UNIVERSITEIT VAN PRETORIA
UNIVERSITY OF PRETORIA
YUNIBESITHI YA PRETORIA

GORDON INSTITUTE
OF BUSINESS SCIENCE
University of Pretoria

Institutional transformation at the University of the Free State

Desan Pillay
Student number: 11356342

A research project submitted to the Gordon Institute of Business Science, University of Pretoria, in partial fulfilment of the requirements for the degree of Master of Business Administration.

7 November 2012

© University of Pretoria

Copyright © 2013, University of Pretoria. All rights reserved. The copyright in this work vests in the University of Pretoria. No part of this work may be reproduced or transmitted in any form or by any means, without the prior written permission of the University of Pretoria.

ABSTRACT

This research focuses on institutional behaviour and transformation in the context of organisational change, leadership, and culture at the University of the Free State (UFS). It investigates how the transformation of the institution's logics, the tearing down of old logics and the construction of new ones opens up the possibility for the organisation to make new kinds of status claims. The purpose of the research is to understand the recipe of listening, unwavering moral fortitude, servant leadership, and love and to build a model of transformation worth emulating.

A qualitative case study method has been followed–where semi-structured interviews were conducted, including limited open-ended questions to encourage discussion of the transformation efforts–in order to gain an understanding of the approach taken, the structure and effectiveness of the transformation practices, and how and why certain strategies work while others are less effective. This qualitative case study has been designed to answer the following research questions: What are the variables that determine the pace of change in institutional transformation? What are the leadership qualities that a leader must demonstrate for effective leadership during institutional transformation? What are the indicators of the interrelationship between leadership and culture during institutional transformation? The outcome follows from the three pillars of institutional transformation, namely, organisational change, leadership, and organisational culture within the UFS. The key findings: a hands-on management style drives a vision and culture of shared values and respect – social and informal management is a huge compromise for any leader or manager but is the major part of success when it comes to change. The idea of rebranding, social cohesion, communication, collaboration and cultural belonging played a critical role during the institutional transformation at the UFS - and seems to be the key drivers of institutional transformation in this journey.

KEYWORDS

Organisational Behaviour

Organisational Change

Organisational Culture

Institutional Transformation

Leadership

Politics

DECLARATION

I declare that this research project is my own work. It is submitted in partial fulfilment of the requirements for the degree of Master of Business Administration at the Gordon Institute of Business Science, University of Pretoria. It has not been submitted before for any degree or examination in any other University. I further declare that I have obtained the necessary authorisation and consent to carry out this research.

_____

Desan Pillay

7 November 2012

ACKNOWLEDGEMENTS

The starting point for my acknowledgements most certainly has to be someone whom I feel incredibly lucky to be able to call a supervisor and a mentor throughout the tedious process of my research project: Dr Johan. L. Olivier. I can assure you that the path of my research project changed on the very first day that we met.

It gives me great pleasure to thank the Rector of the University of the Free State to assist in the arrangements of all the interviews and discussions with his staff and leadership teams. Professor: I have learnt so much from you. Short of my parents, you have done more to change the way I think about the world than anyone. Thank you so very much.

To my immediate family and friends - for their full support and guidance throughout the year. It has been a tough year for us all, however, you have all stood strong together to ensure this is a success.

Lastly, my dearest wife, Sheradia – a special thank you for keeping us honest, and pushing each other to keep focused. The challenges of us both completing our research project at the same time had its pro's and con's, however, it has truly been a real pleasure having the excitement of been newly married, yet still having our heads focused on this time constraining piece of work. Through all the challenges we faced, our love can only grow stronger hereon.

Thank you to everyone else that have contributed in many other ways, for without you this will not have been a success in my life.

DEDICATION

This research project on Institutional Transformation is dedicated to the reason of my existence - to my loving parents, Mrs Savie Pillay and my late dad, Mr Lingo Pillay. Thank you for giving me the opportunities in life to reach this stage in my career. I can state with absolute certainty that without your tireless help, support, and love,,, how much you have sacrificed to make my life easier, and I know that I do not, and cannot, say thank you enough. My loving dad, whom I learnt a lot from on writing and philosophy, for I'm sure it would have been a real pleasure for you to have read and criticised my research project. It is to you both that I dedicate this piece of work.

CONTENTS

CHAPTER 1: INTRODUCTION TO THE RESEARCH PROBLEM 1
1.1 Potential Users of the Outcomes of Study .....
1.2 Relevance of the Problem to South Africa .....
1.3 The meanings of institutional transformation 4
1.4 Purpose of the research study 6
CHAPTER 2: LITERATURE REVIEW 8
2.1 Organisational Change .....
2.1.1 Theories of Change versus Theories of Changing .....
2.1.2 Episodic versus Continuous Change 9
2.1.3 Mechanisms of Change.....10
2.1.4 Institutional Change in the Political Economy 12
2.2 Organisational Culture and Leadership 13
2.2.1 Organisational Culture.....
2.2.2 Organisational Culture: Academic staff and administrators within Higher Education.....17
2.2.3 Organisational Leadership 19
2.2.4 Linking Leadership and Organisational Culture 25
2.3 Institutional Transformation 26
2.4 Conclusion 29
CHAPTER 3: RESEARCH QUESTIONS.....33
3.1 Research Question Validation .....
3.2 Research Questions 34
CHAPTER 4: RESEARCH METHODOLOGY 36
4.1 Research Method .....
4.1.1 Qualitative Design .....
4.1.2 Induction versus Deduction 37
4.1.3 Case Study Analysis 38
4.1.4 Case Study Design 39
4.2 Data Collection 40
4.2.1 Data Sources .....
4.2.1.1 Analysis of Documents .....

4.2.1.2 Interviews 41
4.2.1.3 Observational studies 42
4.2.2 Data Analysis and Presentation 43
4.2.3 Data Validity and Reliability .....
4.3 Assumptions 44
4.4 Research Ethics 45
4.5 Limitations .....
4.6 Conclusions .....
CHAPTER 5: RESULTS 46
5.1 Data Collection .....
5.2 Results 47
5.2.1 Organisational Change.....
5.2.1.1 Definition of Change .....
5.2.1.2 Mechanism of Change.....48
5.2.1.3 Implementing Change 50
5.2.1.4 Sustaining Change 51
5.2.1.5 Leadership Style.....52
5.2.2 Organisational Leadership and Culture.....55
5.2.2.1 Leading towards Cultural Diversity.....56
5.3 Conclusion.....58
CHAPTER 6: DISCUSSION OF RESULTS.....61
6.1 The response to a problem.....
6.2 Discussion of Results 62
6.2.1 Research Question 1.....
6.2.1.1 Physical Desegregation.....
6.2.1.2 Social Integration.....63
6.2.1.3 The power of racial socialisation among incoming students 64
6.2.1.4 Public gesture.....
6.2.2 Research Question 2.....66
6.2.2.1 Leadership example .....
6.2.2.2. Emotional inclusion.....68
6.2.2.3. Leadership Strategies.....69
6.2.3 Research Question 3.....71

6.2.3.1 Knowledge Transformation....72
6.2.3.2 Cultural Embrace....73
6.2.3.3 The clash of "martyr-logical" memories among students....74
6.2.3.4 The balancing of contending political goals - reconciliation and redress....76
6.2.3.5 The diversities of integrated experiences prior to university....77
6.2.3.6 The interference of party politics from outside the campus....78
6.3 Conclusion....80
CHAPTER 7: CONCLUSION....82
7.1. Summary of findings....
7.2 Future Studies....83
7.3 Applicability of the study to other institutions....
7.4 Limitations of the study....84
REFERENCES....85
Appendix A: Typical Questions: Semi-Structured and Expert Interview Questionnaires....95
Appendix B: Typical Questions: Semi-Structured Interview Questionnaires....98
Appendix C: List of respondents: Semi-structured and Expert Interview Questionnaires (Senior Leadership at UFS)....100
Appendix D: List of respondents: Semi-structured Interview Questionnaires....101

FIGURES

Figure 1: Typology of theories of change and innovation 10

Figure 2: Schein three-level model of culture 14

Figure 3: Apparent change 15

Figure 4: Incremental change 15

Figure 5: Hatch model of cultural dynamics.....16

Figure 6: Model for impact of psychological impact (PsyCap), mindfulness, and positive emotions on attitudes and behaviours relevant to positive organisational change 17

Figure 7: Five movements of the U process 19

Figure 8: Ethical transformation of the organisation 20

Figure 9: Total leadership 23

Figure 10: Developmental model to enable leaders to facilitate trauma healing 25

Figure 11: Conventional versus integrative thinking 29

TABLES

Table 1: Headcount enrolments by race, 2000-2009.....3

Table 2: EIGT potential corroboration within institutions.....28

CHAPTER 1: INTRODUCTION TO THE RESEARCH PROBLEM

The aim of this study is to examine the nature and scope of institutional transformation at the University of the Free State (UFS). Throughout the study, the terms *organisational change*, *leadership,* and *organisational culture* are used interchangeably to further expand on the topic of institutional transformation. Based on the analysis of existing literature, a theoretical framework of institutional transformation was derived comprising research questions.

The topic: A case study of institutional transformation at the University of the Free State

This chapter seeks to provide an understanding of the relevance and importance of the problem statement in South Africa (Section 1.2). It then explores the meaning of institutional transformation (Section 1.3) which is evident and limits the research study to its specific title. Section 1.4 provides the purpose of the study in the South African environment.

1.1 Potential Users of Outcomes of the Study

The findings of this report would be of interest to those private sector companies and the higher education sector whose interest imperatives include institutional transformation in South Africa. Subject matter experts and / or academics interested in organisational change, leadership, culture and organisational behaviour would find the results of this study useful. They will gain the understanding necessary to build on further knowledge on how private sector and even other higher education sectors can exhibit institutional transformation to be competitive in the landscape in which they operate. In addition, many strategy and management consulting companies will find similar interests in their roles to transform the different sectors within SA and will experience similar challenges.

1.2 Relevance of the Problem to South Africa

Subsequent to the new democracy in 1994, national leaders across the spectrum engaged the key uncertainties facing the country using a scenario process. Higher Education (HE) was coming to terms with the notions of identity, knowledge and

curriculum transformation in Africa, and what these might mean in the context of South Africa in transition (Bond & Seneque, 2012).

It was relatively easy transforming South Africa's universities after apartheid as far as student numbers were concerned. Within a short period, the number of black students in the university system increased sharply and the number of white students gradually declined. The lack of other credible post-school institutions, such as community colleges or vocational schools, meant that increasing numbers of black students were applying to study at universities. The low pass marks required at school level further increased the number of those who, on paper at least, qualified for diploma and degree studies. This pressure led to chaotic scenes outside some university gates as crowds of desperate students and parents, hoping to gain access to a university qualification as a means of escaping intergenerational poverty, and many of whom had waited throughout the night, attempted to register.

The numbers are not the problem if official objectives included a rapid demographic shift in the racial constitution of the student body at South Africa's 23 universities. The national goals for higher education are articulated in three seminal government documents: the White Paper on Higher Education (1997), the National Plan on Higher Education (2001), and more recently the Green Paper on Post-School Education and Training (2012). Both these policy positions placed access, and access with success, to higher education as an urgent priority for black South Africans (Cele & Menon, 2006; Featherman, Krislov, & Hall, 2009; Council on Higher Education, 2012). There were good reasons for such a goal: In 1990, black African participation in higher education stood only at 32% but by 2009, this number had increased sharply to 66% of total enrolments. Not only did the higher education system expand to close to one million students, most of the growth was in the number of black students. Table 1 on the following page shows the annual growth over ten years using South Africa's peculiar racial designations:

Table 1: Headcount enrolments by race, 2000-2009 (in thousands). Source: Badsha & Cloete, 2011.

	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	Growth pa
African	318	353	377	403	454	447	451	477	515	548	6.2%
Coloured	30	33	38	42	46	46	49	49	52	55	6.9%
Indian	40	43	48	52	54	55	55	53	52	54	3.4%
White	163	173	179	185	189	186	185	180	178	179	1.1%
TOTAL	551	603	641	682	743	734	739	759	797	836	4.7%

Of course, the numbers themselves can be queried on a number of fronts. Too many disadvantaged students drop out of university without attaining the first qualification. Black male student numbers are declining slightly relative to other groups, even though the overall proportion of black students has increased. Too few male students choose to go into primary (elementary) school education and too few black South African students do architecture or doctoral-level studies. And so on. However, the scenario where higher education at the formerly white universities was dominated by the privileged minority has changed, and has continued to change dramatically since the 1990s.

The scenario presented by a numerical analysis is not as simple when taking individual institutional histories, cultures, and practices into account. So for example, the formerly whites-only universities design their entrance criteria in such a way that, while more and more black students are admitted, the higher academic scores required for access and the relatively high financial costs of study mean that white students maintain a 40-60% enrolment on such campuses, a good example being the University of Pretoria. At the University of Stellenbosch, the language policy favouring Afrikaans in undergraduate education adds another factor to a mix of elements that ensures a predominantly white, Afrikaans-dominant campus in that part of the country.

At institutions such as the University of Cape Town (UCT), the number of non-South African and non-African students is high compared to other institutions, and the number of poor students from the townships among the lowest in the country. Other institutions, such as North-West University (NWU), maintain largely black campuses in

one region of the province (often a consequence of mergers and incorporation of universities) and still predominantly white campuses in another region.

Black universities remain exclusively black, and the more interesting patterns of integration and transformation happen in those formerly white universities, such as UFS, where black student numbers constitute a majority on all campuses, but where white student numbers are still significant (40-45%) on at least one of the campuses. It is in these universities that internal transformation pressures are greatest, as white and black students do the hard work of living and learning together in deracialised spaces.

What the numbers mean is that the challenges of institutional transformation, whether through external pressures (the access and equity requirements of government) or internal pressures (the demands of stakeholders such as students and unions), or a combination of the two, play a significant role in shaping the course of institutional transformation. These pressures vary for each institution. Ironically, it is often those formerly white institutions that are making the most progress on equity in student numbers that experience the strongest pressures—in part because there are more black students and in part because of the opportunity thereby provided to external political groups to exploit this advantage for party domination on an autonomous university campus. The University of the Free State (UFS) offers a powerful case study of such a challenge to transformation.

1.3 The meanings of institutional transformation

If student numbers across the higher education system were quickly changed as a rough marker of transformation, staffing equity would become much more difficult, particularly among the higher academic ranks. Black and female professors remain a minority in formerly white universities. More and more black academics achieve professorial status without the academic weight normally required for such elevation, a consequence in part of a lowering of the academic standard in South African universities, but in part also because of the desire to present the new face of the class of recent political victors.

Similar strategies were implemented under Afrikaner nationalism in the post-1948 period, where large numbers of Afrikaner men became professors without the academic credentials normally required for such recognition. It is, some would argue, the curse of nationalisms, white or black, to promote into the ranks of visible achievement those denied such opportunity in the past. Even so, white men still dominate the professoriate in South Africa, despite rapid changes in the student demographic.

However, the demeaning reduction of transformation to staffing equity in terms of numbers has caused serious damage to universities in the post-apartheid period because the racial and ethnic bean counters of the political and bureaucratic classes often espouse this equity as an end in itself. The Department of Labour, responsible for monitoring and ultimately penalising companies or universities for not achieving their equity targets, never asks questions beyond the numerical achievements of planning documents submitted to it.

Transformation cannot mean a change in racial demographics alone, as the tone of political change in post-apartheid institutions often suggests. It has to mean that and more. It cannot mean mere alterations in the physical, organisational, and technological arrangements for change. Transformation has to mean deep, intrusive, and sustained changes in institutional cultures expressed in new behaviours, processes, structures, and understandings (Eckel & Kezar, 2012, p.17).

Then, early in 2008, a video leaked onto YouTube showing four white male students racially abusing five black workers (four of whom were women) in a series of skits intended to protest the racial integration of the residences. One particular incident in the video shows the students appearing to urinate into food that they give to the workers to ingest. This Reitz-incident (*Reitz* was the name of the men's residence) tore campus and country apart in a firestorm of racial anger, angst and accusation. Not a few felt that this was the end of the university, and that it would never be able to recover from this great tragedy (Soudien, 2010).

Professor Jonathan Jansen was appointed as Vice-Chancellor and Rector of the University of the Free State (UFS) on 1 July 2009. In a period during which racism was rife at the University he inherited:

> a campus that had been humiliated by the "Reitz Four". Named after the residence they lived in, four male students had filmed a globally infamous "initiation video" showing five workers being subjected to demeaning tasks. These included drinking beer and doing athletics, as well as being made to consume a concoction one student had appeared to urinate in and which made the middle-aged university staff vomit (De Waal, 2011).
>
> Fast-forward to 2011 and the university has a new problem now. The big problem ... is interracial love affairs. "With young people, when you remove the barriers to human interaction they tend to fall in love." [Leadership] has to counsel fearful sons and daughters who are scared of going home because their white fathers might kill them if they find out their children are in an inter-racial love affair....
>
> In the historically Afrikaans universities like UOFS the students stay in the residences and they fight, and then they meet their fears head on and when they do, the miracle happens. That is where change happens and people can begin to reconcile the past and perhaps even fall in love (De Waal, 2011).

With this broader conception of transformation in mind, this report will now offer a self-critical analysis, in the context of a complex and dynamic institutional environment inside South Africa, of how these multi-layered meanings of transformations are conducted, challenged, and changed in the course of a difficult transition.

In 2008, UFS was a deeply divided institution, haunted by the spectre of the Reitz Four (De Waal, 2011). The purpose of the research is to understand the recipe of listening, unwavering moral fortitude, servant leadership, and love and to build a model of transformation worth emulating.

1.4 Purpose of the research study

Elsner (2012, p. 2) suggests that institutional transformation is the process of bringing fundamental, intensive, and far-reaching changes to the core concepts and values on which an institution is founded. From a similar standpoint on South Africa's democracy in 1994, the key characteristic of the transition was a fundamental change in the

norms, values, and assumptions underlying economic activity. Seekoei (2009) suggests that there is a clear element of double-talk in Jansen's debate on the transformation issue. Jansen rightly blames our politicians for not drawing a line between right and wrong when dealing with transformation, but he so dislikes the self-righteous mentality of those who lead transformation at social institutions that he equates social transformers with the foes of transformation itself.

The research draws from the literature on the three pillars of institutional transformation: organisational change, leadership, and organisational culture in the field of organisational behaviour. It will endeavour to show how institutional behaviour in this field, across political and racial divides, shaped the transformation of UFS. The next section focuses on past and present theoretical and practical models and frameworks in the essence of institutional transformation and the three pillars named above.

The case study seeks a better understanding of the scenario of institutional transformation in South Africa (political and racial divides) from 1994 through to the current debate and identifies the key learning's used in the approach to transforming UFS. The current debate on institutional transformation from UFS will help explore the key drivers and problems that create a sense of organisational change in leadership and culture within the higher education sector in South Africa.

CHAPTER 2: LITERATURE REVIEW

In order to obtain and understand the constructs of institutional transformation, it is first necessary to consider the literature on each of the founding concepts before proceeding to an examination of previous research, specifically addressing the pillars of transformation based on the theoretical frameworks and models.

Accordingly, this section examines institutional transformation from its foundations in organisational change, leadership, and organisational culture, to its development as a unique construct. From a review of literature of the above constructs, a conceptual framework of institutional transformation is developed highlighting the elements viewed as fundamental to this construct. A summary is then given outlining the direction of this study (Section 2.4).

2.1 Organisational Change

Todnem (2005, p. 1) defined *change* as "the process of continually renewing an organisation's direction, structure, and capabilities to serve the ever-changing needs of external and internal customers".

