course in Animal Health. Veterinary Medicine School falls under the Faculty of Agriculture and Natural Resources (University of Namibia, 2017).

In 2007, the first military academic programme, a Master of Arts in Security and Strategic Studies was launched at UNAM and hosted by the Faculty of Economics and Management Science. In 2011 the Ministry of Defence in Namibia approached UNAM for the establishment of the Bachelor of Science in Military Science (Honours). The Faculty of Science was requested to develop the curriculum for the programme which led to the establishment of the Department of Military Science. The curriculum for the following programmes (Army, Aeronautical, and Nautical) was approved by Senate in August 2013 and the Department of Military Science was established in January 2014. In 2014 the Senate approved the transformation of the

Department of Military Science into a School of Military Science under the Faculty of Science (University of Namibia, 2017).

UNAM's Centre for External Studies (CES) was established to ensure greater access to higher education and equity for students with various educational backgrounds. (<https://www.unam.edu.na>). Today distance learning is offered through the Centre for Open, Distance and e-Learning (CODEL). CODEL was established in 2016 through an amalgamation between CES and the Centre for eLearning and interactive Multimedia (CeLIM) (<https://www.unam.edu.na>). The programmes for distance higher learning are offered through its regional/ satellite centres in seven towns throughout Namibia (University of Namibia, 2017).

In 2010, the four Namibian Teachers Training Colleges merged with the Faculty of Education at UNAM. These colleges were those at Windhoek, Ongwediva, Caprivi and Rundu. These colleges offered a three-year Basic Education Teaching Diploma (BETD) as well as specialised training in arts and human movement education. In 2010, the merger were welcomed, reported it was long overdue (Magadza, 2010). The merger, however, led to a shortage of teachers because the three year BETD programme was phased out in 2012 and a new four year compulsory Bachelor of Education (B.Ed.) degree was introduced at UNAM. The entry requirements at UNAM for the degree programmes are higher (25 credit points in grade 12 final examination for the best five subjects including English ((University of Namibia, 2017).) than the previous colleges of education in Namibia. The higher admission requirements of UNAM when compared to the colleges, could have contributed to

the lower number of students accepted for the B.Ed programme. This ultimately led to a shortage of teachers in the country (Tjihenuna, 2016).

The main criticism levelled against this merger was that a greater responsibility was placed on the Faculty of Education at UNAM with regard to monitoring and evaluation owing to the increase in staff members and students coming from the four teachers training colleges. However, the merger provided challenges and opportunities for all the stakeholders. The reason for the merger of colleges is that it did not have more than 40 teaching staff with Master's degrees, while only three teaching staff possessed doctoral degrees, which violated the international standards of a staff member holding at least a Master's degree to be able to teach at tertiary level (Magadza, 2010).

According to Magadza (2010), this shortage of doctoral qualifications by staff members had a negative impact on the quality of teachers being trained at these colleges. The benefits for the stakeholders were the harmonisation of approaches, strategies and curricula. Joining a university offers many benefits to the staff of the colleges, including staff development and opportunities to join a larger academic community. Students who are training to be teachers stand to benefit the most from the merger because they will obtain more prestigious university qualifications and will graduate with a B.Ed degree. Teachers who are in the possession of basic education teacher diplomas can upgrade their qualifications at UNAM. Students at the campuses of the previous Teacher Training Colleges will also be able to access the more advanced resources of UNAM.

Another concern raised during the consultative meetings between the stakeholders was whether the merger of the four Teachers Training Colleges with UNAM was for the benefit of academic staff or for the benefit of the students at these Teachers-Training Colleges. The first challenge was to co-ordinate the institutional cultures and administrative systems of the colleges with that of UNAM. A second challenge was to deal with uncertainties among college academics who feared that their careers might be at risk. Another challenge raised was how to incorporate the student leadership and governance issues of the colleges and UNAM and how the various SRCs' of the various colleges would be incorporated into the larger student leadership structure of UNAM. The move resulted in many potential teacher students not meeting the entry requirements because of the stricter UNAM admission requirements. Many argue that this has contributed to the current teacher shortage in Namibia.

Tjihenua (2016), reported that the Dean of Education at UNAM stated that since the merger, the number of lecturing staff with Master's degrees had increased to 98 while those holding doctorate holders were then 10. This number keeps increasing every year owing to the strict policy of UNAM which requires that all former college teaching staff must meet minimum qualification requirements within a reasonable time. The Dean added that UNAM in conjunction with other stakeholders such as the Namibia Institute for Education Development (NIED) and United Nations Educational, Scientific and Cultural Organisation have developed a Diploma in Junior Primary Education in response to an official request from the Minister of Education to the Vice Chancellor of UNAM that was implemented in 2015 (Tjihenua, 2016).

### **1.2.2 Historical overview of the Namibia University of Science and Technology**

The former campus of the Academy of Tertiary Education in the suburb of Windhoek West became the Main Campus of PoN in 1992 and the first rector was appointed on 4 August 1995 (Namibia University of Science and Technology, 2017). The first meeting of PoN's Council was held on 10 August 1995. This event accelerated and completed the delink of the two institutions of higher education in December 1995. PoN became an independent and autonomous institution in January 1996. PoN held its first graduation ceremony where the Founding President of the GRN delivered the keynote address on 18 April 1996 (Namibia University of Science and Technology, 2017).

At the end of 2012 the GRN issued a number of directives to reform the higher education sector in Namibia. The purpose of these directives was to address the goal of human resource development of Namibians to uphold Vision 2030 (Office of the President, 2004). The purpose of Vision 2030 is to transform Namibia to a service-driven economy by 2030. These directives identified the need for PoN to be transformed to a university of science and technology to offer career-focused and general academic programmes. In early 2015 the then Minister of Education motivated, after national consultation, the transforming of PoN into the NUST (Namwandi, 2015).

The following concerns were raised in opposition to the transformation of PoN to NUST during the national consultation meetings as discussed in the Namibian Parliament (Namwandi, 2015). These six issues were: firstly whether NUST would only be a university that offers higher education in science and technology only;

secondly whether NUST would be a replica of UNAM. The third concern was whether the establishment of NUST would be in the interests of higher education in Namibia and the fourth was whether there were realistic plans in place to achieve the aims and objectives and whether NUST was likely to achieve and maintain the set standards. The fifth concern was whether resources were available to support the transformation of PoN to NUST. The last concern was whether NUST would have the capacity, skills and infrastructure to specialise in science (Namwandi, 2015).

The arguments for the transformation of PoN to NUST were that it would strengthen applied research and improve human resources, skills and knowledge in Namibia. According to the motivational speech delivered in support of this transformation, these concerns can be addressed over time as the process of transformation was set for five years (Namwandi, 2015). The question remains whether the five years set for the transformation of this magnitude was not too short.

The governing body of NUST is vested in its Council, which is the supreme policy-making body. The Senate is responsible for the academic component of the institution, the Vice-Chancellor, its Chief Academic and Administrative officer, and a Students Representative Council. NUST, effective from January 2015, offers the following qualifications: 23 Certificates, 21 Undergraduate and 2 Postgraduate, 22 Diplomas, 43 Bachelor degrees, 11 Professional Bachelor degrees, 27 Bachelor Honours degrees, 15 Master degrees and 3 Doctoral degrees in ninety programmes in fields of study ranging from Computer Science and Informatics, Engineering (Civil, Electrical Power, Electronics and Telecom, Mining and Metallurgy, Industrial) and Architecture to Biomedical Sciences, Environmental Health Sciences, Mathematics

and Statistics, Communication, English, Criminal Justice, Economics, Accounting, Agriculture, Geomatics, Spatial Science, Land Administration and Property Studies (Namibia University of Science and Technology, 2017).

Since the establishment of PoN, now transformed to NUST, the institution has shown a considerable growth in the number of students and staff. The following table reflects the number of students as from 2011 to 2015.

Table 1.2: Student enrolment and staff complement for 2011-2015: NUST

	2011	2012	2013	2014	2015
<b>Student Enrolment</b>	12 965	12 965	13 130	12 946	12 749
<b>Academic Staff</b>	345	370	372	423	486
<b>Administrative and Support staff</b>	378	375	366	406	435

Sources: Polytechnic of Namibia: Annual Reports 2011 to 2015

The number for academic and administrative and support staff exclude part-time staff and consultants. The total number for the executive management is five and is excluded from the above numbers.

NUST expanded its faculties to six since 2015. The Faculties are Computing & Information; Engineering; Health and Applied Science; Human Sciences; Management Sciences; and Natural Resource and Spatial Sciences (Namibia University of Science and Technology, 2017). The institution offers distance higher learning through the College of Life Long Learning (COLL). This distance higher learning is offered via its ten regional centres throughout Namibia (Namibia University of Science and Technology, 2017). The Harold Pupkewitz Graduate School of Business (HP-GSB) at NUST was established in 2011 and named after the

late well-known Namibian business man Harold Pupkewitz. The HP-GSB falls under the auspices of the Faculty of Management Science at NUST. The aim of the HP-GSB is to capitalise on NUST's "contribution to social, intellectual and economic development of Namibia and SADC". Thus the vision of the HP-GSB is: "Being an innovative Business School Competitive with Africa's Best and Educating Leaders for Namibia's Business Advancement". All programmes offered by the HP-GSB promote the development of management expertise coupled with an entrepreneurial spirit, a global outlook, ethical principles and social responsibility. The School offers academic and the executive education programmes from two diverse categories namely: Masters of International Business and Masters of Leadership and Change Management (Namibia University of Science and Technology, 2017).

The Vision of NUST (Namibia University of Science and Technology, 2017) is to be "a premier university of science and technology preparing leaders for the knowledge economy" and the Mission is to be "a responsive university creatively meeting the needs of students, society and the economy through multiple pathways for excellent education, applied research, innovation and service in collaboration with stakeholders". To ensure that NUST supports its vision and mission, NUST undertakes that its operations are characterised by the following values namely: excellence, innovation, collaboration, and accountability.

The two public institutions of higher learning in Namibia embarked on many organisational transformation processes, which could place a huge financial burden on the GRN as the primary funding body of these two institutions. The question is

whether these two institutions meet the expectations held by the GRN and the Namibian people at large?

### 1.2.3 Fundamental differences between the University of Namibia and the Namibia University of Science and Technology

According to the Acts setting up UNAM and NUST (University of Namibia, Act of 1992 and the Namibia University of Science and Technology, Act of 2015) the executive management of UNAM consists of the Vice Chancellor, the Deputy Vice-Chancellors, the Bursar, the Registrar and the Chief Librarian and in contrast the executive management at NUST is made up of the Vice Chancellor, the Deputy Vice-Chancellor and the Registrar only. Table 1.3 below reflects the clear differences in the mandate of UNAM and NUST according to their respective acts.

Table 1.3: Fundamental differences in the mandate of UNAM and NUST

UNAM	NUST
<p>To undertake <i>research</i>, to advance and disseminate knowledge, to provide extension services to encourage the growth and nurturing of cultural expression within the context of the Namibian society.</p> <p>To offer further and continuous education to ensure social and economic development.</p>	<p>To create and advance knowledge through teaching research and scientific investigation, with an emphasis on <b>applied research</b>.</p> <p>To support economic and social development through relevant professional and career-focused higher education with an emphasis on industry involvement. To drive, promote and facilitate technology development and technology transfer and innovation and transmission.</p>

Source: University of Namibia Act of 1992 and Namibia University of Science and Technology Act of 2015.

Table 1.4 below reveals the differences between UNAM and NUST regarding the responsibility for and authorisation of the appointment of staff.

Table 1.4: Responsibilities Regarding the Appointment of Management and Staff at UNAM and NUST

POSITION	UNAM	NUST
Vice Chancellor	It is the responsibility of the Council and this person is appointed for a term of office of <b>six</b> year and is eligible for re-appointment.	It is the responsibility of the Council and this person is appointed for a term of office of <b>five</b> year and is eligible for re-appointment.
Pro Vice-Chancellors	It is the responsibility of the Council. Term of office, powers and functions are determined by Council.	It is the responsibility of the Council. Terms of office, powers and functions are determined by Council.
Bursar	It is the responsibility of the Council.	To be appointed by the Vice-Chancellor.
Chief Librarian	It is the responsibility of the Council.	To be appointed by the Vice-Chancellor.
Registrar	It is the responsibility of the Council.	To be appointed by the Vice-Chancellor.
Academic and Support staff	It is the responsibility of the Council but according to the Statutes the power for appointment is vested in the Vice-Chancellor.	To be appointed by the Vice-Chancellor.

Source: University of Namibia Statutes and Regulations of 2013 and Namibia University of Science and Technology Statutes, Rules and Regulations of 2016.

According to these two Statutes and Regulations the Vice Chancellor, Pro/Deputy Vice-Chancellor, Bursars, Registrars and Chief Librarians can hold office for an unlimited period depending on progress reports to the councils. The appointments for deans and Heads of Department (HODs) at UNAM are for a period of four years

and they may be reappointed for not more than one further uninterrupted period, except in exceptional conditions (University of Namibia, Statutes and Regulations of 2013). According to the Namibia University of Science and Technology, Statutes, Rules and Regulation of 2016 Deans and HODs at NUST are appointed for a period of four years and they are entitled to be reappointed if they performed satisfactorily. The Statutes, Rules and Regulations of NUST is silent on the matter of the number of consecutive periods for which Deans and HODs may be appointed.

### **1.3 STATEMENT OF THE PROBLEM**

Since the independence of Namibia in 1990, the largest percentage of the National Budget of Namibia has been spent on education (Republic of Namibia, 2015). The GRN has set out since independence National Development Plans (NDPs) to guide and direct Namibia towards growth and economic independence. NDP1 1995/1996 to 1999/2000 gave an overview of Namibia and reviewed the progress made during the transitional period after independence, the medium term goals and targets, national development, labour- and employment- and human resource development. (National Planning Commission, 1995). In 2001, NDP 2 was implemented for the period 2001/2002 to 2005/2006. NDP 2 revealed that only 6% of the employees employed had tertiary education and that there was disequilibrium between supply and demand of skilled labour (National Planning Commission, 1999).

During 2004 the Government crafted Vision 2030 (Office of the President, 2004) as a policy framework for long-term national development to reduce the imbalances and to address the task of restoration and development (Keyter, 2002). The aim of

Vision 2030 is to improve the quality of life of all Namibians to be on par with their counterparts in the developed world. The seventh objective of Vision 2030 (Office of the President, 2004, p. 41) is “to accomplish the transformation of Namibia into a knowledge-based highly competitive, industrialised and eco-friendly nation, with sustainable economic growth and a high quality of life”. Ensuring that Namibia becomes a knowledge-based economy places a huge responsibility on the education system and in particular on public institutions of higher learning. To achieve this, the provision of appropriate education at all levels was established as a strategy, NDP 3 and NDP 4 were developed based on the objectives of Vision 2030. Thus, promotion of education should be is a central priority to ensure the success of all the efforts of the GRN to drive Namibia towards being a developed country.

According to NDP 3 (2007/2008 to 2011/2012 (National Planning Commission, 2007, p.175) the following constraints regarding higher learning in Namibia were identified: “minimal co-operation is taking place between institutions of higher learning and industry; lack of a central platform to coordinate research; undersupply of adequate level of scientists; and a shortage of innovation capacity in Namibia. According to the Ministry of Trade and Industry patents registered were 95% from South Africans and only 5% from Namibians”.

The fact that the Namibian education system performs below international standards was highlighted in NDP 4 2012/2013 to 2016/2017 (National Planning Commission Namibia, 2012, p. 45). These concerns were shared by the President, the Prime Minister and the Minister of Education in Namibia. The three areas that contribute to the under performance of the education system can be attributed to the quality of

education, lack of infrastructure and lack of Information Technology at primary, secondary and higher learning level. The lack of quality graduates produced by higher learning institutions and public institutions of higher learning, in particular, hampers Namibia from achieving the aims set out in Vision 2030 (Office of the President, 2004).

The lack of skilled labour coming from institutions of higher learning and public institutions into the Namibian labour market has been a challenge that needs to be addressed owing to the disequilibrium of supply and demand of skilled labour since 2001 (National Planning Commission, 2012). Another concern is that Research and Development (RD) that has not yet been sufficient to drive the country to economic independence. The GRN spent only 0,3% of Gross Domestic Product on RD by the end of 2017 (National Planning Commission, 2012).

To supplement Vision 2030 and the NDPs, the GRN crafted the Harambee Prosperity Plan (HPP) and launched the HPP in 2016 for the period 2016/17-2019/20 (Office of the President, 2016). The main purpose of this plan is to set action plans to fast-track development in priority areas, taking into consideration the dynamic environment in which government and industry operate. The HPP is based on five supporting principles, namely effective governance, economic advancement, social progression, infrastructure development and international relations and cooperation. Effective governance as one pillar of the HPP addresses two explicit areas of governance, namely accountability and transparency and improved performance and service delivery (Office of the President. 2016). According to Transparency International Namibia ranked 4 out of 54 countries in Africa in transparency HPP for 2016 (Office

of the President, 2016). The Mo-Ibrahim Sub Index assesses the delivery of goods and services and policy outcome across 54 African countries (Mo Ibrahim Foundation 2015). The Mo Ibrahim Foundation describes governance as the provision of the political, social and economic public goods and services that every national is entitled to from their government, and that a government has the responsibility to deliver it to its nationals. The Mo Ibrahim measure a country performance in relation to governance through four key components, namely, safety and rule of law; participation and human rights; sustainable economic opportunity and human development. Each of these components have subcomponents with various indicators that are measurable measures of the principal measurements of governance. In total, the Mo Ibrahim consists of 100 indicators. Namibia scored 65 points of accountability according to the Mo-Ibrahim Sub Index (Mo Ibrahim Foundation, 2015). However, this rating is not supported by the HPP, because of poor service delivery and a lack of transparency (Office of the President, 2016).

Taking into consideration the amount of money invested in UNAM and NUST and the many organisational transformation processes they have gone through, is this lack of transparency and service delivery not the reason why leadership at public institutions of higher learning cannot meet the expectations of the GRN and Namibians generally? To uphold its mandate any institution depends on its leadership. An institution's success is determined by effective leadership. The move towards globalisation, the improvements in technology, changing workforce and the changing expectations and values of employees and customers create more challenging contexts in which to lead. To remain competitive and able to cope with the increasing uncertainty in the environment, good and effective leadership at public

institutions of higher learning is no longer an option but a very crucial element for success.

The development of education in Namibia is a central priority to ensure the success of all the efforts of the GRN to steer Namibia towards being a developed country. One of the sectors that play a crucial role to ensure that Vision 2030 is realised is the higher education sector (Office of the President, 2004). To ensure the success of education in Namibia, the education sector and in particular the higher learning institutions should uphold good leadership principles to ensure that Vision 2030 become a reality. Leaders at public institutions of higher learning should uphold effective leadership to guide their institutions to accomplish their visions and missions. Leaders in organisations are the key role players in decision-making and the quality of their decisions will determine whether their organisations will successfully achieve their aims and objectives (Verma, 2005). This study focused on the two public institutions of higher learning in Namibia, namely UNAM and NUST, in order to assess why the objectives set for higher learning, as set out in NDP 2, 3, 4 and Vision 2030, have not been achieved.

The University of Namibia Act of 1992 states that the aim of UNAM is to offer higher learning and to conduct research, while the Act of NUST states that one objective of NUST is to generate and develop knowledge through teaching and in particular through applied research (Namibia University of Science and Technology, Act of 2015). Teaching and research at tertiary level are embedded in the acts of both public institutions of higher learning. The objectives of both public institutions

are set to achieve and support economic and social advancement, through national and international agreements.

Therefore, this study set out to determine what, if any, organisational transformational leadership was employed by UNAM and NUST, which would align these organisations with the goals, as set out by Vision 2030 as well as the resulting National Development Plans. Furthermore, this study then identified the gaps in the current leadership models of the executive structure of both institutions of higher learning, in order to develop a normative leadership model that would bridge these gaps.

#### **1.4 RESEARCH QUESTIONS**

The main research question of this study is: what are the internal perceptions of leadership from the viewpoint of the executive management, middle management and lower management of the academic cadre, the chairpersons and the SRC representatives of councils that might inhibit or excel organisational transformation at public institutions of higher learning within Namibia? With the intention to answer this question, the following sub-questions were posed:

- To what extent do public institutions of higher learning in Namibia comply with leadership practices to drive organisational transformation of public institutions of higher learning to adhere to Vision 2030?

- How does the academic leadership at these two public institutions of higher learning in Namibia view organisational transformation within institutions of higher learning?
- What decision-making power resides at each level of academic leadership that may affect organisational transformation within these two public institutions of higher learning in Namibia?
- Can a normative leadership model guide organisational transformation at these two public institutions of higher learning in Namibia?

## **1.5 SIGNIFICANCE OF THIS STUDY**

In general this study will contribute to the current debate on leadership and its impact on organisational transformation. Since the establishment of both UNAM and NUST, little has been done, according to NDP 2, 3 & 4 and HPP, to meet public and government expectations, taken into consideration the vast resources invested in these institutions. Namibia is one of three countries worldwide that spends the largest percentage of their national budget on education (Katjavivi, 2016).

The significance of this study lies in providing answers to why public institutions fail to live up to the expectations of the people of Namibia. In the foreword of Vision 2030, the Founding President of Namibia, stresses the importance of a high quality education and training system (Office of the President, 2004). This is very important to reduce the backlog in training and education that non-white Namibians received owing to colonialism and apartheid. This is an enormous challenge that cannot be solved in the short or medium term. These inequalities can only be addressed by

various resources including time and a total change in awareness amongst the role players in the economy, particular those who are involved in education, in today's knowledge societies where education contributes to the growth of national and individual income (Bray, 2007).

Vision 2030 aims to transform Namibia to a knowledge-based society; therefore, a huge responsibility rests on the education system and public institutions of higher learning in particular. The quality output of institutions of higher learning can be regarded as an important indicator when assessing the overall health of a country's economy. The backbone of any country's development is education and health. Education, particularly higher learning, will create numerous opportunities for Namibians, the region and Africa at large.

The GRN can gain better insight of leadership required to deal with organisational transformation to accommodate the dynamic environment that public institutions of higher learning face. It can therefore make more informed decisions regarding funding, resources, policies and regulations concerning its public institutions of higher learning.

The councils of UNAM and NUST are the supreme boards here which should appoint executive management, monitor, assess and evaluate the day-to-day operations of the executive management at these institutions. This study can give the councils and the GRN more in-depth understanding on which leadership style(s) are required when recruiting executive and senior management.

Authority such as the International University of Management and Lingua College (Namibia Qualification Authority, 2017).

The current and/or potential employers, like government, the private sector and parastatals were excluded from this study. If the perception of these current and/or potential employers could be assessed, the outcome of this study would most probably be different.

The study only looks at leadership holistically as a dependant variable on organisational transformation of public institutions of higher learning in Namibia. This study excludes factor analysis such as ethnicity, gender and generation composition and African perspective on leadership. This study only samples the councils, executive, middle and lower management of the academic cadre; which may raise the issue of self-perception that may impact the conclusions to be drawn.

The recommendations and findings cannot be generalised to private institutions of higher learning in Namibia. The main concern was the level of trust the researcher can place on the data collected. This concern is derived from the fact that only the Vice-Chancellor and Deputy-Vice-Chancellors: Academic and Research at NUST and the Vice-Chancellor and Pro-Vice-Chancellor for Academic and the Pro Vice Chancellor Innovation, Research and Development at UNAM were sampled from the executive management. The deans as representatives of middle management, who manage academic faculties were sampled. Only the chairpersons of councils were sampled as representing external stakeholders. The representatives from the SRC on Councils were sampled. If all stakeholders, such as the administrative staff, students,

employers or potential employers of graduates and alumni of these two public institutions could be part of the sample of this study, this could potentially change the outcome of this study, as the various stakeholders may have different opinions, thereby changing the analysis and ultimately the conclusions of this study. This study, however, could not sample all the subpopulations because it was impractical and uneconomical.

## **1.7 DELIMITATIONS OF THIS STUDY**

This study only looked at leadership from the perception of the leaders of the academic cadre and the SRC representative and chairpersons of councils of UNAM and NUST and how it impact organisational transformation. The research questions for this study only cover the view of the internal leaders regarding their view of leadership practices, view on transformation, the decision-making process regarding transformation and the opinion on a normative leadership model to drive organisational transformation.

This study confined itself to interview the Vice-Chancellors, chairpersons and SRC representatives of councils and survey questionnaires for the Pro/Deputy Vice-Chancellors, Deans and HODs of UNAM and NUST. The questionnaire employed for the pro vice chancellors, deans and heads of departments had Likert scale questions, tick questions and open ended questions. The purpose of the open ended questions was to give the respondents the opportunity to raise their personal opinion.

The population groups such as, the students, academic staff and support staff, alumni, industry leaders, the Ministry of Higher Education, Training and Innovation, that may impact organisational transformation at these public institutions of higher learning in Namibia, were excluded from this study. The purpose was to restrict the study to elicit the set perceptions from the internal academic cadre and council.

The other variables that may impact the independent variable of this study, namely, organisational transformation was excluded because this study only looked at the view of the internal leaders and how it may impact organisational transformation at UNAM and NUST. These other variables that may impact organisational transformation at UNAM and NUST are, but not limited to, staff turnover, productivity, the dynamic environment, culture and stress.

## **1.8 ORGANISATION OF THIS STUDY**

Chapter one dealt with the orientation of this study, an historical background of these two public institutions of higher learning, the problem statement which underlined this study, the research questions of this study, significance, limitations and delimitations of this study and concluded with an overview of the subsequent chapters of this study.

The second and third chapter deal with the relevant literature that address the research questions. Chapter two examines the difference between leadership and management, leadership development, components of an effective leader, and

leadership at institutions of higher learning. Chapter three addresses organisational transformation under the following headings: what is organisational transformation, the process of organisational transformation, why there is a need for organisational transformation, mistakes made during an organisational transformation process, strategies to ensure a successful organisational transformation process and why institutions of higher learning need to embark on organisational transformation.

Chapter four looks at the methodology and design employed to collect the relevant data and analysis of the data. The fifth chapter gives a detailed presentation, analysis and an interpretation of the data collected. The last chapter covers an in-depth discussion of the findings and a summary of conclusions drawn and recommendations and offer areas for future research and a conclusion for the chapter.

## **1.9 SUMMARY**

In 1980, the Academy for Tertiary Education, the first higher learning institution in Namibia was established. Five years later the Academy for Tertiary Education was divided into a Technicon, a College for Out of School Training (COST) and a University. At independence in 1990 the Report on Higher Education (Turner Report) recommended that two independent institutions of higher learning be established. However only the University of Namibia was established in 1992 by an Act of parliament whilst the other two components were placed under the oversight of UNAM. In 1994, PON was established and the Technicon and COST components were placed under the umbrella of PoN. In 2015 PoN was transformed to NUST.

These two relatively young institutions of higher learning have made significant progress in expansion and development. The question remains whether this progress meets the expectations of their stakeholders. In the later sections of this study, the problem statement and the research questions were addressed. The problem statement resulting from the GRN's National Documents show that these two public institutions have not met the expectations of the GRN or Namibian society, especially when taking into account the significant portion of the national budget spent on them. This study set out four questions to determine the internal perception of the leadership that is in place and its impact on organisational transformation at these two institutions.

These two public institutions of higher learning show exponential growth in terms of increased numbers of students and staff and other developments. However, considering that UNAM and NUST receive a major share of the national budget they do not live up to the expectations of the GRN as set out in the National Documents of Namibia (NDP 2 to 4, Vision 2030 and the HPP).

The significance, limitations and delimitations of this study were also addressed. This study can be a guiding document for executive management and councils of public institutions of higher learning and the GRN in general when dealing with appointments, in particular for executive positions and nominations for council positions at these two institutions. The penultimate section of this chapter gives an outline what the reader may expect to read in the later chapters. Chapter two will review the relevant literature on leadership since this concept serves as the independent variable for the study. The third chapter will address the relevant

empirical evidence regarding the dependent variable for this study, namely organisational transformation.

## CHAPTER 2: LEADERSHIP PERSPECTIVES

### 2.1 INTRODUCTION

“One of the most popular Dilbert comic strips in the cartoon’s history begins with Dilbert’s boss relaying senior leadership’s explanation for the company’s low profits. In response to his boss, Dilbert asks incredulously, “So they’re saying that profits went up because of great leadership and down because of weak economy?” (Bradberry & Greaves, p. 1, 2012). According to this cartoon, leadership is the essential ingredient to the success of any organisation.

In order to develop a normative leadership model to guide organisational transformation at public institutions of higher learning of Namibia, which is the aim of this study, it is of utmost importance to have a thorough understanding of leadership and organisational transformation at institutions of higher learning. To achieve this, an in-depth analysis of literature on this topic is given in this chapter and the subsequent chapter.

This chapter introduces the difference and similarities between leadership and management. It offers a description of the various approaches to leadership; the nature of leadership; the traits and characteristics of a leader; the types and value of various styles of leadership; and the important components of an effective leader. The penultimate section of this chapter looks at leadership and its perception at public institutions of higher learning and the chapter concludes with a summary.

## 2.2 THEORETICAL FRAMEWORK

This study aimed to opt for a leadership style that will enhance effective and efficient organisational transformation to the benefit of all stakeholders. Any institution is headed by the executive management that are responsible for planning, organising, leading and controlling. Today effective management alone is not good enough for the effective running of an institution to the benefit of its various stakeholders and to the success of the institution. To enhance effective management a good leadership style is needed to ensure that all stakeholders benefit.

Institutions of higher learning, globally, should continually transform to keep up with the ever-changing demands from societies. These constantly changing demands stem from the changing needs and wants of society and they become a huge challenge because of limited resources. In the light of all this it was argued that the transformational leadership style was the most applicable style for organisational transformation of public institutions of higher learning in Namibia. This style of leadership helps change to take place within each member of the stakeholder group and looks at new ways of dealing with challenges. Lussier and Achua, (2004) and Yukl, (2006), argue that there are four stages of organisational transformation under organisational transformational leadership:

- Transformational leaders help to bring about changes and organisational transformation because they make a substantial case amongst the stakeholders for organisational transformation.
- Transformational leaders and inspirational leaders inspire a shared vision for organisational transformation by getting broad inputs from all stakeholders.

This will include the shaping of values, and determining strategies that are in line with the new vision guiding the transition.

- Transformational leaders lead the process by installing a feeling of urgency for the organisational transformation amongst the stakeholders. During this stage the self-confidence of the various role-players is boosted and an environment for knowledge creative and sharing is established (Bryant, 2003).
- Transformational leaders help to embed a new culture of organisational transformation amongst all stakeholders by monitoring progress, changing appraisal and award systems and empowering the role players to keep up to the objectives of the organisational transformation.

The subsequent section offers a discussion on management.

### **2.3 CONCEPT MANAGEMENT**

The concept management arose around the turn of the 20<sup>th</sup> century with the dawn of the industrialised society (Northouse, 2016). Northouse (2016) further argues that the purpose for the development on the concept management was to address the chaos in organisations and to make organisations more effective and efficient. The primary functions of management namely planning, organising, leading and controlling was defined by Fayol in the 1916's (Northouse, 2016).

The Dilbert comic strip used as the introductory quote to this chapter is silent about management. Does it mean that leadership and management have similar or different functions in an organisation? The following definitions were offered since the 1990s

by various authors as outlined by Cole & Kelly (2015). Brecht in 1957 refers to management as a collective process consisting of planning, control, coordination and motivation. Management is consequently an operational process initially best dissected by analysing the managerial function. Hellriegel, Jackson and Slocum (2005) claim that management involves certain competencies to ensure the successful fulfilment of the organisation's goals and objectives. These six competencies are communication, planning and administration, teamwork, strategic action, global awareness and self-management. The five essential managerial functions are planning, organising, staffing, directing, leading, and controlling Koontz and O'Donnell in 1984 (Hellriegel, Jackson & Slocum, 2005). These definitions, which have been developed since the early 1900s, indicate a change in importance of the functions of management rather than a change in the principles of management. These definitions also emphasise leadership as a crucial function of management.

Armstrong (2012) states that the aim of management is to accomplish a predetermined plan to achieve certain objectives by principle values that have been established. He further adds that these predetermined strategies are completed via others. Van Zyl and Dalglish (2009) argue that the concept management entails the activities of planning, organising and controlling of the administrative aspects of an organisation. Management entails the managing of resources and activities towards the goal of the organisation (Badenhorst et al., 2003). Cole and Kelly (2015) state that management is concerned with the transformation of resources through input because their definitions refers to the resources and activities involved to convert these resources to achieve the goals of the organisation.

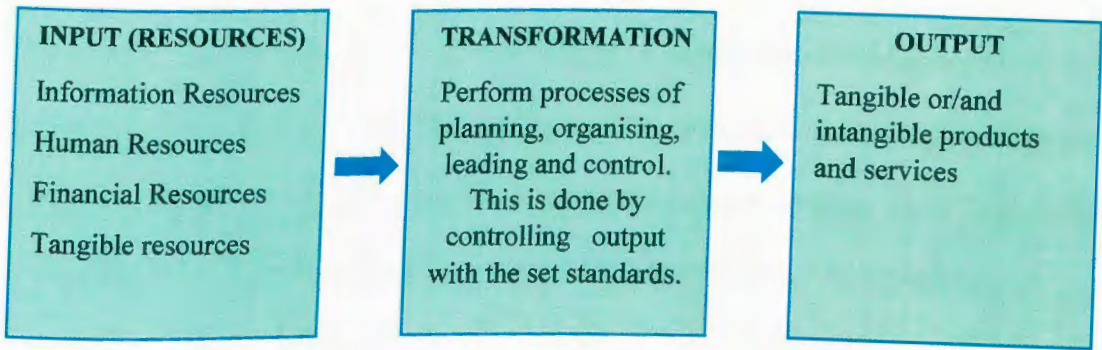


Figure 2.1: Schematic Representation of the Management Function

Source: Cole and Kelly (2015).

Management is the outcome of the hierarchy of organisations. An organisation consists of various levels of management depending on the structure of the organisation. These levels of management are executive, middle and lower management. Griffin (2014) defines management as a set of activities of planning, decision-making, organising, leading and controlling focused at organisational resources with the aim to achieve the organisation's goals in an effective and efficient way. Management refers to the responsibilities and actions of planning, organising, leading and controlling to provide direction to the organisation or a department or unit of an organisation (Hellriegel, Jackson & Slocum, 2005).

The activities of planning, organising, leading and controlling of management occur at the executive, middle and bottom/lower level of management (Griffin, 2014). Hellriegel, Jackson and Slocum (2005) concur with this definition by Griffin (2014) since they argue that executive management sets the overall objectives to ensure that the organisation achieves its objectives. The operations of units/departments rest in the hands of middle management. Hellriegel, Jackson and Slocum (2005) also assert that the objectives of middle management should be in line with that of executive

management. This ensures that the objectives of each level of management should complement each other to avoid conflict and the organisation moving in different directions or no direction at all. Bottom or lower management are more concerned with the operations and the facilitation of employees to accomplish operations.

Cole and Kelly (2015), in contrast, group the main functions of management as planning, organising, motivating and controlling. They state that decision-making is embedded in each of the four management functions. They further argue that management today still has connections to management of decades ago, but owing to the dynamics of the environment, the workplace and market place should continuously adapt to meet the changing demands from the environment. Cole and Kelly (2015) conclude that management has certain roles identified with management positions as offered by Mintzberg (1973). These roles are interpersonal-, informational- and decision-making (Mintzberg, 1973). Badenhorst et al., (2003) state that these roles as identified by Mintzberg (1973) are interdependent. The interpersonal role refers to the role of the representative of the organisation, leading in the various functions of the organisation and maintaining a relationship with the internal and external stakeholders. The informational role includes the role of collector of information from internal staff, various external stakeholders and the environment to make informed decisions. The last role of decision maker refers to the activities of analysing information to make informed decisions.

This study opted for the definitions as set out by Hellriegel, Jackson & Slocum(2005) and Cole & Kelly (2015) because their definitions emphasise all the functions of

management namely planning, organising, leading and control, the competencies of strategic thinking, team work, global awareness and self-management and the roles are interpersonal, informational and decision related. These four competencies are of crucial importance today to ensure sustainability and success of organisations that operates in a dynamic, competitive and global environment. The roles of management show that management should have a relationship with all stakeholders and should have the necessary information to make informed decisions. This study defines management as those people in an organisation who have functions of planning, organising, leading and control of the various resources through proper relationships with the various stakeholders to have the appropriate information to make informed decisions.

## **2.4 CONCEPT LEADERSHIP**

The success of any organisation depends on effective leadership (Yukl, 2006). Day and Antonakis (2012) state that there is a well-known acceptance that leadership is crucial for effective organisational and societal functioning. However, it is easy to identify leadership in practice but difficult to define it exactly (Day & Antonakis, 2012).

Organisations use various resources like information, monetary, tangible and human resources. The ability to effectively manage these resources, particularly the leading of human resources is of crucial importance to the success of an organisation (Yukl, 2006). The largest percentage of an organisation's operational expenses is spent on

its human resources. If these human resources are not harnessed properly they will not perform well and the organisation may deteriorate.

In contrast to the origin of the concept management, the concept leadership can be traced to 384 BC (Northouse, 2016). The following definitions for leadership have been offered in the 20<sup>th</sup> century (Northouse, 2016). Moore in 1927 states that leadership is the capability of the leader to affect the team members to ensure compliance, admiration, devotion and cooperation from the team. In the 1930s leadership was defined as the collaboration of individual's specific personality traits with those of the team, noting that the attitudes and activities of the team members are changed by the leader and vice versa'. In the 1940s leadership was defined 'as the behaviour of an individual while involved in direct group activities (Hemphill, 1949). During the 1950s, the definition of leadership was dominated by three dimensions, namely, a relationship that develops shared goals, effectiveness and continuance of group. Seeman (1960) described leadership as the actions by which an individual endeavours to ensure that other people move in a common direction. The scholars of the 1970s viewed leadership (according to Burns, 1978) as the shared process of organising people with certain motives and values, various economic, political and other resources in a context of competition and conflict, in other words to grasp goals of independently or mutually held by leaders and team members. The authors of the 1980s opted for the following themes, namely, do as the leader wishes, the leaders influence on the group, the leader's traits and organisational transformation. As with the definition of management, there are various definitions of leadership (Northouse, 2016). This study concurs with the definition offered by Burns (1978) given above, when people interact in such a way that this interaction

will advance the levels of motivation and morality of the leader and the team members.

With the dawn of the 20th century, authors offered different views on the concept leadership. Leadership represents the directing of the human resources by bringing the activities of the human resources in line with the pre-established goals and plans of the organisation (Badenhorst et al., 2003). Singh (2015) in contrast, defined leadership as the direction by which one person change the actions, beliefs and outlooks of a group, and provides the path to the team to achieve the desired outcome for the future. In a formal organisation this desired outcome for the future refers to the vision and mission of the organisation. Singh (2015) further argues that to be a leader one should have a vision that can be realised and should have an obligation to the mission and to a responsibility for the realisation of the mission. He adds that other responsibilities of a leader are to oversee the wellbeing of the team, to be a calculated risk taker and to accept acknowledgement for success or failure. DuBrin and Dalglish (2006) state that leaders deal with the interpersonal aspects amongst the team. Leadership, according to Spillane (2006) refers to the actions knitted to the core work of the organisation that are designed by organisational members to positively affect the motivation, understanding and performances of other organisational members. Dlabay, Burrow and Kleindl (2012) define leadership as the ability to motivate and encourage individuals and groups to accomplish important goals to the benefit of all stakeholders of the organisation.

Cole and Kelly (2015) on the other hand, explain leadership as the use of power to persuade and influence fellow employees to achieve the organisational goals. Griffin

(2014) identifies certain types of power that a leader may use to influence his/her followers. These powers are legitimate, reward, coercive, expert and referent power. Legitimate power refers to the power attached to a position, while reward power is the power that a leader may give or withhold to convince the followers to do or not to do a task.

The use of emotional, physical or psychological threats to comply is referred to as coercive power. In contrast referent power is when the leader offers intangible things like charisma, imitation and identification. Expert power results from the knowledge or expertise the leader may possess. These different types of power that a leader may have makes him/her stand out in a group. It is, however, important that the leader should know to what degree and in what way to use this power, to the benefit of the group members and the organisation and thereby ensure that an organisation achieves its vision and mission. The abuse of power by the leader can have serious consequences for the wellbeing of the team and the organisation in general (Griffin, 2014).

The views of Griffin (2014) contrast with those of Cole and Kelly (2015) since he argues that leadership involves the influencing of team members without the use of power. Meanwhile Hellriegel, Jackson and Slocum (2005) define leadership as an influential affiliation between leaders and followers, who strive for real change and results which reflect their shared purposes. Hellriegel, Jackson and Slocum (2005) further argue that leadership involves three aspects: namely influence, shared purpose and change. According to them, followers can be influenced by the power of the leader's position, rewards, coercion, expertise and charisma. The second

aspect, shared purposes, refers to shared goals of the leader and the followers that will ensure that common goals will be achieved. The third aspect of leadership means that change is an integral part of leadership. Northouse (2016) defines leadership as a process by which an individual influences a group to achieve a common goal. Erasmus, Strydom and Rudansky-Kloppers (2016) view leadership from a managerial perspective. They regard leadership as a process to influence followers to work voluntarily towards the achievement of the organisational objectives. Since the 1900s, many attempts have been made to define leadership, as outlined above.

However, two key characteristics of leadership come to the fore, namely a vision from the leader and the involvement of team members. This study accepts the following definition as proposed by Burns (1978) that leadership is displayed when people voluntarily interact with one another via continuous, effective communication and transformation, because of the dynamics of the environment, to achieve the goals of the internal and external group members as well as that of the organisation as a whole.

The question arises as to whether there is a difference between leadership and a leader or is a leader an element or component of leadership. Northouse (2016) states that leadership is a process whereby a single person inspires a group to achieve a collective objective. Northouse (2016) further argues that a process implies that a single person, the leader, affects and is affected by the team members. Webb (2014) lists the following differences between leadership and a leader as reflected in table 2.1 on page 46.

Table 2.1: Differences between Leadership and a Leader

<b>Leadership</b>	<b>Leader</b>
To cast a vision	To be visionary
To organise people towards an objective	To be influential
To observe market trends	To anticipate change or transformation
To teach on inspiring others	To be inspirational
To teach other the right things	To set an example how to determine the right things
To solve problems	To recognise opportunities
To have an organisational role	To have spiritual authority
To make decisions	To be a wise decision maker

Source: Webb (2014)

Leadership refers to the position in the organisational chart while a leader's position has nothing to do with the position in the organisational chart. This study opted to expand on the definition of Hellriegel, Jackson & Slocum (2005), Dlabay, Burrow & Kleindl (2012), Erasmus, Strydom & Rudansky-Kloppers (2016) because power is detached from the position of the concept leadership. A leader can do this by social influence to gain voluntarily participation of the group members (Nanjundeswaraswamy & Swarmy, 2014).

What is Leadership? Various researchers have conducted numerous studies and all tend to disagree on what leadership is. The scholars, however, do agree that leadership involves the following aspects, namely influencing other members of a team or organisation, and helping a team or organisation to achieve its goal(s).

If leadership is considered as one of the most essential components to effectively deal with the various economic and social issues in society, where does management fit in an organisation? Does management become redundant in today's dynamic environment or does leadership replace management? The function of management is normally based on short-term achievements and the position of managers is to achieve in a setting of formal employment. Leaders, on the other hand, can be very much informal and we find them in all levels in an organisation or society. Examples of such an informal leader are a union representative for the employees and a community leader. The most outstanding characteristic of a good leader is that they are future oriented. Not all managers are leaders and not all leaders are managers. The ideal situation would be a manager in a formal organisation who has all the qualities of a good leader. This will ensure that organisations can flourish and stay competitive in today's dynamic world. Managers are needed to get the day-to-day work done, while leaders are needed for inspiring co-workers and setting the long-term direction for their organisations to achieve their goals. Owing to globalisation, improvements in technology, changing workforce and the changing expectations and values of employees and customers, effective leadership now needs to be placed within the correct context of the environment, to remain competitive and able to cope with increasing uncertainty (Northouse, 2016).

Northouse (2016) states that there are similarities between leadership and management. He argues that both leadership and management involve influence on team members. Both management and leadership work with people and are concerned with the effective accomplishments of the goals and objectives set for the

organisation. Table 2.2 below differentiate between the focus areas of management and leadership.

Table 2.2: Differences between the Focus Areas of Management and Leadership

Management	Leadership
Exercises the daily functions of planning and budgeting. Due to authority of the position, the leader organising, directing and controlling staff direct.	Motivates team members to complete tasks voluntarily: This is done via inspiring team members.
Monitors and implements plans.	Motivates and inspires team members to implement plans.
Does repetitive tasks correctly.	Leaders do the right things.
Managers are administrators and focus on systems.	Innovators.
Accepts the status quo and is comfortable with routine.	Leaders challenge the status quo and are comfortable with change.
Provides structures, systems and consistency, within a short term period. Focuses on the strategy, systems and resources of the organisation.	Initiates change and has a long term vision. Focuses on the purpose, processes, style and values of the organisation.
Follows a transactional style.	Follows an organisational transformational style.

Source: Kotter (2012) and Amos, Pearse, Ristow and Ristow (2016)

## 2.5 LEADERSHIP FRAMEWORKS

Whether one leads a team at work, captain a sports team or lead an organisation which leadership approach is best? Consciously or subconsciously, one will probably use some combination of leadership styles. There are many different frameworks that have shaped the current understanding of leadership, and many of these have their place, just as long as they are used appropriately. This section looks at some of the most common frameworks, and then consider popular styles of leadership. Many industries and workplaces today are characterised by the diversity of their work force. The work force differs in terms of age, experience, cultural background and mind set (Baldock 2014). This places a huge responsibility on leaders, to effectively lead people when there is so much diversity. Each individual in an organisation is unique and requires an individual approach to get the best out of him/her to benefit the organisation and realise its vision.

Leadership has developed over time with four broad paradigms (Avery, 2005), namely Classical (Antiquity-1970), Transactional (1970-mid 1980s), Visionary (Mid 1980s-2000) and Organic (2000 to date). Classical leadership is based on the leader's position and power. A high form of control by the leader and the team members are followed because of fear or out of respect. In contrast, transactional leadership is based on influencing the followers. This is done by some degree of consultation to achieve short term goals or outcomes. In essence, transactional leaders 'manage' their subordinates, for example they help them achieve their performance goals by linking job performance to rewards and ensuring they have the resources needed to get the job done.

A leadership approach is a method for providing direction to study leadership. It can be from the viewpoint of traits, behaviour or skills. Leadership theory, in contrast, is a discipline that focuses on finding out what makes successful leaders better in what they do (Roberson & Myers 2016). The primary distinction between leadership theory and leadership style is that leadership style falls inclusive under the umbrella of leadership theory (Northouse, 2016). In other words, leadership style is one of many examples covered under leadership theory. Leadership style focuses specifically on the traits and behaviours of leaders. Over the years many theoretical approaches have been developed to explain the complexity of the leadership process (Northouse, 2016).

This study on leadership can be classified under four perspectives namely, the leader's perspective, the team members and circumstances' perspective or from the interaction between the leader and their team members, and the new prototype (Northouse, 2016). The prototype leadership styles refer to the new leadership models, which give more consideration to the appealing and operational elements of leadership (Bryman, 1992). These four perspectives are reflected in table 2.3 on page 51.

Table 2.3: Leadership Approaches from the Perspectives of the Leader, Team Members and the Circumstances, the Relationship between the Leader and the Team Members and the New Prototype

From the Perspective of the:	Approach
The Leader	Trait approach
	Skills approach
	Style Approach
The team members and the circumstances	Situational Leadership:
	Contingency Theory
	Path-Goal Theory
The relationship between the leader and the team member	Leader-Member Exchange Theory
New Prototype	Psychodynamic Approach
	Servant Leadership
	Authentic Leadership
	Team leadership
	Transformational Leadership

Source: Northouse (2016)

### 2.5.1 Leadership from the perspective of the leader

Leadership approaches can be defined from the perspective of the leader. Three approaches of leadership are identified, namely, the trait, skills and style approaches (Northouse, 2016). Griffin (2014) refers to the trait and behaviour approaches as generic approaches. According to trait approach, leadership is analysed on the basis of personal, psychological and physical characteristics (Griffin, 2014).

Table 2.4 below represents the different characteristics attributed to leaders by researcher since the 20<sup>th</sup> century.

Table 2.4 : Leaders' Characteristics

Stogdill (1948)	Mann (1959)	Stogdill (1974)	Lord De Vader and Alliger (1988)	Kirkpatrick and Locke (1991)	Zaccaro, Kemp and Bader (2004)
		Achievement	Intelligence	Drive	Cognitive abilities
		Persistence	Masculinity	Motivation	Extraversion
		Insight	Dominance	Integrity	Conscientiousness
Intelligence	Intelligence	Initiatives		Confidence	Emotional stability
Alertness	Masculine	Self-confidence		Cognitive ability	Openness
Insight	Adjustments	Responsibility		Task knowledge	Agreeableness
Responsibility	Dominance	Cooperativeness			Motivation
Initiatives	Extraversion	Tolerance			Social intelligence
Persistence	Conservatism	Influence			Self-monitoring
Self-confidence		Sociability			Emotional intelligence
Sociability					Problem-solving

Source: Zaccaro, Kemp and Bader (2004)

Studies conducted by various authors as listed above, outline the main characteristics of leaders. The following traits are deemed to be the most important ones for an

individual to possess to be perceived as a leader according to the trait approach (Northouse, 2016). These traits are intelligence, integrity, self-confidence, determination, and sociability (Northouse, 2016). These traits are perceived as inherent and in general fixed (Northouse, 2016). This means that a leader cannot easily acquire these traits through training or education. The trait perspective seeks to identify a set of abilities, values, personality traits and other characteristics that make the leader successful. These traits according to Williams (2006) refer to the following qualities, namely, intelligence, honesty, integrity, self-confidence, determination, integrity and sociability.

