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## Leading and managing in complexity: the case of South African deans

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In recent years, deanship in universities has become more complex and challenging. Deans in South African universities take up their positions without appropriate training and prior executive experience, and with no clear understanding of the ambiguity and complexity of their roles. This paper calls for appropriate leadership development interventions for deans and suggests a possible framework. It advances an approach to leadership development grounded in contextual realities, taking cognisance of individual capabilities and the need to provide relevant opportunities for improving individual and organisational performance. To this end, it demonstrates that: (i) the global and local context of universities has changed dramatically, with concomitant additional levels of complexity; (ii) this changing environment has implications for the conception and practice of leadership and management; and (iii) institutional contexts determine leadership and management behaviour, and provide the backdrop for leadership development for deans.

**Keywords:** academic management; leadership; leadership development; management education; management

#### Introduction

The search for solutions to effective leadership and management by deans in South African universities lies perhaps in the reality that 'this species may be the least studied and most misunderstood position anywhere in the world' (Gmelch 2003, 717). Scott, Coates, and Anderson (2008) concur with this opinion, indicating that studies of how university leaders manage change in terms of their own learning and development are relatively rare. For the authors of this paper, it is more worrisome that the literature on this area of research in a developing world context, like South Africa, is even sparser. Deans are generally former academics, emerging from a traditional collegial space and catapulted into the relatively unknown domain of executive management, with its related problems (Gmelch 2003; Johnson and Cross 2006; Scott, Coates, and Anderson 2008). There is a body of literature on deanship that points to its evolving nature in a contemporary setting, in the academe characterised by complexity and change (Gmelch 2003; Johnson and Cross 2006; Scott, Coates, and Anderson 2008; Greicar 2009; Meek et al. 2010). What emerges from these dialogues is that deans nowadays are required to be more than collegial, intellectual leaders. They are

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also meant to be fiscal and human resource experts, fundraisers, politicians and diplomats (Johnson and Cross 2006). The need to learn the mechanics of each of the aforementioned roles appears to be overwhelming. Deans as part of the university leadership also appear to be increasingly challenged by management issues from the academe, as revealed in the Changing Academic Professions survey conducted in various countries in 2007 (Coates et al. 2010).

Research undertaken for this paper on leadership development for deans at universities in the Gauteng province reveals that they face the complexities of change, contesting demands from multiple stakeholders and an ever-increasing requirement for operational efficiency, with dwindling resources and inadequate capacity (Seale 2014). The general view from the deans interviewed for this study is that they are not coping with such contesting demands. Moreover, their current systemic and institutional environment may not be sufficiently enabling or supportive for individual and organisational success (Cloete, Bunting, and Kulati 2000; Jansen 2002; Johnson and Cross 2006; Seale 2014). In response to these assumed shortfalls, some commentators point to leadership development as a possible solution and enabler of effective performance of leaders in universities (Wisniewski 1999; Gmelch 2003; Duderstadt 2005; Scott, Coates, and Anderson 2008; Greicar 2009). Leadership development initiatives seem to have produced results in other higher education systems (Fielden and Gillard 2000; Wisniewski 1999; Johnson 2002; Gmelch and Wolverton 2002; Johnson and Cross 2006; Scott, Coates, and Anderson 2008). In South African universities, however, there appears to be an absence of a coherent and strategic conceptualisation and implementation of leadership development for deans. In fact, the evidence for this study indicates that the South African higher education system lacks an adequate, appropriate response to leadership development for senior managers like deans.

This paper addresses the following main questions: What should be the contextual, conceptual and theoretical foundations for effective leadership development in South Africa? In addressing this question, we examine critical issues such as (i) enabling and constraining factors for academic leadership and management for deans in the current context of South African higher education; (ii) the profiles of deans, with reference to their capacity and effectiveness; and (iii) how their abilities can be improved through appropriate leadership development strategies.

We show that the rapidly changing higher education environment has become increasingly constraining for effective leadership and management, a situation which is aggravated by global, national and institutional influencers that have reshaped deanship as understood and practised in South African universities. Though this experience may be shared globally as Gmelch et al. (1999) reveal in their landmark study of over 600 deans in the USA, and similarly Scott, Coates, and Anderson's (2008) investigation of over 500 academics leaders in Australia, the South African context for leading and managing universities is more complex, and some may argue perhaps even unique, given its peculiar colonial and apartheid legacy (Cloete, Bunting, and Kulati 2000; Jansen 2002; Johnson and Cross 2006; Seale 2014). What this means is that generic and a-contextual, corporate-like approaches to leadership development for deans as adopted by some local universities seem to be inappropriate, as they do not address unique institutional challenges and the pivotal bridging role deans play, between the academe and administration.

Equally important is that most deans have not been adequately prepared nor are they supported for the expectations versus the lived realities of deanship. We contend that what is required is an approach to leadership development for deans, which (i) takes

cognisance of and responds to the unique dynamic context wherein they operate, including institutional legacies; (ii) provides the necessary preparation and ongoing support for dealing with a changing environment; (iii) addresses their need for reflection and learning; and (iv) incorporates performance management and career advancement requirements.

#### Theory and method

The approach adopted in this study rests on three key theoretical underpinnings. First, it draws on Parry (1998) whose work is largely directed towards *leading change* in complexity. Parry (1998) focuses on leadership processes in a particular context, rather than on what individuals do as leaders. This frame of reference is of particular importance for understanding deans' leadership practices in a complex, changing environment such as South Africa. As Parry (1998) indicates, careful scrutiny of these practices in their context should shed light on the social influence processes at work in complex organisational settings.

