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Contemporary leadership behaviour enabling leadership effectiveness in a public university

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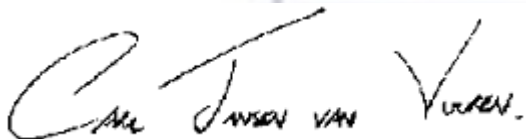
A place of quality,
a place to grow, from hope
to action through knowledge

DECLARATION OF AUTHENTICITY

I declare that the present study, *Contemporary leadership behaviour enabling leadership effectiveness in a public university*, is my own work, that it has not been submitted for any degree or examination to any other university, and that all the sources I have used or quoted have been indicated and acknowledged by complete references.

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ABSTRACT

The purpose of the present study is to enrich academic knowledge, the understanding of management theory, and professional management practice for leaders in a South African Higher Education Institution (HEI) under volatile, uncertain, complex, and ambiguous (VUCA) conditions.

Due to increased globalisation and rapid changes in the technological, social, economic, and political spheres, the environment in which organisations function has become increasingly VUCA. These factors create a unique set of challenges for the leaders of these organisations. Traditionally tested and proven methods of leading organisations no longer guarantee high performance. The dynamic environment is challenging leaders to find new ways to be successful. To further complicate matters, the speed, frequency, and intensity with which the organisational environment is changing are ascending in nature. The field of Higher Education in South Africa demonstrates the challenges and opportunities VUCA imposes on organisational leadership.

Globally, HEIs are subject to a host of forces that dually drive development and challenge the status quo: new university business models, changes in social attitudes, economic crises, competition in the adult education market, internationalisation, and rapid technological advancements. Within the context of South African HEIs, a differentiated and detailed strategy is required to manage each of the VUCA components individually. These challenges highlight a gap in current management theory with regard to understanding contemporary leadership behaviour in HEIs.

This study therefore aimed to identify the leader characteristics and influencing factors of effective leadership in a VUCA environment from the extant literature, and then investigate these characteristics and factors at a South African public university to understand how they are experienced in practice. A review of the prominent contemporary leadership theories from the management literature provided a model for effective leadership in VUCA conditions consisting of 11 leader characteristics and four key influencing factors.

A qualitative research approach was employed to apply the leadership model to a South African HEI. An empirical study was conducted through semi-structured

interviews with 24 employees in leadership positions at a single public university. The questionnaire consisted of four open ended and 15 directed questions. To test the research participant perceptions as to the significance of these leader characteristics, a Likert scale was included with the 11 leader characteristic questions. A rigorous 16-stepwise method was used to analyse the qualitative data from the open-ended questions within a directed qualitative content analysis. Quantitative research methods were used to conduct a frequency analysis of the ratings data of the leader characteristics.

The major findings of the study include theoretical and empirical support for 11 leader characteristics, i.e., empowerment, trust, level of engagement and commitment, teamwork, innovation, communication, ethics, emotional intelligence, collaboration, consensus seeking, and mindfulness, to enhance leader effectiveness under VUCA conditions. There is furthermore theoretical and empirical evidence to support four influential factors, i.e., organisational culture, the role of women in leadership, the role of millennials in leadership and diversity, impacting leader effectiveness.

The significance of the present study is the potential contribution to leadership theory and the valuable insights for leaders in HEIs to be effective in the face of VUCA. Based on the theoretical findings of key leadership characteristics and influential factors, the study provides a model for effective leadership under VUCA conditions. As the model indicates, of profound importance is the premise that effective leadership does not only depend on the leader's characteristics, competencies, and experiences, but equally on a conducive work environment. Recommendations for university leaders to better develop leaders and create an enabling environment for effective leadership to navigate VUCA are provided.

Key words: Leader effectiveness, Higher Education, volatility, uncertainty, complexity and ambiguity (VUCA), contemporary leadership styles, leadership characteristics, and influential factors impacting leader effectiveness.

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Chapter 1: INTRODUCTION

A leader...is like a shepherd. He stays behind the flock, letting the most nimble go out ahead, whereupon the others follow, not realizing that all along they are being directed from behind. – “Long Walk to Freedom, The Autobiography of Nelson Mandela” written by Nelson Mandela in 1994

1.1 BACKGROUND AND RATIONALE

Due to increased globalisation and rapid changes in the technological, social, economic, and political spheres, the environment in which businesses and organisations function has become increasingly volatile, uncertain, complex, and ambiguous (VUCA) (Arda, Aslan and Alpan, 2016; Saleh and Watson, 2017). This has created a unique set of challenges for the leaders of these organisations. The traditional models for effective leadership that dominate the current organisational landscape are premised on fairly stable market and environmental conditions, in which prior experience equips leaders with the knowledge they need to navigate business strategy and executive decision-making (Saleh & Watson, 2017). However, these previously tested and proven methods of leading organisations no longer guarantee high performance. The dynamic business environment and uncertain economic conditions of today are challenging leaders to find new ways to be successful. To further complicate matters, the speed, frequency, and intensity with which the organisational environment is changing are ascending in nature (Bryman, 2007; Saleh and Watson, 2017). And yet, VUCA can provide organisations with a competitive edge if leaders can master these prevailing challenges (Bennett & Lemoine, 2014). The field of Higher Education in South Africa clearly demonstrates the challenges and opportunities VUCA impose on organisational leadership.

VUCA manifests in Higher Education globally as institutions endeavour to prepare students for the Fourth Industrial Revolution where they will likely pursue careers in big data applications, machine learning, artificial intelligence, and robotics. To do this, universities are increasingly having to adapt their strategies to align with more expansive frameworks of change, such as the United Nations Sustainable Developmental Goals (United Nations, 2015). In South Africa, the South Africa's

National Developmental Plan (National Planning Commission, 2012) sets forth the locally relevant educational targets. Key challenges include eradicating poverty and inequality, and achieving the objectives set out in the Constitution. The premise is that by shaping students' skills through these graduate attribute agendas, institutions can better prepare them to function effectively in the global marketplace. In practice, this requires universities to take a hard look at their current academic offerings, curricula, and pedagogy, and revamp them to include new technologies, approaches, and structures that enhance student participation and engagement. Examples include practical incubators, audio visual learning experiences, virtual learning spaces, integrated learning initiatives, digital resources libraries, international networking for collaboration and best practices, and mastery modes of delivery. These initiatives not only have unequivocal merit, but they will profoundly shape the form and function of the future university (Frantz, 2020; Holtzhausen, 2012; Hill, Walkington, & France, 2016; Oliver & Jorre de St Jorre, 2018). However, institutional leaders in South Africa are being called to execute such changes in the context of complex systemic barriers, which were clearly highlighted during the COVID-19 pandemic (Frantz, 2020).

With the implementation of a hard lockdown in March 2020, infrastructure became a fundamental limitation for delivering virtual learning experiences. Traditional public universities were mostly unprepared for a full online delivery mode, with limited delivery platforms, slow internet speeds, and a lack of training for lecturers emerging as key barriers. Unequal access to digital media, computers, and internet across the student body presented a primary challenge. With the closure of student residences, students living in remote rural areas with no or very poor internet access were particularly affected. Even students staying in areas close to the university experienced challenges if they were living in cramped spaces with no quiet space to study. Some international students were forced to return to their countries of origin, where they experienced similar remote learning challenges.

These barriers to access did not, however, arise from the pandemic. They have been part of the greater Higher Education discourse in South Africa for the past five years. The dramatic public protests that erupted 2015, including '*#FeesMustFall*', highlighted students' frustrations with respect to curriculum, access, and financial aid

in Higher Education (CHE, 2018; Rothmann *et al.*, 2007). Once again, universities were in the main unprepared to deal with these interruptions. Although many Higher Education institutions (HEI's) experienced a serious wakeup call, they only recently implemented contingency plans to manage unforeseen VUCA conditions in the future (Soudien, 2020). In short, South Africa's institutional leaders have struggled to lead effectively in a VUCA environment, but they are not alone.

According to Bennett & Lemoine (2014), VUCA has created three problematic leadership developments in organisations more broadly. Firstly, VUCA has become a trendy way of saying “unpredictable change”. Executives, consultants, and business writers often treat the four components of VUCA as synonyms, neglecting their unique meanings and the implications thereof. Secondly, there is a lack of information about how leaders should respond to these conditions. In official press releases and public interviews, executives often speak about the difficulties of “doing business in a VUCA world”, without discussing exactly how an organisation needs to deal with these challenges. At most, they might suggest an over-simplified, general solution for all four VUCA components, such as “*be creative*”, “*innovate*”, “*be flexible*”, or “*listen more*”. Thirdly, many leaders are responding to VUCA by simply doing nothing. They realise that their traditional approaches – for example, strategy, marketing, or change management – are “obsolete”. However, the complete chaos and uncontrollability of the VUCA environment overwhelms leaders and leaves their organisations in a state of paralysis (Bennett & Lemoine, 2014; Saleh & Watson, 2017).

Capitalising on the opportunities of a rapidly changing world therefore requires a thorough understanding of the VUCA phenomenon, better management tools, and, ultimately, the sheer will of leaders to deal with increasing complexity (Bennett & Lemoine, 2014). Effective leadership in a VUCA environment like Higher Education demands unique leadership characteristics and behaviour (Osagie, 2020). New knowledge and insights that empower educational leaders with the practical know-how could be hugely beneficial to contemporary universities. This study therefore aims to identify the leader characteristics and influential factors impacting effective leadership in a VUCA environment. The behaviours and characteristics of current

leaders within one specific South African HEI are investigated in order to establish guidelines for leader effectiveness under VUCA conditions.

1.2 PROBLEM STATEMENT

In the 21st century, HEIs must and will be required to play a pivotal role in developing a knowledge-based economy. Globally, Higher Education is subjected to a host of forces that are dually drivers of development and challenges to the status quo: new university business models, changes in social attitudes, economic crises, competition in the Higher Education market, internationalisation, and rapid technological advancements (Szelągowska-Rudzka, 2018). Saleh and Watson (2017) and Mathebula (2017) propose that a differentiated and detailed strategy is required to manage each of the VUCA components individually. Table 1.1 therefore shows how these forces map onto the dimensions of VUCA in a South African context.

Table 1.1 VUCA in Higher Education, as adapted from Lemoine, Hackett, and Richardson (2016) and Saleh and Watson (2017)

Definition	Examples and suggested redress
Volatility represents the pace, volume, and magnitude of change in the organisational environment. Although the causes of the change are known, the frequency of the change is unpredictable.	Example: International economic markets have been quite volatile in recent years, underscored by recessions, political tensions between the world's biggest economies, health pandemics, and a lack of ethical leadership manifesting in unprecedented corruption. The aggregate of all these challenges leaves nations with decreasing resources and less government support for public universities, whilst still demanding increased productivity from HEIs. Suggested redress: <i>Agility</i> is key to coping with volatility. Resources should be aggressively directed toward building slack and spare capacity to create the potential for future flexibility.
Uncertainty occurs when the future cannot be predicted confidently, there is a lack of knowledge about a situation or an event, and the development of long-term strategic decisions is difficult.	Example: Infrequent and unpredictable events such as the #FeesMustFall protests in South African or a global pandemic, which disrupt ordinary routines for HEIs. Suggested address: <i>Information</i> is critical to reducing uncertainty. HEIs should move beyond existing information sources to both gather new data and consider it from new perspectives.
Complexity involves the interconnected parts, networks, and procedures within an organisation and in the external environment. These things might	Example: Local industry skills demand is changing at an accelerated pace. Skills to meet the needs for the Fourth Industrial Revolution is complex and require research and close collaborating with industry.

<p>even be unidentifiable and/or contradict with each other.</p>	<p>Suggested redress: <i>Restructuring</i> internal HEIs' operations, to match the external complexity is the most effective and efficient way to combat complexity.</p>
<p>Ambiguity represents the diversity of potential results and/or the confused options presented by a situation or an event in which the outcome cannot be clearly described.</p>	<p>Example: The transition from print textbooks to digital media (e.g., e-books with audio-visual learning capabilities, online video tutorials, online modes of delivery, and institutional repositories) has been ambiguous. HEIs are still learning how students and lecturers will access and experience eLearning given new technologies.</p> <p>Suggested redress: <i>Experimentation</i> is necessary for reducing ambiguity. Only through innovation and intelligent experimentation can educational leaders determine what strategies are and are not beneficial in situations where the former rules of teaching and learning, and research, no longer apply.</p>

The 2016 Council of Higher Education (CHE) review elaborates on the VUCA conditions in South Africa: *“Higher education in South Africa in the post-apartheid era has never been more volatile than it is currently, some two decades into democracy, yet it is, contradictorily, perhaps the part of the entire education sector that has advanced most in terms of achieving national goals of quality, equity, and transformation”* (CHE, 2016, p. 10). High Educational leaders in South Africa face challenges at various levels of administration. At National Government level, governance and the sequestration of public universities threaten the sustainability of the Higher Education sector (CHE, 2016). Within the institution, leaders find it challenging to successfully lead their teams, faculties, directorates, divisions, or departments due to academic and administrative under-resourcing. The limited capacity of the academic staff, and the occupational stress they experience as a result, is detrimental to the quality of learning institutions can provide and including the pressure on administrative leaders. Poor pass rates and throughput rates from the public schooling system exacerbate these issues.

South African educational leaders need to find immediate solutions tailored to these specific challenges (Rothmann *et al.*, 2007; CHE, 2018). It is pivotal that they adopt a new mindset which is sensitised to the risks of VUCA, and as well as contemporary leadership characteristics and behaviours. Furthermore, a thorough understanding of the different components of VUCA and the leadership strategies for practically

combatting these phenomena is needed. Lastly, a sound comprehension of the factors in the educational environment impacting on leadership effectiveness is required (Badroodien & Fataar, 2020; Frantz, 2020; Soudien, 2020).

And yet, there is limited research on the leadership behaviour that leads to this kind of transformation in Higher Education in South Africa, or elsewhere. There seems to be a gap in current management theory with regard to understanding contemporary leadership behaviour in Higher Education. Bryman (2007) and Siddique *et al.*, (2011) postulate that there is a good deal of anecdotal reflection on the educational leader, but remarkably little systematic research on what aspects enable leadership effectiveness. Furthermore, literature on leadership effectiveness or best management practices under VUCA conditions is scarce, with some of the literature only providing generalised and informal evidence (Mathebula, 2017; Saleh & Watson, 2017). The present study therefore seeks to enrich academic knowledge, the understanding of management theory, and professional management practice for leaders in South African HEIs.

1.3 A SYNOPSIS OF LITERATURE REVIEW

The literature review in Chapter 2 provides an overview of prominent leadership themes and theories from the management literature. Furthermore, the review explores the unique conditions of the global economy in the 21st century namely, volatility, uncertainty, complexity, and ambiguity to provide a framework for examining Higher Education leadership in South Africa. The VUCA framework is formally presented and scrutinised.

The concept of leadership is defined and discussed, followed by traditional leadership theories to provide context and a brief historic overview of leadership development. Contemporary leadership is scrutinised, differentiating between servant, adaptive, transformational (or charismatic), authentic (or values-based), and team (or shared or distributed) leadership styles.

Northouse (2019, p. 43) defines “*leadership is a process whereby an individual influences a group of individuals to achieve a common goal*”. This definition has been

adopted for the present study. Also, within and among the contemporary leadership styles, the associated leader characteristics and influential factors were explored. Klingborg *et al.*, (2006, p. 281) describe leader characteristics as: “A *critical thinker, a risk taker, a visionary. Innovative, courageous, creative, forward thinking, open to change, able to learn from and overcome failure.*

Efficient, detail oriented, a good delegator, organized, persistent, administrative. A team builder, a continuous learner, able to get along with people. Honest, dependable, competent, supportive, fair-minded, cooperative, respectful, motivating, values-driven, inspiring, resilient, patient, tenacious, credible, balanced, emotionally mature.”

For the purposes of the present study as prescribed in Table 1.2, 11 leader characteristics, and four influential factors impacting leader effectiveness have been identified.

Table 1.2 Leader characteristics and influential factors

Leader characteristics	Empowerment
	Trust
	Level of engagement and commitment
	Teamwork
	Innovation
	Communication
	Ethics
	Emotional intelligence
	Collaboration
	Consensus seeking
	Mindfulness
Influential factors	Organisational culture
	The role of women in leadership
	The role of millennials in leadership
	Diversity

1.4 RESEARCH AIM AND QUESTIONS

The aim of this research is to explore the leadership behaviours required to effectively lead Higher Education institutions (HEI) in a volatile, uncertain, complex, and ambiguous (VUCA) environment. This study therefore asks the following research questions:

RQ1: What are the behaviours and characteristics of effective leaders within HEIs in a VUCA environment?

RQ2: Which factors influence effective leadership behaviours?

1.5 RESEARCH OBJECTIVES

To answer these research questions and in order to contribute to the knowledge base of the leadership effectiveness in HEIs, the study set the following research objectives:

RO1: To determine and synthesise the characteristics required to be an effective leader under VUCA conditions.

RO2: To understand effective leadership characteristics of people in leadership positions in a public university.

RO3: To understand the key factors that influence leader effectiveness in a public university.

RO4: To contrast and compare the leader characteristics and key influential factors for effective leadership found in literature, with those practised at a public university.

RO5: To present a model of characteristics and key factors influencing leader effectiveness under VUCA conditions.

RO6: To compose relevant guidelines for effective leadership within a higher education institution within a VUCA environment.

1.6 DELIMITATION OF THE STUDY

Having been employed in senior leadership positions within various multinational organisations over a period of more than 30 years, the researcher has been curious to understand the drivers of leadership effectiveness in dynamic environments. During his career, the researcher personally experienced various leadership challenges, many of which related to organisational change and process improvements. After successfully navigating some of these challenges by retaining employee trust and achieving high levels of engagement under trying conditions of change, the researcher has sought to understand the mechanisms of leadership that enable such success in challenging, dynamic environments. The present study therefore aims to develop a

deep, rich understanding of effective leadership behaviour, and derive particular characteristics and factors impacting leadership effectiveness. The nature of these research objectives lends itself to qualitative research methods as applied to real-life organisations and leaders.

The study is furthermore limited to a particular public university in the Province of the Western Cape of South Africa. The decision to demarcate the present study to a particular public university has been taken with due consideration for the profound uniqueness of different universities' organisational cultures, which provides important context to leadership (Akanji, *et. al.*, 2019). Much of the empirical research therefore consists of a deep dive into the university's history, ethos, and culture. The intention of this approach is to propose uniquely tailored conclusions and recommendations pertaining to the specific university. These outcomes will be driven focusing on specific leadership successes and failures, as being perceived by the research participants. The sample population therefore includes university leaders at the executive, senior, and middle management levels. Participants were selected using a purposive, non-probability, quota sampling technique. The sample was selected on a non-proportional basis, with a minimum number of participants included from each category/stratum of leadership. The total sample comprises 24 participants.

As a consequence, the research findings provide guidance to one specific HEI regarding leadership effectiveness under VUCA conditions. A leadership model presented in Chapter 6 will integrate literature and empirical evidence to suggest a framework of leader characteristics and influential factors impacting leader effectiveness under VUCA conditions.

The data collection method comprised semi-structured interviews, which were conducted by the researcher in person. The interviews were recorded and transcribed. A manual data extraction process using Excel further exposed and immersed the researcher to the evidence provided by the research participants. The data analysis process employed a rigorous 16-stepwise method within a directed qualitative content analysis. This comprehensive 16-step process enhanced data validity in four different ways: credibility, transferability, dependability, and confirmability.

A naturalistic focus, where data has been collected at the location where participants experience the phenomenon under investigation, underpins the philosophical assumptions. Also, a relativist ontological position, which implies that reality is subjective, influenced by the human senses, and it is different for various individuals, has been adopted. Furthermore, a subjectivist epistemological position, which postulates that there are many interpretations of reality, and that the world cannot exist independently from people's knowledge of it, has been assumed.

1.7 ETHICAL CONSIDERATIONS

Ethical considerations are pivotal in qualitative research to ensure the wellbeing and protection of human participants in the study (Dresser, 2012; Singh, 2012; Sobottka, 2016; Clark, 2019). Every possible precaution should be taken to ensure the research procedures prioritise the interest of participants. This study therefore adheres to strict codes of research conduct and ethics standards, which govern the complete research cycle, from the planning phase, data collection, and finally, evaluating of the research. With respect to the present study, the following processes were undertaken:

- Obtaining ethics approval from the University's Humanities and Social Science Research Ethics Committee;
- Obtaining permission from the participating university's registrar to conduct the research, as well as consent from individual research participants, in compliance with the university's code of conduct for research;
- Following a code of conduct, as included in the university's research ethics policy, which provides guiding principles for the ethical pursuit of truth and knowledge.

A detailed description of the ethics procedures is provided in Chapter 3.

1.8 SIGNIFICANCE OF THE RESEARCH

The present study seeks to develop a leadership model and a set of recommendations to enhance effective leadership in one specific Higher Education institution under VUCA conditions. Since existing leadership theory is rather precarious to enable leadership effectiveness under VUCA conditions, and dynamic VUCA conditions are increasing in speed, frequency, and intensity, the present study aims to make a contribution towards the theory for leadership effectiveness.

The current state of world affairs, namely the impact of the COVID-19 health pandemic and political leadership on the livelihoods and wellbeing of millions of people, amplifies the harsh impact on all spheres of life, including the Higher Education sector. Huge amounts of money are being invested to prevent the collapse of their economies, and to provide essential relief to ordinary people, for medication and to put food on the table (Badroodien & Fataar, 2020). Closer to home, the necessity to effectively combat state capture, corruption, and fraud, in government and businesses alike, is calling for decisive ethical leadership. The continuing struggle to eradicate poverty and inequality through education, remains a conundrum. The problem is further exacerbated by Higher Education's leadership to make university education accessible to all students (National Planning Commission, 2012; Villet, 2020). Considering these examples discussed, effective leadership is the one common denominator, to differentiate between failure and success.

The South African Higher Education sector has not been spared the impact of dynamic changing conditions. Student unrest, accompanied by the destruction of university property, campus closures, interrupting classes, impacting negatively on student progress, pass and throughput rates, have caused pain, lost opportunities, and anxiety amongst students and staff. Assessing many of the South African universities' strategic or institutional operating plans, the intent to provide effective leadership at all levels is unequivocally clear. Unfortunately, most of the time, the execution of these plans, leaves universities in a precarious position (CHE, 2018; National Planning Commission, 2012; Rothmann *et al.*, 2007).

The significance of the present study lies in the potential contribution to assist the educational leader being more effective under VUCA conditions. Presenting a leadership model, informing leadership characteristics and influential factors, with the associated descriptions, conclusions and recommendations, seek to support the university leadership to gain insights for effective leadership under VUCA conditions.

1.9 OUTLINE OF THE THESIS

This thesis consists of seven chapters. Following the introduction, Chapter 2 provides a comprehensive review of VUCA and contemporary leadership literature in order to

address the first research objective: *To determine and synthesise the characteristics required to be an effective leader under VUCA conditions*. A conceptual framework to facilitate qualitative research and data analysis will be derived.

Chapter 3 explains the research methodology: a qualitative descriptive study that utilises a semi-structured questionnaire and directed content analysis.

Chapter 4 presents the empirical results to answer the second research objective: *To understand effective leadership behaviours and characteristics of people in leadership positions in a public university*. This chapter furthermore derive common themes amongst the 11 leadership characteristics.

Chapter 5 presents the empirical research results to answer the third research objective: *To understand the key factors that influence leader effectiveness in a public university*. This chapter concludes with an assessment of the unique themes amongst the four influential factors.

Chapter 6 presents a discussion of the empirical results to address the fourth research objective: *To contrast and compare the leader characteristics and key influential factors for effective leadership found in literature, with those practised at a public university*. Chapter 6 furthermore answers the fifth research objective: *To present a model of characteristics and key factors influencing leader effectiveness under VUCA conditions*. The model suggests a combination of upskilling leader skills/characteristics and creating a conducive environment/influential factors maximising leader effectiveness. A synthesis of the findings concludes this chapter.

Chapter 7 addresses the sixth and final research objective: *To compose relevant guidelines for effective leadership within a higher education institution within a VUCA environment*. Final conclusions and recommendations for implementing the research results, and future research directions are presented.

1.10 DEFINITION OF TERMS AND ABBREVIATIONS

1.10.1 Definition of terms

- Authentic leadership: “a pattern of leader behaviour that draws upon and promotes both positive psychological capacities and a positive ethical climate, to foster greater self-awareness, an internalised moral perspective, balanced processing of information, and relational transparency on the part of leaders working with followers, fostering positive self-development” (Walumbwa *et al.*, 2008, p. 94).
- Collaboration: “team-like behaviour over time and across projects” (Wageman, Gardner and Mortensen, 2012).
- Communication: “Viewed more broadly, communication is a process through which individuals create and use information to relate to the environment and one another” (Ruben and Gigliotti, 2016, p. 477).
- Confirmability: “confirmability is concerned with establishing that the researcher’s interpretations and findings are clearly derived from the data, requiring the researcher to demonstrate how conclusions and interpretations have been reached” (Nowell *et al.*, 2017, p. 3).
- Contemporary leadership theories envision leadership as: “a long-term, value-based process that encourages leaders and implementers to initiate actions that contribute to achieving a common purpose, and to willingly make significant contributions in meeting mutually agreed to goals” (Vecchiotti, 2018, p. 42).
- Contemporary leadership theories mostly conceptualise the leadership process as interactive: “a sequence of multidirectional, reciprocal influence processes among many individuals at different levels, in different subunits, and within executive teams” (Komives & Dugan, 2010, p. 6).
- Credibility: “The credibility of a study is determined when core searchers or readers are confronted with the experience, they can recognize it. Credibility addresses the ‘fit’ between respondents’ views and the researcher’s representation of them” (Nowell *et al.*, 2017, p. 3).
- Dependability: “To achieve dependability, researchers can ensure the research process is logical, traceable, and clearly documented” (Nowell *et al.*, 2017, p. 3).

- Diversity: “Diversity can be defined as acknowledging, understanding, accepting, and valuing differences among people with respect to age, class, race, ethnicity, gender, disabilities, etc” (Green *et al.*, 2019).
- Effective leadership: “a process whereby an individual influences a group of individuals to achieve a common goal” (Northouse, 2019, p. 43).
- Emotional Intelligence (EI): “the subset of social intelligence that involves the ability to monitor one’s own and others’ feelings and emotions, to discriminate among them and to use this information to guide one’s thinking and actions” (McCleskey 2014, p. 77).
- Employee engagement: “Employee engagement is defined as the extent to which employees exhibit the desired cognitive, emotional, and behavioural characteristics in completing work tasks with vigour, dedication, and absorption” (Muller, 2017).
- Empowerment: “a process by which people gain mastery over their own affairs” Funnell *et al.*, 1991, p. 38).
- Epistemological assumptions: “creation, development, and communication of knowledge” (Bradshaw, Atkinson, and Doody, 2017, p. 2).
- Ethical leadership: “the demonstration of normatively appropriate conduct through personal actions and interpersonal relationships, and the promotion of such conduct to the followers through two-way communication, reinforcement, and decision-making” (Ahmad, Gao and Hali, 2017).
- Innovation: “Innovation is the multi-stage process whereby organizations transform ideas into new/improved products, service or processes, in order to advance, compete and differentiate themselves successfully in their marketplace” (Stenberg, 2016).
- Leader characteristics: “A critical thinker, a risk taker, a visionary. Innovative, courageous, creative, forward thinking, open to change, able to learn from and overcome failure. Efficient, detail oriented, a good delegator, organized, persistent, administrative. A team builder, a continuous learner, able to get along with people. Honest, dependable, competent, supportive, fair-minded, cooperative, respectful, motivating, values-driven, inspiring, resilient, patient, tenacious, credible, balanced, emotionally mature.” (Klingborg et, al., 2006).

- Leadership skills: “the ability to use one’s knowledge and competencies to accomplish a set of goals or objectives” (Northouse, 2019, p. 102).
- Learning agility: “the ability and willingness to learn from experience, and subsequently apply that learning to perform successfully under new or first-time conditions” (McLoughlin, 2012, p. 3).
- Mindfulness: “moment-to-moment, non-judgmental awareness, cultivated by paying attention in a specific way, that is, in the present moment, and as non-reactively, as non-judgmentally, and as openheartedly as possible. When it is cultivated intentionally, it is sometimes referred to as deliberate mindfulness” (Kabat-Zinn, 2015).
- Population: “all elements (individuals, objects and events) that meet the sample criteria for inclusion in a study” (Gray, Grove & Sutherland, 2016 p.1077).
- Protest against university fees (#FeesMustFall protests).
- Qualitative descriptive study: “comprehensive summary of an event in the everyday terms of those events” (Magilvy and Thomas, 2009, p.299).
- Qualitative descriptive study's data: “the presentation of data from a qualitative descriptive study involves a straight-forward descriptive summary of the informational contents of the data that is organised in a logical manner” (Lambert, 2012, p.256).
- Qualitative research: “Qualitative research is a rigorous, scholarly, interactive, holistic, subjective research approach used to describe life experiences, cultures, and social processes from the perspectives of the persons” (Gray, Grove & Sutherland, 2016).
- Research design: “the full research process from conceptualisation of the research problem, generation of data, analysis and interpretation of findings, and dissemination of results” (Magilvy and Thomas, 2009, p. 298).
- Sector Education and Training Authority (SETA).
- Servant leadership: “[Servant leadership] begins with the natural feeling that one wants to serve, to serve first. Then conscious choice brings one to aspire to lead. . . . The difference manifests itself in the care taken by the servant – first to make sure that other people’s highest priority needs are being served. The best test . . . is: do those served grow as persons: do they, while being served, become healthier, wiser, freer, more autonomous, more likely themselves to

become servants? And, what is the effect on the least privileged in society: will they benefit, or, at least, will they not be further deprived?" (Greenleaf, 1970).

- Team: "a group of people with complementary skills who are committed to a common purpose and set of performance goals and hold themselves mutually accountable" (Daniel and Davis, 2009, p.4).
- Transferability: "transferability refers to the generalizability of inquiry. In qualitative research, this concerns only to case-to-case transfer" (Nowell *et al.*, 2017, p. 3).
- Trust: "an individual's expectations, assumptions, or beliefs about the likelihood that another's future actions will be beneficial, favourable or at least not detrimental to one's interests" (Mosley and Patrick, 2011, p. 89).

1.10.2 Abbreviations

- Colaboratory (Colab)
- Corona virus disease-2019 (COVID-19)
- Council of Higher Education (CHE)
- Deoxyribonucleic acid (DNA)
- Department of Higher Education and Training (DHET)
- Education technology (EdTech)
- Emotional Intelligence (EI)
- Higher Education institutions (HEIs)
- Historical disadvantaged institution (HDI)
- Human resources (HR)
- Humanities & Social Sciences Research & Ethics Committee (HSSREC)
- Information and communication technology (ICT)
- Information technology (IT)
- Institutional Operating Plan (IPO)
- Key performance areas (KPAs)
- Least preferred co-worker (LPC)
- Master in Business Administration (MBA)
- Post graduate diploma [PG Dip]
- South Africa's National Developmental Plan (SA: NDP)
- South African National Biodiversity Institute (SANBI)

- Square Kilometre Array Radio Telescope (SKA)
- Strategic business unit (SBU)
- The South African Research Chairs Initiative (SARChI Chairs)
- United Nations Sustainable Developmental Goals (UN: SDG's)
- Volatile, uncertain, complex, and ambiguous (VUCA)



Chapter 2: REVIEW OF LITERATURE

“You must be the change you wish to see in the world.” – Mahatma Gandhi

2.1 INTRODUCTION

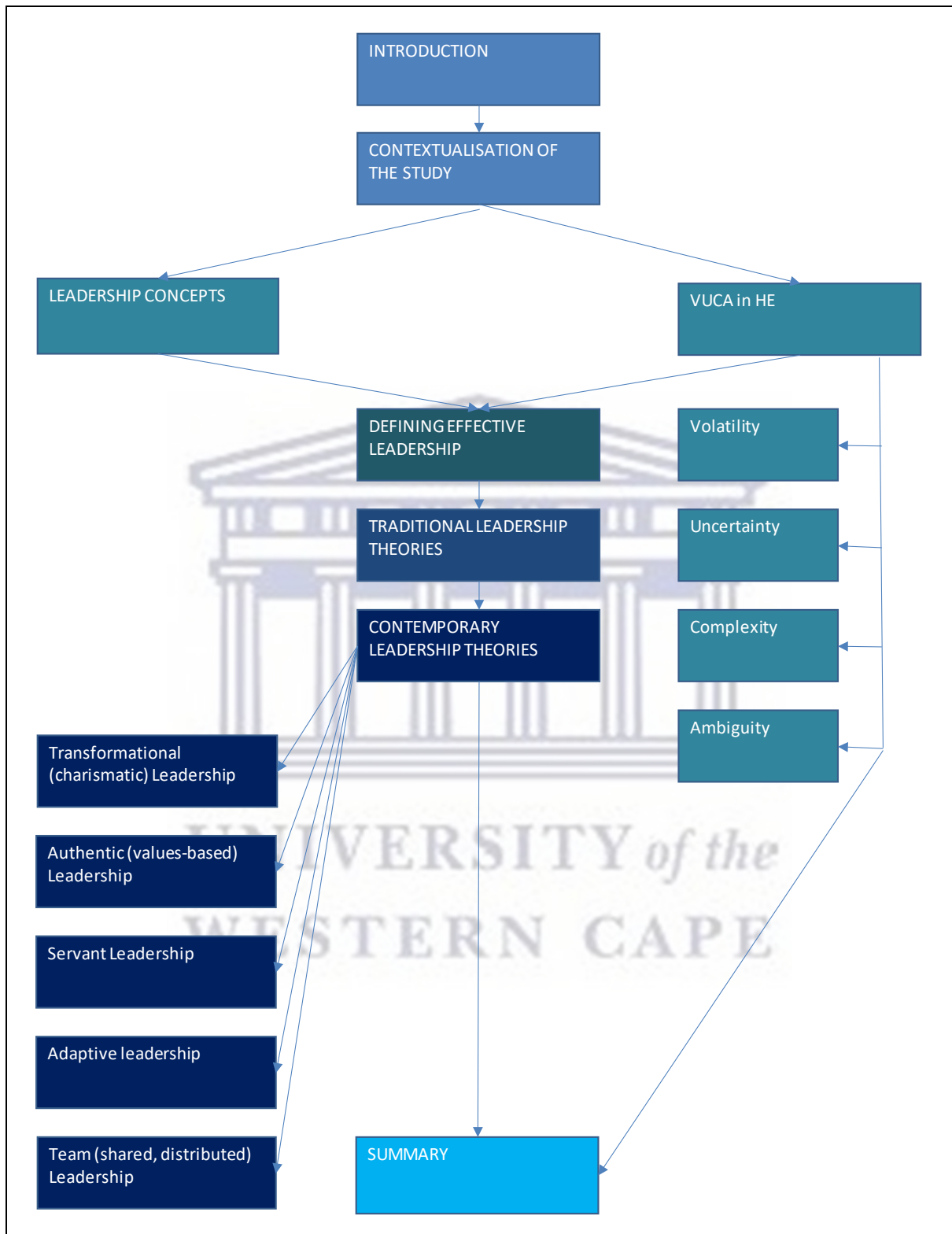
Chapter 2 provides an overview of the leadership themes and theory employed in the study. Contextualising the present study within the global demands of the 21st century provides a framework to examine Higher Education leadership in South Africa. The volatile, uncertain, complex and ambiguous (VUCA) nature of the current organisational environment requires leaders to adopt contemporary leadership styles in order to lead their institutions effectively.

In this review, the leadership concept is defined and discussed. The role of leadership in organisations under VUCA conditions is then explained and traditional leadership theories are explored to provide context and a brief historic overview of leadership development. Contemporary leadership is examined to differentiate between prominent contemporary leadership styles and highlight the critical characteristics of leadership effectiveness. Figure 2.1 provides a roadmap to navigate the literature chapter.

The logo of the University of the Western Cape, featuring a stylized building with columns and the text "UNIVERSITY of the WESTERN CAPE" below it.

UNIVERSITY *of the*
WESTERN CAPE

Figure 2.1 Roadmap for literature review



2.2 CONTEXTULISATION OF THE STUDY

According to Baran & Woznyj (2020), the acronym VUCA was first coined by the U.S. Army War College around three decades ago. In an attempt to characterise the future environment they needed to operate in, volatility, uncertainty, complexity and ambiguity, furnished a guiding framework. Since then, VUCA has become an accepted phenomenon across business and geopolitical contexts to define turbulence. Due to global pressures for organisations to increasingly deal with uncertainty or frequent change, VUCA has become an important lens to investigate the impact on organisational and leader effectiveness. The burning question is how executives can best lead their organisational teams to successfully deal with the increasing dynamic turbulence of current times.

According to Szelągowska-Rudzka (2018), the 21st century demands that we develop knowledge-based economies in which Higher Education institutions (HEIs) play a pivotal role. The challenges of globalisation, the rapid development of technology, the appearance of new university models, changes in social attitudes, economic crises, competition in the higher education market, and, most recently, a public health crisis COVID-19, are some of the key drivers of change in Higher Education. Such challenges are particularly relevant in South African Higher Education.

Following the explanation from Northouse (2019, p. 43), this study defines effective leadership as *“a process whereby an individual influences a group of individuals to achieve a common goal”*. The aim of the present research paper is to explore contemporary leadership behaviour for enabling a public university’s leadership effectiveness under VUCA conditions.

Nonetheless, Bennett and Lemoine (2014) also argue that VUCA conditions can provide organisations with a competitive edge if its leaders can master the prevailing business and organisational challenges. Marginson (2002) provides an example for increasing market share and the revenue base by exporting Australian international degrees to the international market. However, capitalising on this opportunity requires a thorough understanding of the VUCA phenomenon and reviewing how leaders have responded to it thus far. Ultimately, the leaders of the future will continually need better

management tools, and the leadership will, to successfully deal with the dynamics of their VUCA world (Bennett & Lemoine, 2014; Roger, 2013).

2.3 VUCA in HEI

The profound impact of VUCA conditions on leadership effectiveness varies from one context to another. From a South African Higher Education perspective, environmental factors include HEI's brand and reputational image, changing demographics with more previously disadvantaged students graduating, government-imposed enrolment targets, access and enrolment volatility, changing undergraduate versus postgraduate enrolment distribution targets, expanding degree portfolio initiatives with offering more and diverse degrees and the associated intensifying competitive implications, the impacts of changing industry demands on academic programmes, internationalisation and the trend towards dual degrees, reduced funding options, budgetary limitations, and changing student needs. Although these challenges have existed for many years, they have intensified in recent years due to the accelerating pace of change and the interconnectivity of these issues (Garbett, 2020).

2.3.1 Volatility

Saleh and Watson (2017) and Mathebula (2017) identify *agility* as the key leadership competency to cope with volatility. Joiner and Josephs (2006) describe four leadership abilities, or competencies, for navigating volatile conditions. Self-leadership agility involves employing one's own initiatives to explore opportunities and take ownership for their own development, to become the leader they want to be. Creative agility entails confronting one's challenges and turning them into opportunities. It represents the ability to face problems and commit to creating potential opportunities. Stakeholder agility requires interpersonal skills and will to engage with critical stakeholders and lobby support for your own initiatives. Lastly, context-setting agility requires the competency to examine your external environment, with the aim to identify the initiatives you wish to engage, and determine the outcomes you wish to pursue. McLoughlin (2012, p. 3) defines the additional dimension of learning agility as "*the ability and willingness to learn from experience, and subsequently apply that learning to perform successfully under new or first-time conditions*".

Table 2.1 contains McLoughlin's (2012) summary of the leadership competencies required to support Joiner and Joseph's (2006) leadership agility framework. It is significant to notice most of these competencies are highlighted in the contemporary leadership theories discussed later in this chapter.

Table 2.1: The key competencies possessed by the most engaged leaders, adapted from McLoughlin (2012)

Competency needs to be highly engaged in high change environment	Leadership Agility from Joiner and Josephs (2006)
Global Perspective	Context Setting
Manages Conflict	Stakeholder Agility
Instils Trust	Stakeholder Agility
Persuades	Stakeholder Agility
Builds Networks	Stakeholder Agility
Being Resilient	Self-Leadership Agility
Action Oriented	Self-Leadership Agility
Manages Ambiguity	Creative Agility
Drives Results	No clear map to the Joiner and Josephs (2006) leadership agility framework, but aligns with the <i>results</i> competency factor
Ensures Accountability	No clear map to the Joiner and Josephs (2006) leadership agility framework, but aligns with the <i>results</i> competency factor
Optimises Work Processes	No clear map to the Joiner and Josephs (2006) leadership agility framework, but aligns with the <i>results</i> competency factor

Furthermore, Saleh and Watson (2017) and Mathebula (2017) advocate that resources should be aggressively directed toward *building slack and spare capacity* to create the potential reserves for future flexibility. Within the Higher Education sector, this could potentially imply proactive and sufficient investment in academic staff, to be flexible and agile under volatile conditions, i.e., the diverse human resources to adapt to dynamic change.

2.3.2 Uncertainty

Saleh and Watson (2017) and Mathebula (2017) advise organisations to *seek better, more comprehensive, and different information sources* as a proposed tactic to counter uncertainty.

A case in example could be the student unrest experienced at HEI in South Africa the past few years. The build-up of students' frustration to improved Higher Education access and supported functions, including student residences, laptop computers and data, etcetera, have been visible to HEI leadership, but only when these student protest erupted, did the Higher Education sector respond with serious attempts to mitigate the unrest causes. According to Dearden *et al.*, (2003) and Peterson *et al.*, (2003), many universities are now engaging in scenario planning and developed contingency plans in an attempt to prepare for potential uncertain events. Bendler *et al.*, (2014); Fosso Wamba *et al.*, (2015) & Philip, Chen & Zhang (2014), further postulate that the opportunity to employ business forecasting models, big data applications, international and national benchmarking, discussion forums where hard discussions regarding relevant issues are conducted with all stakeholders, including students, staff, parents and sponsors, business and industry, government, and national and international networks/alliances are pivotal.

An attitude of openness where HEI leaders adopt a collaborative and team approach, inviting discussion and powerful networking to expand views, risks and potential solutions to combat uncertainty, is imperative in the VUCA world (Sabel & Victor, 2017; Shamir & Eilam, 2005).

2.3.3 Complexity

The HEI leader is confronted with complexity on a daily basis. There are many different challenges, such as dependencies on primary and secondary education, local regulation compliance as prescribed by the Sector Education and Training Authority's (SETA's), local industry skills demand, the rise of education technology (EdTech) as competitors, and the rise of alternative youth/adult training and job readiness programmes and academies in SA.

An example of complexity under VUCA conditions could be examined by considering how local industry skills demand has been changing over the past few years. Previous skillsets employed during the industrial era have been replaced with knowledge skillsets in the information era (Suleiman, *et al.*, 2012). Most HEIs have been grappling with defining and implementing graduate attributes in university curricula (Griesel &

Parker, 2009). The need to align HEI programmes (supply) with the contemporary needs of local industry (demand) is profound. Preparing students with 21st century skills is necessary to keep the academic content relevant. Employability is the ultimate learning outcome, and preparing students for the workplace, a necessity (Maxwell & Armellini, 2019; Oraison, Konjarski & Howe, 2019). Graduate attributes will vary from institution to institution, depending on the local industry and community needs. There are, however, common trends visible and some of these include innovativeness and creativity (Pongo *et al.*, 2011), quantitative skills (Gray, Grove & Sutherland, 2016), flexible and adaptable workers with emphasis on soft/people skills, communication, and problem solving (Bennett, 2002).

It is the responsibility of HEI leaders to confront complexity with a rational, yet decisive approach. Saleh and Watson (2017) and Mathebula (2017), advocate for *restructuring* as a potential tactic to overcome complexity. In the above example, restructuring would imply the revision of curricula and additional academic programmes to imbed the 21st century graduate attributes and encourage global citizenship.

2.3.4 Ambiguity

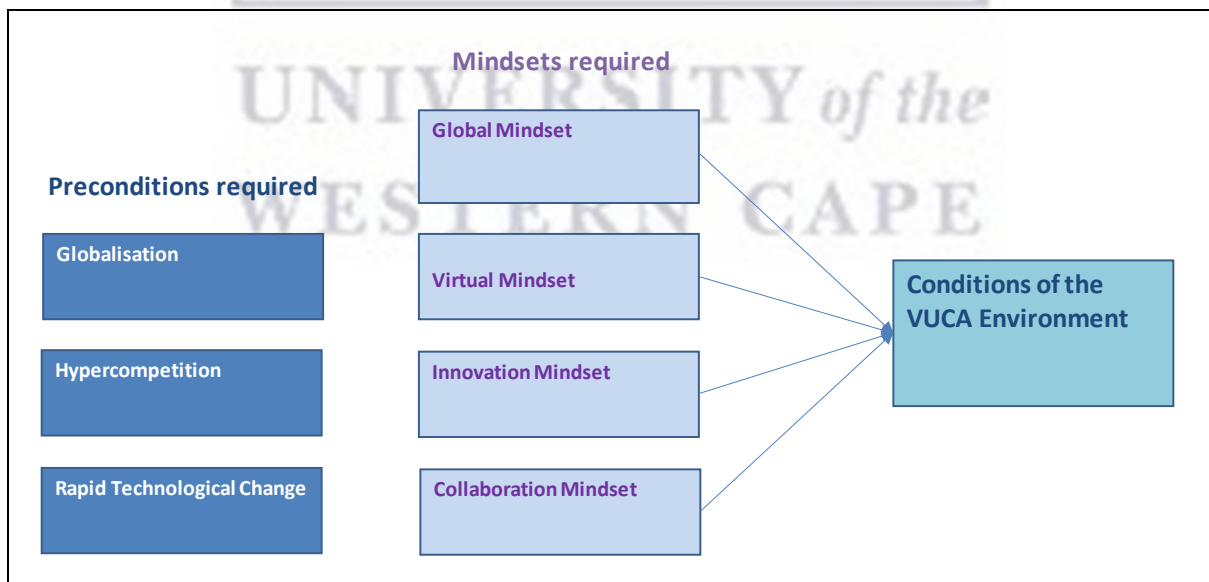
Digitisation in Higher Education is at the core of ambiguity and is the inevitable consequence of technological transformation. The HEI leader has not been spared the ambiguous impact of disruptive technology, and the transition from print to digital media, from face-to-face to online modes of delivery, migration to electronic library resources and eBooks, online repositories and student management systems, have been exacerbated by the current COVID-19 health pandemic. Working online has become the new normal, with online classes, tutoring, mentoring, post graduate supervision, meetings, webinars, employing a variety of online platforms and technology, have become the new standard operating procedures.

Jari and Lauraéus (2019) argue that digitisation is the key differentiator to survive in today's competitive environment. They advocate for a comprehensive understanding of the digital mindset required to advance leader effectiveness. Figure 2.2 provides an adaptation of their model showing the relationships of the competitive landscape and opportunities in a VUCA environment. The pre-conditions in the VUCA environment are globalisation, hyper-competition, and rapid technological change. The conundrum

is, how do leaders change the threats of the competitive landscape into potential opportunities? Jari and Lauraéus (2019) describe four leadership mindsets as profound initiatives to exploit VUCA opportunities. A global mindset explores broad growth opportunities, by considering and appreciating regional and cultural diversity, and how to extend this beyond the traditional geographic boundaries. A virtual mindset is being open, flexible and responsive to outsourcing and agreements with the competition, to build on own strengths and aggregate the competition’s best practice, with the ultimate aim to grow market offering. An innovative mindset seeks to explore new and fresh ideas, thinking out of the box to find technologically smart, and novice solutions. Ultimately, a collaborative mindset seeks partnerships with business complementarities, to integrate all the mindsets to achieve synergy.

Jari and Lauraéus (2019) conclude their argument to manage ambiguity by not only illuminating their proposition for combating disruptive technology, but create a sense of anticipation, that VUCA conditions could be employed in a beneficial way to advance leadership effectiveness and improve organisational results.

Figure 2.2: Model of the relationships of the competitive landscape and opportunities in a VUCA environment, adapted from Jari and Lauraéus (2019)



In conclusion, Saleh and Watson (2017) and Mathebula (2017) advocate for *experimentation* to reduce ambiguity. The HEI leader needs to keep an open mind and

explore possibilities. Through this curious and “always learning” disposition the HEI leader can perpetually seek effective leadership and improve outcomes for the HEI.

2.4 LEADERSHIP CONCEPTS

2.4.1 Defining Effective Leadership

There are numerous definitions, theories, models, and constructs in the academic literature that explain the concept of leadership, but still a lack of agreement about how to understand the phenomenon of leadership. However, Hardy and Miller (2017) recognise that among leadership scholars and practitioners, there is some agreement that leadership needs to meet one or more of the following criteria: natural attributes, the capacity to acquire specific skills and competencies, and the inclination and yearning to create positive change through personal influence. Northouse (2019) further elaborates and explains the centrality of four leadership elements: leadership is an interactive process that occurs between leaders and followers; leadership involves influencing followers (Ruben & Gigliotti, 2016); leadership often occurs in an organized group context; and leaders and followers have a mutual purpose. From these four elements, Northouse (2019, p. 43) postulates “*leadership is a process whereby an individual influences a group of individuals to achieve a common goal*”. This definition defines effective leadership for the purposes of the present study.

It is furthermore important to understand the difference between leadership and management, since these concepts involve two distinct, but complementary, systems of action. Davids (2015) argues that management is about dealing with organisational complexity through planning and budgeting, organising and staffing, resource allocation, developing performance standards, monitoring employee activities through controlling, and reporting. Without good management, complex enterprises tend to become chaotic in ways that threaten their very existence. Davids (2015) continue to explain that leadership, on the other hand, is about influence, motivation, and inspiration. It is about dealing with change by providing organisational direction, aligning people to the vision, mission and goals of the organisation, and motivating and empowering employees to meet the challenges of a desired future. Organisations need both management and leadership to be successful (Wajdi, 2017). Organisations

with strong management, but poor leadership, produce a stifling and bureaucratic outcome. Conversely, organisations with strong leadership, but without sufficient management skills, produce a meaningless or misdirected outcome. This study is delimited to examining the leadership domain in a specific HEI.

Leadership theory has evolved during the past century as scholars and practitioners alike seek to unravel its complexity. Appetite for leadership expertise has grown from corporations seeking to improve their bottom line, and not-for-profit organisations wanting to increase effectiveness and efficiencies (Allio, 2012). This demand has fed an entire industry of leadership education and research. With the proliferation of degree programmes, courses, and seminars, the leadership education global market soared to a staggering \$20 billion plus during 2017 (Allio, 2018). Another example is the Leadership Quarterly, a scholarly journal founded by Bernard Bass in 1990, which has contributed over 800 manuscripts to the topic of leadership (2018). Meanwhile, in Higher Education, leadership has become one of the most taught subjects on Master in Business Administration (MBA) programmes and at business schools over the past 50 years (Martin, 2017). Many of these leadership education programmes and materials focus on the traditional theories of leadership that emerged after the industrial revolution. The evolution of leadership theory over the past 70 years provides the basis for understanding how leadership must continue to evolve in a VUCA world.

2.4.2 Traditional Leadership Theories

The body of research that has contributed to the development of leadership theory is broad and spans over a century. A selection of key theories is explored here to demonstrate the evolution of the field of study: the great man/woman theory, the trait approach, the skills approach, the style approach, the situational approach, the contingency theory, path-goal theory, and leader-member exchange theory.

2.4.2.1 The Great Man/Woman Theory of Leadership

In the 1840s, the Scottish historian and writer Thomas Carlyle introduced a concept that leaders were born and not made, a phenomenon that would develop into the “*great man*” theory (Martin, 2017). He believed that individuals’ inherent ability, predetermined characteristics, and personal traits were the fundamental requirements

to be a true leader. The great man/woman theory was mostly founded on personal opinions and perspectives of the time, and became a precursor to the formal study of leadership. A further study in 1869 by Galton, reinforced the theory by claiming that leader attributes are genetically passed on from one generation to another (Martin, 2017). Carlyle (1846, p.2) captures the theory by writing, “*the history of what man has accomplished is the history of the great men who have worked here*”. From the dawn of the industrial revolution, the great man/woman theory continued to dominate explanations of leadership until the subject was more formally researched in the 20th century.

2.4.2.2 Trait Approach to Leadership

The trait approach to leadership is seen as an extension of the great man/woman theory and represents one of the first attempts by scholars to systematically study leadership. Throughout the 20th century, these research studies investigated how innate and largely fixed traits and personality characteristics influence leadership. Prominent researchers including Stogdill (1948 & 1974); Mann (1959); Lord, De Vader, and Alliger (1986); Kirkpatrick and Locke (1991); and Zaccaro, Kemp, and Bader (2004) worked diligently to determine an extensive list of traits as prerequisites for effective leadership. Northouse (2019) summarizes five traits central to all the research, i.e., intelligence, self-confidence, determination, integrity, and sociability.

2.4.2.3 Skills Approach to Leadership

Similar to the trait approach, the skills approach also takes a leader-centered perspective to leadership. Although personality, as defined in the trait approach, still plays a pivotal role, the focus is now on the knowledge and abilities, or skills, required to deliver effective leadership. Northouse (2019, p. 102) defines leadership skills as “*the ability to use one’s knowledge and competencies to accomplish a set of goals or objectives*”. Katz published a classic article in the Harvard Business Review (1955): “*Skills of an effective Administrator*” where he proposed that leadership was a set of developmental skills. He argues that traits are who leaders are, whereas skills are what leaders can accomplish. Katz’ research suggested a three-skill approach to effective leadership, namely technical, human, and conceptual. Leaders need all three skill sets, but depending on where they are in the management structure, i.e. top, middle, or supervisory, some skills are more important than others (Katz, 1974).

2.4.2.4 Style Approach to Leadership

The style approach to leadership focusses exclusively on leadership behaviour or style. The style approach investigates the actions of leaders toward subordinates in various contexts: how they act and what they do. It differentiates between two distinct kinds of leadership behaviours: task behaviour helps subordinates to reach their work-related goals and objectives, whereas relationship behaviour assists group members to feel comfortable in the situation, with co-workers and themselves (Blake *et al.*, 1964).