The skill approach in contrast to the trait approach focuses on the skills and abilities of the leader (Northouse, 2016). These skills and capabilities can be acquired or enhanced through training and development. This is based on behaviour theory. Singh (2015) states that people are not born leaders and that leadership skills can be acquired by training. According to Katz (2009) the behaviour approach to leadership was fundamentally studied from the perspective of the development of skills instead of inherent skills as in the trait approach. These three skills (Katz, 2009) are technical, human and conceptual skills. Technical skills refer to a specific expertise or aptitude in a specific type of work. These include the proficiencies, analytical capability and the skill to use appropriate tools and techniques. These technical skills are very important when one wants to be accepted as a leader in an industry like engineering. Human skills are skills a leader needs in order to work with team members, peers and superiors to achieve the goals of the organisation. These human skills are crucial in any situation where leadership is required. The ability to work with ideas is essential to create an organisation's visions and to develop strategies to

achieve the vision, and this is referred to as conceptual skills. These are of utmost importance for top leaders like a CEO.

In contrast, the style approach emphasises the behaviour of leaders. This refers to what leaders do, how they do it and the actions of the leader regarding the task and the relationship with their team members (Northouse, 2016). The most popular studies on the style approach were conducted at the Ohio State University in 1964, University of Michigan in 1978 and by Blake and Mouton in 1985. The approach can be used in most organisations, because it focuses on the task and the relationship of the leader with the team members (Northouse, 2016). This theory of leadership is based on the contingency model (Hellriegel, Jackson & Slocum, 2005). According to Williams (2006) leaders should adjust their leadership style to the preparedness of their team members. Preparedness in this context refers to the ability and willingness of the team members to take responsibility. Two types of preparedness of team members are the people orientated/ relations orientated/ supportive style and the task-orientated style. This style of leadership is more concerned with the organising, supporting and the development of team members (Northouse, 2016). The advantage of this style of leadership is that it encourages teamwork and creative collaboration. The disadvantage is that the successful completion of the task becomes secondary (Williams, 2006). The task-orientated leadership style of leadership is totally the opposite of the people-orientated style. This type of leader is task-orientated, focuses only on getting the task completed, and ignores the well-being of the team members (Williams, 2006). These type of leaders put structures in place, plan, organise and control to get the task done. Such task-orientated leaders can suffer from difficulties

in motivating and retaining their staff. The consequences are high staff turnover and a demotivated workforce.

### **2.5.2 Leadership from the perspective of the team members**

The following leadership theories examine leadership from the viewpoint of the team members and the situation where leadership is needed. This section briefly distinguishes between the following three leadership approach theories (Northouse, 2016) namely situational, contingency and path-goal.

Hersey and Blanchard originally developed the situational approach during the 1960s. This approach assumes that leadership behaviour changes along with the situation the leader comes across (Northouse, 2016). Northouse (2016) claims that leadership is a combination of both command and compassion and that each element has to be applied appropriately in a given situation. In essence, this approach requires that leaders match their style to the commitment and competencies of their followers. Singh (2015) asserts that situational leadership is the consequence of the situation. He further states that an effective leader evaluates a situation critically and uses a leadership style that is suitable for the situation, is flexible and has the ability to influence and change a situation. These capabilities are of utmost importance for leaders of organisations owing to the dynamic environments in which leaders operate.

As a leader-match theory, the contingency theory, tries to match the leader to appropriate situations. This theory is based on Fiedler and Garcia's work in the 1960s and 1980s (Northouse, 2016). This theory was developed by the study of

organisations, primarily in military organisations. The leaders were studied by Fiedler and his team by observing the leaders' leadership styles, the situations in which they work and whether these leaders were effective (Northouse, 2016). Northouse (2016) further comments by scrutinising the styles of leadership as displayed by leaders they could determine which leadership style were good and which styles of leadership were bad for a specified situation. Fiedler (1964) and his team were able to make empirically grounded generalisations of leadership styles in organisations.

In contrast the path-goal theory is based on the works of Evans and other scholars such as House and House and Dessler in the 1970s (Northouse, 2016). Williams (2006) states that path-goal leadership behaviour theory emphasises the team members' satisfaction and performances at work are achieved by clarifying the paths to goals and the types and numbers of rewards available when goals are achieved. The main goal in this type of leadership approach is employee motivation. Williams (2006) distinguished between four leadership styles that are path-goal orientated. The first type is the directive leadership style which applies when clear consistent guidelines are set for completion of tasks, performances and standards. This type of leader ensures that team members follow set procedures. Participative leadership, as the second type, is when the final decisions rests with the leader. The leader, however, invites team members' to make contributions. This involvement of team members not only increases job satisfaction, but it also helps to develop people's skills. This style of leadership ensures that team members' work effectively because their inputs are considered important (Pride, Hughes & Kapoor, 2012). Team members feel in control of their own destiny, so they are motivated to work hard by

more than just a financial reward. Williams (2006) also maintains that the advantage of this style of leadership is that team members, because of their participation in decisions, are more dedicated. One of the drawbacks of this leadership style is that input of the team members can take time, which may lead to the situation where final decisions taking longer because of the various channels and inputs that are required for this style. Another drawback may be that those team members whose input is not considered, may feel left out. The overall advantage of this style is that the final decision is more acceptable to all stakeholders, because they were involved in the decision-making process. The style is most suitable when working as a team is essential, and when quality is more important than speed for delivery or productivity (Williams, 2006).

### **2.5.3 Leadership from the perspective of the leader and the situation**

This approach of leadership is a leader-match theory meaning the effectiveness of the leader to lead depends on how well the leader's style matches the situation where leadership is provided (Northouse, 2016). The contingency approach was developed by the pioneer researchers Fiedler (1964), Fiedler & Chemers (1974) and Fiedler & Garcia (1987). Singh (2015) states that the contingency approach assumes that the ability of a leader to lead depends on situational factors such as the leader's preferred leadership style, abilities and engagement of the team members. A leader with these abilities can effectively lead today's organisational diverse workforce which consists of people with different skills, experiences, capabilities and personalities (Northouse, 2016).

All the three theories agree that the way leaders behave towards their followers depends on the situation (Northouse, 2016). However, the only difference between the three theories is that Fiedler's contingency theory assumes that leadership style is resistant to change, while the other two theories state that leaders are capable of adapting according to the situation (Williams, 2006).

#### **2.5.4 Leadership from the perspective of the leader and the team members**

The Leader-Member exchange theory (LMX) considers leadership from the perspective of relationships between the leader and the team members. The previous approaches and theories are based on how the leaders act towards their followers. The LMX theory was developed through two perspectives, namely the vertical dyad linkage (VDL) and the leader-member exchange (LMX). The VDL theory stipulates that leaders practise vertical relationships with each team member. They found that this perpendicular relationship is built on expanded and negotiated roles and responsibilities. These negotiated roles and responsibilities are referred to as the people in-group and a staff member with a formal employment contract (defined responsibilities) is referred to as the out-group. The group in which team members are classified depends on how well they work with the leader and how well the leader cooperates with them. Danseraue, Graen and Hage (1975) state that personality and other personal characteristics are attributes that determine whether a team member is part of the in-group or the out-group. If a team member is part of the out-group he/she can negotiate with the leader to do more than his/her formal job description and thus becomes part of the in-group which in return will mean that the leader will offer more rewards to that team member. Team members in the in-group will receive more information, confidence and more concern from their leader. Also the team

members in the in-group will receive more desirable tasks, more attention and support from the leader, greater participation and better career progress over the years (Graen & Uhl Bien, 1995). The LMX theory shifts the focus area of the VDL theory. While the VDL theory focuses predominantly on the nature of the difference between the in-group and the out-group the LMX focuses on the positive effect of the relationship for the leader, team members, the team and the organisation at large. This focus shift of the LMX theory, assuming a high quality relationship, reduce staff turnover, brings about more positive performance evaluation, and higher possibilities of promotion, better job attitudes, and greater organisational commitment (Graen & Uhl Bien, 1995). To ensure this the leader should establish a special relationship with each team member and avoid favouritism among team members.

### **2.5.5 New leadership paradigms**

This new leadership paradigm approach has been the focus area of leadership since the 1980s (Northouse, 2016). This leadership paradigm shift can be attributed to the admission of the generation Y, people born in the 1980s and 1990s, to the labour market and globalisation (Northouse, 2016). Burgoyne, Beech and Roe (2013) argue that a need for ethical, spiritual and authentic leadership approaches came to the forefront because of economic conditions during the global recession starting in 2008. Northouse (2016) asserts that the five approaches were developed owing to the demand for a paradigm shift to cope with the new demands from leadership. These five approaches are the psychodynamic approach, servant leadership approach, authentic leadership approach, culture leadership approach, and transformational leadership approach (Northouse, 2016).

members first and develops them to reach their maximum personal potential. Servant leaders are ethical and this can advance their team members, their organisation and society. Servant leaders prioritise the wellbeing and improvement of the emotional healing of their followers, behave ethically, help team members to grow and succeed, empower their team members and create value for the community (Liden, Pannacio, Meuser, Hu & Wayne (2014).

One of the major criticisms, according to Northouse (2016) and this study is the name of the approach, because the name servant leadership distracts one from the real value of this type of leadership. This is because it perceives the leader as a follower which is contradictory to the idea of leading. Some scholars' regard servant leadership as a trait of a leader, but this study agrees with Northouse (2016) that servant leadership is a behaviour. Perry and Wise (1990) distinguish between two types of leadership namely descriptive and normative public services leadership. According to Perry and Wise (1990) the normative public service motivation is a desire to serve public interest, loyalty to duty, government at large and social equity. An example is a staff member or manager that is chosen to represent other staff members at disciplinary hearings and to represent employees at union level. On the other hand, descriptive public service motivation is defined as an individual's tendency to react to motives grounded mainly or exclusively in public institutions (Perry & Wise 1990).

As stated in the introduction to this section a call for a leadership approach that is genuine and real is needed. It is worth noting that this leadership approach, namely, authentic leadership, is still at a foundational stage and is likely to change as new

research is published; it is, however, worth noting this leadership approach (Northouse, 2016). Currently there is not a universal definition because authors define this leadership approach from different viewpoints and emphasises (Chan, 2005). These viewpoints are intrapersonal, interpersonal and developmental perspectives. From an intrapersonal viewpoint Shamir and Eilam (2005) define authentic leaders as leaders who lead with conviction and originality. From an interpersonal process, authentic leaders are viewed as those who develop a relationship with the team members (Eagly, 2005). In contrast, the developmental perspective sees authentic leadership (Walumbwa, Aviola, Gardner, Wernsing & Peterson, 2008) as one that can be cherished in a leader over a lifetime and can be activated by major life events such as a new career. Walumbwa, Aviola, Gardner, Wernsing and Peterson (2008) further argue that authentic leaders should have mastered four components, namely self-awareness, an internalised moral perspective, balanced processing and a relational transparency. Self-awareness refers to the leader having a true understanding of him/herself, while an internalised moral principle refers to the extent that leaders follow their own hearts rather than being impacted by others or the situation. The leader should take into account the opinions of those who will be affected by the decisions and this is referred to as balanced processing. Relational transparency refers to the honest showing and sharing of emotions and feelings by the leader. This will open the channels for the team members to share their own emotions, feelings and opinions.

In the 1960s and 1970s organisational development researchers looked at developing team and leadership effectiveness. This research was triggered by competition from Japan and other countries that stressed quality, benchmarking and continuous

improvement (Northouse, 2016). During the 1990s teams focused on quality which became a global concern and organisational development concentrated on strategies to deal with sustainable competitive advantage. Team leadership involves the creation of a bright picture of the future, where the team is heading and what the team will stand for. The vision inspires and provides a strong sense of purpose and direction. Team leadership is about working with the hearts and minds of all those involved (Kogler Hill, 2013). Team leadership provides a road to help leaders diagnose team problems and take mitigating actions to correct these problems. The Hill's Model, proposed that a leader's job is to monitor teams and to take all necessary actions to ensure team effectiveness (Kogler Hill, 2013).

According to Barge (1996), a leader needs to behave flexibly and have a wide range of skills and actions to meet the diverse needs of the team. In the team leadership approach, the leadership is based on solving team problems by analysing the internal and external environment and selecting the most appropriate action to ensure team effectiveness. Team leadership may fail because of poor leadership or lack of leadership qualities in the leader (Northouse, 2016). Since World War II, globalisation has increased which means that people across the globe have become more interconnected (Northouse, 2016). This phenomenon impacts the composition of the workforce and students of educational institutions in particular. This change calls for greater competencies amongst leaders regarding cross cultural awareness and practices. Cross-Cultural leadership is needed when the team or workforce is made up of people from diverse cultures. Adler and Bartholomew (1992) maintain that global leaders need to develop five cross cultural competencies. These five cross cultural competencies are the following: firstly leaders need to understand

business, political and cultural environments globally. Secondly leaders need to acquaint themselves about the taste, preferences and technologies of other cultures globally. Thirdly leaders need to work with cultures globally. Fourthly leaders should learn to communicate and live with other cultures and finally leaders should learn to relate to people of other cultures on the basis of equality and not of superiority. This leadership style has to become a way to recognise front runners in leadership (Northouse, 2016). Leaders of organisations, particularly of institutions of higher learning, that globally advertise and attract students and academics, need to effectively adjust their leadership style to work in different cultural environments.

Northouse (2016) argues that the most popular approach to leadership since the 1980s is the transformational leadership approach. The term 'transformational leadership' was first invented by Downton (1973). The following reasons support the argument in favour of the popularity of this leadership approach:

- This approach gives more attention to the charismatic and effective element of leadership (Bryman, 1992);
- This approach enhances intrinsic motivation and team members' development (Bass & Riggio, 2006);
- This approach is concerned with emotions, ethical standards, long term goals, assessment and fulfilment of team member's needs, and treating team members as human beings (Northouse, 2016); and
- The name 'transformation' implies changing and transforming people (Northouse, 2016).

Since the development of this approach to leadership many scholars suggest definitions for the term 'transformational leadership'. Bass (1998) describes transformational leaders as leaders who inspire their teams to perform beyond expectations by inducing their teams' higher order needs. Bass (1998) also adds that transformational leaders are change agents. These leaders change the beliefs, attitudes and motivation of their team members through an emotional relationship. Hellriegel, Jackson and Slocum (2005) argue that the most determinant characteristic of transformational leadership is the ability to create a vision that binds people together to generate a new future. Kinicki and Kreitner (2008) and Noorshahi, Yamani and Sarkhabi (2008) concur with Bass (1998) that transformational leaders act as change agents and in addition empower inherent motivation amongst their team members, establish a new image of the future and create a pledge amongst the team members regarding the new image of the future.

Roe (2014) defines transformational leadership as the practise to advance the team members who subsequently advance their organisations to realise the organisational vision. Garcia-Morales, Jimenez-Barrionuevo and Gutierrez- Gutierrez (2012) see transformational leadership as the style of leadership that enhances the realisation of shared interests amongst the organisational team members and helps them to achieve their common goals. Liang, Chang, Lin and Chih-Wei (2017), in contrast describe transformational leaders as leaders who build respect and confidence amongst their team members through individual concern for team members by effectively communicating the vision for the organisation and encouraging the team members to change their mind set from individual gain to pursuing the organisation's vision.

All authors who endeavoured to define transformational leadership agree that this particular leadership style is characterised by four features, as identified by previous researchers (Bass, 1985), (Bass & Avolio, 1994), (Dionne, Yammarino, William & Spangler, 2004), (Schneider & George, 2011), (Guay, 2013), (Choi, Goh, Adam & Tan, 2016) and (Lajole, Boudrias, Rousseau & Brunelle, 2017). These four features are idealised influence, inspirational motivation, intellectual stimulation and an individual consideration. Idealised influence and inspiration motivation can ensure that team members perform above expectations. Svendsen and Joensson (2016) state that this empowering and inspiring of the team members means that they work to achieve the goals of the organisation. Scandura and Williams (2004) maintain that a clear vision and inspiration of transformational leaders can act as catalysts for transformation amongst team members. Intellectual stimulation used by transformational leaders challenges the team members' ordinary way of doing things and inspires new innovative ways of working and problem solving. The last characteristic, namely individual consideration, refers to when leaders empower their team members by harmonising the goals of the team members, leader and the organisation at large. This characteristic of a transformational leader refers to the fact that the leader is a good listener who gives the team members the opportunity to express their criticisms and recommendations without fear (Svendsen & Joensson, 2016).

This study agrees with Clegg, Kornberger and Pitsis (2011) who assert that transformational leadership is the most appropriate leadership style for a transformation process. The reasons are that transformational leaders have the visionary component, have staying power and provide energy and support during a

transformation process, while charismatic leadership lacks that. Williams, (2006) in addition explains that this type of leader creates responsiveness and approval amongst followers for the group mission beyond their own desires and self-centred wishes for the benefit of the group. Williams (2006) also argues that transformational leaders are charismatic, ethical, trustworthy, thoughtful, considerate and confident. These leaders are ethical and thus win the trust of their followers. As change agents they are innovative and welcome criticism and suggestions. The goals and objectives of the organisation are clearly communicated to the team members who know exactly what is expected from them and how their contributions contribute to the final project or task/decision and to the vision of the organisation at large. A clearly communicated vision, which has values which are esteemed by team members promises a better future for those team members.

A transformational leader sets an example that team members can identify with and a role model with whom they can also identify positively. This type of leader expects the best from the team implying that the leader trusts his followers and has faith in their capabilities. This motivates the followers to do their best because the leader believes in their capabilities. Leaders who make use of this style of leadership motivate and encourage their followers to do the best. If the follower loses interest in the task or cannot complete it because of a lack of knowledge this type of leader will continue to support and encourage the follower. This type of leader creates and establishes support networks for the followers. The team members will know at any given time where to go for the necessary assistance and guidance. The transformational leader recognises worthwhile contributions from team members and acknowledges a task successfully completed.

This acknowledgement by the leaders satisfies one of the basic needs of team members, namely recognition. Such a leader provides stimulating work, and this is done by rotating, enlarging and enriching of the task. More responsibilities are added to give the team member a sense of achievement and higher level satisfaction of responsibility. The leader helps team members to see beyond their self-interests and focusses more on team interests and needs. Team cohesion is encouraged by a transformational leader and that makes the individual team member a better team player. A transformation leader focusses on encouragements and concentrate on the strength of team members (Clegg, Kornberger & Pitsis, 2011). This type of leaders are exceptionally motivating, and they bring encourage trust amongst their team members. Transformational leadership suits many circumstances in business; however, one needs to remember that there may be situations where it is not the best style. In some cases, goals are derived by a process that involves intensive participation among all of the members of the unit. In other cases, objectives are established by the leader who then “sells” these objectives to most members of the organisation. No matter how they are determined, it is important that goals are clearly expressed and communicated by the leader and supported by the team members. This aspect of leadership is especially important when the organisation is undergoing a significant organisational transformation in either direction or management style, sometimes brought on by external forces, and sometimes by internal circumstances. The criticisms against this approach are that it covers so many abilities and characteristics that a theoretical definition cannot be given. A second criticism is that the idealised influence, inspirational motivation, intellectual stimulation and individualised consideration are very highly correlated which mean they are not separate factors (Tejenda, Scandura & Pillai, 2001). The third criticism

is that transformational leadership is a trait which will be challenging to teach leaders (Bryman, 1992).

According to Antonakis (2012), there is empirical evidence that transformational leadership enhances positive outcomes; however, there is no empirical evidence that there is a pivotal link between transformational leadership and changes in team members. The penultimate criticism is that transformational leadership gives the impression that leaders act independently, though this criticism is contested by Avolio (1999). Avolio (1999) maintains that transformational leaders can be directive, participative, democratic or authoritarian. The final criticism (Northouse 2016) is that in this approach leaders may abuse their power because they set the direction to be followed. The question is whether the vision set by the leader who dictates the direction is good and upholds the core values of the team. These criticisms may be eliminated if the transformational leader upholds strong ethical principles and has the best interest of the team and society at heart the strong points of the transformational leadership approach may reduce or even eliminate the criticisms raised against it (Northouse, 2016).

The question is whether transformational leaders can be trained? Inam (2011) suggests a five-step approach to develop transformational leaders. The first phase entails that the leader has to make a decision to become a transformational leader. This means the leader has to escape from the routine to experience work with greater responsiveness. In the second step the leader should become more aware of his/her purpose. This action will ensure that the leader will become more involved in his/her work. This can assist the leader to have a broader understanding of the

organisation's mission and of the team. Step three involves the clarity of the core values of the organisation. This step involves the trust that leaders should instil amongst their team members. A lack of trust or limited trust amongst team members is today the biggest concern in most organisations.

A key trait of transformational leaders is their unbelievable ability as change agents. This will urge the leader to become an invaluable change agents to encourage their team members to become active team members in the transformation process. The last step is when leaders attract and encourage team members around them, which is a key trait of a transformational leaders. Their positive attitude is transmitted to others, because leaders see people as individuals, each with their own needs and capabilities (Iman, 2011). Finally, it is important to be realistic. That means leaders should consider resources at their disposal. These resources include the human, financial, information and tangible resources. A strategic plan that is too complex has a much lower success rate than one with a few goals. It is recommended not to have more than three major objectives for a year. The reasons are twofold. Resources are limited and needed to be budgeted for, normally on an annual basis. The second reason is that when one has too many objectives it may be impossible to achieve all of them (Inam, 2011).

Transactional leaders on the other hand, focus on getting things done within the umbrella of the status quo (Clegg, Kornberger & Pitsis, 2011). These three researchers define transactional leadership as the leader who upholds all the management functions, knows how to award or withhold rewards and reprimands and abides by the policies, values and vision of the organisation. This type of leader

is production and task-oriented. Transactional leadership involves a series of exchanges between leaders and team members. In this type of leadership, the leader and team members come together in a relationship that advances the interests of both, but there is no deep or enduring link between them. They are simply self-interested participants in an exchange process (Clegg, Kornberger & Pitsis, 2011).

Owing to changes in demands and the dynamics of the environment the following leadership issues become a necessity. The situation determines which leadership style is most appropriate. To keep the organisation going a transactional leadership style is required, but to create a vision and stimulate a transformation a more charismatic leadership style is needed to foster and manage an organisational transformation process (Clegg, Kornberger & Pitsis, 2011).

Raza (2010), Riggio (2014) and Griffin (2014) identify the following emerging approaches of leadership to deal with changes in the environment. These very "mechanical" situational theories dominated leadership development and training for decades. However, in the last 20 years, a new way of thinking about leadership has developed an approach that views leadership as extremely complex and is much more focused on the team members. Strategic leadership is one that involves a leader who is essentially the head of an organisation. The strategic leader is not limited to those at the top of the organisation. Such a leader is directed to a wider audience at all levels and he/she wants to create a high performance life, team or organisation.

The strategic leader fills the gap between the need for new possibility and the need for practicality by providing a prescriptive set of habits. An effective strategic leadership style delivers the goods in terms of what an organisation naturally expects from its leadership in times of change. Fifty five percent of this leadership normally involves strategic thinking. The successful leader is able to engage and motivate followers. There is shared, or at least consultative, decision making and followers are empowered to take on responsibility and act independently. This can only be achieved through effective communication (Riggio, 2014).

## **2.6 EXTREME LEADERSHIP STYLES**

This section looks at the three most extreme leadership styles, based on the study of leadership styles conducted in 1939 by Kurt Lewin. He was in charge of a group of researchers to identify different styles of leadership. These early studies stand the test of time, because these studies lead to the establishment of the four major leadership styles, namely autocratic, democratic, laissez-faire and bureaucratic.

Autocratic leadership is an extreme form of transactional leadership, where leaders have absolute power over their team members. Decisions are made confidently without employee inputs (Pride, Hughes & Kapoor, 2012). Staff and team members have little opportunity to make suggestions, even if these would be in the team's or the organisation's best interest. Most people tend to resent being treated like this. Therefore, autocratic leadership often leads to high levels of absenteeism and staff turnover. However, for some routine and unskilled jobs, the style can remain effective because the advantage of control may outweigh the disadvantages.

In a democratic leadership style the followers are involved in the decision making process. Unlike autocratic leadership, this leadership is based on team members' contributions. The democratic leader holds final responsibility, but he or she is known to delegate authority to other people, who determine work projects (Pride, Hughes & Kapoor, 2012).

The laissez-faire leadership style follows a low control and minimum direction and interference (Pride, Hughes & Kapoor, 2012). This style of leadership is applicable to situations where the subordinates are well motivated and highly trained. Another requirement for this style of leadership is that the leader should trust and respect their followers unconditionally. This type of leadership style has been consistently found to be the least satisfying and least effective leadership style in many circumstances in an organisation.

Bureaucratic leaders lead by rules and regulations (Pride, Hughes & Kapoor, 2012). This types of leaders follow rules rigorously, and ensure that their staff follow procedures precisely. This is an appropriate style for work involving serious safety risks (such as working with machinery, with toxic substances, or at dangerous heights) or where large sums of money are involved (such as handling cash). The style may be appropriate in the two cases mentioned, but in other environments it may have a severe negative impact on group cohesiveness, because of a lack of participation in decision-making and fear amongst the group members.

## 2.7 COMPONENTS, SKILLS AND TRAITS OF AN EFFECTIVE LEADER

A large number of articles have been written from different perspectives on the skills, traits and components that make an effective leader. Weiss and Kolberg (2003) suggest that leaders should have the following four competencies. Table 2.5 below shows these four competencies and the strategies to achieve these competencies.

Table 2 5: Competencies Required for Leadership and Strategies to Develop These Competencies

<p><b>PERSONAL EFFECTIVENESS</b>  <b>Strategies to develop personal effectiveness:</b>            Self-awareness            Courage            Achieving results through others            Self-control</p>	<p><b>COMMUNICATION</b>  <b>Strategies to develop communication:</b>            Interpersonal sensitivity            Impact and influence            Political awareness</p>
<p><b>MANAGAGING OTHERS</b>  <b>Strategies to manage others:</b>            Providing direction            Developing organisational talents            Teamwork</p>	<p><b>THINKING</b>  <b>Strategies to develop thinking:</b>            Strategic thinking            Integrity</p>

Source: Weiss and Kolberg (2003)

Bradberry and Greaves (2012) contend that the core leadership skills are those skills that promote people in leadership positions. These core skills of leadership are strategy, action and results. Strategy is to anticipate the future, spot trends and the actions/plans that one should execute to maximise successes and to reduce risk. These skills are of utmost important in today's dynamic environment. Where leaders lack these skills, organisations will not survive (Bradberry & Greaves, 2012). An

effective strategy requires a vision, acumen, proper planning and courage to lead. A fantastic idea without proper action or delayed action means nothing. To ensure that timely action is taken the following is required: multiple options based on input from various stakeholders via effective communication. This communication channel should be characterised by open, free and easily flow of information, upwards and downwards and vice versa in an organisation. The last requirement is to mobilise others through motivation and influence to achieve results. The third component, results, require calculated risk taking and focus on results. A crucial element of leadership is emotional intelligence. Moreover, effective leaders recognise the individual strengths and needs of team members in order to allow each team member to maximise his/her potential. This can be achieved through decision making and the empowering of followers. Often speed of action is critical, so followers need to be empowered to act without direction from the leader. In today's knowledge-based world, a leader cannot hope to lead alone. In all likelihood, team members have more accumulated awareness or access to knowledge about the team or organisation's purpose than does the leader, so it makes sense to share the responsibility. This can mean that team members take ownership of actions/ consequences (Bradberry & Greaves, 2012).

Daniel Goleman in 1996 was the first published author on the topic of emotional intelligence which was based on the previous work of Salavoy, Mayer, Boyle, Mathews and Saklofske (Goleman, 1996). Hellriegel, Jackson and Slocum (2005) define emotional intelligence as an art that leaders have to understand their own and their team members' feelings and emotions to determine their thoughts and activities. They state that the skill of emotional intelligence develops over time. Goleman

(1996) defines emotional intelligence as comprising four areas. These four areas are the leader should know their own emotions, the leader should be able to manage their own emotions, should motivate themselves by organising their emotions and identifying and managing emotions in their team members in order to handle and maintain relationships. Goleman (1996) further states that emotionally intelligent leaders perform better when compared to leaders who do not have emotional intelligence. Emotionally intelligent leaders are more committed to their organisations than leaders who lack emotional intelligence (Abrahamson, 2000)

Mayer and Salovey (1997) developed a model for emotional intelligence that consists of four components: perceiving, use, understanding and managing of emotions. The perceiving of emotions refers to the ability to recognise emotions in others by assessment of their face, voice and nonverbal signs. The use of emotions refers to the use of emotions to help with decision-making. The third element is to understand emotions and this entails understanding the expansion and progression of emotional states in others as a key to being able to manage relationships. The management of emotions means the person should have a new approach to responding to others, based on the previous assessment of their emotions.

Earley (2015) suggests the following four components to ensure that leaders become effective, namely, embeddedness in a culture of honesty, integrity, trustworthiness and transparency. A lack of these ethical principles will mean that organisations or teams will not succeed or survive in the long run. These ethical principles should flow from top management down to all levels in the organisation. If the leader acts honestly and with integrity and is trustworthy the followers will see and take it as the

acceptable behaviour. To be transparent means the leader should share the good as well as the bad things with the team members and this will include all those stakeholders that have an interest in the organisation.

Leader's according to Earley (2015) should understand their own strengths and weaknesses and admit their shortcomings. This is an indication of a leader's humility and humanises the leader. This also means that a leader should seek and welcome feedback and criticism. For leaders to be effective, they should trust that their followers will do their jobs and provide them with the resources to do so. This means that the leader should have empathy and a care for the followers. The third element of an effective leader is that the leader should be vision-driven (Earley, 2015). Leaders should see the broader picture and not only focus on specific tasks and initiatives. This requires an eye on the vision.

Other components of effective leaders are to know their potential customers, competitive weaknesses and the organisational value propositions (Earley, 2015). Leaders should have confidence in themselves and their ideas. This will allow them to convince their team members about their ideas. It is important that this confidence is not perceived by the team members as arrogant or intimidating. To be an effective communicator as leader means that the leader should be inspirational and convincing (Earley, 2015). It is important that communication should take place at the grassroots level to ensure that team members buy-in.

Effective communication goes hand in hand with being positive and optimistic, irrespective how bad the news or situation might be. Another characteristic of an

effective leader, is that he/she should be a good team builder (Earley, 2015). This includes, most significantly, the skill to attract top skilled and talented team members for the organisation. An effective leader should ensure that the organisation attracts members with excellent skills and talents to the benefit of all stakeholders and the organisation at large. A leader that strives for effectiveness should act as facilitator to generate discussion and consensus. Effective leaders regularly and publicly acknowledge others for contributions made rather themselves. If praise is given when due, team members accept criticism better and can learn from it (Early, 2015). For example, a study conducted by Kirkpatrick and Locke (1991) suggested that effective leaders have a high need for success. This vision of success must be embedded in the vision for the organisation. Secondly, leaders have a need for authority and control so that they can influence and motivate others to achieve organisational goals. Thirdly, leaders should have integrity and observe sound ethical principles. Leaders must tell the truth and keep their word to build trust with their followers. This can only be achieved if the leaders act ethically under all circumstances. If this trust relationship amongst the leader and the team members is broken, it can have a detrimental effect on all the stakeholders of the organisation and the organisation as a whole.

Another trait of leaders is that they need to be sure of themselves or at least show that they are. This does not mean that leaders should be arrogant and give the impression that they know everything. Above-average intelligence is a pre-requisite to be an effective leader. Leaders do not have to be excessively intelligent. In addition leaders should have an in-depth knowledge and understanding of the organisation and in particular what the stakeholders expect from the organisation. Leaders should

be continuously up to date about internal and external factors that can impact the organisation. This is important to capitalise on any opportunities or to mitigate any threats. Lastly, a leader should have high emotional intelligence, have great social skills and be able to manage their emotions well (Kirkpatrick & Locke, 1991).

## **2.8 LEADERSHIP FUNCTIONS**

Leadership is an art requiring a mix of technical, conceptual, and human talents. That means the leader should have a combination of technical knowledge, a vision of the future and human talents to effectively lead other people. Kotter (2012) has identified three critical leadership functions. Firstly a leader should have a vision for the future, often the distant future, and strategies for producing the changes needed to achieve that vision. Then this vision should be communicated continuously to all the stakeholders, to ensure that this vision is embedded in the culture of the individual and the organisation as a whole.

The second function, according to Kotter (2012) is effective communication of the direction by words and deeds to all whose cooperation may be needed, to influence the creation of teams and coalitions that understand the vision and strategies and accept their validity. If all the stakeholders are not on board regarding the direction they should follow, the task of leading people can become very difficult and the vision for the team or group will never be achieved. Thirdly and last leaders should motivate and inspire their team members to overcome major political, bureaucratic and resource barriers to change by satisfying very basic, but often unfulfilled, human needs. To fulfil this function as a leader means that leaders should believe in

themselves selves unconditionally that the barriers mentioned can be overcome and that they are but stepping stones to achieve the ultimate vision of the group (Kotter, 2012).

Leadership as a function of management gives the leader certain powers and responsibilities (Erasmus, Strydom & Rudansky-Kloppers, 2016). Because of the authority of the leader's position he/she may command and demand certain actions to ensure the objectives of the organisation are achieved. The power attached to a formal position can be used by the leader to enforce action from the follower to ensure that the objectives of the organisation are met. This formal position places a responsibility on the leader to ensure that the organisational objectives are achieved. These responsibilities can be delegated to followers and this means that followers have now the responsibility to complete a task. The powers and the responsibilities attached to a formal position make the leader of an organisation/department or section accountable for the achieving of the objectives of the organisation/department or section.

The question is, if leaders lack these skills, can these skills be acquired? Hellriegel, Jackson and Slocun (2005) recommend that organisations can help to develop leaders through on-the-job training, assessment and training programmes, mentoring and coaching. On-the-job learning can only take place when followers take up tasks that require leadership responsibilities. Organisations should create a conducive environment where team members will be willing to take up these leadership responsibilities. For example, a team leader for a specific project can ask for feedback from the team members or, if not in a formal leadership position, one can

learn from observation of a reputable leader (Hellriegel, Jackson & Slocun 2005). Assessment and training programmes generally evaluate individual leadership style and provide educational programme/survey questionnaires to improve the effectiveness of the individual as leader. Hellriegel, Jackson and Slocun (2005) state that mentoring is regarded more favourably when it is provided from a senior reputable leader inside the organisation as opposed to hiring someone from outside the organisation. Each organisation has a unique culture and someone from inside will be aware of this. Coaching is defined as one-on-one tailored comments and guidance to enhance the leader's performance and the organisation at large.

Clegg, Kornberger and Pitsis (2011) argue that particular transformational leadership skills can be learnt and/or developed by means of mentoring and coaching. Coaching is the process of mounting a person's own knowledge and expertise to improve the job performance. A coach can be an internal or an external person. Mentoring is an old process of development dating back to the ancient Greeks. Mentoring normally takes place between two people, the expert and the student. It can, however, equally apply to an expert and a group (Hellriegel, Jackson & Slocun, 2005). Dubrin (2005) identifies 10 core abilities needed by a leader to become a coach or a mentor. These abilities are as follows:

- To build trust amongst the team member(s);
- to be coached through honesty and sincerity;
- to have empathy with the team member(s) to be coached or mentored;
- to have good listening skills meaning minimum talk (20 % of the time from the coacher or mentor);
- to have a persuasive tactic;

- to be able to assist to set realistic goals and deadlines;
- to set standards to assess performance;
- to give effective feedback;
- to encourage positivity through recognising and awarding performance; and
- to discourage negativity.

The next section looks at the characteristics of an effective leader.

## **2.9 CHARACTERISTICS OF AN EFFECTIVE LEADER**

Which characteristics make a person an effective leader? According to White (2013) an extraordinary leader should have the following characteristics that distinguish them from ordinary leaders or managers. An effective leader should, according to White (2013) has the following seven characteristics; firstly, an exemplary character. A leader must be trustworthy and set an example to lead others. A good leader “walks the talk” and in doing so earns the right to have responsibility for others. True authority is born from respect for the good character and trustworthiness of the person who leads.

Secondly, effective leaders are keen about their work or cause and also about their role as leaders (White, 2013). People will respond more openly to a person of passion and dedication. Leaders need to be able to be sources of inspiration, and be motivator towards the required action or cause. Thirdly, although the responsibilities and roles of a leader may be different, the leader needs to be seen to be part of the team working towards the goal. This kind of leader will not be afraid to work side by side, even the most inferior work. Fourthly, a good leader according to White

(2013) should possess confidence, without being arrogant. In order to lead and set direction a leader needs to appear confident as a person and in the leadership role. This leader inspires confidence in others and draws out the trust and best efforts of the team to complete the task well. A leader who conveys confidence towards the proposed objective inspires the best effort from team members to ultimately ensure that the group or organisation achieve its vision and mission. Fifthly, an effective leader also needs to function in an orderly and purposeful manner in situations of ambiguity (White, 2013). The team members look to the leader during times of uncertainty and unfamiliarity and find reassurance and security when the leader portrays confidence and positive demeanours. An effective leader should be tolerant of ambiguity and remain calm, composed and steadfast to the vision of the organisation (White, 2013). Storms, emotions, and crises come and go and a good leader takes these as part of the journey and keeps a cool head. This is when leaders should portray an above average level of emotional intelligence. Sixthly, another trait of an effective leader is to keep the main goal in focus and is able to think analytically (White, 2013). Not only does an effective leader view a situation as a whole, but is able to break it down into sub parts for closer assessment and into manageable steps to solve it. This makes it possible that short-term wins can be achieved to motivate team members to go on. Lastly, White (2013) states an operative leader is committed to excellence. Second best does not lead to success. The good leader not only maintains high standards, but is also proactive in raising the bar in order to achieve excellence in all areas. Leaders should set examples of high quality work themselves to encourage their team members to shadow.

In contrast, Bryman (2007), argues that the following features have clear implications about how not to lead since they are all likely to cause damage. Failure by the leader to consult with team members would be one such negative trait. This means leaders who take decisions without consulting with their team members. The team members may feel they are not good enough or cannot be trusted to be consulted. A team or an organisation has certain internal cultural values that may be valued by other team members. If a leader takes an action or decision that may be against these internal cultural values, the team members may lose respect for the leader.

When the leader takes an action or decision without considering the effect on the professional relationship amongst team members or between the leader and the team members can lead to negative consequences (Bryman, 2007). These negative consequences may leads to the fact that the interest of those who the leader is responsible for will not be promoted to the detriment of the organisation. Equally important if leaders dominate the contribution of a team member that team member may not feel important and this may lead to a decrease productivity and efficiency.

Bryman (2007) further states that leaders who do not show interest in the wellbeing of their team member's department/unit/organisation, will not be able to lead their team in the desired direction as set out in the vision and mission of their organisation. When leaders are absent minded or are unable to deal with concerns/ issues/ of their team members, irrespective how petty it may be, they may experience a lack of cooperation from the team to the detriment of the organisation's objectives. According to Bryman (2007) each human being needs some level of autonomy. If a

leader takes an action or decision that may undermine the team member's autonomy the team members may lose trust and respect for the leader. A leader who does not care about the progress and prosperity of the division/ department/ organisation can lose the respect of his/her team members too.

## **2.10 ETHICAL LEADERSHIP**

Griffin (2014) states that due to negative media reports about organisations, the executive management had been stunned. This is a matter of urgency that high ethical standards become a necessity for leadership, particular in executive management positions. How can executive management reprimand other members of management, even the lowest rank employees, if they as leaders do not uphold the highest form of ethical principles? That means that leaders must lead by example. Executive leaders should not only uphold high ethical and moral standards, but also should ensure that all the team members adhere to high ethical standards.

The concept of corporate governance gained importance in the 1980s because of failure of some organisations and stock market crashes due to poor governance practices (Francis, 2000). There is not an acceptable universal corporate governance definition because countries differ from each other in terms of culture, legal systems and historical development (Ramon, 2001). The Australian Standard defines corporate governance as the process by which organisations are directed, controlled and held accountable (Wong & Mulili, 2010). Shleifer and Vishny (1997) define it as the ways in which providers of finance assure themselves of a good return on their investment. Sir Adrian Cadbury who chaired the United Kingdom's committee on

the financial aspects of corporate governance provided a bench mark for corporate governance in many countries (Monks & Minow, 1996). The Cadbury Report (Cadbury, 2002) states that good corporate governance must include four key aspects. These four aspects are: a board should have clear responsibilities and its role should be different from the entity's day-to-day management; checks and balances should be established to ensure that no person has autonomous power.

According to the King III Report (Institute of Directors of Southern Africa, 2009) leadership is characterised by the ethical values of responsibility, accountability, fairness and transparency. According to the good governance arrangement, institutions should work to ensure that efficiency, effectiveness and economics are rooted within the management culture. These three elements will permeate all levels in the organisation and its various internal and external stakeholders to the benefit of all.

There should be transparency in directing and controlling the entity and lastly that there should be boards established with executive and non-executive) members. Improved corporate governance can assist in attracting foreign investment (Mathur & Chatterjee, 2003). Adherence to good corporate governance can ensure that private and public institutions of higher learning will attract much needed financing. Lack of proper governance, amongst other, has a meaningful adverse influence on foreign direct investment (Dupasquier & Osakwe 2006). Public institutions of higher learning, in particular, around the world, experience a lack of funding from their government to achieve their mandates. The call for stronger corporate governance models in all organisations will lead to situations where the stakeholders demand

more commitment and accountability to uphold these corporate governance principles.

According to the Corporate Governance Code of Namibia (NamCode) (Namibian Stock Exchange, 2014) the boards, which are the supreme leaders of an organisation, should uphold ethical leadership. That entails having leaders with integrity. According to the NamCode (Namibian Stock Exchange, 2014) the following are the characteristics of responsible leaders who will ensure that the organisation is seen as a responsible entity. Responsible leaders should uphold ethical values, accountability, fairness and transparency. Ethical leaders build sustainable organisations to ensure the economic, social and environmental uplifting of the society in which they operate. To ensure the uplifting role of their business in society, accountable leaders should consider the short term and long-term impact of their personal and institutional decisions on the economy, society and the environment. These accountable leaders operations are ethical and not only because of supervisory requirements. These leaders should uphold a value of personal and organisational ethical appropriateness. Accountable leaders will not compromise the environment and the maintenance and existence of future generations. Leaders with ethical principles will encircle a shared future for all internal and external stakeholders.

The above characteristics of a leader are of crucial importance to ensure that organisations operate for an unforeseen future to the benefit of all its stakeholders and the society. A lack or absence of these ethical principles of a leader who heads

and manages an organisation will lead to the failure of the organisation to the detriment of all stakeholders and society.

## **2.11 FACTORS AFFECTING THE STYLE OF LEADERSHIP**

Over the decades, numerous studies have been conducted on the behaviour and roles of leaders, including topics such as charismatic leadership and transactional leadership (Bass, 1985; Bass & Riggio, 2006). More recently, the focus on leadership research has shifted to transformational leadership, which has an impact not only on organisational performance and task-related role performance, but also a positive impact on employees' attitude and emotional encouragement (Bass & Riggio, 2006). Northouse (2016) asserts that within all these theories, frameworks, and approaches to leadership, there is an underlying message leaders need to have a variety of factors working in their favour. Effective leadership is not simply based on a set of attributes, behaviours, or influences.

Leaders should have a wide range of abilities and approaches that they can draw upon and apply. Factors that influence the style or combination of styles of leadership a leader will use can depend on the following, as identified by Klenke, (2007). The first factor that will determine the style of leadership or combinations of leadership will depend on the type of person the leader is. This incorporates the leader's behaviour and the trust of the team members (Klenke, 2007). Klenke (2007) also maintains that a leader should have the information to make informed decisions or the team members should have similar information. Leaders with a keen strength as a doer know how to make things happen. This is the type of leader who takes a

calculated risk and acts after consulting with the various stakeholders. Leaders with this strength are always selling their teams' ideas and plans within and outside the organisation. This creates a conducive environment for innovative ideas to come to the fore, because the team members know that their leader will sell such ideas to other people. These ideas can be positive or negative influences. Klenke (2007) argues that too often leaders underestimate the power and influence of a certain group of people in the team. This means that when decisions are executed human resource problems may be experienced. These characteristics of a leader increase organisational cohesion, trust and a sense of belonging. As social beings, people want to belong to or be in positive relationships. A sense of belonging is needed to be instilled in each team member and will ensure that the team member will do everything for the team or the leader. Strategic thinking implies that leaders have the strength to keep everyone in the group or organisation on what could be. These are the leaders who encourage and motivate their team member to think about the future. This is of utmost importance in today's dynamic global environment in which organisations operate (Klenke, 2007).

According to Klenke (2007) the second determinant of the style of leadership that will be employed by a leader will depend on the team members. This include the team members' level of knowledge and experience, level of dependency, ability to take responsibility, involvement in the issue/s, level of training and experience of team members and to what extent the leader is confident about the task/issue at hand. Griffin (2014) refers to it as substitutes for leadership. He argues that if team members have the ability, expertise, need for independence and professional orientation it will reduce the behaviour of the leader. The characteristics of the

leadership team also determine the type of leadership the leader will choose. To enhance the trust of the followers in the leader a study conducted by Clifton over a period of 40 years.

Rath and Conchie (2013) concludes that four requirements are needed for a great leadership team. These four requirements are: the time available to complete the task or address the issue/s; the internal culture of the organisation; the level of unity amongst the group; and the level of seriousness of the issue/s. Other factors may be stress, type of task to be completed, policies and procedures in place to accomplish the task or dissolve the conflict (Rath & Conchie, 2013). These factors may individually or in combination dictate the style of leadership a leader will use. The urgency and severity of the task to be completed or conflict that needs to be resolved can determine the style of leadership or the combination of leadership styles that will be effective in the given circumstances. The negative impact of these factors may be limited if there are trust and respect between the leader and the team members and amongst the team members. A good working relationship and effective communication between the leader and the team members are of utmost importance to ensure that the most applicable and effective style of leadership is chosen by the leader.

In addition Bradberry and Greaves (2012) found that adaptive leadership skills are fundamental and set great leaders apart. Adaptive leadership is a unique combination of skills, perspectives and guided effort to make true excellence possible. These combinations are discussed below. Leaders should know how to integrate what their followers think, what they want to hear and how they want to hear it with the

relevant facts. This will let followers feel respected and valued. To effectively make use of these skills leaders should make fair decisions; communicate how the decision was reached to the followers and the effect or impact of them on the followers. True leaders are those leaders who are really concerned about the well-being of their followers. True characteristics of an effective leader are that they are transparent and forthcoming. True leaders earn the respect of their followers because their actions and words are the same. To become a leader the leader should have integrity, credibility and the ability to capitalise on the difference amongst people that will ensure the followers maximum contribution which may leads to achievement of better results (Bradberry & Greaves 2012).

Leaders who are of the opinion that they have nothing more to learn to develop their team members will never know the true hidden potential of their followers (Bradberry & Greaves 2012). To develop and set an example to their followers' leaders should engage themselves in a process of lifelong learning. This will ensure that they will continuously develop their own abilities and will then provide their people with ample opportunities to develop their own abilities and build new skills. This study defines leadership as a process whereby a person influences team members with their free consent, to achieve the goals of the organisation and to the benefit of all stakeholders at large.

## **2.12 STYLE OF LEADERSHIP REQUIRED IN ORGANISATIONS.**

Which style of leadership is needed in organisations that operate in a competitive and dynamic environment? Organisations are forced to adjust or run the risk of losing

their competitive advantage or the worse scenario which is to be pushed out of the market. What then is required from organisations to ensure that they can capitalise on opportunities caused by changing demands? The adjustments of organisations can take various forms like change or transformation. Roe (2014) states that change or transformation consists of three phases: firstly the scrutinising of the environment which encircles the change or transformation and secondly the gathering of alternatives and ideas to address the change or transformation. These two phases require leadership (Roe, 2014).

The implementation of the selected change or transformation plan (phase three) requires management (Rao, 2014). Baldock (2014) asserts that transformational leadership is needed because the generation composition and the diversity of teams have changed. Each team is characterised by Generations. These generations are: Silent and greatest Generation (born 1945 or earlier); Baby Boom (born 1946-1964); Generation X (born 1965-1980); Millennium Generation/ Generation Y (born between 1981-1996) and Post-Millennial Generation/Generation Z (born 1997- later) (The Centre for Generational Kinetics, 2016). This generation's composition of a team includes a combination of two or more generations, each with its unique strengths and weaknesses. To fulfil people's needs, leaders need to identify the needs of their teams and in return ensure that the vision of the organisation is achieved. The world of today can sometimes be depressed because of media and social media information. The environment of a team is important because it acts as an influential factor. A positive leader is vital to attract team members to reduce the impact of a negative environment.

Employees look today for work and higher satisfaction (Baldock, 2014). This is for two reasons. Firstly an appointment in a job is not permanent because of the dynamic nature of the economy. Secondly, Y, born between 1981 - 1996, recently entered adulthood and questions the status quo (Holroyd, 2011). Leaders need to look to fulfilling what their teams are looking for through effective communication. To successfully accomplish the demands of their teams, leaders must look at something new which has not yet been discovered by their teams. Team members want to feel that they are working towards a greater purpose than for just earning an income.

Societies and team members in particular have become much more aware of social justice issues like social issues, environmental protection and protection of minorities (Baldock, 2014). This means that team members are looking for ethical leaders who uphold social justice through ethical actions. Team work and fun in the workplace become important to the team members. This can bind the team and can ultimately ensure that the organisational objectives are achieved. Leaders should ensure that the vision of the organisation is communicated to ensure that everyone shares the vision. A shared vision will ensure that team members will be inspired and driven to accomplish the vision of the team. Team members today need leaders to lead from a place of love and caring because people are vulnerable and in hard times the followers will look up to their leaders for love and support (Baldock, 2014). Some people believe that the new generation is irresponsible and has no values, but it is worth noting that the new generation will inherit what they are taught. The most important issue regarding the new generation is that they are not willing to work towards a lost cause. To ensure success requires from the leader the ability to inspire

commitment, accountability and driven for achievement within the team. To ensure success the leader should use the leader's platform honourably.