Second, central to our analysis is the notion of reflectivity to understand how deans as academic leaders adapt to and cope with an environment of change and complexity in a reflective modality, that is, how they focus on leadership problems, experiment with solutions and learn from (positive) response consequences (Bandura 1977). Schön (1983) influenced by Dewey emphasises the centrality of reflection in any investigation on what professionals do. He introduces an epistemology of practice grounded in social constructivism, 'in which the knowledge inherent in practice is being understood as artful doing' (35). Schön's (1983) contribution is centred on advancing an understanding of what professionals do through the ideas of reflection and action. Social constructivism embeds particular notions of reality, knowledge and learning. Reality is constructed through human activity (Kukla 2000). Reality cannot be discovered; it does not exist prior to its social invention and construction. Knowledge as a human product is socially and culturally constructed too. Meaning is created through interactions between individuals and their environment. In particular, learning is a dynamic social process not restricted to the individual, nor is it a passive development of behaviours that are shaped by external forces (McMahon 1997).

Third, our approach resonates with the work of Lambert et al. (2002) who address the dynamic interplay between leadership and learning, in particular, the application of theory in practice. For Lambert et al. (2002), the evolution of leading and of learning theory has followed similar historical and philosophical paths, since both notions involve situated conceptual interpretation and expressions of reality.

If leadership is about learning as Lambert et al. (2002) argue, social constructivism may help to unearth and explore the dynamic relationship between how deans are formed by their prior experiences, beliefs, values, sociocultural histories and perceptions of their world, and how these social constructs translate into their understanding of leadership and management practice in a complex, changing environment. Related to this aspect is the concept of *reflexivity*, which requires that deans understand who they are, how they operate, and what their dispositions and pre-dispositions are for the job.

This paper reports on interviews undertaken with deans, their line managers, human resource managers and other key informants about leadership, management and leadership development at six universities in the Gauteng province, South Africa. The study comprises a review of the literature in these areas, two questionnaires and interviews with 26 deans at the University of Pretoria (UP), University of South Africa

(UNISA), University of the Witwatersrand (Wits), University of Johannesburg (UJ), Tshwane University of Technology (TUT) and Vaal University of Technology. These methods enabled commonalities and differences to be compared and contrasted among participant responses and presented an opportunity to gather 'multiple sources of information rich in context'. In order to test and triangulate the data from the questionnaires and interviews with deans, additional semi-structured interviews took place with 12 other key informants, such as the deans' line managers, human resource managers and others, such as the CEO of Higher Education South Africa (HESA).

#### Higher education in South Africa: institutional landscape

The public higher education landscape in South Africa consists of 25 institutions, including 11 'traditional' universities, 8 comprehensive universities and 6 universities of technology. 'Traditional' universities offer 'a mix of programmes, including career-oriented degree and professional programmes, general formative programmes and research master's and doctoral programmes, while universities of technology offer vocational education at both degree and sub-degree level. Comprehensive universities offer a programme mix across the spectrum of research postgraduate degrees to career-oriented diplomas. What follows is a brief typographical and historical description of the six universities in the Gauteng province under investigation in this paper.

The UNISA is the oldest historically white institution in South Africa. Following its merger in 2004 with Technikon SA, another historically white institution, and the incorporation of Vista University Distance Education Campus, a historically black institution, UNISA today is a comprehensive university offering vocational, professional and academic qualifications. It caters for one-third of the total student enrolment in the South African public higher education system.

The UP is a large contact residential university situated in the metropolitan area of Tshwane. It is a former white, Afrikaans-medium institution and, like other historically white universities, it had its own private Act and enjoyed almost unrestricted autonomy, except for the important restriction on admission of so-called non-white students (Fourie 2004). TUT is a large, residential, multi-campus university of technology established at the beginning of 2004, as a result of a merger between two historically black institutions (Technikon Northern Gauteng and Technikon North West) and Technikon Pretoria, a historically white institution.

Designated as one of six comprehensive universities with a mission to provide vocational, formative and professional education at undergraduate and postgraduate levels, UJ is one of the largest, multi-campus, residential universities in South Africa. It was created out of a merger between the former Rand Afrikaans University (RAU), the Technikon Witwatersrand (TWR) and the Soweto and East Rand campuses of Vista. Wits is a historically white research-intensive institution located in Johannesburg. As a part of the sector-wide restructuring of the higher education landscape, Wits incorporated the Johannesburg College of Education in 2001. Vaal University of Technology, formerly known as the Vaal Triangle Technikon, has evolved from a white technical college to a predominantly black university of technology, with its main residential campus situated in Vanderbijlpark in southern Gauteng. Vaal University of Technology was not greatly affected by the restructuring of the higher education sector but it was required to incorporate the Sebokeng campus of the former Vista University. These universities were selected for the study on leadership, management and leadership development for deans as they collectively reflect the current higher

education landscape in terms of institutional types, student size and urban/rural location and they are bound by similar yet also contrasting challenges and opportunities.

#### Executive deanship: context and challenges

Much has been written on the global impact of change in universities and the requirements for more agile, adept leadership and effective management for institutional survival and success (Pounder 2001; Yielder and Codling 2004; Duderstadt 2005; Johnson and Cross 2006; Scott, Coates, and Anderson 2008). These writings point to a number of common trends which have provided 'a set of new conventions on the societal value of higher education and how it should be managed' (Singh 2001, 11). Dominating these writings are further issues such as (i) decline in public funding; (ii) increasing demand for relevance, performativity and financial viability; and (iii) increased competition amongst universities and from private providers. Various distinct national pressures add to the challenges, including (i) a changing, more directed policy and regulatory environment; (ii) transformation imperatives and their impact on institutional legacies; (iii) responsiveness versus performativity; (iv) managing the pedagogy of under-preparedness; (v) good governance and effective leadership/management; and (vi) intra-institutional competition for staff and students (Bundy 2006; Johnson and Cross 2006; Badsha and Cloete 2011; Makgoba 2011).