The work done by The Ohio State University (late 1940's), researchers at the University of Michigan (1950 to 1960) and, Blake and Mouton's studies (1960), strongly represent the style approach. Blake and Mouton's *Managerial Grid* model, later renamed the *Leadership Grid*, has been extensively employed in organizational leadership training and development.

Figure 2.3: Blake and Mouton's Managerial Grid model adapted from Koc *et al.*, (2013).

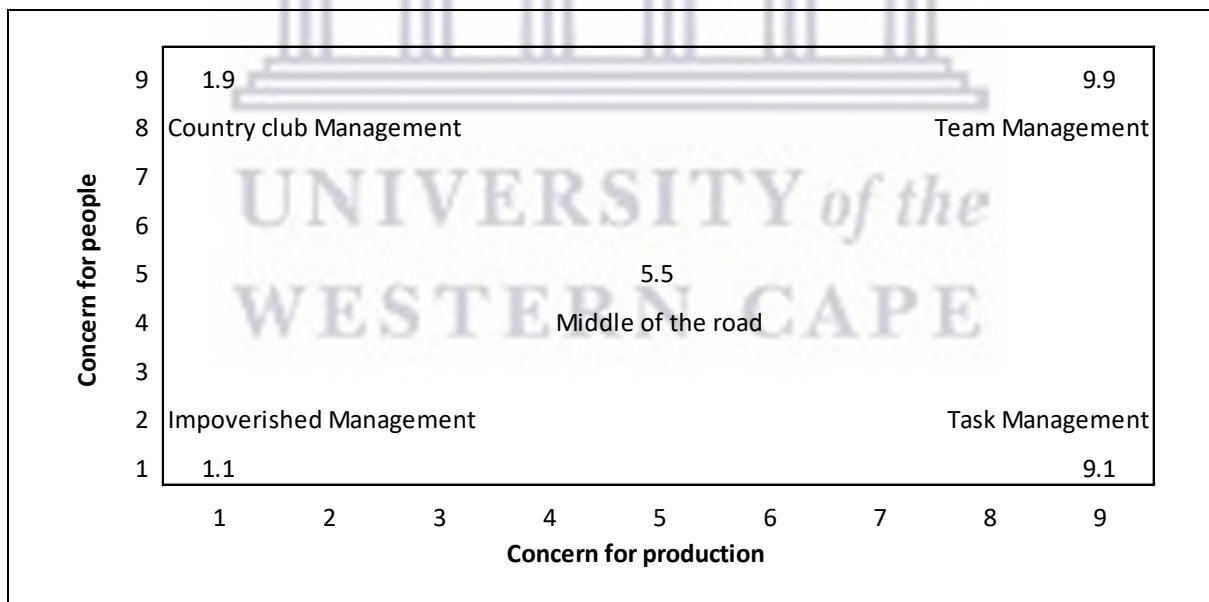


Figure 2.3 displays the five potential leadership styles, ranging from 1.1, an impoverished style where leaders have a low concern for production and people, through to 9.9, a team style where there is a high concern for production and people.

2.4.2.5 Situational Approach to Leadership

The situational approach to leadership focusses on leadership behaviour in different situations. It dictates that leaders should match their style of leadership according to the level of commitment and competence of subordinates. In brief, effective leadership requires a dynamic approach where leaders constantly evaluate the needs of employees and adapt their leadership style for specific situations (Graeff, 1983). The Situational Leadership II model was developed by Blanchard in 1985. According to this, four leadership styles can be commanded by the leader depending on the employees' level of motivation and skill: delegating, supporting, coaching, and directing. The degree to which leaders should be supportive or directive varies from situation to situation, and changes over time.

2.4.2.6 Contingency Theory of Leadership

Contingency theory represents a "leader-match" theory approach to leadership. It provides a framework for effectively matching leadership styles and situations, with the idea that certain leaders are better suited to certain situations. Fiedler's research (1964 to 1974) led to his least preferred coworker (LPC) scale model, which assesses situations in terms of three factors: leader-member relations, task structure, and position power. Their research postulates that certain styles are effective in certain situations. For example, leaders with low LPC scores are effective in both very favorable and very unfavorable situations whereas leaders with high LPC scores are effective in moderately favorable situations (Vroom and Jaago, 2007).

2.4.2.7 Path-Goal Theory of Leadership

Leadership actions that enable employee motivation are at the core of the path-goal theory of leadership. According to research conducted by House and Mitchell (1974), leaders can assist subordinates on their path to achieving goals by defining goals, clarifying the path subordinates should follow, removing obstacles in their way, and providing support. The path-goal theory postulates that three components impact on employees' level of motivation to accomplish goals: leader behaviour (directive, supportive, participative, and achievement orientated), subordinate characteristics, and task characteristics. Selecting the appropriate leadership style therefore increases subordinates' job satisfaction and their motivation for successfully achieving goals.

2.4.2.8 Leader-Member Exchange Theory of Leadership

Leader-member exchange (LMX) theory considers the dyadic relationships and interactions between leaders and followers. This approach challenges the assumption that leaders should treat subordinates in a collective way through the use of an average leadership style and suggests leaders cultivate unique individual relationships with each follower to achieve organisational success. Dansereau, Graen, Haga, and Cashman began researching LMX in 1975 and found two general types of relationships: those with the “in-group” of employees who are willing to go beyond their formal job descriptions by taking on expanded responsibilities and those with the “out-group” of employees only willing to contribute according to their formal employment contracts. Research found strong evidence to support the premise that high-quality leader-member exchanges are positively related to organisational effectiveness in terms of employee commitment, job attitudes, participation, positive performance evaluations, frequency of promotions, rate of career progress, attention and support from the leader, and employee turnover (Graen and Uhl-Bien, 1995).

The transition from traditional to contemporary leadership represents a watershed moment. This fundamental change is being driven by the skills requirements of 21st century workplace. Of profound importance is the shift from hard to soft skills such as teamwork, communication, and decision making (Robles, 2012). Komives and Dugan (2010) emphasise the importance of this distinction and posit that classical leadership theory assumes a unidirectional approach, where the leaders play the dominant role, and followers are mostly reactive and passive. By contrast, contemporary leadership theories mostly conceptualise the leadership process as interactive: *“a sequence of multidirectional, reciprocal influence processes among many individuals at different levels, in different subunits, and within executive teams”* (Komives & Dugan, 2010, p. 6).

2.4.3 Contemporary Leadership Theories

Graziadion (2017) argues that leadership is an ever-changing process, giving rise to a ‘new’ genre of leadership theories relative to the traditional approaches. Contemporary leadership theories envision leadership as *“a long-term, value-based process that encourages leaders and implementers to initiate actions that contribute to achieving a common purpose, and to willingly make significant contributions in*

meeting mutually agreed to goals” (Vecchiotti, 2018, p. 42). It is a holistic approach that examines multiple dimensions outside of the leader, such as work setting, context, interaction, and culture, are a common trend in the evolving field.

Given the capacity of this approach to effectively navigate external VUCA conditions, a number of contemporary leadership theories are explored here: transformational, authentic, servant, adaptive, and team. These theories range from the more individualistic, or leader-centred, approaches to the more collective, collaborative, or team-based approaches.

2.4.3.1 Transformational (Charismatic) Leadership

J. MacGregor Burns introduced the concept of transformational leadership in his 1978 text *“Leadership”* (Harvey, 2015). Burns meant to differentiate between transactional leadership, which mainly concerned with exchanges of value between leaders and followers, and transformational leadership, which aims to engage and create a connection between leaders and followers. This engagement between leaders and followers increases the level of motivation and morality for both (Reid & Dold, 2018). A classic example of the transformational leader is Mahatma Gandhi, who raised the hopes for millions of people to achieve their demands for social justice.

Transformational leadership forms part of the ‘New Leadership’ paradigm and has its emphasis on follower development and intrinsic motivation (Antonakis, 2012). Mason *et al.*, (2014) argue that for organisations to be successful in today’s times of uncertainty, employees need to be empowered and inspired. Transformational leadership satisfies these needs by focussing more on the affective, charismatic, and visionary elements of leadership (Mason *et al.*, 2014; Notgrass, 2014). It also includes the assessment of followers’ motives and treating them holistically, as whole or full human beings. Notgrass (2014) postulates that transformational leadership is concerned with followers’ values, emotions, standards, ethics, and long-term goals. Due to transformational leaders’ exceptional form of influence, followers are moved to accomplish more than the usual expected work output (Mason *et al.*, 2014).

Weber (1949) was the first scholar to describe charisma as a special gift, enabling leaders to do extraordinary things. Reserved for a few individuals, these exceptional

powers result them being exalted as leaders. However, House (1976) was the first to develop an integrated theoretical framework of charismatic leadership and laid the foundation for current empirical research in the field. This framework implied that the individual differences of charismatic leaders could be measured and as such included a proposition to test leadership behaviour. It expanded the theory to explain how charismatic leaders influence and manage the perceptions of followers (Antonakis, 2012).

According to House (1976), charismatic leaders display specific personality characteristics and demonstrate specific types of behaviour to influence, which are summarised in Table 2.2.

Table 2.2: Personality characteristics and behaviours of charismatic leaders and their effects on followers, adapted from House (1976)

Personality Characteristics	Behaviours	Effects on Followers
Dominant	Sets strong role model	Trust in leader's ideology
Desire to influence	Shows competence	Belief similarity between leaders and follower
Self-confident	Articulates goals	Unquestioning acceptance
Strong moral values	Communicates high expectations	Affection towards leader
	Express confidence	Obedience
	Arouses motives	Identification with leader
		Emotional involvement
		Heightened goals
		Increased confidence

There are many notable historic examples of how charismatic leadership can tie followers to the identity of the organisation or of a cause. The famous "I Have a Dream" speech by Martin Luther King Jr. is a fine example of charismatic leadership in action (House, Robert & Shamir, 1993).

In 1985, Bass expanded on Burns's transformational leadership work by describing transformational, transactional, and laissez-faire leadership as a single continuum,

shown in Figure 2.4. Previously, these leadership styles were viewed as mutually independent (Antonakis, 2012).

Figure 2.4 Leadership continuum from transformational to laissez-faire leadership, adapted from Bass (1985)

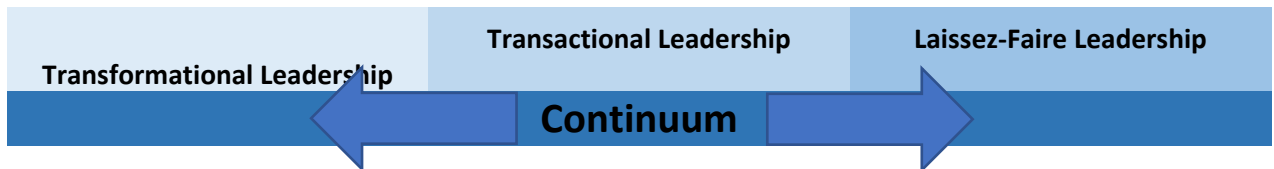
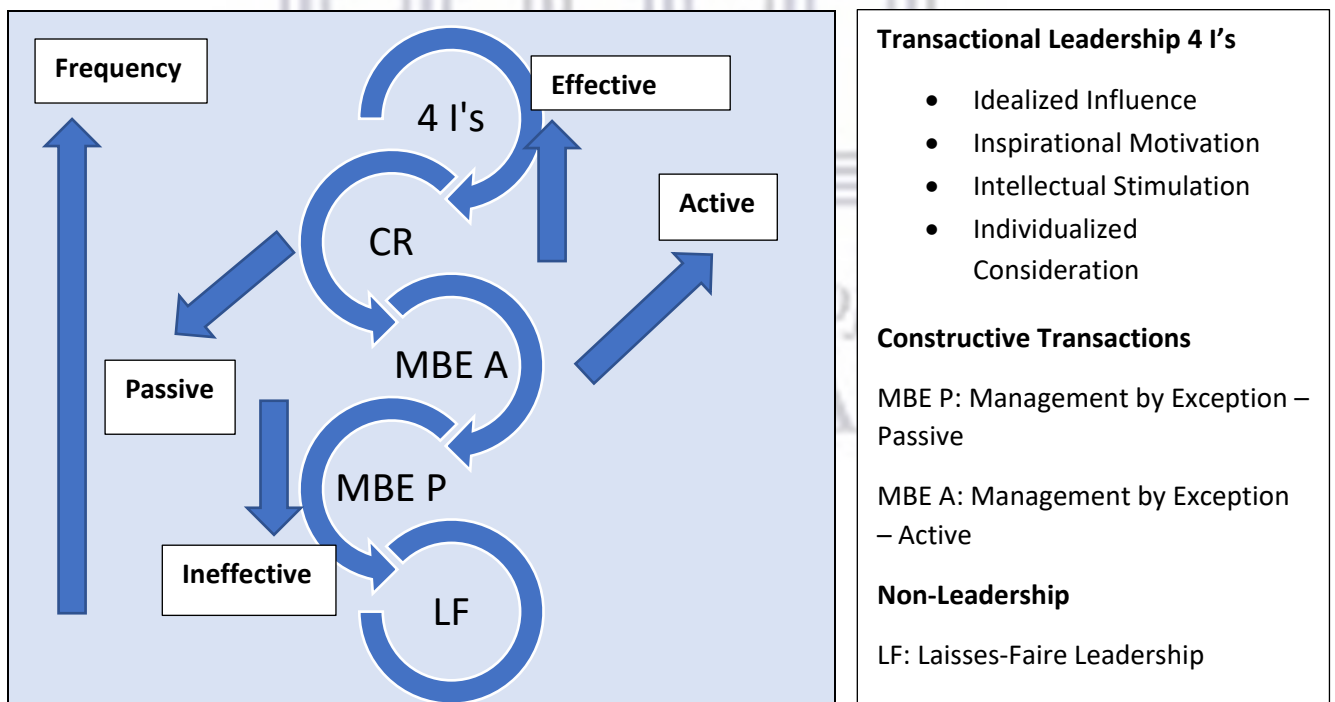


Figure 2.5 shows the full range of Bass’s transactional leadership model. Leadership effectiveness increases as the leadership style moves from laissez-faire to transformational on the continuum.

Figure 2.5: Full range of leadership model, adapted from Northouse (2019)



Bass’s model identifies seven distinct factors across the three categories. As shown in Table 2.3, four of these factors pertain to effective transformational leadership.

Table 2.3 Leadership factors, adapted from Antonakis (2012)

Transformational Leadership	Transactional Leadership	Laissez-Faire Leadership
Factor 1: Idealised influence Charisma	Factor 5: Contingent reward Constructive transactions	Factor 7: Laissez-faire Non-transactional
Factor 2: Inspirational motivation	Factor 6: Management-by-exception, active and passive Corrective transactions	
Factor 3: Intellectual stimulation		
Factor 4: Individualised consideration		

Antonakis (2012) provides a discussion of these factors to explain Bass's model. The first factor, idealised influence or charisma, arrests followers' emotions and created a desire to emulate the very high standards of ethical and moral conduct exhibited by the leader. Nelson Mandela is an example of a leader who transformed an entire nation through his own charismatic qualities.

The second factor involves cultivating commitment from followers through inspirational motivation. Creating and communicating high expectations through an emotional appeal can move followers to contribute more to the organisation than what is normally expected, going beyond their own self-interest.

The third factor, intellectual stimulation, empowers followers to be innovative, be creative, and to challenge the status quo. Employees are encouraged to take personal initiative in solving problems and to find unique solutions for the organisation.

The fourth factor, individualised consideration, is indicative of leadership creating a supportive environment by paying careful attention to followers' individual needs. Leaders strive to support followers in achieving their full potential through coaching, providing advice, and delegating.

The next two factors relate to transactional leadership. The fifth factor, contingent reward, involves the exchange process between leaders and their followers. A formal agreement determines the specifics of what workers need to do and the payoffs for these efforts.

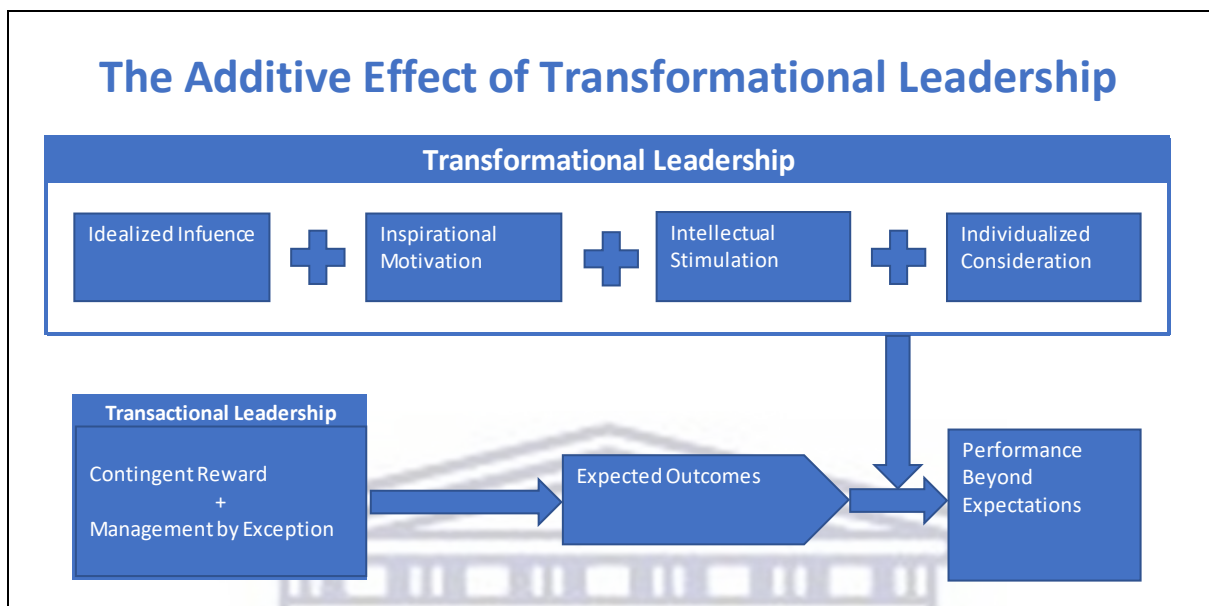
The sixth factor, management-by-exception, involves correcting workers mistakes or rule-violations through negative reinforcement, corrective criticism, and negative feedback. Management-by-exception could be active, as in real-time corrections, or passive, where corrections are made after the fact.

The last factor, laissez-faire leadership, represents an absence of leadership or a 'hands-off, letting things ride' leadership approach. It is characterised by abdication, procrastination, no communication, and a lack of regard for workers' needs (Antonakis, 2012).

The first four factors are indicative of the “additive effect of transformational leadership”, as shown in Figure 2.6, where greater outputs and organisational efficiencies are achieved than with transactional leadership (Hall, Johnson, Wysocki & Kepner, 2002).



Figure 2.6: The additive effect of transformational leadership, adapted from Hall, Johnson, Wysocki, and Kepner (2002)



This effect is supported by research showing transformational leadership is more effective and produces improved work outcomes. As early as 1996, Lowe, Kroeck, and Sivasubramaniam (1996) found that higher and lower-level transformational leaders, in both private and public settings, achieved better work outcomes compared to transactional leaders. Rowold and Heinitz's (2007) research confirmed the improvement of employee performance and company profits. Nemanich and Keller (2007) provided evidence of positive acquisition benefits for companies going through mergers. And recently, research by Tims, Bakker, and Xanthopoulou (2011), confirmed improved employee work engagement.

Transformational leadership presents a strong case in contemporary leadership theory for a number of reasons. First and foremost, it has been extensively researched since its inception in the 1970s. An assessment of *The Leadership Quarterly* from 1990 to 2000 revealed 34% of all articles published related to charismatic or transformational leadership (Lowe & Gardner, 2001). According to Northouse (2019), the theory also has intuitive appeal as society expects leaders to champion change for the better. Transformational leadership theory involves an interplay between leaders and followers, acknowledging followers' contributions as pivotal to the process of

leadership. Regarding the role of followers, the theory makes a moral appeal to followers to transcend their own self-interest for the good of the organisation – an aspirational idea. Most notable, however, is that transformational leadership is effective, as it is positively correlated to follower motivation, performance, and satisfaction (Hall, Johnson, Wysocki & Kepner, 2002).

Transformational leadership also has a number of weaknesses. The first criticism is that the transformational approach covers such a wide spectrum of leadership characteristics and activities that it lacks conceptual clarity (Andersen, 2015). Secondly, there are concerns around how transformational leadership is being measured and in particular, the validity of the Multifactor Leadership Questionnaire (MLQ) instrument (Tejeda, Scandura, & Pillai, 2001). Bryman (1992) also points to the perception that transformational leadership is more about personality traits than learnable behaviour.

Another issue is that although research indicates that transformational leadership is associated with organisational effectiveness, there was no clear causal link established until 2014. An experimental design adopted by Arthur and Hardy (2014), however, does provide initial evidence for transformational leadership behaviours remediating poor organisational performance.

The next criticism raises concerns about how transformational leadership can be alternatively authoritarian and directive on the one hand, or democratic and participative on the other hand (Avolio, 1999; Bass & Avolio, 1993). This leads to an antidemocratic or elitist view of transformational leadership. This criticism is sometimes extended to a viewpoint that transformational leadership suffers from a 'heroic leadership' bias where the role of the leader is absolutised, counter to the argument of a reciprocal process with followers. Following this, there is the concern that transformational leadership can be abused. Since transformational leadership has the power to change followers' values, caution should be taken where leaders are self-focussed or intolerant of followers' opposing viewpoints.

The last weakness draws attention to the fact that transformational leadership might not be compatible with the millennial cohort of leaders. Their individualistic orientation,

expectations for work-life balance, desire for frequent promotions, and value of extrinsic rewards are a few of the potential obstacles to undermine the effectiveness of transformational leadership (Hall, Johnson, Wysocki & Kepner, 2002).

2.4.3.2 Authentic (Values-based) Leadership

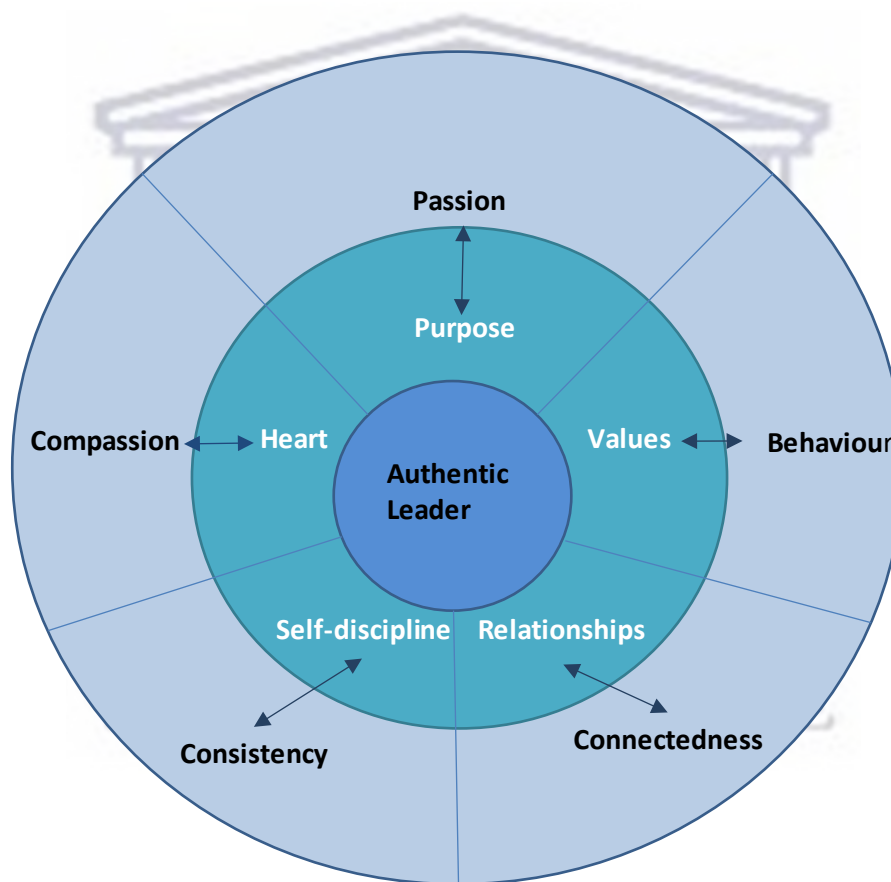
Authentic leadership constitutes a considerably newer area of research compared to transformational leadership. During the past two decades, research aimed to improve the conceptualisation of authentic leadership and to determine its parameters more clearly (Avolio & Gardner, 2005; Crawford *et al.*, 2020).

Johnsen (2018), and Luthans and Avolio (2003) deliberate the impact of societal turbulence in recent times. Ineffective, unethical leadership is at the core of the birth to authentic leadership – a desperation to acquire a constructive, more humane approach to serve the common good (Crawford *et al.*, 2020). The demand for authentic leadership can be traced to a string of demoralising global events over the last 20 years: e.g., the 9/11 terrorist attack in the United States and subsequent European attacks; widespread corporate corruption scandals such as Enron, WorldCom, and, more recently, Steinhoff in South Africa; and the global financial crisis. The lack of a moral compass has been globally visible and created much uncertainty and anxiety. The COVID-19 pandemic is a further reminder of the fragility of society, and the imperative for leaders to demonstrate decision-making based on integrity.

There are different schools of thought to define and characterise authentic leadership. The intrapersonal viewpoint focusses on the leader's self-concept, self-knowledge and self-regulation (Shamir & Eilam, 2005). Eagly (2005) explains that the interpersonal perspective highlights authentic leadership as relational, where leaders and followers determine authenticity in a reciprocal process. The developmental approach to authentic leadership postulates that major life events could trigger the manifestation of authenticity in leaders. A new career, the death of a loved one, severe illness, and other impactful experiences have the potential to awaken authentic leadership. Two approaches to authentic leadership will be examined: a practical and theoretical perspective (Walumbwa *et al.*, 2008). The practical approach employs real-life examples, while the theoretical approach is based on research findings from the social sciences.

Bill George's practical approach to authentic leadership defines its essential qualities and how these characteristics could be practically developed in a leader. As an experienced corporate executive, George (2007) interviewed a diverse sample of 125 successful leaders and identified five dimensions essential to the authentic leader (George, 2007; Robinson *et al.*, 2010). Figure 2.7 illustrates George's model indicating the related characteristics associated with each of the five leadership dimensions and will be discussed next.

Figure 2.7: Authentic leadership characteristics, adapted from George *et al.*, (2007)



Authentic leaders have clear direction and are focussed on their purpose. They are passionate and have a deep-seated interest in their work. They are intrinsically motivated and inspired to achieve their goals. George suggests authentic leaders exhibit uncompromising values, their 'True North', and behave towards others with this sense of what is the right thing to do.

Authentic leadership furthermore requires powerful relationships, resulting in a connection between the leader and followers. Mutual disclosure, nurturing an open and transparent relationship by the leader, creates trust, commitment, and loyalty with followers. High-quality communication and improved productivity are associated with the closeness between the leader and followers.

Self-discipline is the characteristic that energises leaders to stay true to their values, consistently striving to achieve their goals. Determination to stay 'on course' creates a sense of security with followers, people know what to expect, enhancing accountability with followers.

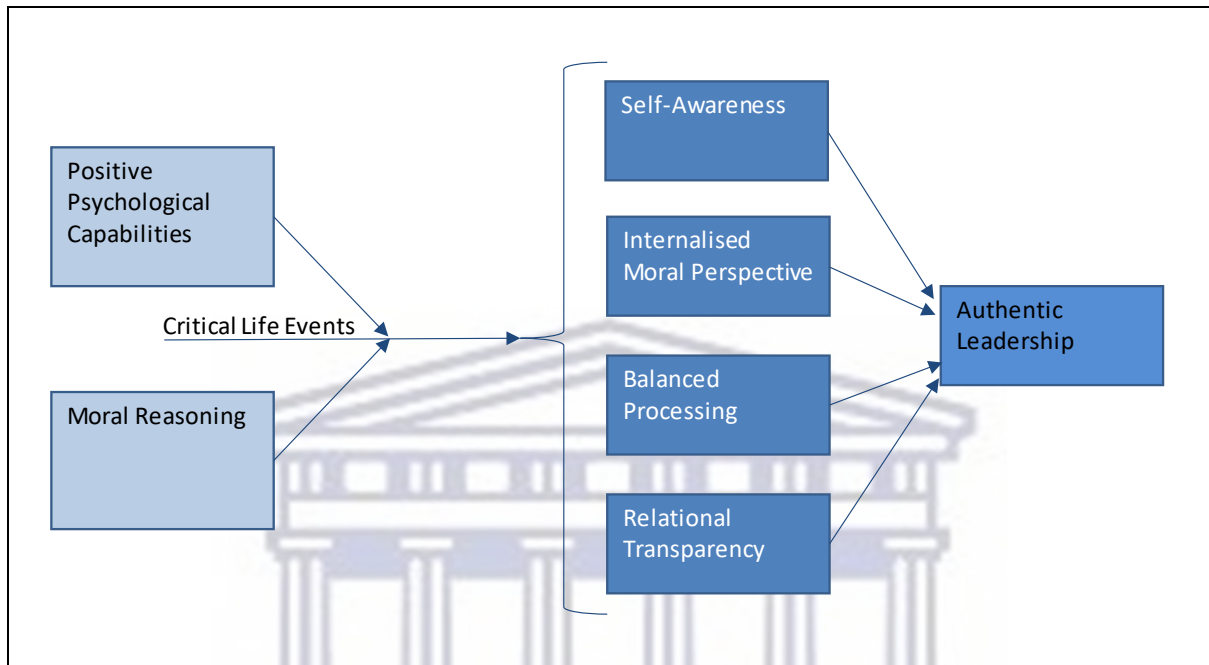
Lastly, George's model refers to 'heart' as a characteristic of authentic leadership enabling compassion. A genuine desire to help others and to be sensitive to their plights develops authenticity in leaders. Concerted effort by leaders to get to know followers and understand their backgrounds, culture, and living situations, empowers leaders to behave with compassion from the heart. As a practitioner, George's model provides practical guidance on how leaders can develop the authentic leadership features through a lifelong developmental process (George *et al.*, 2007).

The theoretical approach to authentic leadership has been emerging from the social sciences and is still in a developmental phase (Alok, 2014). Although Bass (1990) and Burns (1978) identified authentic leadership in their earlier research on transformational leadership, they never fully articulated the approach. Other social science scholars have developed a theoretical framework that could explain authentic leadership. Walumbwa *et al.*, (2008, p. 94) define authentic leadership as "*a pattern of leader behaviour that draws upon and promotes both positive psychological capacities and a positive ethical climate, to foster greater self-awareness, an internalised moral perspective, balanced processing of information, and relational transparency on the part of leaders working with followers, fostering positive self-development*".

Although this definition appears to be quite complex, it encompasses the contemporary thinking and understanding of leadership scholars. Luthans and Avolio (2003) first proposed a model explaining authentic leadership as a process. They

identified four components, laying the foundation for authentic leadership as a theory, represented in Figure 2.8.

Figure 2.8: Authentic leadership, adapted from Luthans and Avolio (2003)



Kernis (2003) argues that a leaders' level of self-awareness determines to what extent they understand their own strengths and weaknesses, have knowledge of their own identity, core values, motives, emotions, and goals. Being aware of oneself at the deepest level empowers one to act decisively, since self-knowledge serves as an anchor of unwavering confidence. During the past decade, research links improved satisfaction with leaders, team effectiveness, and organisational commitment with heightened self-consistency and self-knowledge (Leroy *et al.*, 2015; Peus *et al.*, 2012).

Leaders who use their personal values and internal moral standards to guide their own behaviour, represent the internalised moral perspective of authentic leadership. This is a self-regulatory process since the leader controls to what extent external pressures influence them. Followers value this component of authentic leadership since the leader consistently behave in accordance to their expressed beliefs and morals.

Balanced processing requires self-regulating leadership behaviour and the maturity to solicit others' viewpoints and objectively consider the value of these arguments before taking decisions. Analysing information in an unbiased way, avoiding favouritism, and being open in follower interaction all distinguish the authenticity of a leader.

Kernis (2003) reasons that leaders who openly and honestly share the positive and negative aspects of their true self in an appropriate way with followers, command respect as being authentic. Relational transparency is self-regulating since leaders control the level of transparency. Leaders who share their own motives, core values, and inclinations with followers in an appropriate manner, are seen as being real in their relationships with followers.

Figure 2.8 shows there are additional factors impacting on authentic leadership: positive psychological capacities, moral reasoning, and critical life events. According to Luthans and Avolio (2003), there are four critical positive psychological attributes impacting on authentic leadership. Confidence, hope, optimism, and resilience predispose and enhance a leader's ability to develop the four components required for authentic leadership. Confidence or self-efficacy refers to a leader's belief, motivation, and persistence to successfully accomplish assignments (Luthans & Avolio, 2003). Hope could be defined as a positive motivational state where the leader plans goals with the conviction to succeed. It encompasses the willpower to execute these plans and inspire followers to trust them (Luthans & Avolio, 2003). Optimism entails a cognitive process where the leader has favourable expectations regarding the future. They are positive about their own capabilities to achieve desired outcomes. They choose to approach life from an abundance rather than scarcity perspective. They actively seek to view situations in a positive light. According to Covey (1990), resilience manifest when leaders persevere adverse situations and swiftly recover. Hardship and suffering make them stronger and they often find resourceful ways to adapt and overcome setbacks.

Moral reasoning is another factor that impacts authentic leadership. It speaks to the leader's ethical decision-making – their ability to differentiate between issues of good or bad, and right or wrong. Leaders with moral reasoning act selflessly to advance the

greater good. They promote justice and seek to achieve what is good for followers, the organisation and the broader community.

Figure 2.8 also shows critical life events as a factor impacting on authentic leadership. These events could be positive, as in a promotion or the birth of a child, or negative, as in the death of a loved one or retrenchment at work. Nevertheless, these critical life events serve as catalysts to trigger and grow the development of authentic leadership (Shamir & Eilam, 2005).

Northouse (2019) scrutinises and debates the strengths of authentic leadership. On the positive side, it fills an important void in the uncertain current environment. Prominent public and private leadership failing the past 20 years have created much mistrust in leadership. People are searching for sound and good leadership they can trust and the practical and theoretical approaches discussed here provide a framework for individuals seeking to develop an authentic leadership style. An explicit moral dimension underlies authentic leadership so that leaders aim to place followers' and society's needs above their own, to do what is 'good' and 'right'. Another strength of the model is that authenticity is not an attribute only a select few possess, but a set of values and behaviours that can be developed over time. Lastly, Avolio *et al.*, (2009) argue that the Authentic Leadership Questionnaire (ALQ) is an established, validated, and theory-based instrument, which enables researchers to measure the four critical factors of authentic leadership.

Northouse (2018) also maintains there several unanswered questions around the authentic leadership's weaknesses. Firstly, George's practical approach has not been tested for validity and is not based on empirical evidence. Additional research and data sets are required to substantiate the practical approach. The second weakness is that the moral component not being fully explained in authentic leadership. The relationship between higher-order values and authentic leadership is unclear. According to Mishra and Jha (2017), another issue is the inclusion of positive psychological capacities in the model. Researchers are evaluating the rationale for inclusion and whether the positive psychological capabilities broaden authentic leadership beyond a practical measurement instrument (Cooper, Scandura & Schriesheim, 2005).

Anderson *et al.*, (2017) raise concerns about the effectiveness of authentic leadership for leading the rising millennial cohort. Millennials value individualism, work-life balance, and extrinsic rewards, qualities which could potentially misalign with and render authentic leadership ineffective. Lastly, scholars are perpetually conducting further research seeking empirical evidence to improve the understanding of how authentic leadership is related to organisational effectiveness (Azanza *et al.*, 2015; Crawford *et al.*, 2020; Gatling, Kang & Kim, 2016; Rego *et al.*, 2012; Semedo, Coelho & Ribeiro, 2016; Xu *et al.*, 2017).

2.4.3.3 Servant Leadership

Servant leadership can be described as a paradox. Central to leadership, is the notion to influence followers, which contradicts the act of serving them. Servant leadership does, however, challenge the perception of leadership by presenting an idiosyncratic alternative to the traditional comprehension of leadership (van Dierendonck, 2011; Spears, 1996).

Robert Greenleaf can be considered as the father of servant leadership. In his 1970 ground-breaking work *“The Servant as Leader”*, he argued for leaders to care for institutions and employees by increasing service to employees, developing a sense of community, adopting a holistic approach to the workplace, and sharing decision making power with workers (Spears, 1996). Greenleaf (1970) provides the following explanation of servant leadership: *“[Servant leadership] begins with the natural feeling that one wants to serve, to serve first. Then conscious choice brings one to aspire to lead. . . . The difference manifests itself in the care taken by the servant – first to make sure that other people’s highest priority needs are being served. The best test . . . is: do those served grow as persons: do they, while being served, become healthier, wiser, freer, more autonomous, more likely themselves to become servants? And, what is the effect on the least privileged in society: will they benefit, or, at least, will they not be further deprived?”*

Northouse (2019) simplifies the definition by elucidating servant leadership as *“putting followers first”*. Developing their personal capacities, while simultaneously empowering employees, creates an attentive, empathising, nurturing, and enabling leadership environment. Combining this attentive leadership disposition for the

concerns for others with sound ethical behaviour creates the foundation for servant leadership. This is a leadership approach to serve the greater good of workers, the organisation, the broader community, and society at large.

The first conceptualisation of servant leadership was articulated by Spears (2002) when he abstracted ten core characteristics from Greenleaf’s writings. In an effort to provide practical support to practitioners, Spears articulated and defined these attributes as shown in Table 2.4, which provide a framework of servant leadership.

Table 2.4: Describing the core characteristics of servant leadership, adapted from Spears and Lawrence (2002)

Characteristic	Description
Listening	As much as communication involves an interactive process of sending and receiving messages, servant leaders listen first. A sincere intention and perpetual practise to hear others enables servant leaders to acknowledge and validate others’ points of view.
Empathy	Putting oneself in the shoes of others and seeking to understand their perspectives provide a confirmation to followers that the servant leader truly understands them.
Healing	By caring and supporting followers to successfully deal with personal problems, they become whole or healed. An unintended benefit from this action is that servant leaders experience their own healing whilst attending to followers’ healing.
Awareness	Awareness represents the servant leader’s objective to perceive their own point of view and also within the contextual situation they find themselves in.
Persuasion	Servant leaders use unwavering, non-judgemental, and subtle discourse to achieve change in followers. At the same time, they also strongly oppose any notion of coercion, i.e., using force or positional authority to effect change.
Conceptualisation	Servant leaders see the “big picture”, understand the long-term strategy, and are able to share vision and goals with followers.

	Conceptualisation further extends to creatively solving complicated organisational problems.
Foresight	Servant leaders understand the historical and the present events impacting organisations.
Stewardship	Servant leaders take responsibility to carefully manage organisations and workers.
Commitment to the growth of people	Servant leaders value each follower's uniqueness and respect their intrinsic value. They feel an obligation to tangibly support followers personally and professionally to grow in the organisation.
Building community	Servant leaders advance the development of a community where followers belong, are connected to others, and feel safe. Notwithstanding this strong communal orientation, followers still preserve their individuality and freedom of expression.

At the turn of the century, round 30 years after Greenleaf's first essays on servant leadership saw the light, it was still only regarded as a leadership approach, with a description of characteristics and normative principals. But the next few years saw a renewed interest in servant leadership and sparked numerous scholarly activities. Table 2.5 provides a synopsis of some of the research that took place during this time. From the research results, it is clear that although there are a few common characteristics, such as authenticity and humility, scholars in the main disagree on the specific characteristics defining servant leadership. Although none of them conceptualise servant leadership precisely the same way, they do provide a foundation for the development of a model to explain this phenomenon.

Table 2.5: Key characteristics of servant leadership, adapted from Spears and Lawrence (2002)

Laub (1999)	Dennis & Bocarnea (2005)	Barbuto & Wheeler (2006)	Wong & Davey (2007)	Sendjaya, Sarros & Santora (2008)	Van Dierendonck & Nuijten (2011)
Developing people	Empowerment	Altruistic calling	Serving and developing others	Transforming influence	Empowerment
Sharing leadership	Trust	Emotional healing	Consulting and involving others	Voluntary subordination	Humility
Displaying authenticity	Humility	Persuasive mapping	Humility and selflessness	Authentic self	Standing back
Valuing people	Agapao love	Organisational stewardship	Modelling integrity and authenticity	Transcendental spirituality	Authenticity
Providing leadership	Vision	wisdom	Inspiring and influencing others	Covenantal relationship	Forgiveness
Building community				Responsible morality	Courage
					Accountability
					Stewardship

Spears and Lawrence (2002) further proposed the servant leadership model represented in Figure 2.9, which they adapted from research done by Liden *et al.*, (2008) and Liden *et al.*, (2015). It comprises of three main components: antecedent conditions, servant leader behaviours, and leadership outcomes. Table 2.6 provides a description of the elements contained in the model.

Figure 2.9: Model of servant leadership, adapted from Spears and Lawrence (2002)

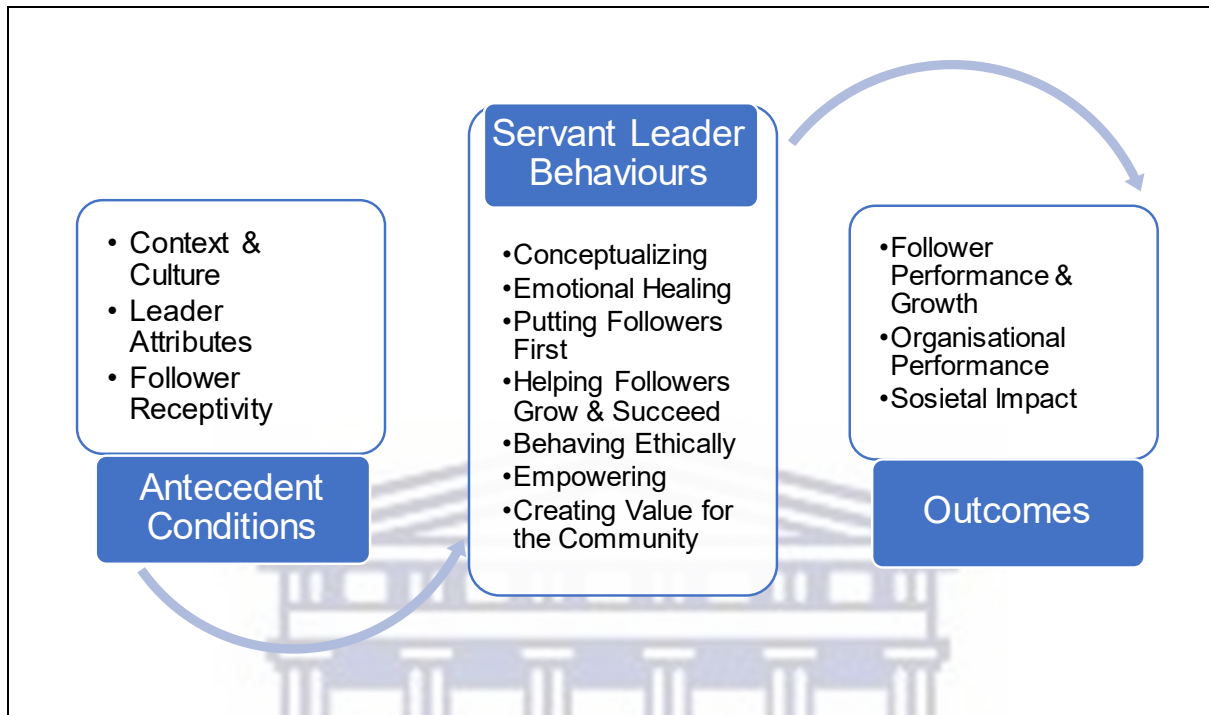


Table 2.6: Description of servant leadership model’s antecedent conditions, leader behaviours, and outcomes, adapted from Spears and Lawrence (2002)

Antecedent Conditions	Description
Context and Culture	Dimensions of culture, a particular context, and organisational culture influence the way servant leadership will be implemented
Leader Attributes	Leader’s character, skills, perceptions, moral maturity, emotional intelligence, and self-determinedness vary, which impacts how they engage with servant leadership
Follower Receptivity	Do all followers desire servant leadership as a preferred leadership style? The answer is no. Some associate it with micromanagement, which impacts negatively on their work performance. Servant leadership works best where there is an alignment between the follower and the servant leader’s need to work in a servant leadership paradigm.
Leader Behaviours	
Conceptualising	Having a clear vision of the long-term strategy, yet understanding the intricacies of a complex organisation’s operations and goals; the ability

	to find creative solutions to multifaceted and complex problems
Emotional Healing	Recognising and addressing the needs and problems of followers; supporting followers in a caring and nurturing way
Putting Followers First	The sine qua non of servant leadership; manifests through words and actions which convey that the concerns of followers, their interests, and success are the top priority
Helping Followers Grow and Succeed	Making followers' career development and personal/professional growth a vital objective; striving for followers to achieve self-actualisation and their maximum human potential is imperative
Behaving Ethically	Ethical behaviour is a non-negotiable; includes open, fair, and honest interaction with followers demonstrating ethical principles through every action
Empowering	Building the confidence of followers through the delegation of power; followers are allowed to make independent decisions, think for themselves, and manage tough situations the way they see fit
Creating Value for the Community	Encouraging followers and leading from the front to create value for communities; taking opportunities to connect the goals and purpose of the organisation with the needs and purposes of the broader community; intentionally giving back to communities
Outcomes	
Follower Performance and Growth	Servant leaders intentionally and deliberately seek to develop and support followers to maximize their human potential as a key organisational outcome
Organisational Performance	The positive behaviour of followers going beyond the normal expected performance requirements improves the overall performance of the organisation
Societal Impact	Although not an intended measurable outcome, there is much anecdotal and real-word evidence to support this premise

Considering the current developmental state of servant leadership as a theory, van Dierendonck (2011) and Liden *et al.*, (2008, 2015) evaluate the strengths and weaknesses of the model. In terms of strengths, it places altruism in the core of the leadership process, puts followers first through empowerment, and embraces their personal and professional development. It also employs the unconventional and

counterintuitive approach of not using power or influence. By advocating for leaders to relinquish or share control, it departs greatly from the traditional leadership approach of dominating and directing followers.

Another important quality of the servant leadership theory is that it is not discussed as the ultimate panacea. Scholarship acknowledges that servant leadership is not suitable for all situations. Liden *et al.*, (2008) consider the followers' readiness to adopt servant leadership as an important precondition for the successful implementation of servant leadership. Recently, there has been renewed interest in the model, resulting in an increase in servant leadership research. This includes the development of a rigorous and validated servant leadership questionnaire (SLQ) to measure 28 items associated with the seven distinct servant leadership dimensions (Liden *et al.*, 2008, 2015).

Northouse (2019) also cite a number of challenges associated with servant leadership. First is the perception that serving and leading are two contradictory phenomena, a paradox. Central to this inconsistency is the question: what is the mechanism for influence and furthermore, how does influence function in servant leadership? The answer to this question is not yet fully understood. Secondly, scholars do not agree on the core dimensions of servant leadership. According to van Dierendonck (2011), there is a lack of consensus regarding the multitude of behaviours, abilities, and traits to serve as an agreed framework. Therefore, the robustness of servant leadership theory will remain limited until a more comprehensive body of research can substantiate the theoretical formulation more clearly. Thirdly, the altruistic adoption of *putting others first* as a leadership approach, does not align well with a number of other viewpoints. More traditional business principles that are in conflict with servant leadership are concerns for production, goal setting, creating a vision, and individual autonomy. Lastly, there is a debate amongst scholars regarding 'conceptualising' as a servant leader behaviour (Table 2.6 has reference). Some perceive it to be a cognitive ability and not a behaviour. More research is required to clarify conceptualisation as a determinant for servant leadership (Van Dierendonck, 2011).

2.4.3.4 Adaptive leadership

Heifetz published his first work “*Leadership Without Easy Answers*” on adaptive leadership in 1994. In this seminal book, he argues for a unique approach to leadership, one in which leadership encourages people to adapt in response to changes, challenges and problems. Adaptive leadership focuses on leaders’ ability to direct followers’ work within various problematic contexts. Adaption reaches across several levels ranging from self, to organisation, to community and broader society. As the theory is in the formative stages of development, much of the current work on adaptive leadership has been underpinned by observational and anecdotal data (Heifetz, 1994).

Heifetz, Grashow, and Linsky (2009) postulate that mobilising people to resolve tough challenges effectively underscores the essence of adaptive leadership. As opposed to the more traditional perspective where a leader is considered to be a saviour, and the solver of all problems, adaptive leadership underscores the pivotal role of followers by changing their values to the extent that they are capable to resolve their own problems. The role of the leader is to provide support and create an enabling environment for followers to learn new ways to succeed.

Complexity leadership theory can be used as an additional perspective to understand adaptive leadership. This framework supports knowledge production, in the current knowledge economy, as opposed to product production, which is prevalent in the previous industrial era (Uhl-Bien, Marion & McKelvey, 2007). Uhl-Bien *et al.*, furthermore argue that adaptive leadership is being perceived as a complex procedure within a social system. Its origin is embedded in conflict between people with varied preferences, needs, and ideas.

Figure 2.10 heuristically proposes the basis of the adaptive leadership process. Multiple dimensions define this complex process, including situational challenges, leader behaviours, and adaptive work. The unique goal is to mobilise followers to perform adaptive work.

Figure 2.10: Model of adaptive leadership, adapted from Heifetz (1994) and Heifetz and Laurie (2009)



Heifetz (1994), and Heifetz and Laurie (2009) argue that situational challenges comprise three different types: technical, adaptive, and a combination of technical and adaptive. Technical challenges can be defined as those manifesting in the self, the workplace, or the community, for which solutions are evident. Leaders have to resolve these problems by enlisting experts with the required competencies and knowledge. Followers look to leadership to take action and eradicate technical problems. Where the challenges comprise a combination of technical and adaptive challenges, both leaders and followers must find the appropriate solutions. These kinds of problems are not as straight forward as purely technical challenges, and leaders have an obligation to provide resources and support. However, followers need to learn, adapt, and ultimately do the work to resolve these obstacles. Adaptive challenges are outside the realm of standard business practise processes and leadership proficiency. Often resistant and difficult to resolve, these challenges require followers to adapt, to change their values, their roles, and priorities. Leaders can only encourage followers to change by creating an enabling environment.

Leader behaviour is situated in the middle of the adaptive leadership model depicted in Figure 2.10. Heifetz (1994) proposes six leadership behaviours as a formula to execute adaptive leadership. The order of these behaviours is important, but overlap could manifest. *“Getting on the balcony”* is a metaphor to provide the leader with space and distance away from the problem. This enables an objective perspective by looking holistically at the challenges. Isolating leadership from the chaos, noise, dysfunctionality, and power conflicts establishes a clearer view of the big picture to allow fresh perspectives. Identifying the adaptive challenges provides leadership with the big picture to be able to differentiate between technical and adaptive challenges. The leader must perform analysis and take decisive action to separate these two types of challenges in the adaptive leadership process.

“Regulating distress” requires leaders to monitor stress levels caused by change and manage them within a productive range. Moderate stress is useful and provides energy and focus to resolve the challenges requiring change. Too high levels of stress cause dysfunctionality and are not productive to resolve challenges.

Leaders *“maintain disciplined action”* by focussing followers’ attention to confront the needed change to get the tough job done. All people seek equilibrium and it is difficult to disrupt their balance to effect changes to their behaviours, values, and beliefs. Yet, accommodating these changes facilitates growth and empower followers to resolve the challenges themselves.

Leaders *“give the work back to the people”* by finding the correct balance to lead followers. Too much structure and support impact negatively on followers’ confidence and could be debilitating to the organisation. Followers want to participate actively in problem-solving and leaders must provide the correct level of support to enable their creative abilities.

Leader *“protect leadership voices from below”* by allowing minority voices to have a say. This is not always popular within the broader organisation. Yet, when given the opportunity, these often-marginalised voices become more independent and responsible. They seek to be more involved in adaptive work by contributing to

planning and decision-making. This is challenging, since adaptive leaders need to relinquish some control to include these low-status outgroup individuals.

Adaptive work, situated on the right-hand side of the adaptive leadership model in Figure 2.10, represents the outcome of the process. The “*holding environment*” is a virtual, real, or relational space where followers are safe to confront their own values, roles, and priorities. It is imperative for leaders to create and uphold this enabling environment where followers can learn, change, and do the adaptive work.

“*Leader-follower interaction*” can be described as a communication process where followers and leaders, converse. The nature of the leader’s communication is not directive or domineering. The leader acts as a change agent, guiding and supporting followers to grow and evolve to do the adaptive work (Heifetz, 1994; Heifetz & Laurie, 2009).

According to Heifetz (1994), and Heifetz & Laurie (2009), adaptive leadership has a multitude of strengths. The first strength is underscored by the process approach to leadership. Adaptive leadership emphasises the compound transactional nature of the process, as opposed to a characteristic or trait approach. It is a complex iterative process where leaders and followers interact and influence one another within multiple dimensions. Second, adaptive leadership is a follower-centred approach, which aims to mobilise followers to perform adaptive work. Followers grow through learning and change. As a consequence, leaders have the obligation to facilitate an enabling environment where, for example, they regulate stress and enable followers’ progress.

Adaptive leadership is unique in helping followers to deal with conflicting values by amending their own values according to the required adaptive context. Northouse (2019) exalts this as a distinctive strength no other leadership theory contemplates. Adaptive leadership also provides a prescriptive approach: a practical and functional formula leader can follow towards success. Lastly, the conceptualisation of a holding environment where followers can confront and experiment with conflicting values in a safe space is important. Leaders facilitate this relational, physical, or virtual area where dialogue can be initiated and followers can seek answers to learn, grow, and produce adaptive work (Heifetz, 1994; Heifetz and Laurie, 2009).