### **2.13 LEADERSHIP IN INSTITUTIONS OF HIGHER LEARNING**

Academic leadership can be defined as a pool of duties and functions performed by individuals employed in formal positions of responsibility within institutions of higher learning (Fisher & Koch, 1996; Hecht, Higgerson, Gimelch & Tucker, 1999). Ramsden (1998) describes academic leadership as the talents and characteristics of a person who are accepted by others as academic leaders. In contrast, Trowler (1998) and Taylor (1999) classify all academic staff as academic leaders, because they are seen as experts in their various disciplines.

This study opted to expand on the definition offered by Hecht, Higgerson, Gimelch & Tucker (1999). Ramsden (1998) has developed a model that defines the characteristics that influence effective academic leadership. According to Ramsden (1998), effective academic leadership in higher education is a function of several factors or characteristics. These include: leadership in teaching, leadership in research; strategic vision and networking; collaborative and motivational leadership; fair and efficient management; development and recognition of performance; and interpersonal skills Ramsden (1998) elaborates that teaching leadership refers, for example, to bringing new ideas about teaching to the department or creating excitement about teaching. Research leadership can be evidenced, for example, by inspiring respect as a researcher, or leading by example.

Strategic vision and networking are demonstrated through furthering the interests of the department across the institution of higher learning. Collaborative and motivational leadership is demonstrated among other things by honesty, integrity and openness. Fair and efficient management is evidenced by delegation, highly organised working of the department and getting things done with little resistance. Developing and recognition of performance include aspects such as praising and sustaining success of the departmental staff and giving good feedback to improve. Interpersonal skills refer to communicating well and having concern for others.

To recruit leaders for institutions of higher learning is a challenging task because leaders at institutions of higher learning are not recruited for their leadership qualities, but rather on their research, course development and/or teaching abilities (Hill, 2005). Gayle, Bhoendradatt and White (2003) defined university governance as the structure and the process of authoritative decision-making across issues that are significant for the various stakeholders within a university. Stakeholders are the institutions' employees and students as well as other entities that have a vested interest in these institutions. Abdullah, (2012) refers to corporate governance in institutions of higher learning as the way institutions are managed and structured and the liaison between the stakeholders.

Abdullah, (2012) argue that the following components will ensure institutions are well organised and planned to ensure beneficial relationships and outputs amongst and for all stakeholders. Responsibility and transparency mean that all affairs are conducted in a responsible and transparent manner and consider the requirements that relevant codes and practices may place on them. Committees should be

established to ensure that student affairs are dealt with professionally and with integrity. Efficiency, effectiveness and economics control must be done through effective internal control and vigorous risk management, to the benefit of the institution and the stakeholders at large. Professionalism and integrity must be observed by all staff members to ensure excellent quality graduates from the institution to the benefit of the society and the country at large.

According to Miller and Schiffman (2006) any change or transformation in higher learning institutions requires leadership. Organisational transformation cannot be accomplished by one person working in a vacuum. If we want institutions of higher learning to meet international best practices all the stakeholders input are of utmost importance. A series of reviews over the period 1997 to 2003 from Lambert (2003) have addressed the question whether the structure and process of 'governance' in higher education is fit for modern times. This is a valuable question as functional environments change and pressures on institutional resources have increased drastically over the years. This increased pressure on resources can also be attributed to the increase in student enrolment.

Calderon (2012) asserts that student enrolment at institutions of higher learning globally was 99,4 million in 2000 and is expected to increase to 414.2 million students by 2030. This is of particular importance for public institutions of higher learning that are dependent on government funding. Over the years government responsibilities have increased while their resources have depleted. Governments continuously cut on budgets in order to address sometimes unexpected demands from society. These cuts in resources by governments place a huge responsibility on the

day to day management of public institutions of higher learning to ensure that resources are efficiently allocated.

The generally poor leadership and management of public institutions of higher learning have led to disappointing performances (Yizengaw 2003). Yelder and Codling (2004) recommend a model of leadership within tertiary institutions based on research into expertise and institutional distinctiveness. It builds on two particular styles of institutional development. Firstly, in the traditional university (higher learning) sector, promotion to senior management positions has tended to be based on academic expertise mainly focused on research competence. The result is that senior academic leaders who may not be well matched to perform line or functioning management.

By contrast, in the traditional polytechnic (vocational education and training) sector, promotion to leadership positions has tended to be based more on apparent executive qualities, and the resulting leaders may be more inclined to be good managers without displaying explicit academic leadership (Yelder & Codling, 2004). If public institutions are less dependent on funding from government, then Vice-Chancellors should be appointed more on management, leadership and business principles and experiences. The Vice-Chancellor is responsible only for the overseeing of daily operations and has the Pro/Deputy Vice-Chancellor to assist with the necessary expertise to oversee the academic, administration and finance, and research and innovation activities. As with continuous changes in the environment of any organisation, and at institutions of higher learning in particular, constant changes in

rules, regulations and acts should be made. These changes mean that the inputs of all the stakeholders are of critical importance.

Lozano (2006) mentioned the various organisational barriers to implementing development principles, which include internal power struggles and the radical nature of sustainable development, relative to traditional management approaches. Rytmeister (2007) argues that it is important to examine how members of the governing bodies of public institutions of higher learning understand and perform their roles in the politically multifaceted context of modern-day higher learning. The presence of competing interests, societal expectations and government intervention, which currently beset public institutions of higher learning, place a huge responsibility on leadership at public institutions of higher learning (Rytmeister, 2007).

Hanna (2003) suggested 11 strategic challenges to build a leadership vision in higher learning institutions. These strategic challenges are: removing boundaries, establishing interdisciplinary programmes, supporting entrepreneurial efforts and technology, redesigning and personalising student support services, emphasising connected and lifelong learning, and investing in technological competent faculty members. The last five strategic challenges are building strategic alliances with others, incorporating learning technologies into strategic thinking, measuring programme quality, achieving institutional advantage and the last is to transform bureaucracy, culture and assumptions.

All organisations, including profitable/non-profit and service/traders worldwide need to transform to adapt to the changing and increasing demand from their various stakeholders. If organisations remain with the status quo, the continuous existence of the organisation may be at stake or their reputation or profitability may be diminished significantly. Another challenge that organisations face today, and institutions of higher learning in particular, is the cross cultural interactions caused by globalisation. Klenke (2007) states that this becomes important in relationship practices to deal effectively with the intense growth of intercultural organisations.

Muller (2014) suggests that public institutions of higher learning sector and the government must take two key decisions. The first has to do with what diversity in the system will best produce the optimal results for national innovation. The second is whether it wants one or two world-class universities. Is this still an option for all countries? Najam (2014) argues that since institutions of higher learning globally are faced with limited funding it is then of utmost importance that those governments should ask themselves if their countries really need more than one world class higher education institution. To gain world class institutions status needs funding and to have a sustainable world class institution status requires additional resources.

With regard to organisational transformational leadership and groups Downton, (1973) emphasises the importance of the relationship between leaders and followers in leading effective teamwork-based performance. Bass and Riggio (2006) stress that the popularity of transformational leadership might be due to its emphasis on aspects of inherent member motivation, team member development, and emotional caring in the workplace. Specifically, the behaviour of transformational leaders

include articulating a vision, providing an appropriate business model, encouraging the acceptance of team's goals, holding an expectation of high performance, and providing individualised support and intellectual stimulation. The key element of the transformational leader could be defined as collaboration with followers that is accomplished by raising the level of motivation and morality in the workplace (Burns (1978); Howell and Avolio (1993); Vinzant and Crothers (1998); Bass and Riggio (2006); Northhouse (2016) classic work on transformational leadership presents a compelling and important moral interpretation of leadership. Unlike transactional leadership, transformational leadership requires the leader to understand and support the needs of team members, seeking higher level needs and engaging team members in totality.

This study looks at leadership from the perspective of the executive, middle and lower management of the academia and the councils of public institutions of higher learning in Namibia and how a particular leadership style or combination of styles can drive a successful organisational transformation process. It is evident from the literature review that the transformation leadership style is the most appropriate style for a successful organisational transformation process. According to the challenges outlined in the problem statement in the previous chapter, the difficulties experienced by institutions of higher learning globally and the literature reviewed in this chapter show a lack of an appropriate leadership style at public institutions of higher learning in Namibia. The definition offered for academic leadership for this study will be vested in all those people appointed to offer or oversee teaching and research at institutions of higher learning. These appointments can be in executive, middle and lower management of the academia in the numerous academic departments.

## 2.14 SUMMARY

This chapter offered different views on the concepts of leadership and management. Leadership as one of the functions of management was discussed and arguments from various authors were offered as to why leadership in this millennium is the most important skill to ensure the success of organisations operating in today's dynamic global environment. Against this background leadership was assessed from the viewpoints of the leader, the team members and the situation, the leader and the team members' relationship and the new paradigm shift in leadership approaches was examined. This discussion offered on the approaches and leadership styles shows that traditional leadership styles are no longer sufficient to address present day challenges. Transformational and transactional leadership were identified as the two main current leadership approaches. The model of transactional leadership explained the old paradigm to leadership while the transformational leadership approach emphasises individualised influence, inspirational motivation, intellectual stimulation and individual consideration. A transformational leadership style is the most appropriate style to manage people in today's dynamic environment where the workforce is diverse. As change agents, transformational leaders can transform teams or organisations by creating a vision, building a commitment amongst team members and inspiring their team members to strive for that vision.

This chapter aimed to provide an all-inclusive view in terms of the components, skills, traits, characteristics of an effective leader. These core skills of effective leaders are to be vision driven, a go-getter and results-driven. The characteristics of an effective leader are to be exemplary, analytical, committed to excellence, to be a

participatory decision maker and confident. These characteristics are of crucial importance for Silent Generation, Baby Boom, X, Y, Millennium and Post Millennium that characterise the labour force and consumer market in today's global environment. It is interesting to note that these effective leaders' skills and qualities can be enhanced through training, trained enhance training, mentoring and coaching. Because of the exposure in the media of many industry scandals and unethical behaviour of certain executives, the need and importance of ethical leadership was discussed in this chapter. It concludes with the factors that affecting the style of leadership and gives an overview of leadership at public institutions of higher learning necessary to cope with the challenges experienced there. The next chapter gives an overview of organisational transformation, the dependent variable for this study.

## CHAPTER 3: ORGANISATIONAL TRANSFORMATION

### 3.1 INTRODUCTION

Beerel (2009, p. 6) states, "Change is a constant; has always been with us, and will continue to dictate reality. In fact, change is reality. Nothing is and can remain the same for any length of time. Change is as inevitable as night follows day".

Organisations today are no exception when it comes to change or even transformation, because ignoring change can cause such organisations to stagnate or even fail. Baesu and Bejindru (2013) assert that it is a trend that organisations today transform rapidly to accommodate changes in demands from the dynamic environments in which they operate. Anstey (2006) argues that organisations globally are confronted with change and transformation to cope with the pressures from competitors. This pressure from competition leaves no room in an organisation for inefficiency and ineffectiveness (Anstey, 2006). Gouillart and Kelly (1996) maintain that transformation of organisations today, is the central managerial business challenge for leaders. This challenge requires a coordinated effort to reframe, reorganise, revitalise and revamp organisations (Gouillart & Kelly, 1996).

An ideal organisation today, profitable or non-profitable in the primary, secondary or tertiary sector, needs to transform or change to meet the demands of the dynamic environment in which it operates. This chapter provides a detailed overview of organisational transformation. To introduce the topic various definitions for organisational transformation were offered and the difference between organisational

change and organisational transformation explained. The first sections in this chapter cover organisational transformation under the following headings: an overview of organisational transformation, reasons for an organisational transformation, areas where organisational transformation may take place, and the advantages, drawbacks and the importance of an organisational transformational plan.

The subsequent sections address the approaches, theories and components of an organisational transformation process, followed by the mistakes made prior to and during an organisational transformation process and the consequences thereof. The penultimate sections of this chapter offer a discussion on strategies to mitigate or if possible eliminate the negative effects of an organisational transformation process. Next, this chapter gives an overview of reasons why institutions of higher learning should embark on a process of organisational transformation. This process refers to the factors that may cause organisational transformation and the types of organisational transformation institutions of higher learning may embark on. Then a discussion is presented on the relationship between the most effective leadership style and its impact on organisational transformation. In conclusion, a summary of the whole chapter is offered.

### **3.2 WHAT IS ORGANISATIONAL TRANSFORMATION?**

Higgins (2010) avers that transforming organisations into proactive entities reduces costs and eliminates duplication and non-value-added processes that will in return improve the bottom line and product and/or service delivery at the same time. A

transformation programme provides the opportunity to transform organisations from being reactive to being proactive (Higgins, 2010). All role players in the economy are faced with many challenges and threats because of globalisation. These challenges and threats force organisations to make significant improvements and changes to the status quo of doing business (Baldock, 2014). Globalisation is characterised by technological changes and integrated international economies. This change is not made only to stay profitable, but also just to survive. According to Baldock (2014) a key question related to organisation transformation would link to what are the current generation who make up the labour market and the external stakeholders seeking. Baldock (2014) further argues that people look for a greater purpose than just earning a salary and that the average person wants to change the world or at least a part of it.

The labour-, consumer markets and the external stakeholders consist of five generations namely: the Silent and Greatest Generations, Baby Boomers, Generations X, Y and Z (The Centre of Generational Kinetics, 2016). Organisations today and institutions of higher learning in particular, should transform to meet the changing and different needs of their employees, customers and their various internal and external stakeholders. If organisations are impervious to organisational transformation they will lose innovative employees and even run the risk of being forced to come to an end (Baldock, 2014).

Organisational transformation can be defined in many ways. Burnes (1996) regards organisational transformation as the alterations within organisations among individuals, groups and at the mutual level of the entire organisation. This means a

change in the deoxyribonucleic acid (DNA) of the organisation. According to the Collins Dictionary, DNA refers to the substance that carries genetic information in the cells of living organisms (Collins Dictionary, nd). In an organisational context it means to transform the core features of the organisation. Organisational transformation within an organisation can be defined as alterations of values, beliefs, myths and rituals (Schein, 1985).

Organisational transformation should not be confused with change. Hellriegel, Jackson and Slocun (2005) define organisational transformation as the change in the strategy or operations of an organisation. In addition Cole and Kelly (2015) claim that the alteration in an organisation's mission, strategy, goals, structure, processes, technology, systems and people refers to organisational transformation. Organisational transformation is a shift that occurs from one state to another, while some researchers argue that organisational transformation is the exception and dependability of the custom, and another group of researchers support a procedure-based view (Clegg, Kornberger & Pitsis, 2011).

In contrast, a Process-Based View, "an organisation is neither a collection of activities nor a bundle of resources. It is both at the same time, perceived as a system of processes and activities, enabled by resources and capabilities" (Gruchman, 2009, p.1). Griffin (2014) refers to organisational transformation as any extensive modification in almost any aspect of parts/sections/departments in an organisation or the entire organisation. Change in an organisation refers to a change in processes, methods, new products and restructuring. These are referred to as the internal triggers to change whilst external triggers that can cause changes can include

changes in technology, changes in economic and legal frameworks, and competitive initiatives by competitors (Van Tonder, 2004).

### **3.3 CHANGE- ORGANISATIONAL TRANSFORMATION NEXUS**

Much of the literature reviewed in this chapter refers to change in organisations. Change refers to a minor adjustment in organisation systems, procedures and systems, while organisational transformation refers to a significant alteration in an organisation that results in an entire modification in the structure and operation and ultimately in the culture of an organisation. The principles, purposes, theories, methods, advantages and disadvantages of change in organisation can equally apply to organisational transformation. The difference is only that an organisational transformation process is more extreme than a change process. The following four levels show a clear difference between change and transformation (Dumphy & Stace, 1993).

The first level refers to fine alteration and continuous adjustments of processes, policies and procedures to ensure an on-going match between sections, units and departments of an organisation. The second level is an incremental adjustment which refers to distinct changes of strategies or processes due to changes in the external environments. The second last level is modular transformation which means a radical change in departments or divisions. The fourth level refers to organisational transformation as a radical change across the entire organisation. The first three levels refer to changes in the organisation while the last level refers to organisational transformation. For the purpose of this study organisational

transformation will be defined as a radical change across the entire organisation (Dumphy & Stace, 1993).

### **3.4 AN OVERVIEW OF ORGANISATIONAL TRANSFORMATION**

This section examines the reasons for organisational transformation and areas where organisational transformation can take place. The subsequent sections examine the benefits and the negative impact of an organisational transformation process. In conclusion this section offers the advantages of an effective organisational transformation plan.

A study amongst 50 British firms shows that the speed at which organisations transformed is increasing (Whittington & Meyer 2002) but that 70% to 90 % of organisational transformation processes fail. Who and what contributes to such a high percentage of organisational transformation failure? The leaders in an organisation are primarily responsible for the success or failure of an organisational transformation process (Hage, 1999). Choi (2011) adds that the reason for failure of organisational transformation is that management underestimates the vital role the individual team members play in the organisational transformation process. Morrison (2011) is in agreement with Choi (2011) and argues that team members may have knowledge that may not be known by the management team. Team members should feel free to make suggestions and criticise without fear of victimisation or punishment (Milliken, Morrison & Hewlin, 2003). Armenakis and Harris (2009) claim that the successful realisation of an organisational transformation process depends on the team members' acceptance and support. The commitment

towards an organisational transformation represents a passionate pledge to the organisational transformation process. Team leaders should provide support to their team members (Herscovitch & Meyer, 2002).

Conger and Riggio (2007) identify four inevitable concerns that directly emerge from an organisational transformational process. The first concern is that it is difficult to manage an organisational transformation, secondly organisational transformation is difficult for team members to cope with, thirdly mismanagement of organisational transformation may have severe impact on organisations and team members and the fourth concern is that organisational transformation may release new potential in the organisation and amongst team members (Conger & Riggio, 2007). Team members should let go of their old ways and approaches before organisational transformation can become effective. It is evident that if an organisation wants to capitalise on organisational transformation it is of fundamental importance to get the team members on board.

Organisational transformation is characterised by negative outcomes for both the organisation and the individual in the organisation. For the individual in the organisation it can be stress (Axtell, Wall, Stride, Pepper, Clegg, Gardner & Bolden, 2002), time pressure and emotional welfare (Probst, 2003), and lack of job satisfaction (Amiot, Terry, Jimmieson & Callan, 2006). These negative consequences of an organisational transformation can negatively affect productivity and increased health care (Mack, Nelson & Quick, 1998) and absenteeism (Martin, Jones & Callan, 2005) and the wish to leave the job (Holt, Armenakis, Field & Harris, 2007). These negative consequences for the organisation are directly related

to the problems the individual experiences during a proposed organisational transformation process. To reduce the negative impact of an organisational transformation on individual(s), effective strategies should be put in place.

To eliminate these negative outcomes of an organisational transformation Hellriegel, Jackson and Slocum (2005) offer a seven step approach for change which may equally apply to an organisational transformation process is reflected in figure 3.1 below.

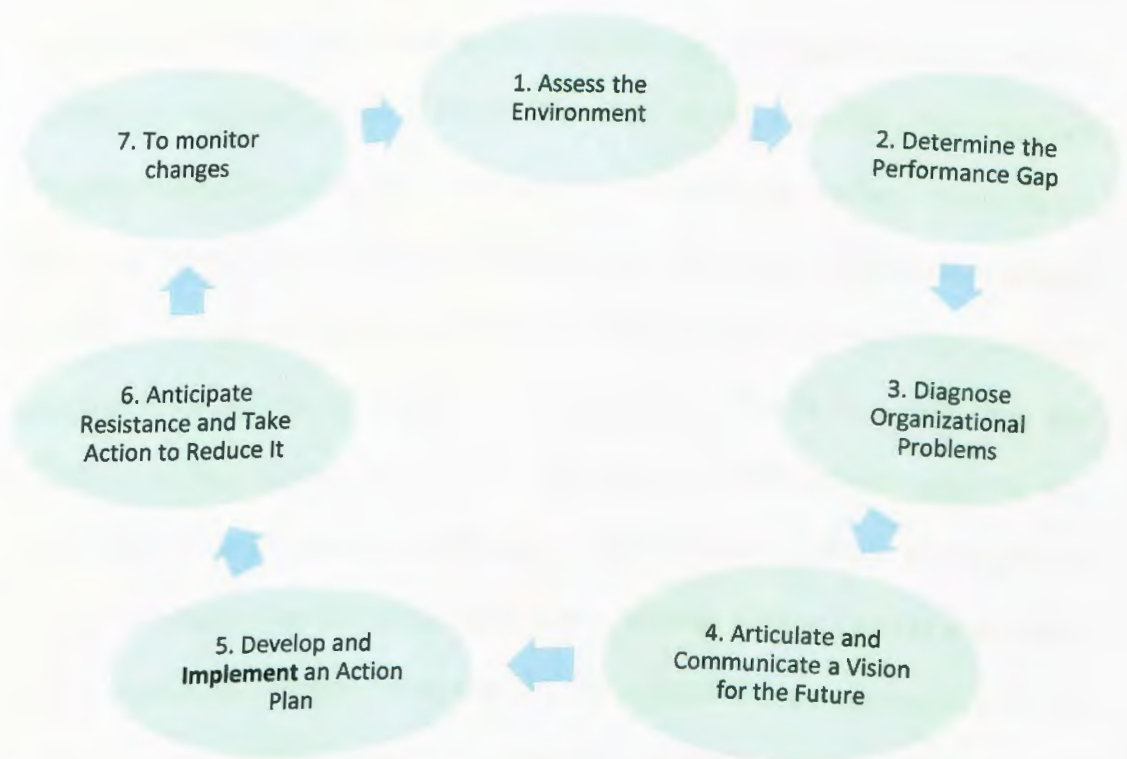


Figure 3.1: The Phases in an Organisational Transformation Process

Source: Hellriegel, Jackson and Slocum, (2005)

The first step involved scanning the internal and external environment for problems, challenges and opportunities (Hellriegel, Jackson & Slocum, 2005). This can be done through intensive and continuing market research. As stated earlier in this study, the environment is not stagnant and any change in the environment should be

capitalised on for the benefit of the organisation and its various stakeholders. Hellriegel, Jackson and Slocum (2005) recommend a detailed and realistic assessment of the performances of the organisation regarding the problems, challenges and opportunities in the internal and external environment. This is done by looking at what the organisation is currently doing and if it corresponds to the vision of the organisation. This is to identify the gaps that may occur. Amos, Pearse, Ristow and Ristow (2016) refer to this stage as determining the need for organisational transformation and to start to plan for it. In the third step an in-depth analysis needs to be undertaken to identify the areas where problems occur in the organisation. This step involves the diagnosis of the organisational problems (Hellriegel, Jackson & Slocum, 2005). These include the areas where there is a lack of performances or the requirements from its stakeholders are not met. Stakeholders exist in a very dynamic environment and so their preferences and demands change continuously. In the fourth step a clear vision for the planned organisational transformation should be set out and articulated. This is to ensure that the stakeholders buy in, act and work in the direction of the new vision for the organisational transformation (Hellriegel, Jackson & Slocum, 2005). Kotter (2012) emphasises that an organisational transformation process without a proper vision will end up as a wasted exercise which can lead the organisation in a wrong direction or in the worst case scenario in no direction at all. Armenakis, Harris and Mossholder (1993) explain that the key determinant of a successful organisational transformation is the team members' commitment towards an organisational transformation process. If a proper vision is in place and all the stakeholders buy in, the success of an organisational transformation can be guaranteed.

The next step involves the development of an effective action plan for the organisational transformation process (Hellriegel, Jackson & Slocum, 2005). Such a plan should cover the following information such as: actions to be taken, by which responsible person(s), which type and quantity of resources are needed and the target dates for completion of projects. In step six the resistance to a planned organisational transformation should be anticipated and actions taken to reduce or if possible eliminate this resistance and ensure that strategies to deal with resistances be implemented in a timely fashion. Amos, Pearse, Ristow and Ristow (2016) maintain that obstacles to organisational transformation may come from individuals or groups in the organisation. In the last step, as the process of organisational transformation unfolds, the employees' reactions and results should be monitored to ensure that appropriate actions be taken promptly. Amos, Pearse, Ristow and Ristow (2016) refer to this step as the lessons learned from the process.

#### **3.4.1 Reasons for an organisational transformation:**

Organisations should transform because of either changes from inside the organisation and/or from pressure from the external environment (Griffin, 2014). Organisational transformation can take the form of a planned or a reactive transformation owing to unexpected events (Griffin, 2014). Griffin (2014) argues that a planned organisational transformation should be designed and implemented in an orderly and timely manner. A reactive organisational transformation, in contrast, is an organisational transformation that is triggered because of changes that happen unexpectedly. A reactive organisational transformation requires non-budgeted resources, which places a huge burden on the financing of current operations. To reduce the possibility of a reactive organisational transformation, continuous

monitoring and assessment of the environment is a necessity (Griffin, 2014). Any organisational transformation, irrespective of its magnitude, should be planned and managed properly to make certain that the best results are obtained. This is why proper planning and forecasting of the environment are needed to avoid unexpected organisational transformational processes. Organisational transformation places a huge burden on an organisation's resources (Griffin, 2014). These resources are human, financial, information and tangible nature. It is of utmost importance that an organisational transformation process be assessed thoroughly by doing a cost benefit analysis. Organisations transform to react to certain reasons or to eliminate some of these reasons. Irrespective of the reasons for organisational transformation, one should consider the monetary and non-monetary impact on the stakeholders of an organisation.

Hellriegel, Jackson and Slocun (2005), Swaim (2011) and Griffin (2014) offer the following reasons for organisational transformation. If a crisis occurred or is expected to occur organisations should put strategies in place to reduce or eliminate its impact. One of the strategies may be an organisational transformation to address the crises. For example, financial institutions may transform to react to a financial crisis or institutions of higher learning may transform to meet the call from governments or changes in demand from the dynamic environments in which they operate. Gaps in performance of an organisation may indicate that the organisation's goals and objectives are not being met or that other organisational needs are not being fulfilled (Hellriegel, Jackson & Slocun 2005; Swaim 2011; Griffin 2014). An organisational transformation may be required to close these gaps. Examples of these gaps maybe a loss of competitive advantage or that the organisation no longer

meet the requirements of its customers and their various stakeholders. Major improvements in technology occur frequently. To benefit from technological advancement organisations should continuously transform. This can mean that more productive work procedures will ultimately enhance profitability. New opportunities may arise, owing to continuous market research which may identify new opportunities in the market. Organisations need to capitalise on these opportunities in order to increase or sustain their competitiveness (Hellriegel, Jackson & Slocun 2005; Swaim, 2011; Griffin, 2014).

Hellriegel, Jackson and Slocun (2005); Swaim (2011) and Griffin (2014) argue that a reaction from internal and external stakeholders may be another reason why organisations may embark on organisational transformation. Management and employees, particularly those in organised unions, often exercise pressure for an organisational transformation (Hellriegel, Jackson & Slocun; 2005, Swaim 2011 & Griffin 2014). External pressure comes from many areas, including customers, competitors, changing government regulations, shareholders, financial markets, and other factors in the organisation's external environment. These external pressures may necessitate an organisational transformation. Mergers and acquisitions create organisational transformation in a number of areas. In most cases when two organisations are merged employees are impacted and those in dual functions are made redundant or employees may be reorganised.

Recent studies (Hellriegel, Jackson & Slocun, 2005; Swaim, 2011; Griffin, 2014) assert that organisations transform to be consistent with organisations in the same industry that have already transformed. Frequently organisations appoint new CEOs

to show to the board new ways to enhance productivity or to eliminate working procedures which can be compared to those of the previous CEO, in which case unnecessary organisational transformation processes may be initiated. Another reason may be that competitors initiate an organisational transformation process and the other organisations in the market will follow suit. Therefore other organisation in the market might copy this practice (Hellriegel, Jackson & Slocun, 2005; Swaim, 2011; Griffin, 2014.). Lastly organisations transform as a result of diminishing products and or services demands, market saturations or subsidiaries. The aim is to relocate resources to innovation and new opportunities (Hellriegel, Jackson & Slocun, 2005; Swaim 2011; Griffin 2014). Organisational transformation places a huge monetary and non-monetary burden on the resources of an organisation. Irrespective the reasons(s) for an organisational transformation, it is crucial to properly plan and manage an organisational transformation process. The following sub section addresses the areas in an organisation where transformation may occur.

### **3.4.2 Areas of transformation in an organisation**

If organisational transformation occurs in one area in an organisation it is most likely that other areas will follow shortly (Lewis, 2014). Those areas in which organisational transformation in an organisation can take place fall under the following areas or a combination of areas (Lewis, 2014). The first one is in the mission, vision, and strategy (Lewis, 2014). Organisations should continually ask themselves: What is our current business mandate and what should it be? Answers to these questions can lead to a transformation in the organisation's mission (the purpose of the business), its vision for the future (what the organisation should look like), and its competitive strategy. Soane, Butler and Stanton (2015) argue that

organisations need to transform because performance is the indispensable goal of organisations to ensure that they stay in the market and are profitable.

Organisations cannot afford to hold on to old visions, missions and strategies, because the environment in which they operate is too dynamic. Human-behavioural changes can be addressed by training, which can be provided to managers and employees to give new knowledge and skills, or people can be replaced or numbers downsized. If technology changes the employees should be trained to be able to use it (Soane, Butler & Stanton, 2015). As a result of financial crises, many organisations downsides creating massive unemployment that continues till this day (Soane, Butler & Stanton, 2015). Another area where transformation in an organisation may occurs is the task-job design (Soane, Butler & Stanton, 2015). Task-job design refers to the way work is performed in the organisation and how it can be changed with new procedures and methods for better work performance (Soane, Butler & Stanton, 2015).

Organisational structure can be changed in order to be more responsive to the external environment (Lewis, 2014). The structures of organisations in general become less hierarchical in response to various factors, such as to be more responsive to the change in demand. These flatter organisational structures also include where and on which levels decisions should be made. Organisations can attempt to change their culture, including management and leadership styles, values and beliefs. Organisational transformation of the kind mentioned above is by far the most difficult area to transform in an organisation. It is worth noting that organisational transformation goes hand in hand with the transformation of

organisational culture (Lewis, 2014). Transformation like any strategy has advantages and disadvantages. The success of the transformation will be determined by how competently management and leaders capitalise on the strengths of organisational transformation and how successfully they eliminate the disadvantages of organisational transformation.

### **3.4.3 Advantages of an organisational transformation**

Bourilly (2016) identifies reasons in support an organisational transformation process. Bourilly (2016) argues that skills can be strengthened, while the increasing of alertness of the organisation become less lean. Bourilly (2016) reveals that there are more benefits to organisational transformation. This section examines the other less known benefits of an organisational transformation process for organisations and stakeholders.

The first advantage according to Bourilly (2016) is that the strategy of the organisation must be amended. It is a well-known fact that articulating the strategy comes before embarking on an organisational transformation (Bourilly, 2016). However, most leaders do not anticipate how to redesign the organisation and this forces the strategy to be made more clear and real. The effort also motivates the organisation to make a principled trade-off in favour of capability development over leanness. There comes a time in every organisation when leaders should ask themselves what aspects of the current model must be conserved (Bourilly, 2016). The list may include critical processes, corporate values, core capabilities and identification of strategic individuals. The adjustment of the status quo has a unique way of shining a light on the most important team members. The effort also provides an important test to further distinguish tomorrow's leaders. Who holds the

organisational transformation and changes into the future? And who sticks to the past and crawls half-heartedly forward? Succession planning just got easier. This is a very important advantage, because businesses in the past went down since an effective succession plan is not in place. This can be to the detriment of all stakeholders and the business at large (Bourilly, 2016).

Organisational transformation may infuse new energy into the organisation (Bourilly, 2016). Transformation should be beneficial to the overall processes within an organisation. However, it should not be avoided to uphold a stagnant status quo. Organisations are not meant to be rigid and static, because the environment in which they operate is very dynamic. Organisations work best when they are responsive and evolve naturally with the environment. Even this natural evolution creates the need for sporadic organisational transformation process (Bourilly, 2016). An organisational transformation may reconnect the teams and reaffirm the values of the organisation. Bourilly (2016) states that organisational transformation needs to be done in a way that advances business objectives and strengthens corporate values. Everyone who is a part of the process will be given the opportunity to revisit those carefully chosen words in the organisational doctrine. This will enable all stakeholders to take ownership of the organisational transformational process. What is the real and meaningful guided decisions taken and actions made by many people on a daily basis? The renewal of corporate values can have an external impact. Organisational transformation normally attracts the attention of the media. In doing so, leaders can even further unite their teams around a common goal and vision, while simultaneously sending a clear message to the market around agility and value creation for the various stakeholders to the benefit of all stakeholders (Bourilly,

2016). The next section addresses the disadvantages of an organisational transformation process.

#### **3.4.4 Disadvantages of an organisational transformation**

No business strategy or action, however good it may be, has only advantages. Taylor (2017) reveals that organisational transformation is needed due to the dynamic environment in which organisations operate, but organisational transformation is rarely easy and can often be expensive. Leaders often only consider the options of organisational transformation and the positive impact it can have on their organisation. It is important before launching an idea for organisational transformation to consider the cost and emotional impact of an organisational transformation process. The empirical evidence according to Taylor (2017) highlights that organisational transformation might not equal progress. Many organisations stress a culture of continuous improvement, since never being satisfied with the status quo can drive excellence in the organisation. There lies truth in the old saying, "If it is not broke, don't fix it." To confuse organisational transformation with progress is similar to the common problem of mistaking action for productivity. Every organisation can be improved, no matter how well it is performing, but a leader should always ask the question: How will a proposed organisational transformation improve the organisation's capability to achieve its key goals and objectives? Organisational transformation always come with a cost and also has an opportunity cost (Taylor, 2017). The resources spent on the organisational transformation could rather be spent on current profitable operations. In addition, there are intangible costs such as morale and customer satisfaction during the adjustment period (Taylor, 2017). It is important to do a cost benefit analysis to

determine whether the cost of an organisational transformation is outweighed by the added benefits of an organisational transformation.

The two main reasons why people oppose organisational transformation are a lack of knowledge about a planned organisational transformation and fear of the unknown (Taylor, 2017). One can expect some level of resistance to any organisational transformation, no matter how small or how much benefit the transformation might promise. The key tools for managing this problem are complete honesty, time, continuous communication with the work force, clear communication of the value of the organisational transformation and patience with the team members as they go through a predictable adjustment phase. There are three groups that may resist an organisational transformation, namely employee/group, individuals and the organisation. Richardson and Vandenburg (2005) found the following predictable responses to an organisational transformation process amongst employees or groups are, fear for the unknown, new appointments particularly for executive level positions, constant surveys and interviews conducted to determine the outcome of an organisational transformation, a change and new levels of authority and responsibilities in the job description, and a new culture that should be in line with the aim of the organisational transformation vision. Groups are viewed as complex and any dysfunction within the group that confines its flexibility, may create problems for an organisational transformation (McGrath & Argote, 2001; Amos, Pearson, Ristow & Ristow, 2016). A reason that may hamper an organisational transformation from a group perspective is that the group may be excluded from participation in decision-making regarding the organisational transformation (Coch & French, 1946). Coch and French (1946) add that conflict between team members

regarding interest, values and norms and those members of the group will be promoted. Newstrom and Davis (2002) argue that a proposed organisational transformation may be criticised for possible disruption to current group relations and interrelationships.

A transformation may negatively impact the individual team member. Robbins (1997) and Greenberg and Baron (1997) summarise the following factors that may have a negative impact on the individual, namely, fear for the unknown, change of current way of doing things, reluctance to give up current benefits, the fear that an organisational transformation may impact job safety, the lack of trust in the intention of particular top management that advocates the organisational transformation. Some people may experience an organisational transformation as a new challenge while others will see it as a threat. This is because of the uniqueness of the human being and the composition of team members each one with their own character and personality. In addition, Clarke (1994), Hultman (1998), Hayes (2002), King and Anderson (2002) and Van Tonder (2004) maintains that stress, lack of knowledge, misunderstanding of the process of transformation, loss of control, personal nature towards risk, fear of the unknown are all possible threats to organisational transformation.

Greenberg and Baron (1997) identify the following organisational factors that may hamper an organisational transformation process. These factors are structural, cultural and work group inertia; threats to existing power relationships; threats to expertise and resource allocation; and previously unsuccessful organisational transformation efforts. Beatty and Gordon (1988) add more factors namely:

obsession with seeing immediate financial benefit of the organisational transformational process; lack of cooperation and coordination; threats to existing power balance; mismatch of the organisational transformation with the culture of the organisation; reward systems that are not on par with the proposed organisational transformation; and an overinvestment in former decisions and actions.

Management often initiates an organisational transformation process, because it experiences challenges that need to be solved. It is, however, dangerous to assume that one knows the root cause of a problem and implement a solution impulsively. Sometimes management does not sufficiently investigate the true cause of a problem, which stakeholders are affected by the solution, and potential unintentional consequences of an organisational transformation. This approach creates all the costs of an organisational transformation without the intended benefits, plus it can create problems in areas, that were functioning properly previously (Greenberg & Baron, 1997). To address these negative impacts on all the team members and the organisation the following section will offer a transformational plan to reduce, if possible, these negative consequences.

#### **3.4.5 The organisational transformation plan**

The following questions address the four components of the organisational transformation process (Kotter, 2012). The first question about why organisations should transform is to accommodate the changing needs of their current and potential customers. The way of doing business, the offering of certain types of products and/or services may not be acceptable anymore by customers because their needs and demands have changed. Secondly what should be transformed in an organisation?

To ensure a successful organisational transformation process the most important stakeholders who need to be informed is the internal stakeholders. They should understand why the organisation should embark on a journey of organisational transformation. The external stakeholders should then be informed also. The third step asks how the organisation should be transformed (Kotter, 2012). This refers to the actual process of organisational transformation. The last component is what should be transformed. Meaning that, before embarking on an organisational transformation process, the people in the organisation should be convinced, via effective continuous communication using various platforms about what, how and why should be transformed. This is particularly important in the first stage of the organisational transformation process.

To ensure that any planned programme will be implemented effectively and to reap the desired results, a plan should be in place. The plan should set targets, dates and resources needed. An organisational transformation plan covers the expectations of the key stakeholders within the organisation. To change the way one manages information is inevitably going to change the way how people will do things (Swaim, 2011). A lack of sufficient communication and support will result in people not being committed to an organisational transformation. An effective organisational transformational plan considers all the people and teams involved in the forthcoming organisational transformation. It addresses the way the organisational transformation will affect them, what they will be responsible for, the date and framework, the resources needed and what they need to know in order to succeed both during and after the organisational transformation.

The advantages of an organisational transformational plan according to Swaim (2011) are as follow: the presence of a strategic organisational transformation plan; a vision of the organisation for what the process of organisational transformational will look like; and the milestones needed to be reached to achieve the end goal. This allows those in charge of the organisational transformation to assess the success of the project during each critical stage, and also provides an opportunity to motivate individuals and teams to help achieve the desired goals and an acknowledgement for those who succeed (Swaim, 2011).

It is crucial to align the existing resources with the new strategies that will govern the organisational transformation process (Swaim, 2011). Too many times management considers the current resources, particular human resources, as obsolete for the organisational transformation. An effective organisational transformation plan, can ensure that the current resources are aligned with the resources required for the new strategies to be implemented for the organisational transformation process. It will require that some sacrifices needed to be made in order to reach the desired future. However, one should be able to implement organisational transformation without harming the current day-to-day operations (Swaim, 2011). An effective organisational transformational plan, will consider what individuals and teams need in order to continue doing their jobs and maintain day-to-day operations without noticeable negative effects. Such negative effects can jeopardise the final outcome of the organisational transformational process. This will also reduce the fear of subordinates about the unknown (Swaim, 2011).

It is worth noting that when addressing the concerns of employees organisations are allowed to be more efficient and effective. Developing an organisational transformation plan will allow the organisation to address these concerns and keep the lines of communication open for all the individuals and teams involved in the organisational transformation process (Swaim, 2011). The investment in resources to develop an organisational transformational plan, saves time and reduces or eliminates risks. By creating, a plan that considers all the individuals and teams involved reduces the possibility of an unsuccessful attempt and reduces the amount of time it takes to implement the organisational transformation process. If employees realise that the leaders in their organisation have taken the time to develop an organisational transformational plan, that considers them, it will boost their morale (Swaim, 2011). The employees will then be much more willing to perform better and get more involved in the organisational transformation process.

An organisational transformation plan should make provision for the possibility of obstructions that may prevent the organisation from achieving its goals. If an effective organisational transformation plan is in place, the organisation will be better prepared to predict and respond to challenges that may arise during and after the organisational transformation process (Swaim, 2011). The development of an effective organisational transformational plan ahead of time will reduce its cost by allowing the organisation to better manage its budget (Swaim, 2011). If the most suitable people are involved in the organisational transformation, it can reduce inefficiencies, waste and avoid costly projects that do not contribute to the ultimate vision of the organisational transformation and the organisation as a whole. With the right employees and processes in place, the organisation is more likely to see positive

returns from the investments made in the organisational transformation process. Many opportunities may arise to develop best practices during the organisational transformation process. The organisation can develop a set of best practices to maintain growth and innovation in the future, develop leaders to deliver results and develop teams that are best prepared to make it happen (Swaim, 2011). If organisations can achieve this involvement of all stakeholders, it may benefit everyone.

Anstey (2006) offers this visual presentation to guide transformation. This map identifies all the stakeholder involved, what and how these stakeholders should do to achieve the desired results to the benefit of the organisation and its customers. The map also makes provision for the objectives set for the transformation, how these objectives will be measured, the targets to be achieved and the strategies needed for each stakeholder and action. These targets must be consistent with the vision for the transformation. The first stakeholder, the human capital, must be developed through knowledge and skills enrichment and with extrinsic motivation towards the proposed organisational transformation process. Anstey (2006) recommends that the organisation's design and performance must accommodate the new vision for the transformation. This will ensure that the organisation will grow and be productive to warrant investors' confidence and simultaneously guarantee customers about quality, on time delivery of products and services as well as the lowest possible cost. Leadership that is characterised by integrity, vision, energy, enabling structures, control and reward is of crucial importance to ensure that all elements in the process can achieve their objectives and the overall objective of the transformation process (Anstey, 2006).

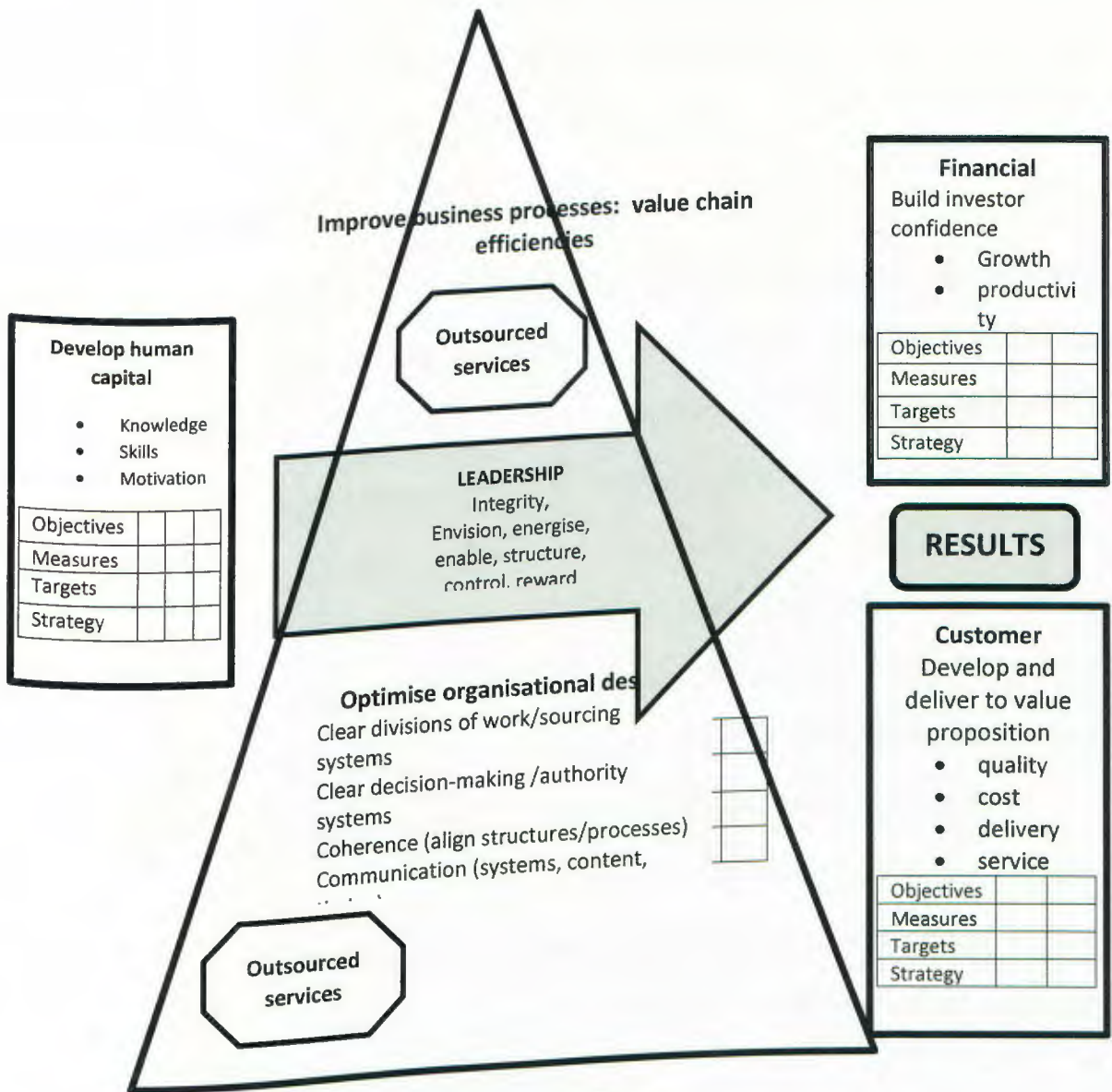


Figure 3.2 Organisational Transformation Plan

Source: Anstey, 2006

### 3.5 MODELS TO MANAGE AN ORGANISATIONAL TRANSFORMATION PROCESS

Models refer to the methods applied to drive an organisational transformation process. Davis (2012) offers the following four approaches to management change but it can equally apply to organisational transformation. These four models are the

eight phase-, Beckhard and Harris -, dynamic- and the Nadler and Tushman's model. The following section offers an overview of these models.

### **3.5.1 Eighth phase model of transformation**

According to Lewin in 1940 the organisational transformation model arises because of a disruption in the fundamental forces of the organisation. The aim should be the restoration of a situation of equilibrium. According to Cameron and Green (2008) the underlying principle is that driving forces must offset resisting dynamics in any situation if a successful organisational transformation is to take place. Lippit, Watson and Westley (1958) advanced Lewin's three phase model into the seven stage model. Kotter (2012) revisits and updates the model of Lippit, Watson and Westley (1958) by adding an eighth stage. These following eight stages as revealed by Kotter (2012) serve as a check list for leaders engaged in transformation:

- Establish a sense of urgency: individuals need to recognise the need for transformation. Form a powerful coalition: Getting together a team of like-minded supporters who have the expertise to influence others.
- Forming a powerful guiding coalition: Gather an authoritative group of people who grind well together.
- Create a vision: All stakeholders need to understand what the purpose of the transformation is and the advantages it will bring compared to the status quo.
- Communicate the vision: Communication is to ensure all stakeholders buy in and efficiently and effectively work to achieve the vision.

- Empower others: To ensure that all factors limiting the process of transformation are reduced or if possible eliminated.
- Create short term success: Many transformation processes can last for a long period of time. To ensure that stakeholders do not lose interest and see tangible results, short term achievements must be recognised and where appropriate praise should be given.
- Consolidate and use success to generate more change: Short term successes should be capitalised on to ensure that further transformation is enhanced.
- Institutionalise the change: At this stage the transformation should be embedded in the culture of the organisation.

To ensure the successful transformation process the following models can be used as guiding instruments during the process of transformation.

### **3.5.2 Beckhard and Harris model or approach**

This organisational transformation model was developed by Beckhard and Harris in 1987 from the original work of David Gleisher and Arthur D. Little who created a version of the formula in the 1960s (Beckhard & Harris, 1987). This formula is a summary of the process and the factors that need to be in place for organisational transformation to take place. The formula is as follows:  $C = (A \times B \times D) > X$

Where C= Change

A= level of dissatisfaction with status quo

B=clearly desired state (The direction the organisation want to go with the organisational transformation)

D= practical first steps in the organisational transformation process

X= cost of organisational transformation (emotional, financial and energy costs)

Stoner and Wankel (2000) argue that organisational transformation will take place when the cost of the organisational transformation is not too high or when the dissatisfaction with the status quo is very high or when the desired state after organisational transformation is not practically possible. An honest in-depth assessment of the cost and the expected benefits to all the stakeholders and the organisation at large is a prerequisite before embarking on transformational processes.

### **3.5.3 Dynamic stability model**

This model developed by Eric Abrahamson (2000) allows organisational transformation without disastrous pain or devastating feelings about the unknown. The first requirement is that the organisation must be willing to work with what already exists and invent something new only as a last option. The last requirement is that generalists - more open minded than specialists - should be hired to avoid mistakes made in the past and/or capitalise on new opportunities. If people from within the organisation are used, they may oversee the potential use of the current resources and new opportunities that the organisational transformation may bring.