These issues and challenges provide the backdrop for leading and managing in South African universities, particularly at the level of deans. Figure 1 systematises these challenges

The range of challenges varies depending on institutional types and histories.



Figure 1. Leadership challenges in South African universities.

For local deans the ongoing state steering through implementation of new policy and legislative frameworks provided additional pressure points, with its related management requirements (Interviews: Dean 03-11, Dean 04-11, Dean 06-11). They need to keep abreast of the changing regulatory requirements and disciplinary curriculum developments, particularly in professional programmes which impact on their institutions and students (Interviews: Dean 10-11 and Dean 19-11). Coupled to this is the increased demand for efficiency and effectiveness, and responsiveness in creating employment and societal wealth, in a competitive environment (Interviews: Dean 10-11 and Dean 24-11). Like their international counterparts, local deans face the challenges of increased bureaucratisation, administrative overload, resource constraints and leading academics by influence (Interviews: Dean 02-11, Dean 05-11, Dean 08-11, Dean 15-11 and Dean 24-11), all of which are confirmed in the studies undertaken in other university systems (Bolden, Petrov, and Gosling 2008; Scott, Coates, and Anderson 2008; Greicar 2009; Meek et al. 2010). The deans also reported on the expanded scope of their job, with new demands linked to the 'management side', such as setting performance targets, quality assurance and risk management – areas that did not previously fall within the traditional ambit of deanship (Interview: Dean 03-11). Johnson and Cross (2006) report a similar finding, also corroborated by interviews with human resource directors (Interviews: HRD 01-12 and HRD 03-12). Important too is the need to balance the key priorities of teaching and research, especially in so-called 'research-intensive universities' like UP and Wits. But this challenge was not related only to research-oriented universities. During the apartheid regime, historically black universities (HBUs) were managed as extensions of government departments, with centralised, bureaucratic practices and limited academic freedom. Deans operated almost within the framework of government bureaucracies. Nowhere was the impact of this context more evident than at TUT. The biggest challenge here appears to have been the reconstitution of former technikons, (which were seen as largely vocational institutions) to universities of technology, with an added focus on research and scholarship. However, as pointed out by a line manager at TUT, none of these institutions were geared or resourced towards this end.

So when you have people who were in those institutions for ten, fifteen, twenty years, they are now in a new environment that makes demands on them when they were never socialised or educated to be researchers. (Interview: LM 03-12)

Briefly stated, deans face a multiplicity of challenges. In terms of people management, they are required to address employment equity (Interviews: Dean 03-11 and Dean 04-11), to ensure that staff profiles of all universities reflect national demographics and are notably focused on the recruitment and retention of black and female academic staff, especially in historically white institutions (Interviews: Dean 01-11, Dean 04-11 and Dean 13-11). This meant for instance that former technikons, now reconstituted as universities of technology, advanced a class of young black staff to professorial status, in spite of their lack of academic identity and scholarship credentials in a very competitive knowledge domain (Jansen 2003). These young academics might have met equity requirements, 'but the destructive effects of such practices on the higher education system are incalculable,' according to Jansen (2003, 9). Although some progress has generally been made in managing equity in terms of student access, it remains a challenge, particularly in specialist programme areas that require maths and science (Interview: Dean 06-11). Deans mentioned, for example, the pedagogic difficulties

associated with poor schooling and a multilingual population, which impact on teaching, learning and throughput rates (Interviews: Dean 01-11 and Dean 20-12), as identified earlier by Bundy (2006). Engagement with stakeholders and partnerships emerge as areas that require significant attention, given the need for the university to expand its footprint and generate additional income, in the light of decreasing state funding (Interviews: Dean 06-11; Dean 08-11 and Dean 19-11).

As documented elsewhere, deans work extraordinary long hours, some for up to 16 hours a day, have limited vacations and often work over weekends to keep up with their work requirements (Scott, Coates, and Anderson 2008 and Greicar 2009). A much bigger problem for deans, who were active researchers prior to deanship, is retaining their discipline-based research profile, which often comes at a huge personal cost to their health and family commitments (Interviews: Dean 02-11, Dean 05-11 and Dean 24-11).

The challenges outlined above have profound implications for leadership and management behaviour of the deans. For deans at Wits, their devolved management model provided additional administrative support in the form of financial and human resource managers (Johnson and Cross 2006); however, this requires greater focus on relationship management, especially between the heads of school and these administrators, who sometimes overrule the heads on management decisions, and then the dean is often required to intervene (Interview: LM 04-12). In 2011 and 2012, Wits experienced a serious breakdown in relationships between the administration and the academe, largely as result of growing tension between the executive and various stakeholders, which led to labour disputes and protracted industrial action.

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

Although TUT is fairly stable nowadays, the key challenge for the new vice-chancellor (appointed in 2012) and her executive is to address the merger 'hangover' decisively and ensure that the institution is repositioned as a significant contributor to the education and, in particular, job-related skills requirements of the country. The deans have a critical role to play in this regard by ensuring that there is a collective and coherent response to the administrative and academic interface, given TUT's post-merger leadership crisis. The institutional ghosts of the university's formation partners seem still to be lurking in its organisational shadows and, whether overtly or covertly, are influencing current leadership and management behaviour.