Heifetz (1994) also considers a few of the prominent criticisms against adaptive leadership. In the first instance, adaptive leadership was originally developed as a practical approach to guide leaders and followers toward achieving adaptive work. Therefore, initially, very little empirical research was conducted, and only recently have scholars begun attempting to provide some tenets to support the adaptive leadership model. The next criticism is aimed at adaptive leadership being too loosely defined, too abstract, and wide ranging. Without clearly defined constructs, practitioners might adopt their own subjective interpretations, which potentially deviate from Heifetz's (1994) original work on adaptive leadership.

Lastly, although adaptive leadership suggests there is a moral dimension incorporated into the approach, it does not describe how it is integrated. Adaptive leadership underscores the process whereby followers confront conflicting values, learn, grow, and adapt their values to deliver on adaptive work. More research is required to establish the linkages between followers' changing values and morality, and how this affects social change for the greater common good.

2.4.3.5 Team (Shared or distributed) Leadership

Team leadership is different from the previous discussions on contemporary leadership in the sense that it exalts and exploits the power of the collective team members to provide leadership. Northouse (2019) defends the increasing need for organisations to adopt a team approach and cites globalisation, surging organisational complexity, and flat organisational structures as contributing phenomena. Independent team members work collectively and coordinate their efforts to achieve shared organisational goals. Although face-to-face, virtual, and hybrid teams are typical, Wageman, Gardner, and Mortensen (2012) argue that the exact definition of what constitutes team leadership and contemporary collaboration is constantly evolving. Some of the prominent focus areas of team leadership are to improve competitiveness as a result of flat organisational structures, response time, and adaptation to changes. Also, "team-based and technology-enabled" organisations, which are time- and space-dispersed, communicate effectively in real-time to retain a competitive edge in the market place (Muethel, Gehrlein & Hoegl, 2012).

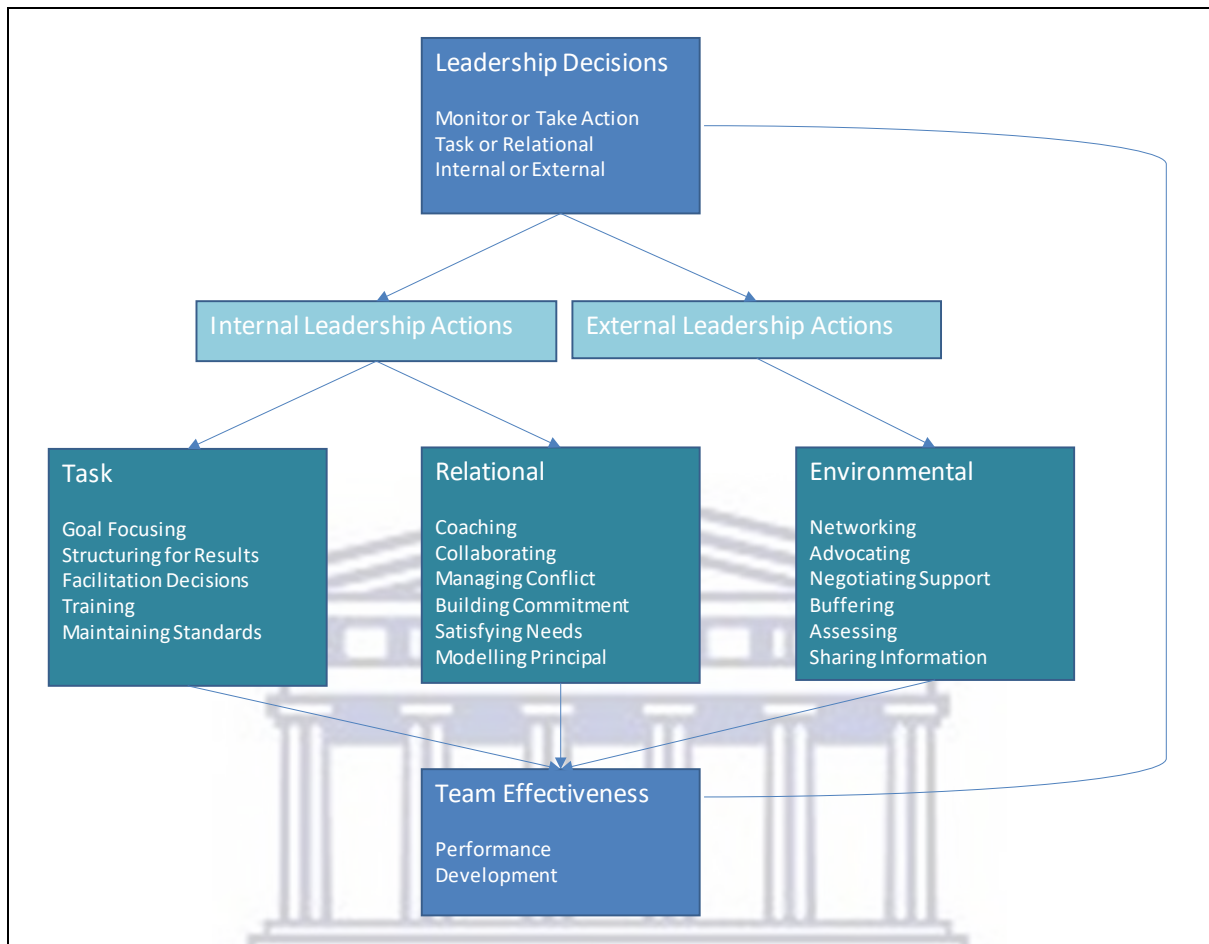
In shared or distributed leadership, the leadership role rotates to those individuals who are most capable to lead under specific circumstances. Once the problem has been resolved and the solution has been implemented, the leadership role rotates to the next team member who is most capable to deal with the next challenge. Since the monitoring, selection, and implementation of a leadership intervention is shared throughout the team, team effectiveness is significantly increased (Zaccaro, Rittman & Marks, 2001).

Petkovski (2014) presents the Hill team leadership model, shown in Figure 2.11. This model also provides for a tool to examine and understand the complexities embedded in team leadership. The workflow is initiated by leader decision-making, followed by appropriate leadership actions, which finally results in team effectiveness indicators. Underpinning the Hill leadership model are the leadership processes of monitoring, communication, and taking decisive action. According to Zaccaro, Rittman, and Marks (2001), leaders conceptualise a mental model that highlights the problems confronting the team, evaluate organisational and environmental contingencies, and propose potential solutions. Effective leaders have a wide repertoire of capabilities and are able to adapt their own behaviour to match the needs of the team.



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Figure 2.11: Team leadership, adapted from Petkovski (2014)



In the Hill model, the bottom box “*team effectiveness*”, consists of two critical functions. Performance refers to task accomplishment and assessing the team outputs with regard to quality standards. Team development refers to creating and maintaining a cohesive team where members Achieve personal needs whilst maintaining sound relationships with other team members.

In support of the Hill model of team leadership, numerous scholarly interests in organisational team effectiveness manifested. The research of Larson and LaFasto (1989), identify eight characteristics that consistently showed up in successful teams. This research also correlates well with the work done by Hackman (2012) where he further highlighted six enabling conditions as standards of excellence in teamwork. Table 2.7 compares and indicates alignment between these two sets of criteria for team effectiveness.

Table 2.7: Comparison of theory and research criteria of team effectiveness, adapted Hackman (2012), and Larson & LaFasto (1989)

Enabling Conditions of Group Effectiveness (Hackman, 2012)	Characteristics of Team Excellence (Larson & LaFasto, 1989)
Compelling purpose	Clear, elevating goal
	Results-driven structure
Right people	Competent team members
Real team	Unified commitment
	Collaborative climate
Clear norms of conduct	Standards of excellence
Supportive organizational context	External support and recognition
Team-focused coaching	Principled leadership

The benchmarks for team excellence as summarised in Table 2.7 are useful norms to improve team leadership. These standards for a team health check underscore where teams have weaknesses and direct leadership to areas where effectiveness could be improved. A description of Larson and LaFasto's (1989) eight characteristics of team excellence is provided in Table 2.8.

Table 2.8: Description of the characteristics of team excellence, adapted from Larson & LaFasto's (1989)

Characteristics of Team Excellence	Description
Clear, elevating goal	Team members need to engage and believe in the purpose and importance of their common goals. Clarity is imperative and members should continuously engage and focus on the tasks to accomplish their shared goals.
Results-driven structure	Organisational results are driven by appropriate team structures. These include codes of conduct, task design, and the team composition. Different teams require different structures to be effective (i.e., top management deals with strategy, marketing teams require an environment where innovation can flourish, operational teams deal with tactics, etc.). Clear role clarification, excellent communication, fact-driven decisions, and accountability are essential enablers of team performance.

Competent team members	Competent teams require the correct composition in terms of human resources and skillsets. Technical, interpersonal, and teamwork skills, including action orientation, positive personality, openness, and being supportive to the other team members, are pivotal to team success. It is common to see the inclusion of technical skills, for example an engineer or a doctor, just assuming they possess the interpersonal and team skillsets to work effectively in a team, when in fact they do not. Competent team members have the right skills mix to successfully accomplish the team goals.
Unified commitment	Work groups, or a collection of individuals, are not necessarily work teams. Teams are purposefully developed and designed to exhibit unity towards the purpose and goals of the team.
Collaborative climate	Prerequisites for a collaborative climate include respect, openness, honesty, consistency, and trusting relationships. Collaboration demands listening to other members, but with a truthful intention to understand one another. It includes taking calculated risks and supporting each other, whilst retaining razor-sharp focus on shared goals. Individual members' unique contributions in a collaborative atmosphere are imperative. It is the integration of the individual contributions that results in true problem solving and achieving team goals.
Standards of excellence	Teams should engage in defining standards of excellence, which are clear outcomes that every team member agrees to achieve. A process whereby actual team performance is measured against the defined standards, providing feedback to resolve under-performance and acknowledging excellent performance, creates momentum to achieve and sustain superior team performance.
External support and recognition	Team success depends on resource availability. Data and information, training, well defined outcomes and direction, monetary resources, and rewards and recognition, can all have a critical impact on the success of a team. As much as there is recognition that having the correct team members and skills mix matters, external support is not negotiable for team excellence.
Principled leadership	Leadership is the central driver of team excellence. This is done through four processes: cognitive (preparing the team to comprehend the problem or task); motivational (inspiring the team to unite and face the team assignment head-on); affective (supporting the team to manage the stress associated with achieving the team goals); and co-ordinate (aligning the team member skills with team roles, clarifying strategy, and adapting to changes in the environment).

Regarding, the top box in the Hill Model, "*leadership decisions*", Petkovski (2014) differentiates between three key decisions leadership need to assess. Firstly, do leaders continue to monitor and observe or is there a need to intervene in the activities

of the team? Secondly, is the problem accomplishing the team task or maintaining relationships? Lastly, does leadership need to intervene at the internal level or in the team’s external environment? Table 2.9 provides a mind map to visually follow the logic of these leadership decisions.

Table 2.9: McGrath’s critical leadership functions, adapted from Hackman & Walton (1986)

	Monitor	Executive Action
Internal	1. Diagnosing Group Deficiencies	2. Taking Remedial Action
External	3. Forecasting Environmental Changes	4. Preventing Deleterious Changes

Specific leadership actions are discussed in the middle section of the Hill model. Internally these refer to “*task*” or “*relational*”, and externally there are “*environmental*” team leadership actions (Petkovski, 2014). Table 2.9 provide an impression of potential actions leadership could consider under the three conditions.

Where teams are not functioning optimally in terms of the task criteria, they require leaders to intervene and focus on the specific task performance problem on hand. The same is true for the criteria listed under relational and environmental conditions, where leaders need to improve relationships or connect/protect the team regarding the

environment, respectively. Table 2.10 summarizes the potential leadership actions that can enable effective team performance.

Table 2.10: Supporting leadership actions to enable effective team performance, adapted from Neck & Manz (1994) and Zaccaro *et al.*, (2001)

Internal task team actions	Supporting leadership actions
Goal focusing	Gaining agreement, clarifying
Structuring for results	Visioning, planning, clarifying roles, organizing and delegating
Facilitating decision making	Focusing on issues, informing, coordinating, mediating, controlling, synthesizing
Training team members in task skills	Developing, educating
Maintaining standards of excellence	Assessing individual and team performance, confronting inadequate performance
Internal Relational Leadership Actions	Supporting leadership actions
Coaching team members in interpersonal skills	Listening skills, emotional intelligence, etc.
Collaborating	Involving and including team members
Managing conflict and power issues	Avoiding groupthink, questioning ideas, avoiding or fighting confrontation (Neck and Manz, 1994)
Building commitment and esprit de corps	Socializing, being optimistic, envisioning, recognizing, rewarding, innovating
Satisfying individual member needs	Advocating, trusting, supporting
Modelling ethical and principled practices	Consistent, fair, normative
External Environmental Leadership Actions	Supporting leadership actions
Networking and forming alliances in environment	Increasing influence, gathering information
Advocating and representing team to environment	FYI policy, newsletters
Negotiating upward to secure necessary resources, support, and recognition for team	Clerical support, align resources with team goals
Buffering team members from environmental distractions	Block unnecessary demands, keep distractions away
Assessing environmental indicators of team's effectiveness	Performance indicators, surveys, evaluations
Sharing relevant environmental information with team	Information sessions, "What's new" briefings

The Hill model provides some insights as to the complexities of leading a team. Leaders must continuously evaluate team performance and skilfully decide on what

action to take or, purposefully, not take. An objective and open leadership approach will foster trust and buy-in from the team members regarding actions and interventions required.

According to Northouse (2019) the model has four strengths. Placing the model in a real-life organisation, industry, or societal environment where leaders need to apply practical actions has much value. The second strength is that the model serves as a cognitive guide to empower team leadership. Medium (1985) furthermore proposes that the leader as a metaphoric medium is central in dealing with the complexities of the team leadership phenomenon. Thirdly, the model emphasises the critical functions of leadership, as opposed leadership as a position of power. This school of thought postulates a shared leadership approach, where the leadership role rotates to team members most capable and skilled to deal with a specific circumstance. Therefore, any team member can take the lead to diagnose and take action according to their competencies.

There are also a few challenges associated with the Hill team leadership model. As much as the model facilitates a process of team leadership decision making, it is limited in its scope of support. Wageman, Fisher, and Hackman (2009) propose for pre-planning and timing to be considered as additional skills, while Zaccaro *et al.*, (2001) argue for coaching and training to support team leadership. Wageman *et al.*, (2012) further suggest that the model be adjusted and modified to the needs of a specific situation. Scholars are increasingly researching team leadership weaknesses to provide empirical evidence to improve and develop team leadership models (Morgeson, DeRue & Karam, 2010).

2.5 SUMMARY

Leaders in the 21st century need to adopt and practise a new style of leadership in order to be successful in their dynamic environments. Davids (2015) argues that South African leaders need to retire the old thinking, systems, and business practises that are so deeply entrenched in organisational culture. He advocates for contemporary leaders to engage in practises for globalisation, informationalism, and expanded networks as potential new applications to enable leadership effectiveness. Investigating the traditional and contemporary theories of leadership, as well as the

VUCA leadership research, provides a foundation of concepts, behaviours, and characteristics for effective leadership in a South African HEI.

An extension of the literature review continues in Chapters 4 and 5, where the characteristics of effective leadership (Section 4.2, Table 4.1) and the influential factors impacting leader effectiveness (Section 5.2. Table 5.2), are supported by contemporary leadership theory respectively.

The next chapter will examine the research methods employed in the present study.



Chapter 3: RESEARCH METHODOLOGY

"The time is always right to do what is right." - Martin Luther King Jr.

3.1 INTRODUCTION

Chapter 3 provides an overview of the research methodology employed in the present study. This includes a discussion on the research design and approach, the population and sampling process, the method of data-collection, the data analysis process, trustworthiness of the study and finally, typical ethical considerations.

The present study investigates contemporary leadership behaviour within the VUCA environment of a HEI. By investigating the experiences of leaders at a public university, the study aims to uncover the critical enablers of leader effectiveness in a VUCA environment. Specifically, the study seeks to develop a deep understanding of the specific leader characteristics and influencing factors for effective leadership in a public university. An overview of the research design is provided in Table 3.1.

Table 3.1 Research design flow chart

Research design flow (the "how" question)	Application of theory in the present study (the "why" question)
Qualitative Research Design	Aim: Describe and develop an in-depth understanding of effective leadership in a Higher Education Institution (HEI)
Qualitative Research Methods	Aim: Derive and validate a set of leadership behaviours from the existing theory Process: (1) Synthesise a set of leadership themes that support VUCA leadership effectiveness <i>a priori</i> and (2) gather data from leaders in an HEI to gather evidence that either supports or does not support the themes
Qualitative Descriptive Study	Aim: Verify and extend current leadership theory through interviews with participants who can provide rich descriptive data about the phenomenon Process: (1) Adopt an ontological and epistemological orientation of relativism and subjectivism, respectively, and (2) Adopt a naturalistic inquiry approach where investigation takes place under normal conditions, at the natural place of work

Qualitative Content Analysis	<p>Aim: Analyse interview transcripts for themes that are relevant to the VUCA leadership phenomenon</p> <p>Process: Uncover themes in the data by highlighting the original interview transcript text and then categorising themes during a second iteration</p>
Directed Qualitative Content Analysis	<p>Aim: Use the themes uncovered in the existing leadership theory <i>a priori</i> to compare responses from participants</p> <p>Process: Generate codes from the interview transcripts based on the literature themes</p>

3.2 RESEARCH APPROACH

3.2.1 Research Design

Magilvy and Thomas (2009, p. 298) define a research design as “*the full research process from conceptualisation of the research problem, generation of data, analysis and interpretation of findings, and dissemination of results*”. This study employs both non-empirical and empirical research methods to address the central research aim of describing leadership effectiveness for HEI leaders in a VUCA environment. The literature review of contemporary leadership theory in Chapter 2 provides a basis for the leader characteristics and influencing factors that may describe effective leadership under these conditions. Assarroudi *et al.*, (2018) explain that in order to extend or validate a theory or a theoretical framework conceptually, a directed content analysis of qualitative data is a useful approach. In line with a directed qualitative content analysis, described in greater detail in section 3.6, this body of contemporary leadership literature was analysed for prominent themes to serve as theoretical reference point for the empirical research data.

A qualitative research design is then employed to gather empirical data that can provide either support or non-support for the themes identified in the literature. Academic literature provides evidence that social disciplines, including applied fields such as leadership and management, social work, education, nursing, community development, and regional planning, are increasingly selecting qualitative research as their mode of inquiry (Insch, Moore & Murphy, 1997; Avolio & Gardner, 2005; Dinh *et al.*, 2014; Page, 2016; Petan & Bocarnea, 2016; Yigit & Bozkurt, 2017).

Gray, Grove & Sutherland (2016) explain, “*Qualitative research is a rigorous, scholarly, interactive, holistic, subjective research approach used to describe life experiences, cultures, and social processes from the perspectives of the persons.*”

According to Lambert (2012) and Gray, Grove, & Sutherland (2016), qualitative research seeks to investigate phenomena in natural settings, from the perspective of the people experiencing it. Erlingsson and Brysiewicz (2017) argue that this real-world approach is crucial to improve the researcher’s understanding of the leadership phenomena under investigation, since human experiences are often complex and convey meaning on multiple levels. Furthermore, qualitative research can be employed to extend existing theories, test their accuracy, or develop new strategies (Gray, Grove & Sutherland, 2016; Erlingsson & Brysiewicz, 2017).

Lambert (2012, p. 256) explains that “*the presentation of data from a qualitative descriptive study involves a straight-forward descriptive summary of the informational contents of the data that is organised in a logical manner*”. Magilvy and Thomas (2009, p. 299) also define such an approach as a “*comprehensive summary of an event in the everyday terms of those events*”. A descriptive study seeks to describe a specific phenomenon clearly from a naturalistic perspective, inquiring about people’s human experiences and situations in their natural states (Lambert, 2012). The worldview and presuppositions of a qualitative descriptive study therefore align with the aims and purpose of the present study.

3.2.2 Philosophical assumptions

Weaver and Olson (2006) reason that philosophical underpinnings not only direct the content of knowledge, but also how phenomena should be investigated during research. These assumptions dictate how research information should be collected, interpreted, and used.

Considering the mentioned naturalistic focus of this qualitative descriptive study, phenomena can only be examined through the participants’ perspectives and understanding. Furthermore, as postulated by Bradshaw, *et al.*, (2017), the researcher’s own point of view also affects the research. Table 3.2 summarises key philosophical assumptions underlying qualitative descriptive studies. These assumptions direct the methodology of this study.

Table 3.2 Philosophical underpinnings of qualitative descriptive approach, adapted from Bradshaw, Atkinson, and Doody (2017)

Philosophical Underpinning	Description
Inductive process	Adds knowledge; develops a conceptual or theoretical framework; provides a picture of phenomenon
Subjective	Researcher and participants have own perspective
Develop an understanding and describe phenomenon	It does not imply evidence for the present study
Researcher is active in the research process	Researcher is immersed in the data through an interactive process of asking questions and clarifying answers
Emic stance	Insider view as participants provide perspectives, but researcher interpret evidence provided by participants
Conducted in the natural setting	Data collected in the natural environment where participants experience phenomenon

3.2.3 Ontological assumptions

Martin and Jessie (2000) describe ontology in terms of their assumptions about the known world and the knowing human. Bradshaw, Atkinson, and Doody (2017) add that ontology can be viewed as the study of being, the real world, and an account for reality.

Since the present study is anchored in the naturalistic paradigm, relativism represents the ontological position. This implies that reality is subjective and is influenced by the human senses. It is different for various individuals, since their consciousness, in interaction with phenomena, is a personal experience. These experiences contribute to their own personal interpretation and determination of the meaning of phenomena (Bradshaw, Atkinson & Doody, 2017). Language is furthermore an important factor within descriptive study, since it records and expresses individuals' construction of their reality. Sandelowski (2010) clarifies the order of priority within the qualitative descriptive study. The first objective is to accomplish rich and in-depth understanding. The second is to record a literal description of events. The third and last objective is to analyse and interpret human understanding of the phenomena being examined. Imperative though to appreciate these objectives adhere to the relativism criteria of personal interpretation and determination of the meaning.

3.2.4 Epistemological assumptions

Bradshaw, Atkinson and Doody (2017, p. 2) define epistemological assumptions in terms of the “*creation, development, and communication of knowledge.*” Martin and Jessie (2000) offer the “*conceptions of knowledge*” as a further elaboration.

Similar to the previous discussion regarding ontology, the present study’s naturalistic paradigm also informs subjectivism as the epistemological position. Congruent with qualitative descriptive study, subjectivism postulates that there are many interpretations of reality, and that the world cannot exist independently from people’s knowledge of it.

In the present study, participants’ subjective awareness is supported by detailed verbatim real-world descriptions as supporting evidence. In the final instance, Bradshaw, Atkinson and Doody (2017) argue that knowledge is socially constructed through the integration of the research participants’ realities with those of the researcher.

These philosophical, ontological and epistemological assumptions dictate a highly involved role for the researcher. Magilvy and Thomas (2009), Lambert (2012), and Erlingsson and Brysiewicz (2017) point out that the simultaneous collection and analysis of data is a standard practice for qualitative descriptive studies. Such a research approach enables a systematic, scholarly, and iterative process, whereby researchers have the flexibility to move frequently between data collection and analysis. This helps them reflect, think abstractly and conceptually, whilst being immersed in the data for a prolonged time.

3.3 RESEARCH METHOD

3.3.1 Research setting

The unit of analysis in this study is the individuals who hold formal leadership positions at a HEI. A public university in the Province of the Western Cape, South Africa, was selected as the research setting.

3.3.2 Population and sampling

According to (Gray, Grove & Sutherland, 2016, p. 1077), a population is defined as “all elements (individuals, objects and events) that meet the sample criteria for inclusion in a study”.

The population for the present study is the university employees who occupy any of the three strata of leadership within the institution: middle management, senior management, and executive management. Congruent with the aims and purpose of the present study, and as recommended by Magilvy and Thomas (2009), the inclusion criteria for the sample participants were: their availability and willingness to participate, their ability to communicate effectively, and their knowledge and experience regarding the phenomenon under investigation.

A purposive, non-probability quota sampling technique was therefore employed to select participants who met the inclusion criteria and could provide rich qualitative data. The quota sample was furthermore selected on a non-proportional basis, with a minimum number of participants in each leadership stratum. The sample size was further constrained by Onwuegbuzie and Leech’s (2007) guideline that the research sample should be large enough to achieve data saturation, yet small enough to achieve rich qualitative data. In addition, Magilvy and Thomas (2009) also provide a rule of thumb to guide the sample size: “A typical sample size for a qualitative descriptive study may be as few as three to five persons, ranging up to about 20 participants.” The present study’s final sample consisted of 24 participants, as shown in Table 3.3.

Table 3.3 Sample size and distribution

Leadership Stratum	Example Leadership Roles	Minimum Sample Size	Actual sample size
Executive management	Deputy Vice Chancellors	2	2
Senior management	Faculty Deans Deputy Deans Directors of Schools Deputy Directors	10	11
Middle management	SARChI Chairs* Professors Faculty and operational managers	10	11

*The South African Research Chairs Initiative (SARChI Chairs)

3.3.4 Data collection tool

Semi-structured interviews consisting of a combination of open-ended and directed questions were employed as the data collection tool. In line with the recurring inductive-deductive hybrid analytical strategy, the questions were designed to reflect the themes extracted from the literature on contemporary leadership theories. Table 3.4 provides a summary of the leadership themes uncovered in the literature review *a priori* research, which provide the basis for the deductive categorisation matrix.

Table 3.4 The coding agenda

Research Question	Leadership themes from literature review
Research Question 1: What are the behaviours and characteristics of effective leaders within HEIs in a VUCA environment?	<ol style="list-style-type: none"> 1. Empowerment 2. Trust 3. Level of engagement and commitment 4. Teamwork 5. Innovation and creativity in solving problems 6. Communication 7. Ethics 8. Emotional intelligence 9. Collaboration 10. Consensus seeking 11. Mindfulness
Research Question 2: What factors influence these leadership behaviours?	<ol style="list-style-type: none"> 1. Organisational culture 2. The role of women in leadership 3. The role of millennials in leadership 4. Diversity

In the semi-structured interview schedule (Annexure A), questions 1 to 3 are open-ended and are used as part of the data validation process for the directed content analysis. For example, question two asks, *“Do you believe you have adequate skills to lead effectively under VUCA conditions?”*

Questions 4 to 14 were directed questions that inquired about the 11 predetermined coding categories to answer the first research question. For example, question five asks, *“To what extent do you experience trust in the workplace?”*

Questions 15 to 18 were directed questions that inquired about the four predetermined coding categories for the second research question. For example, question 15 asks, *“How does the university’s organisational culture impact on the effectiveness of*

leadership?” Question 19 is an open-ended question for closing the interview with suggestions for future research in mind: *“Do you have any other suggestions on contemporary leadership behaviour that can inspire and improve high performance under VUCA conditions in the modern university?”*

The semi-structured nature of the interviews allowed the researcher to ask follow-up questions for clarity during data collection.

Along with the open-ended questions, participants were asked a set of closed-form questions where they were required to rate on a Likert scale, the presence of 11 leadership characteristics within both the university and their respective departments.

3.4 ETHICAL CONSIDERATIONS

3.4.1 Ethics Approach

Ethical considerations are pivotal in qualitative research to ensure regard for the wellbeing and protection of human participants in the study (Dresser, 2012; Singh, 2012; Sobottka, 2016; Clark, 2019). Every humanly possible precaution should be taken to ensure the research procedures are placing the interest of participants first. This requires the complete research cycle, from the planning phase to the data collection and analysis phases, adheres to strict codes of research conduct and ethics standards.

This study has been conducted in compliance with the required ethics standards as defined by the University’s Research Ethics Policy. The researcher’s written compliances with the University’s code of conduct are provided in Annexure F. Following on from the data collection process, a series of ethical clearance processes were followed. Ethics approval was obtained from the University’s Humanities and Social Science Research Ethics Committee. Permission was obtained from the participating University’s Registrar to conduct the research with its employees. An information sheet and consent form were provided to research participants and compliance to the University’s code of conduct for social science research.

3.4.2 Code of Conduct Compliance

The code of conduct, as included in the University’s research ethics policy, provides guiding principles in the pursuit of truth and knowledge.

3.4.2.1 Beneficence – ‘do positive good’ and Non-maleficence – ‘do no harm’

The research was preceded by a careful assessment of predictable risks in comparison with the foreseeable benefits to the participants or to others. The present study was considered to be of low risk to participants, and the magnitude and probability of discomfort and harm not greater than normal daily experiences. In the unlikely event of a participant experiencing distress, the interview would have been stopped and formal assistance provided.

It is also the responsibility of the interviewer to be sensitive towards interviewees and respect the demographic, social, and cultural differences amongst the participants. Interviewees could have experienced fear or anxiety that their line managers would become aware of their participation in this leadership research. To negate this potential obstacle, the interviewer explained to the interviewees that the semi-structured interviews would be recorded, transcribed, and alpha-numerically coded. The coding legend and the original recordings have been saved on external memory and locked away in a safe for five years, whereafter it will be destroyed. This process was explained to each interviewee to allay any potential fears of identification.

It was also possible that the interviewees experienced discomfort thinking about their own leadership inadequacy when answering the questions. In order to allay this potential fear or anxiety, the interviewer explained that the purpose of the research is not to criticise current leadership in any way, but rather to use the recommendations from the research as an organisational development initiative. The contemporary, dynamic organisational environment demands all organisations to continuously adapt, learn, and strive for high performance.

There was also the risk that some interviewees would become upset thinking about previous negative experiences prompted by the questions (e.g., #feesmustfall or historic individual negative leadership experiences). The interviewer navigated carefully during the interview process to be sensitive to the appearance of any such behaviour. Participants were allowed to skip questions or stop the interview entirely. In the extreme event that an interviewee experienced psychological stress as a result of participating in the research, the interview would have been stopped and the individual referred to the university’s employee wellness programme for assistance.

Thus, to mitigate all these risks, the interviewer informed all interviewees that participation was voluntary, and they could stop the interview at any time if they wished to do so.

3.4.2.2 Informed consent

Ethically, informed consent is part of the principle of respect for anonymity. Rights of self-determination and “*not to be harmed*” are implicit in the South African Constitution. Furthermore, the Department of Health makes clear that the primary consideration in any research within health and social care is preserving the dignity, rights, safety, and well-being of participants and that informed consent is at the heart of ethical research.

Each potential subject must be informed sufficiently of the aims, anticipated benefits, and potential hazards of the research and any discomfort that participation may entail. Therefore, the researcher employed the university’s “*information sheet for research participants*” and “*consent form for questionnaire*” with all participants in the study. These documents explain the purpose of the study, methods that will be used to collect the information/data and explain that participation is voluntary, and all responses are treated confidentially. There is contact information for the researcher, supervisor and co-supervisor, Head of Department, and the Humanities & Social Sciences Research & Ethics Committee (HSSREC).

3.4.2.3 Confidentiality

When personal identifiers are used in a study, researchers should explain why this is necessary and how confidentiality would be protected. In this case, the biggest risk is the audio recording of the semi-structured interviews for transcription and analysis. To ensure confidentiality, the series of precautions were taken. The data was coded with alpha numeric numbers instead of participants’ names to protect their identity. The alpha numeric encoding legend with possible identifying information was stored in a locked file/safe to which only the researcher has access. Pseudonyms were used for participants, agencies, and geographical settings in the publishing of reports. Information that could reveal the identity of participants or places was carefully disposed.

3.4.2.4 Veracity – ‘truth telling’

The trustworthiness criteria to enhance veracity are discussed in section 3.7. This section will evaluate the credibility, transferability, dependability, and confirmability of the qualitative research. Furthermore, all the research results have been analysed and interpreted under the supervision of the study supervisor and co-supervisor.

3.4.3 Clearance, permission, and consent

The University’s Humanities and Social Science Research Ethics Committee approved the methodology and ethics for the present study entitled, “*Contemporary leadership behaviour enabling leadership effectiveness in a public university*”. A record of the ethics approval certificate, valid for the period 27 August 2019 to 27 August 2020, is provided in Annexure B.

Permission to conduct the present study was requested from the Office of the Registrar for the participating university. The letter of approval from the registrar, granting approval to collect data for the study from 2 September 2019 to 27 August 2020, is provided in Annexure C.

All research participants were emailed an information sheet providing key information about the research study: the thesis title, purpose of the study, primary and secondary research questions, a description of what was expected from the participants, and contact information for the researcher, supervisors, Head of Department, and the Humanities & Social Sciences Research & Ethics Committee (HSSREC). The information sheet is provided in Annexure D.

All participants were emailed a consent form seeking their agreement for the following conditions of participation:

- reading, understanding, and being afforded the opportunity to ask any questions regarding the present study
- the option to withdraw from the study at any time
- secured confidentiality and anonymity
- permission for the researcher to use the participant’s responses in the study
- agreement that the data could be used in future research
- consent to participate in the research
- consent for the interview to be recorded digitally

A copy of the consent form is provided in Annexure E.

3.5 DATA COLLECTION

3.5.1 Pilot interview

A pilot interview was conducted on 3 October 2019 to test the quality of the interview schedule, and the applicability of the questions. The pilot was an essential validation step of the semi-structured interview schedule and process. A full report of the challenges, concerns, and problem areas identified in the pilot is provided in Annexure G. In response, the following practical improvements were identified, discussed with the supervisor, and rectified:

- A Likert rating scale was added to questions 4-15 in order to measure the current leadership against critical leadership characteristics as ideal capabilities.
- Question 11 on the employment of diversity was moved from the category *how successful the university's leadership measures against specific leadership characteristics under VUCA conditions* (Research Question 1), to the category *influential factors impacting leader effectiveness* (Research Question 2).
- It was decided that the interviewer would prompt interviewees to provide a real-life work-related example to obtain rich data.
- It was decided that the interviewer would clarify unfamiliar terminology when posing each question. This intervention would eliminate misunderstandings and ensure interviewees would answer questions with deeper understanding.

3.5.2 Semi-structured interviews

The semi-structured interviews were conducted with the 24 participants in person from the period of 10 October 2019 to 29 November 2019. The interviews were arranged by the researcher with each of the study participants either in person, by email, or telephonically, and were scheduled to last one hour. The interviews took place at venues that were convenient and sufficiently private for participants, typically at their office.

Regarding the actual duration of the interviews, eight exceeded the scheduled one-hour time duration, five interviews took less than an hour, and 11 interviews were close

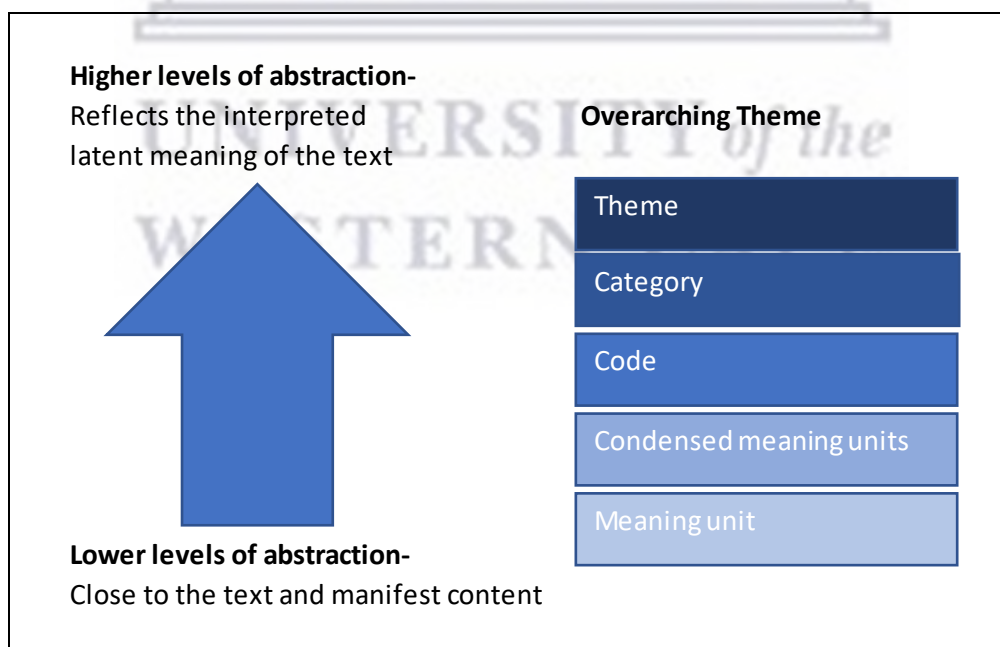
to an hour. The interviews were recorded digitally and transcribed verbatim. The researcher also made notes during the interviews. As a current employee of the university, the researcher was knowledgeable about common acronyms used, recent events at the university, the leadership reporting structure, and policies. This intensified role allowed the researcher to be immersed in the raw data and to ensure a deep, thorough understanding of the answers to the interview questions. The data analysis is discussed in the following section.

3.6 DATA ANALYSIS

3.6.1 Inductive strategy

Qualitative research mostly employs inductive analytical strategies that work from the bottom-up, moving from lower levels of abstraction (manifest content) to higher levels of abstraction (latent content) to create meaning from the transcribed interview texts (Magilvy & Thomas, 2009; Erlingsson & Brysiewicz, 2017). Figure 3.1 below provides a visual impression of this abstraction process.

Figure 3.1 Example of analysis leading to higher levels of abstraction, adapted from Erlingsson and Brysiewicz (2017)



The in-depth interviews provided the researcher with an opportunity to be in close contact with the participants and to be immersed in the data and answers they

provided for an optimal inductive analysis. The researcher encouraged the interviewees to comprehensively describe the phenomena under investigation in terms of their own perceptions in order to maximise the researcher's understanding of the participants' attitudes and opinions before analysing the transcripts post-hoc.

This study also employed deductive analytical methods through the qualitative content analysis method for an inductive-deductive hybrid approach.

3.6.2 Qualitative content analysis

A qualitative content analysis was conducted on the interview transcripts to reveal meanings, relationships, and insights related to the research questions. Qualitative content analysis is a research technique that employs language characteristics to explore the content or contextual meaning of research data in the written text format within a naturalistic paradigm (Hsieh & Shannon, 2005). The aim of this process is to abstract descriptive knowledge of the phenomena under study. This information is systematically coded, categorised, themed, and evaluated for patterns (Hsieh & Shannon, 2005; Assarroudi *et al.*, 2018). There are three main approaches to coding and categorising data, as summarised in Table 3.5.

Table 3.5 Three approaches to content analysis, adapted from Hsieh and Shannon (2005)

Type of Content Analysis	Starting Point	Timing of Defining Codes or Keywords	Source of Codes or Keywords
Conventional	Observation	Codes are defined during the data analysis	Codes are derived from data
Directed	Theory	Codes are defined before and during data analysis	Codes are derived from theory or relevant research findings
Summative	Keywords	Keywords are defined before and during data analysis	Keywords are derived from interests of researchers or review of literature

Since the aim of the study is to seek support or non-support for the leadership themes identified in the existing theory, a directed qualitative content analysis approach has been adopted. Examining the data descriptively allows for similarities and differences

to appear within the various levels of abstraction: meaning units, codes, categories, and themes (Erlingsson & Brysiewicz, 2017). Under the directed approach, the codes generated from the manifest data are allocated to the theoretical themes determined *a priori*, or the coding agenda.

3.6.3 Directed qualitative content analysis

Assarroudi *et al.*, (2018) explain that directed content analysis is an approach to extend or validate a theory or a theoretical framework conceptually. They provide one of the most comprehensive, transparent, and reliable methods for directed qualitative content analysis, which was employed in this study. Table 3.6 provides a summary of their 16-stepwise method, which includes three analytical phases: preparation, organisation, and reporting.

Table 3.6 Stepwise method of directed qualitative content analysis, adapted from Assarroudi *et al.*, (2018)

Phase/step	Activity
Preparation phase	
Step 1: Acquisition of general skills	Prepare researchers with the required competencies and mastery to execute the directed qualitative content analysis method of research. Some of these skills include scientific writing, data gathering, critical and creative thinking, analytical abilities, self-reflection, interpretive skills, and self-scrutiny (Elo & Kyngäs, 2008).
Step 2: Selection of the appropriate sampling strategy	Gain access to suitable informants and their points of view, perceptions and experiences (Elo & Kyngäs, 2008). Information 'saturation' is key to the sampling process, indicating information 'redundancy' has been reached (Cleary, Hayter & Horsfall, 2012).
Step 3: Deciding on the analysis of manifest and/or latent content	Decide on the process to analyse the manifest data deduced from the transcribed interview texts and/or the latent content. Include both the researcher's interpretations of the written texts and the participant's reaction to the interview questions. These are valuable insights to acquire a deep and rich understanding of the phenomena under discussion (Elo & Kyngäs, 2008).
Step 4: Developing an interview guide	Examine the main categories and themes derived from <i>a priori</i> research and existing theory. Develop an interview guide by employing open-ended questions, followed by directed questions to execute a thorough investigation of the phenomena under investigation (Hsieh & Shannon, 2005).
Step 5: Conducting and describing interviews	Conduct and describe interviews through the use of the interview guide. Digital recordings are transcribed verbatim.

Step 6: Specifying the unit of analysis	The unit of analysis is the leader at a public university. For the present study, only participants employed at the selected public university were considered as potential participants for the sample.
Step 7: Immersion in the data	Read and review the transcribed interviews several times. Seeking answers to questions such as why, when, where, what, and by whom, exposes the researcher to an in-depth and comprehensive understanding of the phenomena being investigated (Elo & Kyngäs, 2008).
Organisation phase	
Step 8: Developing a formative categorisation matrix	Develop a formative categorisation matrix deductively from existing theory or <i>a priori</i> research. The content of the formative matrix comprises main categories and related sub-categories (Mayring, 2000).
Step 9: Theoretical definition of the main categories and sub-categories	Objectively and accurately derive theoretical definitions from existing theory (Mayring, 2000). An example in the present study is emotional intelligence being defined as self-awareness, self-regulation, empathy, motivation, and social skill (Goleman, 1998).
Step 10: Determination of the coding rules of main categories	Determine the coding rules of main categories to provide a clearer distinction between the main categories of the categorisation matrix. The theoretical definitions of the main categories inform the description of the properties associated with the main categories, i.e. the coding rules (Mayring, 2000).
Step 11: The pre-testing of the categorisation matrix	Employ a pilot study. This is an essential step to underscore any potential difficulties when using the categorisation matrix. With respect to the present study, the pilot study highlighted problem areas which were documented and formally discussed with the supervisor and co-supervisor. Agreement was sought to achieve the most appropriate resolutions, affecting changes to the categorisation matrix. Assarroudi <i>et al.</i> , (2018) emphasise this step to increase the trustworthiness of the study.
Step 12: Choosing and specifying the anchor samples for each main category	Mayring (2014, p.95) define anchor samples as “ <i>concrete passages belonging in particular categories are cited as typical examples to illustrate the character of those categories</i> ”. Choose an explicit and concise exemplification or identifier for every main category selected from meaning units (Assarroudi <i>et al.</i> , 2018).
Step 13: Performing the main data analytics	Select meaning units from the transcribed written interviews in line with the study’s categorisation matrix. These meaning units are summarised and then given preliminary codes (Mayring, 2000; Assarroudi <i>et al.</i> , 2018)
Step 14: The inductive abstraction of main categories from the preliminary codes	Group and categorise the preliminary codes according to their similarities, differences and meanings. The outcomes of this step in the process are defined as ‘generic categories’ (Elo & Kyngäs, 2008).
Step 15: The establishment of links between generic categories and main categories	Compare generic categories and main categories with the aim to develop a conceptual and logical link between the two categories. This facilitates the nesting of generic categories into pre-existing main categories (Zhang & Wildemuth, 2009).
Reporting phase	
Step 16: Reporting all steps of directed qualitative	Elaborate extensively on the data analysis process and the enumeration of the research findings. Logical and systematic representation of the research outcomes is imperative to facilitate the association of the raw data with the

content analysis and findings	categorisation matrix. An end-to-end description of the complete research process is essential, including the sampling process, data collection, analysis methods, participants' characteristics, and trustworthiness criteria (Elo & Kyngäs, 2008; Assarroudi <i>et al.</i> , 2018).
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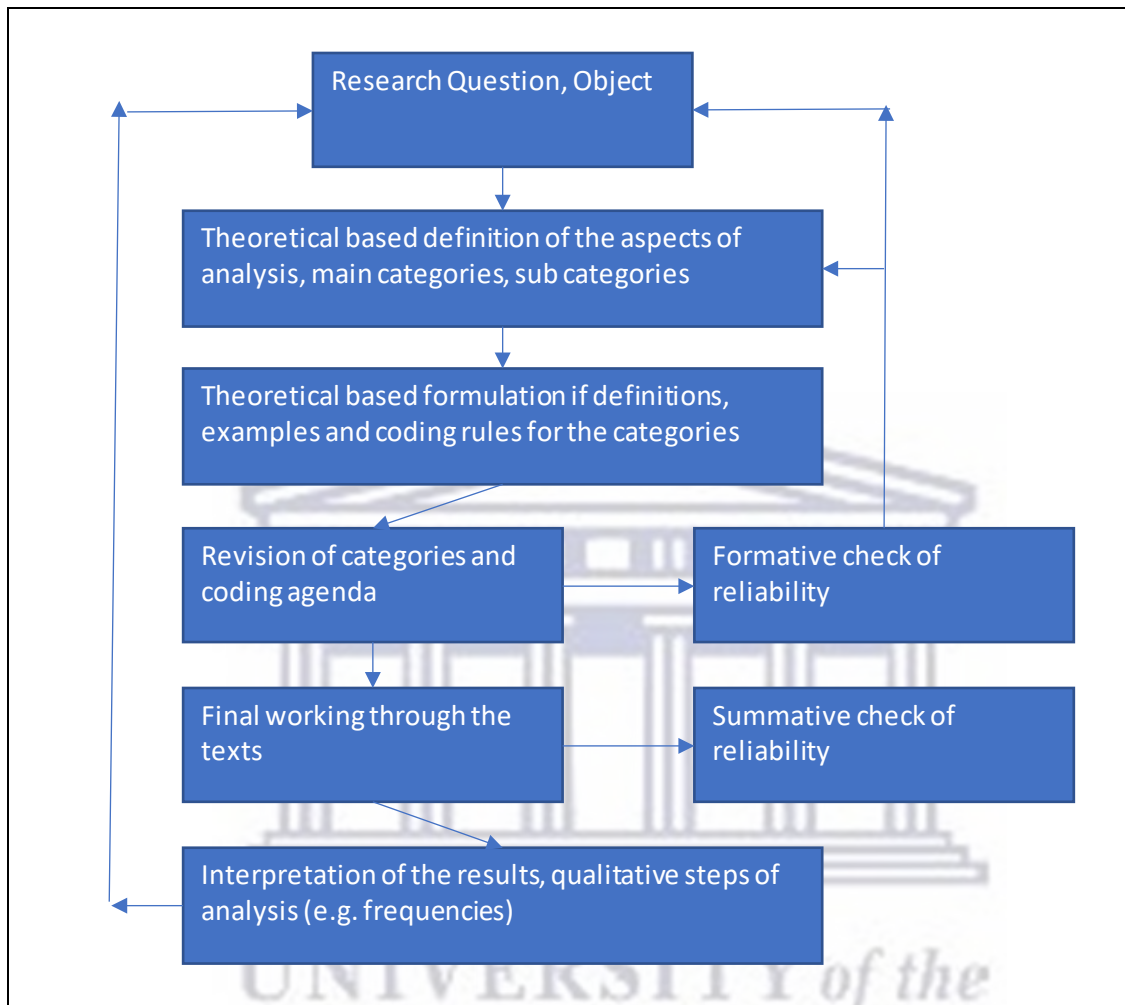
The research design and data collection steps of the preparation phase specified by this methodology align with the approach taken in this study. The actual data analysis process begins with the generation of a categorisation matrix from the literature themes in step 8. Mayring (2000), and Flick and Schreier (2014) refer to this process as deductive category application and contend that it provides direction to determine the *a priori* formulated coding scheme, and to enable connecting the transcribed written text to these theoretical deducted aspects of analysis. Furthermore, existing theory provides an operational description or definition for each category (Mayring, 2000; Hsieh & Shannon, 2005; Cheraghi, Bahramnezhad & Mehrdad, 2016; Esser *et al.*, 2018). Mayring (2000) proposes a 16-step model of deductive category application as presented in Figure 3.2.

The coding of the manifest data/transcribed written text followed a process whereby all evidence relating to a specific coding category was first highlighted in the original text and during a second reading iteration, coded under the appropriate theme and category. Hsieh and Shannon (2005) recommend the thoroughness of this process, e.g., to capture all evidence associated with the specific phenomena under investigation during this step, and thereby increasing the trustworthiness of the research.

The present study followed the Hsieh and Shannon (2005) process by highlighting the key themes under every question as a potential code and also citing real-world examples as descriptive evidence to support the codes within each coding category where available. On the contrary, the analysis also demonstrated where there was a lack of real-world examples as descriptive evidence, indicating a lack of support for a specific code and/or coding category.

In summary, a step model of the research design and flowchart is presented.

Figure 3.2 Step model of deductive category application, adapted from Mayring (2000)



To validate and revise the themes derived from the literature, the responses from three unstructured questions were analysed and compared against the semi-structured questions that were based on the research themes. These validations are discussed for the leader characteristics in Chapter 4, under Section 4.3, Table 4.4 and for the influential factors in Chapter 5, under Section 5.3, Table 5.2.

Following this validation step, the main data sets related to the leadership themes and influencing factors were analysed. Codes were generated by first highlighting any evidence in the original text relating to a specific coding category. Then, during a second iteration, these highlighted excerpts were coded under the higher levels of

abstraction, or 'general categories'. The analysis also demonstrated where there was a lack of real-world examples as descriptive evidence, indicating a lack of support for a specific code and/or coding category.

Hsieh and Shannon (2005) recommend thoroughness of this process to capture all evidence associated with the specific phenomena under investigation during this step, and thereby increasing the trustworthiness of the research. Consistent with qualitative descriptive study methods, the researcher engaged in an iterative process of data analysis and allocated the emergent themes in the data to themes describing leadership while frequently reverting back to check the higher levels of abstracted latent data against the raw data. These steps were performed for both research questions.

3.6.4 Theme frequency analysis

For the first research question related to leadership characteristics, a frequency analysis was performed on the different themes. Along with the 11 semi-structured questions, which each correlated to a leadership theme, participants were asked to rate, on a Likert scale from 1 to 10, the degree to which the characteristic manifested at the university and their own department. The frequency analysis highlighted the degree to which the various characteristics require leadership intervention to improve effectiveness. The theme frequency analysis is discussed in Chapter 4, Section 4.4.1, Table 4.5 and Figure 4.3.

3.7 TRUSTWORTHINESS

The aim of rigorous qualitative research is to ensure the study accurately represents the perceptions of the participants (Gray, Grove & Sutherland, 2016). This requires the researcher to be flexible, open, and aware of their own preconceived ideas regarding the phenomena under investigation. Then, the researcher must objectively conduct the research, not allowing their own perceptions, beliefs, opinions, and assumptions to influence the study. On the other hand, Erlingsson and Brysiewicz (2017) reason that the researcher simultaneously and knowingly needs to employ their own pre-understanding to create a deeper comprehension of the phenomena under investigation, a balancing act. This critical self-understanding is imperative, according to Gray, Grove, and Sutherland (2016), in that the researcher needs to vigilantly

manage the interactive research process with participants. Integral to the later reciprocal process is the diversity considerations the researcher must be aware of, including race, ethnicity, social class, gender, and personal history (Gray, Grove & Sutherland, 2016).

Regarding the present study, the researcher documented his own worldview, continually reflected on his own prejudice, and kept a record of his own thinking processes in an effort to actively negate the potential influence of personal bias on research findings.

In the original work done by Lincoln and Guba in 1985, they proposed that trustworthiness in qualitative research could be evaluated in four different ways: credibility, transferability, dependability, and confirmability. Nowell *et al.*, (2017, p. 3) say, *“The credibility of a study is determined when core searchers or readers are confronted with the experience, they can recognize it. Credibility addresses the ‘fit’ between respondents’ views and the researcher’s representation of them.”* Zhang and Wildemuth (2009) further recommend activities that can enhance credibility in qualitative analysis, including member checking, checking interpretations against the raw data, persistent observation, and prolonged engagement in the field. Regarding the present study, the researcher personally conducted the interviews and also manually executed the data extraction. This enabled the researcher to be immersed in the raw data spending an extended period of time executing the iterative process of coding and categorising data, constantly checking accuracy by referring back to the manifest data.

Nowell *et al.*, (2017, p. 3) propose that *“transferability refers to the generalizability of inquiry. In qualitative research, this concerns only to case-to-case transfer”*. Within the present study, the research findings are well documented and furnish rich, deep descriptions. This enables other researchers to judge for themselves the applicability or transferability to their own research.

Nowell *et al.*, (2017, p. 3) provide definitions for dependability and confirmability. *“To achieve dependability, researchers can ensure the research process is logical, traceable, and clearly documented.”* Meanwhile, *“confirmability is concerned with establishing that the researcher’s interpretations and findings are clearly derived from*

the data, requiring the researcher to demonstrate how conclusions and interpretations have been reached". To enhance the dependability and confirmability of the present study, the researcher followed Assarroudi *et al.*, (2018) detailed 16-step directed content analysis process. Hsieh and Shannon (2005) argue that this rigorous data analysis process increases the research's comprehensiveness and transparency. It also provides for an audit trail to substantiate un-biased and neutral research results.

The researcher kept a record of the raw data in the form of digital recordings and interview transcriptions, clarifications and definitions of academic terms, glossary, summary sheets explaining the data abstraction process by creating meaning units and codes, real-world examples as evidence to support the research codes, and a journal of reflections and decisions regarding changes to the research process. These records, together with the detailed 16-step data analysis process, could be of assistance to conduct an audit trail.