2.1.1 Theories of Change versus Theories of Changing

Poole and Van de Ven (2004, p.4) distinguished between theories of change, which focus on how organisations change and factors that produce change; and theories of changing, which focus on how change can be brought about and managed in organisations. This highlighted the role of human agents in organisational change and innovation. The contrasts between planned and unplanned change – where planned change attempts to improve the situation and has as its reference point a desired end state. In contrast, unplanned change may or may not be driven by human choice – it is not purposefully conceived, and may move the organisation in desirable or undesirable directions.

Therefore, theories of planned change specify ways to manage and control processes. Theories of unplanned change, on the other hand, imply that change is to some degree a force in its own right, susceptible to channelling, but not necessarily to control or management. Poole and Van de Ven's (2004, p. 5) primary advice was that managers

and change agents should realize how difficult change and innovation are to script and manage, as these processes constantly move in unexpected directions and are driven by dynamics that are either too powerful to control or too subtle to understand.

Beer and Nohria (2000, p. 135) argued that there are two archetypes of change , Theory E and Theory O. Theory E is change based on economic value while Theory O is change based on organisational capability. Theory E is the hard approach to change, in which shareholder value is the only legitimate measure of corporate success – and usually involves heavy use of economic incentives, drastic layoffs, downsizing and restructuring. On the other hand, Theory O encompasses a soft approach to change, where the goal is to develop corporate culture and human capability through individual and organisational learning – the process of changing, obtaining feedback, reflecting and making further changes. Beer and Nohria (2000, p. 134) proposed that a company can greatly increase profitability and productivity if it effectively combines hard and soft approaches to change. However, Graetz and Smith (2010, p. 142) claimed that the institutional philosophy tends to view change as slow and small in scale, although institutional pressures can encourage a more rapid pace and greater change. The stimulus for change is external, control is mostly undirected, and certainty is moderate.

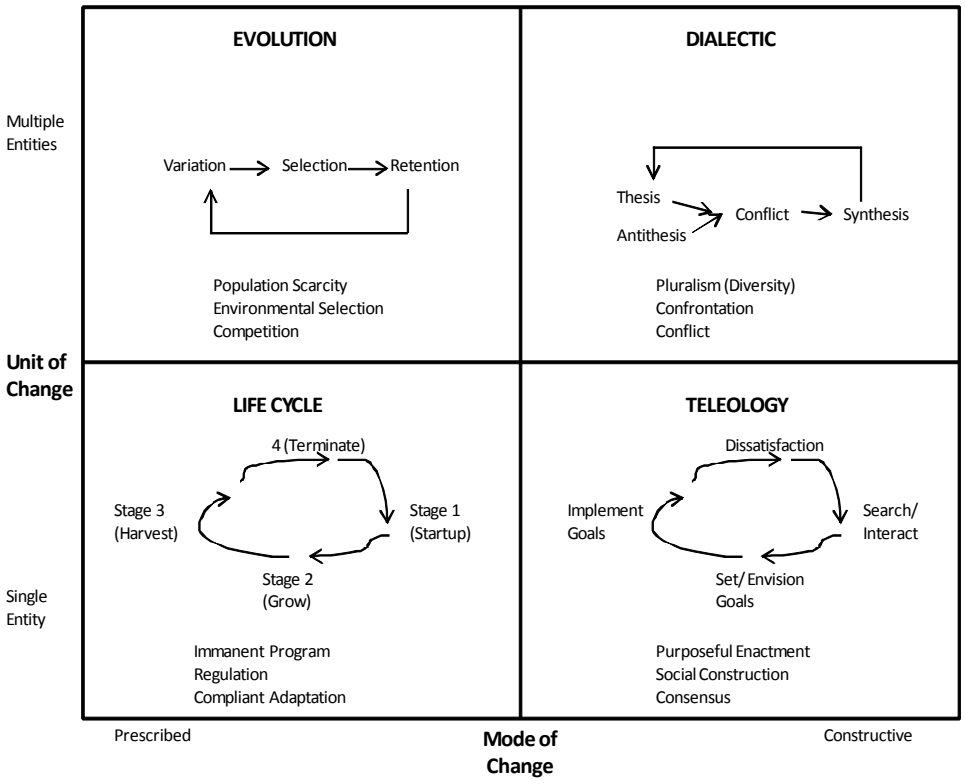
2.1.2 Episodic versus Continuous Change

Previous research (Weick and Quinn, 1999, p. 367) differentiated between episodic and continuous change. Episodic change was conceived to be, "infrequent, discontinuous and intentional", while continuous change was regarded as, "on-going, evolving and cumulative". The two forms of change are associated with the different metaphors of the organisation, analytical frameworks, theories of intervention, and roles attributed to change agents. However, the difference between Burnes' (2004) understanding of continuous and incremental change is that the former describes departmental, operational, ongoing changes, while the latter is concerned with organisation-wide strategies and the ability to adapt constantly these to the demands of both the external and internal environments. Burnes (2004) suggested combining continuous and incremental change. However, it can be suggested that this combination makes it difficult to differentiate between departmental and organisation-wide approaches to change management.

2.1.3 Mechanisms of Change

Poole and Van de Ven (2004, pp. 6-7) defined four relatively simple theories that serve as ideal types for the explanation of change and innovation processes. Figure 1 shows the fundamentally different progression of change events and their mechanisms of change.

Figure 1: Typology of theories of change and innovation. Source: Poole and Van de Ven (2004, p. 7)



- A *lifecycle model* depicts the process of change in an entity as progressing through a necessary sequence of stages or phases. The specific content of these stages or phases is prescribed and regulated by an institutional, natural, or logical programme prefigured at the beginning of the cycle.
- A *teleological model* views development as a cycle of goal formulation, implementation, evaluation, and modification of actions or goals based on what was

learned or intended by the entity. This sequence emerges through the purposeful enactment or social construction of an envisioned end state among individuals within the entity.

- In a *dialectical model* of development, conflicts emerge between entities espousing an opposing thesis and antithesis that collide to produce a synthesis, which in time becomes the thesis for the next cycle of a dialectical progression. Confrontation and conflict between opposing entities generate this dialectical cycle.
- An *evolutionary model* of development consists of a repetitive sequence of variation, selection, and retention events among entities in a designated population. This evolutionary cycle is generated by competition for scarce environmental resources between entities inhabiting a population.

One advantage of the typology is that it is possible to identify the mechanism of a change process before it has concluded. However, theories of change are not always built around just one mechanism. Poole and Van de Ven (2004, p. 8) also argued that combinations of these mechanisms create multiple change theories capable of capturing the complexity of change and innovation processes more completely than single mechanism theories are capable of. Van Dam, Oreg, and Schnyns (2008, p. 2) argued that understanding employees' reactions to a planned organisational change was an important concern for many organisations. Resistance to change can severely hamper the change process and has been associated with negative outcomes, such as decreased satisfaction, productivity, and psychological well-being, along with increased theft, absenteeism, and staff turnover. More recently, Atkinson, Mackenzie, and Thomson (2010, p. 37) developed a six-stage hybrid model for change. The model has a drive for continuous improvement. To observe a positive impact to change everyone must be involved from the start of any change.

Todnem (2005, p. 377) argued that modular transformation is change identified by major shifts of one or several departments or divisions. In contrast to incremental adjustment, this change can be radical. However, it focuses on a part of an organisation rather than on the organisation as a whole. If the change is corporate-wide and characterised by radical alterations in the business strategy it is described as corporate transformation. Yet another emerging approach that seems to be gaining space and attention in organisational change literature is the paradox of managing

continuity and change. Nasim and Sushil (2011, p. 192) proposed that continuity and change have been "traditionally treated as mutually exclusive elements in management discourses, as an invariable 'either-or' situation. Until the 1970s and 1980s when the environment was relatively stable and the pace of change was comparatively slow, organisations focused more on incremental strategies". In the last two decades, however, the increasing pace of change has compelled businesses to evolve a more flexible approach to managing change and transformation, thus calling on them to strike a balance between change and continuity.

2.1.4 Institutional Change in the Political Economy

Hall and Thelen (2007, p.13) argued that there was no doubt that developments in the international political economy are important stimuli for contemporary institutional change. A good deal of the politics surrounding institutional stability flows from the loose coupling between self-interest and institutions. From the broadly rationalist perspective, the durability of an institution can rest substantially, if rarely wholly, on how well it serves the interests of the relevant people. Where an institution fails to serve those interests, it becomes more fragile and susceptible to defection from its rules. "But the calculation about whether an institutional practice serves the people' interests is a complex one, dependent on a range of considerations. It entails balancing the multiple interests any single person has in a potential course of action, where time discounts and estimates about the effects of one's actions matter" (Hall & Thelen, 2007, p.7). Helen and Thelen (2007, p. 29) suggested,

> "the most promising way to extend the varieties of capitalism perspective is to devote more attention to the types of political coalitions that support the principal institutions of the political economy, with a view not only to elucidating them but to exploring how institutional arrangements in one sphere of the political economy condition perceptions of interest and the coalitions that form around institutional reform in other spheres. That yields an account of institutional change that is eminently political".

Carson, Lynch, and Madonna (2011, p. 1235) argued that there did not appear to be a significant change in the United States' Congress coalition size relative to the parliamentary House after the adoption of a new regime. It followed that the

introduction of a new regime did not have an aggregate, moderating effect on policy outcomes in the council. In contrast to institutional changes, there was evidence that the relative size of the majority party in the House and Council affected coalition sizes. As the size of the majority party in the House increased relative to the Council, the size of House-winning coalitions increased relative to Council coalitions. This finding is consistent with those academics who have argued that parties have an influential role on policy outcomes in the United States' Congress.

Gilley (2008, p. 277) built on an emergent theory of legitimacy-centred institutional change. By showing how the legitimacy-centred approach might better structural theories, it raised new questions about the forces driving and preventing institutional change. Gilley (2008, p. 278) argued

> "that legitimacy—understood both as a relatively autonomous factor and as an agent shaping economic, socio-political, and historical structures—is a more parsimonious and general explanation of institutional status and change. From this perspective, regime survival is dependent on a combination of authoritarian supporting modernist values and legitimacy-enhancing "contained" institutional changes".

As those values change and as the legitimating limits of contained institutional change are reached, pressures for democratization will grow. However, bringing legitimacy back into political analysis would afford a wider view of both the durability and substantive direction of institutional change.

2.2 Organisational Culture and Leadership

2.2.1 Organisational Culture

Child's (1972, p. 17) classic statement of contingency theory as strategic choice highlights the important role an individual can play in organisational change. Child (1972, p. 20) portrayed human agency as the active individual who shapes the world according to his or her intentions and actively monitors the course and effects of his or her activities. More recently, Lawrence and Zietsma (2010, p. 2) argued that previous research had tended to adopt a narrower focus on either change or stability and has paid limited attention to the interdependence of boundaries (the distinction among

people and groups) and practices (shared routines of behaviour) and its effects on stability and change. In identifying this gap, Lawrence and Zietsma (2010, p. 24) found a mutually supportive relationship between boundary work and practice work that underpinned cycles of institutional stability, conflict and innovation.

However, Hatch (2004, p. 202) brought these theories together, when she argued that there are three theories of organisational culture that implicate both cultural stability and change, and that each accommodates change from both within and from outside.

First Schein (1985) shared his views on the managerial theory of culture. Both Gagliardi (1986) and Hatch (1993) built on Schein's (1985) work. Gagliardi (1986) took a more organisationally centred point of view on the effects of strategic intervention however, and maintained Schein's strong managerial focus in its emphasis on the links between culture and strategy. Hatch (1993), on the other hand, developed the cultural dynamic model, which is more organisationally and least managerially oriented, in that it positions top managers within cultural processes.

Schein (1985, p. 17) claimed that cultures are stable until leaders act to change them. Schein (1985, p. 33) argued that change reaches the deepest level of culture when leaders successfully change a culture by changing its value set – and, in doing so, these new values become an accepted everyday assumption within an organisation's cultural artefacts. Therefore, Schein's theory of how cultures change (Figure 2),

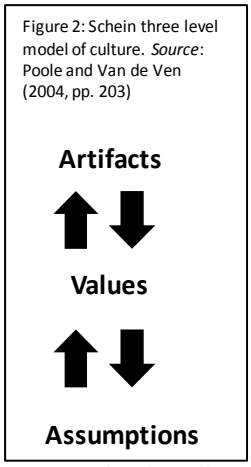
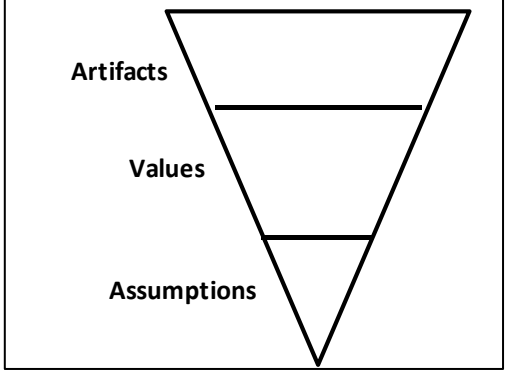


Figure 2: Schein three level model of culture. *Source*: Poole and Van de Ven (2004, pp. 203)

proposes that culture change occurs via the direct influence of a leader, and notes the moderating effect of the success of the leader's actions on the uptake of his or her influence within the culture.

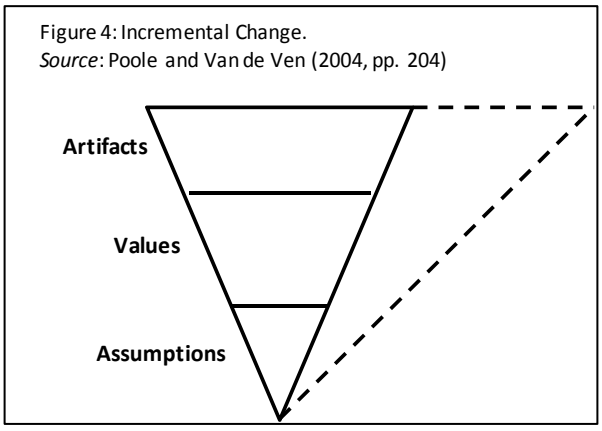
Building on Schein's basic model of culture as assumptions, values, and artefacts, Gagliardi (1986) focuses his attention on the relationship between culture and strategy, suggesting that different strategic moves have different effects on organisational cultures. Gagliardi's (1986, pp.121) model depicts stability and change as counter forces between three outcomes: apparent change, incremental change and revolutionary change. Gagliardi's notion of apparent change (Hatch, 2004, p. 204) occurs within a culture, that is, cultures within this pattern change in order to stay the same (Figure 3).

Figure 3: Apparent Change. *Source*: Poole and Van de Ven (2004, pp. 204)



With increment change (Hatch, 2004, p. 205) comes closest to Schein's model of cultural change via management influence. Gagliardi (1986, p. 127) argues that culture expands by the assumptions, values and artefacts inherent in any new strategy – that is, strategies are different but not incompatible (Figure 4).

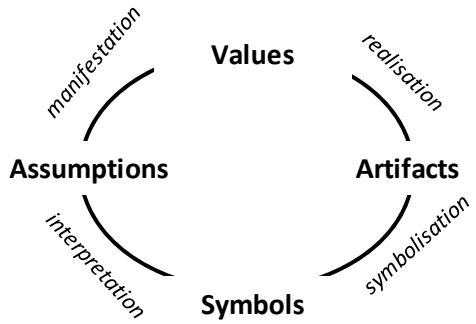
Figure 4: Incremental Change.
Source: Poole and Van de Ven (2004, pp. 204)



In revolutionary change, a strategy is incompatible with at least some key assumptions and values imposed upon the organisation, usually through the entry of outsiders who destroy old symbols and create new ones.

Hatch (2000) and Hatch (2004) models dynamics of organisational culture. Hatch (2000) described four processes underlying both cultural change and stability. The cultural dynamic model (Figure 5) places the manager within the organisational culture – leaders have tremendous influence within organisations, but their ability to effectively mobilise this influence depends upon their knowledge of, and relationship with, the culture.

Figure 5: Hatch model of cultural dynamics.
Source: Poole and Van de Ven (2004, pp. 206)



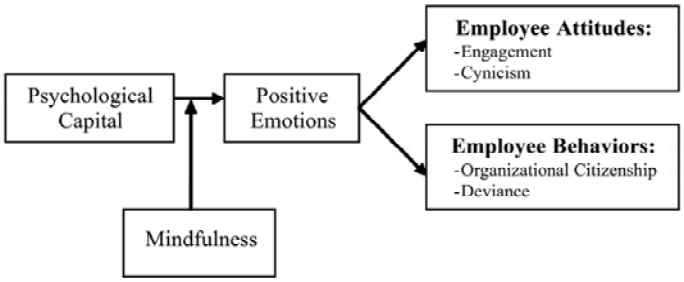
Van Dam, et al. (2008, p. 3) and Duden (2011) propose that context characteristics, such as leadership and organisational culture, are likely to affect how change is implemented and consequently how employees react to change. The results support the model that employees' resistance to organisational change is fully mediated by three change process characteristics, namely information, participation, and trust in management. The learning's from these theories are sought as: leaders become less central to, yet still part of the processes described; the cultural dynamic model depicts change as cycles of interaction to influence and to interpret that influence; there is growing sensitivity to the symbolic-interpretive aspects of culture.

Zhenga, Yang, and McLean (2010, p. 7) argued that the practices of knowledge management are context-specific and can influence organisational effectiveness.

Knowledge management fully mediates the impact of organisational culture on organisational effectiveness, and partially mediates the impact of organisational structure and strategy on organisational effectiveness.

Avey, Wernsing and Luthans (2008, p. 48) identified a model on the impact of psychological capital (PsyCap), mindfulness, and positive emotions on attitudes and behaviours relevant to positive organisational change (Figure 6).

Figure 6: Model for Impact of Psychological Capital (PsyCap), Mindfulness, and Positive Emotions on Attitudes and Behaviours Relevant to Positive Organizational Change.
Source: Avey, *et al*, 2008, pp. 51



The model confirmed that: (a) psychological capital (a core factor consisting of hope, efficacy, optimism, and resilience) was related to positive emotions that in turn are related to attitudes (engagement and cynicism) and behaviours (organisational citizenship and deviance) relevant to organisational change; (b) mindfulness (i.e., heightened awareness) interacted with psychological capital in predicting positive emotions; and (c) positive emotions, generally mediated the relationship between psychological capital and the attitudes and behaviours.

2.2.2 Organisational Culture: Academic staff and administrators within Higher Education

Kuo (2009, p. 10) argued that the growing sense of disconnection between academic staff and administrators reduced their opportunities or weakened their abilities to work collaboratively. As universities have high differentiation and low integration between these two groups of workers compared to other organisations, contradictions and cohesion often co-exist in relationships between academic staff and administrators.