Another management challenge for some deans at TUT, who were originally from one of the smaller merger partners, concerns perceptions of 'superiority' and 'inferiority', depending on which former camp they came from. This was coupled with having to manage and marry the divergent organisational cultures, address diversity and in some cases resistance to change, (Interviews: Dean 12-11 and Dean 13-11), all complicated by varying resource capacity, in that former white technikons were better endowed than black ones due to the legacy of apartheid (Interview: LM 03-12).

For institutions like UJ in the post-merger period, specific leadership challenges for deans continued around perceptions amongst the staff from the former HBU (Vista), on issues like quality of academic programmes and diversity, particularly in relation to

language and culture (Interviews: Dean 12-11 and Dean 18-12). The leadership and management setting at UJ appears to be stable and to a certain extent more enabling for deans. However, the top-down approach to leadership and management decision-making and sometimes uncontested compliance, which was characteristic of the former RAU, appears still to be prevalent at UJ nowadays. This emerged from the stated and unstated views of the deans participating in this study. Like other 'forced' mergers, UJ faced particular challenges related to its creation and transformation in bringing together three different historical institutional types with quite diverse traditions, cultures and legacies, as was observed by one of the deans there.

The old TWR [Technikon Witwatersrand] was quite transformed, but the old RAU was nested between high walls and was a very secluded community, very Afrikaans speaking. (Interview: Dean 18-12)

This sentiment was common amongst merger partners who were previously classified along the lines of race and language. To some extent these challenges remain, especially in terms of the transformation imperatives a number of formerly white universities face for more representative student demographics and greater employment equity.

Despite the advent of new leadership, Vaal University of Technology is still troubled today by the impact of a previous sustained leadership regime characterised by fear, autocratic and nepotistic leadership behaviour. Although the new leadership has become more inclusive, especially in its recognition of deans as part of the senior management team, decision-making and resource allocation for the academic enterprise remain centrally controlled and directed. It seems like the current executive may have missed an opportunity to address its former destructive legacy through more inclusive, transparent and empowering decision-making.

All the universities participating in this study have been affected by organisational and structural changes in the past decade through mergers, re-engineering, downsizing and/or rationalisation. For some, like Wits and UP, this has been undertaken with the aim of flattening organisational hierarchies and devolving greater strategic and operational autonomy to academic faculties, schools and/or departments. In others, like the merged institutions of UNISA and UJ, this was to ensure that the new institution was strategically aligned and operationally focused for greater efficiencies by the executive team.

After a decade of the reconfigured higher education landscape, it appears that the institutions affected by mergers are still experiencing a number of challenges. These include disparate organisational cultures and race issues which manifested in diverse ways at different institutions. These trends were influenced mainly by market and political pressures for greater commercial orientation from these universities. For other universities, like TUT and Vaal University of Technology, the organisational changes were primarily aimed at addressing the legacy of a very challenging past which has continued into the present, characterised by poor governance, weak leadership and ineffective management.

The deans identified the need to align and connect top-down and bottom-up leadership and management approaches to decision-making, especially between the faculty and central administration. In those universities where a predominantly 'managerial' or top-down approach to leadership dominates (like UNISA, UJ, TUT and Vaal University of Technology), the executive was perceived at a faculty level to be micromanaging and in some cases impeding decision-making relating to the academic project. At Wits and UP, with their more devolved management models, the deans looked to the executive for stronger direction and greater clarity of organisational priorities to help guide their activities at a faculty level. This appears to be a global phenomenon as evidenced in the study undertaken by Bolden, Petrov, and Gosling (2008) in the UK.

#### Deanship in the contemporary university

In its traditional sense, academic leadership for deans could be defined as 'the act of building a community of scholars to set direction and achieve common purposes through the empowerment of faculty and staff' (Gmelch and Wolverton 2002, 35). Today, it appears that the dean's position carries more political and greater social nuances than in the past (Gmelch and Wolverton 2002; Rosser, Johnsrud, and Heck 2003; Johnson and Cross 2006; Meek et al. 2010). A key component of deanship centres on balancing the different but inter-related roles between academic leader and executive manager, especially amongst peers, as shown in Greicar's (2009) study. In a sense, this appears to be the hardest part of the job – one dean referred to himself in the interviews as the proverbial 'meat in the sandwich', or put another way, 'neither fish nor fowl' (Interview: Dean 24-11). Deanship today has evolved to the extent that most incumbents have to balance academic leadership with executive management in practice. Their leadership is complicated by the desire to lead their faculty to new levels of accomplishment and excellence, while bearing in mind that they have to return to the same academic environment one day (Gmelch et al. 1999).

Keeping disparate, sometimes warring, factions content is like walking a tightrope without a balancing pole. Navigating the two camps and directing them towards the faculty and university's strategic objectives in terms of the academic project is a key goal (Interviews: Dean 09-11; Dean 10-11; Dean 16-11; Dean 23-11; Dean 25-11 and Dean 26-11). Deans serve two masters: the executive and the academe (Rosser, Johnsrud, and Heck 2003; Johnson and Cross 2006). They talk about 'bridging the gap' between the faculty and the executive by establishing systems that support both (Interview: Dean 08-11). However, this duality of roles has led to particular challenges as illustrated by Johnson's (2012) study of deanship at Wits, which found that the intellectual and academic leadership role of deans has been surpassed by managerial and administrative demands that, in some instances, have led to alienation from intellectual life. Scott, Coates, and Anderson (2008) point to similar experiences in Australia and the USA.