3.8 SUMMARY

Chapter 3 provides a detailed account of the research methodology employed in the present study. It seeks to rationalise and justify the approach taken to address the research problem statement and answer the research questions. The aim of Chapter 3 is to demonstrate alignment between the present study aims and purpose, and the research methods selected. These methods have been selected to create a rigorous research process that is comprehensive, transparent, and trustworthy. Table 3.7 represents a synopsis of the present study's research design.

Table 3.7 Synopsis of the study research design

Research Title	Contemporary leadership behaviour enabling leadership effectiveness in a public university
The Unit of Analysis	The unit of analysis is the individuals who hold formal leadership positions at a public university
Research Setting	A public university in the Western Cape, South Africa
Research Question One	What are the behaviours and characteristics of effective leaders within HEIs in a VUCA environment?
Research Question Two	What factors influence effective leadership behaviours?
Research Paradigm	Qualitative study
Philosophical Orientation	An emic perspective, an insider view

Research Perspective	A naturalistic perspective, inquiring about people's human experiences and situations in their natural states
Ontological Assumptions	Relativism
Epistemological Assumptions	Subjectivism
Research Design	Qualitative descriptive study employing a directed content analysis research design
Population	Leaders at a public university in the Western Cape, South Africa
Inclusion Criteria for the Population	Employees in leadership positions of all levels at the public university under investigation
Sample	Use of a purposive, non-probability quota sampling technique to develop rich qualitative information; the quota sample was selected on a non-proportional basis with a minimum number of participants in each category or stratum
Inclusion Criteria for the Sample	Leaders' availability and willingness to participate, their ability to communicate effectively, and their knowledge and experience regarding the phenomena under investigation
Sample Size	24
Sample Categories/strata (including the minimum number of participants required)	Three strata of leadership within the public university: executive management (minimum two participants), senior management (minimum 10 participants), and middle management (minimum 10 participants)
Data Collection Method	Semi-structured Interviews
Data Collection Tool	Semi-structured interview schedule
Data Collection Process	Obtaining consent from study participants; conducting in-person semi-structured interviews
Pilot Study	Conducting a test interview to explore whether the research collection tool was adequate and comprehensive to provide deep, rich qualitative data
Data Analysis	Employing a 16-stepwise rigorous method for directed qualitative content analysis
Trustworthiness	Ensured in four different ways: credibility, transferability, dependability, and confirmability
Ethical Considerations	Complying with the Code of Conduct in the Research Ethics Policy includes beneficence – 'do positive good' – and non-maleficence – 'do no harm', informed consent, confidentiality, and veracity

Chapter 4: RESULTS - Understanding characteristics of effective leadership in a public university

"Innovation distinguishes between a leader and a follower." - Steve Jobs, Apple co-founder

4.1 INTRODUCTION

Chapter 4 presents the results of the theoretical and empirical research to answer the first research question:

RQ1: What are the behaviours and characteristics of effective leaders within HEIs in a VUCA environment?

These findings address Research Objective 2:

RO2: To understand effective leadership characteristics of people in leadership positions in a public university.

First, the results of the analysis of the contemporary leadership literature are presented to establish the theoretical characteristics of effective leadership, which serve as inputs for the directed content analysis. Then, validation of the proposed characteristics is established through the empirical findings from the unstructured portion of the interviews with university leaders. This forms the deductive portion of the analysis. Finally, an inductive analysis of the empirical data from the structured interviews with university leaders is presented for each leadership characteristic. The chapter concludes with a review of the generic categories, or sub-themes, that emerged across the data related to the first research question.

4.2 LITERATURE FINDINGS

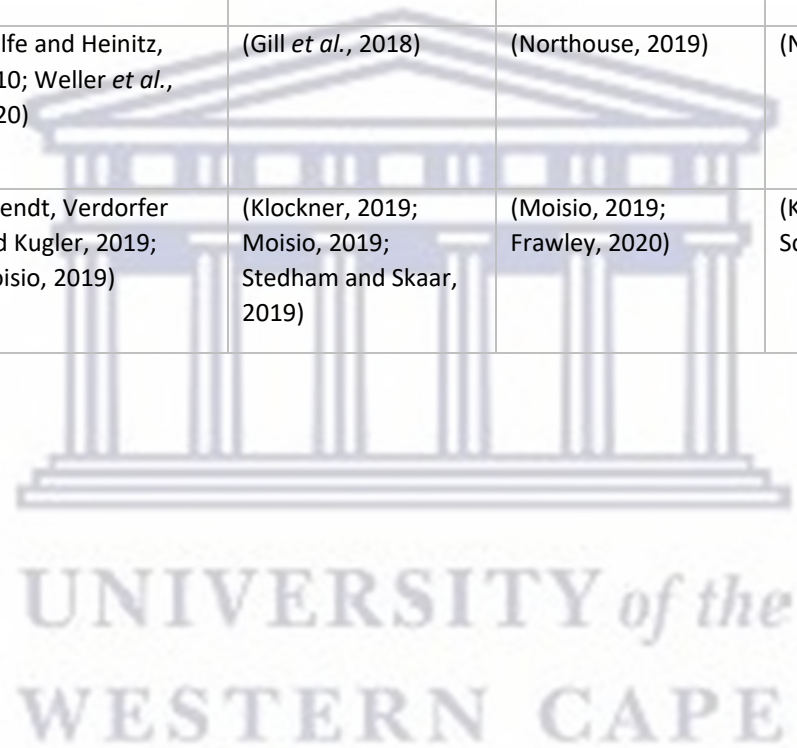
A content analysis of the five contemporary leadership theories discussed in Chapter 2 was performed to uncover possible characteristics of effective leadership under VUCA conditions. 11 leader characteristics consistently manifested during the literature review. Table 4.1 summarises the literature supporting 11 leader characteristics across the various theories.

Table 4.1: Characteristics of effective leadership from the contemporary leadership theory

Characteristic	VUCA Applicability	Transformational (charismatic) leadership	Authentic (values-based) leadership	Servant leadership	Adaptive leadership	Team (shared, distributed) leadership
Empowerment	(Sarkar, 2016)	(Allameh, Heydari and Reza Davoodi, 2012; Balaji and Krishnan, 2014; Choi <i>et al.</i> , 2016; Ashaye and Almonawer, 2020; Grošelj <i>et al.</i> , 2020)	(Emuwa, 2013; Hahm, 2018; Wu and Chen, 2018a; Zhang <i>et al.</i> , 2018; Grošelj <i>et al.</i> , 2020; Towsen, Stander and van der Vaart, 2020)	(van Dierendonck, 2011a; Hahm, 2018; Wu and Chen, 2018b; Avan, Baytok and Zorlu, 2019; Ghalavi and Nastiezaie, 2020)	(Qiu, Wang and Chen, 2018; Raguž and Senka Borovac Zekan, 2015)	(Mosley and Patrick, 2011; Hackman, 2012; Wageman, Gardner and Mortensen, 2012; Chang, 2016; Hill and Bartol, 2016; Ali, Wang and Johnson, 2020)
Trust	(Raghuramapatruni & Kosuri, 2017)	(De Lima Rua and Costa Araújo, 2016; Hyman-Shurland, 2016; Yue, Men and Ferguson, 2019; Islam, Furuoka and Idris, 2020)	(Coxen, van der Vaart and Stander, 2016; Alkaabi and Wong, 2019; Qiu <i>et al.</i> , 2019; Shahzadi, 2019)	(Karuhanga, 2010; van Dierendonck, 2011a; Vickery <i>et al.</i> , 2016; Karatepe, Ozturk and Kim, 2019; Almutairi, 2020)	(Daly and Chrispeels, 2008; Ali, Wang and Johnson, 2020)	(Larson and LaFasto, 1989; Bergman <i>et al.</i> , 2012)
Level of engagement and commitment	(Rus and Sandu, 2020)	(El-demerdash and Aldeeb, 2016; Abouraia and Othman, 2017; Islam, Tariq and Usman, 2018; Buil, Martínez and Matute, 2019)	(Munyaka <i>et al.</i> , 2017; Sher, K., Muhammad, B., Afridi, G.W. & Swarwar, I. 2017)	(Hoch <i>et al.</i> , 2018; Muller, Smith and Lillah, 2019; Reyes-cruz, 2019)	(Andenoro, Sowcik and Balsler, 2017; Northouse, 2019; Park <i>et al.</i> , 2020; Smith, 2020)	(Larson and LaFasto, 1989; Wu and Chen, 2018a; Northouse, 2019)

Teamwork	(Baran & Woznyj, 2020)	(Choi, Kim and Kang, 2017; Tabassi <i>et al.</i> , 2017; Ali, Wang and Johnson, 2020)	(McDowell, Huang and Caza, 2018; Ali, Wang and Johnson, 2020)	(BAYKAL, ZEHİR and KÖLE, 2018; Tanno and Banner, 2018)	(Mantha <i>et al.</i> , 2016; Woodruff, 2019)	(Larson and LaFasto, 1989; Bergman <i>et al.</i> , 2012; Choi, Kim and Kang, 2017; Woldu and Woldu, 2020)
Innovation and creativity	(Sarkar, 2016)	(Chen <i>et al.</i> , 2016; Hasan akbari, Younesi and Zohoori, 2017; Uusi-Kakkuri, 2017; Al Harbi, Alarifi and Mosbah, 2019; Le and Lei, 2019; Juhro <i>et al.</i> , 2020)	(Hahm, 2018; Wu and Chen, 2018a; Laguna <i>et al.</i> , 2019)	(Wu and Chen, 2018b; Faraz <i>et al.</i> , 2019; Zeng and Xu, 2020)	(Bernstein, 2016; Rizvanolli, 2017; Ali, Wang and Johnson, 2020)	(Larson and LaFasto, 1989; Wu and Chen, 2018a; Ali, Wang and Johnson, 2020)
Communication	(Bernstein <i>et al.</i> , 2014)	(Cohrs, 2017; Northouse, 2019)	(Lee and Lee, 2018; Lee, Choi and Jang, 2018; Baykal, 2019; Shahzadi, 2019)	(Northouse, 2019; Reyes-cruz, 2019)	(Nugroho and Reza, 2005; Mantha <i>et al.</i> , 2016)	(Larson and LaFasto, 1989; Hedman, 2016)
Ethical behaviour	(Sarkar, 2016)	(Felix, Ahmad and Arshad, 2016; Ng, 2019)	(Onyalla, 2018; Sidani and Rowe, 2018; Lemoine, Hartnell and Leroy, 2019)	(Burton, Peachey and Wells, 2017; Tanno and Banner, 2018; Lemoine, Hartnell and Leroy, 2019)	(Andenoro, 2019; Northouse, 2019)	(Cole, Cox and Stavros, 2018, 2019; Duignan & Bezzina, 2006; Schaum, 2019)
Emotional Intelligence	(Orejarena, Zambrano & Carvajal, 2019)	(Potter <i>et al.</i> , 2008; Biswas and Rahman, 2017; Krisnanda and Surya, 2019)	(Shapira-Lishchinsky and Levy-Gazenfrantz, 2016; Duncan <i>et al.</i> , 2017; Miao, Humphrey and Qian, 2018)	(Brenda, 2013; Mahdieh and Khanifar, 2015; Thier, 2019)	(Pradhan, Jena and Singh, 2017)	(Larson and LaFasto, 1989; Aritzeta <i>et al.</i> , 2020)

Collaboration	(Baran & Woznyj, 2020)	(El-demerdash and Aldeeb, 2016; Juhro <i>et al.</i> , 2020)	(Regan, Laschinger and Wong, 2016; Laudert, 2018; Wu and Chen, 2018a)	(Northouse, 2019)	(Wageman, Gardner and Mortensen, 2012; Laudert, 2018; Northouse, 2019)	(Hackman, 2012; Wageman, Gardner and Mortensen, 2012; Hill and Bartol, 2016; Cole, Cox and Stavros, 2019)
Consensus-seeking	(Yukl, 2013)	(Felfe and Heinitz, 2010; Weller <i>et al.</i> , 2020)	(Gill <i>et al.</i> , 2018)	(Northouse, 2019)	(Northouse, 2019)	(Larson and LaFasto, 1989; Bergman <i>et al.</i> , 2012; Northouse, 2019)
Mindfulness	(Rees, 2017)	(Arendt, Verdorfer and Kugler, 2019; Mo시오, 2019)	(Klockner, 2019; Mo시오, 2019; Stedham and Skaar, 2019)	(Mo시오, 2019; Frawley, 2020)	(Klockner, 2019; Schaffer, 2019)	(Rached and Elias, 2019)



These 11 leader characteristics are by no means an exhaustive list, but rather a selection of the most prominent characteristics identified by contemporary leadership theories. The definitions and significance of these characteristics to this study based on their applicability to VUCA are presented here. This establishes the coding rules of the main categories, or themes, in the categorisation matrix for the directed content analysis (Mayring, 2000).

4.2.1 Empowerment

Funnell *et al.*, (1991, p. 38) define empowerment as *“a process by which people gain mastery over their own affairs”*. Sarkar (2016) provides empirical research showing that employee creativity is a key result of empowerment and an imperative to succeed under VUCA conditions. She argues that responsible leaders seek to prioritise followers’ needs and concerns first by adopting a servant leadership approach. This manifest as followers feeling respected, valued, and empowered.

Mosley and Patrick (2011) support the premise that an empowering climate has a positive effect on performance and ambidexterity in organisations. Self-orientated working units are empowered through information sharing and training. Employees experience feelings of self-respect, self-determination, and a more harmonious work climate. Under a weak empowerment climate, employees behave passively, show a lack of motivation, and are unwilling to accept responsibility. The impact of an empowering climate on organisational ambidexterity is magnified in the presence of transformational leadership, where employees resolve problems and develop strategies for effective change (Mosley and Patrick, 2011; Chang, 2016; Choi *et al.*, 2016). Northouse (2019) also provides evidence for empowerment enhancing the effectiveness of authentic, servant, and adaptive leadership. Furthermore, Table 4.1 furnishes strong evidence to support the positive impact of empowerment in team leadership (Mosley and Patrick, 2011; Hackman, 2012; Wageman, Gardner and Mortensen, 2012; Chang, 2016; Hill and Bartol, 2016).

4.2.2 Trust

Mosley and Patrick (2011, p. 89) define trust as *“an individual's expectations, assumptions, or beliefs about the likelihood that another's future actions will be beneficial, favourable or at least not detrimental to one's interests”*. They suggest that

perceptions of trust or distrust are the result of how leaders treat and direct followers, and ultimately establishes organisational culture over time. According to Raghuramapatruni and Kosuri (2017), a valuable lesson for leaders to navigate under VUCA conditions is to gain the trust of all followers at all levels in the organisation. Seeking the contributions of all employees to create a diverse response to VUCA challenges offers a powerful opportunity to the high trust leader.

According to Robinson (1996), leaders need to cautiously manage employee perceptions of trust, as it relates to the initial creation of the employment contract. Trust can be considered as the bond or relationship between the two parties. An expectation that employees and the organisation will benefit mutually by this strong psychological contract to achieve organisational goals.

From a practitioner's perspective, Stephen Covey (2009), author of the best-selling guide *"The Speed of Trust"*, advocates that establishing trust within organisations is a leadership imperative. Covey defines trust as the "glue" that keeps organisations together. In high-trust climates, there is a "trust dividend" that acts like a performance multiplier, enabling low cost, fast communications and decisions, and agility to adapt to change. On the other hand, when trust is low in an organisation, it places a hidden "trust tax" on every transaction, communication, interaction, strategy, and decision, bringing speed down and sending costs up. Covey refers to a study by Watson Wyatt that showed that high-trust companies outperform low-trust companies by nearly 300% (Covey, 2009).

4.2.3 Level of engagement and commitment

"Employee engagement is defined as the extent to which employees exhibit the desired cognitive, emotional, and behavioural characteristics in completing work tasks with vigour, dedication, and absorption" (Muller, 2017, p. 9). Rus & Sandu (2020) highlight the necessity for employee engagement under VUCA conditions. They draw on a few examples to demonstrate their point of view. Tight competition in the marketplace requires quality, capable human resources to achieve market share under these turbulent VUCA conditions. Furthermore, conditions like the current COVID-19 pandemic, requires engaged and committed employees to perform well with very little supervision, mostly working from home. They conclude their appeal for engaged and committed employees under VUCA conditions by suggesting

organisations support and motivate employees to experience a safe and comfortable work environment, thereby preventing performance deterioration.

Muller (2017) posits that employee engagement in South Africa is amongst the lowest in the world. He ascribes this phenomenon partly to leadership's ineffective application of current theory and practice with respect to the prevailing collectivistic and humanistic cultures in South Africa. His research results indicate that employee engagement was positively and significantly impacted by Ubuntu and servant leadership. A study by Semedo *et al.*, (2016), found that authentic leadership predicts how affective commitment and job resourcefulness as employee attitudes, impact on their behaviour like creativity and performance.

From a practitioner perspective, there is the well-known proposition of “*no involvement, no commitment*” that was first published by Stephen Covey in his 1989 book *7 Habits of Highly Effective People* and has proven to be effective over time (Eliason, 2014). Covey posits that commitment can range from non-existing to absolute: rebel or quit, malicious obedient, willing compliance, cheerful cooperation, and heartfelt commitment to creative excitement. When employees are involved in making business decisions and treated with respect, they volunteer their highest efforts and energies. On the contrary, when workers are not acknowledged, they feel undervalued and withhold their full commitment (Covey, 2009; Eliason, 2014).

4.2.4 Teamwork

Daniel and Davis (2009) define a team as “*a group of people with complementary skills who are committed to a common purpose and set of performance goals and hold themselves mutually accountable*” (p.4). They further describe teamwork as a socially embedded process where a shared community of practice, organisational learning, and shared rules and procedures prevail. According to Baran and Woznyj (2020), teamwork and the associated sharing of knowledge provide an advantage for identifying VUCA trends and the potential internal and external implications for an organisation. Brainstorming in an effective, diverse team could distinguish novel innovative solutions to counter the threats posed by VUCA.

Daniel and Davis (2009) reason that the achievements and performance of effective, well-functioning teams exceed the cumulative performance of individuals in the collective. Salas *et al.*, (2015) observe the complexity associated with teams, but also highlight that their benefits are salient and tangible. He further postulates the proposition that workgroups will continue to be an important area of research, especially since the demand for and the complexity of team tasks continue to grow.

4.2.5 Innovation and creativity

“Innovation is the multi-stage process whereby organizations transform ideas into new/improved products, service or processes, in order to advance, compete and differentiate themselves successfully in their marketplace” (Stenberg, 2016, p. 3).

Sarkar (2016) identify innovation as a critical factor to succeed in a dynamic VUCA environment. She argues that traditional leadership styles are ineffective under VUCA conditions since they lack the flexibility and agility required to impact on real-time problem-solving, swift decision-making, and tolerance for and learning from mistakes.

Millar, Groth and Mahon (2018) argue that VUCA is both a driver and an outcome of disruptive innovation. They propose a number of recommendations on to lead effectively by employing innovation and creativity under VUCA conditions. Organisations' business modelling should divorce static modelling at an organisational level in favour of radically innovative modelling applied at a unit level. Traditional annual business planning should make room for regular weekly discussions regarding foresight processes to innovatively adjust strategy and budgets. Perpetual experimentation and learning, seeking innovation as a continuous process to understand and manage VUCA demands.

Cook (2016) similarly advocates the imperative for leadership to foster organisation-wide creativity and innovation. He also acknowledges the difficulty of instilling the behaviours, values, and skills needed for innovation to become standard business practice and norms. He therefore argues for leadership to create an organisational culture that paves the way for ingenious thinking, but in the same breath, explains the need to create supporting structures that will enhance and facilitate the execution of innovation.

4.2.6 Communication

Ruben and Gigliotti (2016, p. 477) propose the following definition: *“Viewed more broadly, communication is a process through which individuals create and use information to relate to the environment and one another”*. Bernstein *et al.*, (2014) investigated the perceived importance of VUCA-driven skills for the 21st century leader success. One of the new skills they promote is “constructive depolarizing”, or the ability to bring calm to a situation where communication has broken down. She argues that under these dynamic, volatile situations, the effective leader seeks to construct positive engagement, through an attempt to engage diverse cultures into dialogue. Constructive engagement in a calm, defused crisis situation requires effective communication.

From a practitioner viewpoint, habit five of Stephen Covey’s *7 Habits of Highly Successful People* reads: “Seek first to understand, then to be understood” as the summary for principles of empathetic communication. Here, he emphasizes the necessity to listen with empathy. Leaders need to hear followers as a crucial first step to achieve synergy and overcome the challenges of the modern business environment (Eliason, 2014).

A study by Bornman and Puth (2017) revealed leadership communication inadequacy in a number of businesses and industries in South Africa. They strongly recommend communication skills training programmes to improve leadership communication competencies and ultimately leadership effectiveness.

4.2.7 Ethics

Ahmad, Gao and Hali (2017) define ethical leadership as *“the demonstration of normatively appropriate conduct through personal actions and interpersonal relationships, and the promotion of such conduct to the followers through two-way communication, reinforcement, and decision-making”*. In order to combat dynamic VUCA conditions, Sarkar (2016) advocates for responsible leaders that exercise self-control to subdue personal interest for the benefit of stakeholders’ broader interests. This approach demands leadership to demonstrate sound ethical judgement and embrace good societal values. She proposes an approach that draws on a combination of transformational, authentic, and servant leadership attributes.

Yasir and Mohamad (2016) draw comparisons and show linkages between leadership ethics and transformational, authentic, and servant leadership. In Table 4.2, they propose criteria for evaluating ethical leadership, but caution that it is not exhaustive and does not cater for all dilemmas and complexities evaluating ethical leadership.

Table 4.2: Criteria for evaluating ethical leadership, adapted from Yasir and Mohamad (2016)

Criterion	Unethical leadership	Ethical leadership
Use of leader power and influence	To satisfy personal needs and career objectives	To serve followers and the organization
Handling diverse interests of the multiple stakeholders	Favours coalition of partners who offer the most benefits	Attempts to balance and integrate them
Development of a vision for the organization	Attempts to sell a personal vision as the only way for the organisation to succeed	Develops a vision based on follower input about their needs, values, and ideas
Integrity of leader behaviour	Does what is expedient to attain personal objectives	Acts in a way that is consistent with espoused values
Risk taking in leader decisions and actions	Avoids necessary decisions or actions that involve personal risk to the leader	Is willing to take personal risks and actions to accomplish mission or achieve the vision
Communication of relevant information operations	Uses deception and distortion to bias follower perceptions about problems and progress	Makes a complete and timely disclosure of information about events, problems, and actions
Response to criticism and dissent by followers	Discourages and suppresses any criticism or dissent	Encourages critical evaluation to find better solutions
Development of follower self-confidence and skills	De-emphasises development to keep followers weak and dependent on the leader	Uses coaching, mentoring, and training to develop followers

Yukl (2013) proposes that ethical leaders seek to influence followers to understand and adapt in order to solve the problems they face. Transformational leaders exalt moral values to consciously influence followers to overcome negative emotions like jealousy and fear associated with materialistic desires. Servant leaders instil ethical values of caring, nurturing, developing, and protecting followers. Authentic leaders manifest strong positive ethical values. These three leadership theories aggregate ethical characteristics of mutual respect, cooperation, openness, loyalty, and trust in a productive interpersonal leader-follower relationship.

Konstantellou (2016) argues that ethics in the workplace has become increasingly relevant. He supports this premise by showing that emerging empirical research

indicates a strong correlation between ethical leader behaviour in organisations and positive organisational outcomes. In recent times, ethical failures due to unethical leadership, accentuated the profound impact on corporations and organisations worldwide. Global examples like Enron, WorldCom, Tyco, Lehman Brother, Volkswagen, and in South Africa, Steinhoff, KPMG, McKinsey, and State Capture come to mind. Key to this debate is the role and obligation of leadership to model ethical behaviour in all they do. The accountability rests with leaders to obliterate any unethical behaviour in their organisations. And, to demonstrate actions that respect and support sustainability change initiatives. Konstantellou (2016) furthermore argues that under challenging economic and marketing conditions, where insecurity prevails, workers find solace in an ethical culture.

4.2.8 Emotional Intelligence

Emotional Intelligence (EI) can be defined as *“the subset of social intelligence that involves the ability to monitor one’s own and others’ feelings and emotions, to discriminate among them and to use this information to guide one’s thinking and actions”* (McCleskey 2014, p. 77). Investigating EI as it relates to the VUCA world, Orejarena, Zambrano and Carvajal (2019) emphasise the importance of emotionally intelligent leaders to effectively lead followers and organisations under dynamic and changing conditions. These high-EI leaders are better at controlling their own emotions and adapt to ambiguous changing conditions. They possess the ability to manage followers’ emotions, demonstrating social skills to command positive teamwork and manifest flexibility. These EI skills empower leaders to be effective in the face of VUCA and dynamic changing conditions.

EI was thrust into popularity with Goleman’s 1995 book *Emotional Intelligence: Why it Can Matter More Than IQ*. It is not that IQ and technical skills are not important; they do matter, but as *“threshold capabilities”*, or minimum entry requirements for leadership positions. EI, on the other hand, represents an imperative, to better understand leadership emergence, specific leadership behaviours, and effective leadership. The features of EI are self-awareness, self-regulation, empathy, motivation, and social skills. (Goleman, 1998; Tang, Yin and Nelson, 2010; Sadri, 2012; McCleskey, 2014).

4.2.9 Collaboration

Wageman, Gardner and Mortensen (2012) define collaboration as “*team-like behaviour over time and across projects*”. Baran and Woznyj (2020) advocate for robust collaboration as a mechanism to negate the organisational design barriers under VUCA conditions. Organisational design barriers could include policy or structural issues like departmental silos, time, and resource constraints. They maintain these barriers limit the sharing of cross-departmental knowledge and cause a breakdown in communication. Through effective collaboration, organisations could respond to the VUCA phenomenon by aggregating diverse perspectives and employing strong teamwork.

Larson and LaFasto (1989) propose that team leaders endeavour to create a collaborative climate through safe communication, by encouraging problem solving efforts, and by demanding and rewarding collaboration. Northouse (2019) also discusses the role of collaboration in adaptive leadership. He underscores the importance that in principle, adaptive leadership is a follower-centred approach. Therefore, the adaptive leader collaborates and creates an enabling environment for followers to learn, change, and grow to the extent they are competent to do the required adaptive work themselves.

Theory support the premise that collaboration is a critical contemporary leadership characteristic, especially to augment team effectiveness (Zaccaro *et al.*, 2001). Wageman, Gardner and Mortensen (2012) support Zaccaro by explaining the accelerating pace at which collaboration has been changing, citing globalisation and digitization, as key drivers. They conclude that as human society develops, collaboration and teamwork will continue to evolve and change, demanding leaders to be competent collaborators under VUCA conditions.

Zaccaro *et al.*, (2001) highlight the importance of collaboration as a leader skillset to enable team effectiveness. Wageman, Gardner and Mortensen (2012) support Zaccaro by explaining “*The Changing Ecology of Teams*”, arguing for the transformation of teamwork as a result of the profound role collaboration plays in effective team leadership. They explain the accelerating pace at which collaboration has been changing, citing globalisation and digitization, as key drivers. They conclude

that as human society develops, collaboration and teamwork will continue to evolve and change.

4.2.10 Consensus-seeking

Haug (2015) defines consensus as “*extent to which managers from a strategic business unit (SBU) share similar perceptions of strategic priorities. Consensus is understood here as shared understanding*”. Empirical evidence support the premise that servant, adaptive, and team leadership employ consensus seeking skills to enhance leadership effectiveness (Larson and LaFasto, 1989; Bergman *et al.*, 2012).

Yukl (2013) highlights the value of consensus seeking as a leadership skill as leading followers requires leaders to use rhetoric to persuade team members of a specific outcome or decision. Under VUCA conditions, response time is often critical. This may cause leaders to take executive decisions. It is more beneficial, however, to facilitate discussions to achieve group consensus, where all members agree to accept a specific outcome. This approach generates more engagement and commitment from team members to deliver on the consensus outcome.

4.2.11 Mindfulness

Kabat-Zinn (2015) defines mindfulness as the “*moment-to-moment, non-judgmental awareness, cultivated by paying attention in a specific way, that is, in the present moment, and as non-reactively, as non-judgmentally, and as openheartedly as possible. When it is cultivated intentionally, it is sometimes referred to as deliberate mindfulness*”. Under VUCA conditions, mindfulness empowers and enables leaders to view the chaos and challenges through a lens of seeing the bigger picture and having a larger perspective on their lives and work. The leader and the organisation are grounded through this broad perspective, and better equipped to manage the potentially traumatic conditions of VUCA through creativity and spontaneity (Rees, 2017).

Lippincott (2017) argues there is a positive relationship between mindfulness and physiological, psychological, and cognitive benefits. His research provides definitive evidence of improved leadership effectiveness as the result mindfulness. He reasons

that mindfulness contributes to changes in awareness and to the development of behaviours that are associated with improved leadership efficacy.

Table 4.3 shows the relationship between mindful leadership characteristics and contemporary leadership theories (Moisio, 2019). It indicates similar mindful characteristics being shared by transformational, authentic and servant leadership. Moisio reasons that as much as these leadership theories are uniquely different, they do share the underlying mindful philosophical framework. As an example, compassion, acceptance and listening are mindful characteristics that support the wellbeing of followers. Also, leaders who listens empathetically to followers' needs and concerns are effective at building long-term, productive relationships. They manifest as "being fully present" to exploit immediate opportunities by engaging with followers, and avoid saying things like, "We don't have time; we don't make time; we don't realize the importance; we don't know how" (Moisio, 2019).

Table 4.3: Relationship between characteristics of mindful leadership and leadership theories, adapted from Moisio (2019)

Mindful leadership characteristic	Authentic	Transformational	Servant
<i>Acceptance</i>	X		X
<i>Awareness</i>	X	X	X
<i>Being present/mindful</i>	X		X
<i>Compassion</i>	X		X
<i>Letting go</i>	X		X
<i>Listening</i>	X	X	X
<i>Patience</i>	X	X	X
<i>Responding</i>	X	X	X
<i>Trust</i>	X	X	X

4.3 THEME VALIDATION

Following from the inductive-deductive hybrid approach to data analysis, the themes identified in the deductive, *a priori* classification framework must be validated against the themes derived inductively from the empirical evidence. Comparing the participants answers to the unstructured questions to the semi-structured questions, which were based on the *a priori* themes, corroborates the trustworthiness of the research data.

Table 4.4 presents a selection of the participants' responses to the three unstructured questions as they pertain to the 11 semi-structured questions about effective leadership characteristics. This highlights whether or not the study provides support for *a priori* research themes.



Table 4.4 Validation of the contemporary leadership characteristics with unstructured questions

<i>Structured Questions</i>	Unstructured Questions		
What contemporary leadership behaviour do you consider crucial to enable high performance under VUCA conditions?	To what extent does the current leadership successfully lead the university to achieve high performance?	Do you believe you have adequate skills to lead effectively under VUCA conditions?	
<i>Are you empowered to be effective in your role?</i>	<ul style="list-style-type: none"> • [P4] “...what works for me is to be a leader that's not the leader. It is really to identify each person's strengths, and then to allow them to lead when, when they can. So it is. It is providing the oversight and still taking the responsibility. But really allowing each person to lead in the areas” • [P12] “You must make the effective decisions so it must be a decision that acknowledges the process, the principle, the context and then says this is the best possible way forward” • [P17] “I can leave my staff to get on with what they need to do and allow them to show initiative and then still have a strong mentorship support structure in place and try and work with them like that. The problem that I am finding at the moment is other departments that you interact with don't share the same ethos or management style. That is potentially because those people have been here for many, many, many years and so are entrenched in doing things in a very rigid way and that than influence their staff as well” 	<ul style="list-style-type: none"> • [P4] “Today, providing the leadership is a very different type of leadership. It's almost a hands-off leadership. So, guidance is given, but it's almost as though each staff member is left to their own vices. So, I don't know what type of leadership that is, so it looks to be across different types of leadership and I know the rector is very much for that. So as an example, during fees must fall. It was not there was no directive really from executive. It was if you do not feel safe or you do not feel that you should be here then you should not be here and it's almost as that filters down into other areas as well. we providing guidance as management but very often it appears as though there needs to be not stronger leadership but more directed leadership. So, we're not capacitating to the extent that we optimize conditions. we can have the most amazing strategies and most amazing ideas from the top. But if the finances are not there, the human capacity is not there. How do you execute?” 	<ul style="list-style-type: none"> • [P10] “I think that a lot of responsibility rests with me myself in terms of how do I capacitate myself, my reading and what do I keep updated in; I would like to know more about the risk management. And, you know, how do I deal with student protests and violence, for instance, those are things that I've never learned how to deal effectively with. And while we all just shut down and go home. That's not the answer though. And then we all leave it to executive management to handle. But I think a lot can be more can be done from the lower level or the middle management. I think capacity maybe in terms of like the knowledge and how do we assess the risk, how do we evaluate impacts really of, what are we doing right and wrong, maybe own introspection” • [P20] “yes, but it comes with me, a rider, and which is that you have to continuously strive to improve, to reflect. I think as a manager and a leader reflection is an important tool, because it helps you improve, it helps you identify and learn from mistakes and not even necessarily

- [P25] *“When, because if you if you intertwine, the two concepts, Fourth Industrial Revolution and the VUCA world, that is the future. So, it is important that now leadership and not only leadership, but us as people, we need to capacitate ourselves with the necessary skills to be able to survive in such. So, it is important that we must have, yeah, those kinds of skills need to capacity ourselves with”*

- [P11] *“But (researcher name), this is where I actually saw how leadership is not leadership. I don’t know what to call that because our whole system in the institution is inhibitive of this position. At other universities when you go, they get resources, it’s a facilitative system; At UWC, sorry to say it, I don’t like to badmouth my university, the system fails the research process; But now when you in this type of position where you should be flying, we don’t have a simple thing like an administrator, assisting you to do all of these things and every single process that you’ve come to in the research support process, you find barriers. Now, it’s a system but I always say its people in the system. And those people in the system, become your gatekeepers. So, because I don’t like you, because you got a big mouth and you saying things, and bla-bla-bla.... I’m going to let your stuff take longer, or the signatures are not right, it’s sent back so you have to start the process all over again.”*

mistakes, you can improve on something that you didn't, that wasn't a mistake, but you can still improve. So, for me, that element of learning and of reflection is ongoing and it's never a case of I know it all, I've experienced all. So, I do believe that I have the necessary skills but I am constantly, critically looking at it with a view to, I think, I think if we approach life from that, in general, you know we are perpetual students, you've got to, if you don't learn something new every day, I think you've stagnated.”

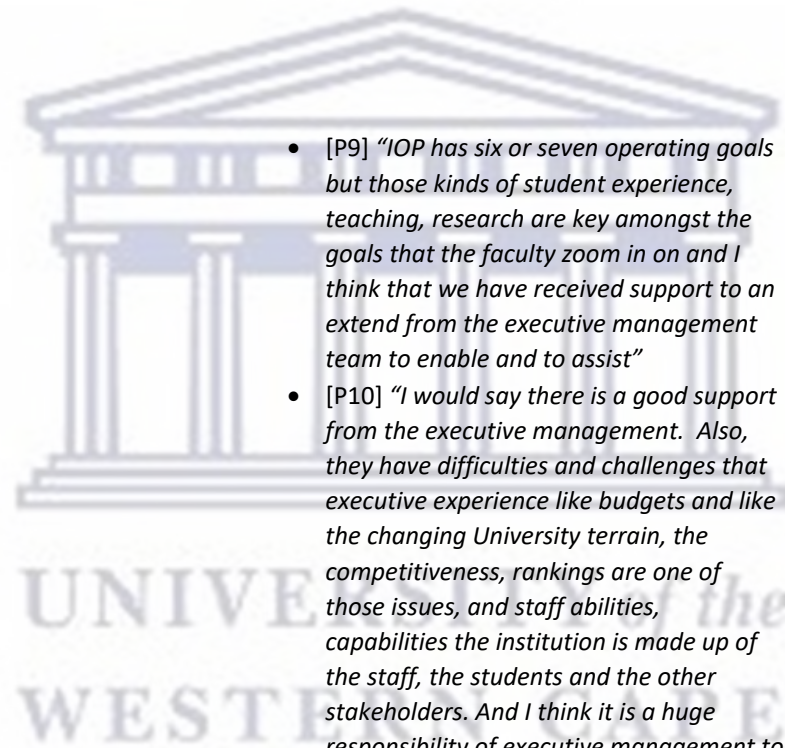
To what extent do you experience trust in the workplace?

[P15] *“...one of the very important things is in fact integrity and transparency. I think that, because central to I think good leadership in especially in, under those conditions is trust.”*

[P10] *“...leadership in the library. But, yeah, my perception, then I would say that it is fruitful there is definitely trust to our student’s success, looking at challenges, responding to the challenges, but at varying levels.”*

[P1] *“It’s the political engagement. If I operate in the higher education sector and it’s clear we all have one agenda. Then it’s easy. But when the politics of the country and wherever comes into the whole situation. I feel that is where I need some skill, I’m naïve in trusting people. And so, I operate from the basis that we are all here for the common good of everybody. And sometimes I am caught off*

How would you describe the current level of engagement and commitment of leadership and employees in their work at the university?



- [P9] *“IOP has six or seven operating goals but those kinds of student experience, teaching, research are key amongst the goals that the faculty zoom in on and I think that we have received support to an extend from the executive management team to enable and to assist”*
- [P10] *“I would say there is a good support from the executive management. Also, they have difficulties and challenges that executive experience like budgets and like the changing University terrain, the competitiveness, rankings are one of those issues, and staff abilities, capabilities the institution is made up of the staff, the students and the other stakeholders. And I think it is a huge responsibility of executive management to manage all of that but I think they're doing fairly well.”*
- [P18] *“What I know is the plan is in place. And the plan is communicated formally, you know, to only university employees. But if that plan is understood by all that guard when the political agenda is actually driving, I'm getting there. I'm getting to read it better, but it's something that I'm not sure if you can be upskilled in it, probably through experience and engaging. Because I've learned to listen to the conversation, and how people talk, then hmmm, that's something else driving that rather than this issue that we actually dealing with”*
- [P6] *“I'm not a politician. I do know that I do see and experience you know, that the young people in leadership positions in institutions are quite good. I'm going to grow political skills because it's about managing and assessing the situation but knowing what we want and how do we approach you know”*
- [P12] *“I've always thought of myself as a crisis leadership style in the sense that I always do my best work under crisis you know. I never sought out leadership positions. I kind of fall into it while there is a crisis. But when there is a crisis, I will roll up my sleeves, I will pick up and run with it, I will manage it. So, I have the skills that are communication, the things that think are important, I can communicate. So, I can do any of that. I don't think this is a skills issue only. It's in part a skills issue, but it is more about a flexibility issue. I think you need to be an adaptable leader; you must be able to shift to what is*

What role does teamwork play in achieving high performance at the university?

[P5] *"So, I think it's important that there is a strategy that was co-created and that is owned in the organization that speaks to the text into consideration the political, social economical context, which organization finds itself in. I think it's important that leadership embraces and drives that strategy, and that they then have the people component that's able to deliver on the implementation of that strategy"*

[P14] *"I think some executives are more effective than others. And I do think that their personalities and egos clash; Student Development Services and Student Support Services cross over with academic, you've got personality issues that complicates that. At worst though, we talking about duplication; Some of them act in sort of a father or motherly role where they have insight into the dynamics and closely think about how they're going to handle and present something and mediate discussions. So, I think it's not easy and straightforward these communications, it's not always just about what it is, but I think there is a management, executive intelligence that some of the people bring to the mix,*

staff that's that to me that, that's another conversation. It seems to me, you know, it's only been understood, you know, kind of middle management and top management. Um, but then again, confide, you know, in terms of general staff, I think very few or very low percentage of people understand, you know, what the IOP is all about and their role in terms of achieving, you know, the IOP's. My way of looking at it seems staff they don't see that they have anything to do with it, you know, it's, you know, it's a senior management or top management or middle management, you know? Yeah. To me. um, so that's what I'm saying. I use very difficult to say if these successfully implementing the IOP."

required for the context and the team you working with."

• [P17] *"but not all had shared the same commitment to the success of the institution, so you and I manage different offices, you will be asked, you know, - do you know anything about e-commerce and online – you may, but you say no, I am very busy doing my job. Other managers will say, yes, I have got experience in that, and what do you want to know! And you impart that. And that is not shared on campus. There is empire building"*

[P10] *"...maybe through group discussions and so that you're not left isolated as a leader, and also that you have good support. So, when the library becomes a target. It's not the library director that's standing out in the front there's also the presence of other directors. Yes, it's a team that comes together in this. I think in this university. I see a lot of fragmented teams. Where academics fall under the Academic DVC and then we as the library fall under the DVC Research and Innovation, and I think at that level there's a little bit of a fragmentation. Maybe that could be improved? Relationships building, maybe looking at how we, our roles in the university, come together for the goals of the*

which facilitates the process. So, I do think they are quite effective. I think they could do things faster; I think they could sometimes do things that they're not doing or vice versa, but I'd say on the whole they are effective."

university, teaching, research, but we all are a part of the same university. So, for me it is the colleague, the collegiality of the support."



Unstructured Questions

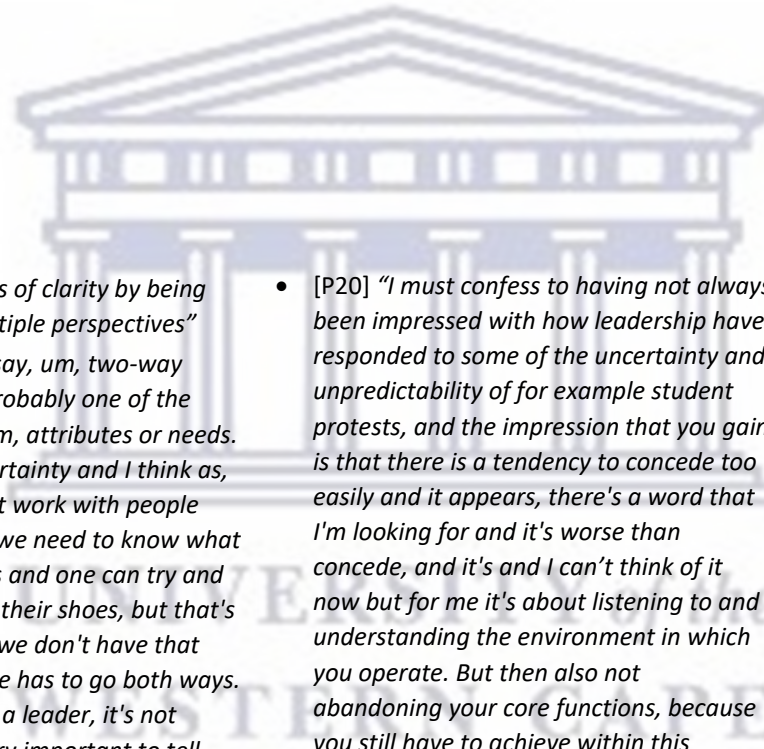
<i>Structured Questions</i>	What contemporary leadership behaviour do you consider crucial to enable high performance under VUCA conditions?	To what extent does the current leadership successfully lead the university to achieve high performance?	Do you believe you have adequate skills to lead effectively under VUCA conditions?
<p>To what extent do you experience the freedom to innovate and be creative in problem solving?</p>	<ul style="list-style-type: none"> • [P10] <i>"...for me what works, is to be flexible to respond to the changing times. Also, to be in a transformational kind of environment. Yet at the same time, in a nurturing building kind of environment. Yeah, for me, that is critical, but at the same time to show that you are kind of taking responsibility and accountability."</i> • [P11] <i>"...as a leader, being flexible to adapt to a situation. You can't be rigid, because it's not going to, if there's already a volatile environment, rigidity is not going to work. So, you need to be flexible enough to know, depending on the circumstance"</i> 	<ul style="list-style-type: none"> • [P11] <i>"Some people say I'm a freak in the education system, higher education because of my outputs. But I've learned to work smarter. I've also learned to work within a system but past challenges, so I'm not problem focused, I'm solution focussed. So, if something is a problem, I will find a way around it."</i> • [P21] <i>"...management and leadership at universities are risk averse. I think our current leadership at the university is demonstrating at least an appetite for the possibility of innovation and putting some resources behind that. It's all very well to have your mission statement to say that you know we're an innovative, we encourage creativity, but unless you've got resources behind that, you know, it's just empty words and I have seen in the last few years, resources being put behind some of those values like innovation and creativity and I think that's very positive"</i> • [P23] <i>"Within the innovation space I think there needs to be some more improvement uhm.... I think there is a bit of lack of understanding as to innovation and how we can roll-out technologies or how we can commercialise certain things I</i> 	<ul style="list-style-type: none"> • [P8] <i>"I'm less confident in what I do and how I engage with really believing in the transformative leadership style in where you provide people the space that they perform. So that in enabling role, but, um, there are less certainties under VUCA which means that I think, I think, I think more about the risks than about the and, um, maybe think twice before you act because it is not so clear anymore. You know. Previously to smell, you know this is the way to do it. But that's not, that's not so clear. And that I think it requires, I think specifically in my role, because I also work with a lot of outside with national provincial government, a lot of political savvy and, and, and realize that even there, it a constantly changing situation. And that's not always clear how to deal with it. So, you said a lot of, you kind of, sometimes you really go on gut feel."</i> • [P14] <i>"I'm very responsive to changes, things coming in, paying attention to it. I'm inclined to innovate, I'm comfortable with change, what else would be important about me in terms of working in this environment. I'm always looking for a better way. I'm not a person that that's</i>

think the change in leadership affected that as well”



this is what this way this year we're going to do it the same way next year. I want to find a better way. I do believe certain things, not many, can be institutionalized for the good, possibly graduation ceremonies and assessments and things like that, or even that in the manner of doing it could be changed. But I don't think change is a bad thing. And I'm not risk averse. I am however, very considered about what the fallout would be of taking a risk or not taking a risk. And when I do take a risk, it's not an environment where if it does fall flat there isn't a plan B that can get us out of the situation.”

- [P17] *“I need to be thinking out of the box all the time because we don't run the same campaigns, we don't do the same type of work for 6 months because it creates a trend and when people know about the trend, and then you have loss of revenue. So, I need to be constantly changing things. And so, you know, in this sort of environment, yes, I am skilled. What counts for me also is where we are moving to and ecommerce, a sort of online, MOOCKS, all that sort of stuff, I've been exposed to all of that”*
- [P21] *“I think there's some areas where I am well prepared, so I'm, you know, with low stakes decisions I'm very happy to experiment, let's take a chance and see what happens. Now the worst-case scenario, it doesn't work, we go back to*



How effective is leadership communication with students, staff and other stakeholders?

- [P2] *"...to seek forms of clarity by being able to listen to multiple perspectives"*
- [P7] *I think I would say, um, two-way communication is probably one of the most important, uhm, attributes or needs. Because of the uncertainty and I think as, as leaders, we might work with people and we don't, look, we need to know what their point of view is and one can try and put themselves into their shoes, but that's just trying to, but if we don't have that conversation and the has to go both ways. So, I think if as a, as a leader, it's not about telling, it's very important to tell your view to the people you work with. It's probably as important, if not more, for them to tell you their view."*
- [P12] *"You must be able to communicate well. VUCA by definition suggests that things are complex and ambiguous and I*
- [P20] *"I must confess to having not always been impressed with how leadership have responded to some of the uncertainty and unpredictability of for example student protests, and the impression that you gain is that there is a tendency to concede too easily and it appears, there's a word that I'm looking for and it's worse than concede, and it's and I can't think of it now but for me it's about listening to and understanding the environment in which you operate. But then also not abandoning your core functions, because you still have to achieve within this environment with all the unpredictability and uncertainty, you still have to achieve; But for this library to open on a 24/7 basis is unrealistic. We need to have the commitment to convey that, you know, you have to have the courage to convey*
- [P7] *"The how to get your MBA and it, nowadays it's all about values. It's all about internal, personal values and point of views. It's not about, uhm, processes. It's not about those come later. So, I'm very much, uhm, I try to connect as much as possible with people at work with at a personal level, knowing that there has to be a professional setting to it. But I tried to understand what their values are and what my values are and if they, and what unit's values should be and make sure that we all connect one way or another, even if we disagree. I need to listen more. [Laughs] I, I'm very passionate and I need to, to, to learn to put things to the side and listen more and process that."*
- [P15] *"I think probably managing the people and you know, the uncertain conditions, you know you need to be able*

the drawing board, we've lost time, but nothing else. And so, in terms of decision making. That is, is low risk low, stakes. You know, it's thrown everything against the wall and see what sticks. So, I think that's not something that traditionally in the top in the department we've done well. It's always been well, I see the potential benefits, but we know what the kind of the status quo, we know what that looks like and comfortable with that, it's just keeps doing that. And the problem is that, you know, that's fine, if nothing changes."

How would you rate leadership's ethical behaviour?

think one needs to be able to constantly be able to say, this is what we planned, this is what's happening, this is what's going to happen. These are the contingencies. So, for me, communication is absolutely important. The communication must be clear. And, yeah, so for me, for me the communication trumps everything else."

- [P1] *Values (it's not necessary just around under VUCA conditions) but values should guide leaders. If there is a strong value system in an organization then, irrespective of what happens then we will be able to, one will be able to adapt; we have a value based IOP; if we all understood our values that this organisation stands for then the fact that we have differences of opinion shouldn't influence how we go forward. But at the moment values-based organization at UWC is on paper and for me, that is the key; if the values of the organization are strong. And it's clearly articulated and it's, it's demonstrated in our policies, is demonstrated in our actions, irrespective of what my personal values are. I will understand that these are the organizational values. And I think as a leader, we need to find ways where we drive that home, more".*
- [P15] *"...open and transparent and not secretive because people mustn't think you're now doing something specific to*

that, but there's just not feasible to have this library open on a 24/7 basis. And the executive management, put pressure on the library to open and while we provide the service. Because it's not sustainable. And I think that is a key element in decision making, how sustainable are your decision in an uncertain environment?

- [P17] *"The other side of it is, is that – and again it perhaps comes back to not wanting to take ownership, so I don't have a clear direction on what we want to do as a university with respect to (work portfolio); there is no clear direction. And when there is an issue that needs to be addressed at exec, senior management staff or middle management staff, we are asked to come up with a solution without guidance, without mentorship; I understand that my boss and the exec and the rector and the senior and executive management have a fast portfolio and their problems may pale in comparison to mine, but I am on the ground. To give you an idea, I have been writing a (work portfolio) management policy for (work portfolio) for 5 years – it's still not approved. And that policy is so weak that it will never be approved because of the weakness in that policy – now that speaks volumes because I don't know what the grandiose picture is, that's not been communicated to me."*

to recognize the effect it is having on the people that you are working. And then in that situation also communication skills. You have to be able to communicate what are the issues and what is going to happen because if people have the wrong information or they don't know what's happening, things can escalate as well."

- [P3] *"if I to be introspective and self-reflect. I still don't always have the ability to be able to balance disparate needs. You have a nice way of putting it. I think what I would need to learn is a little bit about learning how to manage conflict resolution. Because I can manage conflict easily manage constructively. But I think, I think I am not as strong in being able to sit comfortably within myself, if it is a solution that is not the principal effective solution, then I would sit there and say but bloody hell this is wrong but why are we doing it, you know, and I understand, intellectually I can understand yes you know you have to you have to be able to give and take a little bit"*

get somebody else to get the post. So, there has to be flexibility but the flexibility has to be within ethical transparent guidelines”



Unstructured Questions

<i>Structured Questions</i>	What contemporary leadership behaviour do you consider crucial to enable high performance under VUCA conditions?	To what extent does the current leadership successfully lead the university to achieve high performance?	Do you believe you have adequate skills to lead effectively under VUCA conditions?
<i>To what extent does leadership behave emotionally intelligent in the day-to-day operations of the university?</i>		<ul style="list-style-type: none">[P2] <i>“And for me excellence is a form, is an attitude, it's not achieving objectives. It's partially the efficiency and the effectiveness of our defined strategies, what we set out to achieve. But sometimes, in pursuit of the targeted objectives, we lose sight of the softer issues, of the human issues, of the humane part to it.”</i>[P3] <i>“So I think our university's leadership at the moment is a very thoughtful, engaging and compassionate leadership. Completely rooted in what is our (university name) own DNA, which is about equity, social justice, excellence in the service of humanity”</i>[P15] <i>“And I've had experiences of the university being, in some structures in the university, being not very humane and I've had experiences of structures in the university being very humane. You know, so I've had both experiences in dealing with it. And that's got to do and when I'm referring to the structures are referring to people management issues to do with people's individual lives where some structures have dealt with it extremely badly and I have had big fights and</i>	<ul style="list-style-type: none">[P8] <i>“And I think in a VUCA context, that's exactly where the peer learning and the engagement with peers in this context could be extremely helpful to help navigate the conditions, and build confidence, learn from one another.”</i>[P9] <i>“I have relatively good interpersonal skills. And I am a people person and so and I'm also, I'm intuitive, so I can pick up on when you know when somebody isn't themselves and so therefor, I would try to hone in or zoom into that to try to understand you know, why it is that someone is not themselves, you know, what's happened, are you ok and I'm sharing this with you to illustrate that I think I have relatively good interpersonal skills and relations with many members of my team, obviously not all of them. I do have to skills or the competencies to function under VUCA conditions. But we are a work in progress and so I have an executive coach as an example so I'm always open to opportunities that would grow my style.”</i>[P11] <i>“I just think that there are certain qualities inherent in people to be accommodative, to be flexible, to be open to change, to look pass people and actually</i>

complaints and things but in other areas I've found tremendous support, tremendous humanity within the guidelines of what can be done to support the, so I kind of find both areas and then in terms of question one for me humanity, you know, being aware of the fact that people who work in this organization, you know do actually have lives."



look at the system, to realize that when the system is failing, I can actually fix the system and ensure that those things are put in place. So, if you have those qualities inherently in you, then I think you make a good leader."