### **3.5.4 Nadler and Tushman's congruence model**

This is not really a model of organisational transformation but rather an investigation of the factors that impact an organisational transformation process. These factors are the work, the people, the formal organisation and the informal organisation. A lack of effective management of the abovementioned four factors will lead to resistance, lack of control and abuse of power. Cameron and Green (2008) recommend this model because it can be used as a practical checklist and also as a tool to point out if the organisational transformation is not successful or only semi-successful.

## **3.6 PROBLEMS, CONSEQUENCES AND STRATEGIES FOR ORGANISATIONAL TRANSFORMATION**

This section addresses problems that an organisation can encounter when embarking on an organisational transformation process. The last part of this section recommends strategies to reduce or if possible eliminate these problems.

### **3.6.1 Mistakes during an organisational transformation process**

Many arrangements are made in the transformation process such as the fact that consultants are brought in, presentations are done and training is offered for employees to change employee behaviour, management philosophy and organisational procedures. The emphasis should be result-driven to assess if employees' behaviour and management values adjust to the new vision of the organisational transformation. Any organisational transformation process, irrespective of its magnitude, cost resources like money, information and human

resources. No organisation can afford resources to be wasted on an unsuccessful organisational transformation.

According to Kotter (2012) the following errors can contribute to the failure of an organisational transformation process in an organisation. One is allowing too much leniency amongst managers and employees. The biggest mistake management/leaders make is not to establish a high enough drive in managers and employees for a proposed organisational transformation process. Any change in the status quo can cause pain, emotional stress and a fear of the unknown. During the planning stage of a proposed organisational transformation all the relevant stakeholders should be informed. This should be done through consultative meetings and effective communication. In many instances top management take a decision in a vacuum, particularly for a major organisational transformation, and only inform the rest of management and staff at a later stage. This will lead managers and employees who should work towards the organisational transformation to lack the urgency and not see the need for the organisational transformation.

To ensure successful organisational transformation it is recommended that the committee that will drive the organisational transformation should have the following characteristics: commitment to improved performance, formal titles, information and expertise, good reputation, and positive intra and inter-relationships with all the stakeholders and the capabilities to effectively lead and inspire the non-committee members to believe that the organisational transformation is needed to the benefit of all stakeholders of the organisations (Kotter, 2012).

Kotter (2012) argues that in the absence of a vision that guides the organisational transformation, the organisational transformation process is doomed to failure. The purpose of the vision for an organisational transformation is to direct, guide and give a proper understanding of the importance and need for it. A lack of a proper vision can increase costs and time and can lead the process of organisational transformation in a wrong direction or no direction at all.

In too many cases, before going on an organisational transformation journey, effective and continuous communication is rejected. If all the various stakeholders are not convinced through prior effective and continuous communication about an organisational transformation they will not be convinced that an organisational transformation is possible and beneficial for all stakeholders (Kotter, 2012). Kotter (2012) further identifies three patterns of ineffective communication that are commonly made before and during an organisational transformation process. The first mistake is that a committee that should drive the organisational transformation only determines a good organisational transformation vision and then proceeds to inform the various stakeholders via a few meetings and emails. The second mistake is that the head of the organisation spends a lot of time and resources on meetings to inform the stakeholders, but the other members of management and division heads are silent on the matter. That gives the impression to the stakeholders that it is a one man show and that the organisational transformation is only to the benefit of some people in the organisation. The third common error is that some executive managers still act and behave in ways that are contrary to the new vision. Lamb and McKee (2004) found that effective communication in three areas is crucial to win organisational trust and confidence for an organisational transformation. The three

areas include helping employees to understand the organisation's overall business strategy; helping employees to understand the key objectives of the business; and informing employees how the organisation is doing and how the employees' own division/ department is doing (Lamb & McKee, 2004).

The most disturbing obstacles are the barriers in the mind of the stakeholders. The challenge is to build trust amongst employees that the barriers that existing can be overcome. The barriers may, according to Kotter (2012), include a concern about job security, organisational structure, performance appraisal system and attitude of the management. Only one barrier can negatively affect the entire organisational transformation process. Busco, Riccaboni and Scapens (2006) concur and state that employees resist organisational transformation, because of a misunderstanding and a lack of trust. In most cases the lack of trust is in management, which the employees believe, is the force behind the organisational transformation.

Organisational transformation takes time, depending on the magnitude of the organisational transformation process. The time frame for an organisational transformation will depend on its scope. Schlossberg, Water and Goodman (1995) assert that some organisational transformation processes end, but some organisational transformation processes seem never to end. Too often there is a lack of short term goals for the organisational transformation process (Kotter, 2012). This lack leads employees to give up or actively join the resistance group or individuals against the organisational transformation. Short term successes will encourage the stakeholders that the organisation is moving in the desired direction as the organisational transformation vision states. The other advantage of short term

successes is that the stakeholders who resist the organisational transformation may be positively influenced about the tentative/ and or preliminary benefits of the organisational transformation for the various internal and external stakeholders (Kotter, 2012).

During the early stage of the organisational transformation process triumph is confirmed (Kotter, 2012). For a short period after the organisational transformation process is implemented the organisation claims and/or believes that the process was a success and thus have an attitude and belief that the organisation achieved the organisational transformation vision (Kotter, 2012). This means that any future recommendations and/or actions will be ignored and can hamper the effectiveness and sustainability of the organisational transformation. An organisational transformation period can take three to ten years depending on the magnitude of the process (Kotter, 2012).

Frequently management neglects to implant the organisational transformation vision decisively in the culture of the organisation. Any organisational transformation process is only successfully completed when all the stakeholders of an organisation believe and act according to the new vision and values that were aimed at with the organisational transformation (Kotter, 2012). Many organisations ignore the power and effect of organisational culture on the success of an organisational transformation. Managers are so eager to get the process of an organisational transformation off the ground while ample time is not spent on proper planning and effective communication of the process to the various stakeholders. Lastly the

managers do not attend to the aforementioned issues which may lead to a complete failure of the organisational transformation process.

An organisational transformation process is very expensive in terms of monetary and non-monetary resources, depending on the size of the organisational transformation (Kotter, 2012). Organisations should thus ensure that resources are not wasted on an unsuccessful organisational transformation process. In conclusion Griffin (2014) maintains that leaders/managers underestimate the impact of resistance of stakeholders to an organisational transformation. Kotter (2012) argues that if an organisation does make the above mentioned mistakes with the implementation of an organisational transformation, the following consequences will be detrimental to the organisation and its stakeholders generally. It is worth noting that although these errors are not inevitable the consequences can be avoided or at least minimised.

### **3.6.2 Consequences as a result of mistakes made prior to the implementation of an organisational transformation process**

Errors made prior to the implementation of an organisational transformation may have a disastrous effect on the organisational transformation process and on the organisation and its various stakeholders in particular (Kotter, 2012). Kotter (2012) states that if the new vision for the organisational transformation is not rooted in the culture of the organisation the new strategies, irrespective of how effective they may be, will not be implemented as planned. Secondly, achievements do not meet the targets set for co-operation (Kotter, 2012). This means the fundamental redesign of organisational processes takes too long and costs too much. In the absence of informed and supportive stakeholders, the process of organisational transformation

will be dragged on for too long a period and the planned budget for the organisational transformation process can be exhausted. These problems occur when the organisation allows the above mentioned errors to occur.

Kotter (2012) argues that the third consequence is with an organisational transformation certain divisions/departments/staff may become absolute. The negative impact on staff morale can be detrimental to the entire process of organisational transformation, the organisation and its stakeholders. If the process of organisational transformation was not planned properly, communicated and implemented as planned, the cost will not reduce or the worse scenario is that the cost may even increase. The last consequence is that the new process will not deliver the expected results.

Schlossberg, Water and Goodman (1995) add that people in an organisation have strengths and weaknesses. It is important to evaluate organisational transformation from the human angle to ensure that the process of transformation and the organisation at large benefit from these diverse strengths of the team in the organisation. Schlossberg, Water and Goodman (1995) group these strengths and weaknesses in four categories; namely situation, individual, support offered and strategies. The situation refers to the people see the organisational transformation as: positive or negative, expected or unexpected, the appropriateness of the time of the organisational transformation and the personal or reaction of others. The individual refers to what the individual can bring to the organisational transformation process, namely himself/herself. The qualities the individual offers to the process of organisational transformation should be capitalised on to ensure the success of the

organisational transformation. Emotional and financial support could be given to the person in the organisational transformational process to deal with the challenges the person may encounter during the process of organisational transformation (Kotter, 2012). Strategies or a combination of strategies can ensure that the person/s, individuals deal with all the stresses associated with an organisational transformation process.

### **3.6.3 Strategies to ensure a successful organisational transformation**

A process of organisational transformation goes through a sequence of phases. Hellriegel, Jackson and Slocun (2005) argue that the success of an organisational transformational process depends on proper planning. Hellriegel, Jackson and Slocun (2005) offer the following strategies, namely, assess the environment, and determine the performance gap, articulate and communicate a clear vision and a well-developed action plan.

The four environmental factors that usually pressurise an organisation to transform are: its customers, technology, competitors and the employees. Other factors that may trigger an organisational transformation are the change in government regulations, globalisation and actions from specific stakeholders (Kotter, 2012). To determine the performance gap refers to an assessment of what the organisation currently does and what the organisation wants to do. If organisational problems are diagnosed they will disclose the causes of the performance gaps. The articulation and communication of a clear vision should be in place to convince team members to join and to be dedicated to the vision. This vision should involve all the team members.

The development and implementation of an effective action plan will ensure that team members are informed about the goals of the organisational transformation and the instruments in place to achieve these goals. It is important when the action plan is compiled that all feasible alternatives, including its advantages and disadvantages, are considered. The action plan should be available at a very early stage to ensure that the stakeholders buy in to guarantee involvement of all the stakeholders (Kotter, 2012). Kotter (2012) states that there is always an expected resistance to transformation. It is important that all possible resistance to change should be assessed and set off by mitigation strategies. As the process of organisational transformation unfolds the process should be monitored to assess employees' reactions and results. After proper planning is done it is important to focus on the process (Kotter, 2012).

Griffin (2014) offers the following guidelines to reduce the resistance to organisational transformation, namely participation of team members in the planning and implementation of an organisational transformational process and they should be informed of the reasons for it. The team members will accept an organisational transformation more positively, because they have the opportunity to raise their ideas and opinions and accept the approaches of others (Griffin, 2014). The provision of information and education on the purpose and expected outcome of a proposed organisational transformation will reduce the resistance of team members. If open channels for criticism and comments for an organisational transformation are established and maintained throughout the organisational transformational process, uncertainty about it can be reduced. The announcement of proposed organisational transformation via facilitation prior to organisational transformation will ensure that

employees have time to alter their behaviour and attitude towards an organisational transformation. Lastly, force field analysis should be used. This refers to the use of the forces that encourage organisational transformation to counteract the negative forces that may impact the organisational transformation (Kotter, 2012).

To ensure a successful organisational transformation process, Kotter (2012) recommends the following clearly distinctive stages. Firstly establish a sense of purpose about the organisational transformation process amongst all the stakeholders. In this phase the market and its competitiveness are examined and potential crises are identified and mitigation actions are considered. This stage also includes the identification and discussion of major opportunities in the market which may necessitates the need for transformation. To make certain of the success in this stage all the various stakeholders should be involved while effective and efficient horizontal and vertical communication channels should be in place. Secondly the establishment of a powerful supervisory team should also be established to guide the organisational transformation process (Kotter, 2012). This stage must be driven by a selected powerful group of people who work well together, with enough authority to overcome the minimum obstacles that a group of people with less authority may experience. The group established should work together as a team. This is the group in the organisation that will be in charge of the process of transformation. This group must fully understand the purpose and process of the organisational transformation journey. Thirdly the development of a clear vision, a strategy to guide the organisational transformation process and the vision to direct the organisational transformation process should be established and strategies put in

place for this vision to become a reality. The new vision should ultimately become naturally part of the organisational culture (Kotter, 2012).

Fourthly Kotter (2012) maintains that an adjusted vision, aligned with the organisational transformation process, should be continuously communicated to all the stakeholders via all possible channels. Van de Ven and Poole (1995) recommend that the wording and essence of the message of the organisational transformation process should be free of criticism and should be communicated at the most appropriate time, in the best words and tone. Fifthly, a conducive environment should be created before the message is communicated. A good time is when stakeholders do not have a busy working schedule, because the aim is to ensure acceptance of the planned organisational transformation amongst all stakeholders. Irrespective of their negative attitude towards the organisational transformation they should be informed with the aim to change their attitude positively towards the process of an organisational transformation. If all the stakeholders are not convinced and do not live up to the vision of the organisational transformation, the entire process will ultimately fail. If all the stakeholders are involved and believe in the organisational transformation they will work towards its success and sustainability (Kotter, 2012).

The sixth stages is to empowering broad based action needs to be employed to address all the current and potential obstacles, systems and structures that may negatively affect the success of organisational transformation process and these obstacles should be identified (Kotter, 2012). This is also the time that new ideas, risk taking and plans should be encouraged. Often comments, questions, issues and

concerns of some stakeholders are seen as negative because they are people labelled as difficult or as simply wanting to play the role of devil's advocate. Any issue, concern, or question should be addressed in a very serious way. This is because frequently petty issues later become very serious and may negatively affect the entire organisation's transformation process. Stanislaw and Stanislaw (1983) also maintain that it is important to involve all stakeholders in the planning stage of an organisational transformation. The opinions, views, suggestions and ideas of the stakeholders should be taken into consideration. This will give a sense of participation to the stakeholders. If these suggestions, ideas and views are meaningful, recognition and acknowledgement should be given where appropriate.

Kotter (2012) claims that the creating of short term successes, during the organisational transformation process, will reap results throughout the organisational transformational process. This stage is characterised by visible improvements in performances, and the last action is to reward individuals or teams who were responsible for the gains. Stanislaw and Stanislaw (1983) propose that the organisational transformation process should be introduced in stages. If the magnitude of organisational transformation is large it may lead to protests on the side of the stakeholders. The features of the organisational transformation that will give the most personal benefits should be stressed and shared with all stakeholders. These benefits may be both non-financial and financial. All systems, structures and policies that are not conducive to the organisational transformation process should be changed. This stage also includes the training, promotion and even hiring of people who can implement and drive the vision (Kotter, 2012). The anchoring of the new approaches in the culture of the entire organisation is a necessity to make sure that

the vision for the organisational transformation become a reality (Kotter, 2012). To ensure that the last stage is properly addressed and implemented to enhance better performance improved leadership and management is needed. The positive relationship between new attitudes and behaviours and the achieved successes of the organisational transformation for the organisation and all its various stakeholders should be rooted in the culture of the organisation.

Kotter (2012) further argues that the first four stages, discussed above, address the status quo. These stages require much effort and energy to convince people to accept organisational transformation. Stages five to seven are characterised by the introduction of many new and innovative practices, skills and methods. Group members are only willing to accept and learn the new ways of doing things, if the first four stages were successful. The purpose of the eighth stage is to make the organisational transformation part of the central values of organisational culture. The following strategies can promote a conducive environment for a successful organisational transformation process (Kotter, 2012).

To achieve smooth and orderly operations at an institution of higher learning, it should establish departments of student affairs, audits, remuneration and one section which deals with matters related to student affairs at the institution. The matters can be students' performance, problems, and studies (Kotter, 2012). Various committees can assist this process. Audit committees oversee the internal control system of the institution and its risk-management system. The remuneration committee sees that the directors are fairly and responsibly compensated and sets the nomination process, evaluation of skills and qualifications of the board needed and overseeing its

performance. Under the corporate governance arrangement, these institutions should safeguard that efficiency, effectiveness and culture are upheld. Sound internal control and vigorous risk management stem from the efficient and effective strategic planning can economically benefit the institution (Kotter, 2012).

### **3.7 TRANSFORMATION OF INSTITUTIONS OF HIGHER LEARNING**

This section looks at organisational transformation at institutions of higher learning under the following headings: functions of institutions of higher learning; which factors may trigger organisational transformation at higher learning institutions; areas that cannot be regarded as the result of organisational transformation; and types of organisational transformation. It concludes with a summary of the functions of higher learning institutions.

#### **3.7.1 Functions of institutions of higher learning**

Article 2 of the Declaration on Higher Education adopted in 1998 stipulates that all people seeking access to institutions of higher learning should have equity of access based on merit, capacity, efforts and perseverance (The United Nations Educational, Scientific and Cultural Organization, 1998).

What contributions does the society expect from these institutions of higher learning? Institutions of higher learning should shape their society to ensure the betterment of the society and the country at large. Do these institutions adhere to their mandates? The World Conference on Higher Education in Paris in 1998 accepted Article 1 that

stating that the mission of higher education is to educate, to train and to undertake research (United Nations Educational, Scientific and Cultural Organization, 1998).

What targets should be set in terms of participation in higher education? Who are the different stakeholders? What is the role of the various stakeholders in the higher learning process? How will these targets be achieved – by what form and type of institution, by what mode, over what time? What is the role, if any, of the private sector and the community? A crucial issue in all public institutions of higher learning systems is how the system should be managed. These six key questions, as identified by Fielden (2008), can affect the proper functioning of corporate governance at institutions of higher learning. In recent years higher education reforms caused three types of changes. These changes include: the delegation of powers by central government to another lower level of government; delegation to a specialised board; or delegation direct to institutions themselves. If the delegation of management is passed over to the institution, an effective transparency programme should be in place to avoid the abuse of power at the institutional level (Kotter, 2012).

What powers are retained at the institutions? If the government decides to transfer powers to institutions of higher learning it must decide what strategic functions are too essential and should be retained. Examples of strategic areas may include setting overall policy, strategic planning for the higher learning sector, and negotiating overall funding for the higher learning sector and the co-ordination with all the other ministries regarding educational issues.

Why do organisations and in particular institutions of higher learning need to be transformed? Hanna (2003) argues that people and nations are relying on institutions of higher learning to help develop a positive future. However, to capture the advantage of this more central focus and role, higher learning institutions will need to transform their structures, missions, processes, and programmes in order to be both more flexible and more responsive to changing societal needs. Hanna (2003) stresses that higher education is for the greater good of society. Therefore, institutions of higher learning should benefit all (Najam, 2014). Muller (2014) argues that institutions of higher learning have never been as crucial to countries and the government as they are today. Currently countries have to compete in the global economy and nations need their institutions of higher learning to produce and supply knowledge, and to produce knowledgeable and well-skilled workers throughout the skill range. Najam (2014) also claims that changing geopolitical and socioeconomic setups, as well as resource generation with limited funding are some of the many problems institutions of higher learning, in particular public institutions of higher learning, experience worldwide.

### **3.7.2 Factors that may cause organisational transformation at institutions of higher learning**

Best (2014) states that 600 million of the world citizens are prospective higher learning clients, but only 200 million are registered at institutions of higher learning. According to Best (2014), 90% of the unserved prospective higher learning clients who are currently not catered for are from the developing economies. Coupled with this is an increase of secondary education in enrolment in Africa that can increase tertiary education enrolment (Assie-Lumumba, 2006). Post-colonial enrolment in

secondary education increased in Africa in particular South Africa with an enrolment of 94 %. Countries in Africa like Botswana, Namibia and Swaziland also have the highest secondary enrolment, but it does not yet reflect in tertiary education enrolment (Calderon, (2012). He states that the increased enrolment is caused by an increasing population worldwide and that developing and emerging economies have become more significant role players in the global economy. This increase in global enrolment in higher education will have consequences for the way higher education is planned, delivered, funded and the quality assured across the globe. Eshiwani (1999) emphasises the following challenges institutions of higher learning may experience, namely, expansion of student enrolment; equity and access to higher learning; financial issues; the brain drain; information and communication technology; and the impact of tertiary education on unemployment.

Bleiklie, Enders and Lepori (2013) argue that an increase in the number of students that enrol in tertiary education will have an impact on industries that have a higher dependency on skilled individuals with tertiary education. The following drivers for organisational transformation are the integration of organisations with industry, the growth in digital technology, democratisation of knowledge and access and the competitiveness of markets and funding (Ernst & Young, 2012). Henard and Roseveare (2012), give the following reasons that act against organisational transformation at institutions of higher learning, namely, raising awareness of quality teaching, developing of excellent lecturers, engaging students, building organisations for change and teacher leadership, aligning institutional policy to enable quality teaching, emphasising innovation as a driver for change, and accessing the impact on markets and assessment. Hanna (2003) identifies the following challenges that may

initiate organisational transformation at institutions of higher learning, listing removing boundaries, establishing interdisciplinary programmes, supporting entrepreneurial effort and technology, redesigning and personalising student support services, promotion of connected and lifelong learning. Hanna (2003) adds the following: investing in technological competent technologies, building strategic alliances with others, incorporating learning technologies into strategic thinking, measuring programme quality, achieving institutional advantage and transforming of a bureaucratic culture and assumptions.

Kezar (2001) claims that diffusion and adaptation are sometimes mistakenly seen as organisational transformation at institutions of higher learning. Diffusion is an important change strategy but it is not a change model. The stages in a diffusion model include awareness, evaluation and adaptation. Diffusion refers to individuals and not the entire organisation. Institutionalisation evaluates only a part of a process. It is normally seen as the outcome of organisational transformation but also as a process that including three distinct stages. Stage one includes the preparation of the system for change; stage two deals with the change that is present to the system; and in the last stage the system turns into the changed state. Adaptation refers to the adjustment and shift in the organisation or its components to adjust to the changes in the external environments.

### **3.7.3 Types of organisational transformation at institutions of higher learning**

This section covers the various types of transformations an organisation may embark on. Reform is an innovation that is typically employed from the top management of the organisation or from outside the organisation. To introduce this section on the

types of organisational transformation at institutions of higher learning, it is important to first look at the two orders of organisational transformation. Goodman (1982) and Levy and Merry (1986) distinguish between first-order and second-order organisational transformation. Goodman (1982) and Levy and Merry (1986) outline first-order organisational transformation as one which requires minor adjustments and improvements in one or a few dimensions of the organisation, while second-order organisational transformation refers to the transformation of the mission, culture, operational procedures and structures of the organisation and is much more profound than first order transformation. Organisational transformation at institutions of higher learning will constantly occur, irrespective of whether it is minor or major, because the dynamic environment in which they operate require adaptation to new and changing demands.

The two types of innovation according to Christensen and Eyring (2011) are sustaining innovation which refers to making something bigger and better, and disruptive innovation which refers to offering goods or services that are not as good as the best traditional offerings, but are more affordable and easier to use. For example, online learning. This can be complemented with video conferences, the creation of online tutorials, and student discussion forums that traditional face-to-face classes lack. Online learning can become very appealing to the students of traditional institutions. However, to capture the advantage of this more central focus and role, higher learning institutions will need to transform their structures, missions, processes and programmes in order to be both more flexible and more responsive to changing societal needs. Another reason for transformation, offered by Hillman & Huxley (2016), is the length of time of leaders in office. Hillman and Huxley (2016)

state that the duration of the office of Vice-Chancellors in the United Kingdom has become shorter (nine to seven and a half years). This concurs with Kets de Vries (2014) who states that most leaders in top positions are effective and efficient for a period of five to nine years in a stressful leadership position. The reasons for this shorter terms of office can be attributed to the growing demands placed on the role of Vice Chancellor, increased marketization of higher learning institutions and the more active governing bodies of these institutions.

Lozano (2006) identified four characteristics of a sustainable organisational transformation university. These characteristics are key areas, namely critical thinking problem solving in society networks to efficiently and meaningfully share resources; leadership and vision that promote the needed changes (Lozano, 2006). The last key area, if effective, will ensure that institutions of higher learning will be responsive to society's changing needs. The functional environmental changes and pressures on institutional resources have increased drastically over the years. Governments have also decreased their financial contribution to institutions of higher learning over time because it was expected that institutions should be less financially dependent on the government for assistance (Lozano, 2006). Actions to achieve the missions must be taken on both the national and institutional level. To accomplish their missions, institutions of higher learning globally should transform. The most important role of the state in higher learning is to set a vision and a strategy. This can involve seeking answers to major questions as suggested by Fielden (2008). A change in the answers to these questions may require an organisational transformational process.

### 3.8 SUMMARY

This chapter offered a discussion on organisational transformation with reference to the nature of organisational transformation the nexus of change and organisational transformation; and an overview of organisational transformation. It is evident from the literature that owing to the dynamic environment, globalisation, cost reductions and competition, organisations have to embark on transformation to survive these challenges. The literature reveals that there is a clear differentiation between change and transformation. Change refers to an alteration in the organisation's processes while organisational transformation refers to a change in the DNA of the organisation. The reasons offered for the failure of an organisational process are a lack of leadership, omission of team members in the entire process and in the acceptance and support from the team members towards the process of organisational transformation. An organisational transformation may have negative affects like stress, strain on emotional wellbeing and absenteeism of individual team members. These negative consequences will consequently impact the organisation. In order to reduce these negative consequences a well-planned and inclusive transformation plan and transformation map can be employed.

The subsequent sections addressed the reasons why an organisation may embark on an organisational transformation process. The reasons offered for transformation are a crisis, performance gap, technological advancement, reactions from the environment, to replicate what competitors have done, change in government policies and regulations and policies, and a declining demand for products and or services. Irrespective of the reasons, proper planning for the organisational

transformation should be conducted. Transformation may take place in various areas in an organisation, for example the vision, strategy, structure and value beliefs. The adjustment of the organisational culture is the most challenging task to address. There are many obvious and known advantages and disadvantages associated with an organisational transformational process. One of the advantages of an organisational transformation is that it can uncover the hidden talents of team members, but one of the most prominent challenges to transformation is human resistance. To address the challenges an inclusive well planned organisational transformational plan and a transformation map can be employed to reduce or eliminate them. Instruments like the different models to transformation can be utilised to drive an organisational transformation process. The eight phase model revised by Kotter (2012) seems to be the most appropriate model to guide an organisational transformation process, because the model addresses all stages in the sequence.

The penultimate section of this chapter offered the reader an overview of problems, consequences and strategies that can be employed to address these problems. The most outstanding problem is a lack of an inclusive and effectively communicated vision that should drive the process of organisational transformation. The subsequent section addressed transformation at institutions of higher learning with reference to the functions of these higher learning institutions, factors that may cause a transformation of higher learning institutions, the types of transformations institutions of higher learning may embark on. The next chapter addresses the methodology employed to collect the data to address the research questions derived from the research problem.

## CHAPTER 4: RESEARCH METHODOLOGY

### 4.1 INTRODUCTION

This chapter addresses the theoretical aspect of the research design and the methodology employed for this study. The various research approaches are discussed and arguments offer as to why this study opted to employ a mixed-method approach. The methodology includes the methods, tools and techniques used to collect the data needed to answer the research questions; the population groups targeted and why the specific population groups were chosen. This chapter distinguishes between validity and reliability and how this study upholds these two concepts. The following section addresses sampling and the different sampling methods. An explanation is offered for the particular sampling size and sampling method chosen. Then the next section deals with the data analysis for the quantitative and qualitative data collected. The penultimate section covers ethical considerations regarding the data collection process for a mixed-method. This chapter concludes with a summary of the methodology applied to obtain the data to answer the research questions. Figure 4.1 on page 154 gives a schematic overview of the process followed to collect, analyse and interpret the data. This can assist to construct a normative leadership model based on internal perception evaluation to guide organisational transformation at public institutions of higher learning in Namibia.

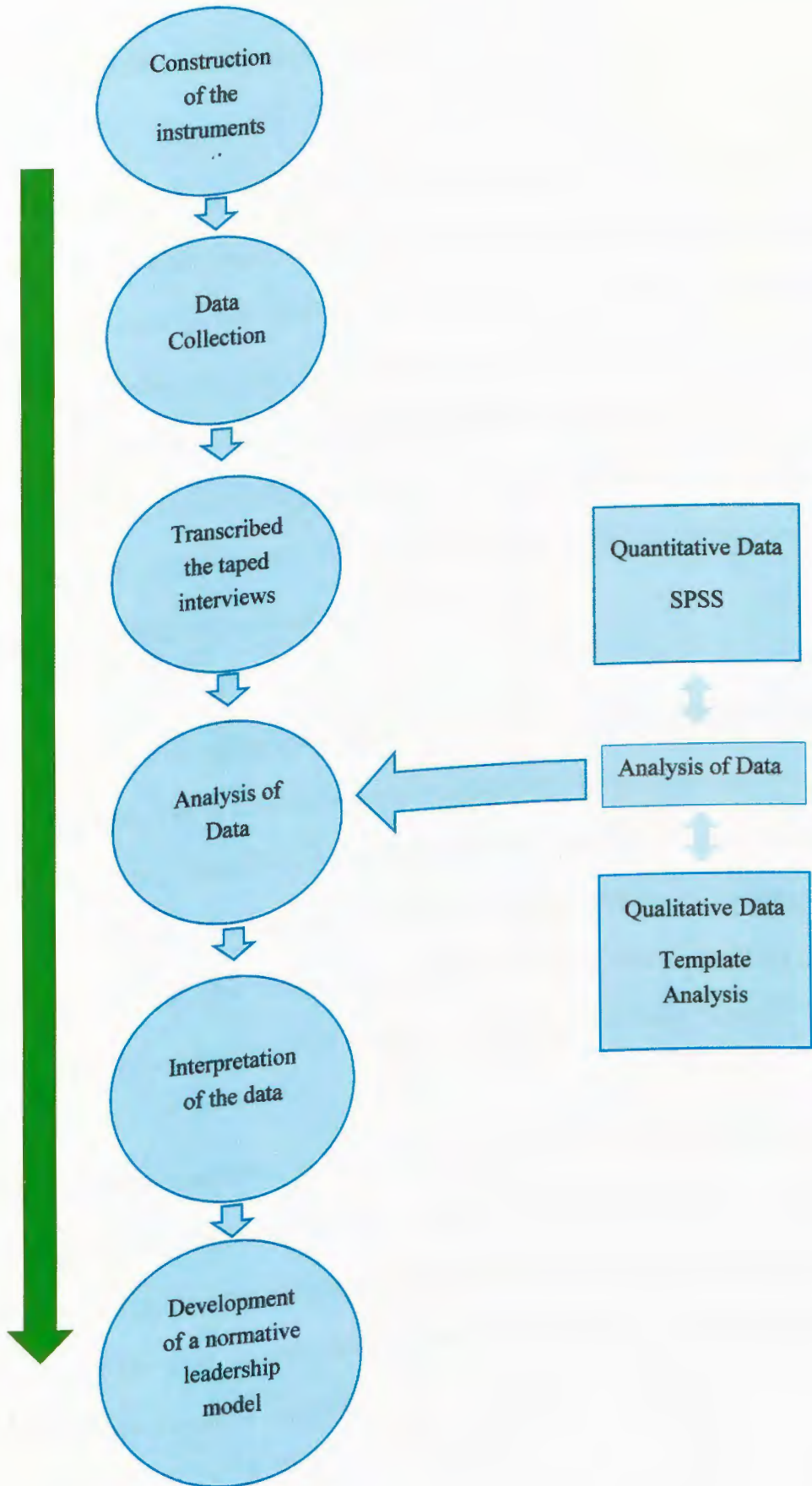


Figure 4.1: Data Collection Process

## 4.2 RESEARCH PHILOSOPHIES

Methodology is only one of the three elements of a paradigm that researchers either directly or indirectly work within. In contrast, a paradigm includes the other elements of ontology and epistemology (Guba & Lincoln, 1989). The essential difference between these two elements are that; ontology refers to the truth while epistemology refers to the relationship between that truth and the researcher. The methodology in contrast is the techniques used by the researcher to discover that truth (Guba & Lincoln, 1989). These techniques refer to the instruments employed to uncover the truth regarding the research problem.

A paradigm is an overall theoretical framework within which a researcher may work. A paradigm can thus be regarded as the global view that directs the researcher (Guba & Lincoln, 1989). Philosophical assumptions that support four different paradigms of science are positivism, realism, constructivism and critical theory. The creation of knowledge is the purpose of these four paradigms. This implies the findings of one research project can be generalised to other situations (Sobh & Perry, 2005).

In the following section the reader is introduced to the five major philosophies in management and business research. They are positivism, critical realism, interpretivism theory, postmodernism and pragmatism (Saunders, Lewis, Thornhill & Bristow, 2016). This section concludes with a discussion as to why the specific philosophy was chosen for this study.

#### 4.2.1 Positivism

This philosophy originates in the works of Francois Bacon, Auguste Comte and other early twentieth century researchers and philosophers known as the Vienna Circle (Saunders, Lewis, Thornhill & Bristow, 2016). This philosophy is embedded in natural science and requires working with an observable social reality to produce directives like simplifications (Saunders, Lewis, Thornhill & Bristow, 2016). In positivism or direct realism or quantitative philosophy clear hypotheses are formulated on the possible relationships between two or more variables. The relationship between these variables is measured by the use of survey questionnaires, interviews, case studies and experiments (Collis & Hussey, 2003). According to Carson, Gilmore, Perry and Gronhaug (2001) knowledge can be statistically generalised to a population by statistical and mathematical techniques. This will ensure an easily unknown single and objective truth (Carson, Gilmore, Perry & Gronhaug, 2001). Positivist researchers maintain a distance and independence from the participants, which is important in remaining emotionally neutral to make clear distinctions between reason and feeling (Carson, Gilmore, Perry & Gronhaug, 2001). It is also important in positivist research to seek objectivity and use steadily rational and logical approaches to research (Carson, Gilmore, Perry & Gronhaug, 2001). The goal of positivist researchers is to make time and context free overarching statements. This means that the time and conditions when the research was conducted did impact the results. With the positivism approach researchers believe this is possible because human actions can be explained as a result of real roots that temporarily direct their behaviour; the researcher and the participants are autonomous and independent and will not influence each other (Creswell, 2014).

Important traits of positivism are lack of bias and to make clear distinctions between reason, feeling, science and personal experience.

#### **4.2.2 Critical realism**

Saunders, Lewis, Thornhill and Bristow (2016) maintain that this philosophy focuses on what people see and experience based on people's underlying beliefs about reality. Critical realists reason that the findings of one study is extended by analytical generalisation that shows how the empirical findings of a research project nestle within various theories. This philosophy was created in the late 1900's, based on the work of Roy Bhaskar as a reaction to positivism and direct realism (Saunders, Lewis, Thornhill & Bristow, 2016). This approach is a transition between positivism and postmodernism. In other words, the objectives of critical realism are to generalise to theoretical assumptions and not to populations (Yin, 2014). The two philosophies outlined below originated because reality is an observation and so generalisation of one's research findings about someone's observation to another person's concept about reality, cannot be done.

#### **4.2.3 Interpretivist theory**

This approach is engrained in the belief that humans are different from tangible phenomena because humans create meaning (Saunders, Lewis, Thornhill & Bristow, 2016). This philosophy is in contrast to positivism, but comes from a subjective perspective. Interpretivist theory emerges from the work of German, French and English thinkers in Europe in the early and mid-twentieth century (Saunders, Lewis, Thornhill & Bristow, 2016). This philosophy posits that humans and their social

world cannot be studied in the same way as physical events; therefore natural science research and social science research should be different. The aim of this philosophy is to create new and richer understandings and interpretations of social worlds and contexts. Human beings are unique, have different cultural backgrounds and under different circumstances have different meanings and thus experience and create different social truths (Saunders, Lewis, Thornhill & Bristow, 2016).

#### **4.2.4 Postmodernism**

This philosophy emerged in the late 20<sup>th</sup> century. This philosophy is closely related to the work of French philosophers Jean-Francois Lyotard, Jacques Derrida, Michel Foucault, Giles Deleuze, Felix Guattari and Jean Baudrillard (Saunders, Lewis, Thornhill & Bristow, 2016). Postmodernism emphasis the role of language power relations to seeking to question accepted ways of thinking and give voice to alterative marginalised views. Postmodernism believed that any sense of order is temporarily and without any fundamental basis (Chia, 2003). This philosophy does not approach units of an organisation, such as management, performances and resources, but rather focuses on the organising managing and ordering that constitute such units. Postmodernism is open to any form of data, like text, pictures, debates, discussions, voices and numbers (Saunders, Lewis, Thornhill & Bristow, 2016).

#### **4.2.5 Pragmatic worldview**

The pragmatic philosophy originated from the work of Murphy, (1990) Patton, (1990) and Rorty, (1990). This philosophy arises from actions, situations and concerns rather than former conditions (Creswell, 2014) as with the positivist

philosophy. That means thoughts are only significant when they support acts (Kelemen & Rumens, 2010). This philosophy focuses on the research problem and the researcher leaning on this approach uses all available approaches to understand the research problem. As stated by Kelemen and Rumens (2010) the pragmatic researcher uses method(s) to ensure that the data obtained are credible, reliable and will advance the inquiry. The pragmatic worldview supports mixed- method studies.

This study opted for the interpretivism because it looks at organisations from the angles of its different stakeholders (Saunders, Lewis, Thornhill & Bristow, 2016). This study looked at leadership at UNAM and NUST from the viewpoint of council, executive management, middle management and lower management of the academic cadre. The aim of this study was to explore the view on leadership of these four levels of management on organisational transformation.

### **4.3 THE RESEARCH APPROACH**

The research approaches refer to the plan, strategies and the procedures for the research that set out the steps from broad assumptions to detailed methods of data collection, analysis and interpretation (Creswell, 2014). There are three types of approaches of inquiry - quantitative, qualitative and mixed-method. A quantitative approach refers to the collection of data that is inherently numerical in nature or can be easily converted to numbers (Leedy & Ormond, 2015). In essence, quantitative researchers use numbers and large samples to test theories.

A qualitative approach in contrast, as described by Corbin (1998), is any type of research that produces findings not arrived at by numerical procedures. Saldana (2011) argues that the qualitative research approach refers to the study of natural social life and the data collected is usually, but not always, non-quantitative in essence. This approach typically involves the study of complex events. Qualitative researchers use words and meanings of a smaller sample size to build theories (Easterby-Smith, Thorpe, Jackson & Lowe, 2012). The researcher moves back and forward between data collection and analysis.

Creswell (2014) concurs that qualitative research is the collection of data in a natural setting where participants experience the issue under study, use of multiple methods for data collection, for example unstructured interviews and open ended questions. The researcher is the key instrument and the analysis of data is through inductive, deductive and abductive reasoning or approach (Saunders, Lewis & Thornhill, 2016). An inductive approach applies when the researcher collects data and then builds or generates a theory from the data. This means that the researcher has to go back and forth; through the data and themes until a wide-ranging set of themes is available. In contrast, Saunders, Lewis & Thornhill (2016) state that the deductive approach refers to the building or generating of a theory building on empirical evidence by other scholars and then testing the theory with the data to be collected. Finally, the adductive approach refers to the process where data are collected and themes identified but they will be tested through additional data to be collected (Saunders, Lewis & Thornhill, 2016). This study opted for a deductive approach because the relevant literature was first studied and then deductions were made based on the data collected.

A mixed-method approach involves combining both quantitative and qualitative approaches in the same study (Lichtman, 2014) and this was done in this study. The arguments for this approach lie in the advantages as described by Greene, Caracelli and Graham (1989). This advantage is that the research problem could only be addressed by the collection of quantitative and qualitative data. This study collected qualitative data via in depth semi-structured face-to-face interviews with the SRC, representative on councils, the Vice-Chancellor and the chairpersons of the councils of UNAM and NUST.

The quantitative and qualitative data were obtained from the semi closed delivery and collection survey questionnaires for the Pro/Deputy Vice-Chancellors and Deans and with the electronic administrative survey questionnaires employed for the HODs. The Pro Vice- Chancellors refers to the Deputy Vice-Chancellor Academic Affairs and Research at NUST, the Pro Vice-Chancellor: Academic Affairs at UNAM and the Pro Vice-Chancellor Research, Innovation and Development at UNAM. Document analysis was undertaken by studying the acts and statutes that govern these two public institutions.

The data collected via the in depth semi-structured interview (qualitative data), can be complemented by the data collected from the semi closed ended delivery and collected survey questionnaires as well as the electronic administrative survey questionnaires. This will increase the trustworthiness, validity and reliability of the data to be collected. A quantitative study, where results can sometimes seem unpredictable, can be supported by the qualitative data that may disclose underlying meanings and differences that can help a study to make sense of the numbers.

Methodological triangulation can be strived for if the quantitative and qualitative data lead to the same conclusion.

According to Creswell (2014), there are four types of mixed-method designs – convergent, embedded, explanatory and multiphase iterative. The convergent design refers to time when quantitative and qualitative data are collected simultaneously in regard to the same problem. The researcher gives equal weight to both quantitative and qualitative data, and strives for methodological triangulation. In an embedded design, the second approach, both quantitative and qualitative data are collected concurrently with regards to the same research problem, but one approach is more dominant, normally the qualitative one. The embedded design consists of two stages. In stage one the researcher uses one or more qualitative instruments, for example interviews and observation, to get a general overview associated to the topic to construct the survey which is used as a quantitative instrument in stage two. The benefit of this design is that the researcher can construct a survey, based on a few interviews, with a large sample. The third approach, namely the explanatory design, works the opposite to an embedded design. The difference between an explanatory and embedded design is that in the explanatory design the quantitative data is collected in stage one while the qualitative data is collected in stage two. The advantages of this design is that the qualitative data at stage two give more meaning to the quantitative (numbers) collected in stage one and can lead to better instruments when one instrument is not well suited for a sample (Tashakkori & Teddlie, 2010). By contrast the fourth design, the multiphase iterative design comprises three or more phases. The data collected in the earlier phases set the foundation for the data to be collected in the later phases. The outstanding characteristic of this design is

that the researcher moves backward and forward between quantitative and qualitative methods.

This study opted to employ a convergent design, the first type described above, because the quantitative data and qualitative data are of equal importance to develop a normative leadership model to guide organisational transformation at public institutions of higher learning in Namibia. The characteristic of a convergent design is the quantitative data and qualitative data are collected concurrently. The concurrent collection of both quantitative and qualitative data can assist to check the accuracy (validity) of the other data base (Tashakkori & Teddlie, 2010). The researcher gives equal weight to both quantitative and qualitative data to ensure methodological triangulation. This study collected the qualitative and quantitative data at the same time. The quantitative and qualitative data were weighted equally because this study aimed to strive for methodological triangulation.

#### **4.3.1 Qualitative research strategies**

A research strategy is a step-by-step plan of action that gives direction to the researcher's thoughts and inputs, enabling the researcher to conduct research systematically within a time schedule to produce quality results and detailed reporting (McKenzie, 2009). Creswell (2014) refers to a case study as a strategy, when a programme, organisation, occasion, activity or process is studied in all its intricacy for a specified period of time. Leedy and Ormrod (2015) have a very similar definition for a case study which, according to them, is when a particular individual, programme or event is studied in detail for a distinct period of time (Leedy & Ormrod, 2015). An ethnographic strategy in contrast can be selected when

describing the culture and social interaction of a particular group or subgroup (Lichtman, 2014). Creswell (2014) recommends that this strategy is most useful, when the study targets an entire cultural group in a natural location over a lengthy period. A phenomenological strategy applies when one needs to describe and understand the importance of lived experiences of individuals who have experienced a particular phenomenon (Lichtman, 2014) while Leedy and Ormrod (2015) describe the same strategy as a study undertaken to discern people's opinion and viewpoints in relation to a specific situation.

Grounded theory was developed in 1967 by Glaser and Strauss. This approach is used to generate a theory that arises from the data collected (Lichtman, 2014). Content analysis means an in depth and logical assessment of a particular set of material of human interactions for the purpose of identifying patterns or bias. This material can include books, journals, legal documents, audio visual tapes, and bulletin boards (Leedy & Ormrod, 2015). Historical research strategy refers to the study of how human life activities and institutions change over time. These activities may include languages, art, customs, religions, philosophies and architecture (Leedy & Ormrod, 2015). Stake (2005) argues that a case study is not a strategy, but merely a choice of the place and time of what is to be studied. Merriam (1998), Denzin and Lincoln (2005) and Yin (2014) argue that case studies are strategies. This study concurs with Merriam (1998); Denzin and Lincoln (2005) and Yin (2014) and views a case study as a strategy for inquiry.

Creswell (2014) states that there are three types of case studies. These are a single instrumental case study, collective/ multiple case studies and the intrinsic case study.

The first scenario is when a problem or concern is selected and only one case is chosen to illustrate the problem under study. In contrast, a collective case study applies when more than one case is selected to explain the problem under study. The intrinsic case study, on the other hand, focuses on the issue or problem. This study employed a collective case study because the research problem needed to be investigated at both UNAM and NUST to develop a leadership model to guide organisational transformation at public institutions of higher learning in Namibia. Yin (2014) asserts that the process of data collection for a collective case study use, reappearances. This implies that the researcher repeats the procedures for each case. UNAM and NUST as the two public institutions of higher learning in Namibia were studied as cases.

A normative leadership model can be developed to guide organisational transformation at public institutions of higher learning in Namibia. This proposed model can be developed, centred in the literature and on the data collected. The following reasons according to Creswell (2014) support the choice for this particular strategy, namely that a theory is not yet available to explain the impact of the internal perception of leadership on organisational transformation at public institutions of higher learning in Namibia. This study wanted to understand how the responses of the council, executive, middle and lower management of academia perceive leadership at these institutions and how it may impact organisational transformation. A model can be developed from the data collected taking into consideration the following approaches as claimed by (Clarke, 2003). These approaches include situational social arena and positional cartographic maps.

### 4.3.2 Quantitative strategy

The research genre distinguishes between five types of quantitative strategies. These strategies are descriptive, experimental, quasi-experimental-, ex post facto and factorial research strategies (Leedy & Ormrod, 2015). The aim of descriptive strategies is not to change the situation under study nor to determine the cause-and-effect relationship. On the contrary, an experimental researcher considers all possibilities that may influence a particular occurrence. The researcher will then take all possible efforts to control all influencing factors, except those whose possible effects are the focus of the study.

Creswell (2014) argues that the test of the impact of an interference on an outcome might control all other factors that might influence that outcome. Observation studies as a design can be applied to study all living organisms, except animals (Leedy & Ormrod, 2015). When this strategy is employed for animals one should consider that observation design has a limited and predetermined goal. This means that the behaviour and/or characteristics should be quantifiable. A correlation strategy examines the range to which variances in one variable relate with variances in one or more other variables (Leedy & Ormrod, 2015).

A development design can be realistic when a researcher wants to study how certain characteristics change when people get older (Leedy and Ormrod, 2015). The two developmental designs that can be used are either a cross-sectional or a longitudinal study. Survey research, according to Creswell (2014), provides a numerical description of trends, opinions and attitudes of a population, by sampling that population. Welman and Kruger (2005) deny that all types of experimental research

are characterised by interference. That means all the participants are exposed to the same interference that they would not have been exposed previously. Pre-experimental strategy according to Leedy and Ormrod (2015) is applicable when no relationship exists between the population and the problem being studied. This denotes that the independent variable does not vary and that the population groups do not consist of equal or randomly selected individuals.

True experimental strategy, by contrast, offers a greater degree of control by the researcher over the variables and the population. This will ensure internal validity. A quasi-experimental strategy is used when it is impractical and impossible to apply randomness when choosing the group members or groups. The advantage of this type of study (Leedy & Ormrod, 2015) is that it eliminates different explanation of the results. The ex post facto strategy applies when the researcher first identifies events or actions that already took place. The data is then collected to assess the relationship of these events and actions on the behaviour and characteristics on the stratum of the population (Leedy & Ormrod, 2015). The factorial strategy applies when the researcher want to examine the impact of two or more independent variables (Leedy & Ormrod, 2015). Quasi-experimental strategy in contrast is use when the variables cannot be controlled, which means the researcher cannot entirely rule out alternative explanations for the data when it is obtained (Leedy & Ormrod, 2015). Ex-post facto in contrast provide an alternative means by which a researcher can investigate the extent to which a specific independent variable (for example; history of a family, lack of education, personality trait, may possibly affect the dependent variable of interest, for example; leadership (Leedy & Ormrod, 2015). The

study employed the Quasi-experimental strategy because the researcher cannot entirely rule out alternative explanations for the data when it is obtained.

#### 4.4 POPULATION

A population is defined as a set of entities in which all the measurements of interest to the researcher are represented (Powers, Meenaghan, & Toomey, 1985). Black (1999) delineates a population as a group that shares a set of common traits. According to Welmann and Kruger (2005) these entities or groups may be individuals, groups, organisations, human products, events or conditions to which they are exposed. Saunders, Lewis and Thornhill (2016) reason that a research population refers to the complete set of cases or group members. These definitions offered for a population since the 1980s refer to a group that has knowledge about the problem under investigation. The population for this study consisted of the executive management, councils, deans and heads of departments at the two public institutions of higher learning in Namibia. This study opted for this particular stratum of the entire population for the following reasons; firstly the councils of the two public institutions of higher learning are the supreme governing bodies that oversee the operations. These councils have representatives from internal and external stakeholders. The internal stakeholders on councils are executive management, academics, support staff and the students. The external stakeholders represented on these councils are the representatives from the local authorities, alumni and the government. The views of the chairpersons, as the leaders of premier governing bodies of these public institutions of higher learning can enhance the reliability and validity of the data collected.

The executive management of these two institutions are responsible for the day to day running of these institutions. The Vice-Chancellor is the head of academic affairs, finance and administration supported by the Pro Vice-Chancellor, who is in charge of the core functions at their institutions. At UNAM the three Pro Vice-Chancellors are in charge of academic affairs; innovation, research and development; and administration and finance. At NUST the two Deputy Vice-Chancellors are put in charge of academic affairs and research, and administration and finance. The executive management is the custodian of the vision, mission and strategies of their institutions of higher learning. The reason for this stratum of the population is that it deals directly with academic affairs and teaching at these public institutions. This stratum of the population is the vice-chancellor, as the head, assisted by the Pro/Deputy Vice-Chancellors in charge of the two main mandates of their institutions namely academic affairs and research. The perception of leadership of executive management of the academic cadre towards organisational transformation is of utmost importance, because their leadership styles will filter through to all levels in their institutions.