Most of the deans interviewed in this study recognise that in theory their position is really an academic one that carries management responsibilities, as captured in the following comment:

Hence I interpret my function as Dean as having both a management component as well as an academic leadership component, because I feel from a leadership point of view you hold the academic 'high ground', so to say. Being able to lead your faculty in a direction; in this case it is an academic faculty it is not a management faculty. You lead them in an academic sense. (Interview: Dean 24-11)

The advertisements and job specifications for deans seem to corroborate this conception and understanding of their role. Similarly, this notion is confirmed by interviews with line managers and human resource managers (Interviews: LM 02-12, LM 04-12, HRM

01-12 and HRM 03-12). But in reality, deanship appears to be something much more complex. Johnson and Cross (2006) refer to the mismatch between academic leadership and the required management skills which deans often do not possess. Deans who take up management posts may be seen as having surrendered to a set of obtuse values that are adverse to the core, collegial values of academe (Ramsden 1998). What this means for deans is that, despite their positional power and legitimate authority, academic credibility, not management prowess, remains the measure of their standing amongst peers, at an institutional level. (Interviews: Dean 06-11, Dean 09-11 and Dean 20-12). The deans who participated in this study see themselves as representing the executive or management, which is unsurprising given the evolution of the 'executiveness' of this role in South African higher education. Besides the impact of regulatory drivers on governance, individual universities have their own leadership and management legacies, based partly on their institutional history, traditions and culture. In the post-apartheid period, some universities have placed greater emphasis on management and administration, with less attention to collegiality and academic leadership. This development is characterised by a clearer distinction between academic and administrative functions.

At Wits, for instance, with its liberal tradition, academic functions are prominent and there is reliance on some form of collegiality (Johnson and Cross 2006). Johnson (2012) identifies a recent demise of collegiality and emergence of 'contrived collegial managerialism' at Wits, which is as a result of the 'collegial discourse from below and managerial pressure from above'. The devolved management model introduced at Wits in 2001 has complicated this situation. In this setting, deans are confronted with role ambiguity as representatives of their faculty and custodians of their academic project on the one hand, and as enforcers of the goals of the executive on the other (Interview: Dean 24-11). Maintaining the academic/executive balance is a key skill (Interview: Dean 26-11). While this situation is not unique to Wits, it adds another layer of complexity to deanship. Deans experience heightened levels of role ambiguity as they navigate the tensions of an academic culture that prides itself on debate and contestation, especially with 'central management' (Johnson and Cross 2006). Moreover, although devolution comes with greater autonomy and financial independence, internal competition for dwindling resources and increased demands for doing more with less add to the leadership and management complexities.

At former Afrikaans-speaking universities like UP and RAU (now UJ), the focus has been on repositioning the institutions in line with the emerging trend towards entrepreneurialism:

A handful of institutions seized the responsiveness agenda scripted by Burton Clark. They reinvented themselves as entrepreneurial universities. They diversified their curricula, ran market-oriented courses, experimented with new delivery modes, and entered into profitmaking public/private partnerships. (Bundy 2006, 10)

In these institutions, administrative and management functions became more prominent, with greater centralisation of power/authority and strong downward lines of accountability, especially in universities affected by mergers, such as UJ (Interview: Dean 17-11). A dean at UJ described the frustration of being an executive in name only with limited decision-making authority (Interview: Dean 19-11), a claim echoed by their human resources director (Interview: HRD 03-12). Following a change of leadership, a more enabling environment has been created for deans with a revised

'corporate framework' in some institutions like UP. Although UP has not adopted a completely devolved management model as Wits has done, it shows an increase in the delegation of authority for financial and other decision-making tasks (Interview: Dean 08-11).

Evidence generated by the authors points to a skewed, imbalanced relationship between the two roles. This is consistent with the findings of the studies on deanship undertaken by Gmelch et al. (1999), Johnson (2012) and Scott, Coates, and Anderson (2008). The day-to-day experience of deans demonstrates a greater focus on their management responsibilities, especially administrative matters like checking emails or student queries, often at the cost of strategic academic leadership (Interviews: Dean 04-11; Dean 19-11; Dean 18-12; Dean 20-12 and Dean 22-12). According to Scott, Coates, and Anderson (2008), this experience matches that of deans in other higher education systems such as Australia,

... they are so busy complying with bureaucratic and reporting procedures that they do not demonstrably add value to achieving the core purposes of their roles; (...) they have little time left to lead or to think and operate strategically. (xiv)

What emerges from the empirical evidence generated in this study is that the conception and practice of leadership and management in the contemporary setting for deans have changed dramatically, with consequent impacts on their preparation and support for this critical role.