- [P6] *"people are experiencing a lot of emotional issues and uncertainty. Yeah. And so, you know, you need to be. I mean, we just had an incident last week where we had a very, very, very new staff member in a management position but there were four or five things that all of a sudden that just started occurring. And the person became very task centred. And in fact, because the person became very task centred and the staff were getting more and more upset and the students were getting more and more upset and it was one of those situations; and we were saying that she didn't manage the situation and in it what she wasn't managing was the emotional experiences that people were having, that they were getting worked up. People thought of it, you know, so, and so it's an EQ in a way you know when I talk about this emotional EQ. It's that ability to read the situation that was going on know when it is that you got to kind of calm things down, know when it is that you got to inspire, you know, know when you're got to compromise; but it's about managing the people and the climate because it's being*



able to read the climate and so, probably in it, you know, wasn't, given VUCA conditions I think some of the things is that the motivations for things that are happening are not always clear.; I think probably managing the people and you know, the uncertain conditions, you know you need to be able to recognize the effect it is having on the people that you are working”

- [P22] *“People can do the normal emotional intelligence, all these building blocks are all important. But the real skills, if you look at the literature if you speak to people, to be flexible. How do you train people to be flexible? I don’t see a lot of training around that. I mean train people to value the complexity, to embrace complexity, how do you pay people to understand that the velocity of execution matters. That there’s more risk, quite a lot of time in slow execution that there is in fast execution. In the private sector, in the innovation environment, everything is about running experiments continuously and failing fabulously wonderfully a lot of the time. Now, in our context, it’s very difficult to see, you know, funding, having enough tolerance almost for failure. And the type of way that this can be dealt with is simply by enabling, and incentivizing and helping people to experiment, more”*
- [P24] *“I think the one thing that’s always been very important to me is emotional*



intelligence. And the way I see it, the definition of emotional intelligence is just somebody that is very in touch with him or herself and knows his own personality very well and then kind of, you become predictable to yourself you know how is you will fair under certain conditions and why and how. And the way I see it, a person that's high in emotional intelligence will be able to fair better under VUCA circumstances that somebody that doesn't know himself that and doesn't understand emotions and drives, human drives and needs so well. So, I think having focused on developing my emotional intelligence I do feel that I, I think I have what it takes to kind of have successful qualities. Qualities that have the potential to make me successful under VUCA conditions but I also think that it might be in my advantage that being a bit younger and having been born under conditions that have already been, maybe more VUCA related, I think that also helps a little bit."

- [P25] *"Emotional intelligence, I think it is very much critical for leaders. Emotional Intelligence, competence as well, if I had to put it that way, the overall competence of human beings in performing their duties, it's very much critical. And I wouldn't say education but I would say, continuous learning."*

To what extent does leadership employ mindfulness deliberately in their daily management function?

[P2] *"I think it requires courageous leadership. The ability to make difficult decisions under very serious conditions, considering the speed and volume and pace at which things are coming at us. The ability to have a sense of, of at least a perspective and a sense of where things are going, what's the big picture as a kind of guiding tool. That includes issues of integrity, honesty, etc. And maybe to a kind of behaviour that demonstrates one's own groundedness if you wish, or connectedness or that resonates with the things that we stand for."*



- [P1] *"I do, me personally, I talk about myself. And I want to say the reason why I want to say that because my personal values are strong. And so, because my personal values are strong, I know how I make decisions. And what I, what guides my decision-making processes. So, whether it's in a normal environment, or whether it's in a VUCA environment. I know what would guide my decision-making processes. Now, having said that there might be times when things happen fast, you know that you have to really. But if your values, I keep saying that is your fall-back position, then that's going to be your fall-back position and therefore I feel that if the organization is strong on that, then students can protest this staff can. You can. Whatever will come but we know what we stand for. So, I think, for me personally, I would be able to operate in a VUCA environment. It will take stress because anybody will take stress in terms of, because that's not what you wanting, but I think yes, I can"*
- [P19] *"But as you mature and you think through things and that was the other thing to improve your cognitive ability. And that is where education comes in. And it's not just education any education. It is education with critical reflection, critical thinking, critical analysis that contributes, so you don't just accept things on the surface. You ask what if, is it possible, why*

How successful does leadership collaborate with all stakeholders (students, staff, Government, business & industry, community) to achieve high performance?

- [P8] *"...one is, um, network capabilities. The ability to spread your relationship and networks as wide as possible. Uhm to get access to information, ways of thinking, making major changes from a wide spectrum say, as opposed to your discipline, or silo or isolate your organization. So, there must be that honesty and the willingness to say, I don't know. And to try and elicit answers or advice either from you people in your network or people in your division, whatever. I think that that understanding of its way too complex for only one person to comprehend."*
- [P22] *"...the power of the leader can never come only from their position of power, it needs to come from the value that they are adding to relationships, it needs to come from the fact that they need to listen very critically. And quite often if think there's a lot of Silicon Valley type of leaders that are saying if you the smartest person in the room as a leader then you're in the wrong room you should not be leading that team. And the two things for me that's most critical is simply flexibility and active listening, really understanding*
- [P8] *"...social capital that are vested in various stakeholders. I think to a large extent our institution has got this feeling that we have to be, we have to do everything all on our own. We have to demonstrate it. I think that's the area we can improve."*
- [P22] *"I'm a firm believer in a multidisciplinary approach which it was difficult because you've got these research and innovation academic and you know the different silos that you see within the university, those are those are very artificial. I've yet to see any problems that manifest itself any one of those items. Bring a problem that's only a research or only an innovation problem. That's just not the way the world works. So, we need to really start looking at this as well and fundamentally acknowledging that we need to work across these silos in completely different ways, new ways. In order to be able to move to fast"*
- [P2] *"I think we must understand that we live in a complex environment that demands diverse networks and teams and collaboration that will help organizations to succeed. And the competencies no longer reside in a single individual or in a single institution to be able to successfully transition into where we would like to be. So, it would be arrogant of any institution to assume that they have it, and these would include the soft skills. Do we have the necessary information, do we have the necessary data sets, do we have the necessary networks, do we have, and I can continue with what we need? And so, the answer is very simple. I think there needs to be an openness to understand that we don't know it all. And that through networks, through others, through an appreciation of the other, we will complement ourselves and hopefully build the capabilities collectively to achieve."*
- [P23] *"It's a lot more to do with real time collaboration, the ability to inclusiveness. uhm... the ability to harness the team's idea and to employ technology, and it is... it's not so much dependent on the leader...that it's the leader's ability to*

not, how? So, you start asking questions, why is it that people can't think the same? I struggled with that, you know, I struggle to think, it's simple, it's simple for me, it's not simple for the next person."

and valuing the opinion of all the different role players.”

To what extent does leadership employ consensus seeking skills to resolve problems and accomplish high performance at the university?

- [P17] *“My management style is based on a sort of a mentorship formula where I assess and look at my staff and find out what their strong points and weak points are and I like to manage in terms of mentorship... (at the current university) there is more of an authoritarian approach – do as I say or else – to the line, and there is no room for movement where you can show initiate and introduce new and different ideas.”*
- [P18] *“Open and on consultative, you know, leadership. By open, I mean, you know, and showing that you as a manager, you know, you share information, um, either with your subordinates or colleagues”*
- [P12] *“So resources have followed strategy but then, we didn't have structures, etc. Sometimes it was structures. Sometimes it was processes, but we didn't have the mechanism in place to manage accountability. And then I think what currently is a challenge is that the vision is clear, that's well articulated. The IOP is well articulated. I think those are exceptionally well done. What was an oversight was two things one is change management, how do we get the current structure, to deal with changes that result from this different vision? So, change management for me was, and obviously it included communication and all the other stuff. So, change management for me was a problem. The other thing is that they didn't change the organogram. So, I believe that, so we've moved from a teaching university to a research-intensive university, that's a big shift under VUCA circumstances, and we were historically a previously disadvantaged institution that comes with all the inequitable profiling.”*

employ other people and other resources to support him or her in accomplishing the tasks”

- [P20] *“Negotiation. Okay. I mean, I think having said what I've previously said, you know, understanding the environment and listening. So, there are opposing viewpoints in, say for example, when you're dealing with senior leadership. And each one would have the preferred the ideal outcome. That's not necessarily going to be the realistic outcome. So being able to negotiate your way through a tricky situation is, is crucial in VUCA conditions.”*

4.4 EMPIRICAL RESULTS

Based on the outcomes of the theme validation analysis, all 11 characteristics of effective leadership formed the basis of the categorisation matrix for the empirical study of leaders within a public university. The results of the leadership characteristics frequency analysis are presented first. Then, the results of the directed content analysis are presented for each of these themes as the main categories of organisation. The themes that emerged from the analysis of the interview transcripts are presented as the “coded information units” (Mayring, 2000; Assarroudi *et al.*, 2018). These units were then condensed into “generic categories” that relate to the main category based on similarities, differences, and meanings (Elo and Kyngäs, 2008). The *links between ‘generic categories’ and ‘main’ categories are established in the results descriptions* (Zhang and Wildemuth, 2009). Figures 4.1 to 4.11 furnish visual representations of these relationships. These diagrams utilise logic AND-gate functions to add and condense lower-level to higher-level information.

In instances that where identifying leadership titles were stated by participants, these have been omitted and replaced with “[leadership position]”.

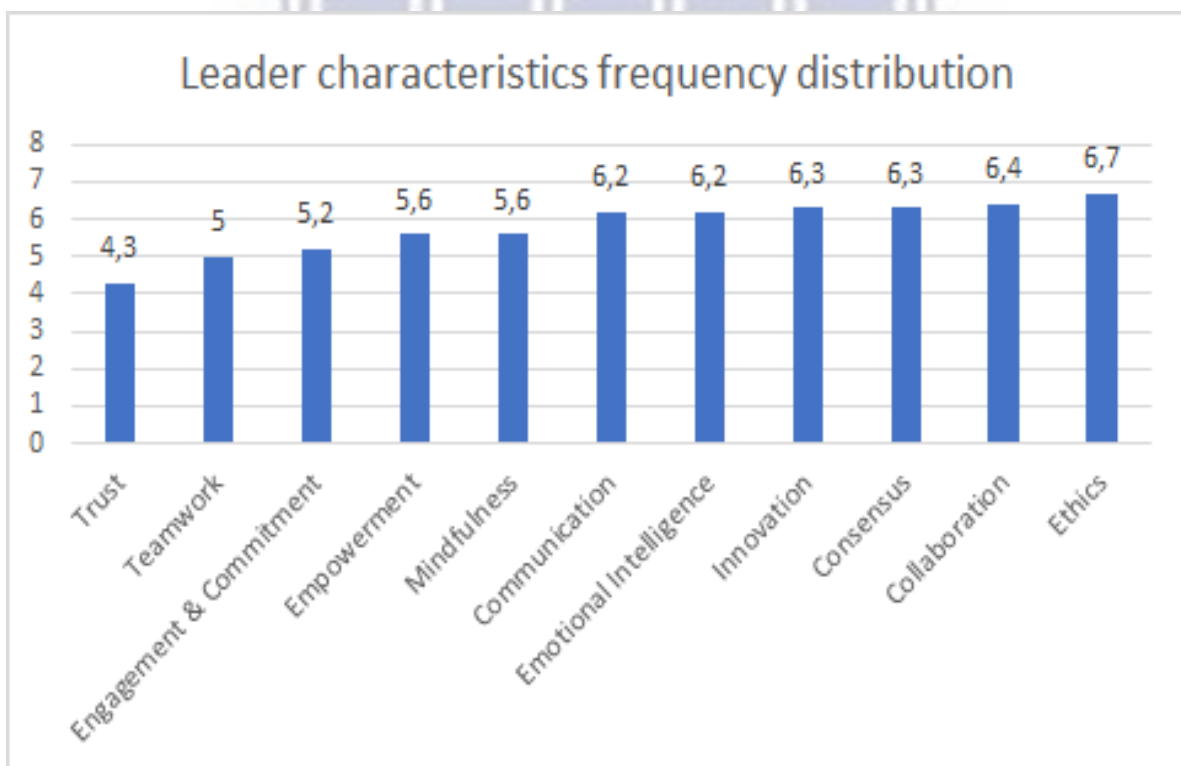
4.4.1 Frequency Analysis

Table 4.5 and Figure 4.1 provide a visual summary of the participants’ perceptions of the leadership characteristics at their university. Participants were asked to rate the effectiveness of people in leadership positions with respect to the leadership characteristics on a Likert scale of 1-10, with 1 representing extremely poor leader effectiveness and 10 representing excellent leader effectiveness.

Table 4.5 Leadership characteristics frequency distribution table (n = 24)

Leadership characteristics frequency distribution	Empowerment	Trust	Engagement & Commitment	Teamwork	Innovation	Communication	Ethics	Emotional Intelligence	Mindfulness	Collaboration	Consensus
Own											
Department	7,7	6,7	6,7	7,7	8,4	7,3	7,5	6,8	6,3	7,0	7,5
University	5,6	4,3	5,2	5,0	6,3	6,2	6,7	6,2	5,6	6,4	6,3
Combined	6,6	5,5	5,9	6,3	7,3	6,8	7,1	6,5	5,9	6,7	6,9

Figure 4.1 Ranking of leadership characteristics within the university



From this analysis, it is clear that leaders at the University are perceived as being more effective along some dimensions significantly more than others. The highest scoring characteristic was ethics with an average score of 6,7. Collaboration and consensus

seeking are not far behind with scores of 6,4 and 6,3, respectively. Meanwhile, trust represents the lowest ranking characteristic with an average score of 4,3. Innovation has the second lowest average score of 5. Engagement and commitment have the third lowest average score of 5,2.

Figure 4.2 Comparison of leadership characteristics for the university compared to the participant’s department

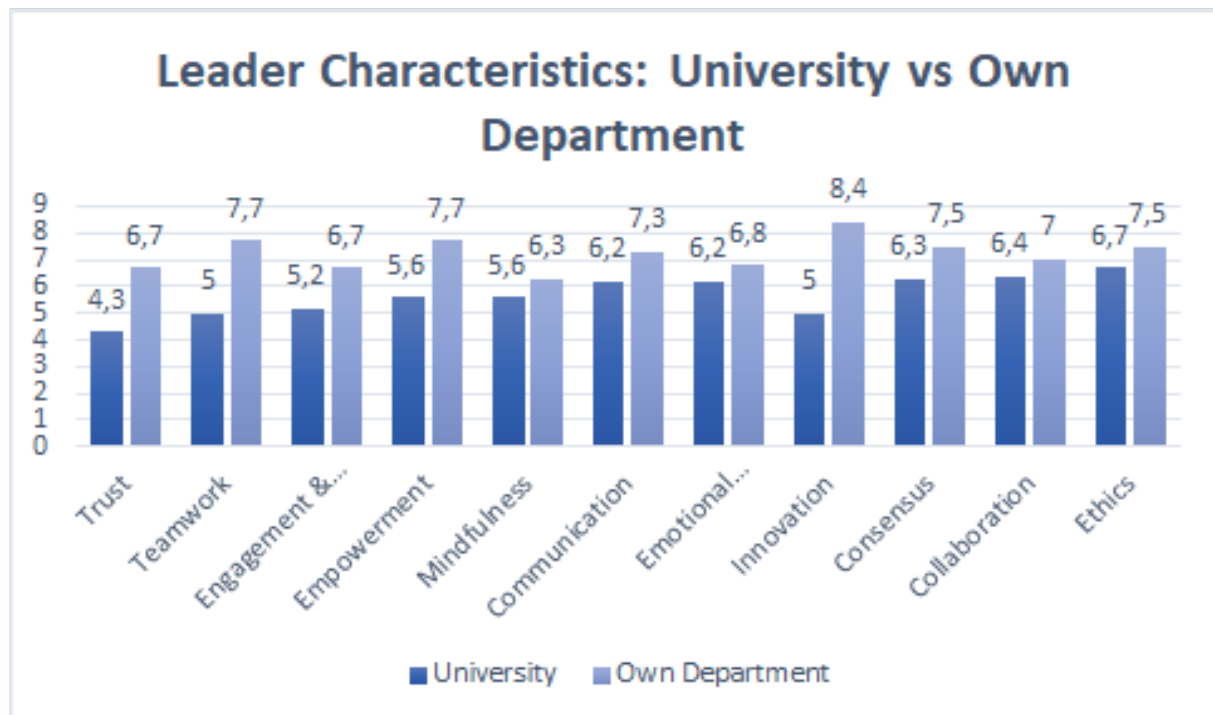
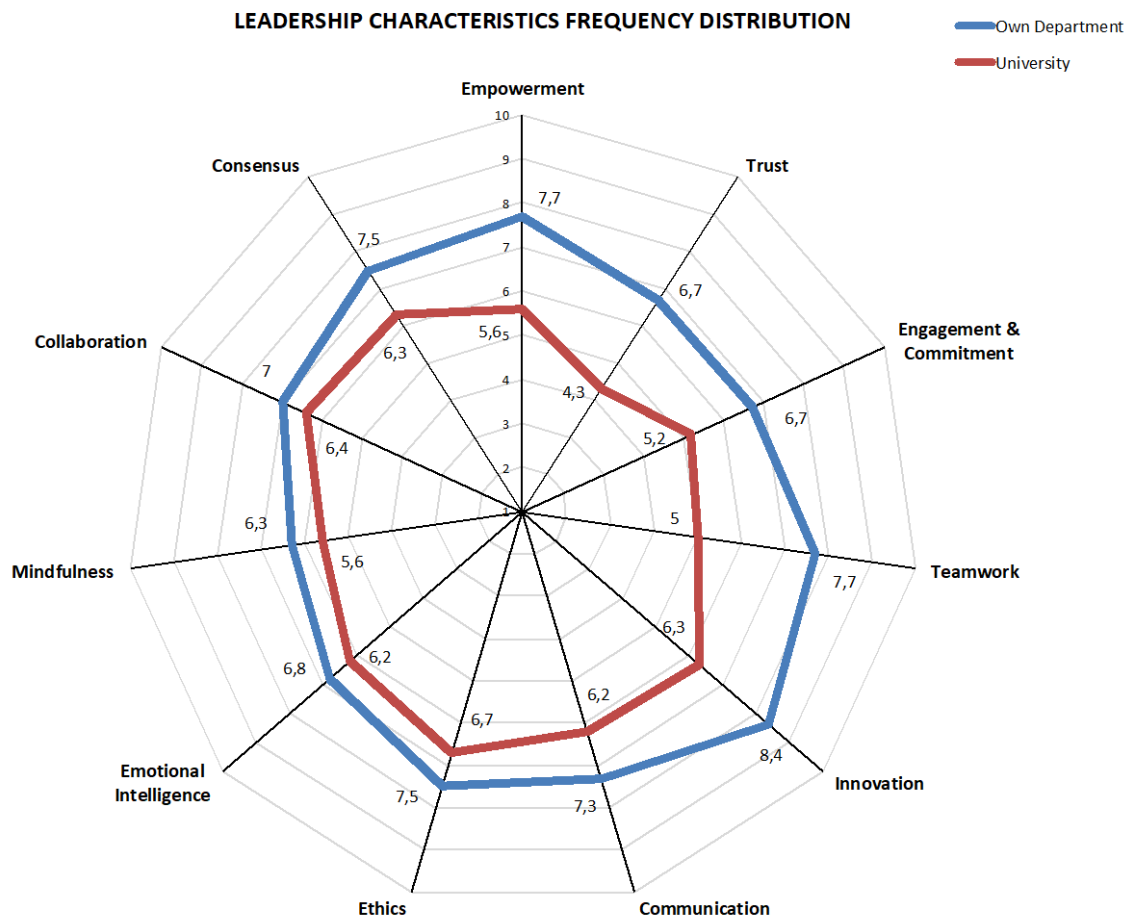


Figure 4.2 shows a common trend across all characteristics of participants rating their own departments higher than the university on leadership effectiveness. It is also observable that the leadership characteristics that rated the lowest on the university wide assessment are rated much higher within own departments. The differentials were largest for the lowest ranking university characteristics. For instance, trust, the lowest-scoring characteristic at the university level, suggesting a major concern, and is 2,4 points higher to a score of 6,7 at the department level. A similar pattern for innovation occurred, where it scored 3,4 points higher at the department level for a score of 8,4.

The differential gets smaller for the higher-ranking university characteristics, shrinking to just 0,6 points for collaboration and 0,8 for the ethics characteristics. Figure 4.3 provides another visual representation of the scores to see the relationship more clearly.

Figure 4.3 Leadership characteristics frequency distribution chart

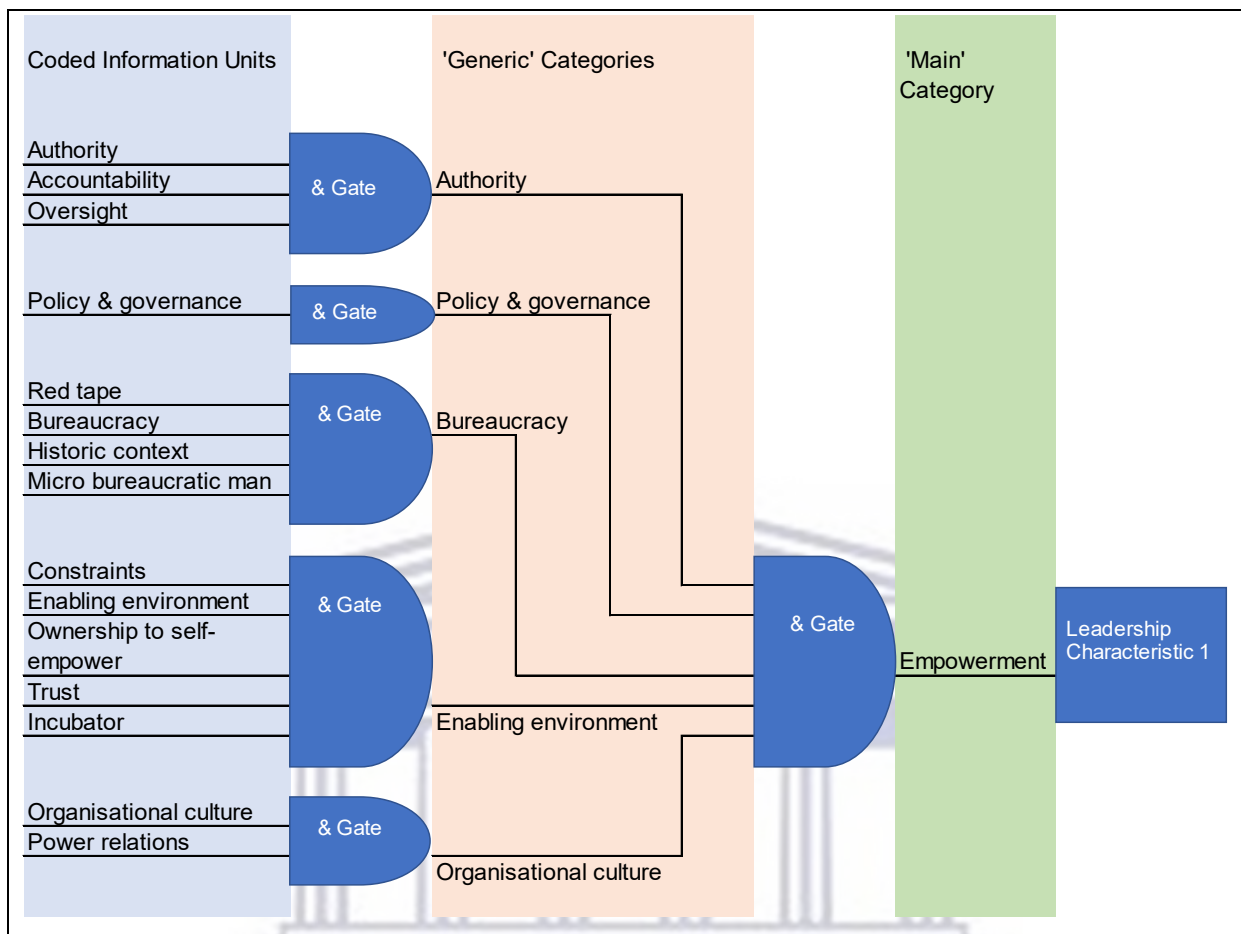


4.4.2 Directed Content Analysis

4.4.2.1 Empowerment

These findings represent participants' responses to the question, "Are you empowered to be effective in your role?" Figure 4.4 indicates the 15 information units that support the empowerment category, and which were condensed into five generic categories.

Figure 4.4 Empowerment: coded information units and generic categories



4.4.2.1.1 Authority

There is evidence for leadership feeling empowered to exercise authority at all levels. This takes place within the context of the university's delegation of authority, and governance processes. Especially with regard to the executive and senior management level, interviewees' perceptions support the premise that leaders have the freedom to make decisions.

Participant [P1] articulated her point of view as follows: "...we do give responsibility with authority". Participant [P6] also provides evidence for decision-making recommendations to line managers where the higher approval is required: "...there's times where I motivate to her [leader position] and she's never really not supported a motivation, as an example. So, while I may not have the authority to make that decision, I am able to influence her decision".

Participant [P14] cited an example of authority where her recommendations to the executive resulted in the installation and commissioning of an information technology (IT) system within a record of three months. The standard installation and commissioning time usually requires 18 months.

On the contrary, there is also evidence of some negative leadership empowerment experiences. An example comes from middle manager [P21] who was frustrated that he does not have proper authority to spend his departmental budgets: “there are some things where I feel like I'm rubber-stamping things ... how I can actually spend my budget, those decisions have already been made, and I'm just saying, yes, yes, yes. And in that case, I've got no autonomy to change how I spend my budget”.

Further evidence where senior managers experience poor authority mandates relate to being responsible for matters without having the necessary authority. Participant [P12] explains, “You're actually held hostage. ... I feel sometimes like I'm a figurehead that has no real authority to do anything.”

Some of these concerns refer to a misalignment between leadership responsibilities and the organogram, and inadequate human resources management and industrial relations support [P12].

4.4.2.1.2 Policy and governance

Leaders showed a thorough understanding of the necessity for policies and governance to control the delegation of authority. As senior manager [P6] describes: “We are allowed to make decisions within the confines of policies and governance. The staffing budget... lies with the [leader position]. Assessment rules, if it's a deviation to the (academic) assessment, the [leader position] can make the call. There are certain issues and obviously that goes to senior executive committee”.

Even though leaders in the organisation appreciate the need for policy and governance processes, they are frustrated. Participant [P20] explains, “I mean there's a lot of red tape, a lot of it you understand because it's meant to cut down on fraud. And unethical behaviour, so you understand it and you comply with it, you work with it, but it can also be frustrating.” He continues to highlight the risk that some policies are being exploited and that some employees are abusing the university's policy of ‘putting people first’. “And, I think it has been taken to an extreme way. Very little

disciplinary action, for example, is taken against staff who are really misbehaving by taking advantage of abusing sick leave, or time and attendance, or far worse". He recognises that although the university also has disciplinary procedures, very little remedial action takes place in practice.

4.4.2.1.3 Bureaucracy

The general perception of senior and middle managers is that the university is a bureaucratic institution, which impacts negatively on their ability to make decisions. Huge frustration as a result of slow processes aggravates matters. Senior manager [P9] explains her experience: "[The university is] very bureaucratic, we operate by committees, it slows things down and ... within that system, your levels, where authority is delegated to the Deans, but we still require DVC Academic approval".

Participant [P12] describes this experience in terms of "triple layers of approval" for project finances, "inflexibility", and "punitive" processes. Another senior manager, [P15] used the term "a level of micro-bureaucratic management" to describe her experiences. Although she demonstrated a sensitivity towards risk to prevent corruption, she expresses her annoyance. "[It is] a fine balance with empowering people to take responsibility and to be accountable for those issues," [P5] said. "I don't have a direct say on some of the budget that is affecting my staffing; give me a set portion of that amount that I'd like to control my own budget. But because I'm not the budget holder for those I continually have to negotiate around getting what I see as essential factors." She concludes by saying: "It pushes a person who's in a leadership role into a management role, because I'm constantly arguing, pulled down to operations. ... Those things affect one's functioning, it also affects my morale".

4.4.2.1.4 Enabling environment

Leaders experience the university as an enabling environment. Examples range from positive engagements with executive managers, to not being micro-managed, experiencing trust, and shielding some projects from bureaucracy. Constraints and resource limitations moderate the enabling environment though.

Participant [P25] explained his experience as: "Because we recommend and advise to senior leadership and executive leadership, and they base their decisions on our

recommendations as experts and specialists in our field of areas, we provide critical input into decision making”.

Another senior manager, [P8], sees her work environment as enabling: “My line manager must get a lot of credit for shielding us from the bureaucracy. Because he understood from the beginning that this is a place where we need to test our wings. It gave us, it gave me, the freedom to explore, to innovate, to try new things”.

Participant [P21] expresses his view as an academic: “Strictly speaking, the state can't mandate what the university teaches, what research happens here. And the purpose of Higher Education is sometimes to push back against the state and authority. And so, from that point of view, an academic freedom point of view, I think we do delegate authority out to the periphery. I cannot mandate how any of my lecturers in the department teach, and we are mandated in terms of what we have to teach ...the content is carefully regulated by regulatory bodies and professional organisations”.

There is, however, concern about limited resources and its potential to inhibit empowerment. Even with the required authorisation and willingness of leaders to make courageous decisions, the physical resources and the capabilities could significantly limit outcomes. Participant [P2] explains, “And those constraints, is that in a VUCA environment, the volatility, or the, just the voluminous speed at which change comes, and particularly fluctuating markets, fluctuating conditions etc., makes it difficult to predict what's coming.”

4.4.2.1.5 Organisational culture

The university's organisational culture is not rated high by some of its leaders. The issues that are mentioned by interviewees include being hamstrung by the bureaucracy, the pressure to conform, too little autonomy, and the need for more open, transparent leadership.

Participant [P10] explains, “So the culture is like not of a high flying, or high-performance institution. So, the culture is being eroded by this shadow of uncertainty, indecisiveness, not transparent, a sense of not openness in the management or leadership.”

Participant [P19] advocates for improved power dynamics: “There is a dichotomy between academics and administrators. And there is a power challenge between

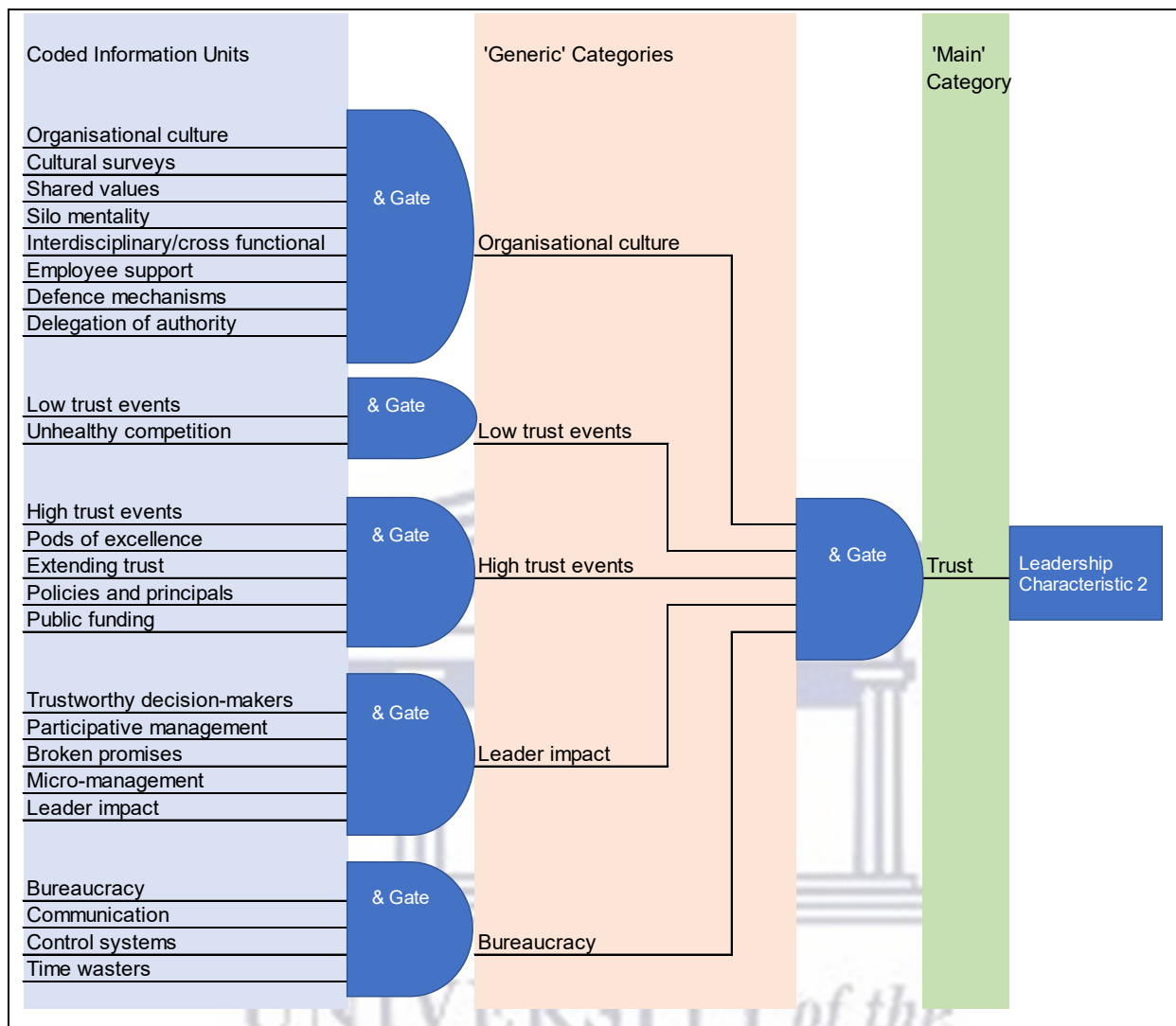
those two. To the extent that the power leans heavily towards the academics". He argues that historically, the university identified as a collegial environment, but of late, there has been a manifestation of conflict of interest between the two power bases. He emphasises the necessity for empowered leaders to sustain Higher Education amidst challenges of the 21st century.

To summarise, the perspectives of leaders indicated the importance of having authority to make decisions in order to feel empowered. Those who experienced authority seemed to experience a sense of empowerment, whilst those who lacked authority experienced frustration. Policy and governance are a necessity to manage risk and ensure legal compliance. The implementation of policy is where some improvements could be considered to enhance the empowerment of leadership. Bureaucracy is a key issue for leaders. Even at senior levels of management, there is great concern that leaders are not empowered to fulfil their tasks effectively. On the contrary, many leaders experience the university as an enabling leadership environment. There is however, a sober and pragmatized realisation that the university functions within the context of limited resources and capabilities, and needs to abide by some constraints, like limited budgets and regulated academic content for degree programmes.

4.4.2.2 Trust

These findings represent participants' responses to the question, "To what extent do you experience trust in the workplace?" Figure 4.5 indicates the 24 information units that support the empowerment category, and which were condensed into five generic categories.

Figure 4.5 Trust: coded information units and generic categories



4.4.2.2.1 Organisational culture

The participants' perception of the university's organisational culture is mostly negative. The reports ranged from discussing the organisational culture, the university's cultural survey, shared values, interdisciplinary/cross functional approach, defence mechanisms to deal with poor trust, and lastly, employee support.

Participant [P5] describes her discontent regarding access to the university's executive: "There is almost a culture here of that there are certain people in leadership at the university that will just take whatever they can, whether it's part of their portfolio or not, stamp on all the little people to get to the top and there is no consequence management for that". She continued: "I've always worked in an environment with access to the CEO. Here, we don't have access to our VC. It's always blocked at

executive level. And it's always told that that's what the executive to deal with. She describes her distrust as a result: "I often feel that I need to follow up in writing, you know, see, so often it just because way down the line, maybe it's no trust, but way down the line".

Leaders appreciate the usefulness of cultural surveys to gauge the university community's acceptance of the values base, especially in light of the university's history. Participant [P3] explains: "People used to come to the institution with a sense of shared values of what we stand for, what we believe and what we'd like to achieve. And that comes from a context of a common enemy out there [in the context of a university for previously disadvantaged communities] ... There's a lack of trust, a lack of feeling of being supported by the institution, there isn't always the buy-in into the vision of the [Institutional Operating Plan (IOP)]". He further elaborates that although the executive leadership shares an aligned common vision, there "isn't a tightness of the team, so that everyone is pushing in the same direction... I think we distrust each other a little bit more because we might not feel we have the same goal, which I think it is very important, to share the same goal".

Just one senior manager [P14] had some positive remarks regarding employee support. She described her experiences with her direct colleagues as trustful, some even sharing their personal lives, providing emotional support, and understanding. She gave an example where a colleague's husband passed away and the support her team provided: "And according to the rules over here you've got three days' worth of leave. The day after I come into the office and they're talking about how they can arrange that she doesn't have to come in for the rest of the year. And they do this. Nobody asked, but respect and integrity".

4.4.2.2 Low-trust events, experiences, or characteristics

A few leaders shared their negative encounters regarding low-trust events, experiences, or characteristics. An important example is the launch of the incubator clothing store from participant [P5]. She explained how this "was a real highlight for this office and for the university" but it was undermined by senior/executive management. "In fact, I got a letter and an email. I was just so taken aback that a person in senior leadership could have the view, put, say the things that they were saying, and could be as badly as a person has been there for a long time, but there is

no consequence management. ... But I'm only like this because I get excited about the things that I do. And if I offend somebody, then it's normally because I'm all over the place. But I kind of jump in there, roll up my sleeves. ... I don't feel that I must be told (to do it). And I've been told this year, your light is shining too brightly, maybe you must just not do so much of that, because people can't deal with it." This kind of leadership behaviour erodes trust and has devastating effects for leadership effectiveness.

Unhealthy competition is a further obstacle undermining trust. Participant [P8] explains her concerns that the university's culture does not enable collaboration or the sharing of information and knowledge across departments. She says, "At university it is individual performance... individuals compete against one another for promotion. So, in that respect, you know, if people get something, they will keep it to themselves because that will give them the edge. It's not a context where you share and collaborate freely."

4.4.2.2.3 High-trust events, experiences, or characteristics

Although there is much evidence concerning low trust in the university, some positive evidence supporting high-trust events, experiences, or characteristics also manifested. In general, there is a tendency to experience higher levels of trust within divisions or departments' own teams, as compared to the broader university. A number of senior managers supported this view and shared examples as evidence.

One participant [P4] was encouraged by the trust his staff demonstrated, in that they felt they could discuss allegations made against him freely: "So very often it would be negative and they would say that doesn't sound like him and they would come to me and they would speak about it". He also reflected on how he directs his staff to build trust: "Even my personal assistant, I will tell if, if somebody calls and I don't want to speak to him, don't lie on my behalf. Because that could break down trust not just between the two of us but also the staff members".

Participant [P5] boasted about her team delivering on a huge responsibility to successfully negotiate a tender of R5 million per year tender for three years. She said, "The team took responsibility. You know, they said to me, go to the airport, get on your flight, we'll do what we need to do. And I gave them the freedom to say 'no', this is too much. We delivered." She attributed the success to good work ethic, passion, synergy,

and shared commitment, all facilitated by high trust. “But it's just that thing about trusting the team. Knowing that we can move things through quickly,” she said.

Participant [P16] explained her approach to first extend trust to people. She said, “I work from a trust principle so, until you break it, you prove me wrong, then we walk back to change the way we do things. Yes, I extend trust and I expect it back.”

Lastly, participant [P2] summarises and articulates the current reality at the institution: “[The university] is a mixed picture. I think in some, we have pods of excellence in which, and it's across the leadership, as well as across academic leadership ... fairly high trust across some of the faculties ... but there are pods in which it is really very poor”.

4.4.2.2.4 Impact of executive and senior leadership

The participants' perceptions of the impact of executive and senior management on trust does not create confidence in leadership effectiveness. Much of the evidence accentuates low-trust outcomes, including low trust in the decision-makers on academic committees, no or poor participative management, leadership breaking promises, micro-management, and poor consultation and inclusion of the university's administrators in decision-making.

A serious suspicion by participant [P12] implies unfair evaluation of postgraduate students' research by academic committees: “I don't have evidence to say this, but get the sense that [they] don't assess the student, they assess the supervisor. So, that creates huge trust issues, because at the end of the day, I can't guarantee that my students' work is going to be looked at, in what it's intended to be looked at.”

In another instance, participant [P17] repeatedly experienced leaders not keeping their promises, impacting really negatively on him, his staff, and his division. He almost tended towards hostility when he explained: “So, my trust in what people say they are going to do, if you don't write it down and there are no minutes of it in this place, forget it! So, I trust nobody.”

Participant [P19] accuses senior and executive leaders of excluding administrators in decision making: “So, I think there's an issue with trust. When senior management, makes a decision – and in some cases, they make that decision, I feel, without

considering especially administrative staff. They will make the decision considering academic staff. Okay. And as an afterthought with regard to administrators.”

4.4.2.2.6 Bureaucracy

The participants’ feedback with respect to bureaucracy, and how it impacts on high trust at the university, is mainly perceived as endless paperwork, slow and ineffective, and old and outdated technology application. It includes aspects relating to processes, procedures and the prescribed ways of working in the university.

Participants find the extremely rigid process requiring formally written motivations for nearly every daily operation is not very efficient. Participant [P9] says, “We’re a very bureaucratic organisation, as in bureaucratically structured, and then it would probably be more on the side of the low trust. I’m writing a motivation, in most instances my line will support it and approve it, but it takes a lot of time. I have thirty people who directly report to me and so, I end up having to write if we having an extension of a chairperson of a department for example, I have to write and apply my mind there’s an acting arrangement.”

Another participant [P22] argues that the university needs to revise and modernise its current business processes to improve efficiencies. He argues the current processes do not build high trust: “[It is] a situation where the tail is wagging the dog a little bit in terms of the finance controls, access cards. One person, if he’s on leave the whole system falls over. If you’ve got a system that processes that work that people trust sufficiently, then that will never be an issue; people need to trust the processes, ... in this VUCA environment, is what we need to enable people and execution organisation is effective systems for example ICT [information and communication technology] systems”.

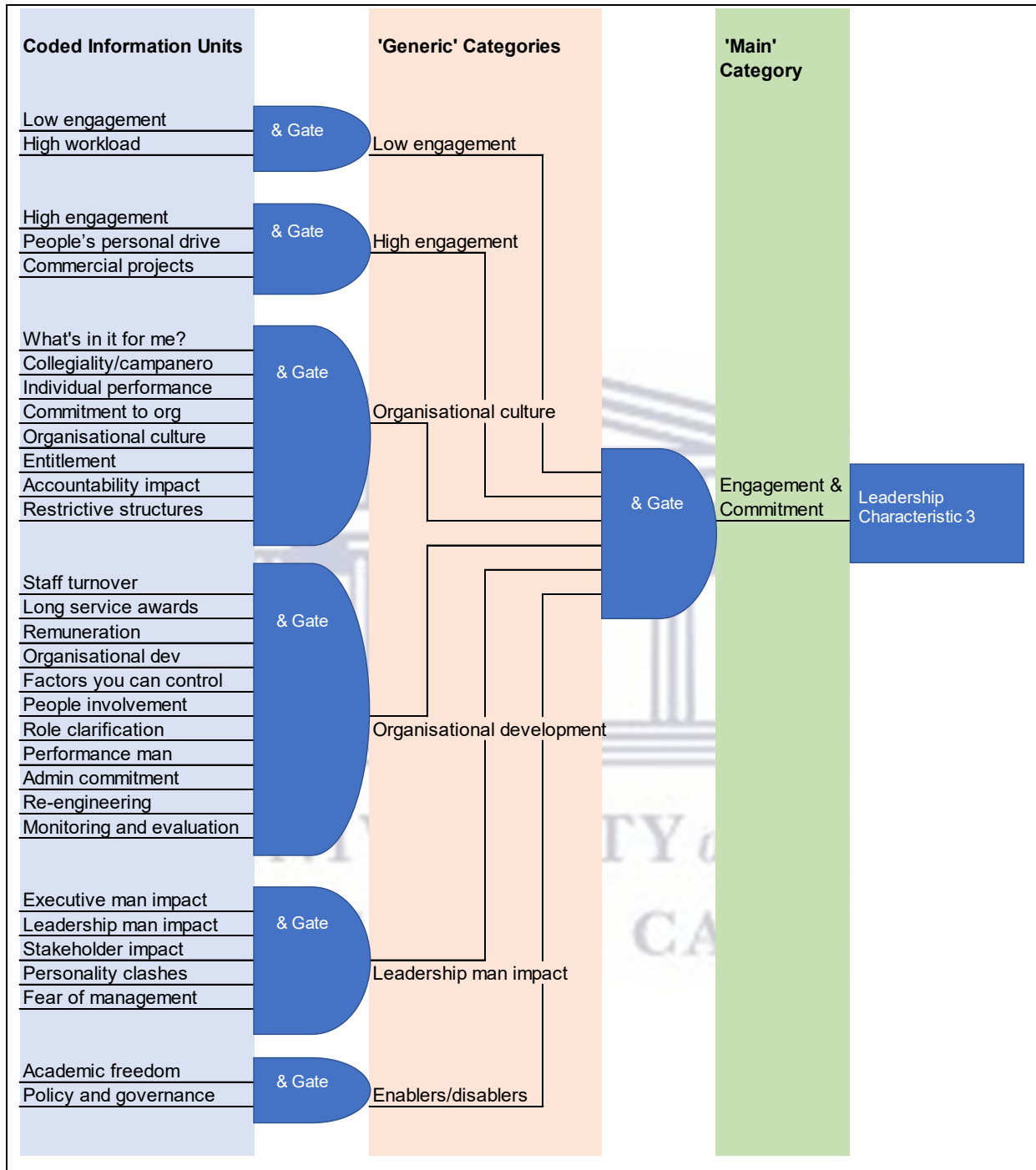
The issue of eliminating time-wasters and seeking new technology to improve trust and effectiveness, was raised by participant [P25]. He says, “Regular meetings, and nothing gets done. You meet for, you know, hours, you discussed possibilities of solving this thing out. And you still wait again after that for minutes of those meetings... We find that time is wasted on the most, for lack of a better word, most nonsensical things; new technological inventions that we should be adhering to or trying to adapt our practices, that will save us time”.

In conclusion, organisational culture is mostly perceived negatively by leaders, who cited evidence of distrust and a lack of transparency. To exacerbate matters, participants cited low-trust events, experiences, or characteristics and highlighted examples of leadership undermining success and unhealthy competition. Pockets where low trust is evident exist in some areas. High-trust events, experiences, or characteristics revealed substantive evidence for high trust manifesting within divisions and departments. On the contrary, no substantive evidence was provided to support high trust within the broader university though. The impact of executive and senior management on trust does not support leadership effectiveness. Undesirable leadership behaviour includes professional jealousy impacting negatively on student performance, leadership not keeping promises, and polarising the administration versus academic structures. Bureaucracy has a profoundly negative impact on trust as a leadership characteristic. Ineffective systems and processes result in laborious, slow, and voluminous administration. There is an outcry for improved efficiencies by modernising the university's standard operating procedures and adopting new enabling technology.

4.4.2.3 Level of engagement and commitment

These findings represent participants' responses to the question, "How would you describe the current level of engagement and commitment of leadership and employees in their work at the university?" Figure 4.6 indicates the 31 information units that support the empowerment category, and which were condensed into six generic categories.

Figure 4.6 Level of engagement and commitment: coded information units and generic categories



4.4.2.3.1 Low engagement & commitment events/experiences/characteristics

A number of the research participants reported events, experiences, or characteristic of low engagement & commitment and also provided examples where there are pockets of low commitment and also inconsistent commitment. A few participants

showed empathy and described some mitigating circumstances for some of these experiences of low engagement and commitment.

Participant [P1] shared her perception that the university has pockets of excellence where the engagement and commitment of the staff is commendable. Unfortunately, there are also pockets of complacency and really low commitment. She says, “You have ones who are really committed. I think that within the bigger team we have amazing people who you call on them, they go. I think that [the university] wouldn't be where it is if there wasn't the engagement and commitment to their jobs. And there are ones who are just there to do the job. I come to do just what I've been told to do for today. And now I'm talking about the bigger team.”

Participant [P5] also supports the premise that the university's employee commitment is inconsistent: “The level of engagement in the university is quite low. I feel that there's a small group of people who are highly engaged, and if it weren't for them, then we probably wouldn't really move forward”. She cites the example of a call by the executive for courageous conversations, an initiative to critically self-assess the university's execution of its mandate, but which very few staff members cared to participate in. She said, “Someone came back to me and said, ‘We don't have enough people to actually have this conversation’. You've got a small group of people who are highly engaged, committed, they going to give feedback on everything that comes across their desk. But then, we've got the, my impression, is the vast majority of the university are not engaged.” In defence of those showing poor commitment, she believes there might be good reasons “But now there are many good, potentially good reasons for that. People are overworked, burnt out, stressed. Maybe they're not engaging with leadership, because they're spending all of their time engaging with students, so it's complicated.”

4.4.2.3.2 High engagement & commitment events/experiences/characteristics category

A few managers cited examples of events, experiences, or characteristics of high engagement & commitment, with some balancing their views with counter arguments of low engagement and commitment.

Participant [P20] mentioned some of the key university wide initiatives: “So, for example, from ‘staff wellness days’ to ‘culture surveys’, where they actually examine

staff's approach and commitment, and perception of management, and various elements on campus. So, I think they're trying.”

Participant [P7] asks questions, trying to locate the positive differentiators in her work environment: “I feel like we have a culture in our department, very supportive, engaged with each other, that there's some kind of causal relationship between, you know, is it me or is it the previous HOD or is it the change in culture? But I found that since I've taken over, we've had a much higher level of engagement.” However, she does not believe that the university in general portrays high engagement and commitment. She said, “I realize how blessed I am in terms of the team. But again, I want to say, I think it's unique. I don't think it's the norm...” She also attributes much of the high level of engagement and commitment to individuals' freedom to choose the projects they are working on.

Notwithstanding all the positive remarks, her relationship with executive management tends towards negative experiences: “I have a very good relationship with my colleagues, not necessarily with leadership. And you will hear people say what has been done so far, there's nothing, you know. Nobody's talking to us, nobody's interacting with us, there's more an instructive thing.”

Participant [P14], in another division, shows real passion for her work and provides remarkable examples of high commitment and engagement. She said, “Look at our head of legal here, he's probably getting paid a quarter what he was paid in corporate, if that. But he wanted to come back to this institution. Same with the business unit. [Employee's name] retired when I arrived. He's still coming in about three days a week. She admits that this is not the general norm in the university though, and that it is more a case of “there's that pocket of people who are really committed” and “it's obviously going to be different for a cashier, or somebody who's just doing this or that”.

4.4.2.3.3 Organisational culture

The university organisational culture has a profound impact on employees' level of engagement and commitment. Participants are pessimistic and allude to aspects of poor productivity, only having pockets of excellence, self-serving motives, entitlement, and a lack of accountability.

A number of senior managers expressed their deep concern for poor productivity, the notion that most employees just come to work, do the bare minimum, and go back home. As Participant [P18] explained, they do not display much initiative to improve: “[They do not] kind of challenge certain things, challenging themselves, tried to be innovative. Some people are saying, this is based on the culture of the institution. I think if that's the culture, it needs to change. It's very, very low. Some people, they don't even do the bare minimum. People who come here from eight, till half past four, but even can ask you, what are you doing today? You'll find they are doing nothing”.

In another division, participant [P12] rated general employee engagement very low: “There is a small group of people who engage at a very high level, and they become the ‘willing horses’ that are flogged. But, by and large, I think the culture is not one of engagement.”

Participant [P16] cited the reality that although some leaders are committed to the University's Institutional Operating Plan (IOP), and sees the bigger picture, some only care about their own benefit. He said, “A lot of people's commitment is self-driven. So, it's what's in it for them. So, if they can't benefit from it, then they're not interested in it. So, you find that because of that, the faculty that they service suffers.”

Participant [P8] explains the commitment to personal career goals taking preference over the commitment to the university's goals: “So, it's about high commitment, I think, to individuals to their own performance, their careers, to do a good job. I think that's a high level of commitment to personal goals. And that is academic excellence. ... I certainly don't experience this commitment to the organisation, you know, that commitment, offer ideas, collaboration. I don't see that across the board”.

Another perception is that of entitlement, as participant [P12] explained: “Many people don't earn a salary, they're entitled to a salary, they're entitled to be here. So, you as a manager, fragile, sometimes your hands are tied, but you have to make some tough decisions at times. There's this sense of entitlement, because I have been working here for 20 years, so who are you?”

4.4.2.3.4 Organisational development/learning

Participants report that organisational development/learning are actively pursued, citing evidence of learning from mistakes, focussing on matters you can control, taking responsibility, and performance management.

Participant [P4] shared an example where his division struggled the previous year to submit their Department of Higher Education and Training (DHET) reports on time. He said, “My team was under huge stress, so people physically became ill, and what was the biggest thing, we left it until the new year to do it; what we learned from it, we started two months ago. So, we learned from what worked and what did not work. And since it did not work, we try to improve it. So, we tried to learn and find better ways of doing it.” He continues: “There are pockets where, where the innovation is encouraged. And where experimentation and drawing from the lessons and organisational learning is significantly encouraged, and where mistakes are not that high, so that people are allowed to make mistakes, and to fail and to learn from it.”

From an organisational learning perspective, participant [P15] explained how her team approaches work-related challenges by differentiating between those factors they have control over, and those they do not. She described the problem-solving process: “We had a workshop and we had to actually talk about the issues in terms of what is it that we can't change anything about, what is the fact that we can, maybe use things we can influence, and what are the things that we can change”. She continues to emphasise the importance of people's involvement to advance the organisational learning agenda: “Because if people are engaged as well, they take responsibility for what is happening.”