The deans and HODs of the various academic faculties and academic departments represent middle and lower management of the academic cadre at these public institutions of higher learning. Their opinions, perceptions and views on leadership can represent what they experience in their various faculties and departments. Table 4.1 on page 170 shows the population used for this study.

Table 4.1: Population for This Study

<b>POPULATION GROUP</b>	<b>UNAM</b>	<b>NUST</b>
Council members with voting rights (excluding the Executive Management)	12	11
Executive Management	7	4
Deans of Faculties and Schools (excluding the Dean of Students)	8	6
Heads of Departments	69	20
<b>TOTAL</b>	<b>96</b>	<b>41</b>
<b>GRAND TOTAL=137 (96+41)</b>		

#### 4.4.1 Population for the University of Namibia

According to the University of Namibia Act of 1992 the Council of UNAM consists of: the Vice-Chancellor, the Pro Vice-Chancellors, not more than six people appointed by the president, four members of the Senate, two members of the alumni, the two Permanent Secretaries of Finance and Education, one person from the City of Windhoek, one member from the administrative staff, one or two persons, based on knowledge and experience, not residing in Namibia and two students from the SRC. The Bursar, the Chief Librarian, the various Directors and the Dean of the Faculty of Law serve as advisors for the Council only, but do not have any voting rights. The Registrar is the secretary to the Council. This study opted to have the Chairperson and the SRC Representative to Council as part of the sample. The reason is to gain the view of the student, the most important stakeholder as well as the perception of the chairperson as the leader of the highest board of UNAM. The Executive Management of UNAM consists of the Vice-Chancellor, the three Pro Vice-Chancellors, the Bursar, the Registrar and the Chief Librarian. The three Pro Vice-Chancellors are in charge of the Academic Affairs; Innovation, Research and Development; and Administration and Finance. The part of this population chosen

for this study is the Vice-Chancellor, the Pro Vice-Chancellor: Academic Affairs and the Pro Vice-Chancellor: Innovation, Research and Development who are directly involved in academic affairs and research.

The Deans represent the middle level management of the academic cadre who deal with academic affairs and research. The Deans head the eight academic faculties at UNAM. The 69 HODs are in charge of the various academic departments in the eight faculties and represent the lower level management of the academic cadre. The Vice-Chancellor, Pro Vice-Chancellor: Academic Affairs, Pro Vice-Chancellor: Research, Innovation and Development, deans and HODs, according to the Act of the University of Namibia of 1992 are part of the Senate of UNAM. The governing and monitoring of instructions, examination, lectures, curricula and research are vested in the Senate (University of Namibia Act of 1992).

#### **4.4.2 Population for Namibia University of Science and Technology**

According to the Namibia University of Science and Technology Act of 2015 the Council consists of the Vice-Chancellor, the two Deputy Vice-Chancellors, a minimum of six people and a maximum of nine, of which at least three should be Namibian Government representatives, one person from industry, one person from the Association of Local Authorities of Namibia appointed by the Minister of Higher Education, Innovation and Training. The academic and support staff have two representatives on Council, one member from the alumni and one member from the SRC. According to the Act one person from outside Namibia may be appointed, assuming that no Namibian with that specific skill or expertise is available. The Registrar's duty on Council is only that of secretary.

This study opted to include the chairperson and the SRC representative on Council in the sample. The reason is to gain the view of the student, the most important stakeholder as well as that of the chairperson as the leader of the highest board at NUST. The executive management consists, according to the Act of the Namibia University of Science and Technology of 2015, of the Vice-Chancellor, the Deputy Vice-Chancellor and the Registrar. NUST has two Deputy Vice-Chancellors, one for Administration and Finance and one for Academic Affairs and Research. The Vice-Chancellor and the Deputy Vice-Chancellor: Academic affairs and Research are directly involved in the two main obligations of their institution, namely research and teaching. The Deans, as the middle level management of the academic cadre, head the six academic faculties at NUST. The 20 HODs are in charge of the academic departments and represent the lower level management of the academic cadre. The Deans and HODs, according to the Namibia University of Science and Technology Act of 2015, are part of the Senate of NUST. The academic authority and quality assurance, systematising of teaching, including assessment and learning, community engagement and research are vested in the Senate (Namibia University of Science and Technology, Statutes Rules and Regulations of 2016).

This study chose this stratum of the population because the researcher anticipates that it could provide valuable answers to the inquiry. The reason why both public institutions of higher learning in Namibia were targeted is to assess the perception of both public institutions of higher learning on the two variables of this study. This argument for the stratum of the population and why the two institutions were targeted is supported by the views of Saldana (2015).

## 4.5 SAMPLING AND SAMPLING TECHNIQUE

Welman and Kruger (2005) refer to sampling as a subset of a population. The reason why we should sample the population is that the size of population may in some cases make it impractical and uneconomical to involve all the members of the population. We distinguish between probability sampling and non-probability sampling.

Probability sampling refers to the possibility that any member of the population has an equal chance to be sampled. Probability sampling consists of the following examples: simple random, stratified random, systematic and cluster sampling. (Welman & Kruger, 2005 and Leedy & Ormrod, 2015) Simple random sampling applies when each member of the population has an equal chance to be sampled. Stratified random sampling can be opted for when the population consists of different sub populations, for example, different management positions in an organisation. Systematic sampling refers to when one takes a number, for example every 10 on a list of 100 of the entire population. The sample will be then every tenth member on the list. Cluster sampling can be applied when we have a large population. One should first draw a sample (cluster) of the entire population.

The non-probability sampling implies that all members in a population has the chance to be included in this sample. Non-probability sampling takes one of the following formats namely: accidental or incidental sampling, purposive sampling, quota sampling and snowball sampling. An accidental sampling method can be employed when some members of the population are readily available and nearby

while a purposive sampling can be opted for when the researcher based on experience deliberately chooses the sample that is representative of the entire population. Quota sampling, in contrast, refers to a sampling technique where the same percentage is sampled for each stratum of the population. If the researcher approaches a few members of the entire population, then the few members approached are then used as informants to identify other members of the population and this is known as snowball sampling.

This study employed the purposive non-probability sampling to sample the council and executive management. The entire population of the middle level and lower management of the academic cadre was targeted. The aim with the sampling technique for the council was to get the views of the chairpersons and the SRC representatives on the Councils. The chairperson's main responsibility is to ensure that these public institutions of higher learning comply with the acts that govern these institutions. The SRCs representative represents the voice of the students, the most important stakeholders at these institutions of higher learning. It was impractical and uneconomical to target the entire population of the SRC and Councils of UNAM and NUST. This corresponds with Welman and Kruger (2005).

The sample for the executive management was the Vice-Chancellor as CEO, because amongst other things they are overall responsible, on a day-to-day basis, for academic affairs and research assisted by their Pro Vice-Chancellors. These Pro Vice-Chancellors are the Pro Vice-Chancellor: Innovation and Research and Development (UNAM) and the Pro Vice-Chancellor: Academic Affairs (UNAM) and the Deputy Vice-Chancellor: Academic Affairs and Research (NUST). The

purpose of this targeted sample is twofold: the Vice-Chancellors are the custodians of academic affairs and research, two of the fundamental responsibilities of their institutions. The Pro/Deputy Vice-Chancellors are the heads of research and academic affairs at their institutions. Their perception of leadership for organisational transformation can filter through to all levels in their institutions.

The entire population of the academic Deans and HODs at the two public institutions were sampled. The reason to get their perceptions on leadership as the middle and lower level management of the academic cadre was twofold. The first reason was to eliminate individual biases, in the responses of the Vice-Chancellor's, chairpersons of councils and SRC representatives on councils, which seems to be a challenge from self-perception assessment and own performance. This self-perception corresponds with Ellaad, (2003); Walfish, McAllister, O'Donnell & Lambert, (2012). Self-perception refers to the high rating that someone may give to their own performance (Ellaad, 2003). The second reason is that the Deans and HODs may have different perceptions, based on their experience in their departments and faculties. Table 4.2 on page 176 gives a breakdown of the sample size for this study.

Table 4.2: Sampling Size for this Study

<b>POPULATION GROUP</b>	<b>UNAM</b>	<b>NUST</b>
Council (Chairperson and SRC Representative)	2	2
Executive Management: Vice-Chancellor	1	1
Executive Management: Pro Vice-Chancellor Innovation, Research and Development for UNAM and Pro Vice-Chancellor: Academic Affairs and The Pro Vice-Chancellor for Academic and Research of NUST	2	1
Deans of Faculties (excluding the Dean of Students)	8	6
Heads of Departments	69	20
<b>Total</b>	<b>82</b>	<b>30</b>
<b>Grand Total= 112 (82+30)</b>		

#### 4.6 VALIDITY AND RELIABILITY

Validity in general means that the methodology employed will produce accurate, significant and reliable results to properly address the research problem (Leedy & Ormrod, 2015). Creswell (2014) concurs and adds that validity requires that the results obtained via the collection instruments are accurate, meaningful and reliable to address the research problem. In qualitative research the researcher needs to adhere to three types of validity, namely, internal validity, external validity and construct validity (Leedy & Ormrod, 2015). Internal validity raises the issue if the design and the data will allow the researcher to draw truthful assumptions about cause and effect and other relationships within the data. To ensure internal validity the researcher must take all actions to avoid the possibility that different conclusions may be drawn from the data.

In order to ensure internal validity for this study the researcher opted to collect data through two instruments to strive for methodological triangulation. The data were collected through in depth semi-structured interview schedules and a semi-structured survey. External validity refers to the extent that conclusions can apply universally to other similar research problems. Strategies to ensure external validity (Leedy & Ormrod, 2015) are: to conduct research in a real life setting, ensure a representative sample from the population and to replicate the study to a different population. To uphold validity for the qualitative component of this study, studied the only two public institutions of higher learning. The researcher sampled the entire sub population of the middle and lower management of the academic cadre to ensure external validity. The Councils' chairpersons represent the external stakeholders (government, society and the industry) and the Vice-Chancellors and Pro Vice-Chancellors represent the academic cadre at the executive level of management. The Deans of the respective faculties represent middle level management of the academic cadre while the HODs represent the lower level of management of the academic cadre.

With quantitative research three methods of validity are differentiated. These three types are content validity, predictive/concurrent validity and construct validity (Creswell, 2014). Content validity refers to the suitability of the content of an instrument. This means, do the questions accurately measure and assess what the researcher wants to know. To uphold content analysis for this study, the questions set for the instrument should provide answers to the research questions and ultimately contribute to the development of a normative leadership model to guide organisational transformation at public institutions of higher learning in Namibia.

Predictive/concurrent validity determine whether results link with other results. The third type of validity, namely construct validity, refers to whether the items measure theoretical concepts. Construct validity becomes lately the overriding objective in validity, and it has concentrated on whether the results serve a beneficial purpose and have positive impact when the results are used in practice (Hubly & Zumbo, 1996). Creswell (2014) defines reliability in quantitative research as the degree to which identical or similar results may be acquired if another similar study will be conducted, using the same methodologies on a comparable sample. Reliability refers to the trustworthiness of the data (Creswell, 2014).

Gibbs (2007) claims that qualitative validity refers to when the researcher validates for the accuracy of the findings by employing certain procedures while qualitative reliability, in contrast, checks if the researcher's approach is consistent across different researchers and different studies. This means that the instrument should yield the same results if another instrument is used for the particular individual. To further enhance the validity the following strategies were employed (O'Cathain, 2010). This study opted to use detailed descriptions and presentation of the data collected to give the readers the option to draw their own conclusion from the data presented. The researcher is an employee at NUST and a registered student at UNAM for his PhD. The researcher also did his first degree at UNAM. Lastly the researcher consulted with experts in the field of this study on the conclusions drawn to ensure that the researcher made appropriate interpretations and valid conclusions. To uphold reliability for this study, detailed transcribing of the semi-structured interview was conducted by a professional. The transcribed interviews were validated by the researcher to the interviews recorded were transcribed verbatim. A

statistician was appointed to manage the analysis of the hard copy survey questionnaires from the Pro Vice-Chancellors and the Deans as well as the electronics survey questionnaires for the HODs, via SurveyMonkey.

To achieve measurement of validity and content validity of the survey questionnaires the researcher made certain that all the questions set were aimed to get the most appropriate responses to answer the research questions. This study employed the following strategies to eliminate response bias and interviewer bias. In order to eliminate response bias during the interviews the questions set and probing were done in such a way that the interviewees did not feel they should respond negatively about their organisations. The researcher abstained from making comments, facial expression or voice tones that may lead the respondents to react negatively towards the questions asked during the semi-structured interview.

Bias refers to any condition or influence that may manipulate the data. Leedy and Ormrod (2015) identify four types of biases in descriptive research. These biases are sampling bias, instrumentation bias, response bias and research bias. Sampling bias refers to a sufficient and representative number of participants from the population who is targeted to address the research problem (Leedy & Ormrod, 2015). To avoid sampling bias all the members of the academic cadre were sampled. Instrumentation bias is when questions are structured in such a way to lead the responses in a set direction (Leedy & Ormrod, 2015).

The neutral questions set for the instruments were guided by the research questions. Response bias relates to the beliefs and values of the respondents that may impact the

responses. These responses may be based on what the respondents believe is true or they believe that the researcher wants to hear (Leedy & Ormrod, 2015). To reduce response bias the respondents for the survey questionnaire had only a specific time frame to complete the survey questionnaire and the study opted for the semi-structured face to face interviews to avoid allowing participants time to think and prepare their responses in advance as can be done with a structured interview. Research bias raises the concern about the expectations, values and general beliefs of the researcher that may cause certain conclusions to be drawn or only certain variables to be studied (Leedy & Ormrod, 2015). To reduce or eliminate this bias the researcher at all times, from the proposal stage throughout this study, adhered to ethical principles to uphold objectivity.

#### **4.7 RESEARCH INSTRUMENTS EMPLOYED FOR DATA COLLECTION**

The research instrument is the standard term that researchers use for collecting data for enquiry. A distinction between two broad categories of instruments can be made, namely, researcher completed and respondent completed instrument measurement. An example of researcher completed instrument is the rating scale questions on survey questionnaires and a respondent completed instrument is the open ended survey questionnaire.

#### **4.7.1 The procedures for conducting semi-structured interviews**

Face-to-face, in-depth, semi-structured interviews were conducted with the chairpersons of the Councils, the representatives of the SRC's on the councils and the Vice-Chancellors of the two educational institutions. Semi-structured interview schedules have, as with any other method of data collection, their strengths and weaknesses. The strengths are embedded in the following benefits as claimed by Van Teijlingen (2014). The first is the appropriateness when one wants to explore attitudes, values, beliefs and motives. Semi-structured interview schedules make it a very appropriate instrument for this study, because the values, beliefs, perceptions and attitudes of the internal population group can guide the development of a normative leadership model to guide organisational transformation at public institutions of higher learning. Secondly, a face-to-face interview gives a non-verbal indication which can enhance the trustworthiness of the response. Thirdly, a face-to-face interview can make sure that all questions will be answered and the participants can respond at their own pace. The researcher capitalised on these advantages throughout the semi-structured face-to-face interviews to reap the maximum benefit.

All methods, however, have disadvantages and the semi-structured face to face interview is no exception. The impact of the weaknesses was reduced or eliminated by doing proper prior preparation and by piloting the interview protocol with someone who was not part of the target sample. Such pilot testing is recommended, if possible (Saldana, 2011). The impact of social and cultural responses can never be disregarded and to reduce this impact questions were constructed prior to the interviews. The privacy of the participant can be affected with face-to-face interviews and to reduce the impact of this weakness the researcher invited the

participants to suggest a venue, time and date, within a certain time frame of two weeks, most comfortable and convenient for them.

Owing to distance, one of the interviews was conducted via video conferencing while five of the semi-structured interviews were conducted face-to-face in the offices of the participants. The participants may have prejudices, stereotyping, and perception of the researcher which may impact their response (Van Teijlingen, 2014). To address possible prejudices the researcher was well prepared, objective and maintained a rapport with the participants. When difficulties in understanding the meaning of the response were encountered this was addressed through probing and short questions. This applies also when clichés or metaphors or analogies used by the participants are not generally accepted language, and the researcher requested the participants to explain what they meant. This was done to make sure that the data obtained are a true reflection of the participants' responses.

Prior to the conducting of the in-depth, face-to-face semi-structured interviews the researcher acknowledged their disadvantages to reduce or/ and to eliminate this he took the following precautions as recommended by Silverman (1993), Shank (2006) and Creswell (2014). Prior to the interview, the researcher established relationships with the Vice-Chancellors, chairpersons of councils and the representatives of the SRC's on the councils. This was done via informal meetings with the people to be interviewed or via their gatekeepers or personal assistance. This strategy was chosen, because of the concerns raised by Kvale and Brinkman (2009) who address the issue and importance of access to the elite. In this study the entire sample groups are classified as elite. The construction of the questions for the interview and

knowledge of the literature from the side of the researcher were of crucial importance. Warm-up questions and interview questions were prepared prior to the interviews. This was done to eliminate the possibility that different questions would be asked to different participants, which will increase the risk to do cross participant comparisons. The second reason was to make certain that the interview would move in the desired direction. Cultural differences and professional positions of the participants were considered when preparing the questions and during the interview. Differences can be caused by culture, age and professional positions. This is of utmost importance as different cultural groups perceive issues differently which has an impact on their response.

To ensure that no distraction or interruptions occurred the researcher requested the participants to suggest a venue, time and date, during the month of July to September 2017, to ensure the comfort of the participants. When the sample was selected the researcher tried to make sure that the sample will disclose the information the researcher was seeking. This was achieved by sampling executive management. The researcher confirmed the appointments for interviews at least five working days in advance and followed it up with a reminder on the day of the interview. The interviewees were told in the informed consent request letter that the interviews would be audio recorded and that the transcribed interviews and audio recordings would be destroyed five years after the dissertation was approved and placed in the public domain. To eliminate the malfunction of technology (Saldana, 2011) the researcher recorded the interviews with an audio tape recorder and on his private mobile phone. After the interviews were transcribed and verified for verbatim

transcribing, the researcher placed the tape recorder in a safe place and deleted the recordings from his private mobile phone.

During the interview the researcher was respectful, maintained a rapport with the interviewee and showed an interest in what the interviewee was saying. The researcher also respected the status of the interviewees. Interviewees were allowed to choose their own way of expressing their opinions, thoughts and ideas. Throughout the interview the researcher continuously reminded himself that although the interviewee may be very convincing the responses may only be opinions or perceptions and not facts. Metaphors or clichés used by the respondents during the interview were never interpreted by researcher, but the researcher rather asked for an explanation.

#### **4.7.2 The procedures for administration of the survey questionnaire**

The purpose of correct procedure for the administration of the questionnaire was to reduce personal bias in the responses of the Vice-Chancellors, chairpersons of councils and SRC representatives on council, which appeared to be a challenge emerging from self-perception assessments. This self-perception assessment correspond with Ellaad (2003) and Walfish, Mc Allister, O'Donnell & Lambert (2012). The strength of this method of data collection lies in the fact that it is the easiest and least time consuming method for the researcher to gain qualitative data (Debois, 2016). It is possible to get responses which are both open and closed. Survey questionnaires are in written format which means the researcher does not need to confirm their correctness with the respondents. Another advantage is that a large number of participants can be involved in a short time frame. The analyses of

data from survey questionnaires are relatively easy and can be done within a limited time

The weaknesses of a survey questionnaires according to Debois (2016) are that misinterpretation of questions may result in different responses. To eliminate this possibility, proper care was taken with the development of the questions for the survey questionnaire. The richness of the response may be affected by the fact that a survey questionnaire cannot convey any feelings of the participants. Some participants may have hidden agendas when completing the survey questionnaire. This may negatively reflect their responses that ultimately affect the reliability of the data. Respondents may skip answering some questions on the survey questionnaire. The reasons can be the following: time available; fear for victimisation; respondents do not properly understand the question(s), or respondents do not have an opinion/response to the question. This was eliminated by constructing questions that eliminated any bias and by giving participants a reasonable time to complete the survey questionnaire.

The following points, recommended by Leady and Ormrod (2015), were observed when constructing the survey questionnaires. The content of the survey questionnaire was short, concrete and unambiguous to avoid response bias. The respondents needed time to complete the survey questionnaires and as time is precious the respondent did the researcher a favour to complete it. The participants for this survey were very highly professional people with a very busy work schedule. The second important issue that the researcher considered was whether he actually needed the information to solve the research problem. To avoid this concern,

questions that can provide answers to the research problem were asked. Black (1999) suggests that one should randomly distribute half positive and half negative questions in a survey questionnaire. This will lessen the temptation for the respondent to just mark all of them the same, which will reduce bias.

The researcher took all actions possible to avoid leading questions, to ensure the consistency of questions for the survey questionnaire and that the survey questionnaire looked professional. The participants of the survey questionnaires were educated professional people and may read between the lines. In extreme cases the participant could withdraw from the process of data collection and was aware of this option. The coding for responses was validated during the setting of the questions for the survey questionnaire. To ensure the validity of the survey questionnaires two actions were taken. The researcher scrutinised the questions by putting himself in the place of the participants and secondly two pilot tests were done. The purpose was to determine if the survey questionnaire was clear and that the preferred responses could be expected.

Black (1999) distinguishes between the binary and five scale rating scales and open ended questions. In the section on employment information this study opted for binary questions. The survey questionnaire chose a Likert five scale point questions with options for the respondents to access statements for Section B. Options ranging from strongly agree, agree, neither agree nor disagree, disagree and strongly disagree. Free-response or open ended questions were asked to validate opinions on the five Likert scale e question.

The hard copy semi-closed ended survey questionnaires were delivered in sealed envelopes in person by the researcher to the academic deans, the Deputy Vice-Chancellor: Academic Affairs and Research (NUST) and the Pro Vice-Chancellor: Innovation and Research and Development and the Pro Vice-Chancellor: Academic Affairs (UNAM). To ensure confidentiality of the responses to the survey questionnaires an envelope for return was put in a sealed envelope containing the survey questionnaires. A pre-designed register was used for the respondents or gatekeeper to sign for receiving and returning of the survey questionnaires. After the survey questionnaire was completed, the respondent put it in the enclosed envelope and sealed it for collection. The researcher collected the sealed envelope in person from the respondents or their gatekeepers.

The return rate for a mailed survey questionnaires is 50% or less while the e-mailed survey questionnaires rate is even lower (Rogelberg & Luong, 1998 and Sheehan, 2001). The researcher chose to deliver the survey questionnaires in person to the Pro Vice-Chancellor and Deans. Ten working days was mutually agreed upon for the completion of the survey questionnaires. The time was also arranged with the respondent or their gatekeeper for the collection of the completed survey questionnaires. The following strategies were also put in practice to increase the rate of return. Telephone calls were made and emails sent to respondents to make certain that the survey questionnaires were completed on time. The timing for the administration of the survey questionnaires is important to increase the return rate. A week after the start of the second semester the respondents do not have such a busy working schedule as at the end of a semester. Prior to the delivering of the survey questionnaires an appointment was made to explain the purpose of the survey

questionnaires and a word of motivation was given to complete these survey questionnaires. The importance of truthfulness and answering all questions in the completion of the survey questionnaire was also emphasised. The ethical issues that would be observed with the administration of the survey questionnaires and data were outlined in the informed consent letter to respondents.

The letter of informed consent together with the Ethical Clearance Certificate and letter of consent (NUST respondents) were mailed to all the HODs of UNAM and NUST. The survey questionnaires were then sent via SurveyMonkey to all HODs. Phone calls were made to ensure that all the respondents had received the survey questionnaires via SurveyMonkey and to explain the importance of participation. To improve the electronic administration of the survey questionnaires the researcher employed the function of SurveyMonkey to regularly remind respondents to complete the survey questionnaires. Phone calls were made and where possible personal visits were conducted to counteract the usual low response rate of electronic survey questionnaires.

For the secondary data the annual reports and institutional reports from 2012 to 2016 of NUST and UNAM were studied. These reports were studied in conjunction with the acts and the statutes that govern these two public institutions. The aim of the secondary data was to complement the richness of the primary data and to determine if any violation of the acts of UNAM and NUST had occurred.

## **4.8 DATA ANALYSIS**

The most important processes in a research project are the analyses and interpretation of the data. If the process of analysis of the data is not done carefully, using the most appropriate methods, the interpretations and recommendations may be erroneous. This section covers the methods and procedures used for analysing the primary data. This is discussed under the two headings of qualitative data analysis and quantitative data analysis.

### **4.8.1 Quantitative data analysis**

The method of data collection for the quantitative data was the closed questions from the survey questionnaires. The electronic survey questionnaires employed for the HODs were run via SurveyMonkey for two reasons, firstly that this group had been a large sample and secondly to save time and resources to travel throughout Namibia since a third of the HODs of UNAM are stationed throughout the country. After the SurveyMonkey system was closed which was after 15 working days, the electronic survey questionnaires closed questions response data were transferred to a statistical tool known as Statistical Package for the Social Sciences (SPSS). The closed questions responses of the Pro/Deputy Vice-Chancellors, Deans and HODs were analysed with the aid of SPSS. The open-ended questions responses from the Pro Vice-Chancellors, Deans and HODs were analysed under the heading qualitative data analysis and were first coded according to certain themes (responses) and then grouped together before they were analysed with the aid of SPSS.

#### **4.8.2 Qualitative data analysis**

Before embarking on research it is of importance to decide on an inductive or deductive approach. The deductive approach applies when existing theories are used to shape the quantitative research. On the other hand, an inductive approach applies when a theory is to be built on the data collected. This study opted for a deductive approach, because the data collected are used to develop a normative leadership model to guide organisational transformation at UNAM and NUST.

The first step in the analysis of the data collected was to transcribe the audio recorded semi-structured interviews in detail. The transcribing was done by a professional. To eliminate the problems associated when transcribing is done by a third person (Saunders, Lewis & Thornhill, 2016), the researcher carefully validated the transcribed data for errors that might have occurred during the transcribing process. The strategy employed was that the researcher is familiar with the content of the interview, the researcher regularly listened to the audio recorded interviews and made notes on them. Document summaries were reviewed to analyse the statutes and acts of the two public institutions of higher learning in Namibia.

There are various approaches and techniques to analyse qualitative data (Saunders, Lewis & Thornhill, 2016). These analytical techniques are Template Analysis, Thematic Analysis, Explanation Building and Testing, Grounded Theory Method, Narrative Analysis, Discourse Analysis and Content Analysis and quantifying qualitative data. With a template analysis all the transcribed data from interviews, observations and open questions of the survey questionnaires are coded before themes are identified (Saunders, Lewis & Thornhill, 2016). In contrast, with a

Thematic Analysis, themes and patterns are searched transversely through all transcribed data. The Explanation Building and Testing is used as an analytical approach when the emphasis is on building/ testing explanations. There are three types of techniques in this approach, namely, analytical induction, deductive explanation building and pattern testing. Narrative analysis is a group of analytical approaches to analyse several aspects of a storyline. Discourse analysis, on the other hand, analyse the social effects of the use of language. Content analysis codes and categorises of qualitative data in order to analyse them qualitatively.

This study opted for a thematic analysis, because themes and patterns were searched for amongst all the transcribed interviews, open-ended question responses in the survey questionnaires, and the acts and statues of UNAM and NUST. The responses to the semi structured interviews and open questions for the survey questionnaire were first transcribed. The acts and statues of UNAM and NUST was coded before the search for theme and subthemes will be commented on. Document summaries were conducted to analyse the statutes and acts of the two public institutions of higher learning in Namibia. The transcribed data from the interviews, open ended questions from the survey questionnaires and the document analysis of the acts and statutes were categorised according to certain main themes which were identified based on the research questions for this study. The second step was to dissect the data for specific properties that characterised each theme. For this study the first step was to categorise the data to determine the style of leadership perceived to be operating at UNAM and NUST. Thereafter the data was examined in detail to find evidence of the style of leadership in place at UNAM and NUST. This process continued until no new themes and properties came to the fore.

The SPSS system gave a summary of the responses of the closed questions of the survey questionnaires employed for the Pro Vice-Chancellors, Deans and HODs. These responses from the open questions of the survey questionnaire and the document analysis of the acts and statutes were treated to the same procedures for data analysis as had been done with the transcribed interviews. The last stages of the research process consists of the following parallel stages according to Miles, Huberman & Saldana (2014). The stages are data condensation, data display and the drawing and verifying of conclusions.

#### **4.9 ETHICAL CONSIDERATION IN THE COLLECTION OF THE DATA FOR THE MIXED-METHOD RESEARCH**

Ethical considerations include the recognition of matters concerning plagiarism, confidentiality and the right to privacy, vulnerability of respondents and UNAM's ethical code compliance with national legislation and value-driven behaviour in the execution of the research. Information obtained during the data collection phase and the analysis thereof were regarded as confidential and treated as such. Anonymity of participants, if desired, was respected. The researcher, throughout this study maintained his objectivity. The results of this study will be shared with all the participants and the dissertation will be placed in the public domain once it has been approved by UNAM.

Approval and permission were obtained from UNAM and NUST, before their premises were entered to conduct the investigation. The Ethical Clearance Certificate, issued by UNAM, served as consent to enter UNAM's premises to

collect data. The researcher then visited the gatekeeper of NUST, the Registrar, to introduce himself and to acquaint himself with the documents and letters needed to apply for consent to carry out the research at NUST. During the follow up meeting with the Registrar, copies of the Ethical Clearance Certificate, the proposal with a cover letter were submitted to the Registrar of NUST. The application letter for consent to collect data at NUST stated the purpose of the visit, a request for permission, details of the target sample group and the methods of data collection.

After the letter of consent was received from NUST the researcher wrote an informed consent letter to all the targeted respondents. The informed consent letter included, inter alia, the personal information of the researcher, title of the research topic, purpose of the research, the type of instruments that would be employed for the specific targeted sample, a guarantee of confidentiality and the right to withdraw from participation during any stage of the proceedings. Furthermore the letter requested for the participants' permission to participate in this study and notice that the interview would be audio recorded.

The usual ethical principles were observed for collection of data and the write up thereof for this study, including protection from harm and the participants' right to privacy. The letters of informed consent were sent to the UNAM participants with the ethical clearance certificate from UNAM attached. The letter of consent from the Registrar of NUST, the ethical clearance certificate from UNAM and the informed letter of consent were sent to the NUST participants. When the attachment was received with the "consent to participate" encircled, by email or by the researcher in person, the researcher made appointments for the interviews with the participants

through their gatekeepers or with the participant in person. Then the survey questionnaires were delivered to the Pro/Deputy Vice-Chancellor and the Deans. The informed consent request was mailed to all the HODs at UNAM and NUST. The reasons for mailing the informed consent request were twofold. The entire population of HODs at UNAM and NUST were sampled. A quarter of the HODs for UNAM are stationed outside Windhoek at their regional campuses and centres.

After the consent form encircled "consent to participate" was received back by the researcher, the survey questionnaire was sent via SurveyMonkey to the HODs. To enhance the return rate of the electronic survey questionnaire, phone calls were made, where practically possible and also to introduce the researcher in person to motivate the participants to complete the survey questionnaires. To protect the confidentiality of the respondents and the raw data, the statisticians who run the quantitative data with the aid of SPSS signed a letter of confidentiality. A similar confidentiality letter was employed for the expert who assisted with the analysis of the qualitative data with the aid of ATLAS.ti. The professional secretary that transcribed the data completed a certificate of confidentiality too.

#### **4.10 SUMMARY**

The various philosophies available in research were outlined and reasons for the support of the Interpretivism approach chosen for this study were offered. This chapter then covered the various designs available and arguments were put forward why the mixed-method research design was selected for this study. The research methodology section addressed the issue of the population, the reasons why the

particular population was targeted, the sampling size and techniques employed to determine the sample size. The reasons for the particular sub population and why the sample sizes were chosen were validated.

The succeeding headings addressed the issues of validity, reliability and bias in respect of the research instruments and the actions the researcher would take to ensure validity, reliability and bias of the instruments were discussed, with reference to the advantages and disadvantages of each of the two instruments. The mitigation strategies which were used to reduce or eliminate these disadvantages were also described. Then the reader was given an overview regarding the analysis of the quantitative and qualitative data to be collected for this study to answer the research question which was to discover the internal perception of leadership on organisational transformation at UNAM and NUST. The last stage of the research process consists of parallel stages: data condensation, data display and the drawing and verifying of conclusions. The penultimate section of this chapter provided an overview of the ethical considerations for this study and the strategies employed to uphold these principles. The next chapter covers the data condensation, the data display, interpretation and analysis of the data, concluding with a summary of the main findings of this study.

## **CHAPTER 5: PRESENTATION, ANALYSIS AND INTERPRETATION OF RESULTS**

### **5.1 INTRODUCTION**

The previous chapter focuses on the overview of the methodology. This chapter provides the presentation, analysis and interpretation of the results. It focuses on the responses to the survey questionnaires and the semi-structured interviews schedule. The main research question for this study was to access the perceptions of the council, executive, middle and lower management of the academic cadre on leadership and its effect on organisational transformation at public institutions of higher learning in Namibia.

This study employed purposive non-probability sampling techniques to sample the council and executive management. The entire population of the middle level and lower management of the academic cadre was targeted. This study was intended to view the perception of leadership on organisational transformation at UNAM and NUST, the two cases for this study. The transcribed data from the semi-structured interview schedules were analysed with the aid of ATLAS.ti. The responses to the electronic and hard copy survey questionnaires' were analysed with the backing of SPSS.

This chapter presents, analyses and critically interprets the responses of the respondents' on leadership and organisational transformation. This chapter is organised into four parts. The first part presents the response rate of the respondents regarding the survey questionnaires and the interview schedules. The second section

looks at the responses, interpretations and analysis from the survey questionnaires. The third section of this chapter focuses on the presentation, analysis and interpretation of the responses of the interview schedules administered to the Vice-Chancellor, chairpersons of councils and the SRC representatives on councils of UNAM and NUST.

## **5.2 RESPONSE RATE BREAKDOWN FOR SURVEY QUESTIONNAIRE AND INTERVIEW SCHEDULE**

The purpose of this section is to cover the response rate as a percentage of the targeted sample. Table 5.1 on page 198 shows the response rate that was achieved for the survey questionnaires and the interview schedules, populations, sample sizes, actual responses and the percentage breakdowns as a percentage of the sample.

Table 5.1: Response Rate Percentage Breakdown

Position	Instrument employed	Population size	Sample size	Actual response rate	% of the sample
Council members with voting rights, exclude executive management	Semi structured interview schedule	23	4	4	100%
Executive Management	Semi structured interview schedule and hard copy survey questionnaire	11	5	5	100%
Middle management of academic cadre	Hard copy survey questionnaire	14	14	14	100%
Lower management of academic cadre	Electronic survey questionnaire	89	89	61	68.5%
<b>Total</b>		<b>137</b>	<b>112</b>	<b>84</b>	<b>75%</b>

### 5.3 QUANTITATIVE DATA PRESENTATION, INTERPRETATION AND ANALYSIS

This section covers the responses from the respondents, interpretation and analysis of the survey questionnaires employed. These respondents are the Pro/Deputy Vice-Chancellors academic affairs and research, Deans and HODs of the academic faculties at UNAM and NUST. The Pro/Deputy Vice-Chancellor and Deans completed the survey questionnaire and electronic survey questionnaires were employed for the HODs. As stated in the chapter 4.7.2 of this study, the purpose of

the questionnaire was to reduce individual bias in the responses of the Vice-Chancellor, chairpersons of councils and SRC representatives on council, which seems to be a challenge evolving from self-assessment. This study opted to do an interpretation and analysis of each theme after the responses' of the survey questionnaires were received, analysed and interpreted.

### 5.3.1 Employment history of the respondents

The first set of three closed questions of the survey questionnaires captured the responses of the respondents' employment history. Figure 5.1 reflects the composition of the respondents from UNAM and NUST who participated in the survey questionnaire.

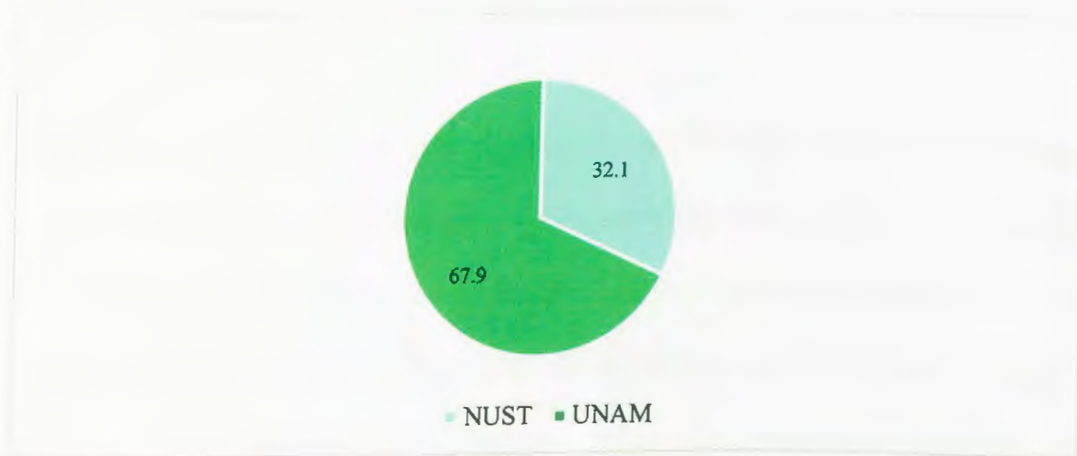


Figure 5.1: Breakdown of the Composition of the Respondents from UNAM and NUST

Figure 5.1 reflects the total respondents for the survey questionnaires. A total of 78 out of a sample of 106 participants participated in this survey questionnaire. This means there was a response rate of 73.6%. The figure for the total participants represents 25 respondents from NUST from a sample of 27. This means a response rate of 92.6% from the sample of NUST. The response rate for UNAM is 54 from a

sample of 79. This give a response rate of 68.4%. Two of the 61 Heads of Departments who responded are Acting HODs. The histogram in Figure 5.2 below represents the breakdown of the positions of the respondents in their current positions as Pro/Deputy Vice-Chancellor, Deans and HODs.

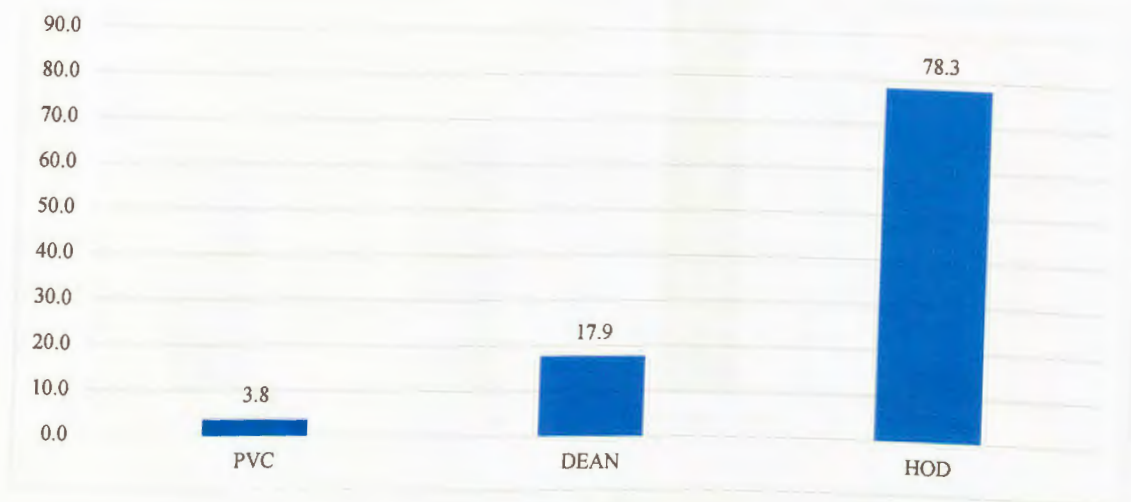


Figure 5.2: Breakdown of the Positions of Respondents

Figure 5.2 shows the respondents' positions as Pro/Deputy Vice-Chancellors, Deans or HODs expressed as a percentage. The response rates for the Pro Vice-Chancellors and Deans were 100% of the sample while the total responses for the HODs were 61 out of 89 HODs of academic departments at UNAM and NUST. This represents a response rate of 78.3 % of the sample. When the survey questionnaires were collected, the researcher discovered that one of the Pro/Deputy Vice-Chancellors had not completed the survey questionnaires, but the director in the division had done so instead. No reason was given for this. The survey questionnaire was, however, completed under the name of the director. The response of this survey questionnaire completed by the director was incorporated in the analysis under the sample of the Pro/Deputy Vice-Chancellors. Figure 5.3 on page 201 shows the number of years of

service of the respondents' in their respective positions as Pro/Deputy Vice-Chancellors, Deans or HODs.

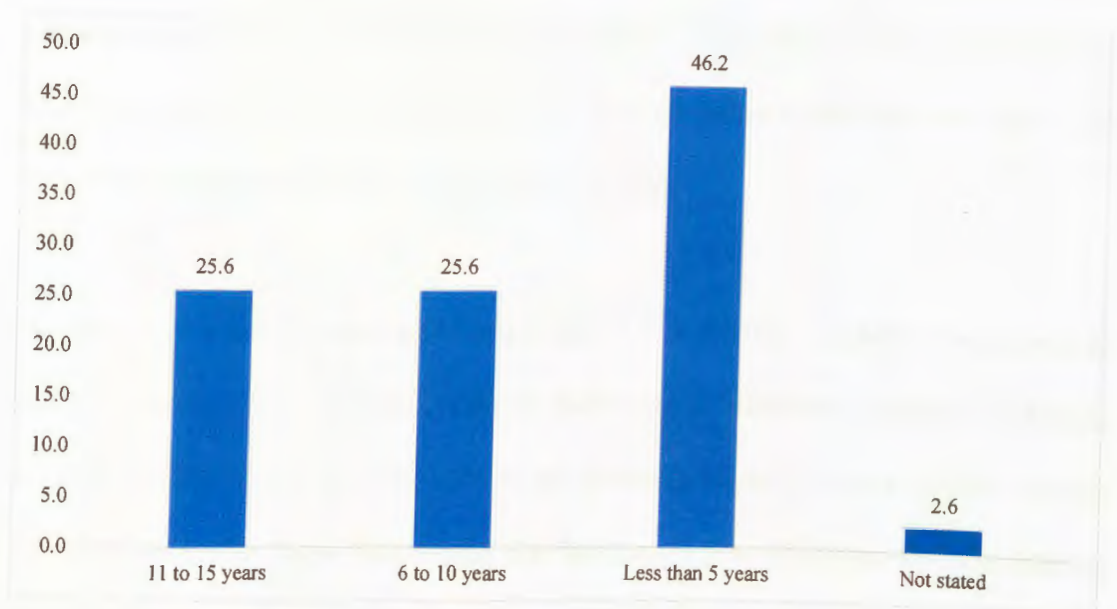


Figure 5.3: Breakdown of the Years of Employment of the Respondents in Current Positions

The histogram in Figure 5.3 represents the breakdown of the years of tenure of the participants in their positions as Pro/Deputy Vice-Chancellor, Dean or HOD. Three participants did not indicate their years of experience in their current positions. According to Figure 5.3, 25,6% of the respondents have been more than 11 years in their current position and 25,6% of the respondents have been in their current positions for between 6 to 10 years.

### **Interpretation and analysis of employment history of respondents**

It is evident from Figure 5.1 that the UNAM's participants in the study are more than the NUST participants. Yet the number of NUST staff who responded is significantly more (24,2%) than the participants of UNAM. UNAM has two more deans and 49 more HODs than NUST. Under the explanation for Figure 5.2 it was

stated that one of the Pro/Deputy Vice-Chancellors did not complete the survey questionnaire, but the director instead, and this may give the impression that the Pro/Deputy Vice-Chancellor does not value the importance of this study or the director may have a different view on the problem under study or that the director is employed for a longer period in the division of academic affairs and thus has more experience regarding the operations of the division.

An important issue that emerged from Figure 5.3 is that the majority of respondents (51, 24 %) are more than six years in their current position. Figure 5.3 further reveals that 25, 6% of the respondents are between 6 and 10 years in their current position while the same percentage are between 11 to 15 years in their current positions. It has to be noted, as stated in Chapter 1 of this study, that according to the University of Namibia Statutes and Regulations (2013) Deans and HODs can only be appointed for a tenure of four years and only qualify for reappointment for a consecutive tenure under special circumstances. The Statutes Rules and regulations for Namibia University of Science and Technology (2016), in contrast, stipulate a term of four years but the Statutes, Rules and Regulations of NUST are silent on the number of continuous tenures a Dean or HOD may serve. These appointments of the respondents for longer than two consecutive terms, specifically with reference to UNAM, that make up the largest percentage of the total sample (67,9%) can be an indication of the violation of their rules and regulations as embedded in their Statutes (UNAM Namibia, Statutes of 2013) or that the institution(s) experience problems to find experienced and qualified people to take up the positions or that staff members are not willing to take up the position as HOD or Dean. The next part of this section

covers the results relating to the perception of the respondents to the concepts management, leadership, leading and ethics.

### **5.3.2 Results pertaining to the definitions of the concepts: management, leadership, leading and ethics**

This section presents the findings of the respondents' responses regarding the meaning of the concepts management, leadership, leading and ethics. Figure 5.4 on page 204 reveals the responses to the Likert scale questions in the survey questionnaires regarding the understanding of the concepts management, leadership and leading by the respondents.

- Management refers to the following activities: planning, organising, leading and control of an organisatio. Including the competencies of strategic thinking, teamwork, global awareness and self-management.
- Leadership refers to the ability to motivate and encourage individuals and groups to accomplish organisational goals
- Leading, as the “third function” of management, involves the following: Influencing other members of a team or organisation, and to help an individual and /or organisation to achieve its goal(s).

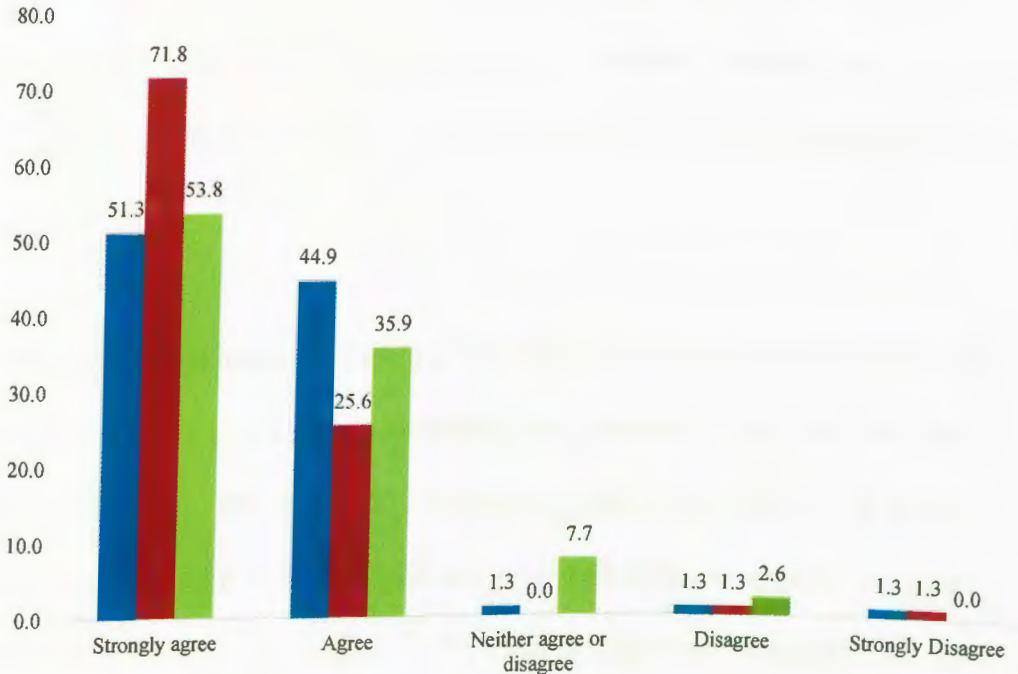


Figure 5.4 : Breakdown of the Understanding of the Definitions of the Concepts; Management, Leadership and Leading

In Figure 5.4 the responses by the participants to the survey questionnaires regarding management, leadership and leading are revealed. The respondents were offered three definitions in the survey questionnaire to ascertain their understanding of the concepts: management, leadership and leading. With reference to the statement regarding management: Management refers to the following activities namely planning, organising, leading and controlling of the organisation; therefore a manager needs the competencies of strategic thinking, team work, global awareness

and self-management. The results of survey questionnaires regarding management – 51,3% (strongly agree), 44,9% (agree), 1,3% (disagree) and 1,3% (strongly disagree).

The results of the survey questionnaires with regard to the concept of leadership: Leadership refers to the ability to motivate and encourage individuals and groups to accomplish organisational goals. The results of the survey questionnaires regarding leadership is – 71,8% (strongly agree), 25,6% (agree), 1,3% (disagree) and 1,3% strongly disagree.

The responses with reference to the understanding of concept of leading by the respondents according to the survey questionnaires. Leading as the third function of management involves the following: influencing other members of a team or organisation and to help an individual and or organisation to achieve its goals - 53.8% (strongly agree), 35,9% agree, 7,7% (neither agree nor disagree) and 2,6% (disagree).

Figure 5.5 on page 206, reflects the respondents responses regarding ethics that should be embedded in good leadership.