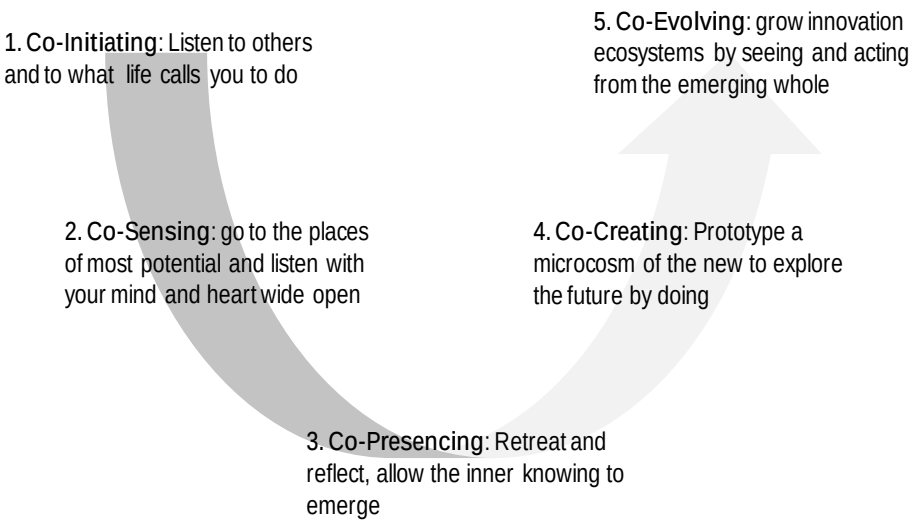
This organisational cultural characteristic allows academic staff and administrators to accomplish their separate priorities and develop their relationships in various ways, sometimes in a cooperative fashion and occasionally in friendly conflicts. Kuo (2009, p. 10) suggested three interrelated patterns of relationships between academic staff and administrators: professional relationships – these occur most of the time when academic staff and administrators are able to maintain collegial and constructive relationships in support of each other's ideas and endeavours; differential relationships – these sometimes occur when academic staff and administrators perceive differences in their priorities and work styles and the extent of their relationship appears to move toward separate directions; and fragmentary relationships – these occasionally occur when academic staff and administrators perceive a lack of interactions and understanding among them, a sense of frustration over administrative practices, and their relationship becomes divided. These three patterns align with Martin's (2002) three theoretical perspectives of cultures in organisations – integration, differentiation and fragmentation. This occurs uniquely in these institutions and many important lessons can be learnt.

Bercovitz and Feldman (2008, p. 69) suggested that "individual attributes, while important, are conditioned by the local work environment. In terms of personal attributes, individuals are more likely to participate if they trained at institutions that had accepted the new initiative and been active in technology transfer". In addition, the longer the time that had elapsed since graduate training, the less likely the individual was to actively embrace the new commercialization norm. Considering the localized social environment, when the head of the department is active in technology transfer, other members of the department are also likely to participate, if only for symbolic reasons. Technology transfer behaviour is regulated by the experience of those in the relevant group. If individuals are able to observe others with whom they identify engaging in the new initiative, then they are more likely to follow with substantive compliance. Finally, when individuals face dissonance, a situation where their individual training norms are not congruent with the localised social norms in their work environment, they will conform to the local norms, rather than adhering to the norms from their prior experience.

2.2.3 Organisational Leadership

Scharmer (2009) in Theory U, embodied a view that the future will, inevitably, be very different from the past. The theory and methodology of the U discuss the nature of leadership at length, especially leadership in times of great turbulence and systematic change. This type of leadership comes from all levels, not only from the top, because significant innovation is about doing things differently, not just talking about new ideas (Scharmer, 2009, p. 45). This leadership arises from people and groups who are capable of letting go of established ideas, practices, and even identities. Most of all, this leadership comes as people start to connect deeply with who they really are and their part in both creating what is and realizing a future that embodies what they care most deeply about. With this Scharmer (2009, pp. 19) creates the path of the U, using Co-initiating, Co-sensing, Co-presencing, Co-creating and Co-evolving, see Figure 7 below:

Figure 7: Five Movements of the U Process. *Source*: Scharmer (2009, pp. 19)



It is becoming increasingly apparent that the full integration of ethical standards into business practice is not only preferable, but also necessary for long-term organisational survival (Parry & Proctor-Thomson, 2002, p. 76). Without ethical leadership a company may be at risk because of compliance problems, lack of effective action, dishonesty, and communication blocks. On the other hand, ethically-led organisations have been found to have increased effectiveness due to a strengthened organisational culture, lower staff turnover levels, and increased employee effort. Such positive impacts of ethical leadership on organisational effectiveness mean that ethical development is likely to become integral to an individual's practical success as a leader.

Figure 8: Ethical transformation of the organisation. *Source*: Carlson and Perrewe, 1995, pp. 830

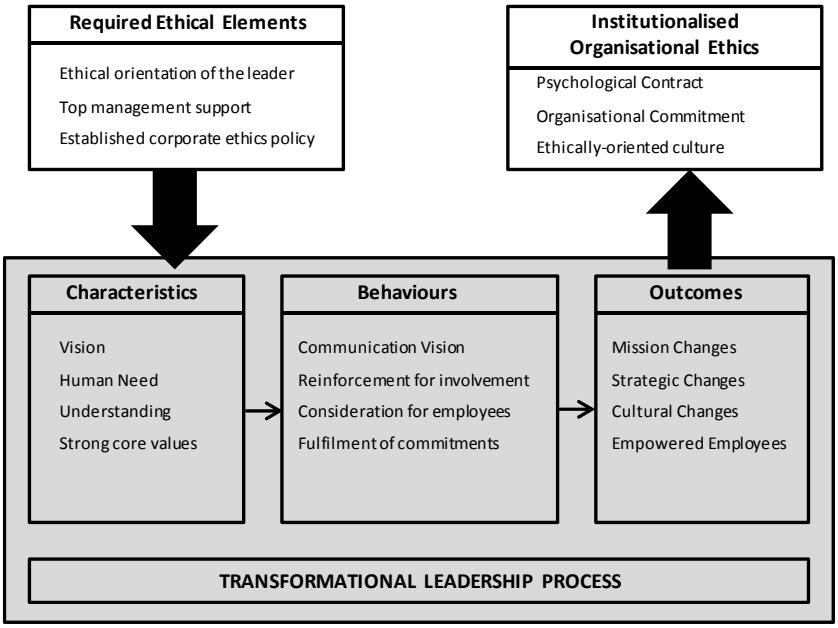


Figure 8 shows the process and elements necessary for the institutionalization of organisational ethics. The transformational leadership style lends itself well to the creation of an ethical environment and is suggested as a means to facilitate the institutionalization of corporate ethics. Finally, the benefits of using transformational leadership are demonstrated through the components of a psychological contract, organisational commitment, and ethical culture to institutionalize organisational ethics. (Carlson and Perrewe, 1995, p. 830).

Von Krosigk (2007, p. 26) identified emotional intelligence as a necessary attribute for effective leaders. Inspiring others is an important task for a leader, and good leaders are distinguished by their ability to inspire others without receiving negative feedback in the form of resistance to perform. Good leaders are skilled in motivating and encouraging others, which means they need to be emotionally aware of what goes on in other people's minds. "The ability to inspire people to higher performance levels is a primary objective of leadership development. Inspirational motivation is a core element of transformational leadership, a leadership style that has been proved to correlate with improved organisational performance" (De Klerk, 2007, p. 46).

Parry and Proctor-Thomson (2002, p. 78) asserted that "ethical values are indispensable to real leadership". However, although many organisations and leaders are aware of, and officially convey, the importance of integrity in their formal communications such as mission statements and codes of ethics, their cultures and individual leaders may not reflect this awareness. This demonstrates the absolute importance of not just addressing the issue of integrity in leadership, but of doing so with a focus on the behavioural integrity of the leader.

Von Krosigk (2007, p. 25) examined the leadership traits of President Nelson Mandela and stated that, "his personal commitment to achieving a peaceful transformation has evoked admiration, respect and endearment from people all over the world". The unusual combination of his outstanding characteristics, such as his highly developed self, his forgiving stance, his fairness, and his caring attitude are very similar to the character traits of exceptional leaders of the past. By divesting himself of everything negative, displayed during the times of his political struggle, such as aggression, authoritarianism, anger, and agitation, Mandela achieved the amazing comportment of a humane and compassionate president and leader in a post-apartheid South Africa.

Von Krosigk (2007, p.29) demonstrated a similar understanding of Beer and Nohria's (2000, p.135), Theory E, the hard approach, and Theory O, the soft approach, when arguing that, "thinking strategically, establishing direction, having a vision for the future, leading change and driving value creation are not the only attributes of effective leaders. Soft skills, such as engaging with and inspiring others, being emotionally sensitive with regard to different cultures and religions have made great inroads on

leadership training courses. Successful leaders tend to be most able to exhibit these soft skills".

Pietersen (2007, p. 22) argued that networking and strategic partnering have become essential for continued organisational success. “The art of diplomacy also seems to have become an important leadership skill in the current institutional environment”. Despite the continuing emphasis on clear vision and mission statements, the sheer scope and tempo of change forced organisational leaders to focus on what could be achieved in the shorter term. Pietersen (2007, p. 23) identified and described four basic perspectives of leadership orientations, namely:

- Visionary leader: the corporate architect and strategic thinker, whose primary focus is the overall vision, idea or principle that guides the organisation and serves as its reason for being.
- Systems leader: this leader's primary focus is performance – an organisation that is technically and economically effective.
- Relationship leader: this leader's focus is persuasion – establishing relationships of trust, cooperation and influence with people (staff, shareholders, and customers).
- Transformational leaders: the inspiring (charismatic) personality, whose aim is to bring about an organisational metamorphosis to achieve a grand ideal of wellbeing and success.

Bass (1981, p. 125) argued that transformational leadership has four key factors; charisma / idealised influence, inspirational motivation, intellectual stimulation, and individual consideration. He suggested that a transformational leader possessing all these components would be a much admired and respected role model, and would be an inspiring and challenging visionary. Such a leader would also encourage and support innovation and alternative problem-solving techniques in their followers, as well as show great consideration for an individual employee's needs through acting as a guide and mentor. Schneider (2002, p. 212) argued that as organisations became more flexible and placed more emphasis on lateral and inter-organisational relationships, the concept of authority adapted to reflect these relationships. Authority was starting to mean power to guide co-operation for task accomplishment, rather than power to direct the actions of a predetermined group within the organisation. While the

concept of authority was broadened in this definition, it remains distinct from the broader concept of power. Power includes influence that may not be institutionally sanctioned; indeed, charismatic influence can actually work against institutionally sanctioned power.

Probart (2007, p. 18) argued that resilient leadership competencies are based on the following factors:

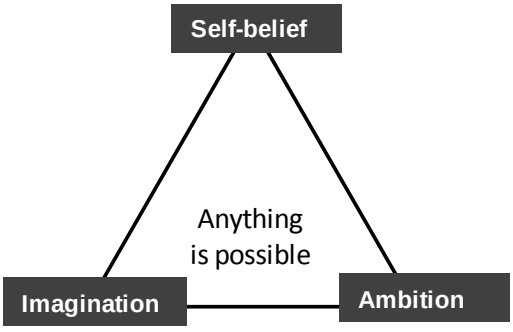
- The ability to become a partner in all business transactions (partnering),
- The ability to become global thinkers and strategic risk takers,
- Trustworthiness is an important value,
- Business ethics is a wake-up call for organisations,
- Servant leadership rather than being self-serving and only looking after one's own interests, and;
- Collaboration, relationship building and informed judgement.

On a similar note, Pietersen (2007, p. 24) argued that the most important derailers in leadership for the future are:

- Hesitancy in achieving business results,
- Personal arrogance and insensitivity,
- An over-controlling style of leadership, and;
- A reluctance to face resolving difficult people problems.

Sondhi (2007, p. 24) put forward the concept that a key factor for achieving leadership excellence, therefore, is for leaders to possess the self-belief, ambition, and imagination to drive for performance glory (Figure 9).

Figure 9: Total Leadership. *Source*: Sondhi, 2007, pp. 24



Without this self-belief there is no chance that the leader will have any will to succeed. The leader also needs to possess an ambition to stretch the boundaries of excellence. This ambition is driven by having a passion in a cause. Ambition is created through a personal drive to succeed and by being exposed to a multitude of diverse environments that create an inner desire for success. Imagination is a key element which explores, and stretches, the boundaries of capability. The imagination continually pushes the boundaries of ambition and self-belief.

De Klerk (2007, p. 47) argued that leaders must accept that suffering, loss and trauma are inherent to the human condition and must be enabled to lead in such circumstances. The aims of positive leadership include:

- Creating a positive mood,
- Greater engagement, and;
- Improved performance.

This requires positive emotions, which is one of the pillars of positive psychology (De Klerk, 2007, p. 47). Some of the leadership behaviours to lead trauma healing (Figure 10) as put forward by De Klerk (2007, p. 49) have been:

- Compassion: goes beyond cognitive knowledge about the impact of critical incidents. Compassion is about really connecting with another person, knowing the person is suffering and identifying with the sufferer. Compassion starts the process of bringing leaders close to their people and making the healing connection.
- Sensitivity: these leaders might be more open and willing to engage in talking about politically sensitive issues that might be the triggers of trauma.
- Listening: in times of trauma, leaders should be vulnerable and quiet. They must refrain from giving answers, just listening is better than clichés and platitudes. Good leaders inspire hope in their followers in times of trauma while remaining subtle and unobtrusive.
- Personal awareness: leaders must become aware of their own emotions and the emotions of their people. They must be willing to share their emotions, but not their stories – it is the followers' time to share their stories.

- Vulnerability: when people know they can bring their pain to the offices, they don't have to expend energy trying to suppress it. This may be a mutually reinforcing cycle since getting back into a routine can be healing in itself.

Figure 10: Developmental model to enable leaders to facilitate trauma healing.
Source: De Klerk, 2007, pp. 48

De Klerk (2007, p. 49) concluded that leaders will be better equipped to lead transformation in a more personal, open, and honest manner, and with more compassion. The cost of not providing leadership to help people deal with their grief is considerable. If leaders do not support the healing process, performance and employee retention will suffer over time.

2.2.4 Linking Leadership and Organisational Culture

The interrelationship between organisational leadership and culture is a core assumption within the field of organisational behaviour – it has even been contended that creating and managing organisational culture is the most important function of top-level leaders. Giberson, Resick, Dickson, Mitchelson, Randall, and Clark (2009, p.131-

135) argued that organisational culture values are, at least to some extent, a reflection of the CEO's personality.

Giberson et al. (2009, p. 135) found that several of the CEO's personality traits were significantly related to the extent to which members viewed organisations as characterised by different culture values. CEO agreeableness and emotional stability, in particular, appear to have important linkages with culture values. Cultural values emphasize internal process, while both adhocracy and market cultures emphasize external competitiveness. It seems theoretically reasonable that CEOs who score high on agreeableness will foster a culture aimed at building morale and cohesion, while those who score lower on agreeableness would be more likely to foster cultures that focus on competitiveness and performance. CEO emotional stability exhibited a similar pattern of relationships, as higher levels of CEO emotional stability were linked to the more internally-focused values, while lower levels of emotional stability were linked to the more externally focused. Perhaps CEOs who carry somewhat higher levels of anxiety channel that anxiety into their organisation's culture by creating pressure for change and innovation to ensure a competitive position in the marketplace.

CEO personal values and culture values were less promising. Giberson et al. (2009, p. 135) argued that CEO status values were significantly and positively related to the extent to which members viewed their culture as characterised by clan culture values, and significantly and negatively related to the extent to which members viewed their culture as reflecting rational culture values. Clan values emphasize internal operations and flexibility, and rational values emphasize external competitiveness and control.

2.3 Institutional Transformation

Oliver (1992, p. 573) examined the process by which institutions erode and are replaced – called deinstitutionalization. She argued that political, functional and social pressures can result in the rejection of existing organisational practices – changing government regulations are likely to be the most powerful external force of institutional change and that performance problem are likely to be the most powerful internal force of change. Zucker (1986, p. 57) also investigated the processes of institutionalization and deinstitutionalization. She distinguished three central modes of trust production, namely; (a) process-based, which is tied to past or expected exchange; (b)

characteristics-based, where one trusts another due to that person's characteristics, and (c) institutional-based, where trust is tied to formal societal structures. Zucker (1986, p. 103) argued that process-based trust was replaced by institutional-based trust, which takes root when there is significant social distance between groups and exchange occurs across great geographic distances.

Pascale, Millemann, and Gioja (1997, p. 128) argued,

> "Companies achieve real agility only when every function, office, strategy, goal and process – when every person is able and eager to rise to every challenge. This type and degree of fundamental change, commonly called revitalisation or transformation is what more and more companies seek but all too rarely achieve".

Their results suggest that executives have begun to give transformation a high priority. With a few notable exceptions, however, most of their efforts to achieve it have met with frustration – partly because large organisations have such a remarkable capacity to resist change of all kinds, and partly because the kind of change being sought is so much more radical and uncomfortable than anything required by a shift in strategy or process or corporate structure (Pascale, et al., 1997, p. 129). Newman (2000, p. 607) proposed a conceptual framework that furthers the understanding of organisational transformation during periods of extreme change in the institutional context of firms. She drew from three theoretical perspectives: organisational change theory, organisational theory and institutional theory. Newman (2000, p. 611) argued that extreme change in the institutional context of firms actually inhibits organisational transformation because institutional upheaval inhibits second-order organisational learning. In contrast to Scharmer (2009), Newman (2000, p. 618) suggested an inverted U-shaped relationship between organisational transformation and institutional upheaval; institutional-level change encourages organisational transformation to a point, but too much institution-level change inhibits organisational transformation by inhibiting an organisation's ability to learn. To understand the conceptual grounding, Gapp and Fisher (2008, p. 614) investigated using the organisational transformation model, where lean logistics was found to be lacking in the areas of leadership and management; individual readiness and acceptance for change; the development of

appropriate values, behaviours and beliefs; and the foundational requirements for transformation of fairness, quality and trust.

Elsner (2012, p. 3) encapsulated the evolutionary-institutional interpretation of the game theory (EIGT) by proposing that institutionalism would be able to cut across traditional boundaries, with respect to deeper theoretical, logical, and empirical analyses. This allows for future corroboration of bridge-building within institutions. The EIGT provides intuitive appeal and gives a broader outlook on the potential corroboration within institutions. This is outlined in Table 2 below:

Table 2: EIGT potential corroboration within institutions. Source: Elsner (2012, p. 38)

Improve individual payoffs in favour of coordination / cooperation
Increase the awareness of the change agents of their common future
Promote general recognition of direct interdependence and the structure of its potential outcomes
Favour equality / equity / symmetry of payoffs among change agents
Further increase transparency and awareness through support of memorising, monitoring**,** and reputation mechanisms
Support general trust and social assurance
Reduce turbulence and hyper-mobility, and increase stability to improve learning, commitment, investing, innovation and social-capital building
Support experimentation / behavioural innovation to generate / support minimum critical masses of co-operators
Care for ‘size’ and ‘human scope’ – promote interactive platforms, neighbourhoods**,** and communities
Promote openness of information, technical interoperability and thus lock-out

In alignment to the previous research discussed, it appeared to Elsner (2012, p. 38) that such a broad EIGT perspective may largely converge with the policy perspectives that institutionalize has developed over the years. As such, the EIGT paradigm provides a distinct view of how the theorises of institutional change have emerged over the years. Kotter (2007, pp. 102-103) proposed that there are two factors that are particularly important in institutionalizing change in corporate culture. The first is a conscious attempt to show people how the new approaches, behaviours, and attitudes have helped improve performance. The second factor is taking sufficient time to make

sure that the next generation of top management really does personify the new approach.

Martin (2007, p. 65) discussed the difference between conventional and integrative thinking (Figure 11). When responding to problems or challenges, leaders work through four steps. Those who are conventional thinkers seek simplicity along the way and often forced to make unattractive trade-offs. By contrast, integrative thinkers welcome complexity – even if it means repeating one or more of the steps – and this allows them to craft innovative solutions.