A common theme that surfaces amongst leaders in various faculties, directorates, and divisions, is the issue of performance management. The university human resources (HR) processes do not support formal performance management, but rather view performance development as the alternative [P12 & P17]. The impact is that some employees exploit this relaxed or people liberated climate, and their work performance is below the required norm. On the contrary, those workers who are high performers are also impacted negatively, since they do not receive the required recognition. To further exacerbate matters, managers at all levels are disempowered, impacting negatively on their own level of engagement and commitment. Participant [P17] says, “The environment you work in, yes there is pressure, but there is no pressure to

perform, and there are no consequences if you don't. Ok, so that puts me in a very precarious position.” He provides an example where he tried to encourage his team to improve productivity. He implemented performance management utilising key performance areas (KPAs) and kept workers accountable for their work output according to the performance goals. He describes the outcome: “So right, there with HR, you have a huge issue. What they said was, ‘Because you have the systems that can measure your metrics and you can pinpoint all of that, it is going to be very difficult to single out your people with everybody else.’ So, now I need to conform to how everybody else operates with their staff, because there aren't these things [performance management], but there is still an expectation to do the job”.

4.4.2.3.5 Leadership/line manager impact

The general perception of the research participants is that leaders at all levels are failing to connect with staff. The impact of this is a low level of engagement and commitment, and in some cases, even withdrawal.

Some of the negative experiences include participant [P5] not having access to engage with the executive leadership. She said, “Trusting is very important here again; I only saw the [executive leader] once this year. I've only ever had one meeting with him, which is when he arrived here five years ago, despite the fact that I know that there's been ongoing questions that are in the [division name]. I've never been given a voice to be able to say this is what I think. The [executive] leadership cannot, not know what we are doing”. She extends her concern to the broader executive, saying, “At what point did they engage the people in the university, not representatives, the people in the university, to say what they've done in their first round [5-year term]? What did they achieve?”

Participant [P11] is quite direct in her approach describing her dissatisfaction with leadership's level of engagement and commitment: “If I can summarise, because of leadership's lack of engagement, it's now a reciprocal process where employees are. So, I can't talk out of here, because if I talk out, I'm against you, and I'm on the lower level of the food chain, then you become punitive. So, it's a very oppressive environment.”

Another participant [P9] explains an almost unbearable situation, where she is occupied with organisational re-engineering, but is really struggling to facilitate

effective change management practices. She says, “There are two major units in this faculty that are going through restructuring and it is difficult because of personalities. ... I sometimes think, I’m going to walk into this meeting and just say, ‘This is how it’s going to happen,’ because they don’t like it by the way, they don’t like my style. So, they make it hard. And you kind of have to say these people are difficult, no matter what you say, and how you do it, they going to be difficult. So, you may as well just say it like it is. ... There are things that have happened, that have resulted in me really reflecting on my [leadership] style, and say, ‘Okay, sometimes I must maybe just keep quiet and not speak my truth,’”

Participant [P11] displays anger when she explains leadership’s insensitivity to support operations: “Now look, I’m fighting currently with the [line manager], for an administrator for the [department name]. So, your question is finding me in a compromised, negative space about this whole thing on leadership, because I basically told her (line manager) to do her job”.

4.4.2.3.6 Engagement and commitment enablers/disablers

A few enablers and disablers impacting on employees’ engagement and commitment were highlighted by the participants. Academic freedom and risk management are the prominent issues identified.

Participant [P3] reflects on the university’s academic freedom as an enabler and the necessity to protect its independence: “You cannot compromise on the ability of the institution to become a pawn [on a chess board]. ... Absolutely, a pawn of any voice, ideologically, government voice, business voice, doesn’t matter. The openness to innovate, the openness to multiple ideas, that’s the space that we have to protect.”

Rigid implementation of the university’s policy and governance processes could potentially disable and inhibit employee engagement and commitment. Participant [P2] defends the need to uphold good governance, even if the general perception is that this moderates freedom and innovation. He argues that this is a necessary precaution to protect the institution’s reputation: “On the rule-based system, where you need accountability and less appetite to fail, and that you expect integrity, where you expect – where fraud and misappropriation and some of those things cannot be tolerated – where your reputation can never be at risk”. He continued, “You have the checks and balances to make sure that the creative accounting and the creativity is

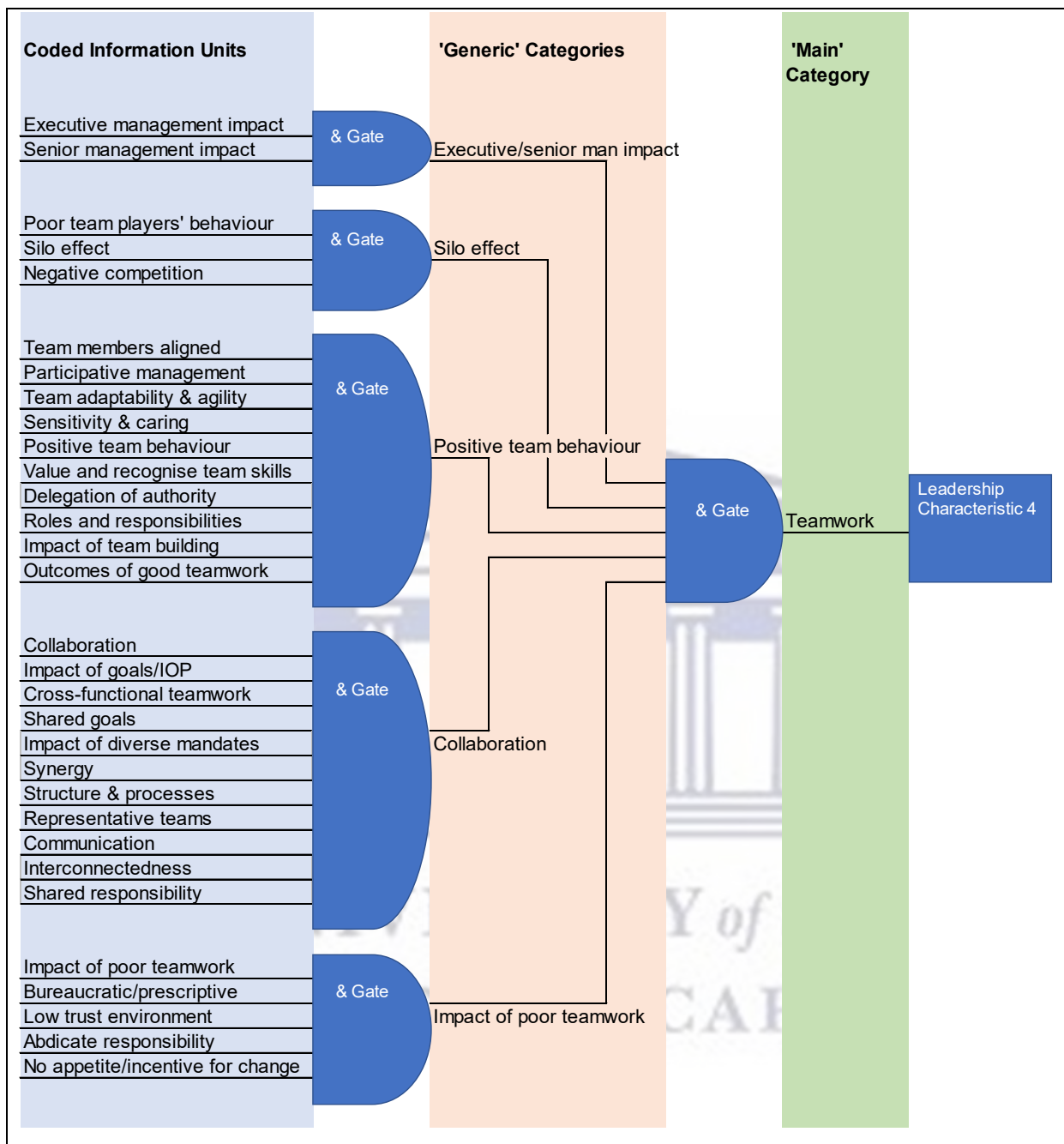
not allowed in areas where you don't want it. ... The freedom to be exploited in areas where there shouldn't be the freedom.” He concludes, “And I'm saying this in the context of a country where corruption, fraud, state capture, etcetera, is rough.”

To summarise, low levels of engagement and commitment, and complacency, are manifesting in pockets throughout the university. Furthermore, evidence of inconsistent commitment is widespread. This precarious situation results in poor productivity and ineffective leadership. On the contrary, university-wide initiatives to improve high engagement and commitment include staff wellness days and culture surveys. Perceptions of the leader's own positive contribution as a critical differentiator exist. Poor relations and low visibility with executive management obliterate much of the goodwill. Overwhelming evidence for poor organisational culture is unequivocally having a profound impact on leaders' level of engagement and commitment. Very poor productivity and engagement, commitment to self-serving and own career goals, and entitlement are prominent themes eradicating the capacity for effective leadership to deliver on the university's goals. From an organisational development/learning perspective, the lack of performance management represents a serious disabler and renders leaders paralysed. Fostering a learning organisation culture, with tolerance for making mistakes, is imperative for organisational improvement and growth. The leader or line manager's impact cannot be overemphasised. The general perception of the research participants is that leaders at all levels are failing to connect with staff on an emotional level. People are afraid to speak their minds and experience a punitive environment. The impact of this is a low level of engagement and commitment, and in some cases even, withdrawal.

4.4.2.4 Teamwork

These findings represent participants' responses to the question, “What role does teamwork play in achieving high performance at the university?” Figure 4.7 indicates the 33 information units that support the empowerment category, and which were condensed into five generic categories.

Figure 4.7 Teamwork: Coded information units and generic categories



4.4.2.4.1 Executive/senior management impact

Most participants emphasised the importance of teamwork to advance leadership effectiveness at the university. Similar to the trend highlighted in some of the other main categories, the higher the position of the participant within the university rankings, the higher the perception of teamwork excellence.

Participant [P1] explicitly praised the executive for strong teamwork and cited an example of student protests wanting to close down the campus. She explained the dynamics and complexity associated with such unrest, and the need for agile communication and fast decision-making. One outcome demonstrated competent teamwork: “And within a couple of minutes people were responding and they were, you know, they were giving their ideas and sharing, and faculties who are off-campus was already offering to say, ‘We’ll host where there are important events that cannot happen on campus, because of the insecurities and whatever, we’ll host and we’ll make it available’”.

On the contrary, in another example, participant [P10] examined the university’s predominantly inward look versus the desired outward look to achieve the university’s goals. She perceives the root of the problem as competitiveness amongst executive portfolios: “I feel that sometimes at the [leadership position] levels, and we feel it at the bottom, is this kind of competitiveness, of pulling, within the units, or within the thing, and that’s inward, but it should actually be pulling towards, an outward goal of the university”. She concludes that although the university in general achieves its set goals, much more could be accomplished to become a high-performing university.

Participant [P11] is quite radical in her narrative comparing her current line manager with the previous incumbent: “The previous [position] turned the faculty around to one that was hugely successful in terms of output, but because she had a team. She identified a team, champions, and we worked together, to grow the faculty. ... The current [position] is nowhere to be seen. She only sits in her little tower, she goes to meetings, and whatever. She has not had a team meeting on campus in terms of team building at all [in two years]. So, you don’t see her, there’s been nothing to build”.

Participant [P20] summarises much of the participants’ perceptions: “I don’t think that the value of teamwork and the value of collaboration is underestimated [by] the executive, it doesn’t always translate into practice”.

4.4.2.4.2 Silo effect

On the whole, there seems to be a tendency at the university to work in isolation. Participants reported evidence that the silo effect is undermining team effectiveness. Participant [P7] magnified the necessity for sound teamwork by sharing her own self-discovery: “I am a person who likes to be in control and as such, I used to prefer

working on my own, and it is just counterproductive at the end. So, for us [the team], teamwork is absolutely crucial. Letting go and letting others do it. Ideas, delegation”.

More examples of negative competition and poor team player behaviour were highlighted. Participant [P4] explains, “[The] hallmark of a team, each person is not just about their own performance. It's about performance as a team.” He continues to explain that the university has too many silos that are not willing to share information and tend to blame others for things going wrong. He concludes: “So, I think, we as [the] university could be much more effective if we work less in silos”.

Another participant [P2] imparted his understanding that universities are structurally designed to function in a differentiated disciplined way. He said, “Organisations like academic institutions tend to be silo-driven. The nature of the academic discipline, the nature of ways in which systems have been set up, tend to favour individualism and silos. Disciplines are set up to protect the boundaries, in a sense the world is much more integrated. And so, it would be an overstatement to say that institutions are integrated. I think there are attempts and commitment to do it.” He further explains that even the support systems are organised in a differentiated, structured way: “Our systems, our legacy systems, also tend to put information into departmental silos, human resources system, finance system, this system, that system”.

4.4.2.4.3 Positive team behaviour

The research participants strongly agree that teamwork plays a pivotal role in leadership effectiveness. They shared various examples to support this view, ranging from running big projects successfully, to team goal alignment enabling agility, to exploiting the teams' strengths, to capacitating and building emerging leaders' skillsets.

Participant [P1] argued, “There's no way I can achieve implementation of all those projects if I did not have a team. And so, I think that teamwork is so, is key to everything.”

Another participant [P3] explained his view: “Teamwork is absolutely critical. Because then you are [a] smooth functioning group, with a singular goal, but when conditions change, you're able to adapt as a team, so that you can pull strongly in one area, pull back on another area, be a little agile in another area, strategically”.

Participant [P7] has changed her division's workflow to benefit from the team's diverse skills: "I've changed the structure of how we work, and it is in such a way that we all need to get involved in each other's projects. So, we all own projects, because I think ownership is crucial, but we all contribute to each person's project. Because we all have different strengths and different views. We are contributing to more initiatives because we starting to see each other's strengths".

Lastly, participant [P16] believes people learn new skills by working in teams: "Teamwork is good, you need to have it so you can build people's skillset. Because it exposes the staff to something that they might not have been doing before. ... It's essential that we have teamwork so that people can take responsibility for what tasks are allocated to them."

4.4.2.4.4 Collaboration/information sharing

Participants value the significance of collaboration and sharing of information to strengthen teamwork. There is a golden thread running through their testimonies, starting with synergy, to shared goals, to interconnectedness, and, finally, to shared responsibility.

Participant [P6] posits the theme of synergy: "We are stronger than the sum of all of our parts, and if we really commit our individual talents, experiences, and knowledge as best we can, then we will be super effective as a faculty". She emphasises the positive impact of the Institutional Operating Plan (IOP) as shared goals: "There is a common goal, the Institutional Operating Plan, people's clear what it is that they need to work towards, you know, this is the goals of the IOP. So, this is [where] the faculty fits into the goals of, this is how I contribute." She concludes her narrative by giving an example for a cross-functional project: "So, for example, we've got, if you look at the inter-professional modules in the faculty, and we working on a master's in health data analytics, but it's across faculties so [faculty names] must be involved and [faculty names] has to be, we need people from those faculties and restored service level agreements."

Participant [P2] adds to this discussion, arguing for interconnectedness to advance teamwork: "I'm starting from the premise of the nature of the beast [bigger university structure] is that it favours silos. And so, from the perspective of community connectedness, it's not a silo. That's why I'm saying, I think I'm underwriting it from the

perspective of international networks, it's doing well. So outward-looking it's much better than inward looking”.

Participant [P21] reasons that for teamwork to flourish, shared responsibility is a prerequisite: “So, our department is jointly responsible for all of the outcomes, that means that if our postgraduate throughput is low, that's not the responsibility of the postgraduate coordinator. That's the responsibility of everyone in departments, from administration to contracts, to all the lecturers. And so, we will succeed or fail, as a team. We will not say that this individual failed”.

In conclusion, the participants' perceptions seem to be quite positive regarding the need to collaborate and share information. Most of the evidence accentuates the importance of synergy, shared goals and responsibility, and interconnectedness.

4.4.2.4.5 Impact of poor teamwork

As much as the previous section provided positive evidence to support good teamwork, there are also serious shortcomings considering the impact of poor teamwork. This theme is extended by bureaucracy, abdicating responsibility, and no appetite for change.

Participant [P9] asks the hard questions regarding poor student throughput: “I'm always maintaining, you know, the bottom line is the students, and when [we] are functioning optimally, effectively, as a team, then our students shouldn't be taking seven to eight years to finish first degrees”. She elicited much controversy within the faculty as a result of staff refusing to seek solutions for the core problems, they rather divert accountability by blaming processes: “Now they zoom into the results, and now they question the results, and now they say, but that seven to eight years, it's wrong. You know, students drop out, we don't have control, all of those things. Instead of just trying to focus on, you know, that principle of throughput and how we [the university] measure it.”

Participant [P12] is frustrated with the university's bureaucratic processes hampering teamwork and leadership delivering results: “We don't have great teamwork. So, we have a procurement process. But the aim of procurement is to ensure that there isn't inappropriate expenditure, there isn't frivolous expenditures, it's about maintaining the governance, but then, they misinterpret their role. So instead of facilitating the process

and providing a governance directive or guideline, they become prescriptive. So, it's not, when you buy a laptop, these are the things you should consider. They will say, no you need to [buy] a Dell or a Lenovo. So, it becomes a problem. Because you become prescriptive and it becomes bureaucratic, and it becomes regulating, rather than facilitating”.

Participant [P16] also describes her frustration with some staff abdicating responsibility: “People use the teamwork label as escaping responsibility, so in that confusion of escaping responsibility, and then it goes back to two or three people taking the responsibility. That’s bad. So, that is how it is, it’s a reality”.

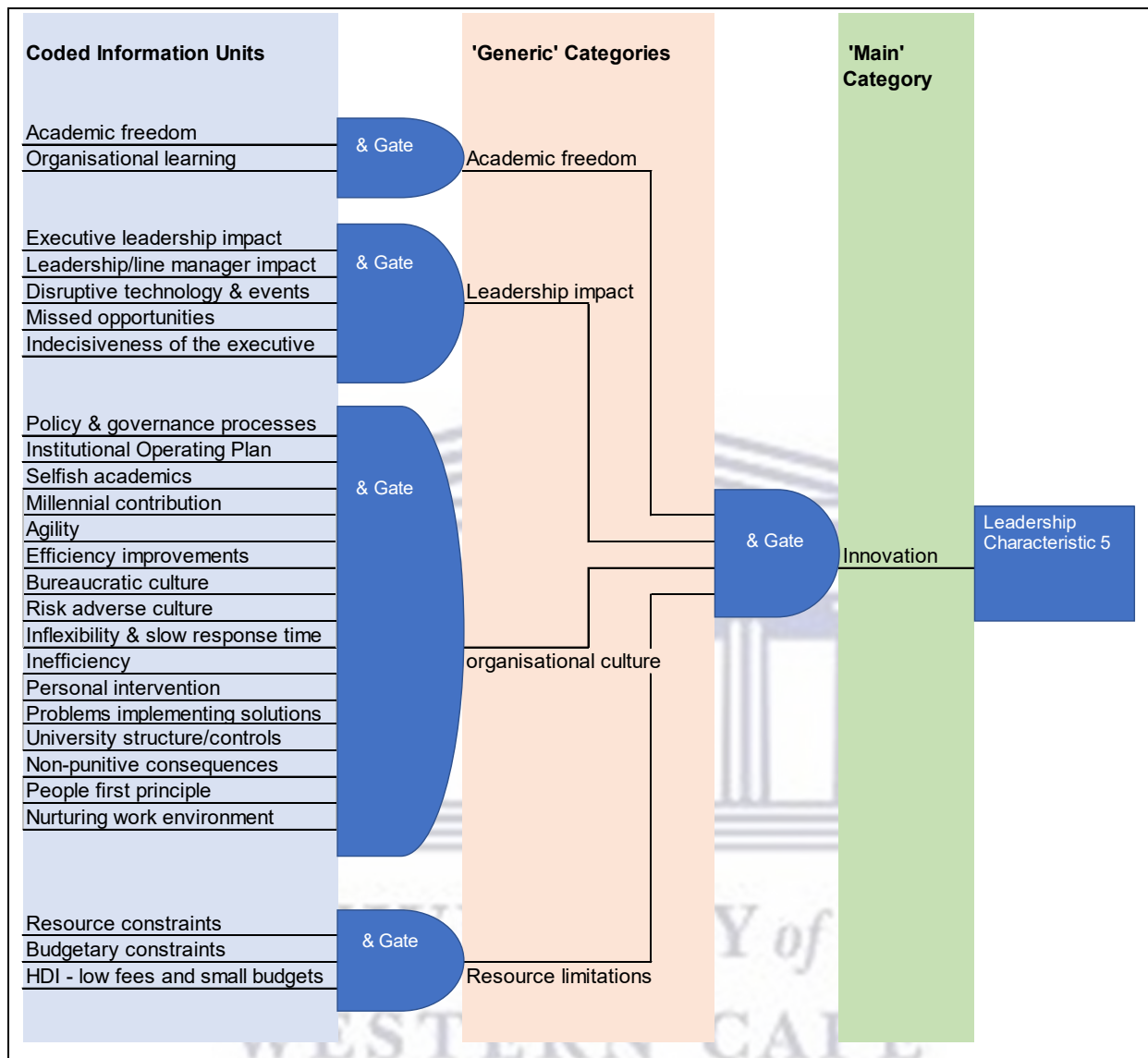
Lastly, participants [P17] and [P21] highlight that the university in general does not cultivate change behaviour: [P17] says, “If there is no appetite to change, there is no incentive to change, why do it? Very low! Very, very low! There is no teamwork on this campus.” [P21] says, “So, again, in the past, we were very individual. So, you can run a department, by doing nothing other than focussing on your little niche. So, if everyone teaches the module that they're responsible for, then, by and large, this machine will just keep rolling. There's a lot of momentum in a professional programme. And so, we might never actually agree on anything or have any conversations about anything that exists outside of each of our little narrow domains, and the programme will just keep rolling. And so, I think ... that was probably why we didn't innovate, there wasn't a lot of change. Change was very difficult, and often failed. And I think because each of us was acting within our very narrow domains.”

According to the participants, teamwork creates the capacity and enables the university to successfully manage big projects. It furthermore enables agility through shared goals and exploiting team members’ different strengths and views. The participants’ perceptions seem to be quite positive regarding the need to collaborate and share information. Most of the evidence accentuates the importance of synergy, shared goals and responsibility, and interconnectedness.

4.4.2.5 Innovation and creative problem solving

These findings represent participants’ responses to the question, “To what extent do you experience the freedom to innovate and be creative in problem solving?” Figure 4.8 indicates the 26 information units that support the empowerment category, and which were condensed into four generic categories.

Figure 4.8 Innovation and creative problem solving: Coded information units and generic categories



4.4.2.5.1 Academic freedom/independence to innovate & be creative

Regarding academic freedom/independence to innovate and be creative, participants' perceptions vary.

Participant [P2] summarises the general experience: "There are pockets where, where the innovation is encouraged, and where experimentations and drawing form the lessons and organisational learning is significantly encouraged, and where mistakes are not that high, so that people are allowed to make mistakes, and to fail, and to learn from it."

Participant [P24] describes the second central theme around resource availability, and its impact on innovation: “To play around and find different ways of doing things, and we're not really afforded the luxury of making too many mistakes with the amount of staff and time, the amount of money that we have available. So, I think it's not, there's no real barriers, preventing us from innovating, I think it's just time and resource constraints”.

Participant [P14] highlights a few of the substantive outcomes for the university as a result of innovation: “But if I'm looking at how forward thinking they are about some of the qualifications they're bringing in, like the post graduate diploma [PG Dip] in Business Analysis, in analytics. I mean that's the first in the country. The work they doing in big data and SANBI [*South African National Biodiversity Institute*] and the SKA [Square Kilometre Array Radio Telescope], artificial intelligence, virtual reality, augmented reality. So, I think, this is institution-wide, there is a lot of examples. And it really is innovation. The Colab [colaboratory] is a brilliant example of that and the amount of money, I mean this was supposed to be just like a little incubator. It's, what, an 800-million-Rand project from Samsung at the moment. ... In terms of my personal capacity for innovation, there is a lot of opportunity to do that. Obviously within limits”.

In the final instance, participant [P1] compares the academic freedom she experiences at the current university to another university: “I want to give you an example. I was approached by [another university] to apply for the same position that I'm currently holding, and when I said to them, ‘Why would I move, make a lateral move?’, they indicated that you will have more money available, you would do whatever, and I said, ‘More money is not the answer. Am I going to have the academic freedom to do what I'm doing at [current university].?’ This other institution and they couldn't answer me. And so, the one thing is that we get our budgets, we've got our IOP, how we implement it, we are allowed too really be creative about it”.

4.4.2.5.2 Leadership impact

Similar to the previous discussion on innovation, participants' perceptions of leadership impact vary and range between poor to excellent. What is significant regarding these inconsistencies though, is the fact that the higher the position of the

participant within the university structure, the more freedom they experience as a result of positive leadership impact.

Research participant [P4] explains: “One benefit from executive management, where they allow you to do certain things, and they’re not prescriptive. That’s probably one positive power that you are allowed to, to innovate.” At the same time, this participant argues that their direct line manager has huge influence to either enable innovation or not: “It very much depends on who you report [to] and what that person’s philosophy is, which you can think that you have all of the innovation scope as possible. If your manager doesn’t allow it, because it’s not in their philosophy, it means absolutely nothing. Oh, [this is] definitely a leadership issue. We can say as a university we have a culture of innovation. And if you look at certain pockets, definitely, but if your leader doesn’t allow it...”.

Participant [P5] echoes the previous narrative and she cites a number of innovative accomplishments that came about due to the support her division received from an executive manager: “And I mean, if I, if I look at how we’ve also not used one BlueBean of the university’s money to set that up, and to run the programmes that we have been doing, which includes the dentistry incubator. I got ABSA to fund that the work we’re doing in the pharmacy, I got ABSA to fund that. All of the student entrepreneurship, we brought in the Metropolitans, I’m having a meeting with SANLAM. All income that we’ve generated from training has paid for that, because we never ever got a budget ever for the mandate of the student entrepreneurship project”.

Participant [P8] sees opportunity within the adversity of the #FeesMustFall protests, in the sense that e-learning gained a lot of momentum: “There’s a need to engage with businesses, the need for short [term] goals, is to ask you to re-skill, [there] is such a gap in the market. I have that concept session here”.

Lastly, participant [P17] is frustrated, bordering on angry, that his initiatives to improve work deliverables are being stonewalled: “The problem I have is that anything that I want to do now for the betterment of the university, in terms of [my department], needs to go through executives for approval. And I struggle to get new initiatives through executives”. He concludes that a key policy document he wrote and tabled for approval

by the executive has been delayed for more than five years, seriously impacting negatively on his division's ability to perform well.

4.4.2.5.3 Organisational culture

Most of the participants perceive the university organisational culture is impacting negatively on innovation and creative problem-solving.

The most commanding point of view has to do with bureaucracy and the university being risk adverse. Participant [P17] explains, “[As] a university, it's quite bureaucratic, so we are limited a little bit more as to what we can and cannot do... And innovation is risk, and we need to take those risks. We just need to be cognizant of the fact that we have certain public responsibilities. So that's why we've got a lower tolerance, I think, as a university.”

The second key point participants make examines inflexibility and the inability to respond appropriately to change. Participant [P8] says, “I really fear for the university because of its inflexibility, and its inability to respond to the changing space. When, I've tried, and part of our role, we in the digital space, is to bring in new things in terms of the digital economy. And it's just, I find it impossible. This thing of this is the right [way how the] university works, and it is always worked this way. And this is the way we will do it moving forward. So, I'm really, very worried about the university. ... I don't find flexibility in the system.”

Research participant [P12] puts a slightly different angle on the previous argument, in that the critical obstacle are with implementation: “There's no lack of opportunity for you [to] innovate and problem-solve, and come up with a solution. It's the implementation of the solution where you get stumped. And so, sometimes, it's because of the people, because sometimes people don't understand, sometimes because of procurement and sometimes it's something else. But, I think, I think what people don't get is the notion of flexible governance.”

Lastly, participant [P25] pleads for transformation to ensure millennials, as emerging leaders, are exposed and grown into mature, and competent individuals, who can take up future leadership positions. He argues for opportunities to innovate and seek fresh approaches to solve problems: “So, there's this culture whereby you're always

cautioned, you can't do that, whereas you are trying to bring a new invention, you're trying to find a solution to the current problem that has always been viewed in this particular way. ... You are seeing an opportunity to improve this. But old guard would then say, 'No but you can't do that'. And the old guard are people that have got power on those decision-making things." He concludes by urging current leadership to intervene and build the required human capital to foster a bright and innovative future for the university.

4.4.2.5.4 Resource limitations

Participants' feedback predominantly focussed on budgetary constraints. Some participants ascribed the chronic funding deficit to the fact that the university being a historical disadvantaged institution (HDI).

Participant [P20] elaborates: "Its history was, it was designed to serve a particular community. And it's still in a sense, serving that community, from the perspective of it's still serving an underprivileged part of our society. So, that translates into low fees and small budgets. So, whatever you try to achieve on campus is hampered by funding."

Innovation interventions are moderated to what the university budgets can support, as Participant [P15] explains: "Because of the budgetary constraints that we under, sometimes innovation is tightly controlled. I think sometimes, with innovation and now again, because in a specific field, innovation often in our line of field involves technology as well. And then these things are costly".

Research participant [P23] further refers to the high cost to implement cutting edge technology: "There might be financial restrictions to maybe implementing new intellectual property management systems for instance, or like new technologies, that costs a lot of money".

In summary, there is substantive evidence of innovation at the university. These manifest mostly in pockets where risk of failure is limited. Sparse resources do however limit capabilities to experiment and innovate. The role of the direct line manager to encourage innovation is pivotal. People working closely with the executive experience more freedom to innovate. Unstable VUCA conditions create opportunities

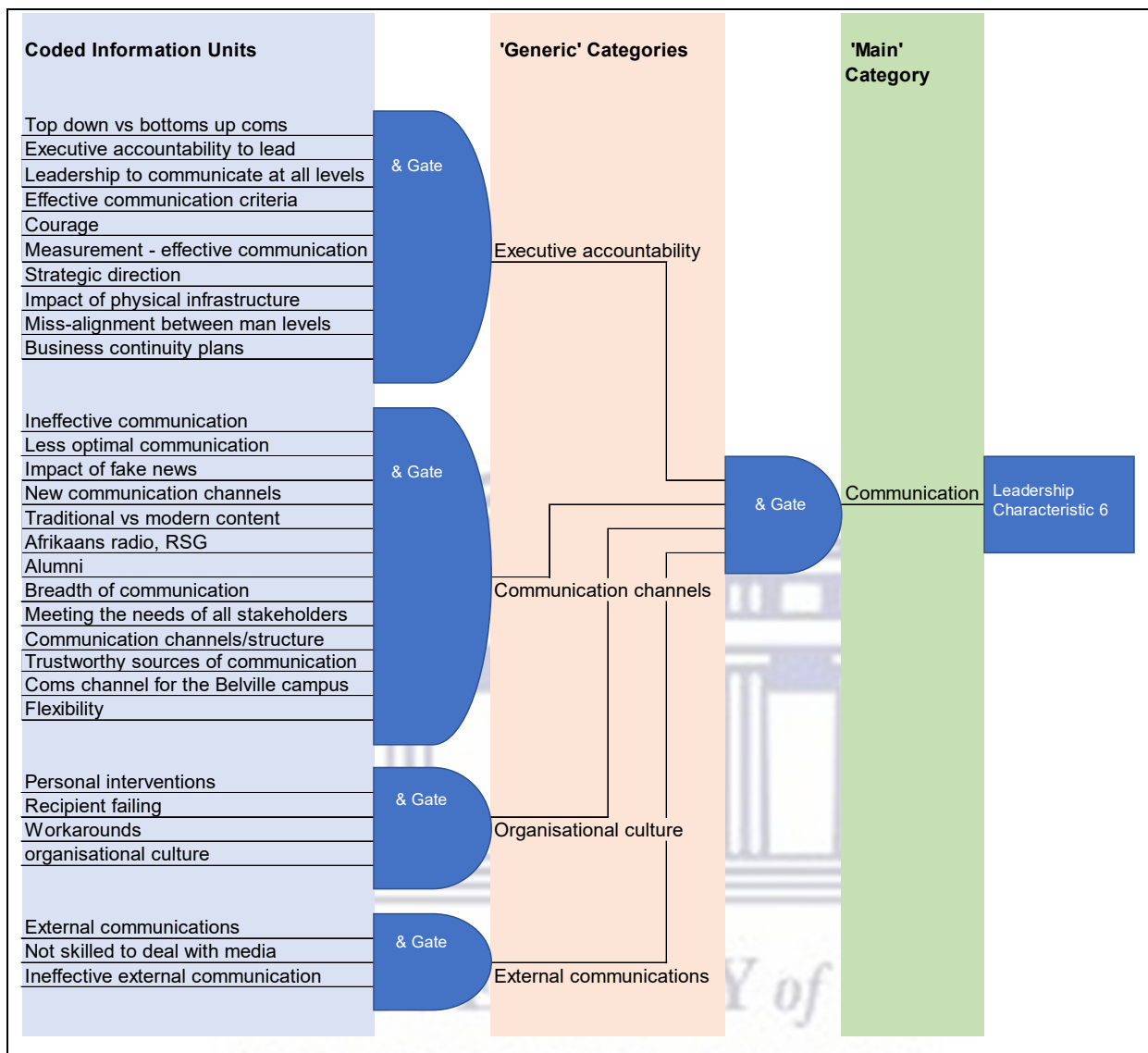
to leap-frog e-learning. The current organisational culture impedes innovation initiatives due to bureaucracy, risk aversion, inflexibility, and poor implementation. Consideration to develop and grow millennials for future leadership positions needs attention.

4.4.2.6 Communication

These findings represent participants' responses to the question, "How effective is leadership communication with students, staff, and other stakeholders?" Figure 4.9 indicates the 32 information units that support the empowerment category, and which were condensed into four generic categories.



Figure 4.9 Communication: Coded information units and generic categories



4.4.2.6.1 Executive accountability to lead

It is the participants' view that the university's executive leadership should take accountability for effective communication. They highlight the role of the executive to employ effective communication criteria, and evaluate the university's strategic direction.

The primary theme relates to the leadership imperative to establish criteria for effective communication. The debate focusses on information overload and the communication reach to be effective. Participant [P2] explains, "It's not about the volume of what's communicated. It's the effectiveness of communication, it's the fact that we are unfortunately flooded by information, that social media, and other forms of

communication, and our involvement or not to increase the reach to be effective, to be engaging, as opposed to one-way communication”. He continues to explain the complexity to manage change and to differentiate between data and information: “In terms of volume, in terms of content, in terms of a sense of purpose, its increasing. I don't think it's effective. I'm not sure what will be sufficient to make it effective because the channels are increasing, the audiences are changing, the demographic range is changing. The traditional ways of communication are no longer applicable. So, the past ways of doing it, even if we continue to increase in that, no longer holds for the future. And the fact that you push out more data/information, we might be ‘data rich’ and ‘information poor’”. He concludes by appealing to leadership to package the communication differently, by giving people a sense of direction, a sense of confidence to allay fears, a sense of emotionally connecting to their concerns: “So, it's what's in the communication package as opposed to the speed and the volume”.

Participant [P8] raises the concern that there is a void in communicating the university's vision and strategy internally: “There's a huge gap in our institution's ability, in senior [leadership] engages to talk about the vision of the university, where it's going, how it's positioning itself, how the university's responding to socioeconomic challenges, what is their thinking about? It's, it's absolutely absent”.

4.4.2.6.2 Communication channels/structure

Communication channels and structure are at the core of effective communication. It is the perception of the participants that new communication channels, and the breadth and depth of communication, have a profound impact on effective communications.

Participant [P2] proposes that the university's systems may not be geared for modern communication channels: “So the system is not geared. I mean the fact that we are now revisiting the [university] website, which means that the [communication] tools are legacy tools, that's unable to arrange the information in such a way that it's easily accessible, on multiple devices or platforms, that's problem one. Secondly, that we tend to push it out in, through channels that we traditionally used, and that we are averse to for very good reasons, not to embark on channels that we are unable to sufficiently manage, like social media. Thirdly, things like blogs, and those kinds of things, you need to be able to manage it.” He continued to contrast traditionally

generated content versus modern, agile, efficient technology and processes. He said, “In the way in which we traditionally generated content, as once off, send it to the newspaper, and that it's not easily repeatable, renewable, structured in digital form, which is not just electronic, but in, with Meta data to be able to store, and to retrieve, and to find easily and to reuse and remix, so every time when we communicate it's almost like starting from scratch. Those ways of doing [in] the past, no longer holds. So, and then that's the same thing that holds for a generation, reading differently, reading it from a device and wanting it in short forms, snippets, etcetera. So how do you structure the content?” He concludes with the argument that leadership needs to seek answers, not by thinking technology on its own is the answer, but to understand the context in which technology is shaping the ways audiences wish to communicate.

Participant [P15] pleads for a more focussed approach to communication. She explains that often, the breadth of the university's communication is too wide, the depth too shallow, often one-directional, with very little opportunity for interaction. She said, “To have more face-to-face, with smaller groups, but deeper, so narrower, right? But deeper. And it will take a lot more work and effort of our time, but I think it'll be much more effective because when you have an open event, it's a one-way communication most of the time.”

4.4.2.6.3 Organisational culture

The recurring sub-theme of university organisational culture is a clear manifestation of the research participants' perception of its importance.

Participant [P14] highlighted the university community's modesty as a deep-seated value: “But there is, part of the culture of [the university] is humility. So, they don't push their achievements of what they do. People are surprised about some of the things. And then at the same time, the reporting is so poor, there's been many of our achievements that were reported as another institution's, I mean it's ridiculous, but I don't think the communication out there is good enough. [The university] needs to have a better presence.”

4.4.2.6.4 External communications

The university's brand, image, and standing within the local, national, and international community is critically important. Effective external communication is the channel through which the university establishes, builds, and sustains their brand with the external world.

Participant [P2] attested to the fact that effective external communication depends on leadership's appreciation that the media represents an important stakeholder. Many institutions make the error to engage with the media only when they need them, or when things do not go their way. They further don't necessarily build a good proactive, long-term relationship with the media. This approach will guarantee serious failure. He attests to the importance of building a mutual trust relationship with the media: "So, I think, it's to understand that relationship management, and relationship building, not just with a journalist, but with the media house, with senior people, to understand what it is that collectively we are trying to achieve as a country, collectively achieve as organisations of change, of transformation and to understand where the issues are. And to link our experts to the right people, and prepare our own experts to build relationships with those, so that if something topical happens, they know [who] to contact". He closes with an appeal to extend the university's external audience: "I'm not sure if we erring by not exposing our people, or whether it's, I often listen to Afrikaans radio, RSG and the [university's] voice is absent. Is it a language issue, is it a cultural issue, is it an access issue, is it a relationship matter? I'm not sure, there's much more that needs to be done".

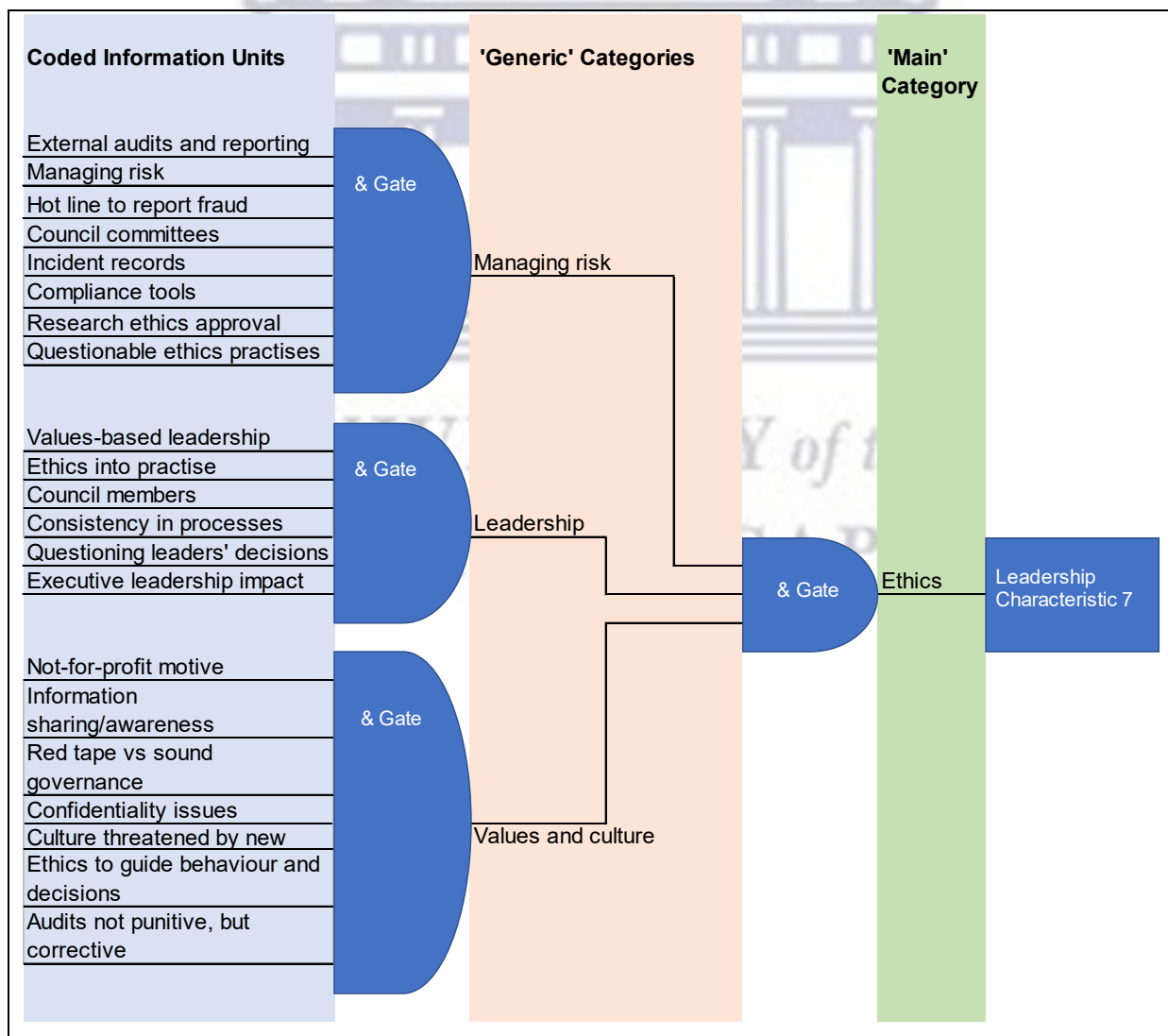
The communication theme reveals a number of sub-themes. First, that the executive leadership is accountable to lead effective communication by limiting communication overload, ensure communication is information rich (as opposed to being data rich), and connect with all employees by sharing the university's vision and strategy. Second, that adapting to new communication technology and channels to facilitate agile and dynamic connection with staff, but even more so with students, is needed. Creating the correct balance regarding communication breadth and depth, allowing for more direct, or face-to-face connection. Third, as much as humility is embedded in the university's culture as an organisational value, leadership should communicate strategically and intentionally university community accomplishments. The university's

brand, image, and standing within the local, national, and international community depends on it. Lastly, effective external communications are a specialised field of expertise and the university should establish and build strong relationships with media houses and reporters.

4.4.2.7 Ethics

These findings represent participants' responses to the question, "How would you rate leadership's ethical behaviour?" Figure 4.10 indicates the 21 information units that support the empowerment category, and which were condensed into three generic categories.

Figure 4.10 Ethics: Coded information units and generic categories



4.4.2.7.1 Managing risk

Participants demonstrated a sound understanding for the necessity to manage risk. They described three priorities for the university: being external audits and reporting, pockets of transgressions, and processes and tools to manage risk.

The general opinion amongst participants is that the university is managing risk well. The concerns that were raised, centred on improving reporting and transparency, and oversight. Research participant [P1] explains: “Because we [are] being challenged at the moment in terms of audits and risks. And I don't think it's because we're doing anything wrong. It's because we, our way of reporting might not be what people wanted to see, because they haven't gotten a bad auditor's report yet as an institution. And so, I think that we are able, we doing well, I just think that we need to be more transparent around some things. ... We have oversight over everything and I've never come across anything where people are dishonest in terms of expenditure.”

Participant [P2] further elaborates: “And that, when we find pockets of transgressions, that we deal with. Now, we've for example had the external hotline example that's open and that we communicate. And so, we do get external organisations like audit companies to give us a sense of what their views are on it. So generally, it's not a problem, but it remains the societal concern.”

One key risk for the university identified was a low student throughput rate. Participant [P3] explained, “That has been taken very seriously, and modified, and change for 2020, was the risk around our – the report from Universities South Africa (USAF) on our throughput. So, on our throughput students' success. We were doing, we've done terribly. And that came out very clearly, and immediately there was a very focused urgent prioritising of that risk, and plans put in place to be able to address it”.

A number of the participants aired their views to explain the importance of the university's processes and tools to manage risk. Some of these considerations include the fraud hotline, the whistle blowing policy, the freedom to question leadership's decisions, limited permissions on the finance system, the auditing and risk council committee, the finance council committee, the research ethics committees, various policies, and procedures to ensure ethical compliance, and workshops to inform and sensitise staff regarding ethical behaviour.

4.4.2.7.2 Leadership

Values-based leadership and the articulation of ethics into practise are the two prominent sub-themes participants highlighted under the leadership umbrella. There is also an appreciation for the profound role leadership plays in directing the university community to hold ethics in high regard.

Participants described the centrality of values in the realm of leadership, including considerations for societal needs, students' academic progress, and sound ethical judgement. Participant [P2] plays to the University's historical strengths, and makes the connection between values and serving the local community: "I would rate it fairly high in the sense that I think it's value-based. And so, the first unlikely mismatch is that there is a responsiveness to societal needs."

Participant [P10] articulates the consideration for sound ethical judgement. She cites a new recruitment example and the necessity to follow due process: "For me if you're a leader, you must be objective, you must be fair. You must also look for the best interest of the university, not for yourself. And sometimes I feel that people cannot make that judgment. ... Favouritism is a 'no-no'". She concludes with an appeal to be vigilant: "I think we really need to sharpen our abilities to look out and, you know, protect that we don't engage in unethical behaviour".

Participant [P12] differentiates between an ethical stance and the translation of ethics into practice: "I have not had a problem with the ethics. What I've had a problem with the articulation of the ethics into practice. There are mismatches in the appropriateness of that discourse. You know, what is the ethics about providing a good education? That's quite different from the ethics of providing an efficient business model of education. So, it's two different things. And, that's why I'm saying it's the articulation of those things that become a problem. At the moment we have a council that's 90% [from] business, corporate open, and they come with that kind of compliance, the risk register, that's where they come from. But they sometimes shoot with a cannon in an arrow. Because they not understanding context. They lack that nuance; they lack that complexity. For me, data without context is meaningless. So the issue for me is that I don't think there's a problem with the ethics at the level of leadership. I do think that there's a problem in how that is articulated and interpreted".

4.4.2.7.3 Values and culture

Ethics is unequivocally embedded in the university values and culture. This point of view is echoed by a number of the participants. Perceptions ranged from communication, to confidentiality, to a moral compass.

Participant [P4] argues for much improved leadership communication to create an awareness and inform staff about the need for sound ethics. His perception is that staff often perceive policy and procedures as red tape, merely because they do not have the context and background information. He explains, "I don't think that it's communicated widely enough. So, if we know we have a risk register, we have 'ABCDE'. How many of our staff knows what has been done, and what is, what the status quo is?" He provides practical examples: "And that's why staff members complain about human resources policies, and finance policies, because they have no idea why it's implemented. So, when I have people complaining, I told them why we implemented. So, we need two signatures, because people went and they spent money that they were not allowed to spend. If we don't inform people, what do they think? Bureaucracy [is] mentioned all the time, because that's not communicated to people."

Confidentiality plays an important role to build trust in people and but also in systems. When confidentiality is undermined, people start questioning ethics. Participant [P5] expressed sadness and disappointment as she told her story: "I shared with you earlier on a letter I received, and I was just shocked. I just question that, all things about values and ethics, and is this how we, you know, deal with people in adjusted and ethics, but just the whole HR process here as well, there is almost always a question about confidentiality, because everybody knows everything". She explains further: "I had to reapply for my job last year, which I think I shared with you. And this was also around [a] particular individual in executive leadership that felt that I'm not equipped for this job. And I went to HR one day, and they were three HR consultants who could tell me what had happened in the executive meeting. You know, they thought they were meaning well by saying, 'Gee, you have an amazing boss, my boss would never stand up for me like that'. And I was like, 'How do you people know this?'" She concludes her discussion with a bold statement: "The ethos of the university, it is values-driven and it is values-based. For a long period of time [the university] has

created a certain value. I honestly think that [under] the new leadership, the [university] values and culture is threatened”.

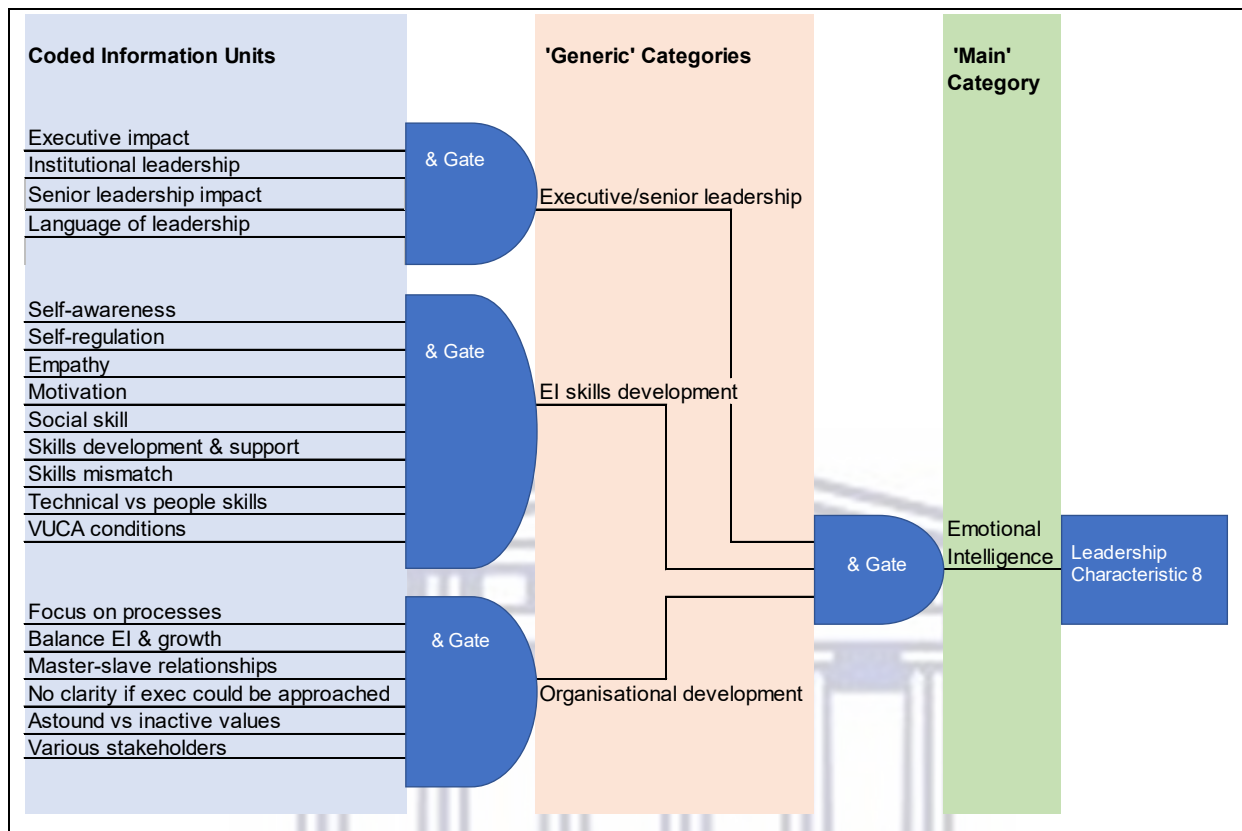
Participant [P15] contextualises her school’s standing on ethics: “Ethics for me is core to [my school]. It should be core to the way that we engage, you know, for me it’s a strong driving motivation, and it is like a point of guiding decisions that needs to be made. Whether it’s, you know, is this ethically the right position to make, you know, so it’s a very important consideration for me”. Her moral compass comprises a foundation of values, directing every decision and behaviour. Creating this same ethos with students, is further imperative. Some of these careers require professional registration before students can begin work in clinical settings, and it is therefore pivotal for students to embrace ethics. She explains: “And we have to teach our students to have an ethical manner as well. I think we are doing okay with this; I mean, I think because it’s an explicit value”.

To summarise, the general perception regarding the ethics theme is positive and encouraging. There is supporting evidence for good governance and compliance with policies and procedures. There are clear processes and tools to support a climate where ethical behaviour is valued. The research participants identified three sub-categories. One, leadership managing risk, is represented by the requirement to improve reporting and transparency for statutory purposes, having to identify and eradicate pockets of poor compliance, improving student throughput rates, and maximising the utilisation of the university’s processes and tools to manage risk. Two, values-based leadership and the articulation of ethics into practice, are the two prominent sub-themes participants highlighted under the leadership umbrella.

4.4.2.8 Emotional intelligence

These findings represent participants’ responses to the question, “To what extent does leadership behave emotionally intelligent in the day-to-day operations of the university?” Figure 4.11 indicates the 21 information units that support the empowerment category, and which were condensed into three generic categories.

Figure 4.11 Emotional intelligence: Coded information units and generic categories



4.4.2.8.1 Executive/senior leadership

Participants shared overwhelming evidence to support the premise that leaderships' emotional intelligence (EI), has a profound impact on the wellbeing and performance of staff. The present study's underlying theme is that leadership does not connect with staff on an emotional level, and this leaves staff feeling undervalued, disrespected, and neglected. The evidence shared by participants includes a wide range of issues, including non-visibility of senior/executive leadership, indirect communication with staff, a defensive leadership approach, lacking leadership skills, EI skills gaps within the executive rankings, a lack of demonstrating role model behaviour, and no empathy for the abuse of staff in certain divisions.