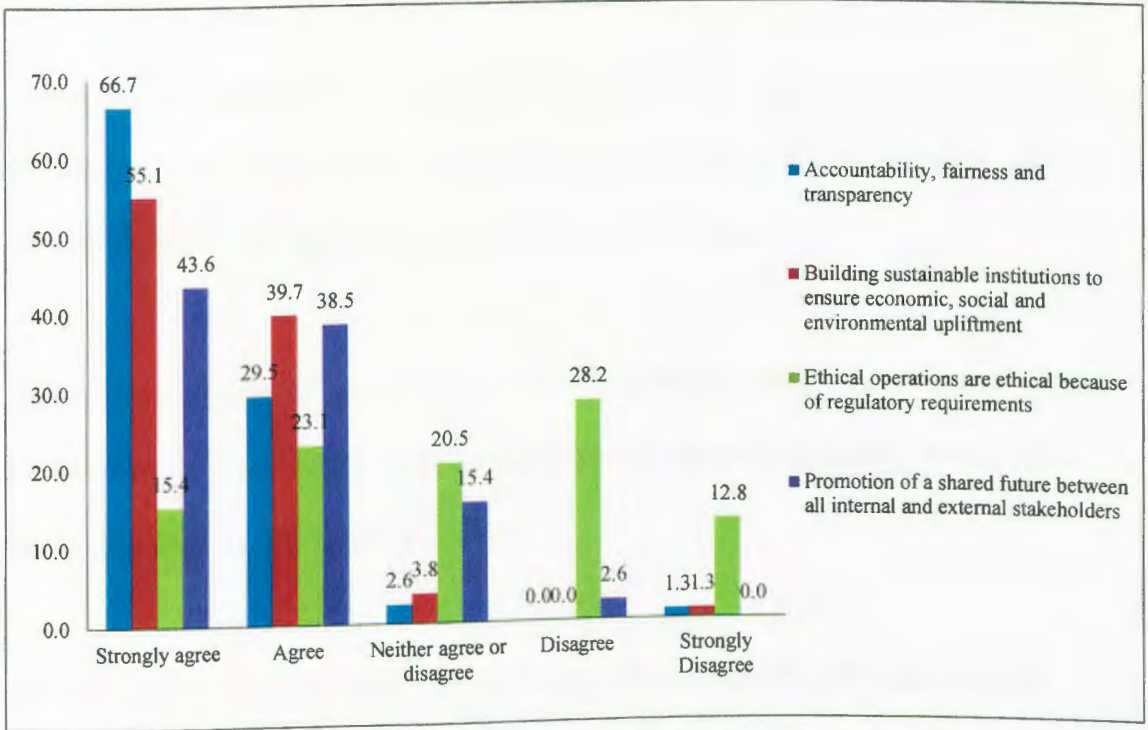


Figure 5.5 : Breakdown of Responses Regarding Ethics Embedded in Responsible Leadership

In Figure 5.5, the respondents' responses vis-à-vis the understanding of ethics that should be embedded in good leadership were revealed. The responses to the statements were as follow:

*Statement 1:* Accountability, fairness and transparency. The results of survey questionnaires- 66, 7% (strongly agree), 29,5% (agree), 2,6% (neither agree nor disagree), 1, 3% (strongly disagree).

*Statement 2:* Building sustainable institutions to ensure economic, social and environmental up-liftmen. The results of survey questionnaires – 55.1% (strongly agree), 39.7% (agree), 3.8% (neither agree nor disagree) and 1.31% (strongly disagree).

*Statement 3:* Ethical operations are ethical because of regulatory requirements. Results of survey questionnaires - 15.4% (strongly agree), 23.1% (agree), 20.5% (neither agree nor disagree), 28.2% (disagree) and 12.8% (strongly disagree).

*Statement 4:* Promotion of a shared future between all internal and external stakeholders. The results of the survey questionnaires - 43.6% (strongly agree), 38.5% (agree), 15.4 (neither agree nor disagree), 2.6% (disagree).

The following paragraph offers the interpretation and analysis of the response of the participants to the descriptions offered for the four concepts, namely, management, leadership, leading and ethical principles.

### **Interpretation and analysis of the concepts management, leadership, leading and ethics**

The results pertaining to the first section regarding the respondents' understanding of the concept of management, indicate that the majority (96,2% strongly agree and agree) of the respondents endorse the concept of management as defined by Hellriegel, Jackson & Slocum (2005) and accepted for this study. With reference to the definition of the concept of leadership, the respondents' responses (97,4% strongly agree and agree) indicate that the respondents confirm the definition offer by Dlabay, Burrow and Kleindl (2012) and agreed for this study. The 89,7% (strongly agree and agree) of the responses regarding the definition of the concept leading shows that the respondents were in agreement with the definition of the concept leading as defined by Badenhorst, et al. (2003) and acknowledged for this study. The 61,5% (neither agree or disagree, disagree and strongly disagree) of the respondents who answered that ethical operations are ethical because of regulatory requirements can be an indication that these respondents only adhere to ethical considerations because of the law, but ethical values are not inherent in their characters as individuals.

These responses to the definitions of the concepts are evidence that the widely held understanding of the concepts by the respondents correspond to those discussed and accepted within the context of this study. The difference of opinion on the concepts, although little in terms of percentage, is a concern because the respondents are in leadership positions at these institutions. The next section of this chapter will access the respondents' views regarding leadership at public institutions of higher learning.

### **5.3.3 Results pertaining to leadership at public institutions of higher learning in Namibia**

The purpose of this theme is to capture the responses regarding leadership practices at public institutions of higher learning in Namibia. The following figure discloses the responses regarding leadership traits, experience and qualifications a Vice Chancellor should possess at these institutions. To capture the evidence regarding the contextual information concerning a Vice Chancellor, an open-ended question was provided in the survey questionnaire. Figure 5.6 on page 209 reflects the responses regarding qualifications, experiences and qualities of a Vice-Chancellor.

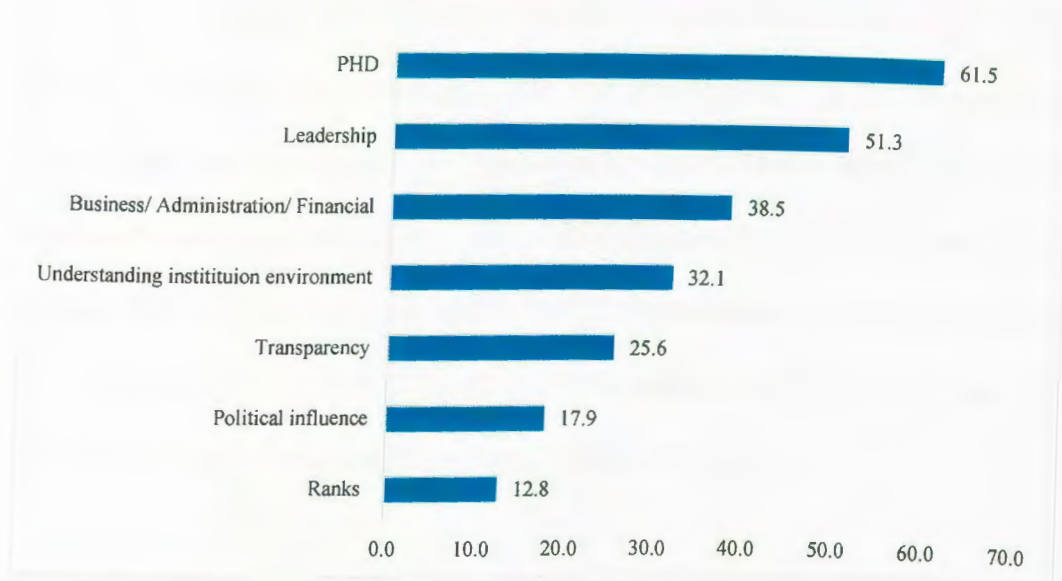


Figure 5.6: Responses Regarding Qualifications, Experiences and Qualities of a Vice-Chancellor

Figure 5.6 replicates the responses of the survey questionnaires regarding qualifications, experience and qualities that Vice-Chancellor should possess at public institutions of higher learning in Namibia. The most important characteristic, according to 61,5% of the respondents, is a PhD qualification. The participants stated that a PhD qualification should be backed up with particular experiences and skills. These experiences and skills are, to be exact, a visionary leadership approach, management, administration, financial and human resource experience, innovation, team builder, listening skills, ability to unite people, emotional intelligence and ethical principles. The second most important quality, according to the results of the survey questionnaires, with 51.3%, is leadership. According to 38,5% of the respondents, management skills like finance and administration experience are important attributes of Vice Chancellors. The argument offered, by the respondents, in favour of management skills for a Vice-Chancellor is that funding from the GRN to higher education institutions has decreased and these institutions should operate on comprehensive business principles. In contrast, 32,1% of the respondents indicated

that a Vice Chancellor should properly understand the institution's environment. This is very important according to the respondents owing to the environment in which these institutions operate. According to 25,6% of the respondents, the fifth important quality is transparency. The sixth characteristic of a Vice Chancellor is to abstain from political influence (17,9% of the respondents). The respondents with 12,8% agreed that a Vice Chancellor should move up through the ranks of an institution of higher learning before being appointed as such.

The survey questionnaire made provision for an open ended question to understand the respondents' views regarding the level of GRN involvement in the affairs of these institutions. Figure 5.7 below displays the breakdown of responses regarding the level of GRN involvement in the running of public institutions of higher learning in Namibia.

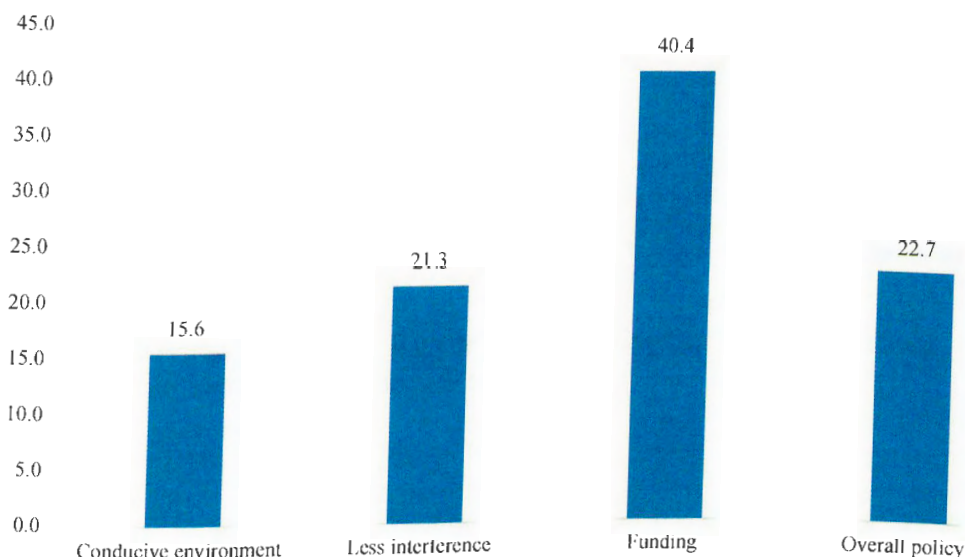


Figure 5.7: Breakdown of Responses Regarding the Level of the Government of Republic of Namibia's Involvement in the Running of Public Institutions of Higher Learning in Namibia.

into four main categories, namely equity and equality (33,3%), enhance confidence in these institutions (29,5%), shape future of institutions (26,9% ) and reduce stress levels of the stakeholders (10,3%). Figure 5.9 below will reflect on the skills and traits of an effective leader.

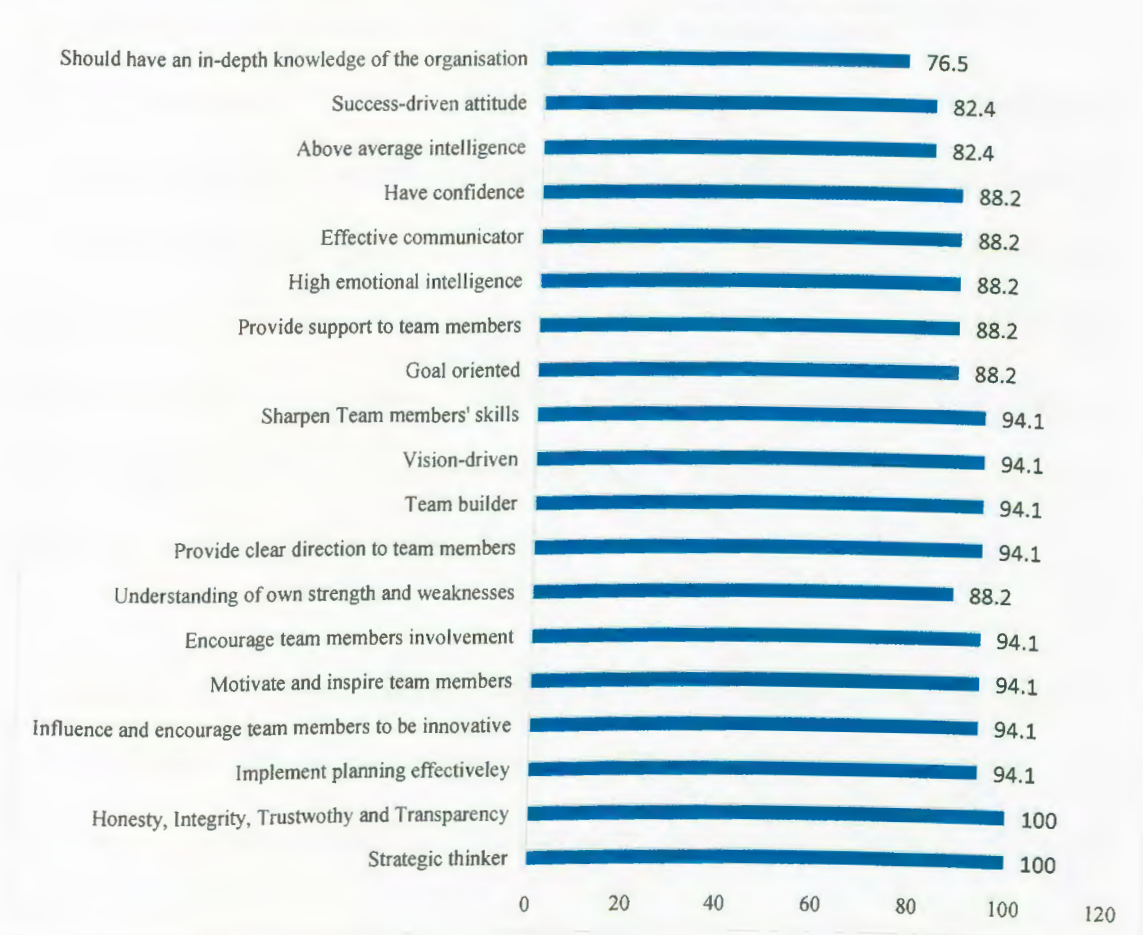


Figure 5.9: Breakdown of Responses Regarding the Skills and Traits of an Effective Leader

Figure 5.9 the responses regarding the skills and traits of an effective leader are reflected. The respondents could opt for more than one option for the closed questions regarding the skills and traits of an effective leader at these public institutions of higher learning. The majority of the respondents, between 90 and 100% of the respondents listed the following traits and skills as the most important ones for an effective leader. These skills and traits identified by 100% of the

respondents are: strategic thinker and honesty, integrity, trustworthiness and transparency. In comparison 94,1% of the respondents opted for encourage involvement of team members; motivate and inspire team members; influence and encourage team members to be innovative; implement planning effectively; sharpen team members skills; be vision driven, be a team builder and provide clear direction to team members. The skills and traits that scored 88,2% from the respondents choice were to have confidence, be an effective communicator, have high emotional intelligence, provide support to team members, be goal oriented and understand their own strengths and weaknesses. In contrast 82,4% of the respondents opted for the following two skills and traits, namely, above average intelligence and have a success-driven attitude. An in-depth knowledge of the institution's organisation as a skill was rated by 76, 5% of the respondents.

To comprehend the personal opinion of the respondents regarding the skills and traits of an effective leader at these institutions, the survey questionnaire made provision for an open ended question. The responses are reproduced in Figure 5.10 on page 214.

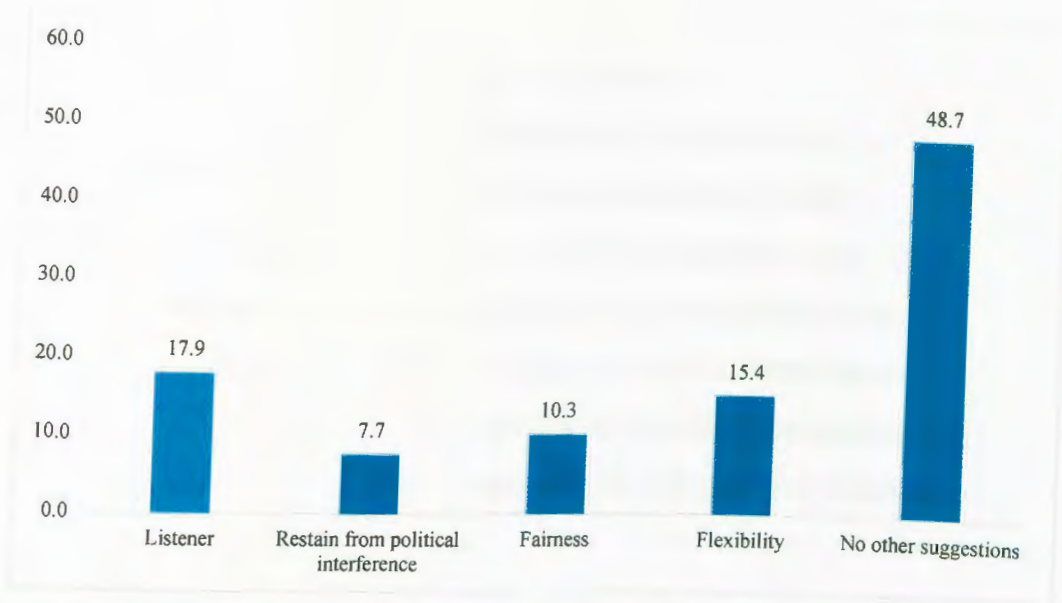


Figure 5.10: Breakdown of Responses of the Personal Opinion of Respondents Regarding the Skills and Traits of an Effective Leader

Figure 5.10 revealed the responses regarding the personal opinion of the respondents. A total of 48,7% of the respondents did not attempt to answer the open ended question regarding the skills and traits from their personal opinion. According to the responses 17, 9% of the respondents indicated listening as a skill of a leader, while move up 15,4% indicated flexibility. In contrast 10,3% opted for fairness as a skill of an effective leader and 7,7% of the respondents highlighted that an effective leader should abstain from political interference. Figure 5.11 on page 215 reflects the responses of the characteristics of an effective leader given as answers to the closed question.

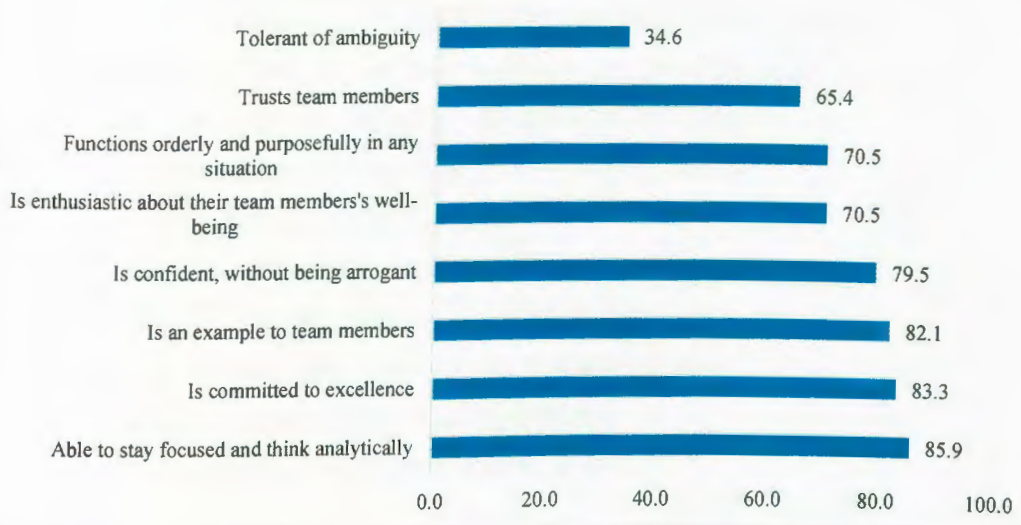


Figure 5.11: Breakdown of Responses Regarding the Characteristics of an Effective Leader

Figure 5.11 summarises the characteristics of an effective leader according to the responses. The results were as follows - able to stay focused and think analytically (85,9%), is committed to excellence (83,3%), is an example to team members (82,1%). Fewer than 80% of the respondents choose confident, without being arrogant (79,5%), is enthusiastic about their team members' well-being (70,5%), function in an orderly manner and purposeful in any situation (70,5%). In contrast the two characteristics that scored the lowest , according to the responses, were that the leader to be effective should have trust in the team members (65,4%) and tolerant of ambiguity (34,6%).

Figure 5.12 on page 216 presents the personal opinions of the respondents to the open ended question regarding the characteristics' of an effective leader at these institutions.

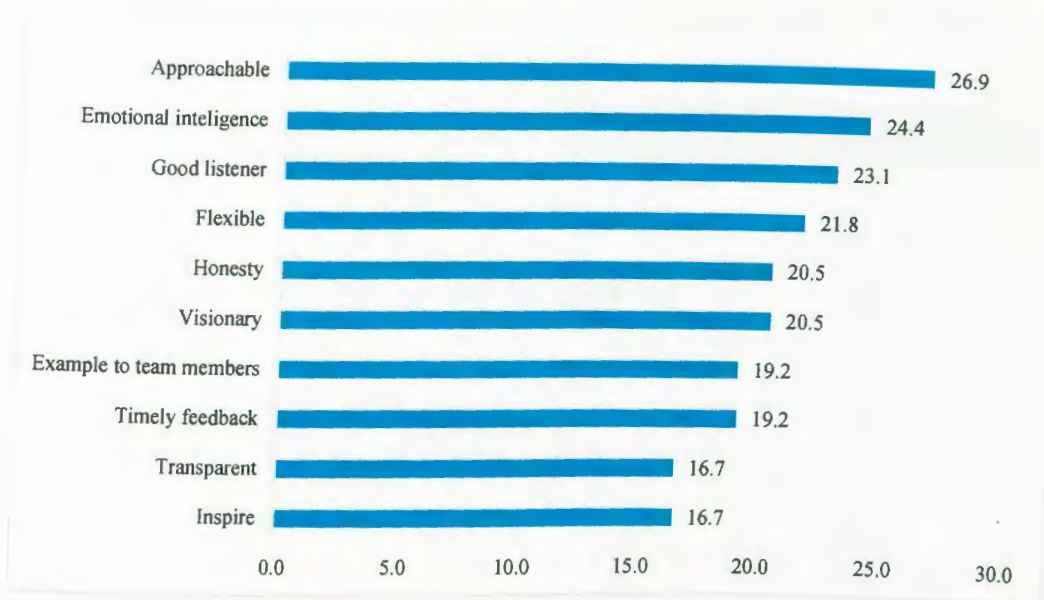


Figure 5.12: Breakdown of Responses Regarding the Respondents' Personal Opinion about the Characteristics of an Effective Leader

The breakdown of Figure 5.12 reflects the personal opinion of the respondents regarding the characteristics an effective leader should possess the following characteristics, namely.- approachable (26,9%) have emotional intelligence (24,4%), be a good listener (23.1%), be flexible (21,8%), be honest (20,5%), be visionary (20,5%), be an example to team members (19,2%), give timely feedback (19,2%), be transparent (16,7%) and inspiring (16,7%). Figure 5.13 on page 217 addresses the responses regarding the definition of transformational leadership.

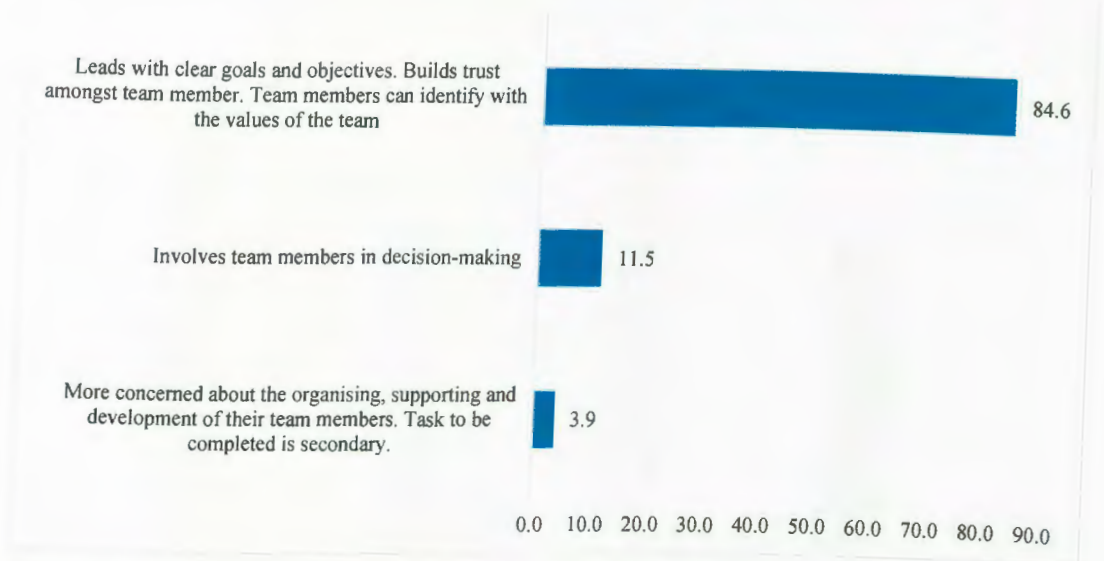


Figure 5.13: Breakdown of Responses Regarding the Respondents' Perception of the Term Transformational Leadership

The information in Figure 5.13 discloses the respondents' perception of the term 'transformational leadership'. The respondents were offered nine possible explanations for the concept transformational leadership of which they could choose one option. Three of the nine options in the survey questionnaires were selected by the respondents. The majority of the respondents (84.6%) indicated that transformational leadership means that leaders lead with clear goals and objectives. Leaders build trust amongst team members and the team members can then identify with the values of the leader. These leaders observe moral and ethical principles. The definition of transformational leaders according to 11.5% are leaders who involve team members in decision-making. Only 3.8% of the respondents choose the option for the definition of transformational leaders as leaders who are more concerned about organising, supporting and development of their team members than in completing the task which is secondary.

Figure 5.14 on page 218 reflects the responses regarding the choice of the respondents of the definition of transformational leadership.



Figure 5.14: Respondents Choice Regarding the Definition for Transformational Leadership

Figure 5.14 above reflected the respondents' responses to substantiate their choice regarding the definition for transformational leadership. The components for transformational leadership were selected as follows: vision (30.5%), focus on team members (29.6%), trust and respect (20.1%) and motivation (19.8%).

The next section offers an interpretation and analysis of leadership at UNAM and NUST.

**Interpretation and analysis of results pertaining leadership at public institutions of higher learning:**

The questions set for this section aimed to access leadership practices at UNAM and NUST. The first quality of a Vice Chancellor identified by the respondents was the holding of a doctorate combined with management, administration and financial skills. This choice supports Katz's (2009) view. He refers to these skills as technical

skills. It is evident that leaders at public institutions of higher learning not only need leadership skills but also managerial ones. The second quality, namely leadership, is a skill leaders need to have at public institutions of higher learning in Namibia. This coincides with Yukl's view (2016) who states that the success of any organisation depends on leadership.

The understanding of the institutional environment as stated by the respondents coincides with the meaning of strategy (Bradberry & Greeves, 2012). These two authors state that a strategy denotes the ability to anticipate the future and spot trends. This can only be achieved through the understanding of the institutional environment. The respondents were silent on the other two skills namely action and results as mentioned by Bradberry and Greeves (2012). The visionary leadership skill and the ability to unite people coincide with the human and conceptual skills as outlined by Katz (2009), Earley (2015) and Kirkpatrick & Locke (1991). The skills and traits a leader should possess, according to the respondents, are in line with those described by Earley (2015) and Kirkpatrick & Locke (1991).

The responses of the respondents showed that government involvement in the running of public institutions should be limited to funding, overall policy, with less interference and should create a conducive environment for UNAM and NUST. This accords with the views of Rytmeister (2007) as cited in this study which maintains that government intervention currently places a huge responsibility on the leadership of public institutions of higher learning. Regarding the funding issue raised by the respondents, Najam (2010) asserts that governments should determine if they really need more than one world class higher learning institution. Najam (2010) also states

that to gain world class status institutions require funding and to sustain this status they will require additional funding.

The participants for the survey questionnaire specified that ethical leadership will enhance equity and equality, will shape the future of UNAM and NUST. These results support the King 111 Report (Institute of Directors of Southern Africa, 2009) that recommends ethical values of responsibility, accountability, fairness and transparency will, if observed by the leaders, filter through to all divisions of an institution. This will ensure that all Namibians will have equal access to these institutions as students or employees. The positive image will enhance confidence in these institutions. This confidence will make certain that these institutions can attract the much needed funding, and guarantee that the output, the students, will enjoy a higher prestige amongst potential employers, as well as potential well qualified academic staff to the benefit of the students and the society.

These two public institutions operations are overseen by their councils, which act as their highest authority (UNAM, Statutes of 2013 and NUST, Statutes, Rules and Regulations of 2016) and are endorsed in The NamCode (Namibian Stock Exchange, 2014). Adherence to good corporate governance can guarantee that institutions attract much needed funding. The NamCode (Namibian Stock Exchange, 2014) states that the boards are the leader's highest level of leadership of an organisation and should uphold ethical leadership. That entails that leaders have integrity and build sustainable organisations to bring about the economic, social and environmental uplifting of the society in which they operate. Leaders with ethical principles will embrace a shared future for all internal and external stakeholders.

Evidence of excellent corporate governance in place can attract foreign investment (Dupasquier & Osakwe, 2006). The responses of the participants regarding the characteristics of an effective leader support Kotter's (2012) view on the characteristics of an effective leader.

The definition and the reason for the choice of the definition of transformational leadership by the majority of the respondents (84,6%) correlates with the definition offered by Liang, Chang and Lin (2016), cited and accepted for this study. The reasons offered by respondents for this specific definition support the components of transformational leadership as set out by Hellriegel, Jackson & Slocum (2005) and Clegg, Kornberger & Pitsis (2011). All these authors argue that the most determinant characteristic of transformational leadership is the ability to create a vision. This vision brings people together to generate a new future and focuses on the staff (Rao, 2014), and builds trust and respect (Liang, Chang & Lin, 2017) and brings in the motivation component according to Kinicki & Kreitner (2008). The next section offers the responses regarding organisational transformation at UNAM and NUST.

#### **5.3.4 Responses pertaining to organisational transformation at public institutions of higher learning in Namibia**

This section reflects on the responses, interpretation and analysis of the data regarding organisational transformation at public institutions of higher learning in Namibia. Figure 5.15 on page 222 reproduces the responses on the Likert scale regarding the question about organisational transformation in general.

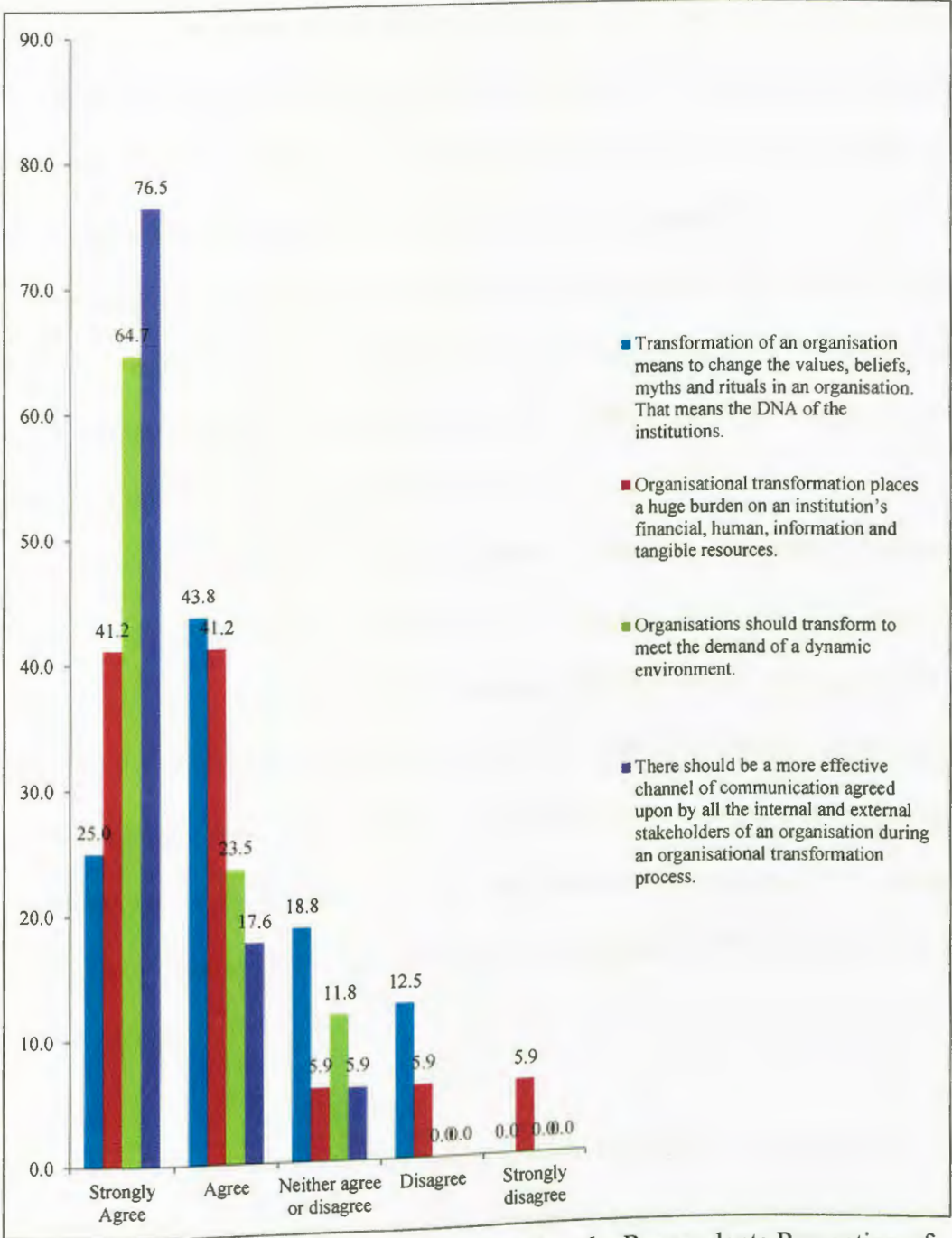


Figure 5.15: Breakdown of Responses Regarding the Respondents Perception of Organisational Transformation

Figure 5.15 offered the responses regarding the statements offered in the survey questionnaire.

Statement 1: *Transformation of an organisation means to change the values, beliefs, myths and rituals in an organisation. That means the DNA of the institutions.*

Responses to this statement are - strongly agree (25%), agree (43, 8%), neither agree nor disagree (18, 8%), disagree (12.5%) and strongly disagree (0%).

Statement 2: *Organisational transformation places a huge burden on an institution's financial, human, information and tangible resources.* Responses to this statement are - strongly agree (41,2%), agree (41,2%), neither agree or disagree (5,9%), disagree (5,9%) and strongly disagree (5,9%).

Statement 3: *Organisations should transform to meet the demand of a dynamic environment.* Responses to this statement are - strongly agree (64,7%), agree (23, 5%), neither agree or disagree (11,8%), disagree (0%) and strongly disagree (0%).

Statement 4: *There should be a more effective channel of communication agreed upon by all the internal and external stakeholders of an organisation during an organisational transformation process.* Responses to this statement are - strongly agree (76.6%), agree (17,6%), neither agree nor disagree (5, 9%), disagree (0%) and strongly disagree (0%).

The following sub section offers the responses concerning the factors that may negatively impact an organisational transformation process at public institutions of higher learning. To elicit these responses, the survey questionnaire opted for both closed and open-ended questions. The purpose of the open-ended question was to gain the personal opinion of the participants about factors that may negatively impact an organisational transformation process. Figure 5.16 on page 224 offers the breakdown of the factors that may negatively impact organisational transformation.

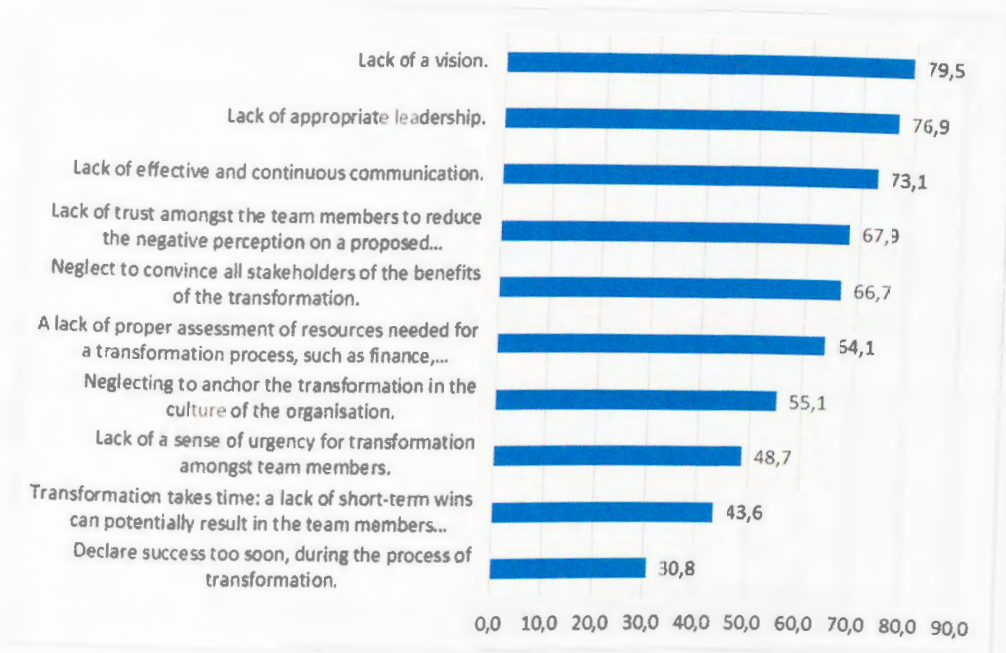


Figure 5.16: Breakdown of Factors that may Negatively Impact Organisational Transformation

In Figure 5.16 the actions that may negatively impact organisational transformation is reflected. The participants could opt for more than one option. The results suggested that the majority of the respondents - 79,5% of the respondents stated a lack of vision, while 76,9% chose a lack of appropriate leadership and 73,1% indicated a deficiency of effective and continuous communication. On the other hand, 67,9% selected a lack of trust amongst the team members and 66,7% of chose negligence to convince the stakeholders of the benefits of the organisational transformation. 64,1% of the respondents indicated there was a failure to take reasonable care to do a proper assessment of the resources needed for the transformation while 55,1% indicated there was neglect to anchor the organisational transformation vision in the culture of the organisation. Fewer than 50% of the participants choose a lack of urgency for the organisational transformation amongst the team members (48,7% ), 43,6% indicated a lack of short term wins and lastly

30,8% indicated that success is declared too soon during the organisational transformation process.

The respondents were given the opportunity in an open question to raise their personal opinions about factors that may negatively impact organisational transformation. These personal opinions are replicated in Figure 5.17 below.

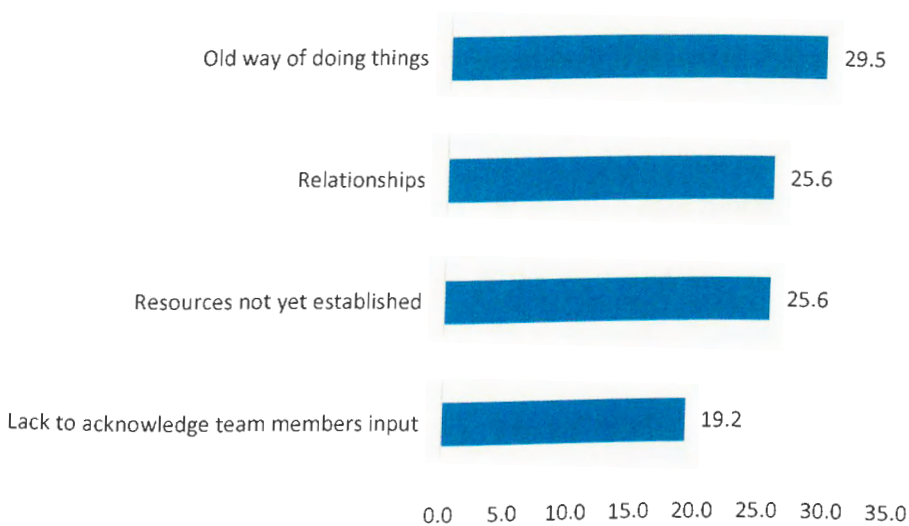


Figure 5.17: Breakdown of Factors, According to the Personal Opinion of Respondents, which may Negatively Impact Organisational Transformation

According to Figure 5.17 these personal opinions can be clustered in four main factors, namely old way of doing things during and after the organisational transformation process (29,5%), secondly relationships that are not conducive to the new transformed organisation (25,6%), thirdly resources are not yet established before embarking on a transformation (25,6). The fourth factor is neglect to acknowledge team members' input (19,2%).

In addition, the survey questionnaires made provision for an open-ended question for the respondents to demonstrate how their positions empowered them to bring about organisational transformation. The respondents have different views depending on whether their position was that of Pro/Deputy Vice Chancellor, Dean or HOD. For this question 14,1% of the respondents did not respond at all. A total of 23,87% of the respondents stated that they do have the power to engage and drive the agenda for transformation at their institution. In contrast, a minority of 5,16% stated that their role is confined and limited to communication amongst their team members in their faculty or department regarding organisational transformation while 16,67% stated they are only allowed to address and execute the core function of their institution namely, research and teaching. These are the two core functions of Deans and HODs and includes the following: to change the way students are viewed as low quality, adjust curricula, teaching and research to align it to national and international needs; give a voice to students and faculty; expose faculty and students to new ways of thinking and viewing the world by providing exchange opportunities and new research avenues; and finally to act as a link between the executive, academics and the students. The identification of resources for transformation in the faculty and department was identified by 25,6% of the respondents. According to 14,6% of those who responded to this question in the survey, commencements for organisational transformation at public institutions of higher learning normally subject to a call from the GRN.

Figure 5.18 on page 227 offers a reflection on the responses regarding the strategies that may ensure a successful organisational transformation process.

communication (38%), select a group of people to drive the transformation process (43,6%) and praise should be given for short-term successes during the organisational transformation process (38,5%). An open ended question was provided in the survey questionnaire to gain an insight into the personal opinions of respondents regarding strategies that may positively impact organisational transformation as reflected in Figure 5.19 below.

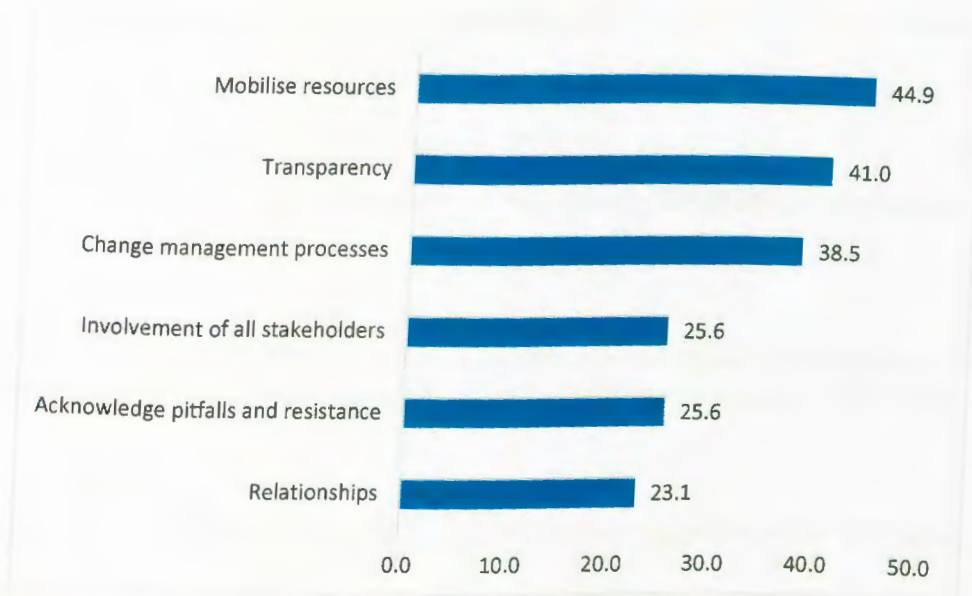


Figure 5.19: Breakdown of Personal Opinions of Respondents Regarding Strategies that can ensure a Successful Organisational Transformational Process

Figure 5.19, captured the breakdown of the personal opinions of the respondents regarding the strategies that may positively impact organisational transformation. These suggestions are to mobilise resources (44,9%) , transparency (41%) and change management processes (38,5%), involvement of all stakeholders (25,6%), acknowledgement of pitfalls and resistance (25,6%), and building of good relationships amongst all stakeholders (23,1%).

An open question was offered in the survey questionnaire regarding any transformation that the respondents may have brought to their division, faculty or department that is in line with Vision 2030, as reflected in Figure 5.20 below.

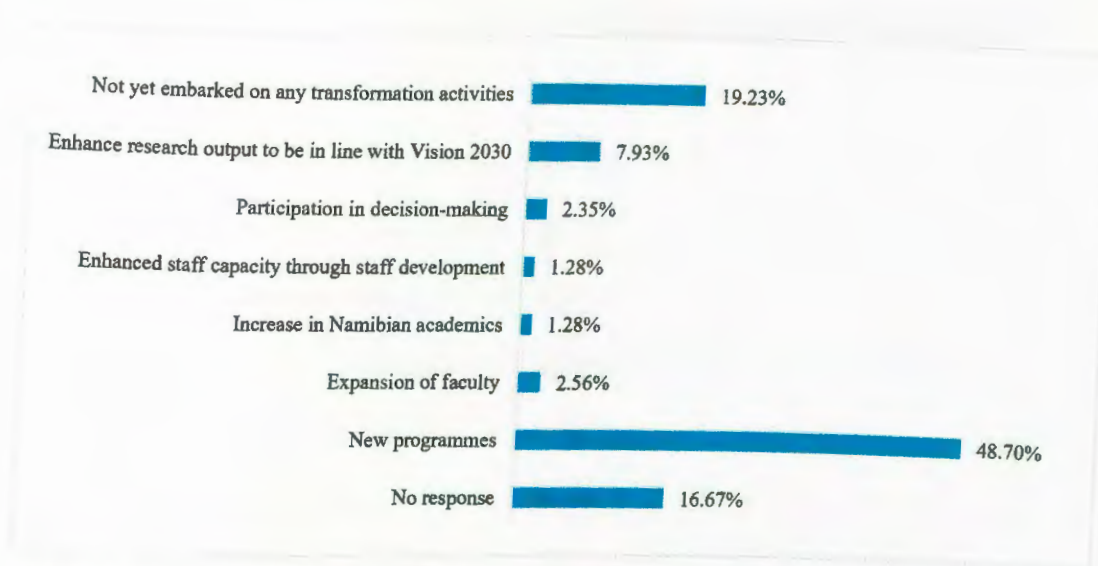


Figure 5.20: Responses Regarding Transformation that the Respondents May Have Brought to their Division, Faculty or Department that is in Line with Vision 2030

According to Figure 5.20 a total of 16,67% of the respondents did not respond to this question. The development of new programmes, update of curricula, including e-Learning and student centred education, were identified by 48,7% of respondents. The expansion of departments and faculties was indicated by (2,56%). Regarding staff the following strategies were put in place: that is for example, the number of Namibian academics employed was increased (1,28%), increase of capacity of staff through staff development (1,28%) and increased participation of staff in decision-making (2,35%). The approaches to enhance research output to be in line with Vision 2030 include areas like renewable energy, marine resources and issues based on the needs of the Namibian society (7,93%). A total of 19,23% of the respondents had not yet embarked on any transformational activities in their unit, faculty or department.

The last question covered under this theme is the respondents' responses to enhance organisational transformation in general, as reflects in Figure 5.21 below.

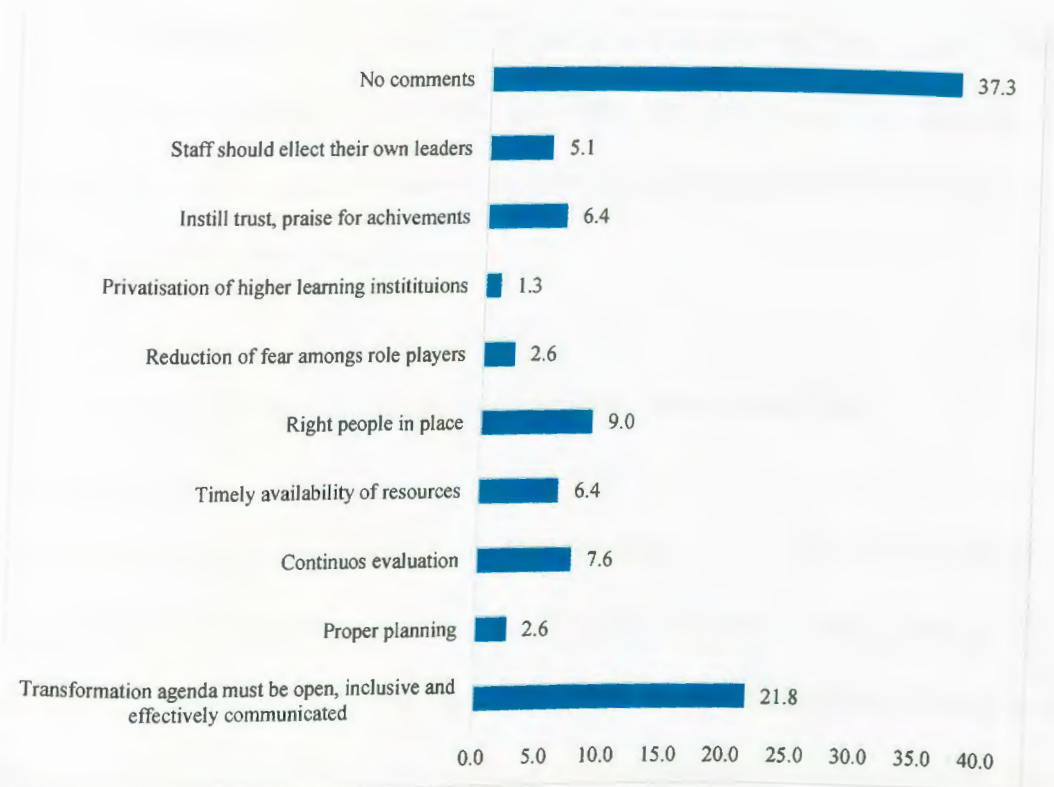


Figure 5.21: Respondents' Responses to Enhance Organisational Transformation in General

The responses in Figure 5.21 were summarised. A total of 37,3% of the respondents did not comment on this question. An organisational transformation agenda must be open, inclusive, effectively communicated and free from hidden agendas to ensure that all stakeholders buy in and this was indicated by 21,8% of the respondents. In addition, the respondents indicated that there should be proper planning (2,6%), continuous evaluation (7,59%), timely availability of resources (6,4%), right people in place (9%). Furthermore they indicated a reduction of fear amongst role players (2,6%), privatisation of higher learning (1,3%), instilling of trust, praise for achievements before, during and after the transformation and enrichment and team

work through a positive attitude amongst team members (6,4%). The next comments were that the staff should be allowed to elect their leaders like their HODs, Deans and Pro/Deputy Vice-Chancellors (5,1%) and that an organisational transformation process must first be well established in departments, then the faculties and finally the institution at large. The final comment was to ensure the success and sustainability of the organisational transformation as intended with the vision was offered by 1,28% of the respondents.