#### Capacity of deans to lead and manage

For the most part, deans are academics first, notable for their scholarly pursuit and prowess and not their executive acumen, in which most of them have not been formed or schooled. As shown in the literature and the data in this study, they emerge from a traditional collegial space and are catapulted into the relatively unknown domain of executive management with its related demands and challenges (Gmelch 2003; Johnson and Cross 2006; Scott, Coates, and Anderson 2008; Greicar 2009; Meek et al. 2010). It appears that most novice deans do not possess the capacity or capabilities to effectively lead and manage their faculty (Greicar 2009 and Seale 2014). They often assume their role with minimal understanding of the responsibilities it entails. Greicar's (2009) study for instance reveals that

... preparation of the senior academic officer is often left to chance. This lack of professional preparation in the development of an academic dean is a most common practice and is widely accepted at all higher education institutions regardless of their Carnegie classification. (5)

Greicar (2009) indicates that many deans fail to recognise that the position consists primarily of administrative tasks, with little time for scholarship. Deans are very often 'dropped into the deep end', where they either have to develop the necessary skills very quickly or risk failure. At all the universities investigated, there was very little preparation of deans for this critical role, if any (Interviews: Dean 04-11, Dean 09-11, Dean 23-11, Dean 24-11, Dean 26-11 and Dean 22-12). In some instances, support is simply forgotten, resulting in quite a traumatising experience. Some deans derive support from their peers who share similar positions and context, (Interviews: Dean 03-11; Dean 16-11 and Dean 19-11) while others draw on their previous

experience as acting deans (Interview: Dean 03-11). For some deans, job shadowing helped them to understand the requirements of the job, (Interview: Dean 19-11) as did drawing on lessons learnt in a previous life, especially experiences of poor leadership and bad role modelling (Interviews: Dean 05-11 and Dean 26-11). Others rely on the executive and administrative support provided at their institution (Interview: Dean 09-11).

Generally, their dogged determination to survive keeps them soldiering on:

You are just thrown in the deep end and you must swim – that's all. Especially in those days we still had our previous rector, he was autocratic. You are not allowed to open your mouth and this is the way he wants to manage the university. That was very difficult for me. (Interview: Dean 20-12)

Over and above induction woes, some deans had to deal with the 'outsider' dimension, which created its particular challenges (Interviews: Dean 02-11 and Dean 05-11). For one dean working with colleagues who had unsuccessfully applied for her position and did not get it presented particular problems (Interview: Dean 09-11). Given their experiences, deans were unanimous in the interviews about the need for some form of induction/orientation at the start of their tenure (Interview: Dean 24-11).

Such an orientation should illustrate the overall picture and contextual realities (Interview: Dean 17-11), be informed by the institutional and faculty strategies and objectives (Interview: Dean 22-12), and focus on governance, leadership (Interview: Dean 20-12) and specific finance and people-related issues (Interview: Dean 18-12). In the light of little initial preparatory training, many of the deans relied on assistance from support networks to manage the requirements of the job, especially during the initial stages (Interviews: Dean 19-11, Dean 24-11 and Dean 25-11). For one dean in particular, having a group of 'advisors' assisted with keeping in touch with the faculty climate and what was happening 'on the ground.' (Interview: Dean 24-11). These multiple interventions provide deans with an opportunity for reflectivity and reflexivity in terms of their own understanding of the role, learning on the job and areas for enhancement of their leadership/management knowledge and skills.

At Wits, UJ and UP, deans have an informal forum where they can discuss areas of mutual interest and learn from shared experiences. For some, drawing on the experience of previous deans was helpful (Interviews: Dean 20-12 and Dean 25-11). Most deans interviewed are members of external discipline-based networks that provide a platform for consultation and engagement (Interviews: Dean 17-11; Dean 19-11 and Dean 26-11). As noted earlier, for most deans their preparation and initial introduction to deanship was not ideal; in fact, for some of them the experience was quite harrowing. This may be one of the root causes of the 'leadership crisis' currently unfolding in South African higher education, referred to by Jansen (2002, 2003) and Cloete, Bunting, and Kulati (2000).

#### Leadership development notions and practice

Current conceptions of leadership development are associated with the postmodern era and premised on complementarity of leadership and management knowledge and skills, applied in specific organisational contexts (Conger and Benjamin 1999; Fielden and Gillard 2000; Wisniewski 1999; Johnson 2002). As such, the interplay between

individual and organisational components is fundamental in building an understanding of leadership development. Using the same perspective, we conceptualise leadership development as building the leadership and management capacity of individuals located in a particular environment, to make them and their organisations more efficient and effective, towards achieving agreed, established and measurable performance goals. Underpinning this conception of leadership is the interdependence between leadership and management competencies, contextual relevance and individual and organisation alignment, in respect of achievement of performance goals. In her leadership development model, McLennan (2009) identifies three dimensions of leadership development for effective performance, which are expected to operate in concert for successful planning and implementation, namely: ability, will and space.

Traditionally, according to Greicar (2009), preparation for deanship focused on three leadership development methods, namely past administrative posts, mentoring and on-the-job training.

Although most universities in South Africa today have fairly well-established human resource development policies for staff, there are no adequate opportunities for senior managers, including deans, to acquire critical executive and interpersonal skills (Interview: CEO of HESA).

When asked whether their university has a leadership development strategy, most deans responded negatively, whilst some were unsure (Interview: Dean 21-11). The human resource directors and line managers mentioned that, although their universities do not have a comprehensive leadership development strategy, some have adopted either formal or informal interventions to address this need (Interviews: HR Manager 01-12, LM 02-12 and LM 03-12). There are, however, cases where more strategic approaches to leadership and management development have been implemented. For instance, UNISA has adopted the concept of 'servant leadership' as an institutional approach to leadership based on the '11Cs-plus-one' tenets contained in their Transformation Charter (Communication, Conversation, Conservation, Community, Connection, Care, Collegiality, Commitment, Co-Operation, Creativity, Consultation, plus Courage). UNISA, UP, Wits and UJ seem to be the most advanced in terms of designing and implementing leadership development interventions for deans.