Figure 11: Conventional versus Integrative Thinking. *Source*: Martin, 2007, pp. 65

	Determining Salience →	Analysing Causality →	Envisioning the decision architecture →	Achieving Resolution
Conventional Thinkers	Focus only on obviously relevant features	Consider one-way linear relationships	Break problems into pieces and work on them separately or sequentially	Make either-or-choices; settle for best available options
Integrative Thinkers	Seek less obvious but potentially relevant factors	Consider multidirectional and nonlinear relationships among variables	See problems as a whole, examining how the parts fit together and how decisions affect one another	Creatively resolve tensions among opposing ideas; generate innovative outcomes

The consequences of integrative thinking and conventional thinking could not be more distinct. Integrative thinking generates options and new solutions. It creates a sense of limitless possibility. Conventional thinking glosses over potential solutions and fosters the illusion that creative solutions don't actually exist. With integrative thinking, aspirations rise over time. With conventional thinking, they wear away with every apparent reinforcement of the lesson that life is about accepting unattractive trade-offs. Fundamentally, the conventional thinker prefers to accept the world just as it is, whereas the integrative thinker welcomes the challenge of shaping the world for the better.

2.4 Conclusion

An emerging approach that seems to be gaining space and attention in organisational change literature is the paradox of managing continuity and change, in relationship to organisational leadership and culture. Until the 1970s and 1980s when the environment was relatively stable and the pace of change was comparatively slow, organisations focused more on incremental strategies. In the last two decades, however, the increasing pace of change has compelled businesses to evolve a more flexible approach to managing change and transformation, thus calling on them to strike a balance between change and continuity. The research must build on understanding how old organisations respond to new ways and ideologies.

Understanding employees' reactions to a planned organisational change is an important concern for many organisations. Resistance to change can severely hamper the change process and has been associated with negative outcomes, such as decreased satisfaction, productivity, and psychological well-being, and increased theft, absenteeism, and staff turnover. It is imperative to understand the occurrence of change during the stages of transformation, such as what would change quickly, what would change slowly and what would not change at all. This leads the study to understand the variables that determine the pace of change in institutional transformation.

Theory U embodies a view that the future will, inevitably, be very different from the past. The theory and methodology of the U discuss the nature of leadership at length, especially leadership in times of great turbulence and systematic change. This type of leadership comes from all levels, not only from the top, because significant innovation is about doing things differently, not just talking about new ideas. This leadership arises from people and groups who are capable of letting go of established ideas, practices, and even identities. Most of all, this leadership comes as people start to connect deeply with who they really are and their part in both creating what is and realizing a future that embodies what they care most deeply about. Ethically led organisations have been found to have increased effectiveness due to a strengthened organisational culture, lower staff turnover levels, and increased employee effort. Such positive impacts of ethical leadership on organisational effectiveness mean that ethical

development is likely to become integral to an individual's practical success as a leader.

Emotional intelligence was noted as a necessary attribute for effective leaders. Inspiring others is an important task of a leader, and good leaders are distinguished by their ability to inspire others without receiving negative feedback in the form of resistance to perform. Good leaders are skilled in motivating and encouraging others, which means they need to be emotionally aware of what goes on in other people's minds. An understanding of the leadership qualities for effective leadership during institutional transformation is a key point to be investigated.

The interrelationship between organisational leadership and culture is a core assumption within the field of organisational behaviour – it is even contended that creating and managing organisational culture is the most important function of top-level leaders. In essence, the understanding of the compromises made in complex organisations that are embedded in a changing society must be determined. Secondly, the imperatives of equity and justice that must be balanced against the demands of reconciliation and nation building must be acknowledged.

The research must understand factors that are particularly important in institutionalizing change in corporate culture – in an attempt to show people how the new approaches, behaviours, and attitudes have helped improve performance. The second factor is taking sufficient time to make sure that the next generation of top management really does personify the new approach.

As universities have high differentiation and low integration compared to other organisations, contradictions and cohesion often co-exist in relationships between academic staff and administrators. This organisational cultural characteristic allows academic staff and administrators to accomplish their separate priorities and develop their relationships in various ways, sometimes in a cooperative fashion and occasionally in friendly conflicts. This is an important point that makes this study (among these institutions) unique. There are many lessons to be learnt that will be applicable to other types of organisations.

A critical point from the theory poses a point of understanding on what are the indicators of the interrelationship between leadership and culture during institutional transformation.

The next chapter will propose research questions that will guide this case study. These research questions will follow from the three pillars of institutional transformation, namely, organisational change, leadership, and organisational culture.

CHAPTER 3: RESEARCH QUESTIONS

This chapter outlines the research questions that are investigated in the case study of institutional transformation at UFS. Section 3.1 provides the theoretical reasoning behind the scope of the research questions and Section 3.2 then outlines the research questions that will be discussed throughout the case study. Each pillar of institutional transformation is investigated as part of a research question.

3.1 Research Question Validation

Understanding the issues around institutional transformation and the environment in which it operates, is critical. Gapp and Fisher (2008, p. 614) investigated using the organisational transformation model, where lean logistics was found to be lacking in the areas of leadership and management; individual readiness and acceptance for change; the development of appropriate values, behaviours and beliefs; and the foundational requirements for transformation of fairness, quality and trust.

These issues are critically discussed in the literature and aim to create the three pillars of institutional transformation: Organisational Change, Leadership and Organisational Culture. A key area is the aim to deliver change at high or low speed. This is a view that the researcher will investigate at UFS. Nasim and Sushil (2011, p. 192) propose that continuity and change have been "traditionally treated as mutually exclusive elements in management discourses, as an invariable 'either-or' situation. Until the 1970s and 1980s, when the environment was relatively stable and the pace of change was comparatively slow, organisations focused more on incremental strategies". In the last two decades, however, the increasing pace of change has compelled businesses to evolve a more flexible approach to managing change and transformation, thus calling on them to strike a balance between change and continuity.

Scharmer (2009) in Theory U, discusses the nature of leadership at length, especially leadership in times of great turbulence and systematic change. This type of leadership comes from all levels, not only from the top, because significant innovation is about doing things differently, not just talking about new ideas (Scharmer, 2009, p. 45). This leadership arises from people and groups who are capable of letting go of established ideas, practices, and even identities. Most of all, this leadership comes as people start

to connect deeply with who they really are and their part both in creating what is and in realizing a future that embodies what they care most deeply about. It will be critical to assess the leadership qualities during the course of institutional transformation at UFS.

The learning's from organisational culture theories (Duden, 2011; Hatch, 2000; Van Dam, et al., 2008) are sought as leaders become less central to, yet still part of the processes described; as the cultural dynamic model depicts change as cycles of interaction to influence and to interpret that influence; and as sensitivity to the symbolic-interpretive aspects of culture increases. This tends to relate to whether the organisational culture emphasizes trust, win-win, and excellence and innovation through collaboration and culture. Culture relates to the personal behaviours or traits that cause some leaders to succeed and derail others. Thus, leadership comes from all levels, not only from the top, because significant innovation is about doing things differently, not just talking about new ideas (Scharmer, 2009, p. 45). Understanding the indicators of the interrelationship between leadership and culture at UFS is a critical part of institutional transformation.

3.2 Research Questions

Based on the literature review in Chapter 2 and the collective positioning of the critical themes, the qualitative case study can be designed to answer the following research questions:

Research Question 1:
What are the variables that determine the pace of change in institutional transformation?

Research Question 2:
What are the leadership qualities that a leader must demonstrate for effective leadership during institutional transformation?

Research Question 3:
What are the indicators of the interrelationship between leadership and culture during institutional transformation?

The case study is designed to better understand the theories of successful institutional transformation on Organisational Change, Leadership and Culture. The following chapter presents the research design methodology followed in this study.

CHAPTER 4: RESEARCH METHODOLOGY

As highlighted in Chapter 3, research on institutional transformation remains in the very early stages of development in South Africa, with a clear emphasis on conceptual frameworks. Consequently, this study embodies both theoretical and practical perspectives, reviewing the literature on institutional transformation to understand the current developed or proposed frameworks, and subsequently examining these frameworks in the context of UFS that are successfully reaching a stage of transformation.

This section details the research methods adopted (Section 4.1), outlining the underlying paradigms and perspectives from which this research was conducted. This section then leads into the case study analysis and design, which is central to this research. An overview of the main data sources is then presented (Section 4.2), together with the details relating to the analysis and presentation of the data. Section 4.3 to Section 4.5 presents the assumptions, research ethics and limitations on the study.

4.1 Research Method

4.1.1 Qualitative Design

In essence, two domains of research exist: qualitative and quantitative (Blumberg, Cooper and Schindler, 2005). On the basis that research on institutional transformation remains in the very early stages of identifying, defining and understanding this concept, qualitative research was considered appropriate (Blumberg, et al., 2005; Yin 2003).

A qualitative study has provided the opportunity to address the ‘how’ and ‘why’ relating to the phenomena of institutional transformation, probing, examining, and conducting a detailed investigation (Blumberg, et al., 2005). Through this approach, detailed interviews and greater depth of analysis allowed for a broader understanding of institutional transformation through the insights and experiences of senior leaders, labour unions, staff, students and parents at UFS. Hence, this approach allowed the topic of institutional transformation to be examined as a complex subject and a concept to be explained and understood.

Yin (2003) identifies three specific types of case studies:

- *Exploratory* cases are sometimes considered as a prelude to social research;
- *Explanatory* case studies may be used for causal investigations;
- *Descriptive* cases require a descriptive theory to be developed before starting the project.

Of the three, the explanatory case study appears to be most suited for this research. Causal relationships, for example, need to be determined between an intervention and the response of the organisation to the intervention; or between a particular emerging phenomenon during the change process and the choice of intervention. Similarly a causal relationship could exist between several phenomena.
The approach of this research was that of a qualitative explanatory case study, with limited quantitative data. The reason for using a case study approach is that case studies illuminate a decision or set of decisions: why they were taken, how they were implemented, and with what result (Yin, 2003, p. 17). The findings will be compared to theory in order to determine which alignments exist. The current debate on institutional transformation from UFS will help explore the key drivers and problems that create a sense of organisational change in leadership and culture within the higher education sector in South Africa.

4.1.2 Induction versus Deduction

The study began by returning to the literature on organisational change, leadership, and organisational culture, to review prior findings in each of these areas and develop a more refined conceptual framework of institutional transformation (presented in Chapter 2). Thus, preliminary conclusions and specific research questions were formed based on a review of the theory, prior to any formal data collection, and used as a basis for comparison with, and a critical evaluation of, alternative institutional transformation frameworks presented in the literature.

According to Blumberg, et al. (2005), the issue of deductive versus inductive research centres on the research process and where it begins. Inductive reasoning generally begins with singular or specific statements and concludes with a general or universal

statement. Such conclusions are effectively a generalisation drawn from the specific premises. Conversely, deductive reasoning moves from premises that are broad or general in scope, to specific conclusions. Hence the conclusions are narrower in nature than the premises (Blumberg, et al., 2005).

An inductive approach was used in order to test theoretical arguments, such as those of Poole and Van de Ven (2004), Schein (1985), Hatch (2000), Elsner (2012), Scharmer (2009) and Parry and Proctor-Thomson (2002), as a result of the research findings and the academic literature will create an element of deduction. The inductive approach in this research can be identified from the facts that the interviews were conducted and other data collected was examined. The perspective of this research was that, ultimately, observation influences deductive logic; deductive logic is then formalised and considered through observation.

4.1.3 Case Study Analysis

Yin (2003) referred to a case study research as an empirical inquiry that investigates a contemporary phenomenon within its real-life context, when the boundaries between phenomenon and context are not clearly evident, and in which multiple sources of evidence are used. Yin (2003) presents at least four applications for a case study approach:

- To explain complex causal links in real life interventions;
- To describe the real life context in which the intervention has occurred;
- To describe the intervention itself;
- To explore those situations in which the intervention being evaluated has no clear set of outcomes.

Eisenhardt and Graebner (2007) also noted that case study analysis provides a firm grounding for emerging constructs and theory. In particular, it provides flexibility through the selection of appropriate participants, and the opportunity to build on previous findings from individual cases as part of multiple case analyses, to effectively strengthen theory development.

This added complexity within this research encompassed three central methods: review and analysis of documents relating to UFS on institutional transformation, interviews with individuals at a senior management or executive level from UFS, and observation.

4.1.4 Case Study Design

In understanding the case study design used, this research relied on 21 interviews, using the following approach:

- Expert interviews with the Rector of UFS;
- In-depth interviews with members of the university council, the student body, and academic staff of UFS;
- Observational studies of and questionnaires to the academic staff, students, parents and other employees of UFS;
- In-depth interviews with labour unions;
- Desktop review of all relevant policy documents and decisions by the university related to its transformation.

The interviews were semi-structured, including limited open-ended questions to encourage discussion of the transformation efforts, in order to gain an understanding of the approach taken, the structure and effectiveness of the transformation practices and how and why certain strategies had worked while others were less effective.
The observational studies and questionnaire to the staff, students and other employees were used to establish the practices and individual perceptions within the university. The aim was to gain an understanding of how the transformation strategies worked through gaining the opinions and understanding the staff and students. The questionnaire had closed questions with set responses in order to map the transformation characteristics (based on the three pillars of Organisational Change, Leadership and Culture) of UFS. There were also some open-ended questions for participants to make comments on the various aspects of the transformation within the University.

4.2 Data Collection

4.2.1 Data Sources

Consistent with the case study research, a number of data sources were incorporated in order to conduct a thorough examination of institutional transformation and obtain a more complete understanding of this construct (Blumberg, et al., 2005). The three data sources included documents, semi-structured interviews, and observation. Individually, each of these sources provided a partial representation of the activity examined. Collectively, analysis and comparison of the data provided valuable insights into the phenomena of institutional transformation. Each of the methods is considered separately in the following sections.

4.2.1.1 Analysis of Documents

Documentary analysis was based primarily on publicly available texts, such as newspapers, media articles, and websites. The data related to the period from 2007 to 2012. In most cases, media reports and publicly available data were available from 2009 onwards, reflecting the year that the new Rector joined UFS.

Documentary analysis provided a useful starting point to gain an understanding of personnel policies, archival records, other reported behaviours, attitudes and perceptions, and organisation outcomes.

In order to define and understand the policies and practice put into place at UFS since 2008 there is a need, according to Yin (2003, p. 31) to:

- Consolidate the actions and events into a logic framework;
- Collect information about the chronology of these actions and events, as well as their causal relations; and
- Collect data related to the nature and extent of any improvements for the relevant period, namely:
    - raised expectations or consensus over goals;
    - improved educational standards or tightened academic requirements;
    - increased quality of the teaching staff;
    - increased participation by parents in students' learning; and

- Student performance (for example, enrolment in specific courses, attendance, or test results).

4.2.1.2 Interviews

Interviews were valuable in gaining an understanding of the experiences of others. As a result, a fundamental benefit of the interviews was the opportunity to access the perspective of the interviewees through direct interaction and inquiry.

The Rector's chief of staff assisted in arranging the interviews with the UFS senior leadership team. Interviews were also conducted with labour unions outside UFS and parents and students of UFS.

Data collection was enhanced by understanding the issues and challenges faced over the period of transformation, using:

- A semi-structured interview with the Rector of UFS.
- Observing some of the Rector's leadership sessions with his staff
- Interviews with eight key academic staff members from the faculty.
- Discussions with two senior student body council members.
- Discussions with one labour union representative.
- Observational studies with 10 students and parents of UFS.
  (See Appendices A & B)

The interview protocol served as a framework, such that questions could be tailored to individual participants, background research could be incorporated and verified, and interviewees had the opportunity to raise additional points which they considered relevant. Interviews were semi-structured and remained conversational, questioning was phrased as inquiries rather than interrogation, a level of trust was established through reassurance of confidentiality, and interviewees were consistently cautious in not providing details outside of their knowledge.

Interviews were conducted on the basis that perspectives of the senior management and external labour unions were meaningful, and could be made explicit. As such,

quotes directly from interviews were considered to be extremely valuable, and are used extensively throughout the study.

The approach to the design of the interview questionnaire (Saunders & Lewis, 2012, p. 223) was to:

- Build a preliminary framework on the review of theory from academic literature prior to the design of questionnaires and structured interviews. This was done using the three pillars of institutional transformation (Organisational Change, Leadership and Culture) based on the literature review.
- Pilot the interview with the researcher's supervisor to test and critique the validity of the questions.
- Design semi-structured interviews – critical points to further enhance the interview questionnaires were taken during the interview and a voice-recording done to produce a full record and transcript of the interview.

Internal validity was achieved by aligning the insights from the literature reviews, in the interview schedule. The interview schedules were designed such that the research objectives were met, together with elaboration from the understanding of the theory from the literature reviews. The interview schedules were piloted prior to commencing this fieldwork.

The aim is to ensure that the findings are explained in detail. To further reinforce trustworthiness, draft copies of the research were shared with key stakeholders to check that observations, perceptions and conclusions drawn from this analysis were validated by a wider audience. The combination of questionnaires, interviews and observational studies explored the details of findings and so ensured reliability.

4.2.1.3 Observational studies

The process of observing the environment and context in which the interview occurred provided the opportunity to consider the unspoken aspects of the interview. It allowed the facilitation of a more complete picture of the interviews, allowing the interview data to be more effectively evaluated. For this reason, and for the convenience of the participants, interviews were arranged at the participants' offices.

Observation data were not considered in isolation, but rather in conjunction with data from interviews and documentary analysis. Consequently, each of the three data sources provided different benefits and addressed specific purposes. Collectively, however, the three data sources complemented each other such that the strengths and limitations of each research method were offset to the extent possible, and synergy achieved from combining multiple sources and methods.

4.2.2 Data Analysis and Presentation

In an effort to maintain a systematic approach, the data analysis was effectively an iterative process involving repeated review of the data, together with an ongoing review of the literature, and refinement of findings over an extensive period.

As part of the interview process, participants' permission was requested to record the discussion. Respondents were assured that their responses were strictly confidential and would be treated anonymously. Voice recording was only to collate the feedback appropriately, and would be used by the researcher only for this purpose. The thesis topic was then discussed and the basis of the three pillars was explained to the respondent. Recorded data was then transcribed by the researcher and reviewed accordingly. While transcriptions provided the opportunity for data to be reviewed by the researcher, they also enhanced validity (Yin, 2003), and ensured completeness of data collection from the interview. Thus the review of the transcripts facilitated systematic analysis and interpretation of details obtained during each interview process, from both a micro (line by line) and macro (overriding themes) perspective. Accordingly, analysis of transcripts immediately after the relevant interviews focused on verbal communication during the interview, while analysis of non-verbal interview data (observations) together with issues making strong initial impressions during the interview. These impressions were recorded in notes taken during and directly after each interview.

4.2.3 Data Validity and Reliability

Yin (2003) refers to reliability as a level of assurance regarding the consistency of results when using a particular measure in research. Therefore, to demonstrate that the procedures within this study (e.g. data collection and analysis) could produce

reliable results, a number of elements were incorporated into the research design. These elements include structured instruments, such as an interview protocol to establish an element of consistency in the collection of data (Yin, 2003), triangulation of data, and a structured approach to presentation, and analysis through tabulation (Blumberg, *et al.*, 2005), each of which enhanced reliability and rigour within the study. While interviews were semi-structured to ensure they remained conversational, a conscious effort was also made to ensure consistency in the format and content of questions.