### **Interpretation and analysis of results pertaining to organisational transformation**

The majority of the respondents (68,8%) strongly agree and agree showed a comprehensive understanding of the concept of organisational transformation. This view of the participants supports the definition of organisational transformation as delineated by Burnes (1995). Only 18,9% of the respondents did not have an opinion on the concept of organisational transformation. The responses regarding the huge impact of organisational transformation on organisational resources was rated much higher (82,48% of the respondents strongly agree and agree while, only 17,7% of the respondents have no opinion, disagree or strongly disagree. The 82,48% of the respondents that agree and strongly agree support the argument of Griffin (2014) that organisational transformation places a huge burden on an organisation's resources. To cope with the dynamic environment as the reason for transformation is agreed upon by 88,2% of the respondents. Only 11,8% of the respondents did not agree with the reason as stated in the survey questionnaire. This concurs with Griffin (2014) who claims that reasons for transformation come from the pressure of the internal and external environment. The last statement claims that effective

various stakeholders are not convinced through prior effective and continuous communication about an organisational transformation they will not be convinced that an organisational transformation is possible and beneficial for all the stakeholders (Kotter, 2012). The consequences can cause emotional stress and a fear of the unknown (Kotter, 2012). The remaining factors that negatively impact organisational transformation are rated as follows by the respondents: firstly, neglecting to convince all stakeholders of the benefits of the transformation. This concurs with Kotter (2012) who states that a vision should be created and communicated to ensure that all stakeholders buy in. Secondly, a lack of proper assessment of the resources needed and this is in line with Hellriegel, Jackson and Slocum (2005) who argue that proper planning is of crucial importance to ensure a successful transformation process. Thirdly, neglecting to anchor the new vision of the transformation in the culture of the organisation supports Kotter (2012) who implies that the new vision should be embedded in the culture of the organisation. Fourthly, neglecting to instil an urgency about the transformation amongst the team members concurs with Kotter (2012) who argues that a sense of urgency regarding the transformation must be instilled amongst all stakeholders. Fifthly, a lack of short term victories supports Kotter (2012) who claims that in the absence of short term victories the team members may lose interest and do not see any successes because of the extended period for which a transformation may last. Finally, victory is declared too soon for the successful completion of the organisational process and this supports Kotter (2012). He list all these factors but does not rank them in order of importance.

The other factors, according to the respondents' personal opinions, are, firstly, that the old ways of doing things continue. This is in line with Kotter (2012) who argues that a common error is that some executive managers still act and behave in ways that are contrary to the new vision. Williams (2008) adds that the biggest obstacle to organisational transformation are those people who openly support the organisational transformation, but privately ignore the organisational transformation and continue to act as in the past. The second negative factor that may impact organisational transformation is that the resources are not yet established. The resources needed for the transformation process are determined, but not available on time. In addition, Kotter (2012) argues that the process of organisational transformation will be dragged on for too a long period and the planned budget for the organisational transformation process can be depleted. The last factor that may negatively impact organisational transformation, according to the respondents' personal opinion, is a neglect to acknowledge team members' input. This factor supports the view of Choi (2011) and Morrison (2011) who argue that team members may have useful knowledge that may be unknown to the management. Milliken, Burris & Detert (2003) who assert that team members should feel free to make suggestions and to criticise without fear for victimisation.

This next part of this section addresses the responses regarding strategies that can be employed to ensure a successful organisational process. The development of a vision and strategy, received the highest ranking, according to the responses, followed by effective communication and the identification of the current and potential obstacles which concurs with (Kotter, 2012) and (Hellriegel, Jackson & Slocun, 2005). It is worth noting that Kotter (2012) does not rank the strategies according to importance.

Hellriegel, Jackson and Slocun (2005) confirm that the evaluation of the environment, will ensure that current and potential obstacles can be determined. According to Hellriegel, Jackson and Slocun (2005) the articulation and communication of a clear vision and a well-developed action plan is the solution to an effective organisational transformation process. This stage is characterised by visible improvements in performances; creating the performances and the last action is the rewarding of people or teams who were in charge of the achievements. Stanislaw and Stanislaw (1995) suggest that the organisational transformation process should be introduced in stages. If the magnitude of an organisational transformation is considerable it may lead to protests on the side of the stakeholders. It is advisable to take advantage of the features of the organisational transformation that will give the most personal benefits and share them with all the stakeholders. These may include non-financial and financial benefits. Effective communication of the new vision can ensure trust and confidence for an organisational transformation (Lamb & McKee, 2004).

#### **5.4 QUALITATIVE DATA PRESENTATION, ANALYSIS AND**

#### **INTERPRETATION**

Following the presentation, interpretation and the analysis of the results of the survey conducted with the Pro/Deputy Vice-Chancellors, Deans and HODs of UNAM and NUST this section focuses on the semi-structured interviews. These interviews were conducted face to face with five of the six respondents. Owing to the distance a semi-structured video call interview was conducted with one respondent who is stationed at the Northern campus of UNAM. The sample consists of the two Vice-

Chancellor, the two chairpersons and the two SRC representatives on the councils of UNAM and NUST. The qualitative data from the semi-structured interviews were analysed with the aid of ATLAS ti. The six respondents who took part in the semi-structured interview were targeted. The position, institution and the period in office of the respondents are revealed in Table 5.2 below.

Table 5.2: A Breakdown of Positions, Institutions of Higher Learning Employed and Period in Office of the Respondents

<b>Position of the respondents</b>	<b>Institution of higher learning where respondents are attach</b>	<b>Period in office of the respondents</b>
Vice-Chancellor	UNAM	13 years
Vice-Chancellor	NUST	22 years
Chairperson of Council	UNAM	One year and five months
Chairperson of Council	NUST	11 months
SRC Representative on Council	UNAM	Four years on SRC and three months as SRC representative on council
SRC Representative on Council	NUST	Three years on SRC and three years as SRC representative on council

The ranking of respondents in Table 5.2 does not correlate to the numbers allocated to the respondents in the responses of this section. This concurs with Saunders, Lewis and Thornhill (2016) who state that the confidentiality and anonymity of the respondents need to be protected when analysing the data. The numbers attached to the respondents in the responses were given for comparison, analysis and interpretation purposes only.

A second observation on Table 5.2 concerns the exceptionally lengthy term of office of the Vice-Chancellor of these two institutions. According to University of Namibia Act of 1992 the Vice-Chancellor is appointed for a period of six years and is qualified for re-appointment and the Namibia University of Science and Technology Act of 2015 states that the Vice Chancellor is appointed for a period of five years and is eligible for re- appointment. Both Acts are silent on the number of periods a Vice Chancellor may serve. It is, however, significant that the current Vice-Chancellor of NUST is now serving a first term of office after the PoN was transformed to NUST, but had already served as Rector of PoN since its establishment in 1994. The third issue relates to the status of SRC representatives on councils at these institutions. The SRC representative on Council of UNAM was removed from office two months before the interviews commenced. The current SRC representative on council had only served three months on council when interviewed. The SRC representative on Council of NUST was removed from office four months after the participation in the interview as SRC representative on Council. The removal from office of these SRC representatives on councils is a concern, irrespective of the reasons for their removal from office.

The responses of the interviewees will be discussed under the following four themes namely: perspectives on leadership practices at UNAM and NUST; perspectives on organisational transformation at UNAM and NUST; the impact of leadership on organisational transformation at UNAM and NUST; and the perspectives on a normative leadership model to guide organisational transformation at UNAM and NUST. A total of 15 semi-structured questions

were employed to probe the understanding and views of the interviewees on these four themes.

#### **5.4.1 Theme 1: Perspectives on leadership practices at institutions of higher learning**

The purpose of this section was to probe the understanding of the Vice-Chancellor, chairpersons and SRC representative on councils at UNAM and NUST on their perception on leadership practices and the impact on organisational transformation at their two institutions. The study adopted a face-to-face interview with five of the respondents and a video call interview with one the respondents who is stationed at the Northern campus of UNAM at Oshakati, a six hour drive north of Windhoek. The six respondents were asked six semi-structured questions to probe their perceptions on leadership practices at their institution.

##### **Question 1: How do you view the leadership role at public institutions of higher learning in Namibia?**

**Respondent 1**, rated leadership as dependent on the GRN for the resources of the institutions. Secondly this respondent claimed that resources are poorly managed at institutions of higher learning. The argument offered for this dependency syndrome is that people see “it is not my money it comes from Government”. This participant further commented that leadership is not bad, but there is room for improvement.

**Respondent 2**, stated that institutions of higher learning should be in the forefront of leadership and have autonomy to run these institutions. This autonomy is, however, invaded by government intrusion in the running of these institutions (...).

**Respondent 3**, suggested that integrity, accountability, transparency and empowering of teams are the features of leadership that are needed at public institutions of higher learning.

**Respondent 4**, argued that as leaders at institutions of higher learning “you lead people who have the same or even better qualifications and experience than you as the leader”. In order to capitalise on the knowledge and experience of the team, leadership should involve and have the support of all team members. In addition, the participant stated that leaders should have respect for and have respect of all stakeholders.

**Respondent 5**, reported that leadership is crucial for the successful operation and management of public institutions of higher learning. This respondent further argued that continuous improvement of leadership is needed to deal with the dynamics of the environment in which these institutions operate.

**Respondent 6**, maintained that stakeholders have different views and leadership should accommodate these views. This respondent stated that there is a tendency amongst leaders not to accept responsibilities and added that leaders should always be neutral during any debates.

**Question 2: In your opinion what skills and character traits should a leader of public institutions of higher learning possess?**

**Respondent 1**, suggested that leaders should have respect, be innovative, exemplary and a people's person.

**Respondent 2**, argued that a leader should have the ability to mediate and arbitrate. According to this respondent as leader one must balance the views, and formulate your own (...). The interviewee further stated that a leader should "balancing the politics within the institution (...), be very committed to the institution, passionate about the work, competent and engaged".

**Respondent 3**, recommended that as leader one should have courage, authenticity, faith in your team and management, to think out of the box and be able to act as a facilitator.

**Respondent 4**, stated that a leader should take note of what is going on in society through listening and interaction. In addition, a leader, should be first among the equals, promote team cohesion, respect all stakeholders, positively influence the team members to follow the vision of the institution, have excellent people skills, care for all stakeholders, continuously improvement, have management skills (particularly financial skills) as well as analytical skills.

**Respondent 5**, suggested the following: understanding the environment, have excellent people skills and the ability to work with different types of people. In addition, a leader should uphold integrity and set and maintain high performance standards as well having general management skills, be an excellent communicator and have a broad knowledge of academic issues.

**Respondent 6**, suggested that the traits of a leader are the ability to listen to all stakeholders, has to influence team members, to continuously evaluate the internal and external environment and nurture freedom of speech of the team members.

**Question 3: What do you consider to be the core functions of a leader at an institution of higher learning?**

**Respondent 1**, stated that the core functions of a leader are to provide direction, monitor and to provide leadership to ensure that the institution moves in the direction as stipulated in its vision and mission statements.

**Respondent 2**, considered the following as the core functions of a leader: a leader needs to manage, lead and to transform the institution to (...).

**Respondent 3**, maintained that a leader should develop and grow the institution.

**Respondent 4**, identified listening and taking action as the main functions of a leader.

**Respondent 5**, stated that policy implementation, governance and ensuring that direction is provided are the key traits of a leader.

**Respondent 6**, maintained that the core function of a leader is to care and to represent the team's best interest.

**Question 4: What influences the change of style of leadership at public institutions of higher learning? Elaborate.**

**Respondent 1**, argued that the economy and the political environment constantly change and thus (...). In addition, the respondent stated that the current situation, the behaviour and composition of the team dictate the style of leadership a leader will embrace.

**Respondent 2**, referred to the environment and the culture as the key determinants of the leadership style a leader will adopt.

**Respondent 3**, responded that the GRN as a major stakeholder (...) and the composition of the team impact the style of leadership.

**Respondent 4**, was convinced that whatever a leader is doing should be to the advantage of the team. To ensure this, the interviewee stated that the team should be engaged.

**Respondent 5**, argued that leadership is influenced by the individual who is providing leadership, the internal and external environment of the institution and the resources available.

**Respondent 6**, commented that the institution at large, the community, the pressure of workload, degree of influence on the team and the background of the leader all impact the style of leadership.

**Question 5: How would you describe your leadership style? Why have you adopted this leadership style(s)?**

**Respondent 1**, stated “I will opt for a laissez faire style to provide room for innovation and creativity, but sometimes I will opt for an autocratic style when I believe it will be to the benefit of the institution”.

**Respondent 2**, indicated that his style is hands on and passionate to ensure that “I am interested and set an example to team members”.

**Respondents 3**, commented on this question that his leadership style is “characterised by ethical principles to lead the team with integrity and authenticity to ensure that the team knows the direction where the institution is going”.

**Respondent 4**, claimed that his leadership style branded feature is to listen to all stakeholders. Try to convince those who are not yet convinced. To command the team is according to this participant “a no go area”.

**Respondent 5**, commented that his style is about inclusivity. All decisions made must be collectively taken (...). This will ensure that all stakeholders will take ownership of the decision made.

**Respondents 6**, argued that one’s leadership style embraces ethical principles. In addition, respect, setting an example regarding work ethics, debating and caring for the team are all important aspects of leadership.

### **Interpretation and analysis of responses regarding leadership at institutions of higher learning:**

The first question for this sub-section addressed the responses of the respondents regarding their perception of leadership at UNAM and NUST. One respondent stated that the dependency syndrome of public institutions of higher learning on the GRN and waste of resources are reasons for concern and this supports the view on the concept ‘leading’ that refers to the ability to effectively and efficiently manage the resources (Yukl, 2006). Another respondent is of the view that there is room for improvement gives the impression that leadership offered at

this institutions is not on par as expected. This concern relates to a similar concern raised by Hill (2003) who states that leaders at institutions of higher learning are not appointed based on their leadership qualities but rather on their research expertise, course development and teaching qualities. One respondent raised the issue of autonomy and another the importance of ethical leadership. These ethical principles of accountability, fairness and integrity are crucial to ensure that these public institutions of higher learning is seen as responsible entities which is in line with the NamCode (Namibian Stock Exchange, 2014). This implies that all leaders, the government included, should uphold the principles as embedded in good governance principles as set out in the NamCode (Namibian Stock Exchange, 2014). Three of the respondents state that inclusivity of all stakeholders in the educational institution is crucial, because the lack of ability to empower all staff members to work together as a team is an indication of exclusivity which is in contradiction to what Riggio (2006) Kogler and Hill (2013) and Northouse (2013) advocate. In addition, one respondent refers to appropriate leadership. This supports the view of Hellriegel, Jackson and Slocum (2005) that leadership practices needs to create an inclusive vision that brings team members together. Muller and Schiffman (2006), in addition, state that if institutions of higher learning want to meet international best practice, the input of all stakeholders is of crucial importance.

Respect for others and from others, innovation, exemplary mediation, arbitration skills, commitment, competence, engagement, trust, courage, listening, interaction, people, management skills and analytical skills, knowledge of the environment, integrity and allowing freedom of speech are the words and phrases

that the respondents repeatedly mentioned to describe the traits and characteristics of a leader. This revealed that the respondents demonstrate an understanding of the three core skills of leadership (Bradberry & Greaves, 2012) namely having a strategy, taking action and producing results. The first skill of strategy refers to a vision, which is derived from the analytical assessment of the internal and external environment and requires a solid educational background from the leaders. Such a strategy involves input from all stakeholders through influencing, consultation, listening, caring and allowing freedom of speech. The word courage used by the respondents refers to the actions of the leader and the continuous improvement refers to the results.

The majority of respondents displayed a clear understanding of the functions of a leader. The response of the respondents regarding the core functions of leaders are to provide direction, monitor, to provide leadership, to manage, to transform the institution, listening, policy implementation, governance, action, caring and representation of the team. These functions specified by the respondents support what Williams (2006) and Clegg, Kornberger & Pitsis (2011) delineate. They state that the establishing of support networks, giving direction, providing leadership, transforming the organisation, listening, good governance, taking action and caring for team members are embedded in transformational leadership. However, the function of policy implementation is the responsibility of management as stated by Badenhorst, *et al.*, (2003).

Factors that may impact the style of leadership according to the responses are the following: the situation, the economic climate, the internal and external

environment, interferences by the GRN, the behaviour of the team, culture, the individual who provides leadership, the resources available, the degree of influence of the leader on the team, and the pressure of the workload of the leader. These factors raised by the respondents relate to the factors identified by Klenke (2007). The responses, however, are silent on the relationship between the team members and the leader, and amongst the team members, effectiveness of communication amongst the stakeholders, policies in place and the severity of the task to be completed (Klenke, 2007). According to Klenke (2007) these factors individually or a combination of them may impact the style of leadership a leader may employ.

One respondent opts for the laissez faire leadership style to provide room for innovation and creativity, as well as an autocratic style only when it is to the benefit of the institution. According to Pride, Hughes and Kapoor (2013) a laissez faire leadership style can only apply when team members are highly trained and motivated. As the team members of Universities are regarded as highly trained the style may be appropriate but the motivation component needs to be determined. Avolio (1995) states that transformational leaders can be participative, democratic or authoritarian. Another respondent opts for a hands-on approach to leadership. This approach implies that this leader does not delegate, possibly owing to a lack of trust or respect for the team members. This type of leadership approach according to Chang and Lin (2016) is detrimental and works against the vision of the organisation becoming embedded in the culture of the team members. Two respondents opted for a leadership style that is characterised by ethical principles. An institution that has effective corporate

governance can attract investment (Ahunwan, 2002). This can assist public institutions of higher learning in Namibia to bring in much needed funding. In addition, one respondent refers to respect, setting an example regarding work ethics, debating and caring for the team. A lack of respect, or ethics and of caring for the team will not advance the team and will affect the realisation of the organisational vision negatively (Rao, 2014). Another respondent selects a leadership that emphasises listening while yet another respondent chooses a leadership style that embraces inclusivity. The type of leadership styles chosen by three respondents are embedded in the characteristics of a transformational leadership style. Listening, respect, caring and being a role model as leader are embedded in the components of idealised influence, inspiration and individual consideration relating to a transformational leader (Svendson & Joensson, 2016).

#### **5.4.2 Theme 2: Perspectives on organisational transformation**

The purpose of this section is essentially to probe the awareness and understanding of organisational change and organisational transformation from the respondents. Thereafter the responses regarding the importance, challenges and mitigation strategies to deal with organisational transformation will be explored. The interview schedule made provision for five semi-structured questions to elicit the responses on this theme. These were questions 6 to 10 of the interview schedule as reflected in Appendix F.

**Question 6: Differentiate between organisational change and organisational transformation.**

**Respondent 1**, described change as temporality and transformation as a permanent and continuous action”.

**Respondent 2**, argued that change is when “one is not driving the change you are just following” and transformation is more intrinsic, “it is an interesting value, it must be and it adds value within you”.

**Respondent 3**, stated that change and transformation are the same concepts.

**Respondent 4**, maintained that “change is more physical and transformation more internal”.

**Respondent 5**, referred to change as the “amendment of the status quo” while transformation refers to “a desired future, getting to a new space, new status”.

**Respondent 6**, posited that change refers to “a change in direction” while transformation in contrast refers to “all options forward for a new future”.

**Question 7: Why is organisational transformation important at your institution?**

**Respondent 1**, reasoned that due to the dynamic global environment within which these institutions operates, they should transform to stay competitive.

**Respondent 2**, argued that organisations do not operate in isolation and particularly institutions of higher learning. They should be in the forefront of transformation, meaning they should be transformation agents in society.

**Respondent 3**, claimed that the purpose of transformation is to ensure that the output of these institutions, namely the students, is able to contribute to the economy and to create (...).

**Respondent 4**, commented that the importance of transformation lies in the contribution the students, as the outputs of these institutions, can make to the society, the continent and the world at large.

**Respondent 5**, stated that if institutions of higher learning do not transform, they will either stagnate or be forced to close their doors in the worst case scenario because of the many challenges humankind is facing today and the changes in demand of the environment.

**Respondent 6**, argued that institutions of higher learning need to transform to meet the changing demands of society.

**Question 8: Are you aware of any challenges that may adversely affect an organisational transformational process? If yes, what are those challenges?**

**Respondent 1**, stated that the lack of sufficient resources is the biggest challenge because transformation is costly. Institutions of higher learning need to transform to meet the ever increasing and changing demands of society.

**Respondent 2**, argued that resources are the most important challenge. Funding of public institutions is something that has not been sorted out yet because it is still going by history (...). “We cannot transform our society properly if we continue to do (...)”. In addition the respondent stated that governance, the state of the economy and favouritism regarding funding by GRN may adversely affect (...).

**Respondent 3**, stated that a sense of entitlement and the lack of funding are the biggest challenges. In addition “the fees must fall belief” will put more pressure on the resources of Universities.

**Respondent 4**, maintained that the economy and social problems like diseases are the challenges that may negatively affect transformation.

**Respondent 5**, argued that the decline in government funding, the fees must fall campaign and increase of student enrolment are the challenges that may impact transformation at Universities.

**Respondent 6**, commented that financing, lack of support systems and lack of appropriate leadership may negatively impact transformation.

### **Question 9: How do you respond to these types of challenges?**

**Respondent 1**, stated that communication and consultation are the best strategies to address these challenges.

**Respondent 2**, suggested the changing of the systems (...). Government should revise its public governance to address issues like the current economic crisis. Government is the major role player in the economy and if government is not able to provide, the economy can come to a halt.

**Respondent 3**, stated that plans are in place to earn an income outside the government subsidy. These plans, however, should include contributions from all stakeholders and be agreed upon by all stakeholders, in particular the government as the major shareholder. In addition the respondent referred to proper governance and faith in the quality of one's team.

**Respondent 4**, argued that a successful organisational transformation always starts with the development of a deep sense of self-awareness of oneself and at an institutional level to reduce the impact of these challenges on transformation, proper planning is essential. Organisational transformational goals are worthless without proper planning.

**Respondent 5**, opines that “we have decided to establish a business week for the university to generate funds”. The way to address the issue regarding fees must fall “is to strike a balance between reduced fees and quality of education.” One cannot compromise our output, the students, at the expense of resources.

**Respondent 6**, stated that communication is the most appropriate strategy that one can utilise (...). Educate people to stop relying on the system only (...) and leaders must have compassion.

**Question 10: Which strategies can be used to ensure a successful transformational process at institutions of higher learning? Explain.**

**Respondent 1**, emphasised the importance of consultation with all stakeholders and innovative ways to deal with these issues, considering the limited resources. Another strategy is to create partnerships for mutual benefit.

**Respondent 2**, replied that a transformational leader is one with a written vision and who lives this vision and these are effective strategies to ensure a successful organisational transformation.

**Respondent 3**, argued that trust in the team and a succession plan for a leader(s) can ensure a successful transformation.

**Respondent 4**, recommended dialogue and engagement with the individual and the various groups of stakeholders.

**Respondent 5**, suggested that the leader should first develop a deep sense of self-awareness. The second step is to clearly understand the state of affairs of the institution. The last step is to determine where you want to go, according to the vision and mission, and then identify possible obstacles.

**Respondent 6**, felt that upward and downward communication amongst all stakeholders is the recommended strategy to effectively and efficiently deal with organisational transformation.

### **Interpretation and analysis of the responses regarding organisational transformation**

One of the respondents argued that change is temporary and transformation is a permanent and continuous action. Another respondent stated that one is not driving the change, but just following it, while transformation is more intrinsic. In contrast another respondent stated that change and transformation are the same concept. Change can be defined as more physical and transformation more internal according to the fourth respondent. The fifth respondent argued that change is the amendment of the status quo while transformation refers to a desired future, getting to a new space, a new status. The sixth respondent referred to a change as a move into a specific direction while transformation in contrast refers to all options moving forwards to a new future. It is evident that five of the six respondents supports the view of Dumphy and Stace (1993), namely that transformation refers to a radical change across the entire organisation, while change refers to the continuous amendments, incremental amendments or radical change in a department or division within an organisation. This study reveals a difference between change and transformation.

Three respondents stated that because of the global economy within which institutions operate, there is a need to transform to stay competitive and this concurs with the view of Kotter (2012) who argues that organisations need to

transform to accommodate the changing needs of their current and future customers. In contrast four respondents stated that the importance of transformation lies in the output, the students, the future employees and leaders who need to address the challenges humanity is facing today. The responses of these four respondents agrees with Kotter (2012), who states that the way of doing business and the types of products and services offered may not be relevant anymore. These responses are silent on the issues of technology, competitors, the employees, and change in government regulations, globalisation and actions from specific stakeholders (Kotter, 2012).

The analysis of the responses regarding the challenges that may affect organisational transformation indicate some similarities amongst the responses. These challenges are: the dependency syndrome (two respondents), funding (three respondents), governance (one respondent), favouritism (one respondent), the fall of tuition fees (two respondents), access to education (one respondent), fast growth, expansion and transforming at institutions (one respondent) and the diversity of management and staff (one respondent). The issue regarding access to higher learning supports Eshiwani (1999) who argues that the challenges which higher learning institutions experience are the expansion of student enrolment, equity and access to higher learning institutions, financial issues, brain drain, information technology and the impact of tertiary education on employment. The responses are, however, silent on the last three challenges listed by Eshiwani (1999).

The following responses summarise the strategies offered by the respondents to deal with these challenges: effective communication, consultation, changing the systems, earn an income outside the government subsidy, proper governance, faith in the quality of team members, self-evaluation and caring. If institutions of higher learning have an inclusive, well-communicated vision that is embedded in their culture the challenges that the respondents identified can be reduced or even eliminated (Kotter, 2012). According to the interviewees' responses the building of trust amongst all stakeholders and innovative ways to deal with issues and to create partnerships for mutual benefits are suggested four times by the respondents. Other strategies offered by three respondents are a realistic vision, succession plans for a leader and self-assessment. These strategies substantiate the claim of Hellriegel, Jackson and Slocum (2005) that proper planning, continuous evaluation of the environment, the determination of the performance gap and the reduction of resistance to a transformational process are the key issues. These responses correspond with Lamb and McKee (2004) who state that if effective communication amongst all stakeholders is in place it will assist the stakeholders to understand the overall purpose of the organisational strategy, helping them to understand the key objectives of the strategy and the level of performance of the institution.

### **5.4.3 Theme 3: Perspectives on leadership and the impact on organisational transformation**

The purpose of this section is to determine the perspectives of the respondents on the impact of leadership practices on organisational transformation at public institutions of higher learning in Namibia. The purpose of this procedure is to determine the

relationships between leadership, as the independent variable, and its impact on organisational transformation, the dependent variable for this study.

**Question 11: What is the role of a leader such as a Vice-Chancellor/ Chairperson of Council/ Student Representative on Council at your institution regarding organisational transformation? Elaborate.**

**Respondent 1**, argued that the role is to identify areas where changes and/or transformation is/are needed. The informant further stated that a leader should be a person that respects people and humanity.

**Respondent 2**, stated that the role of a leader is to refine all the options before taking decisions. In addition, this participant argued that as a leader you should be a “professional and competent transformational leader”.

**Respondent 3**, saw the role of leader as someone who should ensure that a written strategic plan including the input of all stakeholders is in place.

**Respondent 4**, commented that a leader’s role is to ensure that a continuous evaluation of the current situation is conducted to see where changes and/or transformation is/are needed for the benefit of all stakeholders and for the institution as a whole.

**Respondent 5**, suggested that a leader’s role is to embrace collective decisions. This respondent further stated that as a leader one should set the trend (...). A leader at institutions of higher learning should ensure that what is needed in society is supplied through a needs analysis in consultation with the various stakeholders.

**Respondent 6**, argued that a leader should be seen as an example who is ready to contribute (...). The participant further stated that leaders at institutions of higher learning should know and listen to the community that they are working with.

**Question 12: Which leadership principles, in your opinion, are essential to advance leadership practices to cope with the dynamic environments in which institutions of higher learning operate today?**

**Respondent 1**, argued that “A leader should be a person with respect and humanity, meaning a people’s person”.

**Respondent 2**, listed commitment to the vision, dedication, competence and engagement in the affairs and stakeholders of the institution.

**Respondent 3**, argued that integrity is the key principle and to honour all aspects as stated in the Corporate Governance Code of Namibia.

**Respondent 4**, argued that leadership principles are upholding the core values of the institution, a caring attitude towards all stakeholders and the promotion of team work

**Respondent 5**, stated that specific values such as of integrity will always “raise the bar and standards amongst all stakeholders”.

**Respondent 6**, felt that mutual respect amongst all stakeholders will enhance leadership practices.

**Question 13: Which style of leadership, in your opinion, will enhance a successful organisational transformation process? Explain.**

**Respondent 1**, argued that consultation and facilitation need to be rooted in leadership as required skills. This will ensure collective decision-making which will empower the team.

**Respondent 2**, opted for an aggressive leadership style, “meaning tenacious hanging on to the principle”. This can ensure a successful organisational transformation.

**Respondent 3**, preferred an ethical leadership style, characterised in particular by integrity and authenticity.

**Respondent 4**, stated that a leadership style marked by listening can enhance organisational transformation.

**Respondent 5**, argued that a transformational leadership style combined with a strong inspirational component is required. A democratic leadership style is highly recommended but sometimes during the organisational transformational process an autocratic leadership style may be needed, depending on the situation.

**Respondent 6**, stated that the key determinant of successful transformation is communication amongst all stakeholders.

**Question 14: Do you have any other comments or ideas about leadership to enhance organisational transformation at institutions of higher learning?**

**Explain.**

**Respondent 1**, stated that leadership should embrace a culture of consultation, competencies and create a conducive environment for innovation and entrepreneurship.

**Respondent 2**, argued that sentiment and favouritism regarding resource allocation can ruin leadership at public institutions of higher learning in Namibia.

**Respondent 3**, stated that as a leader one should uphold integrity and purpose. This respondent added that a leader should be accountable and adaptable.

**Respondent 4**, argued that leadership is not about perfection. If you as leader make a mistake, acknowledge it.

**Respondent 5**, noted that leadership must embrace diversity and ensure that proper governance practices are in place.

**Respondent 6**, argued that the most important factor that may hamper leadership is lack of support.

### **Interpretation and analysis of the responses regarding the impact of leadership on organisational transformation**

The responses of the respondents regarding their role during an organisational process show that two respondents stated that a leader acts as a facilitator of the organisational transformation process which supports the assumption that transformational leaders act as catalysts for transformation amongst team

members as stated by Williams (2006). One respondent stated that leader should observe respect for all stakeholders involved in the process of transformation. This view concurs with Chang and Lin (2016) who maintain that transformational leaders obtain respect amongst the team members through individual concern for them. Another respondent argued that a leader should embrace a transformational leadership skills. In contrast, two of the respondents see the role of a leader as ensuring that an inclusive strategic plan is in place. Their view that the continuous evaluation of the current situation, by the leader, to see where changes and/or transformation is/are needed to the benefit of all stakeholder supports Bass (1998) and concurs with Kinichi and Kreitner (2008) and Noorshahi, Yamani, Dozi and Sarkhabi (2008). Two respondents stated that a leader should set an example and this supports the view of Clegg, Komberger and Pitsis (2011) who argue that leaders should set examples that team members can identify with.

Two respondents stated that a leader should be a person with respect concerning leadership practices. This response echoes the view of Chang and Lin (2016) who argue that transformational leaders show respect for and bring confidence to team members. Only one respondent argued that commitment, dedication, competencies and engagement will enhance leadership principles to address the dynamic environment in which institutions of higher learning operate. This response coincides with Swendson and Joensen (2016) who argue that intellectual stimulation used by transformational leaders challenges team members' ordinary way of doing things and inspires innovative ways of working and problem solving. Two respondents opted for integrity as a key principle to

enhance leadership practices. This response corresponds with the view of Williams (2006) who argues that transformational leaders are ethical. This response is however, predicated on trustworthiness, thoughtful consideration and confidence (Williams, 2006).

The respondents' responses regarding the leadership style most appropriate for an organisational transformation demonstrate different opinions. A leadership style chosen by one respondent was one that is characterised by consultation, cohesion of team members and good facilitation. This leadership style is in accord with Barrionueve and Gutierrez-Guierrez (2012) who state that leaders should enhance the realisation of shared interests amongst the team members and assist them to achieve common goals. One of the respondents argued for a leadership style based on vision. This response, namely that a vision is embedded in transformational leadership, matches the claim of Hellriegel, Jackson and Slocum (2005) who argue that transformational leadership is characterised by the ability of this leadership style to create a vision that brings all team members on board for a new direction and future. Another respondent claims a combination of ethical and authentic leadership. This style of leadership meets the requirements of ethical standards for a transformational leader as indicated by Northouse, (2016). This response is, however, silent regarding long term goals and the fulfilment of team members' needs and treatment of team members as human beings (Northouse, 2016). The other two respondents recommend a listening and transformational leadership style combined with a strong inspirational component. The inspirational and listening components mentioned by these respondents are entrenched in transformational leadership (Svendson & Joensson, 2016). Only

one respondent recommended a democratic leadership style but at times an autocratic leadership style may be needed. This response is in line with transformational leadership that may be directive, participative, democratic and aggressive (Avolio, 1999). One respondent stated that leadership should embrace a culture of consultation, competencies and create a conducive environment for innovation and entrepreneurship. One of the biggest challenges raised by the respondents regarding transformation is resources. Institutions and in particular public ones should find ways to generate funds outside government. This can be achieved through innovative ways to get access to additional funding. Sentiment and resource allocation are the downfall of leadership at public institutions of higher learning in Namibia. The allocation of resources by the GRN should be done purely on the basis of performance. Leadership is not about perfection, but if a leader makes a mistake, it should be acknowledged. Leadership must embrace diversity and ensure that proper governance practices are in place. According to these responses a transformational leadership style addresses these requirements since the following four components are embedded in transformational leadership. These are: idealised influence (inspire and motivate team members to perform above expectation); inspiration motivation (state a clear vision and inspire team members to contribute to instigate a change amongst team members); intellectual stimulation (challenge team members' ordinary way of doing things and thus inspire innovative ways to address problems and ways of doing things); and individual consideration (goals that have been harmonised between those of the individual and those of the organisation). This corresponds with the views of Guay (2012) and Choi, Goh and Tan (2016).

#### **5.4.4 Theme 4: Perspectives on a normative leadership model to guide transformation**

The purpose of this section was to probe the respondents' opinions of whether a normative leadership model can guide transformation at public institutions of higher learning in Namibia. The aim is to determine if there is any benchmark between the respondents' understanding of a leadership model and the findings that resulted from this study.

**Question 15: What are your views on the appropriateness of a normative leadership model to guide a successful organisational transformational process at public institutions of higher learning in Namibia? Explain.**

**Respondent 1**, opined that a prescribed normative leadership model cannot guide organisational transformation because people are very diverse and that the situation and the environment constantly change.

**Respondent 2**, stated that a normative leadership model, grounded in a transformational leadership approach, can guide organisational transformation because this style allows for keeping focus on the vision and a transformation agent considers the dynamic of the environment.

**Respondent 3**, commented that "if this normative leadership model embraces the components of "ethical principles, accommodating changes in situation, getting the best from the team, offering mentorship and drawing on the skills of all stakeholders to the advantage of all stakeholders and the institution at large", then it would be appropriate.

**Respondent 4**, argued that if this normative leadership model is rooted in learning new things, interaction amongst all stakeholders and adopting a new way of behaviour and ways of doing things, then it would be appropriate.

**Respondent 5**, recommended a leadership model that accommodates certain components, for example inspiration and transformational skills, then it would be useful.

**Respondent 6**, commented that a leadership model is characterised by assertiveness, knowing the environment, effective communication, adding value to the team, and an open attitude to learning on the part of the leader then it would be very appropriate and ensure successful organisational transformation.

### **Interpretation and analysis of the views on the appropriateness of normative leadership model to guide a successful organisational transformational process.**

According 83.3% of to the responses a normative leadership model based on a transformational leadership style can guide transformation at public institutions of higher learning in Namibia. The arguments in support of this model are that the model should include all the components to address the dynamics of the team members and the challenges associated with an organisational transformation process. According to the data collected for this study a transformational leadership style embraces all the components which are stated elsewhere in this study to address the challenges encountered by the respondents.

## **CHAPTER 6: MAIN FINDINGS, DISCUSSION, CONCLUSIONS AND RECOMMENDATIONS**

### **6.1 INTRODUCTION**

The purpose of this final chapter is to present the main findings, discussion, conclusions, recommendations and areas for future research. The first four topics are discussed under the four sub research questions. The research questions are used as the context to offer the main findings, discussion and to draw conclusions for this study. In drawing conclusions, the researcher considers the main findings of the study which relates to the leadership style seen as most appropriate by the respondents and its impact on organisational transformation. The next section offers the main findings, discussion and conclusion.

### **6.2 MAIN FINDINGS, DISCUSSION AND CONCLUSION**

This section restates the research questions and use them as a means to highlight the main findings. It then discusses the main findings and offer conclusions. The overall research question for this study was to explore internal perceptions of leadership from the viewpoint of the executive management, middle management and lower management of the academic cadre, the chairpersons of councils and the SRC representatives of councils at UNAM and NUST. These academic leaders oversee and manage higher learning teaching and research that might inhibit or promote organisational transformation at UNAM and NUST, the two public universities in

Namibia. The main findings, discussions and conclusions are offered under the following sub-questions which were set to answer the main research question.

### **6.2.1 To what extent do public institutions of higher learning in Namibia comply with leadership practices to drive organisational transformation at public institutions of higher learning to adhere to Vision 2030?**

The extended term of office of the Vice Chancellors, Deans and HODs at these institutions may impact the leadership provided. Leaders when too long in power may maintain the status quo and may view demands from environment as undefeated challenges and run out of creative ideas to effectively run their institutions. It is disturbing that NUST's Act and Statutes are silent on the number of terms Deans and HODs may serve in office. Although UNAM's statutes prescribe one term of office for Deans or HOD at UNAM, according to the data obtained the Deans and HODs are often in office for more than one term. If leaders are in a leadership position for too long at an institutions it may mean that they may not lead the organisation effectively and efficiently any more or that they start to manage and lead the organisation as if it were their own empire.

The majority of the participants (Concepts: Management-97.4%, leadership-97.4%, leading 89,7% and ethics 77,1%. An average percentage of 90,4%) and interviewees (83,3% of the interviewees) showed a clear understanding of the concepts of leadership, leading, management, ethics and transformation as cited and accepted for this study. The concern, however, is that a few of the respondents (Concepts management 2,6%; leadership 2,5%; leading 10,3% and ethics 22,9% an average of 11,23%) did not demonstrate an understanding or had no opinion of these concepts.

This is a reason for concern because these respondents are in leadership positions at their institutions.

The two most important requirements of a Vice-Chancellor as Chief Executive Officer, according to the respondents are a PhD qualification and leadership skills. It is nonetheless important, according to the respondents that a PhD qualification should be backed up with management, administration and financial experiences and skills. This view accords with Hill (2003) who states that the appointment of leaders at institutions of higher learning is normally based on their research and academic experience. However research and academic experience are not sufficient today since Universities need to be headed by leaders who also have a good business background. The reasons for this is that, firstly, public institutions of higher education should be managed and led by knowledgeable business-minded leaders to be effective and efficient and to benefit all stakeholders. Secondly, in order to reduce the dependency on funding from government these institutions must be led by ethical business- minded leaders who should be able through innovation and entrepreneurial ventures to obtain additional funding for their institutions.

It has been argued that leaders in top positions should have a term of office of between five and nine years. Nine years is the maximum period to be effective for most people in a stressful job (Kets de Vries, 2014). This applies to all organisations and is particularly appropriate for senior leaders at UNAM and NUST that operate in a competitive and dynamic environment with limited resources. The reasons are that the GRN cannot supply all the financial resources needed by UNAM and NUST.

These leaders need to possess appropriate business skills, transformational leadership skills and a vast experience in transformation.

It is important to note that UNAM and NUST are not commercial institutions, which implies that they are not profit-making institutions. The services offered to society should be affordable to all who wish to access these services (tertiary education and research). These public institutions cannot only rely on funding from the GRN, because the GRN's responsibilities increase over time. The GRN's responsibilities, for example, have increased with the recent provision of free primary and secondary education and at tertiary level most students are entitled to financial assistance depending on their parents/guardians' annual income. The respondents indicated that the GRN's involvement should be limited to funding and to overseeing policies. UNAM and NUST should find funding alternatives outside government through innovative ventures.

If ethical leadership is practised it will ensure that UNAM and NUST will embrace equity and equality for all Namibians to ensure the realisation of Vision 2030 as well as the expectations set for higher education in NDP'S and the HPP (Office of the President, 2016) . In addition, ethical leadership will shape a positive future for these institutions. If they are perceived as ethical, it will make it easier to attract funding from investors, particularly from the private sector. Investors or donors donate or invest resources in organisations which display no misconduct, mismanagement or unethical leadership. According to the majority of the respondents the most important skills and traits of an effective leader is one who will promote ethical values and strategic thinking. The respondents indicated that the most outstanding

character skills of a leader is to stay focussed, think analytically, strive for excellence, be an example to team members, as well as approachable, emotionally intelligent and a good listener. This implies leading by example, striving for excellence, being vision-driven, being orientated to the long term and having listening skills, which entails inclusive decision-making. As stated earlier, these institutions of higher learning have access to well trained and experienced staff. Leaders who embrace inclusive decision-making, which means including and consulting other staff when making decisions, can draw from this pool of knowledge and information. According to the widely held opinions of the respondents, a transformational leadership style is needed to deal with the dynamic environment and diversity of the team members. This concurs with the views of Svendsen and Joensson (2016) who, when discussing a transformational leadership style, maintain that the empowering and inspiring of the team members can lead them to work to achieve the goals of the organisation. This will encourage the team members to effectively and efficiently utilise available resources.

According to the responses, leaders with the following characteristics will enhance leadership practices at these institutions of higher learning: a leader should be a listener, adhere to effective governance, offer direction to the team members and have the institution and team members' best interests at heart. This last characteristic is particularly important.

The mitigation strategies offered by the participants are communication, consultation, proper planning, trust in the quality of the team and the extent of government involvement in these institutions. The GRN should respect the

autonomy vested in the councils and leaders appointed, and limit its involvement in UNAM and NUST to that of a watchdog and intervene only when these appointees do not meet the expected results as agreed upon. Performance agreements should be actively in place and accountability and performance monitoring should be built in to the regularly updated acts and statutes of the two institutions as well as in the contracts of employment of the two Vice Chancellors.

This study succeeded in identifying those leaders at institutions of higher learning in Namibia exhibit autocratic, democratic, transformational and transactional leadership attributes. There would seem to be a mixed or blended approach to leadership present at these institutions according to the respondents. If a transformational leadership style were to be in place, it could accommodate all requirements for organisational transformation, according to the responses. A transformational leadership style is characterised as being one where the leader is a change agent and involves all team members, which can ensure that these institutions can be managed, and lead to the realisation of Vision 2030 (Office of the President, 2004). A transformational leadership style should apply to the challenges regarding an organisational transformation and in particular human resource aspect during the process of transformation.

The data for this study also revealed that the majority (81,3%) of the respondents showed a comprehensive understanding of the concept of organisational transformation. This view of the participants supports the definition of organisational transformation as stated by Burnes (1995). A total of 18,7% of the participants did not have an opinion about the concept organisational transformation.

This percentage, although low, is disturbing, because institutions of higher learning need to be transformed to meet the changing demands of a dynamic environment. The reason for the latter response can be that some of the leaders at UNAM and NUST are not transformational leaders or that these leaders do not have sound knowledge and experience regarding appropriate leadership practices.

The responses regarding the huge impact of organisational transformation on organisational resources were rated as important or what by more than 80% of the respondents. This can be an indication of the dependency of UNAM and NUST on the GRN for resources or that resources are not effectively and efficiently utilised or that there is a lack of business skills to manage these resources. Organisational transformation places a huge burden on an organisation's resources, which are financial, human and intangible. In contrast, less than one fifth of the respondents had no opinion on the question regarding their involvement in organisational transformation. The reason can be that the respondents were not involved in any transformation process and thus only carry out instructions regarding the organisational process. The majority of the respondents who agree and strongly agree that they agree with the argument of Griffin (2014) that organisational transformation places a huge burden on an organisation's resources. Resources are limited and institutions of higher learning as incubators of knowledge should set the example to parastatals and government ministries on how to effectively and efficiently manage resources. In addition, the GRN may not set an example on how to manage and use resources or there may be a lack of accountability and control from national leaders.

To cope with the dynamic environment as the reason for transformation is agreed upon by more than 80% of the respondents which accords with the views of Griffin (2014) who claims that the reasons for transformation are triggered by the pressure from the internal and external environment. As stated in this study, owing to globalisation and competition, UNAM and NUST should set the example of how to meritoriously, successfully and resourcefully drive transformation to make certain that all Namibians enjoy the same privileges as their counterparts in the developed world. Pressure from the internal and external environment can trigger an organisational transformation. To reduce the possibility of an unexpected transformation, proper planning and knowledge of the environment is thus of crucial importance to avoid an unplanned organisation transformation. Unplanned organisational transformation places an unnecessary burden on resources because it was not budgeted for.

The majority of the respondents (94,1%) agreed with the fourth statement which claims that effective communication should be in place to ensure that all stakeholders are informed about the transformation. The percentage of respondents (5,9%), although low, who did not agree with this statement is disturbing because these respondents are in leadership positions at institutions that should be in the front of transformation to cope with the dynamic environment in which they operate.

The responses to the closed and open-ended questions regarding the factors that may negatively impact organisational transformation support the argument of Kotter (2012) about the factors that may negatively impact an organisational transformation process. It is, however, worth noting that the four factors that scored the highest

response by the respondents is a lack of vision, the lack of appropriate leadership, a lack of continuous communication and a lack of trust. Kotter (2012) argues that in the absence of a vision to guide the organisational transformation, the organisational transformation process is doomed to failure and leads to a waste of resources. The entire process from the planning stage to the establishment of a new culture aimed at the transformation rests with appropriate leadership (Kotter, 2012). Busco, Riccaboni and Scapens (2006) and Griffin (2014) maintain that a lack of trust amongst stakeholders about the aim of the transformation may lead to resistance. If all the stakeholders are not converted through prior effective and continuous communication about organisational transformation they will not be convinced that it is possible and beneficial to all the stakeholders (Kotter, 2012). The consequences can cause emotional stress and fear of the unknown (Kotter, 2012). Any change in the status quo will cause uncertainty amongst stakeholders and ultimately a fear of what the future can hold.

The human factor regarding organisational transformation is of crucial importance. A situation where human resources are not properly lead and guided during transformation may have a negative impact on the stakeholders of UNAM and NUST and these institutions in general and exhaust the already limited resources. The strategies, according to the responses, that can be employed to bring about a successful organisational process are firstly the development of a vision and strategy, followed by effective communication and the identification of the current and potential obstacles. These views are in line with those of Kotter (2012) and Hellriegel, Jackson & Slocun (2005). Leaders with the necessary skills and experience regarding organisational transformation will be able to identify current

and potential obstacles, which can enable mitigation strategies to be put in place in time. As stated throughout this study and evident in the data the external environment is continuously changing and this will affect the way organisations should be managed and led. According to Hellriegel, Jackson and Slocun (2005) the articulation and communication of a clear vision and a well-developed action plan is the solution to an effective organisational transformation process. This can help the organisational transformation process to deliver visible improvements in performances to the benefit of all internal and external stakeholders.

### **6.2.2 How does the leadership of the academic cadre at public institutions of higher learning in Namibia view organisational transformation within those institutions?**

The widely held opinion of the respondents (84,6%) showed that they had a clear understanding of the concept transformation as cited and accepted for this study. The 15,4% of the respondents had a neutral opinion regarding the statements covering organisational transformation. This is a concern because these respondents are in leadership positions but are neutral regarding the statements offered regarding transformation. To make certain that the products of these institutions, namely the students, meet the requirement of a dynamic environment, these institutions should be in the forefront of organisational transformation.