Some respondents referred to general leadership and management courses, which universities offer and deans can attend, based on their individual needs (Interviews: Dean 06-11, Dean 24-11 and Dean 26-11), with support from the human resources division (Interviews: HR Manager 01-12 and HR Manager 03-12) and their line managers. Although helpful, these interventions remain too generic and lack individual or discipline specificity for some deans (Interview: Dean 18-11, Dean 19-11, HRM 04-12 and LM 04-12). Leadership development relationships primarily take two forms in organisations: coaching and mentoring. Greicar's study (2009) on leadership development for deans reveals that 55% of them have a formal mentor. Current trends and the evidence gathered for this study show that views on the implementation of mentoring in universities are varied. It appears that most deans have developed more informal mentorship relations throughout their careers. They see mentorship as a private matter and often draw on it when faced with the challenges of a new position. Mentorship has, however, assisted deans in their new roles and has had a positive impact on their career advancement (Greicar 2009). South African deans have had similar experiences, although most of the mentoring that occurs in the South African higher education arena consists of informal practice.

Then what is very helpful is that the deans have a very close working relationship. So we meet once a month for lunch and we call each other all the time – there is a lot of informal peer mentoring that takes place. That I found extremely helpful. (Interview: Dean 16-11)

Not many deans participating in this study have coaches, but those who do have derived some value from this opportunity (Interviews: Dean 25-11 and Dean 26-11). The literature to date on the success of formal and informal mentoring practices in universities is at worst confounding and inconclusive, and at best shows that it is often left to chance. Although deans agree on the value of training and development, they nonetheless prefer learning from on-the-job experience (Interviews: Dean 06-11, Dean 08-11, Dean 10-11 and Dean 18-11).

South African universities are becoming more aware of the need for better understanding of strategic approaches to leadership development, and the concomitant content and pedagogies that are entailed. Current practices remain non-strategic and, in most instances, disconnected from organisational objectives. This situation points to the need for reconceptualising and reframing the discourse on leadership development for deans, given their unique and complex leadership and management roles and context.

#### Reframing leadership development for deans

The predominant emphasis in leadership research in universities has been on the human capital of individual leaders. Parry (1998) points out that this approach neglects the social and relational dimension of leadership as characterised by advancements in prevailing 'post-heroic' transformational leadership (Huey 1994 and Nirenberg 1993), collective leadership (Bolden, Petrov, and Gosling 2008), distributed leadership (Gronn 2002) and team leadership (Lave and Wenger 1991; Stewart and Manz 1995; Northouse 2007). Leadership development approaches nowadays appear to be trapped in the frame of the individualistic leader, manifested by a 'deficit-assumption' orientation that focuses on a leader's 'weaknesses' and performance gaps, with the main purpose being remedial, that is, 'fixing' the individual for the benefit of the collective.

In our view, an alternative approach is a conception of leadership development that takes cognisance of both the individual and social dimensions of leadership, and is aligned with the strategic intent and performance objectives of the institution within its specific environmental setting. In this frame, leadership development acquires and is imbued with a 'developmental-orientation', premised on building the capacity of the individual for effective performance in the current role, as well as continuous professional development for the purpose of career advancement.

The fundamental proposition in this conception is that an individual possesses the requisite minimum knowledge, skills and demonstrable experience to do the job. Leadership development is then directed towards the enhancement of their capacity to lead and manage more effectively. What this means is that leadership development interventions for deans must be responsive to the leadership complexities of institutional change, as espoused by Parry (1998).

Against this background, a portrait of transformational leadership emerges for deans, with multiple dimensions, applied in evolving contexts and practised at different levels. First, with its focus on individual and social components, this conception of leadership is grounded in bottom-up transformation, wherein power-sharing and organisational coalitions are negotiated and contested. This approach resonates with

commentaries on team leadership, distributed leadership and participatory leadership mentioned earlier. Some deans referred to this development as a shift to 'coalition building', not only with the academe, but also with the administrative actors on whom they rely heavily nowadays. Second, in response to the ongoing negotiations and contestations between internal and external stakeholders, deanship requires mediation skills to focus on leading change and transformation in transition. These nuanced dimensions of academic leadership have implications for the conception and practice of leadership development for deans.

What follows is a conceptual framework for the development of such a leadership development model.

### Towards a conceptual framework for a dynamic and context-sensitive leadership development model

The conceptual reframing of leadership development for deans in this perspective, as shown in Figure 2, must take cognisance of and be responsive to three important aspects. The first aspect is the complex and changing *leadership context* for deans, characterised by global, national and institutional imperatives. Of importance are the pressures for efficiency, austerity and fiscal discipline imposed by global competitiveness, and knowledge and technological innovation discourses, which have become

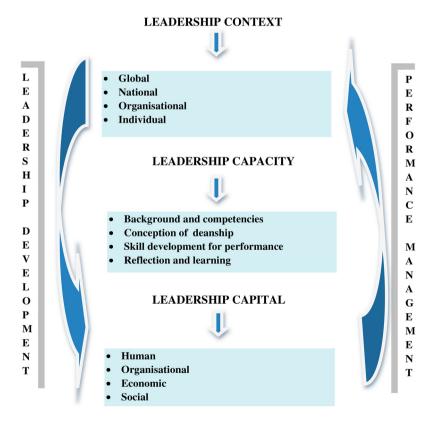


Figure 2. Conceptual framework on leadership development for deans.

somewhat universalising and unproblematically accepted within what Torres (2011) refers to as the 'neo-liberal common sense'. It has become almost impossible to lead and manage a higher education institution without knowledge or awareness of the challenges posed by this totalising meta-narrative.