Validity is referred to in a number of contexts to reflect the appropriateness of the research measures and findings (Blumberg, et al., 2005). Internal validity is referred to as the extent to which an indicator appropriately measures the intended construct (Blumberg, et al., 2005). Thus, if an indicator or measure is not reliable, it cannot be valid. Within qualitative research, there is a tension between the notions of reliability and validity, such that enhancing one of these constructs requires a reduction in the other. With respect to interviews, the main issue relating to internal validity is bias from both the researcher and interviewee. As noted previously, a conscious effort was made to limit personal researcher bias, and make appropriate allowances for interviewee bias, when analysing the data. Similar principles were applied to data obtained from personal observation.

External validity is referred to as the degree to which findings can be generalised to other settings (Yin, 2003). Thus, the scope for generalisation of findings is a reflection of the external validity. It should be noted however, that the findings are not considered representative of higher education alone, but potentially could apply to all corporate and business activity, conducted in a changing competitive landscape.

4.3 Assumptions

Some assumptions made in this research study were based on the interviewees themselves. The research assumed that all interviewees understood the details of the actual transformation that had taken place at UFS and were part of the whole process. In this sense, an assumption was made of the interviewees' unbiased views of the happenings during the period under investigation. A sense of trust between the

interviewees and researcher was established to create openness in their views and integrity was relied upon to use those words in the research study.

4.4 Research Ethics

Respondents were given a clear written description of the purpose, scope and intended outcomes of the research. The type of information required for the research was clearly stated, as was the policy for anonymity and confidentiality (Saunders & Lewis, 2012, p. 223).

The research was carried out in a way that ensures the confidentiality of information received from UFS, and the non-disclosure of any information received which may be commercially sensitive. All participants were also guaranteed anonymity – no individual has been named in the research project.

4.5 Limitations

This research is limited to UFS – no assumption can be made that all universities or FETs experience the same issues and problems or go through similar solutions, however, the findings could be generalised. The research study did not investigate transformation in the public sector due to the political nature and cultural status in government at the time. It must be noted that limited time was spent at UFS; hence there was a tight timeline for ascertaining and conducting all interviews, observational studies and discussions both at the University and within the Free State region.

4.6 Conclusions

The following chapter presents the results obtained by employing the method and techniques detailed above on the activities and transformation efforts at UFS (Chapter 5). Further analysis and comparison of the data and findings will provide the opportunity to examine the factors around institutional transformation at UFS in a practical context (Chapter 6).

CHAPTER 5: RESULTS

5.1 Data Collection

The data collection consisted of a combination of 11 expert and in-depth interviews with senior leadership at UFS. A further 10 interviews with ex-students, parents and current students were also conducted. The interviewees came from a mixture of backgrounds, religion, gender, ages and race to ensure differentiated views.

The following approaches were followed:

- Expert interviews with the Rector of University of the Free State (UFS);
- In-depth interviews with members of the university council, the student body, and academic staff of UFS;
- Observational studies and questionnaires to the staff, students, parents and other employees of UFS;
- In-depth interviews with a representative from the labour union;
- Desktop review of all relevant policy documents, media articles and decisions from the university related to its transformation.

The designations and other details of the expert and in-depth interviewees are given in Appendix C.

The interviews were semi-structured, including limited open-ended questions to encourage discussion of the transformation efforts, in order to gain an understanding of the approach taken, the structure and effectiveness of the transformation practices and how and why certain strategies work while others are less effective. Observational studies were also done with parents of ex-students, students and ex-students from UFS. Details of these respondents are shown in Appendix D.

The analysis of the results in the following chapter will be done using the research questions that guided the research.

5.2 Results

5.2.1 Organisational Change

A key area in the theory of organisational change is the aim to deliver change at high or low speed. Previously, when the environment was relatively stable and the pace of change was comparatively slow, organisations focused more on incremental strategies. More recently, however, the increasing pace of change has compelled businesses to evolve a more flexible approach to managing change and transformation, thus calling on them to strike a balance between change and continuity (Nasim and Sushil, 2011, p. 192).

Research Question 1: What are the variables that determine the pace of change in institutional transformation?

5.2.1.1 Definition of Change

From an internal perspective, most of the interviewees experienced organisational change as incremental change or the gradual approach to transformation – the fundamental changes of knowledge, approach, and methodology of people, individuals, communities, relationships and language. A senior manager from Student Affairs said that the change at UFS has to do with the microcosms of society – to test and pilot multiple solutions, especially at public institutions. An individual has to change for an organisation to change.

All the interviewees confirmed that the pace of change at UFS has shifted from gradual to almost immediate change – as the Reitz incident required immediate change. If you have the right leader, if you have the right symbols, if the symbols are correct, then the notion of change happens with an immediate shift. Therefore, they confirm that leadership symbolises change.

> "…growing a capability within to be honest with their feelings, express it properly and not hide any feelings…handle all conflicts and don't overstep boundaries…"
> (Deputy Director: Archives for Contemporary Affairs, 2012).

> "…changing mindsets and lifting heads to welcome change…" (Director: Division Strategic Communications, 2012).

5.2.1.2 Mechanism of Change

All interviewees noted communication of cultural diversity as an asset to change. The culture of "us and them" (black and white) used previously and the current use of "us" (everyone is one) is used interchangeably (Deputy Director: Archives for Contemporary Affairs, 2012). They all distinguished between multiple uses of communications to all staff and students and to create an atmosphere of accepting change through communication.

> "…Monday bulletin is used to address issues and challenges….frequent communications informs changes, accessible and open-door policy allows for accepting change. The Rector's policy is: "you have an issue - I have a tissue…" (Deputy Director: Archives for Contemporary Affairs, 2012).

An opposing view comes from a few other senior faculty members and a representative from the labour unions – a strong drive that organisational change is the demand of history and would have unfolded even in the absence of the Reitz incident. They believe that the Rector would have driven a transformation project either way – and understands that it is a huge collaborative effort of staff and the community.

> "…The Rector initiated energy and brought about optimism for change…previously, transformation mindsets were there, but not empowered.
>
> He created the values for caring, support (institutional and personal support), freedom and creating the environment of change…a collaborative approach was then built amongst academic staff…" (International Institute for Race, Reconciliation and Social Justice, 2012).

In this sense, they believe that UFS was well-positioned for the latent perception of change and that UFS has an interpretative code that is easy for some and hard for others. This means that when students enter the gate of UFS, some leave their "kitchen" at the gate, and others bring their "cultural codes" into UFS (International

Institute for Race, Reconciliation and Social Justice, 2012). This is a critical balance that needs to be bestowed upon students – to understand the balance between "kitchen", the culture that students are brought up in at home, versus the culture that students need to adhere to and change when on campus. This brings about change.

> "…military culture and in the 1990s students come straight into campus from 2 years in the army. The Afrikaners would tolerate and welcome anyone to UFS – but on their grounds, in terms of, religion, language and to confirm that this is "our" place and the Afrikaners won't want anyone telling them to change…"
> (International Institute for Race, Reconciliation and Social Justice, 2012).

Some of the senior management team interviewed expressed their belief that the start of transformation began in June 2008 under the previous Rector, when UFS implemented new policy guidelines for student residences. This was done to increase diversity amongst the students, and was another important milestone in the ongoing transformation of UFS and in the provision of quality higher education for all UFS students (Director: Strategic Communications, 2012). The senior management team said that the decision had been taken in the best interests of the students. The new policy had been supported by management in the following ways:

- Providing properly trained and qualified personnel (such as live-in wardens, residence heads, etc.) to supervise the implementation of the policy on a 24-hour basis;
- Ongoing orientation workshops for all students in residences to deal with diversity in a mature way;
- Support to deal with language issues, including interpreting services so that language rights of all students can be reached; and,
- Assistance with the review of residence governance, administrative and other procedures that had been used in residences previously.

However, the success of the student integration did not take place until the new Rector joined in 2009 – but the discussion and implementation of the policy guidelines was a success.

Research Question 2: What are the leadership qualities that a leader must demonstrate for effective leadership during institutional transformation?

5.2.1.3 Implementing Change

The Rector involves everyone in the decision-making and takes a stance with councils and labour unions to drive change in a clear direction – proving that a collaborative approach to change is inevitable. There was a unanimous view from all parents and students interviewed that the change was inspired by the Rector of UFS, and has now become a collaborative effort. In this, they viewed the change as being supported by good communication, with which the Rector shared his vision and goals for UFS to all parties concerned. Leadership with a proper communication capability is a success factor to organisational change.

> "…adaptable to the unique dynamics of change…created a performance management process with weekly meetings, status meetings to communicate change process" (Student Affairs, 2012).

However, a few opposing views in that there was much resistance to change. Most of the resistance came from the alumni of UFS, based on the belief that there was unfair discrimination (both black and white) and that white male students were resisting mixed race student residences. There was resistance on the increase of academic requirements for students to enrol and for staff to become professors and senior lecturers. Lastly, there was resistance from political parties – such as the Freedom Front Plus, which was against forced integration of student residences and SASCO Unions, which were challenging the student governance process. A representative from the labour unions argued:

> "… with change there is always pockets of excellence and pockets of resistance. At UFS, the perception is that the pocket of excellence is greater than any resistance sought – but the media is wrong. There was

> and still is much resistance, however, this resistance is managed appropriately in humanly possible ways. Such resistance sought can be grouped into the following functions: Alumni fighting on unfair discrimination, academic staff resisting on pre-requisite statistics for professorship and political parties fighting on the governance process."

The Rector also got warring parties around the same table to talk and sort out differences. All the interviewees confirmed that the Rector of UFS instilled a culture of successful academic achievement on campus.

Another critical element to bring about change was pursued in early 2011, when a new branding of UFS was launched. The rebranding was launched after an intensely expansive and intensive consultation process with staff, alumni, senate, council and others around the image this rebranding was to project. For the leadership team at UFS, the new brand had to be inclusive, forward-looking and capture the spirit of a new country and a transforming university. According to a member of the Strategic Communications team: "One of the fundamental principles of the review of the UFS brand was to balance continuity with change".

5.2.1.4 Sustaining Change

The Rector focused on humanity with a commitment on the heart and minds of the people at UFS, and thereafter, focused on structured cascading of communications, using internal and external images, and a diverse mixture of social aspects. A staff member in the Rector's office confirmed that "… his use of modern social media platforms is powerful, such as Twitter and Facebook allows every student and youth in the Higher Education Sector to understand his treasure for change and transformation". This confirms the view that getting the commitment of students and staff is a quick change that is needed – a slower process of change is enabled through creating 'reminders' and mindset shifts through constant social platform communication. Ultimately, the Rector professes that the proof of the pudding is in the eating and is remarkable in proving this analogy.

A critical point to note is that of the parallel mediums of English and Afrikaans being used during lectures. The majority of the interviewees suggested the need for tuition in

English only, as English is the first language in South Africa. However, the Rector has an opposing view and maintains that the history of UFS and the culture of UFS is Afrikaans. UFS was built and will always be acknowledged for its Afrikaans embedded culture and this must not change. The Rector argued:

> "there is so much of change happening at UFS, that if we lose the dire sense of belonging, which is the language of Afrikaans for most, then we lose the cultural strings attached to UFS - this must not change"

The Rector is taken by the decision that he teaches a compulsory academic course on ten big life questions. This is part of the pilot to allow undergraduates to think much more broadly. He is also immersing himself in fresh academic conversations, which are changing and improving with the appointments of new professors – this is part of his mentorship programme.

There was a unanimous view that organisational change and transformation is a journey. It is a critical period of continuous learning – if not, transformation will fail. The challenge of transformation lies in the heart of sustainability and the view is that it takes three to four years for the majority to understand the reason for change and for the foundation of transformation to emerge, and five to eight years for the mindset change to occur, after which a sustainable transformation process has occurred. The International Institute for Race, Reconciliation and Social Justice noted:

> "…in three to four years there is a renewal of trajectory direction on a daily basis – there is a psychological, social, political and collective sense of emerging institutional pride. After five to eight years, we should see a place where the cultural vision is openly agreed, where the mindsets for the future is lived and where there is a sense of belonging for all… "

5.2.1.5 Leadership Style

Senior management from UFS and a representative from the labour unions confirmed that the Rector of UFS was a broker for participation and support between groups. A member of the Student Representative Council (SRC) and an Adviser in the Rector's office believe that the Rector's approach as a leader at UFS was built on five key

success factors, (a) standing by his position, (b) convincing successful layers of leadership, (c) being adaptable to the unique dynamics of change, (d) utilising a performance management process, and (e) creating the need for people at different levels of leadership to sustain change. A research assistant in the Rector's office mentions that the Rector's leadership approach varied during different times over the previous three years:

- Firstly, during the initial stages when the Rector joined, a sense of directive leadership was needed. The directive leadership approach for 12 to 18 months was needed to build a clear vision, a purpose and a strategy. There was a need to build an environment with new structures – so some of the old leadership team members were released from employment and the staff complements were shaken up.

- Secondly, there was a sense of leadership development to understand and change areas of staff development, conflict management, cultural diversity, and a renewal of tradition.

- Lastly, the renewal of policy decisions and governance to create an integrated student residence with a 50:50 ratio of black and white students. However, only 12% of the students stay in residences, so the remaining 88% needed to be part of the change as well. The Broad Student Transformation Council, with different faculties, students, and post-graduates created a Student Representative Council (SRC) constitution based on individual candidacy and sub-councils. This newly elected SRC began to emphasize two parts: 50 / 50 black and white student integration and the political barriers between the Freedom Front Plus (white students) and SASCO (black students).

Interviews held with senior leadership at UFS confirmed that the Rector of UFS is a transformational leader. This denotes that the Rector has a purpose, a goal, and is working towards the mission of UFS. All changes sought previously need to create an environment of detail-orientation and fast-paced execution. A representative from the labour unions and from UFS faculty commented:

> "… The Rector got buy-in from the white staff and not the black staff – buy-in from conservative council, senate, alumni and parents / students.

> The Rector brought in people from outside UFS, approximately 25 new senior professionals. This had an impact on everyone and created resistance amongst the faculty. We believe these are some of the success factors for transformation, however, after three years; it is time to spin the coin and work on the others …"

The majority of the interviewees were of the view that micromanagement was not required to observe the needed changes. A representative from the International Institute for Race, Reconciliation and Social Justice explained, "four years ago micromanagement was a critical way to lead, whereas today we are in an environment in which we let others lead – and provide assistance and mandates for others to drive change".

Leadership created a supportive environment and clarified an agreed mandate – this proposal was driven and accepted. This led to achieving a framework of self-accountability and created an independent management regime. A senior member of the Rector's advisory committee noted "… a vision of collaboration, mindset change and social justice was created. A mellow environment in which pre-conceived ideas must change, in which leadership must listen and accessibility must be granted".

The majority of parents and students interviewed confirmed that the Rector displayed a hands-on management approach and allowed himself to wander around the campus to have informal, social and impromptu discussions with students - creating an aura of sincerity and visible love for his task. Throughout all the actions the Rector always shared his vision for the institution – a place of learning, education and self-improvement. A parent commented:

> "In this case, the Rector set the example of communication very well and personally drove it. He engaged in numerous informal and structured formal communication platforms with mainly students, but also parents and student bodies like SASCO. The Rector displayed a lot of the 'management by wandering around' principle. He physically gets around the campus and between the students, has impromptu chats with them, and throughout all this displays an aura of sincerity and a visible love for his task. Throughout all these actions he always verbally shared his vision

> for the institution, as being first and foremost a place of learning, education and self-improvement. I got the impression that he is very much vision-driven, and made a point of sharing his vision to all parties concerned"

An adviser in the Rector's office argued that in the past there was a 'formal' regime and management were not part of any decision-process nor changes. Now, everyone is part of management and at all levels are they informed about the new process and future change. This is important to establish ownership.

The majority of the interviewees recognized that institutional transformation is a mechanism of social justice. For a policy to be accepted it must serve both the hard and soft approaches. Leadership needed to strike the balance between a regulatory framework that is very harsh and cut-throat, and a policy implementation regime that has a human face. This policy regime linked to the aspect of a humanitarian approach. A student from UFS noted:

> "…the whole emotional and unstable situation had to be defused first, so that meaningful communication could commence. The challenges were two-fold: get the racial / political issues sorted out, and get the students focused on their main aim for being there, namely studying. The Rector displayed a brilliant communication capability, with which he shared his vision and goal for the varsity to all parties. He also got opposing parties around the same table to talk and sort out their differences. In this way, he instilled a culture of successful academic achievement on campus …"

5.2.2 Organisational Leadership and Culture

Previous studies confirm that organisational culture emphasizes trust, win-win, and excellence and innovation through collaboration and culture. Culture relates to the personal behaviours or traits that make some leaders succeed or derail others. Thus, leadership comes from all levels, not only from the top, because significant innovation is about doing things differently, not just talking about new ideas.

Research Question 3: What are the indicators of the interrelationship between leadership and culture during institutional transformation?

5.2.2.1 Leading towards Cultural Diversity

There was a unanimous view on the compromise of organisational culture at UFS. In 2008, there was an intensely competitive environment about arguing and winning a fight. This polarised staff and students – there were neither shared values, nor symbols of shared identities. There were multiple identities and logos across different faculties and different student residences. In early 2011, rebranding brought a new look to UFS. Its new brand was part of its effort to change its image, after a 2008 race row at the then 108-year old institution.

Today, in 2012, there is an environment of shared values and respect. Staff and students are actively working to create symbols and to create direction for the institution – there is a unified and shared identity through a UFS brand. Senior management from Student Affairs expressed the view that:

> "…there were a few responses to change at UFS. First, there was a need to mediate change. Secondly, get the council to begin their change. Thirdly, the Rectors' representation at different forums to enhance change and; to agree on facilitating racial reduction. Lastly, a new leadership team to lead change".

A majority of those interviewed within faculty confirmed that the Rector created a culture of openness, transparency and respect – that is, open to change, open to diversity, and open to transformation. The real work of transformation is to challenge the norms on a daily basis, that critique is an act of loyalty, and must be critical to ensure loyalty. A senior representative from UFS Archives department challenges - that in order to enhance a culture of change UFS needed to grow a capability within to be honest with one's feelings, express them properly and not hide any. In this case, there is a need to handle all conflicts and not to overstep boundaries. She expressed that the Rector speaks about issues that he is not comfortable with but has a good way to get the point across – this leads to an awareness of accepting the culture and learning from others. The Rector states:

> "… I have built up legitimacy to trust and lead … and for leadership to act on the hard and soft approaches to management … ultimately, there must be a balance".

A minority of those interviewed identified student integration as a challenge to transformation at UFS. Leaders needed to understand and "face-off" on how and when students were treated. Blacks wanted transformation to happen faster, and white students displayed arrogance. Segregation was elevated due to the parallel medium in classes, that is, lectures being taught in English and Afrikaans. A faculty member from the International Institute for Race, Reconciliation and Social Justice noted:

> "…Transformation is empowerment on the integration of students. The academic curriculum needs to be transformed: content and new ways of teaching, including a single medium in class, and; the link to the change of student's mindsets. Leaders need to continue creating values of caring and support and building an environment for change …"

> "…The Rector was passionate for change, allowing a sense of pride to exist and usually seeking a belonging. Thought Leadership brings with it a cultural belonging and best practices that the Rector instilled in each and every mind within his leadership team…" (Director: Strategic Communications, 2012).

The majority of students interviewed confirmed that the Rector's challenges were two-fold: to get the racial and issues resolved, and to get the students to focus on their studies and future. The demands of nation building and the act of sustainability is a critical stance in the area of transformation. A majority of the senior faculty and the office of the Rector confirmed that 60% of the initiatives driven by the Rector would continue and 40% of the initiatives would collapse, should the Rector leave within the next year. They suggested that the Rector started the initiatives, and then let an individual or team drive it to the end. This raised people's interest and built confidence in others. A parent claims:

> "… the Rector has achieved a fair degree of success in all goals: the 'political' climate on the campus is fairly quiet and stable (a long time

> since any negative news in the media), social integration has advanced in leaps and bounds and judging by the number of degree's awarded at the end of 2011, the educational and academic factors are doing very well ..."