Participant [P4] provides an example of leadership's disconnect: "I don't know how much on the ground executive leadership for instance is seen by staff. So that is the negative to what I mentioned at the start, that leadership almost makes the men at the bottom feel that leadership is so far removed, because the communication filters down via channels. So many staff members that I've spoken to feel very far removed from,

from the top leadership. So, they would say that they don't know what the top leadership's vision is. They don't know what they want from them”.

Participant [P5] is concerned that leadership acts defensively under stressful conditions: “When there's something happening on campus, the first question is always the security and did we call the police? The last question is, what this is about”.

Participant [P8] differentiated between academic and personal leadership, and the imperative role of EI: “I don't think this university and universities in general has got an appreciation for the importance of leadership capabilities. We see leadership in these things that are obvious, but it's leadership in the sense of academic leadership, thought leadership. I'm not sure whether the IOP makes any reference to leadership capabilities or emotional intelligence, but, it's institutional leadership. It's not a person. It's not regarded as a personal type of leadership capability”.

4.4.2.8.2 EI skills development & support

EI is a learned skill and much of the participants' testimonies related to self-development, and leadership skills mismatches.

Participant [P2] provides the university's historic context to explain the requirement to keep the balance between social and growth objectives. He expressed his empathy for social connectedness, but tempered that thought with an acknowledgement of the need for growth and to retain a balance between these two polarities. He said, “This is where the pendulum often tilts too far in the right or the wrong direction, in this case maybe too far in the right direction. That, I think, because of the hurt of the past, and a good understanding of communities that we serving, that there is a general responsiveness to care, to be aware of the plight, to be aware of the difficulties, to be the most affordable institution, to provide access to vulnerable communities.”

Participant [P4] argues that there is a lack of appetite for leadership development currently. He explained, “And your biggest challenge of the year would be how do you get management to admit that they need to work on these things? When I was first part of the leadership development, we were eight people, only four of us agreed to go for assessments and things. The other said they didn't need it. Because it starts

with self-knowledge, self-awareness, you know, manage self, manage others, manage team.”

Participants [P5] [P12] advocate for experienced leaders with suitable EI skills. They describe skills mismatches and argue that high performing academics or technical skills do not necessarily translate into good leadership. [P5] said, “I just sometimes think that the right people are not in leadership, but because of the fact that the circumstances have changed so vastly you know what, what we were looking for five years ago, and what we're going to look for the next five years in terms of competencies, are very, very different.” [P12] said, “I think the relational aspects in the engagement with staff often comes second or even third to operational efficiency.”

4.4.2.8.3 Organisational development

An organisational development agenda to advance EI could be useful. A number of the participants called for initiatives to support this, such as leadership retaining a focus on process as opposed to personalising matters, and balancing emotional connectedness with growth/marketing opportunities.

Participant [P1] argues for a process focus in dealing with problems and to enable objectivity and emotional intelligence: “So my take always is, if we, in the process, focus on processes rather than people, then we able to discuss issues more objectively. And the minute you start personalising things, then, we tend to lose our focus. But there are examples you can find that where I sometimes feel, is this not an overreaction rather than a rational decision?”

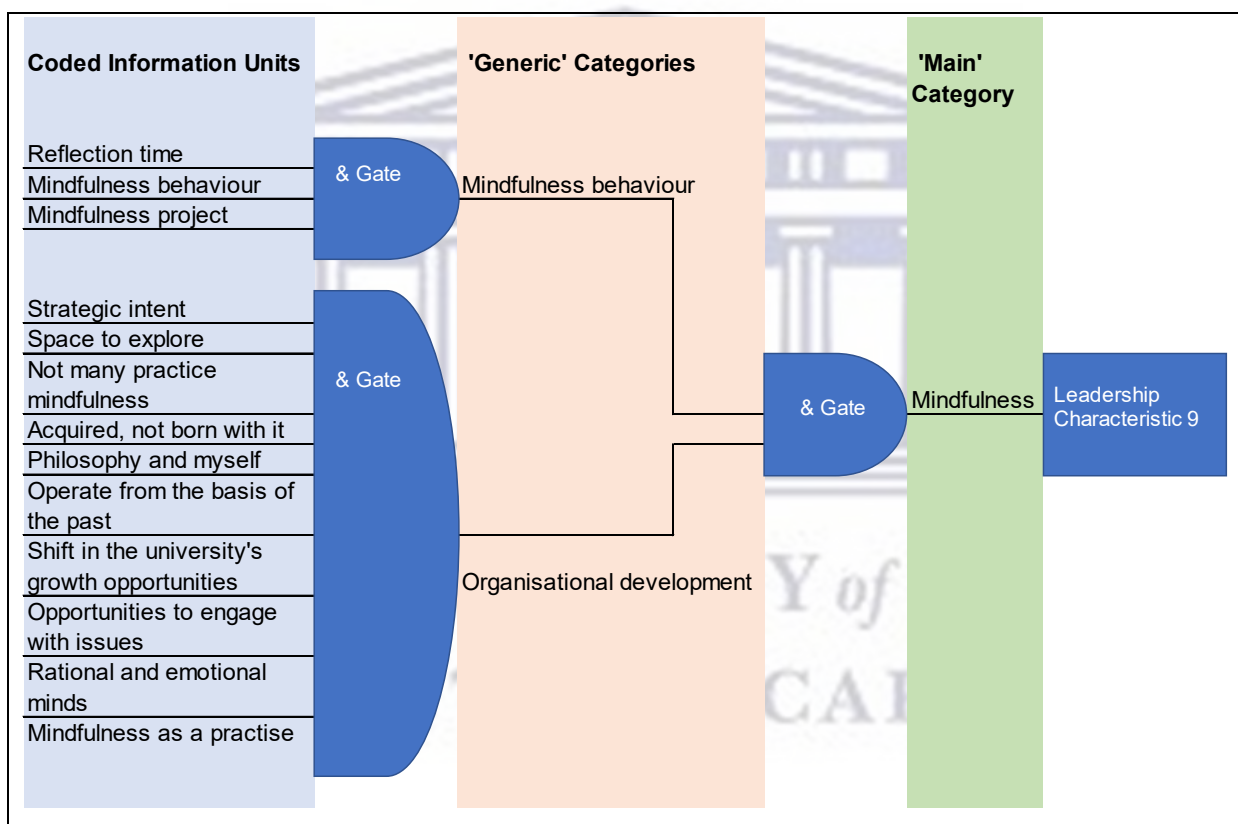
Participant [P2] pleads for the university leadership to balance emotional connectedness with growth/marketing opportunities. He continues to employ the metaphor of a pendulum swing between two extreme polarities: “Why did I say tilting too far? Because in a VUCA environment you also have to deal with a vastly or rapidly changing environment, where market conditions determine that. And so, whilst there is a strong connectedness to those values, we often miss or lose the opportunities to move fast enough. Because your salaries, and your expenses are not just determined by being the most affordable institution, you need to be the most competitive institution at the same time. And so, it's, how do you balance those and often we're not good

enough at balancing the tensions in a complex environment. This is an interconnected system. It's not a system that either sits on the one side or the other”.

4.4.2.9 Mindfulness

These findings represent participants’ responses to the question, “To what extent does leadership employ mindfulness deliberately in their daily management function?” Figure 4.12 indicates the 18 information units that support the empowerment category, and which were condensed into two generic categories.

Figure 4.12 Mindfulness: Coded information units and generic categories



4.4.2.9.1 Mindfulness behaviour

In general, there seems to be consensus among participants that mindfulness is a valuable enabler of effective leadership. The sad part of the discussion is, most agree, there is very little mindfulness where leaders are being actively engaged in. The participants’ evidence focusses mainly on issues pertaining to reflection time and mindful behaviour.

Reflection time constitutes taking a pause during the day, moving away from one's desk to reflect on a couch, taking a break, praying, or meditating. Participant [P1] describes her mindfulness routine: "For me, I take time out in my office. I will tell them, 'Can I just have a break?' Close the door, and not at my desk or in front of my computer, but sit on my couch and then, I just sit, because it's times when things just go like that all the time, one thing after the other, that you don't get time to just breathe. And just to reflect. And so, I mean, I sit on my couch in my office, that's my reflection time."

Participant [P4] also provides insight into his experience: "I tried to practice mindfulness because it calms [one] down. ... When you have that five thousand things running through your mind, grounding and focusing does well. I don't see many people even taking the time in the day. I don't think it is. So, it's not practised."

Participant [P3] expresses his admiration for some of the executive leaders' mindful behaviour: "So look, these are mindfulness around this, I think there's a thoughtfulness of thinking and processing, before acting". He continued to qualify his admiration: "[Executive name] gets a lot of pushback and unfair attacks on her, and she handles this with a thought on, that she's very mindful about, what she does is deliberate, it's, it comes from an internal focus, and then she sees the broader picture and she does and I think that's anybody it epitomises."

Participant [P15] admits that the leadership is failing to engage with mindfulness: "But, I would say that on a management level in the School, it's not happening, because we just too busy, and we overwhelmed, and we keep on saying, we should be looking at things like mindfulness, we should, we keep on saying that we should be doing it, but we are not doing it. And it's not really happening in the university much in general, I think".

4.4.2.9.2 Organisational development

Mindfulness is an ability that leaders need to develop. As a general observation, the participants report that very little development is happening. A few of the organisational development discussion points included the necessity for the university to balance cultural legacy with strategic intent, acquiring mindfulness, the influence of the past, and rational versus emotional decision making.

Participant [P2] provides context on a strategic level and explains the dilemma for the university's leadership to be mindful regarding two opposing goals: "But the unfortunate part of the mindfulness is the sense-making, that we're not good enough to balance the sustainability, and the other things that go with it, because from a mindfulness perspective you also need to be mindful of the other extreme, and to find a way to balance the tension within those paradoxes of good things. Both are important and we tend to sometimes tilt it a bit too far." He explains these two polarities: "I think the problem is more a cultural legacy than a strategy one, strategies would allow for us to pursue it. The culture would tilt to the other side and it's to find a way to balance your strategic intent, with the organisational culture, and that's too slow."

And then there is the recognition that leaders are not born with mindfulness, but rather that experience grows mindfulness. Participant [P5] said, "Again, that's a unique competency. And it's something that you acquire, I don't think you're just born mindful. And I think also in terms of the volatility that we find ourselves in, mindfulness is something that it's a muscle that you grow, based on what you experience in the space".

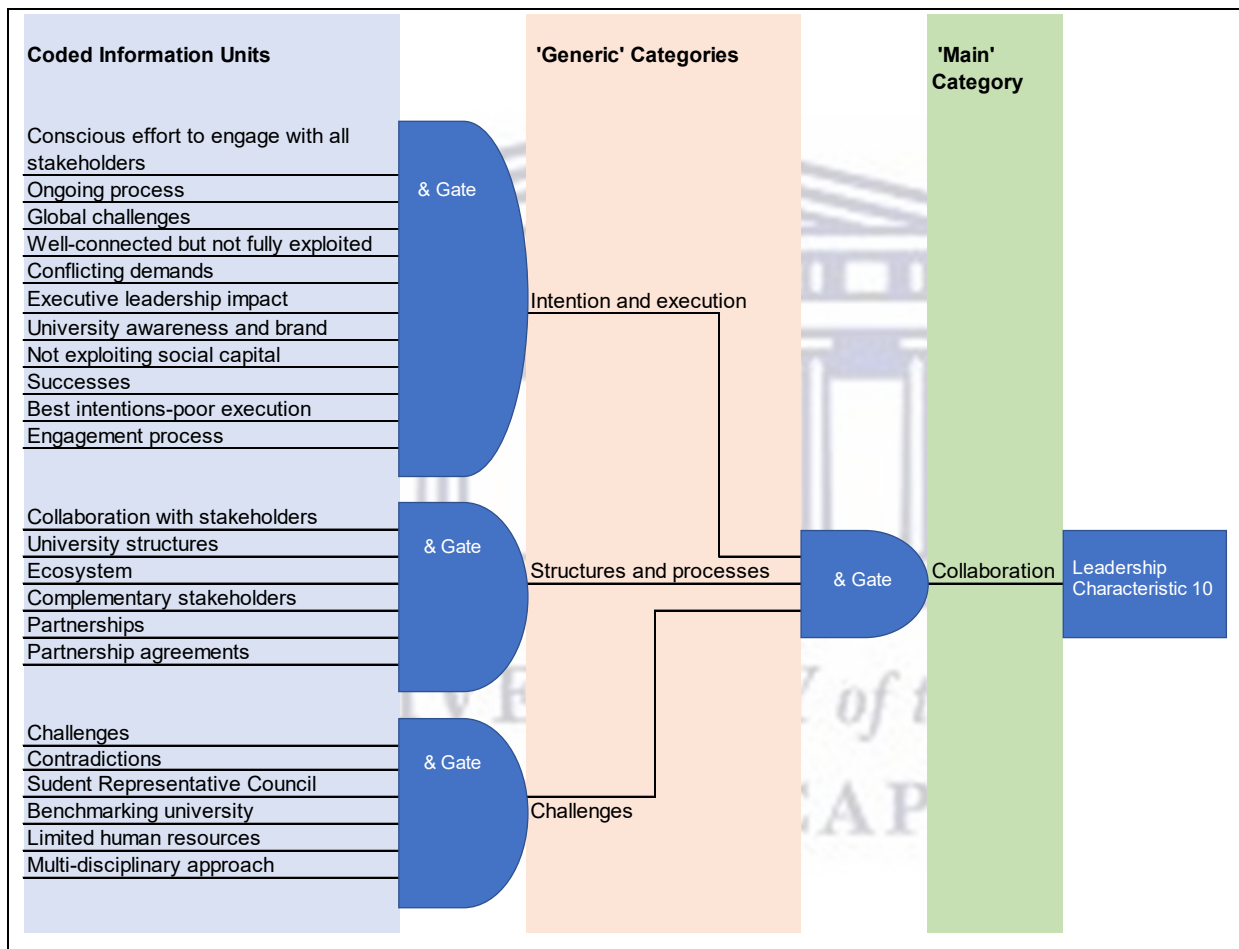
Participants [P9] and [P11] both maintain the narrative that the university's leadership mostly tends to operate from the basis of the past. And, since mindfulness seeks to embrace the present moment, participant [P11] passionately explains her discontent: "I honestly believe that he is living in the past. The university's past, you will always hear him talking about the university being a home for the left, and its past history. Yes, its fine, but we need to move on. The history has got its place, but it cannot be the reason for where we find ourselves, in making decisions now, given the change in the environment. And honestly, that thinking is regressing the university. So, we're not seeing anything new".

Lastly, research participant [P12] argues for leadership to make wise decisions through mindfulness, by embracing both their rational and emotional intelligence: "If I think of mindfulness, I would want to think about whether the leadership can make decisions from wise [perspectives], while able to use both their rational mind, and their emotional mind to inform decision making, so that they making wise decisions".

4.4.2.10 Collaboration

These findings represent participants’ responses to the question, “How successfully does leadership collaborate with all stakeholders (students, staff, government, business & industry, community) to achieve high performance?” Figure 4.13 indicates the 23 information units that support the empowerment category, and which were condensed into three generic categories.

Figure 4.13 Collaboration: Coded information units and generic categories



4.4.2.10.1 Intention and execution

Participants generally find that the university leadership appreciates the value of collaboration and has the best intentions. However, the execution of impactful collaboration presents a perpetual challenge. They illuminate their understanding of collaboration providing the following examples: the enduring process of collaboration, how to exploit opportunities, and the impact of leadership.

Participant [P1] defines the university's stance and emphasises the need for an unrelenting effort to collaborate: "It's a very conscious effort at the moment, we know that we have to do this, we're engaging as much as possible with all stakeholders, we really trying to engage and involve everybody, where we can. But it's an ongoing process, it's not something that we achieved and we're doing it well, something that we're still working on".

Participant [P2] further elaborates to provide high-level context: "The intentions are there. And that we must understand that no single institution can single-handedly tackle global challenges, without being the networking pro, without understanding collaboration, and that it needs to be a player within an effective ecosystem". He continues to emphasise the impact of collaboration: "Again, [the university is] well connected. But it's not fully exploited, but also, that the evidence and the impact of that is not clearly demonstrated. So, our people work with community organisations, with global [organisations], but where is the evidence reflected? And what's the impact of what they're doing, and because the impact is not there".

Participant [P8] asks the questions whether the university is maximising opportunities to collaborate: "I don't think the university's capitalising on its social capital, or regarding social capital as input. I don't think [the] university knows what their social capital [is]". She specifically raises the opportunity of collaborating with alumni and their networks, and of missed opportunities with business. She explains through an example involving the provincial government: "We've had different people from provincial government around the table, and their feedback to us were, we are struggling to get sponsorships to work, their feedback to me was that nobody knows about you. I really think that [the university] has got the challenge in terms of, of putting itself out of there, and building a strong network in the public domain, visible collaboration."

4.4.2.10.2 Structures and processes

In terms of structures and processes, participants elevated themes of a facilitating ecosystem and the conditions that enable collaboration.

Participant [P5] explains her rationale for an ecosystem to facilitate collaboration. She emphasises the benefits for an established network: "Don't believe that is that kind of

ecosystem awareness in our leadership because you have to understand the ecosystem. In this scenario, you need to understand who do you partner with strategically, why is it important to each person. If people like you, or if people know you with this relationship, the negotiations become easy”.

Participant [P7] holds the position that for collaboration to be effective, the following conditions are worth considering: complementary stakeholders views, the imperative of adding value, and clarifying the purpose or need for collaboration. She argues: “We just need to make sure that we collaborate with complementary stakeholders. In terms of the university, I think they are also very much aware. It's not being done perhaps as effectively as it should be. I think they have been engaging with government, academics engaged with collaborators. I'm trying to promote that more. I'm not sure if they see the value though, of collaborating. ... We need to collaborate, and we need to be strategic about who we collaborate with. Why are we collaborating? For me, it's we need to collaborate to add value. So not with someone who's just like you, they will add very little value. Someone [that] does absolutely the opposite of you. It will also bring a different point of view. So, we need to do a bit more”.

4.4.2.10.3 Challenges

The research participants highlighted poor collaboration and a multi-disciplinary approach as challenges.

Participant [P20] is sad to rate the university low on collaboration. He cites the example of insufficient student accommodation and the unrest that followed as consequences: “And then the students protest because a facility that they had in the past, the University is possibly losing, because of competing offers from another institution. I don't think it was well communicated, I don't think the engagement with the students, when they engage with that private contractor, or their engagement with the campus community, staff, the broader community, the parents, I don't think that the communication was good at all”. His loyalty is evident and he hurts when he states: “I'm rating the university level [low] on most aspects, and yet the contradiction, yet I thoroughly enjoy working here. I identify with this institution, I identify with their ethics, with their reason for being, so to speak”.

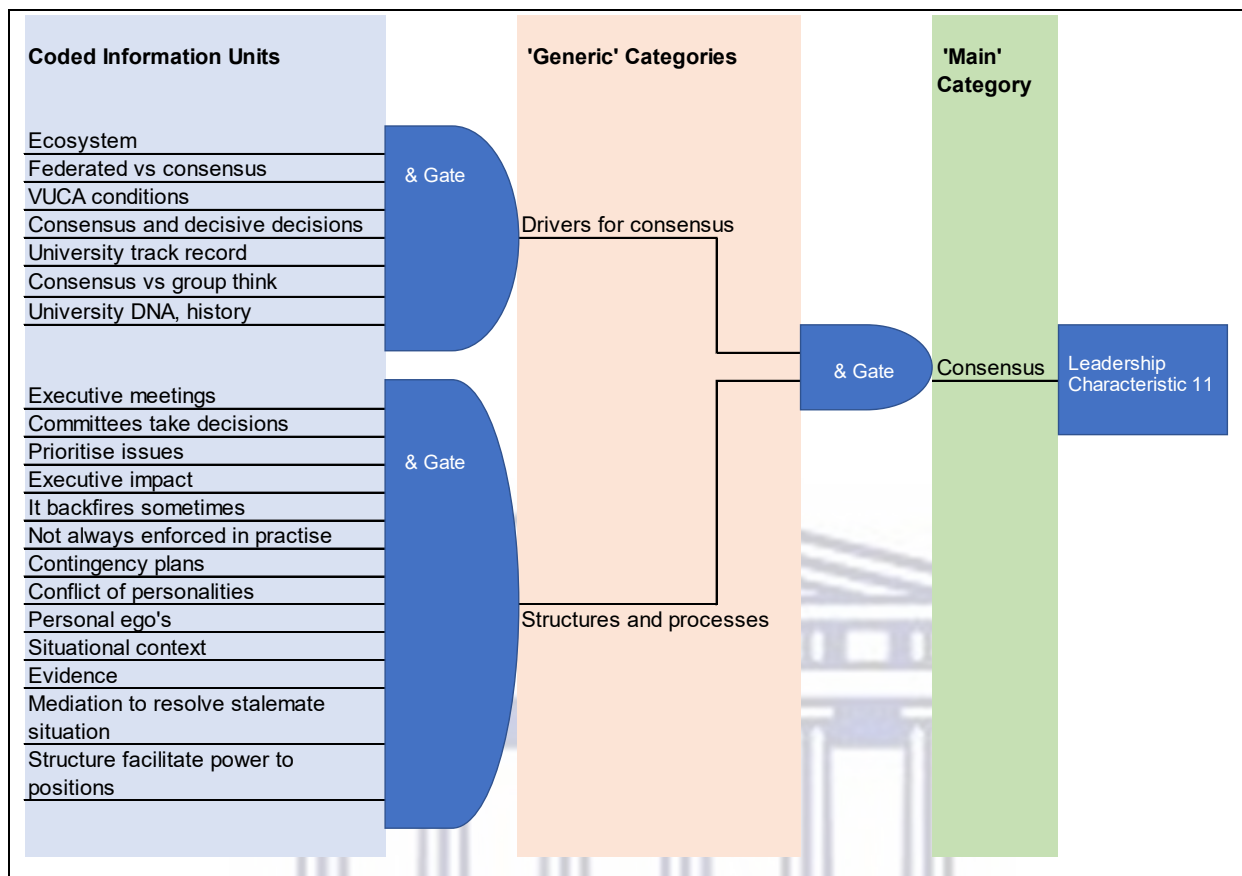
And then there is the debate around multi-disciplinary collaboration. Participant [P22] explains the merit of adopting this approach as a diagnostic: “I think the problem here is that everyone is approaching this from their own silo. This really speaks to the multidisciplinary problem-solving type of approach, the multidisciplinary vision. And it even speaks to the way that people and the institution rewards, the incentive type of structure at the university, there’s not looking at these multidisciplinary approaches to problem-solving, but to effectively reward people the stronger they become in their particular silo”. He evaluates the case of poor collaboration with the business sector: “This also frustrates a lot of external stakeholders, particularly from business. Businesses, for the most part, matured a little bit in terms of this. They expect that people will be collaborating, they expect that if they walk in through this door, they want to collaborate with the university, they don’t want to run around with all these silo politics. So, it kills a lot of collaboration projects”.

The university leadership appreciates the value of collaboration and has the best intentions. On the contrary, the execution of impactful collaboration presents a perpetual challenge in three ways. First, leadership has good intentions but struggles with execution. Evidence points to sincere efforts to achieve collaboration on many fronts, which are not fully exploited. Underutilising social capital results in missed opportunities. Second, the implementation of collaboration requires facilitating structures and processes, i.e., a collaborative ecosystem and enabling conditions. Lastly, collaborative challenges manifest as leadership is failing to implement and sustain a collaborative climate. A preference to work in silos and neglecting the opportunity to work in a cross-functional or multi-disciplinary way undermines leadership effectiveness.

4.4.2.11 Consensus-seeking

These findings represent participants’ responses to the question, “To what extent does leadership employ consensus seeking skills to resolve problems and accomplish high performance at the university?” Figure 4.14 indicates the 20 information units that support the empowerment category, and which were condensed into two generic categories.

Figure 4.14 Consensus: Coded information units and generic categories



4.4.2.11.1 Drivers for consensus

A few key drivers were prioritised by the participants as being significant enabling consensus at the university. These range from ecosystems to federated/consensus approaches, VUCA conditions, the university's DNA [deoxyribonucleic acid], groupthink, and decision-making power.

Participant [P2] argues for leadership to engage in a complex ecosystem with multiple voices: "Whilst the VUCA literature would suggest shared decision making and consensus, and in a complex environment, as there's no perfectly right on either side, that it's a complex system, an ecosystem that you need multiple voices and perspectives, to be able to listen to all of that." He continues by positioning the university in the wider Higher Education landscape context, contemplating it either as a federated or consensus-driven institution. He said, "We erring on the collaborative side, which is a strength and a weakness. The strength is that we often too democratic and consensus seeking. And that's the nature of universities too. But you do get

institutions that's much more federated and others that centrally, kind of sit in the middle. We not a federated system and we're not the leader [that] says everything and everybody follows. It's democratic in the sense that we have democratically appointed heads of departments in academic departments, etcetera, and it rotates.”

Participant [P8] holds in high regard the university’s historic record to really engage with stakeholders: “I think [the university] had a wonderful track record of having an ability to understand different agendas and to encourage people around it. And that was kind of written into the DNA of [the university name]”. She does, however, caution leadership against inflexible responses under VUCA conditions. She said, “But I think what is necessary within VUCA context, that the conditions of change and I'm worried that [university name] is not adjusting to the changing conditions.”

Participant [P22] also identified a few risk areas that could potentially negate collaborative outcomes. He advocates for democratic leadership, and the value of true consensus, but cautions against groupthink. He concludes discussing the imperative for timely decision making: “Very fast-moving environment. You've got structures that are moving very slowly to make decisions that are not optimal”.

4.4.2.11.2 Structures and processes

For a consensus-enabling environment to manifest, research participants highlighted leadership structures and procedures as a cornerstone. These include set management meetings, committees, principled decision making, effectiveness, and obstacles to consensus decision making.

Participant [P1] provides a narrative that explains the imperative for principled decision-making: “Like I say, we have bi-weekly, every second week, we have a [leadership level] management meeting and key issues are discussed at that meeting, where we need to make decisions around things. Because we say [we are] making a principled decision, then I would like to say, ‘Okay, what are the principles?’ If management made the decision, and I’m part of it, then I need to understand what it is that we making. So, yes, I do think that consensus does exist. I don't think it's enough.”

Participant [P2] discusses the consequences of committees taking decisions. The benefits are more people are engaged, creating a better understanding for the issues at hand. But on the flip side, individuals are not accountable and decisions could be delayed or take long with negative impact. He explains, “We used to have appointed leaders, etcetera. It does create, in some cases, a sense of indecision and paralysis in the duration, the length of time taken, but also in kind of the saying about what is a committee. And so, we tend to dump decisions into that spaces where no accountability is accepted. So, there's a positive side to it where the institution is consultative. But in a context of requiring leadership and courage to make decisions in a complex environment, where uncertainty is rife, where you want to avoid the risk of creating fear, etcetera, and to allow speculation to continue for too long, you need decisive, courageous, decision-making to actually use the opportunity. Now, the nice part about the positive side of it is that it does allow for engagement, it does allow for maybe a mutual understanding, and it does allow for kind of a learning loop of more people understanding what the issues and complexity is.”

Participant [P11] questions the impact of consensus suffering as a result of leaders' personal egos getting in the way: “Yes, it's happening. Its effectiveness though, I'm not convinced. So, you must also have the balls to change it. So, and this is often the challenge with leadership. That we do something and because we believe that thing, we don't know if it's working, but we believe because we created it, it must be the best thing. You know, the ego thing – we're not prepared to change it and so eventually it will fail. So, it's about putting a thing in place, but being big enough to know that it's not working”.

Consensus-seeking is a necessary leadership skillset, especially under dynamic VUCA conditions. The participants' prominent views regarding consensus fell into two sub-themes. One, drivers for consensus, differentiates between the leadership imperatives to hear multiple voices within a complex ecosystem, decide on the university's stance as a federated or consensus-driven institution, and develop the agility to facilitate fast decision-making. Two, facilitating consensus calls for enabling structures and processes, such as principled decision making, managing the consequences of committees as opposed to individual leaders taking decisions, and managing the risk of individual egos derailing consensus-driven decisions.

4.4 CONCLUSION

Recurring themes emerged across the different leadership characteristics to suggest a common experience of leadership effectiveness among the participants. An analysis of the frequency of each generic category, or sub-theme, across the 11 leadership characteristics is represented in Table 4.6.

Table 4.6 Research sub-themes frequency count against the leadership characteristics

LEADERSHIP CHARACTERISTICS	Empowerment	Trust	Level of engagement	Teamwork	Innovation	Communication	Ethics	Emotional intelligence	Mindfulness	Collaboration	Consensus	TOTAL COUNT
<i>Generic Categories</i>												
<i>Organisational culture</i>	X	X	X		X	X	X					6
<i>Organisational development</i>			X					X	X			3
<i>Bureaucracy</i>	X	X										2
<i>Policy & Governance</i>	X											1
<i>Enablers &, or disablers</i>	X		X									2
<i>Leadership impact</i>		X	X	X	X	X	X	X				7
<i>Positive events, experiences or characteristics</i>		X	X	X					X			4
<i>Negative events, experiences or characteristics</i>		X	X	X								3
<i>Authority</i>	X											1

<i>Structures &, or processes</i>						X				X	X	3
<i>Learning organisation</i>			X									1
<i>Silo effect</i>				X								1
<i>Information sharing</i>				X								1
<i>Organisational values</i>							X					1
<i>Risk management</i>							X					1
<i>Resource limitations</i>					X							1
<i>Academic freedom & independence</i>					X							1
<i>Channels</i>						X						1
<i>Skills development</i>								X				1
<i>Intention &, or execution</i>									X			1
<i>Challenges</i>									X			1
<i>Drivers</i>										X		1

The frequency table illuminates the relative perceived importance of the various sub-themes. Leadership impact appears seven times and could be considered as most important. Organisational culture follows next with a count of six, and represents the second highest priority. Positive events, experiences, or characteristics is the third most frequent, appearing four times.

Chapter 5 presents the findings of the second research question. A discussion of the research results presented in this chapter, will be conducted in Chapter 6. Chapter 7 will draw conclusions and present proposed recommendations.

Chapter 5: RESULTS - Understanding the key factors that impact effective leadership in a public university

"Leadership and learning are indispensable to each other." - John F. Kennedy

5.1 INTRODUCTION

Chapter 5 presents the results of the theoretical and empirical research to answer Research Question 2:

RQ2: Which factors influence effective leadership behaviours?

These findings address Research Objective 3:

RO3: To understand the key factors that influence leader effectiveness in a public university.

First, the results of the analysis of the contemporary leadership literature are presented to establish the influential factors that impact effective leadership. These are being used in the directed content analysis. Then, an analysis of empirical data from university leaders for objective three is presented for each influential factor. The chapter concludes with a review of the generic categories, or sub-themes, that emerged across the data related to the second research question.

5.2 LITERATURE FINDINGS

Beyond the characteristics leaders must possess to be effective in a VUCA environment, there are other contextual factors and external considerations that can impact leaders' effectiveness. A content analysis of the contemporary leadership theories highlights four key influential factors manifesting consistently during the literature review as shown in Table 5.1.

Table 5.1: Influential factors of effective leadership from the contemporary leadership theory

<i>Influential factor</i>	VUCA Applicability	Transformational (charismatic) leadership	Authentic (values-based) leadership	Servant leadership	Adaptive leadership	Team (shared, distributed) leadership
Organisational culture	(Mosley & Patrick, 2011)	(Xenikou & Simosi, 2006; Lee & Cho, 2018; Yusnita, Rusdiawati & Sunaryo, 2019)	(Azanza, Moriano & Melero, 2013; Park <i>et al.</i> , 2019; Bernardes <i>et al.</i> , 2020)	(Kang, 2018; Lee, Kim & Cho, 2018; van Assen, 2018)	(Corazzini <i>et al.</i> , 2015; Costanza <i>et al.</i> , 2016)	(Mahmood, 2020; Erkutlu, 2012; Northouse, 2019)
The role of women in leadership		(Chin, 2011; Choi <i>et al.</i> , 2016; Saint-michel & Saint-michel, 2018; Howard, 2019)	(Hopkins, 2015; Önday, 2016)	(Reynolds, 2016; Sims <i>et al.</i> , 2018; Sims, Carter & Moore De Peralta, 2020)	(Van Metre, Geiger, 2010; Yawson, 2019)	(Alyami & Floyd, 2019; Northouse, 2019; Zuraik, Kelly & Perkins, 2020)
The role of millennials in leadership		(Long, 2017; Mccleskey, 2018; Pires da Cunha, 2018; Sampson, 2020)	(Northouse, 2019)	(Sarkar, 2016; Long, 2017; Nordbye & Irving, 2017; Mccleskey, 2018; Vecchiotti, 2018; Sampson, 2020)	(Wisniewski, 2010; Crisan, 2015)	(Sarkar, 2016; Mccleskey, 2018; Vecchiotti, 2018)
Diversity		(Kearney & Gebert, 2009; Taylor, 2015; Essandoh & Sufilas, 2016; Mccallaghan, 2020; Porritt, 2020)	(Owusu-Bempah, 2013; Barrass, 2014; Meyer, 2017)	(van Dierendonck, 2011b; Politik, 2018; Das, 2019; Mccallaghan, 2020)	(Glover <i>et al.</i> , 2002; Leary, 2012; Heifetz, Grashow and Linsky, 2017; Schulze & Pinkow, 2020)	(Hoch, 2014; Amsler & Shore, 2017; Meyer, 2017; Rached & Elias, 2019; Scott-Young, Georgy & Grisinger, 2019; Homan <i>et al.</i> , 2020)

These proposed factors are by no means an exhaustive list, but do represent four of the most significant influential factors identified from contemporary leadership literature that occur across all five leadership theories. The definitions and significance of these factors to this study based on their applicability to VUCA are presented here. This establishes the coding rules of the main categories, or themes, in the categorisation matrix for the directed content analysis (Mayring, 2000).

5.2.1 Organisational culture

In 1985, Schein wrote, "*The only thing of real importance that leaders do is to create and manage culture*" (p. 2). An organisation's culture emerges from many sources and is developed over time. It provides people in the organisation with a sense of identity and reflects organisational goals, assumptions, vision, and leadership. Through interactive leader-follower relationships, the organisational characteristics, employee perceptions, and behaviours are manifested in organisational culture (George, Sleeth and Siders, 1999; Mosley and Patrick, 2011). Organisational culture is part of a reciprocal process whereby culture reinforces particular leadership behaviours and, simultaneously, a leader's style affects organisational culture. The result is that organisational culture influences leadership effectiveness (Sun, 2009; Mosley and Patrick, 2011)

The "fit" perspective proposes that for an organisation to be successful long-term, its culture must align with its external environment. Leaders create opportunities for organisational culture to develop relative to the business environment, an evolutionary process due to the growth and change that occur. For example, employees working under transactional leaders are governed by existing policies and procedures. This leadership style develops a culture of strict rules-oriented traditions. In contrast, transformational leaders focus on employee trust relationships and believe that everyone can uniquely contribute to the organisation by searching for innovative ways to improve assumptions, values, and norms. They are confident that complex problems should be handled at the lowest organisational level possible. The ambitions of the transformational leader are reflected in the organisation's culture (George, Sleeth and Siders, 1999; Mosley and Patrick, 2011). In traditional business environments, where conditions are more stable, rigid, consistent organisational cultures are needed. In more dynamic conditions, a flexible culture is more

advantageous. In order to develop cultures that are more adaptable and responsive to the demands of a VUCA environment, Mosley and Patrick suggest a combination of the structure of the transactional leadership style and the flexibility of the transformational leadership style. These organisational cultures should result in a higher level of job satisfaction and employee commitment, as well as organisational performance (Sun, 2009; Mosley and Patrick, 2011).

5.2.2 Role of women in leadership positions

Since the early 19th century and for many decades thereafter, leadership was associated with male qualities. The strong adult male demanded obedience from others through his inquisitive, instinctive, and controlling behaviour. The definition for leadership only started to shift away from the characteristics of men in positions of authority in the late 1960s and early 1970s when the styles of women leaders started to transform the very nature of leadership (Vecchiotti, 2018). Today, the characteristics of women leaders and their contributions to contemporary business success include increased collaboration, mentoring, a strong focus on employees and their development, a nurturing style, and a willingness to look at the short- and long-term factors to achieve business results. Leadership as a people process began with women, i.e. trust between good leaders and implementers with an attitude of vulnerability, willing to sometimes say, “I don’t know the answer” (Day, 2001; Vecchiotti, 2018).

Chin (2011) proposes that it is increasingly insufficient to maintain a gender-neutral view of leadership. He attributes this tendency to socialisation and cultural worldviews impacting on leadership styles. He continues to postulate that feminist leadership styles are intentionally different to that of men, more transformational and collaborative. He argues that men conform more to task-orientation social stereotypes exhibiting self-assertive and task focused, whilst women conform to person-orientation social stereotypes exhibiting behaviour including concern for others, more interpersonal skills and selfless. Chin (2011) furthermore states that research support the notion that women leaders exhibit democratic leadership styles exploiting collaboration and cooperation, as opposed to men being more autocratic, directive and competitive. He proposes that these differences could be contributed to the differences in personality and social interpersonal skills between women and men.

Chin (2011) closes with the point of view that contemporary leadership theory increasingly advocates for collaboration and strong people skills to succeed in modern times.

5.2.3 Role of Millennial cohort/Generation Y in leadership positions

Vecchiotti (2018) states that social learning, transformational and servant leadership are the three prominent leadership styles adopted by most millennial leaders. He does however highlight servant leadership to be the most effective style placing much emphasis on followers. Millennial leaders add two contemporary skills: much verbal dialog and a consensus seeking approach often through social media. They empower followers by sharing information and -resources. Teamwork, collaboration, continuous feedback, a high level of emotional intelligence, visionary thinkers, creating a productive gender blend and fun workplace are serious considerations for the millennium cohort of leaders. They are technically well informed, agile and adaptable to change near to real-time. They encourage employee participation and self-managing teams (Sarkar, 2016; Vecchiotti, 2018).

Casey (2014) advocate for the contribution millennials can make to organisations especially within a VUCA environment. He discusses a number of millennial attributes that support leader effectiveness under VUCA conditions. Technology, information, teamwork and collaboration, multi-tasking and the ability to work autonomously are important criteria and align well with contemporary leadership theory. Table 5.2 summarises:

Table 5.2: Millennial attributes in a leadership setting under VUCA conditions, adapted from Casey (2014).

Attribute	Description
Tech-savvy	Familiar with technology and employs this attribute as a key method for knowledge transfer in organisations.
Informed	Mastery of the internet and social networks empower millennials to access information effectively.
Diverse	Millennials places a premium on teamwork and collaboration demonstrating a tolerance for diversity.
Multitaskers	Millennials have confidence to multi-task effectively.

5.2.4 Diversity

Green *et al.*, (2019) propose: “Diversity can be defined as acknowledging, understanding, accepting, and valuing differences among people with respect to age, class, race, ethnicity, gender, disabilities, etc”.

In turbulent conditions, effective leaders require skillsets to not only champion and manage diversity, but to exploit diversity to the benefit of the organisation (Hall & Rowland, 2016; Sarkar, 2016). Increased competitiveness and performance are possible if leaders can successfully blend different values, knowledge and backgrounds to achieve organisational goals (Hall & Rowland, 2016). The increasing number of knowledge workers implies the growth of a highly skilled and well educated work force that wishes to contribute more fully than many have in the past. Employing diversity to maximum effect creates the opportunity for organisations to be stronger (Hall & Rowland, 2016).

Green *et al.*, (2019) explain that increasing globalisation demands effective interaction between people from diverse backgrounds. People can no longer work in an isolated environment, and for organisations to be competitive, they need to embrace inclusivity and diversity. The benefits of diversity include improved value creation, a competitive edge and increased work productivity. Inclusivity through diversity is pivotal to sustain successful participation in the worldwide economy. Changing markets in a VUCA environment requires flexibility and creativity to enhance leader effectiveness.

5.3 THEME VALIDATION

Following from the inductive-deductive hybrid approach to data analysis, the themes identified in the deductive, *a priori* classification framework must be validated against the themes derived inductively from the empirical evidence. Comparing the participants answers to the unstructured questions to the semi-structured questions, which were based on the *a priori* themes, corroborates the trustworthiness of the research data.

Table 5.3 presents a selection of the participants’ responses to the three unstructured questions as they pertain to the four semi-structured questions about influencing

factors. This highlights whether or not the study provides support for a *priori* research themes.



Table 5.3 Validation of the influencing factors with unstructured questions

Structured Questions	Unstructured Questions		
<p>How does the university's organisational culture impact on the effectiveness of leadership?</p>	<p>What contemporary leadership behaviour do you consider crucial to enable high performance under VUCA conditions?</p>	<p>To what extent does the current leadership successfully lead the university to achieve high performance?</p>	<p>Do you believe you have adequate skills to lead effectively under VUCA conditions?</p>
	<ul style="list-style-type: none"> • [P15] <i>"I think in a climate where it's about the autonomy of a leadership position, and it's about responsibility and accountability of that position and I think that that the climate that you're referring to, there are fears and concerns around a climate where there's uncertainty and ambiguity, and often times a response to that is a clamping down, you know, to tighter control things. And I do understand it and I do think that things have to be, that there has to be rules and regulations as to how things should happen, and that there should be clear guidelines for processes and procedures. But it cannot be done to such an extent that people that are in leadership roles cannot function with the responsibility and the autonomy that's required in that leadership role."</i> • [P25] <i>"...often we think of leadership, as people that are holding positions. So, I think we need to move away from that thinking, and also take leadership or try and educate people, society and everyone else that leadership starts from self-leadership. So, it is important that people must understand that the importance of self-leadership firstly, and</i> 	<ul style="list-style-type: none"> • [P11] <i>"But (researcher name), this is where I actually saw how leadership is not leadership. I don't know what to call that because our whole system in the institution is inhibitive of this position. At other universities when you go, they get resources, it's a facilitative system, you want to be there, you want to be in the system. Look people always throw the idea of money, nothing is about money, I worked for the first ten to eleven years in a position of no money, only my post was paid. When you wanted to do things with students, we let students, my gold was in the students. And that's why I say I work differently, because I value the education system, in this higher education. So, when I go to this position now, it's got money and I'm saying ok, what's the use of having money when the system is not working? At [the university], sorry to say it, I don't like to badmouth my university, the system fails the research process. So, what happens is, is that you've got a large cohort of the university that's not publishing, that's not interested in publishing. Because I believe the leadership has not done enough.</i> 	<ul style="list-style-type: none"> • [P12] <i>"...the environment might not allow them to change. But that's then where the organogram and those things come into play. So, I have worked in positions in the institution where I was able to turn things around. Because I was able to push and the organogram back a little. It was a long battle. I was able to do the skills training. I was able to deal with some of the blocks. So, I definitely have those skills but whether you are successful. Even those skilled depends on the kind of infrastructure support you have. It depends on HR it depends on your ER support. So, if those things are not in place you're fighting with your hands behind your back. So, for me it's not about the skills you can actually have someone without the skills, or some of the skills that you feel support is right then I feel you can achieve more."</i> • [P22] <i>"I am battling sometimes with the super rigid structures that we are dealing with, because it makes the pace of execution so slow that it starts bordering sometimes on irrelevance. You know, by the time you're</i>

also leadership can be at all levels if I had to put it that way. So just because you are a cleaner, you must be able to take leadership in the duty that you're performing in whichever role that you're occupying in society. So, we need to shift people's mind-set when it comes to leadership of looking at it and link it to position, if I had to put it that way."

There are pockets of people, so for example you find one faculty doing better than another faculty. But it could be and we had that experience in (faculty name) where a few people are driving the idea and getting the people on board. That's not happening across the university, right? But now when you in this type of position where you should be flying, we don't have a simple thing like an administrator, assisting you to do all of these things and every single process that you've come to in the research support process, you find barriers. Now, it's a system but I always say its people in the system. And those people in the system, become your gatekeepers. So, because I don't like you, because you got a big mouth and you saying things, and bla-bla-bla.... I'm going to let your stuff take longer, or the signatures are not right, it's sent back so you have to start the process all over again. Instead of a having a separate section for your chairs in order to facilitate higher outputs."

- [P25] *"...that there's some sort of a missing gap of monitoring and evaluation in between that doesn't really take place. Whereby accountability is somehow missing somewhere. Because of that, lazy fair kind, it's not really lazy fair, there are structures that are put in place, if I had to put it that way. So, there's an arm of structures whereby people are held accountable in terms of governance structures, but I think what's the missing part is the performance*

getting to implement the solution that you've designed that solution is out of date."

What contribution do you believe women in leadership roles make at the university?

What contribution do you believe the millennium cohort (or

of people of individuals that are occupying positions. Are they held accountable if they're not performing, those kinds of things? Yeah, so that is the part that I'm saying that I think needs to be kind of like also factored in as well; But still, my view is that, there still needs to be some sort of monitoring and evaluation that takes place. Because you find that the university invest a lot in terms of training and all those kinds of things to invest in people but still, there's no yardstick to test whether all this investment, is it going in the, is there any ROI, return on investment on all these investments that you're making because you need to be able to measure yourself whether you are you can successful or not."

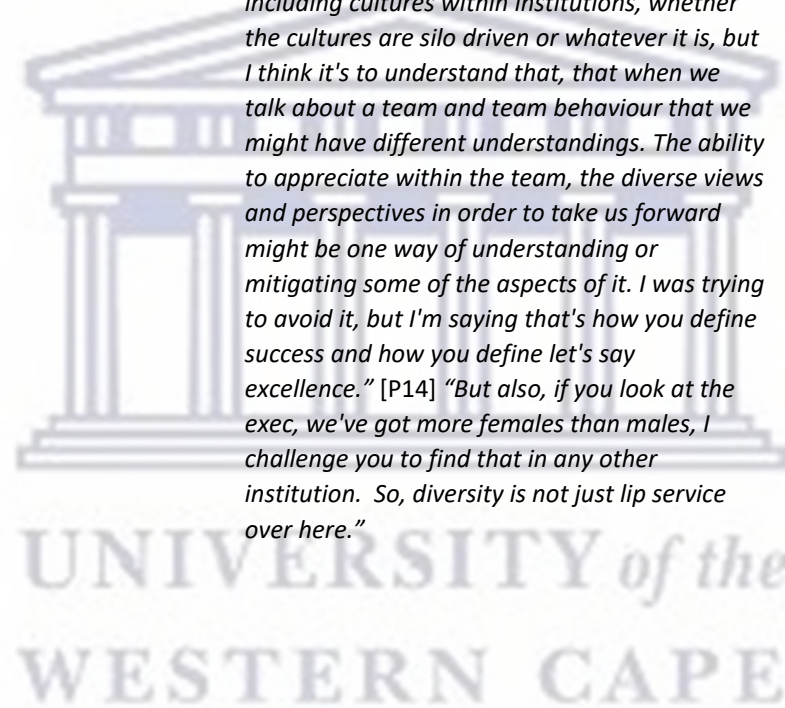
[P5] *"I was also recently part of a discussion where we were looking at the HDMI grants. And if you look at how well UWC has delivered on some of it, particularly around infrastructure development, and we've done better than all of the other HDI's, so when you look from the outside in and you see how the university has evolved, and the standing and the perceptions, it's really positive, you know, in terms of male and female, you know, all of those things are positive,"*

[P25] *"...but it leaves liberty for, you know, your junior leadership, your mid leadership and your senior leadership to also take decisions within their appropriate realms if I were to put it that way. So yes, there is room for improvement."*

**Generation Y)
in leadership
roles make at
the university?**

**How well does
leadership
employ
diversity in the
university?**

[P2] *“...change is difficult to manage, change kind of is offset by a host of other conditions including cultures within institutions, whether the cultures are silo driven or whatever it is, but I think it's to understand that, that when we talk about a team and team behaviour that we might have different understandings. The ability to appreciate within the team, the diverse views and perspectives in order to take us forward might be one way of understanding or mitigating some of the aspects of it. I was trying to avoid it, but I'm saying that's how you define success and how you define let's say excellence.”* [P14] *“But also, if you look at the exec, we've got more females than males, I challenge you to find that in any other institution. So, diversity is not just lip service over here.”*



5.4 EMPIRICAL RESULTS

The four factors of effective leadership formed the basis of the categorisation matrix for the empirical study of leaders within a public university. The results of the directed content analysis are presented for each of these themes as the main categories of organisation. The themes that emerged from the analysis of the interview transcripts are presented as the “coded information units” (Mayring, 2000; Assarroudi *et al.*, 2018). These were then condensed into “generic categories” that relate to the main category based on similarities, differences, and meanings (Elo & Kyngäs, 2008). The links between ‘generic categories’ and ‘main’ categories are established in the results descriptions (Zhang & Wildemuth, 2009). Figures 6.1 to 6.4 furnish visual representations of these relationships. These diagrams utilise logic and gate functions to add and condense lower-level to higher-level information.

5.4.1 Organisational culture

These findings represent the participants’ responses to the question: “How does the university’s organisational culture impact on the effectiveness of leadership?” Figure 5.1 indicates the 24 information units that support the organisational culture category, and which were condensed into two generic categories.

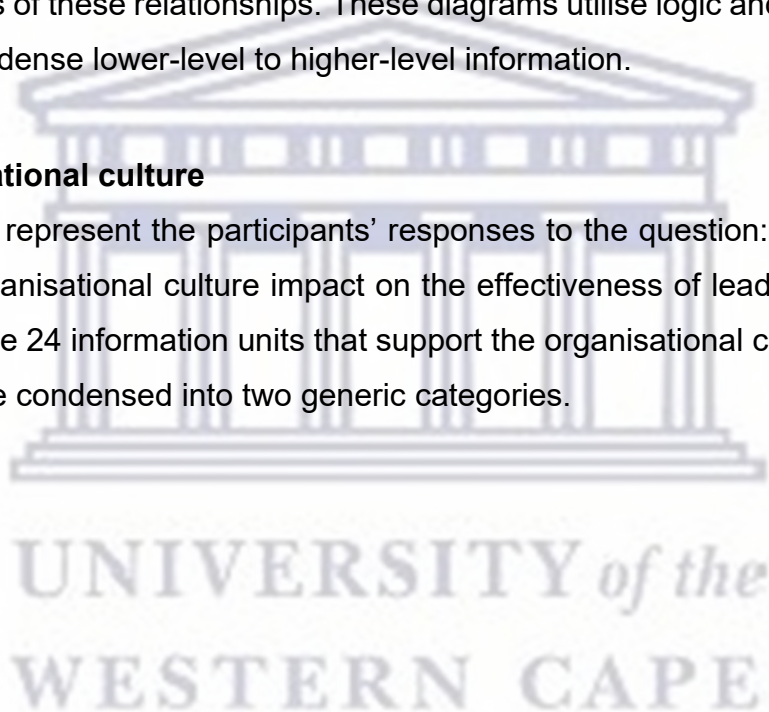
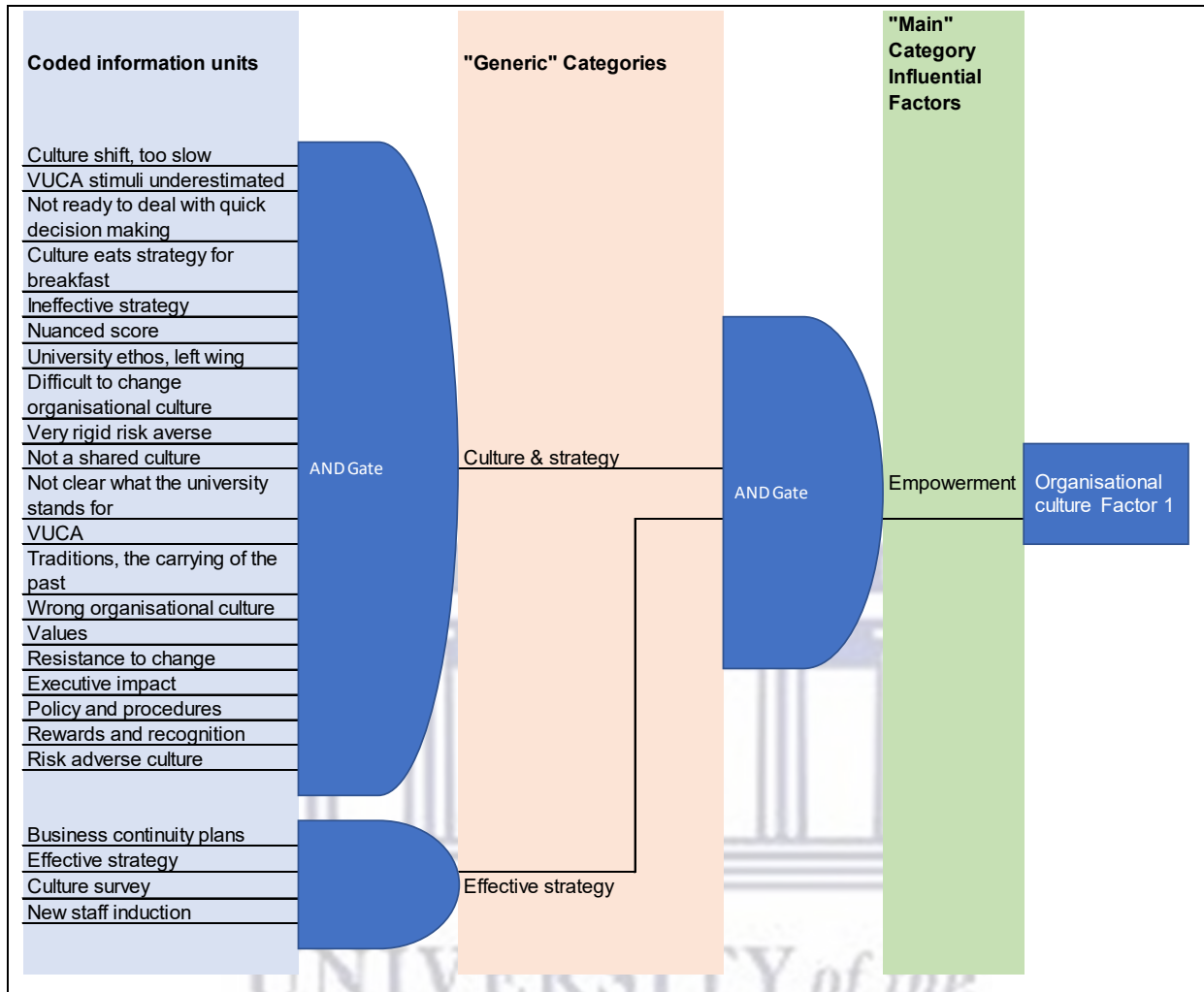


Figure 5.1 Organisational culture: Coded information units and generic categories



5.4.1.1 Culture & strategy

Culture was the golden thread running throughout participants' responses to nearly every question. Evidence from leaders in every stratum unequivocally reinforces the negative state of the university's organisational culture and indicates the negative effect it has on leadership effectiveness.