In South Africa, this discourse has gained expression in the government's macro-economic framework, Growth, Employment and Redistribution. At the institutional level, Bolden, Petrov, and Gosling (2008) identify five sets of factors of leadership in the contemporary higher education setting: (i) structural and organisational factors, centred on the institutional environment for leadership; (ii) attributes of individual leaders, in terms of their personal qualities, preferences and experience; (iii) social factors, which incorporate the relational aspects of organisations, including networks; (iv) contextual pressures from politicians and stakeholders; and (v) developmental concerns, at individual, group and organisational levels. How these factors intersect to influence leadership practice depends on the governance and leadership legacies of the institutions and their repositioning in post-apartheid South Africa. What is worth mentioning here is the introduction of 'executivism' for deans during this period at all participating universities and its impact on academic leadership, as noted by Johnson and Cross (2006).

The second important aspect of the framework is *leadership capacity*, which relates to the internal means for ensuring that the fundamental requirements for academic leadership and executive management exist within the individual and the organisation. It refers to the process of leadership development that enables and empowers the individual and the organisation to address the complexities of *change*, reflect, and *learn* from their successes and failures, and focus on improved performance. Deans are generally individuals with very diverse profiles, are adults with many years of experience, some of them are extremely knowledgeable about their professional fields, but as the interview data reveals, lack opportunities for reflection, interaction and knowledge sharing let alone the necessary degrees of reflectivity that may require development of specific skills. This is in keeping with the three areas that Gmelch and Wolverton (2002) identify for leadership development: (i) conceptual understanding of academic leadership in a specific institutional context; (ii) skills development for performance; and (iii) reflection and learning from experience, and corroborated by Schön (1983) who advances an understanding of what professionals do through the ideas of reflection and action.

The third aspect of the framework is *leadership capital*. This refers to the demonstrable, measurable, value-added outcome or contribution to human,<sup>2</sup> economic,<sup>3</sup> organisational<sup>4</sup> and social<sup>5</sup> leadership assets by the individual, institution and the higher education sector, arising out of relevant and appropriate leadership development interventions for deans. Current approaches to leadership development in universities have focused primarily on human and economic aspects, and not sufficiently on the organisational and social capital dimensions (Bolden, Petrov, and Gosling 2008; Scott, Coates, and Anderson 2008; Greicar, 2009).

Although leadership development interventions nowadays are more strategic and integrated with organisational objectives, the challenge of measuring the impact and return on investment in a systematic, comprehensive manner remains problematic (Bolden, Petrov, and Gosling 2008; McLennan 2009). Most interventions use programme impact surveys which tend to focus on participant satisfaction with the event/activities and not on an assessment of the application of new knowledge and skills, or its individual and organisational benefits in terms of return on investment.

The leadership development framework illustrated above, which introduces the notion of *leadership capital*, is an attempt by the authors to address these challenges in a more integrated and systemic manner.

#### Conclusion

South African universities exist in a cauldron of global change, past inequities, local imperatives and increasingly vocal demands for mission relevance. It is crucial to appreciate this context, since it sets the scene for the world in which deans nowadays are required to lead and manage. The South African higher education scenario reveals a leadership and management environment characterised by complexities of change, burdened by loose policy and regulatory drivers, and subjected to declining financial and other resources. Deans are being confronted with unique problems arising out of transformation, institutional restructuring and concerns with equity, access and quality of provision. In response, most South African universities have resorted to generic, corporate-like approaches to supporting leadership and management – 'executivism', which are increasingly proving to be inappropriate. The implementation of 'executive deanship', in particular, seems to have bypassed the unique contextual challenges and pivotal bridging role deans play, between the academe and administration. The consequences are becoming explicit. These range from mismanagement, managerial conflict, to problematic governance and authoritarian leadership that compromise scholarship and the core business of the university (advancement of knowledge), particularly at a time when stronger academic leadership is required.

As academic leaders, deans play a pivotal role in advancing the strategic objectives and operational requirements for success in local universities. Although credible scholars, many do not have the necessary management know-how or experience, a key challenge today for deanship. Neither are they prepared to deal with role ambiguity and, in some cases, alienation from the academe in their new position. In most instances, they require additional capacity and support, especially with relation to the management dimensions of their role. As gleaned from the literature and experiences elsewhere, if conceptualised, planned and managed correctly, in an enabling organisational setting, leadership development may enhance an individual's competencies and result in improved organisational outcomes. Unfortunately, many South African universities have not yet adopted a strategic approach to leadership development with appropriate interventions that respond to institutional and individual needs. In this regard, we have argued that leadership development may be an enabler for improved effectiveness and performance of deans, particularly if aligned to institutional objectives, taking cognisance of the complexities of change in the South African higher education arena.

#### **Notes**

- 'Contrived collegial managerialism' refers to a management model in which spontaneity, initiative and voluntary interaction are constrained by management practices, regulations and controls that are geared to promoting efficiency and increasing individual and institutional performance.
- 2. Human capital is the stock of competencies, knowledge, social and personality attributes, including creativity, cognitive abilities, embodied in the ability to perform labor so as to produce economic value http://en.wikipedia.org/wiki/Human\_capital.

- 3. Economic capital refers to the amount of capital that an organisation needs to ensure that it stays solvent http://www.investopedia.com/terms/e/economic-capital.asp.
- 'Organizational capital is the value to an enterprise which is derived from organization philosophy and systems which leverage the organization's capability in delivering goods or services' (http://en.wikipedia.org/wiki/Organizational\_capital).
- Social capital is the 'stock of active connections among people such as the trust, mutual understanding and shared values and behaviours that binds them and makes cooperative action possible' (Cohen and Prusak 2001).

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