The majority of those interviewed confirmed that the Rector's approach to transformation was to get the buy-in of white staff and not the black staff. He chose to get the buy-in of the conservative council, senate, alumni and parents and students, in this sequence. This gave them peace of mind, yet he instilled the factor of change needed by them. The Rector brought in people from outside UFS – this had a huge impact on everyone and a lot of resistance received by the Dean of Faculties and Head of Departments. It was imperative that the Rector, as a leader, made a decision and stood by his guns. This was a key strategy to drive change, even though much resistance was sought. The Rector stated:

> "... being a public figure and well-known person on change, transformation and unique ways of thinking - brings with - key public speakers in the South African industry (speakers included Archbishop Desmond Tutu, Kaizer Motaung, and Tokyo Sexwale). These external speakers brought with them tremendous knowledge, experience and understanding of the impact of change needed at UFS - an outsider perspective brings in a different approach to changing mindsets at UFS. Many discussions and debates assisted in the creation of the Institute of Race, Reconciliation and Social Justice in early 2011."

5.3 Conclusion

Even though change was defined differently by different interviewees, a common idea was that change was needed. In agreeing that change was needed, the next step was to identify and agree on the challenges in changing. Leadership symbolised change for most – the Rector and management played a huge role in bringing about a change mentality. On this note, communication is critical in the change process and it is imperative that leadership use the right mechanisms to communicate. Collaboration is critical when implementing change, however, a single person driving the change process is a must. Cultural diversity was also discussed as an asset to change. A

culture was instilled, that UFS has separate cultures, comprising a "kitchen" culture and a culture of rules, regulations and acceptance at the entrance to UFS.

It was confirmed that the Rector changed his leadership style over the previous three years – and that his leadership approach was built on five success factors. The Rector is a transformational leader, meaning that certain changes at UFS are sometimes quicker than others. This confirms that getting commitment from staff and students is a quickly needed change; the use of social media platforms will then slowly create reminders and image to their minds. Leadership needed to deal with multiple forms of resistance – for with all changes there are pockets of excellence and pockets of resistance. The belief of the majority of those interviewed is that transformation is a journey of changes – and it is approached in different stages, that is, both quick versus slow, and short-term versus long-term. The Rector is adamant that certain things will not change, such as lectures held in parallel medium, for reasons he believes are part of transformation. The Rector exclaims: "Transformation is not a headcount, but a change in attitude and the reason we are stuck on race is because we are too focused on group identity instead of social cohesion."

The Rector created a culture of openness, transparency and respect for everyone to accept, acknowledge and learn from others. For leadership and management, there was a compromise on hard and soft management approaches. A hands-on management style drives a culture of shared values and respect – social and informal management is a huge compromise for any leader / manager but is the major part of success when it comes to change. Leadership followed a humanitarian approach to stabilise culture and surpass the challenges of racial and political issues and to enhance academic results. It was imperative that the Rector made a decision and stood by it at all times. He had assistance from public figures and external speakers in South Africa that brought with them an extensive knowledge, experience and understanding of the impact of change needed and the reason to change mindsets.

This chapter has presented findings that provide considerable insight into institutional transformation at UFS, highlighting the similarities, differences and distinctions of activities examined. Consequently, an understanding of the nature and underlying characteristics of institutional transformation has been developed and established.

Accordingly, the following chapter draws on these findings to discuss some of the issues and implications from this study.

CHAPTER 6: DISCUSSION OF RESULTS

The previous chapter presented findings to provide insight into the contextual issues surrounding activity within UFS on institutional transformation. This chapter discusses and considers findings on institutional transformation and insight into UFS. Section 6.1 provides an overall view of the response to the problem at UFS (continuing from Chapter 1). Section 6.2 then discusses the results of the findings (Chapter 5) and provides links from the literature review (Chapter 2). In this section, the three research questions are clearly answered in relation to the institutional transformation process at UFS.

6.1 The response to a problem

The gradual opening of the doors at UFS to black students went relatively unchallenged. It was the opening of the residences to black students that sparked an unprecedented campus crisis with national repercussions. The lecture rooms were largely segregated by language, a neat resolution to learning together where university policy directed most black students into English classes and most white students into Afrikaans classes. But racial togetherness was inevitable in the more than 20 residences, and it was here that the *politics of intimacy* played itself out with destructive consequences.

Most white students came from racially insular environments, especially those from rural farming areas. The only black people many of them knew were those in subservient positions as farm workers or domestic workers. Racial attitudes were reinforced through a tight bond of ideological continuities from home to school to church and to community as a whole. For most white students the university was the first place where they encountered blacks as equals, at least formally, and that in the most intimate of spaces – the student residences. Black students responded to the racism and resistance to their presence with anger and retaliation. The campus was under siege, and it was simply a matter of time before a major public crisis would follow. Then in early 2008, the Reitz incident took place and many felt that UFS would never be able to recover from it.

A new leader was fortunate to be appointed as the Rector and Vice-Chancellor of the University of the Free State in mid-2009, with the opportunity to build a team of transformers to deal with the consequences of the trauma and the tragedy of *Reitz*.

6.2 Discussion of Results

A complex cultural organisation like a university cannot be changed without deep contemplation. The Rector of UFS believes, "We needed to comprehend the heart of the organisation and its people: its spiritual constitution, its academic aspirations, its understanding of the crisis, its underlying fears, and its unexpressed hopes". For months, the Rector sought to discover the heart of UFS, refusing to respond to the outward expressions of anger, shame and the desire for retaliation. He spent days and nights inside the residences, observing some classrooms, watching social interactions in the open spaces of campus, listening to the sermons and the prayers in the largely segregated Sunday services, visiting the homes and farms of the students, and generally absorbing the words and the emotions of staff, students and community as people spoke, or refused to speak, about *Reitz*. This is a central theme of this research study, that is, to understand the process of institutional transformation at UFS from 2009 onwards, on the basis of the pillars on organisational change, leadership and culture.

6.2.1 Research Question 1

What are the variables that determine the pace of change in institutional transformation?

The results analysed were divided into the fundamentals of deep transformation on a racially divided UFS. These were the fundamental variables influencing the pace of change during the institutional transformation process at UFS.

6.2.1.1 Physical Desegregation

Poole and Van de Ven (2004) define *coerced integration* as unplanned change - implying that change is to some degree a force in its own right, susceptible to channelling, but not necessarily to control or management. The primary advice is that managers and change agents should realize how difficult change and innovation are to

script and manage, as these processes constantly move in unexpected directions and are driven by dynamics that are either too powerful to control or too subtle to understand (Poole and Van de Ven, 2004, p. 5).

In this research study, it was found that the Rector first had to change the physical arrangements for racial integration. While a modest and unworkable plan was in place from previous policy guidelines (70 / 30), it was clear that few, if any white students would constitute themselves as a minority of 30% in a largely black residence; in this way white domination culturally and numerically could be sustained with the choice of 70%. As a result, all-black residences with open beds existed and predominantly-white residences with a small representation of black students.

The Rector changed the integration percentage to 50 / 50 realizing that there was no risk of losing white students (and therefore the broader campus and country project of forging inter-racial community), since the meaning of residences was something deep and cherished among the historical inhabitants of the campus. The reaction from in- and outside the campus was fierce: this was "coerced integration" – not without irony since apartheid was of course forced segregation. The explanation was simple: all universities have goals for their residences such as larger numbers of international students or single versus co-ed residences, and none of these pursuits are forced; they are simple objectives for how residences are constituted. Given the critical nature of this problem—physically segregated residences, there was no other way to initiate some form of integration than to require, as a temporary measure, certain fixed objectives with respect to the numbers.

6.2.1.2 Social Integration

Martin (2002) and Kuo (2009) discuss the three theoretical perspectives of cultures in organisations: integration, differentiation and fragmentation. They argued that the growing sense of disconnection between academic staff and administrators reduces their opportunities or weakens their abilities to work collaboratively.

This study relates that desegregation is not integration. The Rector noted that, placing students in the same physical spaces does not constitute a community; in fact, it could lead to confrontation and conflict if not managed well. UFS therefore made significant

investments in the preparation of young people for living and learning together. Many hours were spent on topics like stereotype reduction and anti-racism training. Small and large group dialogues were initiated. Staff heads of residences were carefully prepared and, in some cases, replaced. Joint activities were designed to encourage interaction from the mandatory singing and cultural competitions to off-campus excursions. Crucially, the university's leaders were in a constant presence in the residences clarifying policy and requiring decency in human interactions.

6.2.1.3 The power of racial socialisation among incoming students

Students come from homes, churches, peer groups, sports societies, cultural clubs and other socialising agencies that give them a powerful, pre-existing knowledge with which they enter universities. This of course is a puzzle in the case of students at UFS who were born near or after the end of legal apartheid; this is, for them, second-hand knowledge of apartheid but nevertheless a powerful knowledge that functions as if they had been there (Jansen, 2009a and 2009b)

For white students from conservative Afrikaans homes, this knowledge is often one of racial superiority and strongly one of racial victimhood: *blacks are taking everything*. For black students from political African homes, this knowledge is one of racial suspicion and also racial victimhood: *whites still control everything*.

This is difficult to change, and UFS's major challenge has been the fact that with every new entry of first-year students, the process of re-education has to start afresh. The advantage is that UFS now has senior students who have been through these processes and who now lead the internal transformation of the university; these seniors take charge of these processes, especially inside the residences. Schein (1985, p. 17) claims that cultures are stable until leaders act to change them. Schein (1992, p. 33) argues that change reaches the deepest level of culture when leaders successfully change a culture by changing its value set – and, in doing so, these new values become an accepted everyday assumption within an organisation's cultural artefacts. Therefore, Schein's theory of how cultures change proposes that culture change occurs via the direct influence of a leader, and notes the moderating effect of the success of the leader's actions on the uptake of his or her influence within the culture

The biggest mistake they can make is to "take their foot off the pedal", i.e. to not bring new students into the transformation thinking and practice of the university as early as possible. In 2009 and 2010, the strategy was to work only on incoming students for the simple reason that limited resources and limited time meant "waiting out the seniors", since little could be done to change their hearts and minds a few months from graduation. It was a difficult choice, but now in late 2012, there is a strong group of senior students with the requisite knowledge and orientation to drive the change from below. Previous research (Weick and Quinn, 1999, p. 367) differentiated between episodic and continuous change – continuous change is conceived as, "on-going, evolving and cumulative". Burnes' (2004) understanding of continuous and incremental change is that the former describes departmental, operational, ongoing changes, while the latter is concerned with organisation-wide strategies and the ability to constantly adapt these to the demands of both the external and internal environments. Burnes (2004) suggests combining continuous and incremental change. However, it can be suggested that this combination makes it difficult to differentiate between departmental and organisation-wide approaches to change management.

This investment in first-years will have to continue for some time, given that race relations off campus (that is, in the broader communities from which students come) have not fundamentally altered. For a majority of students, for example, schools are still segregated for most black students in especially rural areas and urban townships. Residential patterns are still largely governed by race and more recently coloured by class for the privileged. And there is little in the political climate, after Mandela, to suggest a shift towards more positive race relations nationwide.

6.2.1.4 Public gesture

What a university does in response to its many publics is a powerful statement of where it stands in relation to the past, the present and the future. A public gesture becomes especially important in a divided society where conflicted publics want to know in which direction an institution leans in relation to, for example, reconciliation or retribution, change or constancy, transformation or conservation. The Reitz incident provided such an opportunity in 2009.

Would the new institutional leadership simply allow the matter to resolve itself in the courts, and ensure the four white youths were punished as criminals in the criminal court and as human rights violators in the civil courts? Or would the institution acknowledge its own role in aiding and abetting racism over decades, and share responsibility for, among others, the horrific actions of these young men? Would the institution simply accept the expulsion of the white youths from campus, or work towards their restoration within the campus? Would seeking reconciliation between the youths and the workers not be a more powerful outcome than one that relied on legal resolutions of deep social and emotional conflicts? These were some of the critical questions identified and expanded on the speed for change to take place. Gilley (2008, p. 277) builds on an emergent theory of legitimacy-centred institutional change. By showing how the legitimacy-centred approach might better structural theories, it raises new questions about the forces driving and preventing institutional change. Gilley (2008, p. 278) argues "that legitimacy—understood both as a relatively autonomous factor and as an agent shaping economic, socio-political, and historical structures—is a more parsimonious and general explanation of institutional status and change. Here was an opportunity for a public gesture that would not only act to acknowledge and forgive, as an institutional matter, but to labour for acceptance of serious wrongdoing as the basis for forgiveness and conciliation, if granted, on the part of the black workers? Would such a gesture not open up spaces for deep transformation that would not be possible if retribution was the only card on the institutional table? From this perspective, regime survival is dependent on a combination of authoritarian supporting modernist values and legitimacy-enhancing 'contained' institutional changes". As those values change and as the legitimating limits of contained institutional change are reached, pressures for democratization will grow. However, bringing legitimacy back into political analysis would afford a wider view of both the durability and substantive direction of institutional change" (Gilley, 2008).

A decision was made on a public gesture that acknowledged complicity and offered forgiveness—again, only as an institutional matter—laying the groundwork for peacemaking and conciliation beyond the fate of the four male students. But a public gesture is not enough without changing the rules of the game for human interaction. While the gesture, as expected, divided the nation and, to some extent, the campus at

first, few would today deny that it created democratic spaces for the pursuit of something much deeper than demographic changes to a formerly white campus.

6.2.2 Research Question 2

What are the leadership qualities that a leader must demonstrate for effective leadership during institutional transformation?

6.2.2.1 Leadership example

It was crucial to the transformation plans that leadership was "present" in the lives of the students and this meant the Rector teaching first-year students, the Dean of Students and senior management delivering soup and bread to students in the open study halls, and the leadership making regular visits to the 23 residences to hear concerns and share plans for the university.

Leaders were conscious of the fact that the students were watching staff, and that the choices of new leaders and their demonstration of friendships needed to cut across the colour line in everything they did. Fortunately, for most of the senior team these were already personally-held commitments before the transformation continued in earnest in 2009. At the same time, Scharmer (2009) in Theory U, embodies a view that the future will, inevitably, be very different from the past. The theory and methodology of the U discuss the nature of leadership at length, especially leadership in times of great turbulence and systematic change. This type of leadership comes from all levels, not only from the top, because significant innovation is about doing things differently, not just talking about new ideas. This leadership arises from people and groups who are capable of letting go of established ideas, practices, and even identities. Most of all, this leadership comes as people start to connect deeply with who they really are and their part in both creating what is and realizing a future that embodies what they care most deeply about.

Students needed to witness daily a leadership practice that was inclusive in terms of race, gender, national origins, disability, sexual orientation, as well as language and culture. Again, this came naturally to most of the team, but it was the leadership consciousness of these public actions in the face of ‘a host of witnesses’ (more than 30 000 of them) that was new.

6.2.2.2. Emotional inclusion

Von Krosigk (2007) identified emotional intelligence as a necessary attribute for effective leaders. Inspiring others is an important task of a leader, and good leaders are distinguished by their ability to inspire others without receiving negative feedback in the form of resistance to perform. Good leaders are skilled in motivating and encouraging others, which means they need to be emotionally aware of what goes on in other people's minds.

This study proposes that it is one thing to tell traditional residents (white, Afrikaans-speaking) that they still matter and new residents (black, multilingual) that the old university belongs to them too. It is a completely different matter to convey a 'sense of belonging' (the name of the annual survey of students and staff), a feeling of being at home. The Rector argues:

> "there is so much of change happening at UFS, that if we lose the dire sense of belonging, which is the language of Afrikaans for most, then we lose the cultural strings attached to UFS – this must not change".

The senior leaders opened their doors (offices, homes) to students, including an active presence on Twitter and Facebook that enabled youth to express their concerns and their hopes for the university and beyond. Regular *Talk-to-me* sessions were arranged in the open spaces on campuses where students often stood in long lines to complain, seek advice, share an innovation, or communicate appreciation with the Rector. Hands were shaken, high-fives shared, hugs given. Emotional inclusion needed to be real and is an important insight for when one has to manage and implement change.

The sense of belonging showed a clear shift in racial accommodation, tolerance and even embracing among the students. Staff felt their sense of 'at home' more within their departments than in other levels of the university. The less well-resourced campus of the three yielded much more positive signs of a sense of belonging. And the informal feedback over the social networks pointed to a general appreciation for stability and inclusion on the campuses.

6.2.2.3. Leadership Strategies

The following theory gives an overview of the critical strategies a transformational leader uses in any organisation. The research study will prove the relevance of the theory in showing how the Rector used similar and additional strategies in leading UFS.

Carlson and Perrewe (1995) show the process and elements necessary for the institutionalization of organisational ethics. The transformational leadership style lends itself well to the creation of an ethical environment and is suggested as a means to facilitate the institutionalization of corporate ethics. Finally, the benefits of using transformational leadership are demonstrated through the components of a psychological contract, organisational commitment, and ethical culture to institutionalize organisational ethics. (see Chapter 2, Figure 8)

Pietersen (2007) argues that networking and strategic partnering have become essential for continued organisational success, "The art of diplomacy also seems to have become an important leadership skill in the current institutional environment". Despite the continuing emphasis on clear vision and mission statements, organisational leaders are now forced by sheer scope and tempo of change to focus on what can be achieved in the shorter term. Pietersen (2007, p. 23) identifies and describes four basic approaches on leadership orientations, namely:

- Visionary leader: the corporate architect and strategic thinker, whose primary focus is the overall vision, idea or principle that guides the organisation and serves as its reason for being.
- Systems leader: this leader's primary focus is performance – an organisation that is technically and economically effective.
- Relationship leader: this leader's focus is persuasion – establishing relationships of trust, cooperation and influence with people (staff, shareholders, and customers).
- Transformational leaders: the inspiring (charismatic) personality, whose aim is to bring about an organisational metamorphosis to achieve a grand ideal of wellbeing and success.

De Klerk (2007, p. 47) argues that leaders must accept that suffering, loss and trauma are inherent to the human condition and must be enabled to lead in such circumstances. The aims of positive leadership include:

- Creating a positive mood,
- Greater engagement, and;
- Improved performance.

This requires positive emotions which is one of the pillars of positive psychology (De Klerk, 2007, p. 47). De Klerk's (2007) model shows some of the leadership behaviours to lead trauma healing (see Chapter 2, Figure 10).

This study has focused on the leadership strategies posed and used by the Rector of UFS. The Rector was seen as a transformational leader and this has led to many leadership strategies that he used to transform UFS.

An example of leadership symbolising change is the Rector's focus on multiple uses of communications to all staff and students, to create an atmosphere of accepting change through communication. The use of a weekly Monday bulletin was an effective way to address the issues and challenge experienced at UFS. The Rector's policy of: "you have an issue–I have a tissue" was another effective leadership strategy. It was clear that leadership with a proper communication capability is a success factor in organisational change. The Rector focused on humanity, with a commitment on the heart and minds of the people at UFS, and thereafter, focused on structured cascading of communications, using internal and external images, and a diverse mixture of social aspects via modern use of social media platforms, such as Facebook and Twitter.