The data revealed that the most prominent obstacles to a transformation process in the view of the respondents are resources, the economy, pressure from society and appropriate leadership. The factors that may negatively affect organisational transformation are a lack of a vision, lack of appropriate leadership, ineffective

communication, lack of resources and the absence of trust between the leaders and their team members. In addition, the respondents indicated that the old ways of doing things and bad relationships amongst the stakeholders might hamper a transformational process. The second major finding, according to the participants, is that an appropriate leadership style in practice can enhance successful organisational transformation.

An interesting observation from the survey data collected for this study, although it came from only a very small percentage of the respondents, was that these respondents are only involved in the development of new programmes, updating of curricula, including e-Learning and student centred education and the expansion of departments and faculties. Similarly a small percentage of respondents stated that the following strategies, regarding staff should be put in place, namely increasing the number of Namibians academia employed, improving capacity of staff through staff development and increasing the participation of staff in decision-making. The approaches to enhance research output in line with Vision 2030 suggested by the respondents include areas like renewable energy, marine resources and issues based on the national needs of the Namibian society. In contrast, only one respondent of the interview did not show an understanding of transformation while five of the six respondents that took part in the interview showed a comprehensive understanding of the concept of transformation.

The respondents stated that owing to the global economy within which institutions operate, and the students as the output of UNAM and NUST that needs to address the challenges of a changing society, necessitates transformation. The analysis of the

responses regarding the challenges that may affect organisational transformation indicate some similarities in the replies of the respondents. These challenges are seen as the dependency syndrome on the GRN for funding, governance, favouritism, the demand for collapse of tuition fees by students, access to education by potential students, the fast growing, expanding, transforming at institutions and the diversity of management and staff.

The issue regarding the access to higher learning supports the view of Eshiwani (1999) who argues that the challenges higher learning institutions experience are the expansion of student enrolment, equity and access to higher learning institutions and financial issues. UNAM and NUST should transform to meet international best practices and simultaneously address the above-mentioned challenges. According to the interviewees, communication, consultation, changing the systems, earning an income outside the government subsidy, proper governance, having faith in the quality of team members, self-evaluation and caring are all aspects that leadership needs to address. If institutions of higher learning have an inclusive well-communicated vision that is embedded in the culture of the institution the challenges that the respondents identified can be reduced or even eliminated (Kotter, 2012). According to the interviewees the building of trust amongst all stakeholders, finding innovative ways to deal with the dependency on GRN funding and creating partnerships for mutual benefit are all strategies suggested by the respondents. Other strategies offered by three respondents are having a realistic vision, the establishment of succession plans for a leader and self-assessment by the leader. If succession plans for a leader are not in place in an organisation, it may affect continuity and increase fear of the unknown by team members.

### **6.2.3 What decision-making power resides at each level of leadership of the academic cadre that may affect organisational transformation within public institutions of higher learning in Namibia?**

Half of the respondents of this study did not respond to this question. The reason for this could be that leaders had not yet embarked on any transformational activities in their unit, faculty or department. The respondents indicated that they are only allowed to address and implement the core functions of a university, namely research and teaching. This 50% of the respondents give the impression that they were not exposed to or included in making-decisions regarding organisational transformation. This is evident from the data stating that a call for transformation is coming from the GRN or executive management only. This gives the impression that the councils as the supreme decision makers of UNAM and NUST appointed by the GRN do not fulfil their obligations or that the GRN wants to overrule its own appointments, the councils. The middle and lower leadership of the academic cadre stated that they are limited to identifying resources for an organisational transformation, and adjusting curriculum and research according to the needs as identified by GRN and executive management.

The respondents, in contrast maintained the importance of the following aspects in leadership, namely listening, inclusivity, different views referring to different views of the team members, communication, consultation, and interaction. This may imply that decisions regarding organisational transformation are not made in an inclusive manner which means that they are made in isolation. If decisions regarding organisational transformation do not involve all stakeholders it may mean that stakeholders will not take ownership of the transformation and that the vision aimed

at by the transformation will not be embedded in the culture of the organisation. This may also mean that stakeholders will act and behave in the same way as before the transformation and/or that the resources budgeted for the transformation may be depleted because resources should still be spent to make the new vision part of the organisation's culture.

As stated by the respondents, the following are the four main factors that may negatively affect organisational transformation: lack of a vision, lack of an appropriate leadership style, dearth of effective and continuous communication and an absence of trust amongst leaders and team members. The following factors may impede organisational transformation according to the respondents: continuing with the old way of doing things, poor relationship amongst leaders and staff members, resources that are not yet established, and the failure to acknowledge the input of team members. With an organisational transformation a "new institution is born" and this means that all stakeholders should act and behave according to ethos of the new institution. Leaders at UNAM and NUST should not only forecast the resources needed for transformation, but also ensure that the resources are available on time. Failure to do so will drag the process of transformation on for too long, which will place more pressure on available resources. This implies that a leadership style is needed at these institutions of higher learning to address all these concerns to guarantee an inclusive vision that is communicated to benefit all stakeholders.

The strategies according to the respondents that will enable a successful transformation to occur are the development of a vision, effective communication and the identification of current and future obstacles to the transformation process.

Resources should be mobilised in advance. There should be transparency and changes in the management processes.

#### **6.2.4 Can a normative leadership model guide organisational transformation at public institutions of higher learning in Namibia?**

The respondents, according to the survey questionnaire, stated that a leadership style that embraces listening, inclusivity, communication, flexibility and fairness is the best one. A leadership style that upholds ethical principles is recommended because it will facilitate equity and equality, enhance confidence in the institution and its leaders and ultimately bring about a positive future for these institutions. This positive image of these institutions will coincide with the view of the NamCode (Namibian Stock Exchange, 2014). Ethical leadership at UNAM and NUST will permeate through these institutions and will characterise its output, the students.

The majority (83,3%) of the interviewees agree that a normative leadership model based on respect, innovation, being an example to team members, people skills, management skills, analytical skills and knowledge of the environment can be applied. The respondents further argue that the leadership model should include components to address the dynamics of the team members and the challenges associated with an organisational transformation process. The subsequent section addresses the recommendations as per each sub research question.

### 6.3 RECOMMENDATIONS

Given the changing nature of the environment in which UNAM and NUST operate, its leaders should have an adaptive and inclusive approach to leadership. These institutional staff, support or academic, are regarded as highly qualified and experienced. Leaders at these two institutions should tap from their vast knowledge and experience of these staff members. The most important factor of an organisational transformational process is the leadership style, experiences and skills of the leader. Leaders at these institutions should have the skill to draw on the vast knowledge and experience of their team members to the benefit of the team, students (as output) and society to achieve the expectations as given in the NDP 2, 3 and 4 (National Planning Commission, 1995, 1999, 2008, and 2013) as well as in Vision 2030 (Office of the President, 2004) and the HPP (Office of the President, 2016). On the basis of the present study recommendations for the GRN and the councils and executive management of UNAM and NUST are drawn and will be offered for each of the four sub questions which address the main research question. This was to explore internal perceptions of leadership from the viewpoint of the academic cadre, the chairpersons of councils and the SRC representatives of councils that oversee and manage higher learning teaching and research that might inhibit or excel organisational transformation at public institutions of higher learning within Namibia. The first sub question was: To what extent do NUST and UNAM comply with leadership practices to drive organisational transformation at public institutions of higher learning in Namibia to adhere to Vision 2030?

### **6.3.1 Recommendation 1:**

**Leadership at UNAM and NUST should adjust their leadership practices regarding organisational transformation at their institutions of higher learning.**

To enable Vision 2030 to be achieved UNAM and NUST should embrace the expectations vested in them and make certain that Namibia become a developed nation by the year 2030. All stakeholders of the two institutions must be involved to realise Vision 2030 (Office of the President, 2004).

During an organisational transformation process, certain leadership practices should be practised by leaders of UNAM and NUST to ensure a smooth, effective and efficient organisational process. Throughout the process leaders should be transparent, accountable and continue to build good relationships with all stakeholders through trust, listening and timely feedback. To guarantee this, leaders should be success-driven, committed to excellence and be examples not only to the internal stakeholders but to the society at large.

In order to achieve an effective and efficient organisational transformation process, leaders should uphold appropriate leadership practices. The first stage, namely continuous environmental scanning, is needed to avoid unexpected organisational transformation. The leadership practices required for this stage are in-depth assessment, evaluation and forecasting. This assessment can be achieved by involvement of all stakeholders, with mutual trust, respect and effective open communication channels amongst all the stakeholders. During this stage proper prior budgeting of all resources, human, financial, information and tangible, should be

undertaken and put in place to ensure that if an organisational transformation process should be embarked on all resources are available.

The planning stage for the transformation process, as the second stage, for an organisational transformation should include an inclusive vision for the transformation process. Leaders at UNAM and NUST should adhere to the following leadership practices namely: having emotional intelligence, being approachable by subordinates, doing proper planning, organising and control, being open to creative ideas and suggestions, showing support to the team members, listening and displaying care for all stakeholders. Throughout all these stages effective, timely communication and feedback should be offered.

Before embarking on the actual process of organisational transformation process, the human resources should be empowered. If the human resources are not empowered before setting out on a transformation process it may lead to resistance and consequently a lack of cooperation to effectively and efficiently work towards the vision set for the transformation? This stage is known as the empowering stage. Critical during this stage of empowering is that it should be complemented and conducted with trust, respect and transparency. It is a known fact that any organisation's most valuable resources is its human resources because it works and should be entrusted with the other three resources, namely financial, tangible and information resources.

During the launching stage of the organisational transformation the actual organisational transformation process are put into practice. The following should be

adhered to: praise and acknowledgement given to team members when due and resources should be in place. As stated earlier, if resources are not available when the process of organisational transformation commences, the process may be dragged on for too long and this places a huge burden on the already limited resources. After the launching stage, support, respect and care should be maintained and enhanced to guarantee that the new vision becomes part of all stakeholders' actions and work ethics. All the staff members of UNAM and NUST should be characterised as transformation agents and act according to the new vision.

The subsequent sub section covers the second sub question for this study, namely, how does the leadership of the academic cadre at public institutions of higher learning in Namibia view organisational transformation within these institutions?

### **6.3.2 Recommendation 2:**

**The leaders at UNAM and NUST should embrace a transformational leadership style, which should be nurtured, and have an in-depth understanding, knowledge and experience regarding organisational transformation at particular institutions of higher learning level.**

Considering the dynamic environment in which UNAM and NUST operate their leaders should realise that it is crucial to transform their institutions, because of competition and globalisation. These two institutions should be the front-runners in regard to organisational transformation. As stated earlier, NUST and UNAM as the fountain of knowledge should set an example of how to action organisational transformation. The process of transformation should be lead with clear direction adhering to ethical principles, trust and respect. Leaders should realise that their

teams are very diverse and an inclusive shared vision should be in place. Leaders should effectively manage their limited supply of resources. It is worth noted that leaders should make effectively and efficiently consume of these resources. These leaders lead and manage human resources that are in some cases more experienced and skilled than themselves. To capitalise on these experiences and skills these leaders should embrace a shared vision for the benefit of all stakeholders and particularly for these students. This can support Namibia in becoming the developed country as envisioned in Namibia Vision 2030 (Office of the President, 2004).

During and prior to the process of transformation leaders should focus on their individual team members through mediation and arbitration, continuous communication, caring for individual team members and the team as a whole. To guarantee that a transformational leadership style is embedded at all levels of leadership and practiced by all leaders at UNAM and NUST the following should be adhered to:

- Leaders at UNAM and NUST should embrace a transformational leadership to effectively and efficiently deal with an organisational transformation.
- Leaders should enhance their personal effectiveness, communication skills, strategic thinking skills in order to effectively lead and manage others.
- Leaders should show a commitment to lifelong learning which is necessary because of the demands placed on them by the composition of the stakeholders and the dynamic of the environment.
- Leaders should not serve more than two terms of office should be incorporated in the acts of UNAM and NUST.

- Leaders at UNAM and NUST, need to lead their team members in a dynamic and stressful environment and to provide opportunity for succession of new leaders.
- The performance of these leaders should be based on a 360-degree performance appraisal with particular reference to their transformational leadership skills. Such an appraisal is a performance review in which subordinates, co-employees, and leaders/ managers all anonymously rate their leaders. During this appraisal all the stakeholders should know that possible victimisation would be dealt with as a serious offence. The appraisal forms should be discussed at the next level of the management hierarchy, and where necessary actions taken.

Favouritism, nepotism and political influence should not be tolerated with the appointment of leaders at UNAM and NUST. At the start of the process of recruitment and/or head hunting for new leaders at UNAM and NUST a primary requirement should be that the candidate has a record of accomplishment as a transformational leader and experience regarding organisational transformation at institutions of higher learning.

The following sub section addresses the recommendations put forward to address the third sub research question and how to implement them. This question relate to decision-making power resides at each level of leadership of the academic cadre that may affect organisational transformation within public institutions of higher learning in Namibia.

### **6.3.3 Recommendation 3:**

**A streamlined inclusive decision-making process without the GRN' interference, free from favouritism and political affiliation, should be strived for to ensure that all stakeholders take ownership of decisions regarding organisational transformation at UNAM and NUST.**

To ensure that the above recommendation become a reality the following decision-making model in Figure 6.1 on page 287 is proposed.

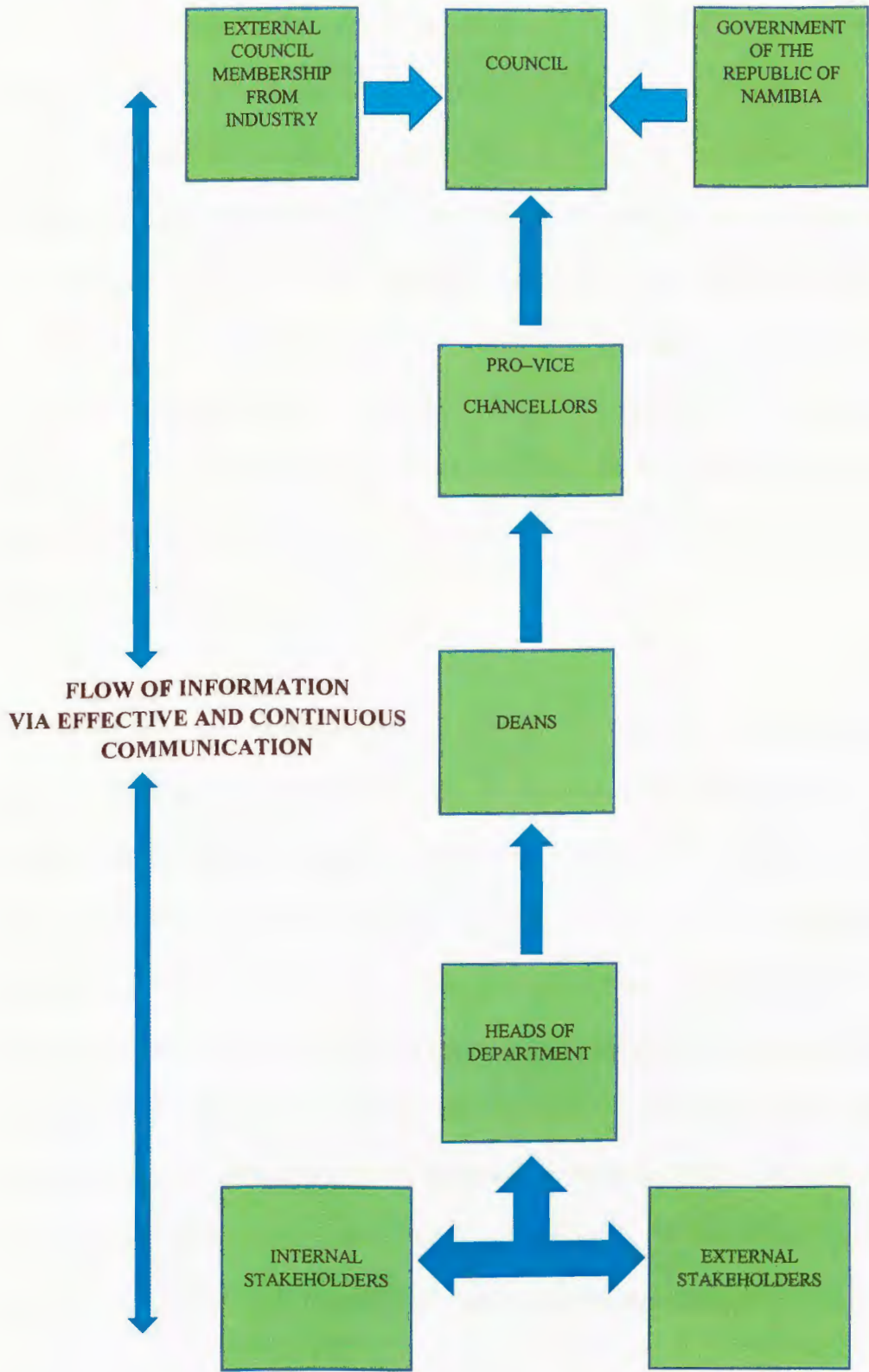


Figure 6.1: Decision-Making Model Regarding Organisational Transformation

All the internal stakeholders (academic, support staff and students), - and external stakeholders (community and alumni) should have access to an open door policy, without victimisation or fear, to raise their concerns or suggestions regarding organisational transformation at the lower level of management. If concerns or suggestions regarding organisational transformation are not addressed properly at this level, they should be channelled to middle management. If the latter cannot solve these concerns satisfactorily, they should be channelled to the executive management. If executive management cannot solve these concerns, they should be forwarded to the Councils of UNAM and NUST. Timely feedback should be provided by Councils.

The council members appointed from all the three sectors of the economy may have practical suggestions or concerns regarding organisational transformation. These suggestions and concerns should be addressed at council level. Feedback should be provided timeously during the entire process through effective upwards and downwards communication that should be in place to make certain that all concerns and suggestions irrespective of how trivial they may appear, must enjoy the highest priority. This will ensure that that the outcome of decisions made regarding organisational transformation will be accepted by all stakeholders. In addition, all 39 stakeholders should work effectively and efficiently to ensure the successful outcome of decisions made regarding the organisational transformation.

The last sub heading offers a recommendation and the procedure to successfully implement, Figure 6.1 above reflects the following responses - the development of a

vision and namely, can a normative leadership model guide organisational transformation at public institutions of higher learning in Namibia?

#### **6.3.4 Recommendation 4:**

**This study recommends a normative leadership model, based on the elements of a transformational leadership style, to guide organisational transformation at public institutions of higher learning in Namibia.**

Figure 6.2, on page 290 offers a schematic representation of the proposed normative leadership that can be employed for an organisational transformation process at UNAM and NUST.

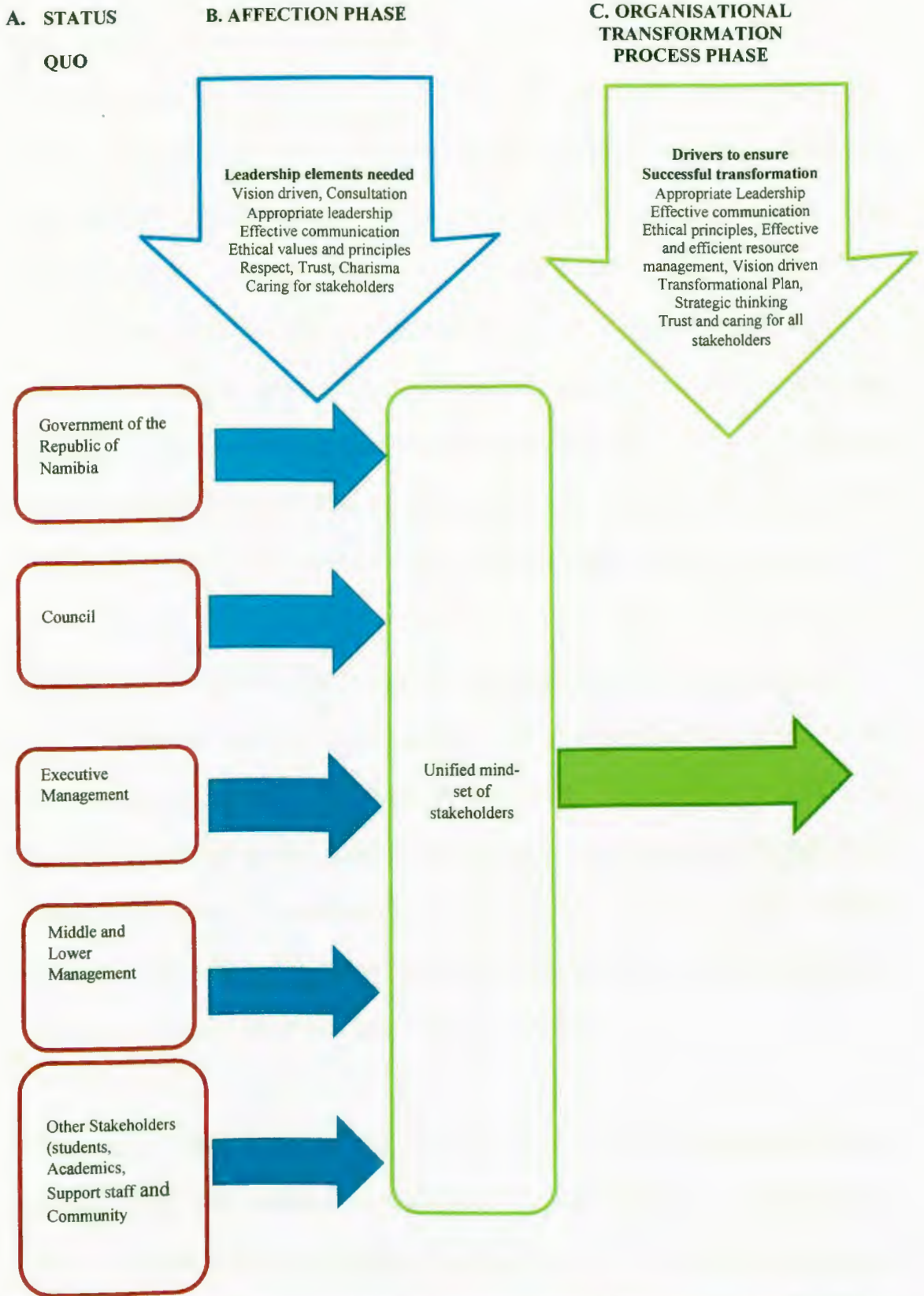


Figure 6.2: Normative Leadership Model for Organisation Transformation at UNAM and NUST

This study opted for a normative leadership model based on the elements of a transformational leadership style. The first reason for this particular leadership style is that it covers all the requirements demanded from leadership during an organisational transformation. Secondly, a transformational leadership style addresses all the concerns raised from the data collected for this study. The normative model will be discussed in three phases: it is a continuous process, yet divided in phases to achieve a holistic outcome, namely a normative leadership model to guide organisational transformation at UNAM and NUST. To guarantee that this model become a reality, the following process should apply in three stages, which are the status quo-, affection - and the organisational transformation stage.

In phase A, the status quo phase, leaders according to the survey data for this study have different opinions and views regarding leadership practices and organisational transformation. This can be an indication that these leaders operate in insolation. To bring about a successful and sustained organisational transformation, all stakeholders should be completely convinced of the need for an organisational transformation process. This will mean that all these stakeholders will work effectively and efficiently to achieve the vision set for the transformation.

At the start of phase B, the affection phase, all stakeholders should have a shift of an inclusive mind set regarding the vision for the organisational transformation to ensure a unified mind set amongst all stakeholders. A vision-oriented leader is needed to set a vision for the planned organisational transformation process. Transformational leaders are characterised as vision-oriented leaders and change agents. The compilation of a vision should be set and continuously communicated

upwards and downwards throughout all branches and levels of the hierarchy of UNAM and NUST; taking the inputs, views and concerns of all stakeholders into consideration. Then the stakeholders will take ownership of the vision for the transformation and will work effectively and efficiently to achieve this. All human beings are unique and not all strategies that a transformational leader may use will apply equally to all subordinates. This style needs the skill of the leader to get all stakeholders to accept and live the vision of the organisational transformation. To ensure that all stakeholders buy into the transformation, leaders should harness trust, respect and a caring approach towards all stakeholders through consultation, ethical values and principles. This style should apply throughout and after the organisational transformation process, because a leader who possesses the charisma of a transformational leader should overcome any obstacle those team members/subordinates/stakeholders or the organisation may encounter during the process. A leader with skills is needed to foster and manage it. In this phase the organisation meets the organisational transformation target and the vision; the new culture of the transformed organisation should be solidly embedded in all layers of the organisation. All stakeholders should act, according to the vision set for the organisational transformation.

Phase C, of the organisation transformation direction will be characterised by the vision aimed for the organisational transformation process. This new direction will last until uncontrollable factors will prompt a need for a new organisational transformation. This call for transformation can come from the internal and external organisational environment. In many cases the external environment, owing to its dynamic, impacts the internal environment. To avoid this a continuous assessment

and evaluation of the internal and external environment must be done to avoid an unexpected organisational transformation. This would put additional pressure on the resources of UNAM and NUST.

#### **6.4 AREAS FOR FUTURE RESEARCH**

Research into the internal perception of leadership and its impact on organisational transformation at public institutions of higher learning in Namibia is in its infancy. This study is unique because it contributes to the overall body of knowledge on leadership and organisational transformation in a Namibian context. However, further studies related to the impact of leadership on organisational transformation are needed taking into consideration the launch of NDP 5 in 2017. It would be interesting to compare UNAM and NUST regarding leadership and organisational transformation. This can provide empirical evidence on how UNAM and NUST perform regarding the variables of this study. An interesting further investigation can look at factor analysis that may impact leadership practices. These factor analysis may include male versus female perspective, generation composition of the organisation and leadership from an African perspective.

Further studies need to be carried out in order to explore any association between the satisfaction of employers' in industry with the quality of the graduate students (the output of UNAM and NUST). Finally, the validation of the recommendations was only conducted on data obtained from internal leaders and councils. Areas of future research could include research that includes the view of the academic staff, support staff, the current students, the alumni and industry about leadership practices at these

two public institutions of higher learning and the impact on organisational transformation.

## **6.5 CONCLUSIONS**

This study highlighted the reasons why the two identified public institutions of higher learning in Namibia did not meet the expectations as set out in NDP 2, 3 and 4 as well as in Vision 2030 and HPP for Namibia. To understand these reasons, this study opted to determine the perception of leadership practices of leaders on organisational transformation at UNAM and NUST. Based on the data collected and the literature studied for this doctorate, this study recommends a transformational leadership style model that can address all elements required for an organisational transformation process to happen. This will ensure that Namibia becomes a developed nation, which is the aim of Vision 2030.

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ETHICAL CLEARANCE CERTIFICATE

Ethical Clearance Reference Number: FEMS/178/2017

Date: 24 April, 2017

This Ethical Clearance Certificate is issued by the University of Namibia Research Ethics Committee (UREC) in accordance with the University of Namibia's Research Ethics Policy and Guidelines. Ethical approval is given in respect of undertakings contained in the Research Project outlined below. This Certificate is issued on the recommendations of the ethical evaluation done by the Faculty/Centre/Campus Research & Publications Committee sitting with the Postgraduate Studies Committee.

**Title of Project:** A Normative Leadership Model To Guide Transformation At Public Institutions Of Higher Learning In Namibia

**Nature/Level of Project:** Doctorate

**Researcher:** Davy Julian Du Plessis

**Student Number:** 8909229

**Faculty:** Faculty of Economics and Management Science

**Supervisors:** Prof. C. Keyter (Main) Dr. H. Beukes (Co)

Take note of the following:

- (a) Any significant changes in the conditions or undertakings outlined in the approved Proposal must be communicated to the UREC. An application to make amendments may be necessary.
- (b) Any breaches of ethical undertakings or practices that have an impact on ethical conduct of the research must be reported to the UREC.
- (c) The Principal Researcher must report issues of ethical compliance to the UREC (through the Chairperson of the Faculty/Centre/Campus Research & Publications Committee) at the end of the Project or as may be requested by UREC.
- (d) The UREC retains the right to:
  - (i) Withdraw or amend this Ethical Clearance if any unethical practices (as outlined in the Research Ethics Policy) have been detected or suspected,
  - (ii) Request for an ethical compliance report at any point during the course of the research.

UREC wishes you the best in your research.

Prof. P. Odonkor: UREC Chairperson

A handwritten signature in black ink, appearing to be 'P. Odonkor', written over a horizontal line.

Ms. P. Claassen: UREC Secretary

A handwritten signature in black ink, appearing to be 'Paula Claassen', written over a horizontal line.

**Appendix B: Letter of Consent to the Registrar of Namibia University of  
Science and Technology**

The Registrar

Namibia University of Science and Technology

Private Bag 13388

Windhoek

Namibia

Dear Mr Jafta,

**Re: PERMISSION FOR STAFF TO PARTICIPATE IN PRIMARY DATA  
COLLECTION (INTERVIEW AND SURVEY QUESTIONNAIRE)**

I, Davy Julian Du Plessis, am a full time lecturer at the Namibia University of Science and Technology in the Faculty of Economics and Management Sciences. Currently, I am in the process of collecting primary data, as part of a doctoral research study being undertaken at the University of Namibia. The University of Namibia has recently issued ethical clearance for the data collection phase to commence. This study aims to increase the understanding of leadership dynamics on transformation within public institutions of higher learning in Namibia.

The title of the research is: “A normative leadership model to guide transformation at public institutions of higher learning in Namibia”. The aim of the study is to develop a normative leadership model to guide transformation at public institutions of higher learning in Namibia.

I am writing to seek permission for a small cohort of your management team to participate in the study. Staff members include the Vice-Chancellor, The Pro Vice-Chancellor: Academic and Research, the Deans and Heads of Departments. Given their leadership capacities at the Namibia University of Science and Technology, these staff members are ideally placed to share valuable first-hand information from their own perspectives, to inform the study.

The second targeted group is the Council members of the Namibia University of Science and Technology. The study ideally invites the Chairperson and the representative of the Student Representative Council (SRC) to the Council of the Namibia University of Science and Technology to form part of the sample.

Your participation can assist in building greater knowledge and understanding of leadership at public institutions in Namibia to guide the transformation processes. Globally, institutions face continues transformation to meet the ever changing demand of dynamic environments in which they operate.

The following targeted sample will be interviewed: The Vice-Chancellor, Chairperson of Council and the representative from the SRC on Council. The audio-taped interviews will last approximately one hour, and will take an informal approach. I hope to capture thoughts and perspectives on leadership practices and how it may impact organisational transformation at your institution. The instrument employed for the Pro Vice-Chancellor: Academic and Research, Academic Deans

and Head of Departments will be a survey questionnaire. The questionnaire is expected to take no longer than 60 minutes to complete. Subject to your approval for the identified staff to participate in the study, I will contact them individually to arrange a time and venue of their convenience.

All responses will be kept confidential. Other ethical considerations, such as the right to privacy, voluntary participation, refusal to answer certain questions, and informed and coercion-free consent will be observed. Each response will be codified, to ensure that personal identifiers cannot be revealed during the analysis and write-up phases of the study. The questionnaires, transcribed interviews and audio taped interviews will be kept in a safe place in the office of the main supervisor at the University of Namibia. It will be destroyed according to set regulations, five years after the study is completed.

I have enclosed the following documentation in support of my request:

- Ethical Clearance Certificate issued by the University of Namibia
- A copy of my approved proposal.
- Letter of permission from the Vice Chancellor at the Namibia University of Science and Technology, issued before the study commenced.

Please detach the attached consent form after completion and send it to my return email, as indicated below.

Your help in this matter will be highly appreciated.

Yours sincerely,

.....

PhD Student Researcher: Davy Julian Du Plessis

Student No: 8909229

Mobile No: +264 817961358

Email: [davyduplessis@yahoo.com](mailto:davyduplessis@yahoo.com)

PHD SUPERVISOR: Prof CA Keyter

Dr H Beukes

INSTITUTION: University of Namibia, Faculty of Economics and Management  
Sciences



.....

**INFORMED CONSENT FORM**

**PHD TITLE: “A NORMATIVE LEADERSHIP MODEL TO GUIDE TRANSFORMATION AT PUBLIC INSTITUTIONS OF HIGHER LEARNING IN NAMIBIA”**

**PHD STUDENT RESEARCHER: Davy Julian Du Plessis**

**ETHICS APPROVAL NUMBER: FEMS/178/2017**

I, \_\_\_\_\_ of \_\_\_\_\_ in my capacity as Registrar of the Namibia University of Science and Technology have read and understood the information contained in the letter seeking permission to invite the said staff as listed below, to participate in the said study, along with other study-related information provided to me.

1. Vice Chancellor
2. Chairman of Council
3. Representative of the Student Representative Council (SRC) on Council
4. Vice- Chancellor: Academic and Research
- 5 Deans of Academic Faculties
- 6 Heads of Departments

SIGNATURE: ..... DATE: .....

# Appendix C: Letter of Consent from Namibia University of Science and Technology



**NAMIBIA UNIVERSITY  
OF SCIENCE AND TECHNOLOGY**

**Office of the Registrar**

19 Storch Street  
Private Bag 13388  
Windhoek  
NAMIBIA

T +264 61 207 2118  
F +264 61 207 9118  
E: registrar@must.na  
W www.must.na

09 May 2017

Mr Davy Julian du Plessis  
Windhoek  
NAMIBIA

Dear Mr du Plessis

**RE: CONSENT TO CONDUCT RESEARCH WITH THE NAMIBIA UNIVERSITY OF SCIENCE AND TECHNOLOGY STAFF AND STUDENTS**

The letter with approval date 06 April 2017 from Prof Charles Keyter, Faculty of Economics and Management Sciences, University of Namibia, and your letter, undated, received by our office on 08 May 2017, has reference.

Approval is hereby granted for you to conduct the research on "*A Normative Leadership Model to Guide Transformation at Public Institutions of Higher Learning in Namibia*" in the Namibia University of Science and Technology. Any information gathered during the research is to be used for the purpose of the study only and must be treated as confidential. The results of the study should be shared with the University. Individual information of staff and students will not be made available, nor will biographical information of students be made available in such a way that individual students can be identified.

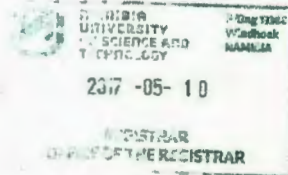
Kindly note that the Secretary to Council/Registrar cannot sign for consent in his capacity on behalf of the respondents, therefore you are advised that all respondents should sign a consent form personally.

I wish you all the best with your research.

Yours sincerely,

  
Corneis N. Jafra  
REGISTRAR

CC: Vice-Chancellor  
Deputy Vice-Chancellor: Academic Affairs  
Assistant Registrar: Academic Administration



## **Appendix D: Interview Consent Letter**

The Vice Chancellor/ Chairperson of Council/ Student Representative on Council  
University of Namibia/ Namibia University of Science and Technology  
Private Bag .....

Windhoek

Namibia

Dear .....

**RE: LETTER SEEKING INFORMED CONSENT TO  
PARTICIPATE IN PHD RESEARCH STUDY: SEMI-  
STRUCTURED INTERVIEW**

I, Davy Julian Du Plessis, am a full time lecturer at the Namibia University of Science and Technology in the Faculty of Economics and Management Sciences. Currently, I am in the process of collecting primary data, as part of a doctoral research study being undertaken at the University of Namibia. This is to increase understanding of leadership dynamics on transformation within institutions of higher learning in Namibia. The University of Namibia recently issued ethical clearance for the data collection phase to commence. See the Ethical Clearance Certificate attached.

The title of the research is: "*A normative leadership model to guide transformation at public institutions of higher learning in Namibia.*" The aim of the study is to develop

a normative leadership model to guide transformation at public institutions of higher learning in Namibia. Your participation will assist in building greater knowledge and understanding of leadership at your institutions in order to guide transformation. Your consent is required to participate in a semi structured interview, which will contribute to the academic research for the above-mentioned PhD study. Confidentiality is guaranteed and your participation is voluntary. You may withdraw from participation in the interview at any point during the proceedings. The results for this interview are for academic research only.

Please detach the attached informed consent form after completing it. It will be collected from your secretary. If consent is given, I will contact you to arrange a date, time and venue most convenient to you for the interview. The interview will last approximately 45 to 60 minutes. The interview will be audio recorded to transcribe the interview for analysis purpose. The interviews will commence as from the first week of July 2017.

If you have any questions, please feel free to contact the undersigned.

Yours sincerely,

.....

Davy Julian Du Plessis

PhD Student Researcher

E-mail: [\\_dduplessis@nust.na](mailto:_dduplessis@nust.na)

Mobile No.: +264 81 7961358

## INFORMED CONSENT

**PHD TITLE: “A NORMATIVE LEADERSHIP MODEL TO GUIDE TRANSFORMATION AT PUBLIC INSTITUTIONS OF HIGHER LEARNING IN NAMIBIA”.**

**PHD STUDENT RESEARCHER:** Davy Julian Du Plessis

**PHD SUPERVISORS:** Professor CA Keyter (Main supervisor)

Dr H Beukes (Co Supervisor)

University of Namibia, Faculty of Economics and Management Sciences

**ETHICS APPROVAL NUMBER: FEMS/178/2017**

I, \_\_\_\_\_ in my capacity as the Student Representative on Council/ Chairperson of Council/ Vice Chancellor (**please circle**) of the University of Namibia/ Namibia University of Science and Technology (**please circle**) have read and understood the information contained in the letter seeking permission for me to participate. I hereby give consent/ do not consent (**please circle**) to participate in the interview.

**SIGNATURE:** \_\_\_\_\_

**DATE:** \_\_\_\_\_

**Appendix E: Informed Consent for Participation in Survey Questionnaire**

**Namibia University of Science and Technology/ University of Namibia**

The Pro Vice Chancellor/ Dean/ Head of Department

Faculty .....

Private Bag

Windhoek

Namibia

18 August 2017

Dear .....

**RE: SEEKING INFORMED CONSENT TO PARTICIPATE IN  
PHD RESEARCH: QUESTIONNAIRE**

I, Davy Julian Du Plessis, am a full time lecturer at the Namibia University of Science and Technology in the Faculty of Economics and Management Sciences. Currently, I am in the process of collecting primary data, as part of a doctoral research study being undertaken at the University of Namibia. This is to increase an in depth understanding of leadership dynamics on transformation within public institutions of higher learning in Namibia. The University of Namibia recently issued ethical clearance for the data collection phase to commence. The title of the

research is: “*A normative leadership model to guide transformation at public institutions of higher learning in Namibia.*” The aim of the study is to develop a normative leadership model to guide transformation at public institutions of higher learning in Namibia. Your participation will assist in building greater knowledge and understanding of leadership at public institutions in Namibia to guide the transformation processes. You are hereby requested to complete a questionnaire on the above mentioned study, which will contribute to the academic research for the above-mentioned PhD study. Confidentiality is guaranteed and your participation will be voluntary. You may withdraw from completing the questionnaire at any point during the proceedings. The results for this questionnaire are for academic research purpose only. Upon completion of the attached form of consent, please mail to underneath email address. After consent is given the questionnaire will either be delivered to you in person or mailed to you via survey monkey within 24 hours.

If you have any questions, please feel free to contact the undersigned.

Yours sincerely,

.....

Davy Julian Du Plessis

PhD Student Researcher

Mobile No: +264 81 7961358

E-mail: [dduplessis@nust.na](mailto:dduplessis@nust.na)



**INFORMED CONSENT FORM**

**TITLE: "A NORMATIVE LEADERSHIP MODEL TO GUIDE TRANSFORMATION AT PUBLIC INSTITUTIONS OF HIGHER LEARNING IN NAMIBIA"**

**PHD STUDENT RESEARCHER:** Davy Julian Du Plessis

**PHD SUPERVISORS:** Prof CA Keyter (Main supervisor)

Dr H Beukes (Co Supervisor)

University of Namibia, Faculty of Economics and Management Sciences

**ETHICS APPROVAL NUMBER: FEMS/178/2017**

**CONSENT**

I \_\_\_\_\_ in my capacity as Pro Vice Chancellor/ Dean/ Head of Department **(please circle)** of \_\_\_\_\_ at the University of Namibia/ Namibia University of Science and Technology **(please circle)** have read and understood the information contained in the letter seeking permission for me to participate in the study. I hereby give consent/ do not consent **(please circle)** to participate in completing the questionnaire.

**SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

3. What do you consider to be the core functions of a leader at an institution of higher learning?
4. What influences the change of style of leadership at public institutions of higher learning? Please elaborate.
5. How would you describe your leadership style? Why have you adopted this leadership style(s)?

## **THEME 2: PERSPECTIVES ON ORGANISATIONAL TRANSFORMATION**

6. Differentiate between change and transformation? Can you think of any examples of change and transformation processes that your institution has recently embarked on?
7. Why is organisational transformation important at your institution?
8. Are you aware of any challenges that may adversely affect an organisational transformational process? If yes, what are those challenges?
9. How do you respond to these types of challenges?
10. Which strategies can be used to ensure a successful transformational process at institutions of higher learning? Please explain.

## **PERSPECTIVES ON LEADERSHIP AND THE IMPACT ON ORGANISATIONAL TRANSFORMATION**

11. Which leadership principles, in your opinion, are essential to advance leadership practices to cope with the dynamic environments in which institutions of higher learning operate today?
12. What leadership principles in your opinion are essential to advance leadership practices to cope with the dynamic environment in which institutions of higher learning operate today?
13. In your opinion, which style of leadership will enhance a successful organisational transformational process? Please explain.
14. Which style of leadership, in your opinion, will enhance a successful organisational transformation process? Please explain.
15. What are your views on the appropriateness of a normative leadership model to guide a successful organisational transformation process at public institutions of higher learning in Namibia? Please explain.

**End of interview**

**Appendix G: Survey Questionnaire**

**The University of Namibia/ Namibia University of Science and Technology**

**The Pro/ Deputy Vice-Chancellor Academic Affairs /Dean/ Head of Department**

**Private Bag.....**

**Windhoek**

**Namibia**

**22 August 2017**

**Dear .....**

**RE: PARTICIPATION IN THE STUDY**

Thank you very much for your prompt response regarding the informed consent to participate in this study. Find attached the questionnaire and please complete it. The completed questionnaire will be collected by the 4 September 2017 (Pro Vice-Chancellor Academic Affairs and Deans) **or** Please see the questionnaire send via survey monkey. Please complete and click the send button to return (Heads of Department).

Thank you in advance for your usual prompt response.

Yours sincerely,

.....

PhD Candidate: Davy Julian Du Plessis

Mobile number: +264817961358

E-mail: [dduplessis@must.na](mailto:dduplessis@must.na)

**SEMI- STRUCTURED QUESTIONNAIRE FOR THE HEAD OF  
DEPARTMENTS, DEANS OF FACULTIES AND PRO/ DEPUTY VICE-  
CHANCELLOR: ACADEMIC AFFAIRS AT PUBLIC INSTITUTIONS OF  
HIGHER LEARNING IN NAMIBIA**

**1. EMPLOYMENT DETAILS**

**Please cross (x) the appropriate box**

**1.1 I am employed at the following public institution of higher learning in  
Namibia.**

UNAM	NUST
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**1.2 Please indicate your current position at your institution of higher  
learning.**

PVICE-CHANCELLOR	Dean	Head of Department
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**1.3 How many years have you been employed in your current position at  
your institution?**

Less than 5 years	6 to 10 years	11 to 15 years
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**PERSPECTIVES ON THE CONCEPTS MANAGEMENT, LEADERSHIP AND ETHICS**

**2.1 DEFINE LEADERSHIP, MANAGEMENT AND ETHICS**

Please cross (x) the appropriate box, using the scale below when responding to the following statements.

<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
<b>Strongly agree</b>	<b>Agree</b>	<b>Neither agree or disagree</b>	<b>Disagree</b>	<b>Strongly disagree</b>

**2.1.1 Management refers to the following activities: planning, organising, leading and control of an organisation.**

<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Strongly agree	Agree	Neither agree or disagree	Disagree	Strongly disagree

**2.1.2 Leadership refers to the ability to motivate and encourage individuals and groups to accomplish organisational goals.**

<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Strongly agree	Agree	Neither agree or disagree	Disagree	Strongly disagree

**2.1.3 Leading, as the “third function” of management, involves the following:**

**Influencing other members of a team or organisation, and to help an individual and /or organisation to achieve its goal(s).**

<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Strongly agree	Agree	Neither agree or disagree	Disagree	Strongly disagree

**2.2 The following ethical principles should be embedded in good leadership:**

**Please cross (x) the appropriate box.**

**2.2.1 Accountability, fairness and transparency.**

<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Strongly agree	Agree	Neither agree or disagree	Disagree	Strongly disagree

**2.2.2 Building sustainable institutions to ensure economic, social and environmental improvement.**

<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Strongly agree	Agree	Neither agree or disagree	Disagree	Strongly disagree

**2.2.3 Ethical operations are ethical because of regulatory requirements.**

<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Strongly agree	Agree	Neither agree or disagree	Disagree	Strongly disagree

**2.2.4 The promotion of a shared future between all internal and external stakeholders.**

<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Strongly agree	Agree	Neither agree or disagree	Disagree	Strongly disagree







**3.3 In your opinion, which skills and traits should an effective leader at public institutions of higher learning possess to ensure successful organisational transformation?**

<b>Skills and traits of an effective leader</b>	<b>Please cross (x) the appropriate boxes</b>
Honesty, integrity, trustworthiness and transparency.	
A leader should understand his/ her strength and admit their weaknesses.	
Vision-driven.	
Have confidence.	
Effective communicator.	
Team-builder.	
Have a success-driven attitude.	
Adhere to ethical values of accountability, fairness and transparency.	
Above average intelligence.	
High emotional intelligence.	
Should have in-depth knowledge of the business.	
Provide clear direction to their followers.	
Provide support to followers.	
Encourage follower's involvement.	
Goal oriented.	
Motivate and inspire their team members.	
Sharpen team members' skills.	
Strategic thinker.	

Influence and encourage co-workers to be innovative.	
Implement planning effectively.	

**Any other suggestions, please specify.**

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**3.4 In your opinion, what should be the characteristics of an effective leader at public institutions of higher learning?**

Characteristics	Please cross (x) the appropriate boxes
Is an example to co-workers	
Is enthusiastic about their co-workers' well-being	
Is confident, without being arrogant	
Functions orderly and purposefully in any situation	
Tolerant of ambiguity	
Able to stay focused and think analytically	
Is committed to excellence	
Trusts co-workers	

**Any other, please specify.**

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## PERSPECTIVES ON TRANSFORMATION

### 4.1 ROLE OF LEADERSHIP IN TRANSFORMATION OF PUBLIC INSTITUTIONS OF HIGHER LEARNING

Please cross (x) the appropriate box.

- 4.1.1 Transformation of an organisation means to change the values, beliefs, myths and rituals in an organisation. That means the DNA of the institutions.

1	2	3	4	5
Strongly agree	Agree	Neither agree or disagree	Disagree	Strongly disagree

- 4.1.2 Organisational transformation places a huge burden on an institution's financial, human, information and tangible resources.

1	2	3	4	5
Strongly agree	Agree	Neither agree or disagree	Disagree	Strongly disagree

- 4.1.3 Organisations should transform to meet the demand of a dynamic environment.

1	2	3	4	5
Strongly agree	Agree	Neither agree or disagree	Disagree	Strongly disagree

**4.1.4 There should be a more effective channel of communication agreed upon by all the internal and external stakeholders of an organisation during an organisational transformation process.**

1	2	3	4	5
Strongly agree	Agree	Neither agree or disagree	Disagree	Strongly disagree

**4.2 Which strategies will enhance the success of an organisational transformation process?**

Strategies	Please cross (x) the appropriate boxes
Establish a sense of urgency for the transformation through continuous, effective two-way communication.	
Select a group of people to drive the transformation process.	
Develop a vision and a strategy for transformation.	
Effective communication of the new vision to all the internal and external stakeholders.	
Identify the current and potential obstacles, systems and structures.	
Praise should be given for short-term successes during the transformation process.	
Access the systems, policies and regulations that are not conducive to the process of transformation and remove it.	
Take the necessary actions to make the new changes in processes and systems part of the DNA of the institution.	



**4.3 Which factors/ actions may hamper a successful transformation process?**

<b>Actions/ factors</b>	<b>Please cross (x) the appropriate boxes</b>
Lack of a sense of urgency for transformation amongst team members.	
Neglect to convince all stakeholders of the benefits of the transformation.	
Lack of a vision.	
Lack of effective and continuous communication.	
Lack of trust amongst the team members to reduce the negative perception on a proposed transformation.	
Transformation takes time: a lack of short-term wins can potentially result in the team members believing that there was no need to embark on a transformation.	
Declare success too soon, during the process of transformation.	
Neglecting to anchor the transformation in the culture of the organisation.	
A lack of proper assessment of resources needed for a transformation process, such as finance, information, tangible resources and human resources.	
Lack of appropriate leadership.	







**4.6 Share any recommendations on how to enhance organisational transformation within public institutions of higher learning.**

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**5 PERSPECTIVES ON LEADERSHIP AND THE IMPACT ON TRANSFORMATION**

**5.1 Which one of the following best describes the style of transformational leaders?**

**CHOOSE ONLY ONE OPTION.**

Style of Leadership	Please cross (x) the appropriate box
Leader leads with absolute power.	
Rule according to the book.	
Inspires their co-workers, but believe more in themselves than their team members.	
Involves co-workers in decision-making.	
Laissez-faire: leads team with minimum control and direction.	
More concerned about the organizing, supporting and development of their co-workers. Task to be completed is secondary.	
Leads by meeting the need of their co-worker.	
More focused on the task and ignores the well-being of their co-worker.	
Focused on getting the task done to satisfy the status quo.	
Leads with clear goals and objectives. Builds trust amongst co-worker. Team members can identify with the values of the leader. The leader observes moral and ethical principles.	

**5.2 Please, explain why you believe this particular style of leadership is the most appropriate for an organisational transformational process.**

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**THANK YOU FOR YOUR TIME.**