The Rector created a collaborative environment with which to share his vision and goals for UFS with all parties concerned. While there was much resistance to change, the Rector got warring parties around the same table to talk and sort out differences. This brought about a culture of solutions and agreement between staff and students. A critical point to note is around the parallel mediums of English and Afrikaans. The Rector made a decision and holds this view strongly, that UFS was built and will always be acknowledged for its Afrikaans embedded culture and this must not change. The Rector argued that "there is so much of change happening at UFS, that if we lose

the dire sense of belonging, which is the language of Afrikaans for most, then we lose the cultural strings attached to UFS, this must not change".

Leadership created a supportive environment and clarified an agreed mandate. This led to achieving a framework of self-accountability and created an independent management regime. Today, there is an environment of shared values and respect. Staff and students are actively working to create symbols and to create direction for the institution, there is a unified and shared identity through a UFS brand. This is how the Rector created a new culture at UFS.

The Rector is taken by the decision for him to teach a compulsory academic course (UFS 101) to all first-year students on ten big life questions. This is part of the pilot to allow undergraduates to think much more broadly. He is also immersing himself in fresh academic conversations, which are changing and improving with the appointments of new professors, this is part of his mentorship programme.

The Rector decided to bring in people from outside UFS, this had a huge impact on everyone and the Dean of Faculties and Head of Departments experienced a great deal of resistance. Another critical element to bring about change was pursued in early 2011, when a new brand for UFS was launched. The rebranding was launched after much generous and intensive consultation process with staff, alumni, senate, council and others on the image it wanted to project. For the leadership team at UFS, the new brand had to be inclusive, forward-looking and capture the spirit of a new country and a transforming university.

It was imperative that the Rector, as a leader, made a decision and stood by his guns. This was a key strategy to drive change, even though much resistance was sought. In this way, the Rector created a culture of openness, transparency and respect – that is, open to change, open to diversity, and open to transformation

6.2.3 Research Question 3

What are the indicators of the interrelationship between leadership and culture during institutional transformation?

Change is inherently difficult, but it is especially challenging under conditions of social transition where a political settlement, rather than revolution, ended apartheid. In policy and in politics, symbolised so powerfully in the example of Nelson Mandela, there was the expectation that reconciliation would accompany the drive for transformation. What are the kinds of dilemmas, therefore, that would be encountered in the daily struggle of leadership in a formerly white, conservative university campus? Von Krosigk (2007, p. 25) examines the leadership traits of President Nelson Mandela and states that, "his personal commitment to achieving a peaceful transformation has evoked admiration, respect and endearment from people all over the world". The unusual combination of his outstanding characteristics, such as his highly developed self, his forgiving stance, his fairness and caring attitude are very similar to the character traits of exceptional leaders of the past. By divesting himself of everything negative displayed during the time of his political struggle, such as aggression, authoritarianism, anger and agitation, Mandela achieved the amazing comportment of a humane and compassionate president and leader in a post-apartheid South Africa. This interrelationship between leadership and culture is critical in the process of institutional transformation.

The results analysed were broken into the problems of deep transformation at UFS. These problems were the driving forces in the explicit relationship between leadership and culture.

6.2.3.1. Knowledge Transformation

The Rector noted, "[you] cannot transform a racially exclusive university into a non-racial, inclusive university without tackling the core truths on which institutional knowledge was founded". This is complex, and often ignored in university transformation. The challenge here is more than the basic, almost disciplinary knowledge on how to treat others and see them differently. It is the very truth claims about history, society, politics and the future. For this, the Rector introduced a compulsory core curriculum called UFS 101 in which students would engage ten big questions through a multimedia, interactive set of efforts that required deep thinking and independent work. Some of these questions included:

- How should they deal with the violent past? (history),
- Are they here alone (astronomy),

- What does it mean to be fair? (law) and;
- Did God really say? (theology).

The Rector's approach to knowledge transformation alludes to Zhenga, Yang and McLean's (2010) practices of knowledge management and the influence of organisational effectiveness. Knowledge management fully mediates the impact of organisational culture on organisational effectiveness. Secondly, Avey, Wernsing and Luthan's (2008) model on the impact of psychological capital, mindfulness, and positive emotions on attitudes and behaviours relevant to positive organisational change, links closely to the Rector's approach in the implementation of UFS 101. The model confirms that: (a) psychological capital (a core factor consisting of hope, efficacy, optimism, and resilience) was related to positive emotions that in turn are related to attitudes (engagement and cynicism) and behaviours (organisational citizenship and deviance) relevant to organisational change; (b) mindfulness (i.e., heightened awareness) interacted with psychological capital in predicting positive emotions; and (c) positive emotions generally mediated the relationship between psychological capital and the attitudes and behaviours.

Irrespective of their area of study, all first-year students came into the core curriculum to address multidisciplinary perspectives on everyday questions and problems. What this did was to confront students with their own deeply-held beliefs about the past, about religion, about the universe, and about ethics, in ways that most of them had not had to deal with before.

6.2.3.2 Cultural Embrace

The symbols that constitute a century-old university invariably reflect established traditions, cultures and practices. These would be reflected in the names of campus streets and buildings, the kinds of artwork in and outside buildings, the dominant architectures, the symbols on the institutional crest, the graduation gowns, the university motto, the practices in the residence houses, and the arrangements for worship. The challenge was to do symbolic reparation in a national and institutional context of reconciliation.

UFS's leadership approach was to keep the best and, indeed, harmless traditions from the past, to ban humiliating traditions (such as forced initiation of first-years), but to also add new ones, such as midnight swimming in the Olympic-size pool with first-years from the residences. Schein's (1985) theory of how a culture change alludes to the leadership approach at UFS. Schein (1985) proposes that culture change occurs via the direct influence of a leader, and notes the moderating effect of the success of the leader's actions on the uptake of his or her influence within the culture. The UFS leadership team sought to replace those symbols that were exclusive or representative of one community only. In the spirit of conciliation, the goal was to be cautious, gradual and consultative in the approach, rather than have one former dominant nationalism (Afrikaner) replaced by the new dominant nationalism (African). Artwork changed; buildings were renamed, and sometimes both significant black and white professionals came to rename the new buildings; apartheid politicians honoured in names were slowly replaced with neutral names such as in most residences; and the university crest and statutes were transformed through a long process. The emotional capacity for changing too many things at the same time had to be taken into account so that traditional residents remained even as new residents came in.

6.2.3.3 The clash of "martyr-logical" memories among students

Black students harbour and act on a powerful memory of apartheid hurt. They hear stories about the terrible past and act on such knowledge and attendant emotions. While they might not have been "there" (they are too young to have lived under apartheid), they *feel* the legacies of those apartheid troubles in their personal circumstances - the struggle to pay for their education, the difficulties of finding affordable student accommodation, the challenges of travelling from distant townships to a city university, the pain at home because of income postponed for further study, especially among first-generation students, the hardship that comes with academic failure, and simply the general sense of poverty experienced in the face of the relative affluence of most white students in the same university.

White students also harbour more distant memories of the struggles for survival of the Afrikaners, especially after the still-unresolved trauma of the Anglo-Boer War. In the centre and on the edges of the university city, Bloemfontein, stand powerful memorials

of that century – old hurt most visibly displayed in the Women's Memorial and the War Museum. Concentration camps and cemeteries loom large in this inherited memory, as does the struggle for the single most important cultural property of those who call themselves Afrikaners – the Afrikaans language. In the minds of the second generation, their parents and alumni, the university is an ancestral home now being shared with incoming strangers. With the loss of political power on the outside, the struggle for cultural powers on the inside of remaining old institutions (universities, churches and rugby) is articulated in terms of memories of hardship.

Von Krosigk (2007, p. 26) identified emotional intelligence as a necessary attribute for effective leaders. Inspiring others is an important task of a leader, and good leaders are distinguished by their ability to inspire others without receiving negative feedback in the form of resistance to perform. Good leaders are skilled in motivating and encouraging others, which means they need to be emotionally aware of what goes on in other people's minds. "The ability to inspire people to higher performance levels is a primary objective of leadership development. Inspirational motivation is a core element of transformational leadership, a leadership style that has been proved to correlate with improved organisational performance" (De Klerk, 2007, p. 46). This definition of transformational leadership was definitely evident in the Rector's approach to changing mindsets at UFS – using emotions and motivation to encourage change.

Leadership, managing these rival memories, is certainly not easy as each group works within its own powerful, emotional frame of reference, which makes perfect sense to each side. It is important, of course, to respect these conflicting memories of martyrdom, and, at the same time, to softly engage them in ways that correct error, and seek common ground and institutional compromise without losing the social and academic attention of each side.

There is no operator's manual for university leaders to manage such complexity and yet this is the hard stuff, not the managerial routines of budgets and timetables and student housing and the like

.

6.2.3.4 The balancing of contending political goals - reconciliation and redress

No university leader can question that after the long years of colonialism and apartheid they have a serious responsibility to accelerate access to higher education for black students from disadvantaged communities and to build at pace the numbers of black professors in the academy. Raising the kinds of resources, state and non-state, to accomplish redress is a solemn undertaking, and most South African universities perform reasonably well as far as this side of the political balance sheet is concerned. The interrelationship between organisational leadership and culture is a core assumption within the field of organisational behaviour: it is even contended that creating and managing organisational culture is the most important function of top-level leaders. In essence, the understanding of the compromises made in complex organisations that are embedded in a changing society must be determined. Secondly, in acknowledging the imperatives of equity and justice that must be balanced against the demands of reconciliation and nation building.

What is less often talked about and even less practised, is a conscious effort to pursue redress, reconstruction and redistribution while at the same time promoting racial reconciliation and social cohesion within the same institutions. For some institutions, this second part of the balance sheet can be ignored. All black universities, as far as student enrolments are concerned, can ignore this imperative. The formerly white English universities often leave the impression that this is not a serious responsibility since they have always had black students in their ranks and merit, nothing else, should determine access and success. The formerly Afrikaans universities with significant numbers of black students cannot ignore this imperative.

UFS made a conscious decision to be a place known for the practice of human reconciliation. This meant keeping a visible presence of white students in the student demographic as the black student numbers grew appreciably since the middle 1990s. But how to do this credibly when there are quotas set by government departments for the number of black students in Medicine, and when perceptions among white students persist that government bursaries are for black students and not for them? De Klerk (2007, p. 49) concludes that leaders will be more equipped to lead transformation in a more personal, open, and honest manner and with more compassion. The cost of not

providing leadership to help people deal with their grief is considerable. If leaders do not support the healing process, performance and employee retention will suffer over time.

This is difficult to manage because statistical reasoning is often displaced by emotional reasoning. A black student will often feel they have failed courses in certain faculties because of institutionalized racism; a white student will often feel that they could not gain access to the same faculty because of their skin colour.

6.2.3.5 The diversities of integrated experiences prior to university

Bercovitz and Feldman (2008, p. 69) suggest that "individual attributes, while important, are conditioned by the local work environment. In terms of personal attributes, individuals are more likely to participate if they trained at institutions that had accepted the new initiative".

In the early days in desegregation, students at UFS came mainly from two kinds of schools: white, Afrikaans, middle-class schools (the traditional clientele of UFS) and black, poor, township schools. Then and now, these school types remain almost completely segregated, even though small numbers of black children enter the traditional Afrikaans schools. Those entering university from these two streams of schooling were the ones who faced off in the residences and in the once party-political blocs that defined the dominant student engagement outside of the lecture halls.

It was clear that UFS needed to diversify the background experiences of the incoming student populations if the university was to stand any chance of enriching the experiences of living and learning together. The small numbers of students from integrated schools struggled initially as they tried to make sense of the rigid lines of separation and the palpable sense of animosity between black and white. Some dropped out. Others moved off campus to live in private residences. Several found themselves forced into making a choice based on epidermal loyalties – black students cornered into black social and political arrangements, and white students forced into white social and organisational blocks. The daily battles on campus and in residences were drawn strictly along racial lines, and its more public manifestation was in a destructive student politics.

However, as more black and white students enrolled from integrated schools and as training and mentorship, among other interventions, started to create safe spaces for non-racial engagements, the harshness of racial experiences and the rigidity of separate living starting to give way to non-party political, and therefore non-racial, affiliations. This was critical to the possibility of a new kind of student campus culture.

But, and this is crucial, racial alignments do not entirely disappear. Strong political interference from outside the campus persists in defining student relations, and therefore race relations, in epidermal terms. However this was now a minority culture overwhelmed, to a large extent, but a new kind of politics based on ever-increasing tolerance, embrace and solidarity in the face of challenges students and communities struggled to overcome.

6.2.3.6 The interference of party politics from outside the campus

Hall and Thelen (2007, p.13) argue that there is no doubt that developments in the international political economy are important stimuli for contemporary institutional change. A good deal of the politics surrounding institutional stability flows from the loose coupling between self-interest and institutions. From the broadly rationalist perspective, the durability of an institution can rest substantially, if rarely wholly, on how well it serves the interests of the relevant people. Where an institution fails to serve those interests, it becomes more fragile and susceptible to defection from its rules. "But the calculation about whether an institutional practice serves the people's interests is a complex one, dependent on a range of considerations. It entails balancing the multiple interests any single person has in a potential course of action, where time discounts and estimates about the effects of one's actions matter" (Hall and Thelen, 2007, p.7).

In a poor region of the country, where the university is one of the top two or three employers, and where facilities, work and resources appear to be freely available, the institution becomes a target of the local politicians. In the hubris of the ruling party, it has to control not only the political sphere on the outside but it must also dominate institutional politics inside universities.

UFS is particularly vulnerable since it is the only functioning university in the region. it is perceived as white and privileged; it is regarded as independent and autonomous in the practice of higher education, i.e. not beholden to external political parties; and it does not organise its Student Representative Council as a mirror image of parliamentary politics on the outside i.e. students vote only for political parties. The Reitz incident becomes an almost permanent rallying point for a racial change irrespective of what actually happens on the campus with respect to transformation.

The problem with UFS was that strictly party political student representation divided students into racial camps, which reinforced the segregation and emboldened the racism, from each side, that paralysed the university. While political parties are registered and active on campus, the fact that the SRC is not a replica of parliamentary politics irritates the politicians on the outside and their student "deployees" on the inside of the campus.

This is a difficult dimension of change - how to open the university to full political expression yet at the same time allowing for other kinds of social activism (cultural, sports, the arts, environmental etc) that is not reduced to party politics and that does not trap students in racial categories of organisation? How, moreover, does a university insist on its autonomy in the face that dictates from the dominant political party in the country?

The management of political forces outside a university is complex and difficult, especially in a young democracy where boundaries of autonomy and accountability are constantly negotiated. External politics cannot be ignored, nor should it be adored; managing such relationships with respect to external authorities but at the same time in defence of independent institutions is perhaps the most challenging task of leadership in a place like South Africa.

By also divesting himself of everything negative displayed during the times of his own political struggle, such as aggression, authoritarianism, anger and agitation, the Rector achieves the amazing comportment of a humane and compassionate leader at UFS, in a post-apartheid South Africa – similar to the leadership traits of President Nelson Mandela (Von Krosigk, 2007, p. 25).

6.3 Conclusion

Organisational Change: It is difficult to describe an ongoing institutional journey of transformation in a disembodied way. The Rector states that he is 'here', in the vortex of change, in a very real physical, emotional, spiritual, intellectual and political sense. He is conscious of the fact that he is the first black Vice-Chancellor of a century-old institution, and that, for many of the campus citizens, is not irrelevant in how they judge the pace and purpose of change. Too slow, for some black students and colleagues; too fast, for some white students and colleagues; about right, for others. He is told regularly by white alumni and insiders that they either expected the worst, or that little would change. Many felt the new leader would not last very long.

UFS was built and will always be acknowledged for its embedded Afrikaans culture and this must not change. The rector argued "there is so much of change happening at UFS, that if we lose the dire sense of belonging, which is the language of Afrikaans for most, then we lose the cultural strings attached to UFS – this must not change".

It is true, the Rector is despondent when occasionally there is racial backsliding in a crisis, and when some colleagues or students simply cannot or will not embrace the kinds of messages of change and inclusion. It is also true that he is overjoyed that so many students and staff raise their hands to lead the change, even if the meanings of that change are not yet clear. And he does feel deep empathy when witnessing the struggle to change, to question previous certainties, and to grapple with new challenges.

Leadership Style: Leadership at UFS was built on five key success factors, namely, (a) stand by his / her position, (b) convince layers of leadership, (c) be adaptable to the unique dynamics of change, (d) using a performance management process and, (e) creating the need for people at different levels of leadership to sustain change.

Throughout, the Rector is conscious of his own troubled history, his own woundedness, his own sense of the need for personal transformation. It is, paradoxically, that sense of weakness that gives him strength. It is that awareness of incompleteness that seems to draw people to engage their personal journeys within a broader institutional journey.

It is not self-confidence but self-criticism that enables critics to suspend judgment and to allow introspection.

That acute sense of personal weakness conveys a deep understanding that you cannot presume to change others unless you have confronted your own demons, and that you cannot lead alone. The range and depth of competences required to lead a multi-campus institution that captures within its 30 000 members (staff and students) all the travails of a troubled country, demands a senior team of outstanding fellow leaders. It is important to establish leadership – today, everyone is part of management and all levels are informed about the new process and future change.

Organisational Leadership and Culture: Institutional transformation is a mechanism of social justice. For a policy to be accepted it must serve both the hard and soft approaches. Leadership is needed to strike the balance between a regulatory framework that is very harsh and cut-throat, and a policy implementation regime that has a human face. This policy implementation regime is linked to the aspect of a humanitarian approach. The Rector declares "Transformation is not a headcount, but a change in attitude and the reason we are stuck on race is because we are too focused on group identity instead of social cohesion"

Yet throughout this journey, the Rector has been astounded, over and over again, by the capacity of human beings to change and to see beyond the epidermis. But this does not happen easily or quickly. Transformation of the kind envisaged here takes a long, long time.

The next chapter will focus on a summary of the key findings of the research study and its applicability to other institutions and environment. Some information is shared on the limitations of the study, together with topics for future studies.

CHAPTER 7: CONCLUSION

7.1 Summary of findings

The Rector of the UFS created a culture of openness, transparency, and respect for everyone to accept, acknowledge, and learn from others. For leadership and management, there was a compromise on hard and soft management approaches. A hands-on management style drives a culture of shared values and respect – social and informal management is a huge compromise for any leader or manager but is the major part of success when it comes to change.

The Rector exclaims, "Transformation is not a headcount, but a change in attitude and the reason we are stuck on race is because we are too focused on group identity instead of social cohesion."

The idea of social cohesion played a critical role during the institutional transformation at the UFS and seems to be a key variable. Cultural belonging is another key factor is ensuring sustainability of organisational change. The Rector argued: "There is so much of change happening at UFS, that if we lose the dire sense of belonging, which is the language of Afrikaans for most, then we lose the cultural strings attached to UFS - this must not change".

The Rector's office staff believe that the Rector's approach as a leader at UFS was built on five key success factors: (a) standing by his position; (b) convincing successful layers of leadership; (c) being adaptable to the unique dynamics of change; (d) utilising a performance management process; and (e) creating the need for people at different levels of leadership to sustain change

Leadership should follow a humanitarian approach to stabilise culture and rise above the challenges of racial and political issues, and to enhance academic results. It was imperative that the Rector made a decision and stood by it at all times. He had assistance from public figures and external speakers in South Africa who brought with them extensive knowledge, experience, and understanding of the impact of needed change and the reason to change mindsets.

The Rector has been astounded, again and again, by the capacity of human beings to change and to see beyond the epidermis. However, this does not happen easily or quickly. Transformation of the kind envisaged here takes a very long time.

7.2 Future Studies

This study not only addressed the research questions raised at the beginning of this study, but also uncovered additional issues to be addressed and explore in future research. Further studies can take place, using this as a basis of institutional transformation.

Some ideas for future topics are:

- Diversification is in itself a new topic of transformation, i.e. student diversity, intellectual diversity, and knowledge diversity. In this sense, knowledge generation is the foundation of a new knowledge;
- The effects of social media, journalist articles and internal / external images on the pace of transformation at UFS;
- The current success of past students who graduated from UFS between 2008 and 2012. Align this to the student leaderships' style at the University of Stellenbosch and University of Pretoria as opposed to the UFS;
- Understanding employees' reactions to a planned organisational change and the contradictions and cohesion between academic staff, administrators, and students;
- After a few years, developing a case study on the sustainability of transformation efforts and initiatives during the process of institutional transformation at UFS.

It can be concluded that, while much has been uncovered from this study on the three pillars of institutional transformation, there is still much to learn.

7.3 Applicability of the study to other institutions

This study contributes to both theory and practices in the areas of institutional transformation, namely, organisational change, leadership, and organisational culture. At the heart of this study, outcomes reflect the process of institutional transformation as a distinct construct. Findings from the study uncovered a number of practical,

regulatory, and policy-related issues, together with variations, complexities, and challenges with respect to institutional transformation context. A further dimension to this study was the examination of institutional transformation specific to UFS. The theoretical and practical contributions of each of the findings considered in the previous chapters can be generalised into the private and public sector anywhere in the world. The findings reveal specific factors that can be used in the context of institutional transformation, and can be well governed across any industry or location.

7.4. Limitations of the study

This study has examined the institutional transformation efforts at UFS under a single leadership and during a specific period. Although this study provides an account of activity undertaken at UFS, other universities in South Africa and other countries were beyond the scope of this research. Likewise, institutional transformation undertaken by private sector organisations in South Africa and abroad was also outside its scope.

Although this research is based on the findings at UFS, it can be hypothesized that the findings can apply to other educational institutions, as well as private sector institutions within SA. Many general findings emerge from this study that should be relevant to most organisations' transformational settings, irrespective of their industry.

The start of a new democracy in South Africa during 1994 initiated a period of intense social, political, and economic change in the region. The institutions of society–including political systems, laws, regulations, financial markets and underlying assumptions about the purpose of economic activity–had a significant impact on all organisations. Transformation was necessary for most organisations, because the resources and capabilities necessary to function effectively under central planning were very different from those necessary in market-driven economies. Yet, extreme uncertainty in the institutional context made transformation problematic (Newman, 2000, p. 603).

REFERENCES

Atkinson, P., Mackenzie, R., & Thomson, J. (2010, Autumn). From recession to recovery: Tangible transformation in organisational performance. *Institute of Management Services*. 35-39. Retrieved from http://www.ims-productivity.com/user/custom/journal/2010/winter/MSJ%20Winter%202010%20LRes.pdf

Avey, J.B., Wernsing, T.S., & Luthans, F. (2008), Can positive employees help positive organizational change? Impact of psychological capital and emotions on relevant attitudes and behaviours. *The Journal of Applied Behavioral Science 44*(1) 48-70. doi 10.1177/0021886307311470

Badsha, N., & Cloete, N. (2011), *Higher education: contribution for the NPC's national development plan.* Cape Town: CHET.

Bass, R. M. (1981). *Stogdill's Handbook of Leadership.*, New York: The Free Press.

Beer, M., & Nohria, N. (2000). Cracking the code of change. *Harvard Business Review*, *78*(3), 133-141.

Bercovitz, J., & Feldman, M. (2008), Academic entrepreneurs: Organizational change at the individual level. *Organization Science 19(*1), 69-89.

Blumberg, B., Cooper, D.R., & Schindler, P.S. (2005) *Business Research Methods*. (2nd ed.) Maidenhead: McGraw Hill Education

Bond, C., & Seneque, M. (2012). Exploring organisational identity in the context of transformational change: A South African case study. *Journal of Change Management, 12*(1), 13-30.

Burnes, B. (2004). *Managing change: A strategic approach to organisational dynamics.* (4th ed.) Harlow: Prentice Hall.

Carlson, D.S., & Perrewe, P.L. (1995). Institutionalization of organisational ethics through transformational leadership. *Journal of Business Ethics, 14*(10), 829-838. Retrieved from http://www.jstor.org/stable/25072704

Carson, J.L., Lynch, M.S., & Madonna, A.J. (2011). Coalition formation in the House and Senate: Examining the effect of institutional changeon major legislation. *The Journal of Politics*, *73*(4), 1225–1238. doi:10.1017/S0022381611000909

Cele, N., & Menon, K. (2006), Social exclusion, access and the restructuring of higher education in South Africa. *South African Journal of Higher Education, 20*(3), 400-412.

Child, J. (1972). Organisational structure, environment and performance: The role of strategic choice. *Sociology*, *6*, 2-22.

Council on Higher Education. (2012), *Comment on the green paper for post-school education and training.* Pretoria: Council on Higher Education.

De Klerk, M. (2007), Leading the traumatised organisation towards wellness. *Management Today*, 23(3).

De Waal, M. (2011, April 13). The beautiful mind of Jonathan Jansen. *Daily Maverick*. Retrieved from http://dailymaverick.co.za/article/2011-03-08-the-beautiful-mind-of-jonathan-jansen

Duden, A. (2011). Trust and leadership: Learning culture in organisations. *International Journal of Management Cases. 13*(4), 218-223.

Eckel, P.D., & Kezar, A.J. (2012), *Taking the reins: Institutional transformation in higher education.* Lanham, MD: Rowman & Littlefield.

Eisenhardt, K., & Graebner, M. (2007). Theory building from cases: Opportunities and challenges. *Academy of Management Journal, 50*(1), 25-32.

Elsner, W. (2012). The theory of institutional change revisited: the institutional dichotomy, its dynamic, and its policy implications in a more formal analysis. *Journal of Economic Issues. 46* (1), 1-44.

Featherman, D.I., Krislov, M., & Hall, M. (2009), *The next 25 years: Affirmative action in higher education in the United States and South Africa*. University of Michigan Press.

Gagliardi, P. (1986). The creation and change of organisational cultures: A conceptual framework. *Organisation Studies*. *7*, 117-134.

Gapp, R., & Fisher, R. (2008). Achieving organisational transformation: An action learning approach. *Total Quality Management*. *19*(6), 609–625.

Giberson, T.R., Resick, C.J., Dickson, M.W., Mitchelson, J.K., Randall, K.R., & Clark, M.A. (2009), Leadership and organizational culture: Linking CEO characteristics to cultural values. *Journal of Business and Psychology 24*, 123-137. doi 10.1007/s10869-009-9109-1

Gilley, B. (2008). Legitimacy and institutional change: The case of China. *Comparative Political Studies, 41*(3), 259-284. doi: 10.1177/0010414007308020

Glick, P. (2007, May 27) Asking the right questions to assess an organization's culture. [Web log post]. Retrieved from http://leveragingknowledge.blogspot.com/2007/05/asking-right-questions-to-assess.html

Graetz, F., & Smith, A.C.T. (2010). Managing organisational change: A philosophies of change approach. *Journal of Change Management*, *10*(2), 135-154.

Hall, P.A., & Thelen, K. (2007). Institutional Change in Varieties of Capitalism. (Working Paper 2008-0037). Harvard University: Weatherhead Center for International Affairs

Hatch, M.J. (1993). The dynamics of organizational culture. The Academy of Management Review 18(4), 657-693. Retrieved from: http://www.jstor.org/stable/258594

Hatch, M.J. (2000). The cultural dynamics of organising and change. In N. Ashkanasy, C. Wilderom, & M. Peterson (Eds.), Handbook of organisational culture and climate. (pp. 245-260). London: Sage.

Hatch, M.J. (2004). Dynamics of organisational culture. In M.S. Poole & A.H. Van de Ven (Eds.) *Handbook of organisational change and innovation*. Oxford University Press.

Jansen, J.D. (2009a), *Knowledge in the blood: Confronting race and the apartheid past*. California: Stanford University Press.

Jansen, J.D. (2009b), When politics and emotions meet: Educational change in racially divided communities. *Phi Delta Kappan 90*(5), 327-332.

Kotter, J.P. (2007). Leading change: Why transformation efforts fail. *Harvard Business Review*. Retrieved from http://hbr.org/2007/01/leading-change-why-transformation-efforts-fail/ar/1

Kuo, H. (2009). Understanding relationships between academic staff and administrators: An organisational culture perspective. *Journal of Higher Education Policy and Management. 31*(1), 43-54.

Lawrence, T.B., & Zietsma, C. (2010). Institutional work in the transformation of an organisation field: the interplay of boundary work and practice work. *Administrative Science Quarterly, 55*(2), 189-221.

Martin, J. (2002). *Organisational culture: Mapping the terrain.* Thousand Oaks, CA: Sage.

Martin, R. (2007). How successful leaders think. *Harvard Business Review 85*(6).

Nasim, S. & Sushil (2011). Revisiting organisational change: Exploring the paradox of managing continuity and change, *Journal of Change Management, 11*(2), 185-206.

Newman, K.L. (2000). Organisational Transformation during Institutional Upheaval. *Academy of Management Review. 25*, 602-619.

Oliver, C. (1992). The antecedents of deinstitutionalisation. *Organisation Studies*, *13*, 563-588.

Odendaal, P. (2012, August 6), *Open letter to Professor Botman, Vice-Chancellor and Rector of Stellenbosch University*, retrieved from: http://bonfiire.com /stellenbosch

/2012/08/06/open-letter-to-professor-botman-vice-chancellor-and-rector-of-stellenbosch-university/

Parry, K.W., & Proctor-Thomson, S.B. (2002). Perceived integrity of transformational leaders in organisational settings. *Journal of Business Ethics*, *35*(2), 75-96. Retrieved from http://www.jstor.org/stable/25074659

Pascale, R.T., Millemann, M., and Gioja, L. (1997). Changing the way we change. *Harvard Business Review*. *75*(6), 126-139.

Pietersen, H. (2007, February). Organisational leadership: thoughts in perspective. *Management Today,* 23.

Poole, M.S., and Van de Ven, A.H. (2004). *Handbook of organisational change and innovation.* Oxford University Press.

Probart, R. (2007). Resilient leadership and organisational wellness. *Management Today*, 23(3).

Reitz Four incident 'forgiven and cleansed'. (2011, February 26). *City Press*. Retrieved from http://www.citypress.co.za/SouthAfrica/News/Reitz-Four-incident-forgiven-and-cleansed-20110226

Sample behavioral interview questions: Leadership, (2011). Retrieved from Best SampleQuestions: http://www.bestsamplequestions.com/sample-behavioral-

interview-questions/sample-behavioral-interview-questions-leadership/sample-behavioral-interview-questions-leadership.html

Saunders, M., & Lewis, P. (2012). *Doing research in business and management*. Pearson: Edinburgh Gate.

Scharmer, C.O. (2009). *Theory U: Learning from the future as it emerges.* San Francisco, CA: Berrett-Koehler.

Schein, E.H. (1985). *Organisational culture and leadership.* San Francisco: Jossey-Bass.

Schein, E.H. (1992). *Organisational culture and leadership* (2nd ed.). San Francisco: Jossey-Bass.

Schneider, M. (2002). A stakeholder model of organisational leadership. *Organisation Science*, *13*(2), 209-220. Retrieved from http://www.jstor.org/stable/3085994

Seekoei**,** K. (2011, February 04). Taking the baton from Tutu. *Mail and Guardian.* Retrieved from http://mg.co.za/article/2011-02-04-take-the-baton-from-tutu

Sondhi, R. (2007). Total leadership: believing and thinking the unbelievable. *Management Today*, 23(3).

Soudien, C. (2010). Who takes responsibility for the Reitz four? Puzzling our way through institutional transformation in South Africa, *South African Journal of Science 106*(9/10), 1-4.

Todnem, R. (2005). Organisational change management: A critical review, *Journal of Change Management*, *5*(4), 369-380.

Van Dam, K., Oreg, S., & Schnyns, B. (2008). Daily work contexts and resistance to organisational change: The role of leader–member exchange, development climate, and change process characteristics. *Applied Psychology,* 57(2), 313-334. doi: 10.1111/j.1464-0597.2007.00311.x

Von Krosigk, B. (2007). A holistic exploration of leadership development. *South African Journal of Business Management. 38*(2).

Weick, K. & Quinn, R.E. (1999). Organisational change and development. *Annual review of Psychology, 50*, 361-386.

Yin, R.K. (2003). Case study research: design and methods. In M. Kane & W.M.K. Trochim (Eds.), *Concept Mapping for Planning and Evaluation. (*Chapter 5). **doi:** 10.4135/9781412983730

Zhenga, W., Yang, B., & McLean, G.N. (2010). Linking organizational culture, structure, strategy, and organizational effectiveness: Mediating role of knowledge management. *Journal of Business Research, 63*(7), 763–771. Retrieved from http://dx.doi.org/10.1016/j.jbusres.2009.06.005

Zucker, L.G. (1986). Production of trust: Institutional sources of economic structure, 1840-1920. In B. Staw & L.L. Cummings (Eds.), *Research in organisational behaviour* (Vol. 8, pp. 53 - 111). Greenwich, CT: JAI Press.

APPENDIX A: TYPICAL QUESTIONS

SEMI-STRUCTURED AND EXPERT INTERVIEW QUESTIONNAIRES

Theme 1: Organisational Change:

Define Change: the process of continually renewing an organisation's direction, structure, and capabilities to serve the ever-changing needs of the people.

UFS has gone through a lot of change over the last four years (2008 onwards).
Q: Would you define the change at UFS as being driven by a single person, or do you see it as a collaborative approach by staff / management to embedding the change?

Top Management sometimes has a vision of change and transformation.
Q: How did the different levels of management understand the change needed and get buy-in of this strategy? Was any resistance experienced?

Change usually takes place when certain problems are identified.
Q: What were the problems identified at UFS?

Management usually plays a role in facilitating change.
Q: What role did management play in implementing change? How often did the goals and strategy change throughout the organisation?

Q: What were the challenges to bring about these changes? How were these addressed?

Q: Which of these change strategies were less successful or more successful?

Theme 2: Leadership

Q: Can you name a person who has had a great impact on you as a leader? Maybe someone who has been a mentor to you? Why and how did this person impact your life?

Q: What are the most important decisions you make as a leader at UFS? What are the values and leadership traits that allow you to make decisions?

Q: How do leaders at UFS communicate the core values? Were they successful or not? Do you encourage this method or would you do it differently?

Q: What were some of the leadership mechanisms used to create an impact of change? Were they formal, informal or social? What would you say were more successful to create an impact of change?

Q: What is one characteristic that you believe every leader should possess? What are the core values?

Q: What are the biggest challenges that you faced / are facing pertaining to transformation at UFS?

Q: What are some of the mistakes you witness / witnessed leaders making over the last four years at UFS? What were some of your mistakes?

Q: How would you interpret Prof Jansen's leadership style? Did you observe any changes in his leadership style over the last four years?

Q: What advice would you give someone going into a leadership position at UFS for the first time? How would you support them? What support do they get from UFS?

Q: When the new SRC is elected annually, what did you and management do to expose the SRC to the new challenges and issues of UFS? How did you all create a common vision?

Theme 3: Culture

Unpack Culture: understanding the value sets of the organisation and the impact of changing these values.

Q: How would you describe the organisational culture at UFS four years ago? How would you describe it today?

People come from different backgrounds, diverse cultures, diverse sex, races and religions.
Q: How do you deal with this cultural diversity? How do you accommodate cultural diversity and practices at UFS? What are the sorts of conversations at UFS, in terms of, diversity?

The next question will surround itself around an old adage, that is, does culture drive structure, or does structure drive culture?
Q: What were some of the structures put in place to support the strategy and the implementation of the culture?

Q: What are the academic skill sets, value systems and culture you look at when promoting or employing people at UFS? How do you recognise and promote different cultural issues?

Q: What type of culture are you trying to express and build at UFS? What is the cultural vision?

APPENDIX B: TYPICAL QUESTIONS

SEMI-STRUCTURED INTERVIEW QUESTIONNAIRES

Theme 1: Organisational Change:

Define Change: the process of continually renewing an organisation's direction, structure, and capabilities to serve the ever-changing needs of the people.

UFS has gone through a lot of change over the last four years (2008 onwards)
Q: Would you define the change at UFS as being driven by a single person, or do you see it as a collaborative approach by staff / management to embedding the change?

Change usually takes place when certain problems are identified.
Q: What were the problems identified at UFS?

Q: What do you think were some of the challenges to bring about these changes?

Q: How were these addressed?

Q: Which of these change strategies were less successful or more successful?

Theme 2: Leadership
Q: Can you name a person who has had a great impact on you as a leader? Maybe someone who has been a mentor to you? Why and how did this person impact your life?

Q: What are the core values and leadership traits at UFS that allows a leader to make decisions?

Q: How do leaders at UFS communicate the core values? Were they successful or not? Do you encourage this method or would you do it differently?

Q: What were some of the leadership mechanisms used to create an impact of change? Where they formal, informal or social? What would you say were more successful to create an impact of change?

Q: What is one characteristic that you believe every leader should possess? What are the core values?

Q: What are the biggest challenges that you faced / are facing pertaining to transformation at UFS?

Q: What are some of the mistakes you witness / witnessed leaders making over the last four years at UFS?

Q: How would you interpret Prof Jansen's leadership style? Did you observe any changes in his leadership style over the last four years?

Theme 3: Culture

Unpack Culture: understanding the value sets of the organisation and the impact of changing these values.

Q: How would you describe the organisational culture at UFS four years ago? How would you describe it today?

People come from different backgrounds, diverse cultures, diverse sex, races and religions.
Q: How do you deal with this cultural diversity? How does UFS accommodate cultural diversity and practices? What are the sorts of conversations at UFS, in terms of diversity?

Q: What type of culture do you think is trying to be expressed and built at UFS? What is the cultural vision?

APPENDIX C: LIST OF RESPONDENTS

SEMI-STRUCTURED AND EXPERT INTERVIEW QUESTIONNAIRES (SENIOR LEADERSHIP AT UFS)

Interview	Designation	Gender	Race
UFS Leadership Team			
1	Dean: Student Affairs	Male	White
2	Deputy Director: Archives for Contemporary Affairs (INCH)	Female	White
3	Director: Divison Strategic Communications	Female	White
4	Director: International Institute for Race, Reconciliation and Social Justice	Male	Coloured
5	Lecturer: International Institute for Race, Reconciliation and Social Justice	Male	White
6	Rector and Vice-Chancellor at the UFS	Male	Black
7	Research Assistant to the Rector of the UFS	Female	Black
8	SRC President	Male	White
9	Adviser to the Rector of the UFS	Female	Black
10	CEO of UVPERSU: Labour Unions at the UFS	Female	White
11	Post-graduate SRC representative on Transformation	Female	Black

APPENDIX D: LIST OF RESPONDENTS

SEMI-STRUCTURED INTERVIEW QUESTIONNAIRES

(PARENTS AND STUDENTS FROM UFS)

Interview	Designation	Gender	Race
UFS Parents and Students			
1	Student: BSc Agriculture	Female	White
2	Student: BSocial Science - Communications	Female	White
3	Student: BComm - Business Economics	Male	White
4	Student: LLB - Law	Female	Coloured
5	Student: BSocial Science - Social Work	Female	Coloured
6	Parent of student at the UFS	Male	White
7	Parent of student at the UFS	Male	White
8	ex-Student UFS: Now Journalist at the OFM Radio Station	Female	White
9	Student: LLB - Law	Male	Black
10	ex-Student UFS: Now Attorney	Male	Coloured