Participant [P2] provided a high-level perspective of organisational culture by quoting management scholar Peter Drucker: "Culture eats strategy for breakfast." He qualified this statement by saying, "We [are] ineffective [regarding] strategy execution, in the sense that we underestimate the complexity, we underestimate the speed, we underestimate the volume, we underestimate the fears, and the resistance." He recognises that the university is making progress, but cautions that the pace of change

is too slow. He concluded by advocating for efficiency improvements, especially with regard to administrative support to students. “Unfortunately, [efficiency] is lower on the administrative side, that students experience bureaucracy and be paralyzed by sending [students] from pillar to post.”

Participant [P1] highlighted the experience of student unrest and VUCA conditions over the past few years, citing the precarious position the university found itself in. She emphasised the fact that the university was unprepared to deal effectively with these dynamic VUCA conditions, especially with respect to confident, fast decision-making.

Six participants explained their dissatisfaction with the current status quo. They provided real-world examples for how the university’s negative organisational culture affects leadership effectiveness. Their feedback described a culture of bureaucracy and red tape, rigidity and risk-aversion, laziness and poor work ethic, lack of commitment, and a lack of no accountability for poor performance. For instance, participants described the lack of engagement impacting on non-quorum for senate and faculty boards.

Some also pointed to the absence of a shared vision. Participant [P8] cautioned against the notion that there is a well-established shared organisational culture at the university. She explained, “We don’t have a dominant [organisational culture] at the moment, ... but there are very clear subcultures that are related to functional areas. Which is not good. ... But you get the sense of different portfolios, but you never get a sense of how it all works together, to constitute the university. What do we stand for? And that’s not clear. It’s not like everybody talks about students. So, it’s very siloed, every portfolio keeps to what it is doing.”

5.4.1.2 Effective strategy

There are, however, a few participants who expressed positive remarks regarding the organisational culture.

Participant [P2] indicated the progress made after the 2015, #FeesMustFall student unrest, saying, “Whereas now, we have business continuity plans in place. ... So, in the shift having to be made, people had to shift, but also our systems had to shift. And so, before our systems were geared only for you to be on campus, and be able to work

on campus. And with a VUCA environment where there were times that we couldn't get onto campus, all our laptops had to get VPNs”.

Participant [P3] debates the change in the university ethos. He argues that the legacy of the university has been established over time as an intellectual home of the left. The current shift in organisational culture is changing this legacy to become a place of opportunity and development across the board for anyone based on merit. He said, “I think now it's about the people [that] come to the campus, not only so much from our and not primarily for our apartheid legacy, but they come here because you see this is a place of excellence, a place of growth.”

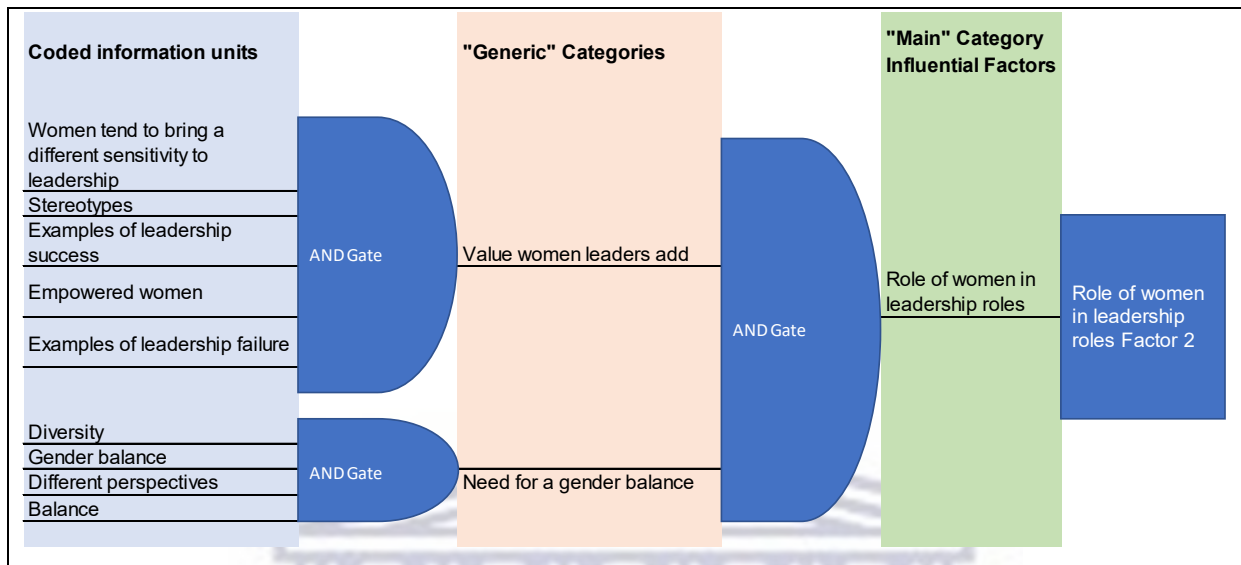
Participant [P16] described the ‘people culture’ as a cornerstone of the university. It underscores the philosophy of ‘putting people first’.

In conclusion, even executive and senior managers experience and testify to the profound negative impact the current organisational culture has on leadership effectiveness. Pivotal is the leaders’ inability to execute strategy effectively, especially underestimating the impact of VUCA. Change is too slow and manifests in negative emotions, such as fear and resistance to change. On a positive note, rapidly changing conditions expedited the adoption of new technologies and a new normal or mind shift for staff to work from home. Lastly, it appears the university’s philosophy of ‘putting people first’ by demonstrating respect and tolerance is unfortunately being abused by many staff members.

5.4.2 The role of women in leadership positions

These findings represent the participants’ responses to the question: “What contribution do you believe women in leadership roles make at the university?” Figure 5.2 represents the nine information units that support the category of women in leadership positions, and which were condensed into two generic categories.

Figure 5.2 Role of women in leadership positions: Coded information units and generic categories



5.4.2.1 Value women leaders add

There seems to be much agreement amongst the participants that women make a unique contribution towards leadership effectiveness. They cite a broad range of examples, mostly focussing on strong soft skills and the resultant outcomes.

Participant [P1] explains the positive contribution women in leadership positions make. She argues that women bring a different sensitivity to leadership, an approach that men do not normally have. She said, "One example I want to give at [the university] is that the Registrar is a female, DVC academic, and DVC research, and DVC SDS are females, all brought in rewards and recognition evenings in our different sectors." She explains that some of these positions have been in existence for a long time, yet only with the appointment of women in these positions has there been formal recognition for excellence.

Participant [P2] believes women complement the university leadership with improved soft skills: "The emotional intelligence, the caring, they bring a dimension to decision-making that's less robust, or less brutal in a sense. They require people to listen..." He also alluded to the benefits women add towards managing risks and heightened levels of awareness: "It's also in a context where there is so much stereotypes, in a context where patriarchy, in a context of gender-based violence, automatically the

nature of the discourse is changing. By having women, who at least alerts you to the sensitivities, alerts an organisation to the kinds of things that ought to be considered, that at some institutions might come as, that's the culture." He concluded by calling for inclusivity: "So, but it's [about] much more than women. It's about diversity. It's actually about understanding multiple perspectives, multiple voices, across race, across culture, across religions, which we do have, which is very fortunate."

5.4.2.2 Need for a gender balance

There is, however, an opposing viewpoint held by a few participants. Some participants believe that gender balance is imperative for leadership effectiveness. Some further suggest that the presence of women in leadership roles also has potential negative implications.

Participant [P24] defends the premise that men in leadership roles provide an equilibrium for effective leadership: "But as with anything in life, I think balance is key. Obviously there needs to be like a masculine aspect that balances that, that's looking at the whole Yin and Yang, and the balance of things, that women leadership also have a negative aspect. So, one must not lose track of that. But I think women can be very much competitive with each other and sometimes a little bit jealous as well. I think that's a very feminine aspect."

Participant [P11] expresses a similar point of view, illuminating some of the negative experiences she has observed: "We've got women, we've got three, four women leaders at the top. All three DVCs are women and the Registrar. Yes, they provide long- and short-term goals, yes, they do mentor, these are things they put in place. Yes, they build. The biggest challenge is people don't have good things to say about them, in the way they lead. They are cold and calculating. They are not necessarily people-focussed. You get the sense that they need to fight ten times harder as a woman leader, than the male. I'm not sure that they are respected in their positions, don't get that sense. Some people have actually described them as conniving, and backstabbing. Yeah, look there are some personal things also in there, but in general, they are not highly spoken of."

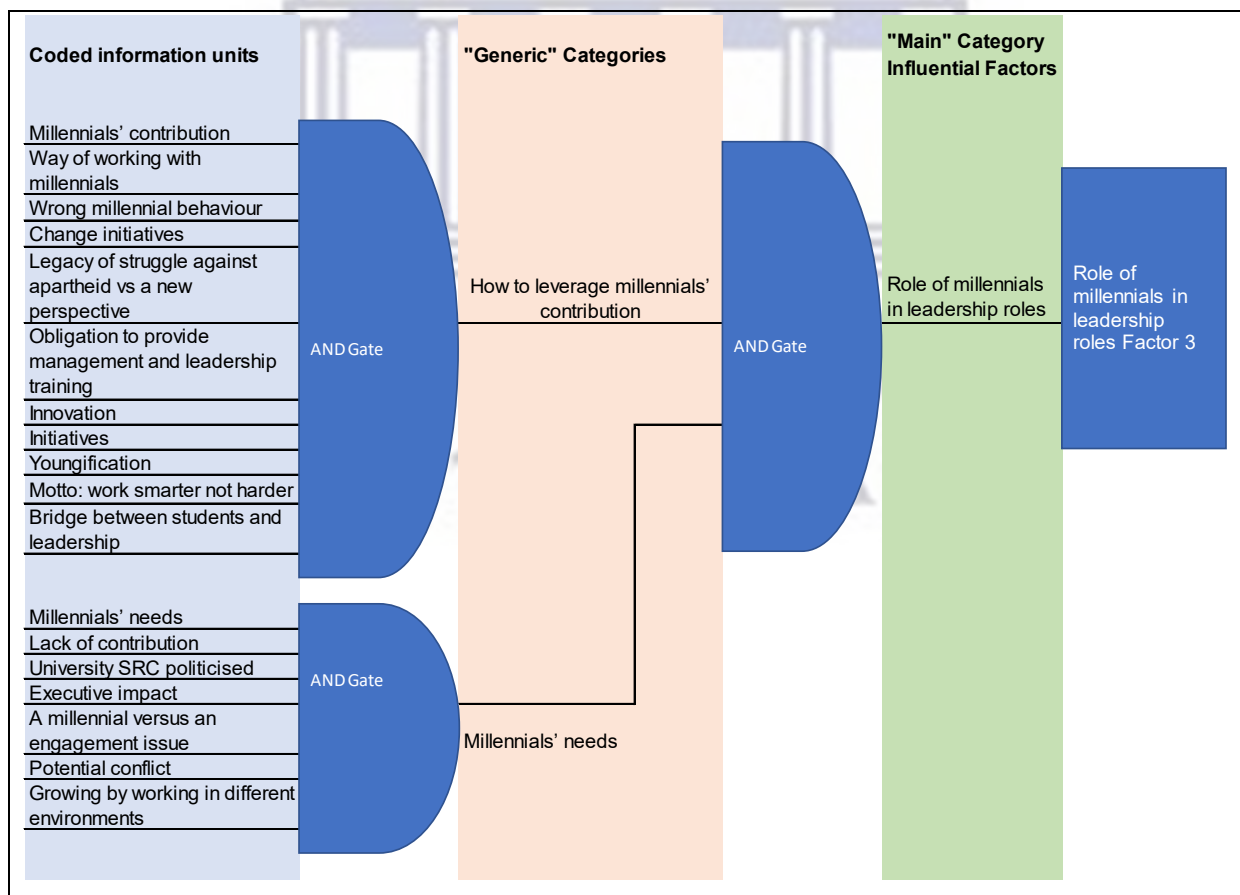
Participant [P4] holds the view that not gender, but leadership style determines leadership effectiveness. He said, "Because you could have either gender coming in

and not have any change, negative change, positive energy. So, I don't like assigning anything negative or positive to [a] particular gender. I assign it more to leadership style. I don't think it is gender specific. It's 'vrot' leadership specific.”

5.4.3 The role of millennials in leadership positions

These findings represent the participants’ responses to the question: “What contribution do you believe the millennial cohort (or Generation Y) in leadership roles make at the university?” Figure 5.3 indicates the 18 information units that support the category of millennials in leadership positions, and which were condensed into two generic categories.

Figure 5.3 Role of millennials in leadership: Coded information units and generic categories



5.4.3.1 How to leverage millennials' contribution

Participants indicate there is a deep understanding that millennials have a different work/life perspective, and the university should seize the moment to transform this into a new competitive advantage. They think university has a limited window of opportunity to embrace the millennial cohort and the unique value they can contribute to leadership effectiveness.

Participant [P2] has a strategic view of the interplay between the millennial cohort and the university leadership. He proposes two interventions: “The one is that we need to understand that 21st century graduates, come with different expectations, and [they] need to be skilled differently, to what we used to do when we were students. That the graduate attributes, the kinds of skills, the networking skills, the ways of learning, the pedagogical approach, etcetera, all need to change. The second is, as a change initiative, is that, they come in tech savvy. They come in with different technological skills or assumed technological skills, ways of engaging, in frequency, in reading shorter texts, etcetera, that for the university to survive in that environment, there has to be change on the digital front. And so, the digital changes required to, how do you prepare a university in the digital age?”

He furthermore advocates to expedite change initiatives, to engage the millennials effectively by rethinking the university's content management strategy, and the way the university communicates, the platforms used, the website, and virtual and immersive environments to optimise technology in order to effectively engage with millennials. This narrative is supported by a number of other participants who cited additional evidence for the value millennials add. These include innovation in teaching and learning, exploiting online and blended modes of delivery, employing social media, and the critical role millennials play with innovative projects, incubators, science, and technology.

Research participant [P24] is a millennial in a middle management position, she makes two important observations. Firstly, she believes millennials are better equipped to manage change: “But I do think that they might be a little bit more resilient to the VUCA conditions, because they might just be adaptable and used to those conditions having grown up in kind of the beginning phase of VUCA almost.” She also believes millennials could assist leadership with student engagement: “The link or a bridge

between the older generations and the students. I think there's a little bit of a communication barrier sometimes, between older people in leadership positions, and young students that are walking on campus, and what they want to hear, and how they want to process information, and how they want to receive information.”

Lastly, participant [P1] cautions against millennials sometimes showing entitlement and disrespect. She explained, “There is sometimes a sense of entitlement, of just wanting, and not realising that we actually worked very hard to get where we are. But instead of just being a top-down approach with them, I feel that I win them over when we engage. ... So, for me, I've always learnt, being taught from childhood that I must respect elderly people or people in authority, you don't have to agree but you need to respect. So, I find that these young people who just feel that they can call you on your name or whatever and speak to you the way they want to.”

5.4.3.2 Millennials' needs

Millennials have strong life-work views, which they share without hesitation. These are often expressed through their needs, and challenge the traditional school of thought regarding work and leadership [P5].

Participant [P5] shared her perceptions and experience of this: “I think they've made us more aware of being not stagnant and dynamic. And that their needs are different. If you look at the needs at universities, for instance, now, compared to 20 years ago, vastly different now.” She explained the millennial expectation for instant gratification: “It's not just about careers. Somebody is in this thing and he wants to go from a lecturer, all the way to senior professor, in the shortest possible time.” She emphasised their expectations for equilibrium: “These, it's about balance of life work, study balance, almost. I think they've made everybody very aware of the fact that it's more [than] just about work.” She concluded by elaborating on their loyalty and work ethic: “And you need to keep them satisfied. Otherwise, they move. They're not going to be in a job like me for 18 years. If they're not happy they're going to move. They don't care, they freaky move, [and] find a different job.”

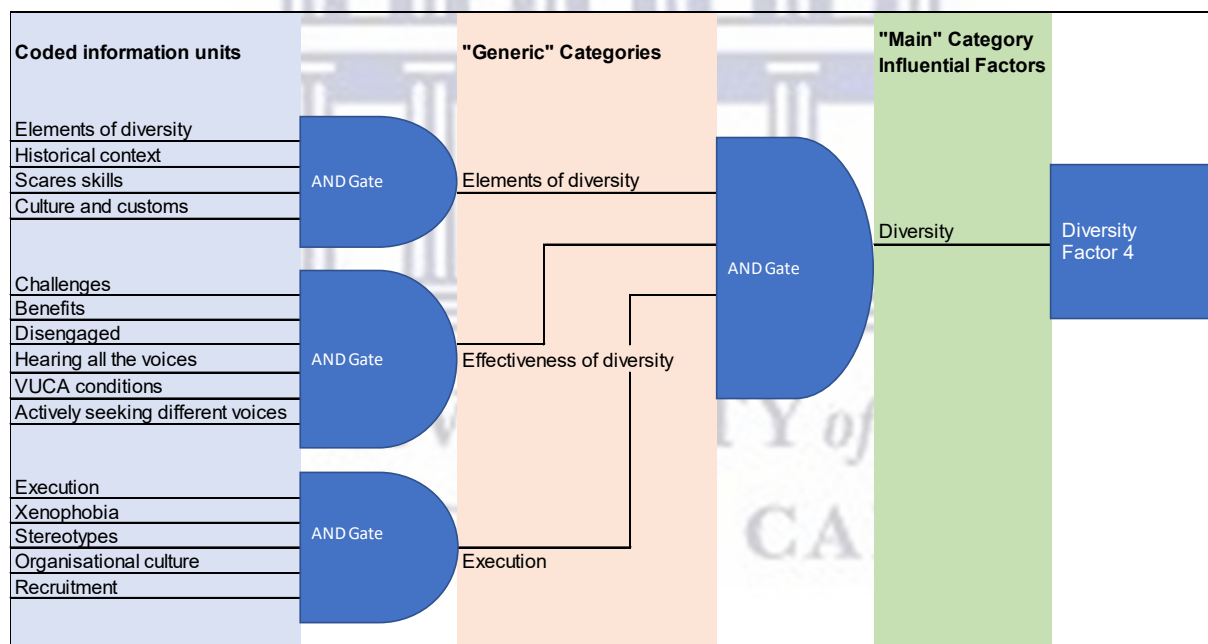
Participant [P20] confirms the previous narrative, postulating the different perspective held by millennials: “I think what the younger generation are getting right is their commitment and their loyalty, I think for me is, is to themselves first. And not to the

employer. The employer will have it while they are with the employer, but if they can see a move to be made that will advance a career, they will do it. And it is a good thing, especially if you don't job-hop too frequently, do it every five years or so. Because then you gain perspectives from different organisations – you gain, you can only enhance your skills.”

5.4.4 Diversity

These findings represent the participants’ responses to the question: “How well does leadership employ diversity in the university?” Figure 5.4 indicates the 15 information units that support the category of diversity, and which were condensed into three generic categories.

Figure 5.4 Diversity: Coded information units and generic categories



5.4.4.1 Elements of diversity

The participants demonstrated a good understanding of what diversity entails and the benefits it contributes to the university. They however explained some of the interconnectedness between diversity and culture, and the need to manage this relationship carefully. Furthermore, they described how the historical context is important to understand the sensitivities around diversity, and how the university has developed over time.

Participant [P1] defines diversity in its broadest form, emphasising the value different people add: “Diversity for me is across the board. It's across gender, it's across race, it's across age, it's, you know, its experience. That's diversity, because everybody brings a different dynamic.” She did, however, caution that diversity should be understood within the context of culture, citing a real work example: “I have a black male in my office who comes from the culture that women are subservient to men. And so, it took us awhile to say that, you know, actually here we [are] colleagues and I use little examples in terms of diversity, in terms of understanding that we would have a meeting and drink our tea, and he would leave his cup, expecting one of us to pick it up, understand? That's a small thing, but it was something that hurt the females in the team, so yes, we aim for diversity, but we still need to understand culture.”

Participant [P2] provided some historic context, arguing that the university has since its inception demonstrated diversity as a strength: “The fact that the institution in the 80s opened its doors from what it was designated to be to a broader societal open university, is the first open contact institution and that it changed its language policy – It was a courageous decision at the time, but for purposes of appreciating a diverse population, the fact that it opened its doors to compatriots, to an international community and welcomed those voices on this campus, bears testimony to the fact that we [were] one of the first institutions to have at senior executive level, gender equity in the 80s, that we've democratised our leadership structure”.

5.4.4.2 Effectiveness of diversity

There is agreement among the research participants that the university is in the main, getting diversity right. Except for disabled employees, the distribution of employees is representative of the community it serves, according to the goals set for diversity. What is of serious concern though, is the effectiveness of hearing and employing all these diverse voices.

Participant [P2] argued this very point and also explained that leadership needs to balance the need for diversity with dynamic changing conditions: “Whether we effectively optimise the diverse voices remains the challenge. Because I think that whilst the diverse perspectives are there, the issues of equity and redress and justice, etcetera, would be one set of factors. We live in a complex environment where a

rapidly changing environment, highly competitive [environment] also impacts. And that we often unable to balance the tension between those, and so you might have decision making and values, sometimes in conflict and sometimes not. So, from that perspective I think we value diversity, but we undervalue the effectiveness of it, because it's not always entirely in tune with keep pace with the required changes”.

Participant [P4] echoed the previous participant’s sentiments and provided an example to illustrate the difficulty of implementing diversity effectively: “We might have a diverse university, but are we really tapping into the, are we hearing all these voices, and using it to our benefit? No. And [I will] give you an example. So, we are prescribed as to how many females we need to have in our research ethics committee. This is the first day in four years we will be meeting those targets. I had to walk around to staff members convincing them to serve. So even though management might be willing, staff was not always willing. So, we have the diversity, but getting them to be active, and using them when they want to be active. It's not happening optimally.”

Research participant [P21] reinforces the same message that the university does not benefit optimally from diversity. He cites an example where the status quo undermines the potential benefits from employing diversity: “And I mean if you look at our demographics. We've always been a lot more diverse than many of the other institutions in the country. But I think that's different to, do we use that diversity effectively, and I don't think we do that very well. And so, we tend to have the same people sitting on committees the same people making decisions. And so, we're not actively looking for the different perspectives in the conversation. And so, you, I think that you are in danger of sitting in this filter bubble, where because these are the people that you've always met with, they continue to be the people that you meet with, rather than saying, how do we disrupt this group, this committee, how do we bring in new voices. And so, you will find that sitting in on committees, those committees’ conversations, often sound the same. How do we actively go out and find people whose perspectives are different and intentionally find difference? We don't do that very well at all. We, we pick the people who look most like us, not look avidly, an academic look and speaks a certain way”.

5.4.4.3 Execution

One research participant highlighted the difficulty to execute diversity.

Participant [P12] provided some evidence to demonstrate the difficulty of implementing diversity effectively. He said, “I think that if you are a white executive, you will be questioned far less than when you’re a black executive. I think those stereotypes, often play in the way people engage you. I think they definitely impact. Now, I also find that they often have to work so much harder (compared to white peers).” He continued to discuss accountability and the potential caveat it holds if leadership insist on taking a firm stance against non-performance: “But I think in terms of [the university], I think the overriding institutional culture is not one of accountability. And so therefore any action on your part that pushes towards a system of accountability and governance will it be interpreted using any of these for [racism, etcetera]?”

5.5 Additional themes

5.5.1 Introduction

Question 19: “*Do you have any other suggestions on contemporary leadership behaviour that can inspire and improve high performance under VUCA conditions in the modern university?*”, represents the last question in the semi-structured questionnaire, and seeks to compare and contrast the leadership characteristics described in literature with what employees in leadership positions experience at a higher education institution facing VUCA conditions. The intention with this question is to test the research participants points of view to potentially extend the present study’s *a priori*, theoretically deducted and, or the empirically derived, codes, themes and categories, framework. These suggestions could potentially serve as an agenda to expand the present study for future research.

5.5.2 Proposed themes

The research participants raised a number of proposed new leadership themes. These are discussed below.

5.5.2.1 Meta skillset

Participant [P2] suggests leaders should possess a core set of meta skills, the right mix of compassion, courage, the necessary skills and competencies, curiosity, being

open to new ideas, with enough resilience, and the ability to take hard decisions, to lead the institution effectively. P2 elaborates: “Meta skills that's almost like Meta data that it's there, it is in the repository, it is a toolbox. And that from that set of skills, you don't display all of it on a particular day, that successful leaders are those leaders, actually always take the big picture and draw the skills to take us to the right direction under VUCA conditions.” He concludes by arguing that a particular institution would need to derive the best mix of meta skills for their specific context. And to find the balance, drawing on those skills almost as if it was Meta data. Participant [P9] supports the previous speaker's suggestions, with her own interpretation of a: “...*composite of multiple skills or competencies*”.

In comparison with literature, Muukkonen and Lakkala (2009) propose that the development of meta skills is an important goal to support knowledge-creating inquiry in Higher Education. Their research support meta skills including the ability to deal with confusion, epistemic involvement, commitment and the iterative nature of knowledge advancement. They suggest interventions to develop meta skills by exposing students to areas beyond their expertise, uncertainty, and to experiment with self-directed collaborative inquiry. Likewise, in a study by Newmeier (2012), she postulates that the education system is failing. Instead of developing innovative skills to create novice solutions, it encourages memorising, copying, to keep score and obey. She pleads for transforming education to develop meta skills, feeling, seeing, dreaming, making, and learning.

In conclusion, there is merit to consider the development of meta skills in the context of leader effectiveness under VUCA conditions.

5.5.2.2 The entrepreneurial university

According to participant [P5], the contemporary university requires a new mindset to embrace the entrepreneurial dimension. She links this phenomenon with the institution's organisational culture, and the need for change. She reasons: “But if we are to be a modern University, then we need to be entrepreneurial across the entire DNA of the university, that speaks to policies and procedures, that speaks to relevant strategy, that speaks to (the) people management component, it speaks to internationalisation, it speaks to research inputs and outputs. A holistic kind of it speaks to a non-traditional teaching and learning, it deals with the entire DNA of the

university". She cautions against a general attitude where most people had some negative experience, believing this change is not possible. She does however explain that for the entrepreneurial university to succeed, the correct measures and evaluation need to be in place, accountability, consequence management and performance management. Participant [P22] shares a similar point of view calling for less risk aversion, to experiment more, and even consider radical changes.

Bezanilla *et al.*, (2020) argue that universities are progressively focussing on the development of academic entrepreneurship. They investigated 13 influential factors at a number of universities in Spain. Key outcomes advancing the entrepreneurial approach in universities highlighted the impact of the university's mission, policies and procedures, strategy, support from the leadership team, organisational design, training and research. Pugh *et al.*, (2018) similarly accentuated the important role the entrepreneurial university need to play in modern society. The researched the impact of academic entrepreneurship departments to drive regional economic development. Evaluating the outcomes of two case studies illustrated the positive and significant impact on regional economic development.

Depending on the unique context of universities and their strategic intent, the entrepreneurial university offers opportunity to impact university's entrepreneurial agendas positively and as a consequence leader effectiveness.

5.5.2.3 Investing in transformative learning for leadership capabilities

Participant [P8] is asking hard questions regarding the institution's efforts to invest in leader capabilities. She calls for transformative learning, as the vehicle to develop and grow leaders. Her perspective is that the university has stagnated, and are mostly using the same training vendors from 20 years ago. She suggests to even consider international training suppliers, to underscore globalisation and to really stretch current leadership out of their current comfort zones. Especially under VUCA conditions, she believes transformational approaches to build contemporary leadership capabilities is crucial. There is further support from participant [P4] arguing for professional leader development as an imperative to improve leader effectiveness. he specifically raises concerns to upskill current leaders with contemporary leadership acumen, an imperative to navigate under VUCA conditions.

In comparison to the proposed transformative learning for leader capabilities in the present study, Bradley, Grice and Paulsen (2017) reason that universities generally still favour technical achievements within individual's academic disciplines as a benchmark for leadership. Consequently, academics are promoted into strategic and operational leadership positions based on their performance as an academic, i.e., research and teaching outcomes. A void exists since the assessment of interpersonal skills, operational and strategic competence does not feature. They furthermore suggest a keen focus on leader development to build capacity for future competent leaders. Balsiger *et al.*, (2017) similarly calls for action to transform education by promoting innovation towards sustainable development.

As a closing statement there is no question whether leader development should be a priority to advance leader effectiveness. The present study and literature clearly amplify the necessity to invest heavily into human capital, to inspire leader effectiveness as a cornerstone for sustainable Higher Education.

5.5.2.4 A monitoring and evaluation process for leadership accountability

Participant [P11] expresses the view that leaders should be accountable and proposes the implementation of a monitoring and evaluation process: "The bottom line is, and I'm not sure who's responsibility it is, we need a monitoring and evaluation process around leadership. That is how clinical we need to get, to hold people to account. Because just as we are based, we look at things from a performance-based perspective, why can't leaders also be held accountable? Not just on the performance base in terms of outputs, but as a person, as what you have done on the softer things within the university, because you know what ultimately, it's the softer things that actually drive the outputs." She cites many of the softer people characteristics employed in the presents study, e.g., trust, empowerment, mindfulness, etc. and asks how is leadership being measured or assessed.

In comparison to the evidence provided by the present study, Smith and Benavot (2019) accentuate accountability as a cornerstone of modern education, highlighting results and educational outcomes as an imperative. They propose a structured democratic voice consisting of all relevant stakeholders to actively participate and set a benchmark for educational leaders to be accountable for outcomes. Likewise, Skedsmo and Huber (2019) submit that educational reform worldwide seeks to

address the concerns of policy makers regarding efficiency, equity and the performance of education systems. They furthermore suggest reform elements including monitoring and evaluation, and accountability to promote leader effectiveness.

As a closing remark, monitoring and evaluation to render leader accountability has strong merit. Benchmarking against best practise and a perpetual improvement of quality standards are essential to leader effectiveness.

5.5.2.5 Context of the sector

There is a call to consider leader effectiveness in a Higher Education (HE) context. Participant [P12] explains: “I think you need to understand the sector above all. The leadership styles and all of those are secondary. Yeah, I think. Secondly, I think the most important thing is you must understand what is modern higher education.” He continues to ask what are the contemporary issues in HE? VUCA is a given, but what is the specific context the institution is finding itself in? He elaborates: “Because without context, the leadership styles are meaningless.” He highlights the necessity to underscore context by discussing current and competing HE priorities, e.g., globalisation, capacitation, empowerment, social justice, and business efficiencies. He pleads for a sober assessment of the institutional context, to seek and derive at the change agenda that will dictate leadership skills to be effective.

In comparison to the call to consider the context of Higher Education by participant [P12], various global scholars explain their own contexts. Dudin and Shishalova (2019) investigate developmental trends of Higher Education in Russia and found that the Russian HE system has inadequate competitiveness in the global education market. Similarly, Akkari (2015) interrogates the Middle East and North Africa education systems, analysing specificities of countries in the region. He compares structures, characteristics, access, and impact to illuminate the similarities and differences between the various countries. In a similar fashion, Cloete (2020) has done some work within the context of the HE Research and Advocacy Network in Africa claiming wide agreement supported by research evidence that HE matters for development. Providing highly qualified graduates, knowledge workers, and creating relevant knowledge for economic growth and social development, investigating major

challenges confronting societies, and researching to explore innovative solutions to these challenges are critical outcomes.

To conclude, context matters, it determines priorities, the lens through which one views success and leader effectiveness. Within this realm of a university's unique context, all stakeholders influence the mission, vision, strategy, and operating goals. As a practical example, student access, student residences, university fees and the exemption of students from low-income families, access to devices and data (especially during lockdown under COVID-19 pandemic conditions), educational equity, and decolonisation, are considered as some of the prominent considerations.

5.5.2.6 Interconnectedness

The present study placed much emphasis on team, shared or distributed leadership, teamwork, collaboration, seeking consensus, etc. Participant [P22] takes the notion of HE in a networked world a step further. He coins it as follows: "...our leaders need to understand that their role is really changing to be orchestrators of networks. The traditional way in which we defined competence of people has always been skills, knowledge, attitude, which is fine. But he added to that definition, network: "...you need to have the skills, knowledge, attitude and the network. And leaders need to see themselves as network builders, rather than just be sort of competency builders." He concludes with the statement that leaders and institutions become stronger in relation to their network's strength.

In comparison to participant [P22] argument for leaders to build effective networks, Valencia and Cázares (2016) argue that globally governments are seeking to share information and knowledge, and build collaborative networks to exploit synergy between organisations, universities and institutions. Leal *et al.*, (2013) similarly argue for extensive networking between universities, with the aim to present their work, e.g., research, projects, and curriculum innovation, to share experiences capacitating best practise, explore methodology to integrate sustainable development in university curricula, and create a common platform to collaborate and cooperate.

To summarise, collaborative, diverse and inclusive networking has a profound impact on organisational and leader effectiveness.

5.6 CONCLUSION

An analysis of the frequency of each generic category, or sub-theme, across the four influential factors is represented in Table 5.4 to highlight that the sub-themes are unique to the respective influential factors, and underscores the fact that each influential factor functions independently from the others.

Table 5.4 Research sub-themes frequency count against the influential factors

INFUENTIAL FACTORS	Organisational culture	Role of women in leadership roles	Role of millennials in leadership roles	Diversity	TOTAL COUNT
RESEARCH SUB-THEME					1
<i>Culture & strategy</i>	X				1
<i>Effective strategy</i>	X				1
<i>Value women leaders add</i>		X			1
<i>Need for a gender balance</i>		X			1
<i>How to leverage millennials' contribution</i>			X		1
<i>Millennials' needs</i>			X		1
<i>Elements of diversity</i>				X	1
<i>Effectiveness of diversity</i>				X	1
<i>Execution</i>				X	1

A discussion of the research findings presented in this chapter, will be presented in Chapter 6. Chapter 7 will draw conclusions and present proposed recommendations.



Chapter 6: DISCUSSION OF THE RESULTS

"The pessimist complains about the wind. The optimist expects it to change. The leader adjusts the sails." - John Maxwell

6.1 Introduction

The previous two chapters presented the empirical research results with respect to leader characteristics and key factors influencing leader effectiveness respectively.

The current Chapter 6 addresses Research Objective 4:

RO4: To contrast and compare the leader characteristics and key influential factors for effective leadership found in literature, with those practised at a public university.

It discusses the frequency distribution analysis leadership characteristics to differentiate the relative importance of the various characteristics according to the perceptions of the participants in the study. A discussion of the leadership characteristics will differentiate between positive and negative research results, and the impact of the influential factors on leader effectiveness follows.

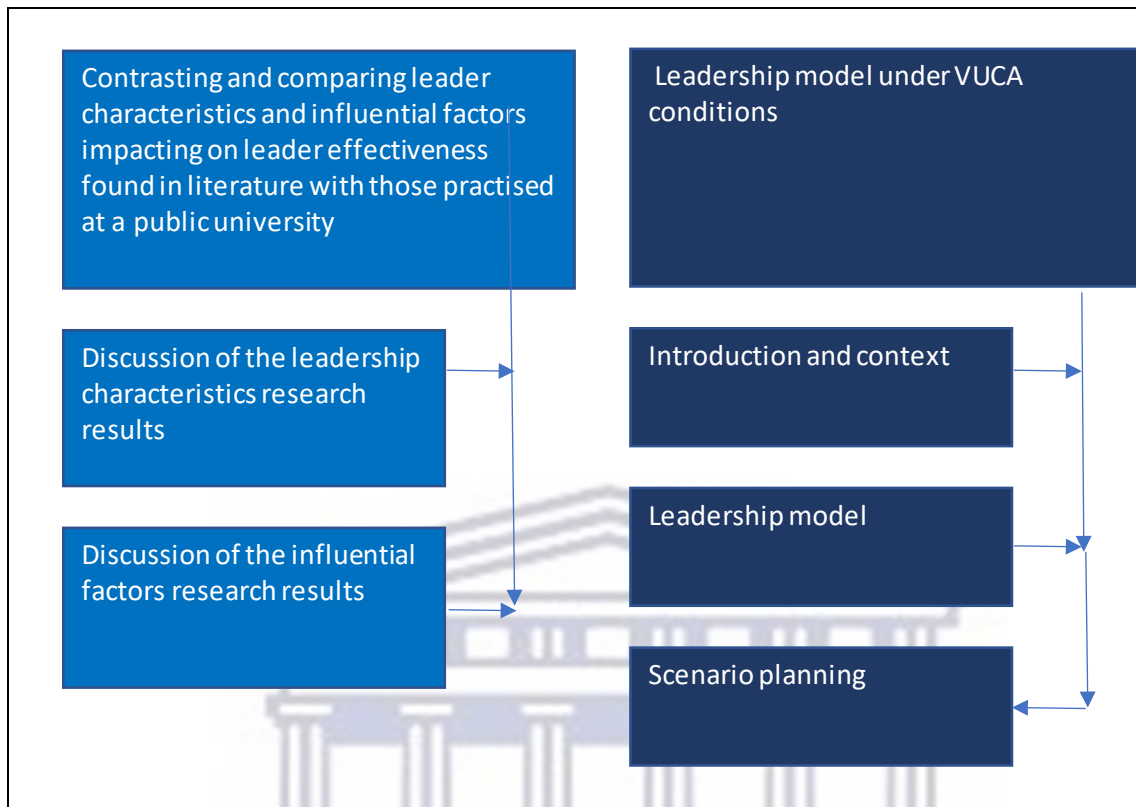
The chapter concludes by introducing a leadership model in fulfilment of Research Objective 5:

RO5: To present a model of characteristics and key factors influencing leader effectiveness under VUCA conditions.

The model is discussed by considering various potential scenarios demonstrating the criteria for leader effectiveness.

Figure 6.1 provides a summary for the contents of Chapter 6.

Figure 6.1: Summary of the main elements in Chapter 6



6.2 Comparison of empirical results and theoretical findings

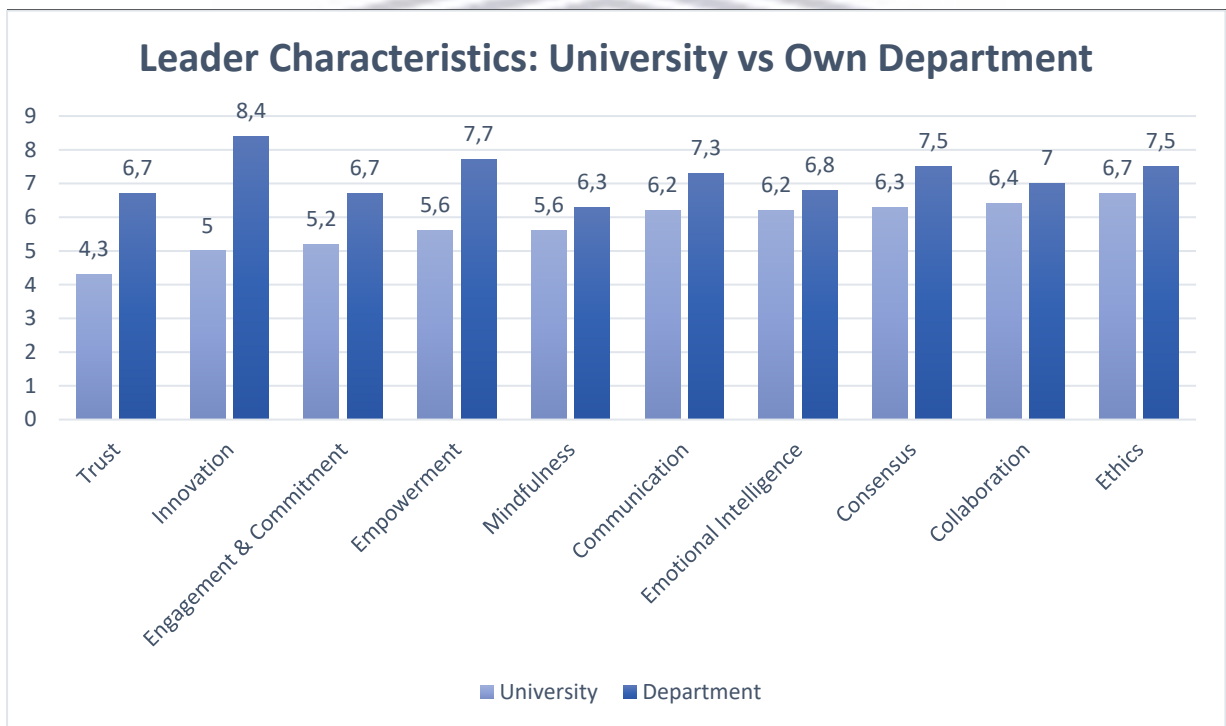
The investigation of leader effectiveness under VUCA conditions in the literature review underscored the understanding that traditional leadership theory is no longer useful in this context. Contemporary leadership theories were identified as most effective to support leaders working under VUCA conditions. Analysing these contemporary leadership theories highlighted prominent and frequently cited leader characteristics and influential factors impacting leader effectiveness under VUCA conditions.

The empirical study gauged the prominence of these themes among leaders in a HEI under VUCA conditions. A discussion of the frequency distribution of these leadership characteristics precedes a comparison of the empirical results with the theoretical findings.

6.2.1 Leadership characteristics results

During the interviews, the research participants rated the performance of their HEI leaders against the theoretical leadership characteristics on a Likert scale from 1 to 10, with 10 being high effectiveness. Chart 6.1 below provides a comparison between the effectiveness of department leaders and university leaders for all 11 leadership characteristics. This frequency distribution differentiates the research participants' perceived impact of the various themes on leader effectiveness.

Chart 6.1 Comparison of leadership characteristics within the university and own department



6.2.1.1 Empowerment

Chart 6.2 provides a comparison between the literature and empirical results for empowerment as a leadership characteristic.

Chart 6.2 Comparison of the empowerment theme in the literature and empirical results



One difference in the university empowerment compared to literature is the risk that university policy of “putting people first”, is being exploited. This policy has its origin in the historic development of the university, engaging with local communities and really

caring for students and empowering staff, especially those from historically disadvantaged communities. Unfortunately, some are taking advantage with abuse of sick leave, poor productivity, and poor work attendance. And although the university has prescribed disciplinary procedures, very little remedial action takes place in practice.

In contrast to the literature, the research participants identified bureaucracy as a key issue for the university's leadership. There are strong perceptions that even on very senior levels of management, leaders are not empowered to fulfil their tasks effectively. Participants mentioned "triple layers of approval", "decisions by committees", "micro bureaucratic management", and that "it pushes a person who's in a leadership role into a management role, because I'm constantly arguing, pulled down to operations ... those things affect one's functioning, it also affects my morale".

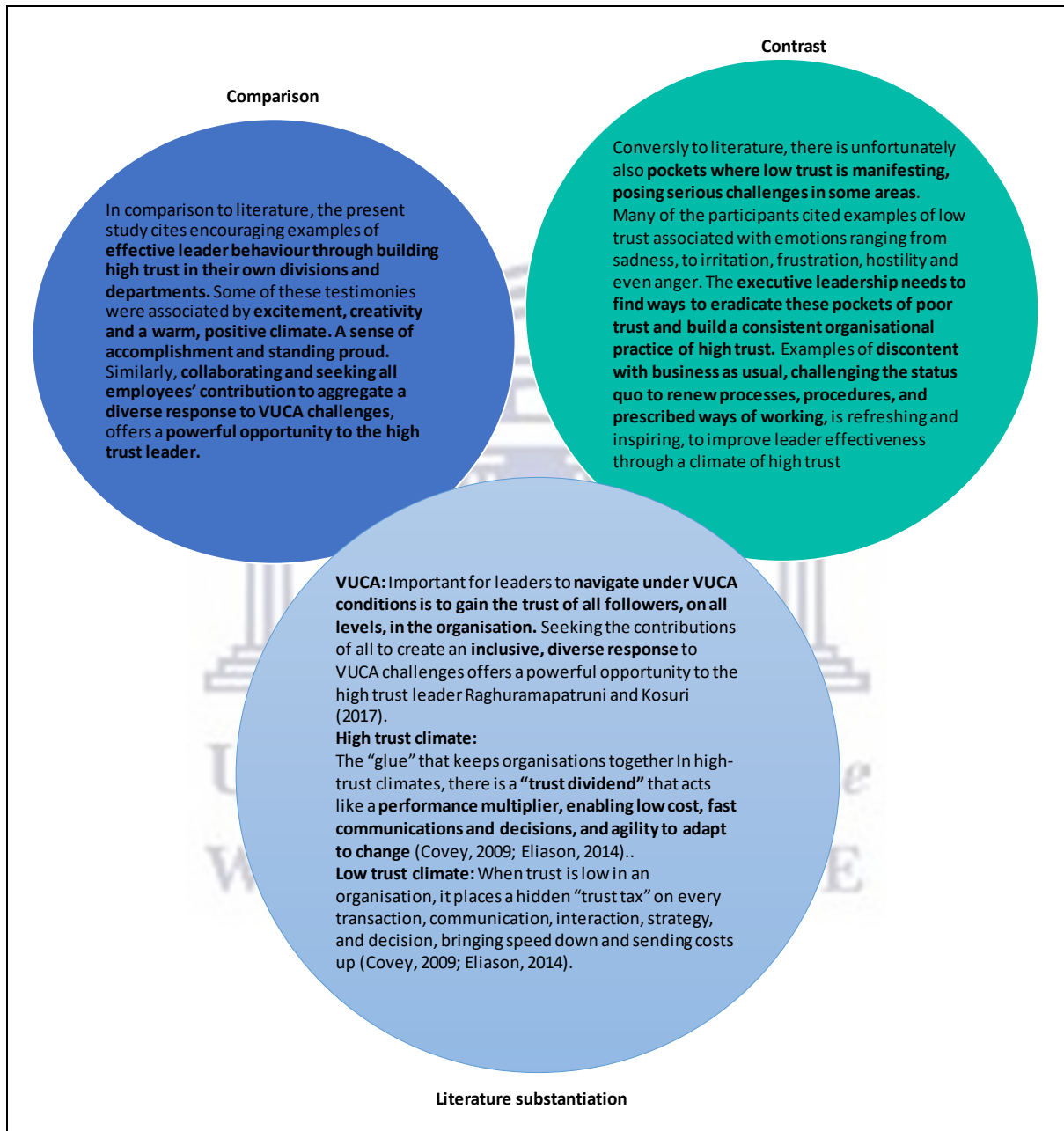
Another difference that the university's organisational culture is not rated highly by some of its leaders. They cited issues of being hamstrung by the bureaucracy, needing to give in to pressure to conform, too little autonomy, and the need for more open, transparent leadership. The research underscores the importance of a healthy organisational culture to induce and facilitate effective leadership through empowerment (Mosley & Patrick, 2011). Therefore, executive leadership needs to "walk-the-talk", and lead the way to ensure the university's culture enables leader effectiveness.

In contrast to the emphasis that the literature places on empowerment, the present study falls short in meeting empowerment expectations for effective leadership. This is reflected in Chart 6.1, which shows participants' assessment of weak leader empowerment manifesting across the university.

6.2.1.2 Trust

Chart 6.3 provides a comparison of the literature and empirical results for trust as a leadership characteristic.

Chart 6.3 Comparison of the trust theme in the literature and empirical results



A deeper examination of trust in VUCA conditions underscores employees' perceptions that trust or distrust are the result of how leaders treat and direct followers, and ultimately establishes organisational culture over time (Mosley & Patrick, 2011). Mosley and Patrick argue that trust manifests as an individual's expectations,

assumptions, or beliefs about the likelihood that another's future actions will be beneficial, favourable, or at least not detrimental to one's interests. In contrast to the literature, the present study provides evidence that the current organisational culture is mostly perceived negatively by leaders, and cited evidence of distrust and a lack of transparency. To exacerbate matters, participants discussed low-trust events, experiences, or characteristics, and highlighted examples of leadership undermining success and engaging in unhealthy competition. Undesirable leadership behaviour includes professional jealousy impacting negatively on student performance, leaders not keeping promises, and the polarisation between the administration and academic organisational structures. Similarly, bureaucracy has a profoundly negative impact on how trust as a leadership characteristic is being experienced by leaders. Ineffective systems and processes result in laborious, slow, and voluminous administration. There is an outcry for improved efficiency by modernising the university's standard operating procedures and adopting new enabling technology.

In contrast to the trust requirements for leader effectiveness under VUCA conditions, Raghuramapatruni and Kosuri (2017) argue that VUCA offers an opportunity for leader development and greater collaboration through networking. The literature unequivocally accentuates trust as an imperative for leader effectiveness. Comparing this expectation with the actual outcome of participants' perceptions of low trust – the lowest rated characteristic at 4,3 – presents a profound conundrum that leadership is not effective. This highlights the need for the university to improve trust as a priority.

6.2.1.3 Level of engagement and commitment

Chart 6.4 provides a comparison of the literature and empirical results for engagement and commitment as a leadership characteristic.

Chart 6.4 Comparison of the level of engagement and commitment theme in the literature and empirical results



The findings indicate serious concerns about employees' low level of engagement and commitment. According to Rus & Sandu (2020) quality, capable, committed human resources combat the adversarial challenges posed by the dynamic and turbulent VUCA conditions. Rus and Sandu also suggest organisations should support and motivate employees, to experience a safe and comfortable work environment preventing performance deterioration. Within a university setting, frequent, in-person communication interventions, where the executive and senior management meet with staff on all levels in a face-to-face modality, will stimulate two-way communication, transparency, and trust. Employees could experience feelings of respect, being valued and cared for. This emotional experience could further lead to a reciprocal process where employees offer their best ideas, work and contribute to the goals for their own department.

Muller (2017) argues for Ubuntu and servant leadership to positively and significantly impact on employee engagement in South Africa. Semedo *et al.*, (2016) also found that employee attitudes like effective job commitment and resourcefulness, impact positively on employee behaviour like creativity and performance.

Compared with the ideals found in literature, the participants' perceptions of leaders' level of engagement and commitment is significantly lacking. This is supported by Chart 6.1, which shows this leader characteristic as the third lowest of all the assessments at 5,2, supporting the premise that the level of engagement and commitment should be treated as a priority.

6.2.1.4 Teamwork

Chart 6.5 provides a comparison of the literature and empirical results for teamwork as a leadership characteristic.

Chart 6.5 Comparison of the teamwork theme in the literature and empirical results



Evaluating the theoretical propositions against the empirical results underlines teamwork as a high priority. Chart 6.1 shows university-level teamwork at a relative low score of 5,0. Especially under VUCA conditions, teamwork opportunities should

be created and embraced to enhance the collective, inclusive, collaborative leadership approach.



6.2.1.5 Innovation and creative problem-solving

Chart 6.6 provides a comparison of the literature and empirical results for innovation as a leadership characteristic.

Chart 6.6 Comparison of the innovation theme in the literature and empirical results



Innovation provides a profound opportunity to manage the demands of a VUCA environment. Taking calculated and well-informed risks, perpetual experimentation, continuous learning, seeking novel and fresh solutions to problems, and a relentless

appetite to think out-of-the-box, provide latitude to understand and manage VUCA demands. Chart 6.1 shows that leaders perceive their own departments in a much more favourable light (8,4) than the university (6,3) when it comes to innovation. They attribute this differential to their own individual innovative contributions.



6.2.1.6 Communication

Chart 6.7 provides a comparison of the literature and empirical results for communication as a leadership characteristic.

Chart 6.7 Comparison of the communication theme in the literature and empirical results



Executive and senior leaders need to prioritise the communications agenda, and create the required structures and processes to support these efforts. Frequent,

timeous, information-rich communication are critical components to ensure effective communication, especially under VUCA conditions.

Leader effectiveness is profoundly impacted by sound communications, as the participants indicated. In comparison to literature, the empirical results underscore the recognition and appreciation for university-wide initiatives to improve communication, as highlighted by significant efficiency improvements. Chart 6.1 substantiates this premise with a moderate university-wide score of 6,2.



6.2.1.7 Ethics

Chart 6.8 provides a comparison of the literature and empirical results for ethics as a leadership characteristic.

Chart 6.8 Comparison of the ethics theme in the literature and empirical results



Chart 6.1 shows a score of 6,7 for university-wide ethics. From the participants' responses, the university is generally compliant with the ethical ideals described in

theory. A few areas require the executive and senior leaders' attention: prioritise an intervention to improve the university community's understanding of ethics, eradicate confidentiality breaches, and support sound ethical practices with a special focus on creating a moral compass for students. Building towards a zero-tolerance for fraud or non-compliance to ethics could have a profound impact on the future success of the university.



6.2.1.8 Emotional intelligence

Chart 6.9 provides a comparison and contrast between literature and critical empirical outcomes for emotional intelligence (EI) as a leader characteristic.

Chart 6.9 Comparison of the emotional intelligence theme in the literature and empirical results



Participants score EI relatively high at 6,2 for the university-wide leadership. Comparing theory with the present study's results reveals the interesting dynamic that although leaders understand and value EI, there is a lack of execution. Under VUCA conditions, this scenario does not bode well and impacts negatively on leader effectiveness. Under dynamic VUCA conditions, leaders should exploit EI by seeking to understand interconnectedness in a complex and networked Higher Education system.



6.2.1.9 Collaboration

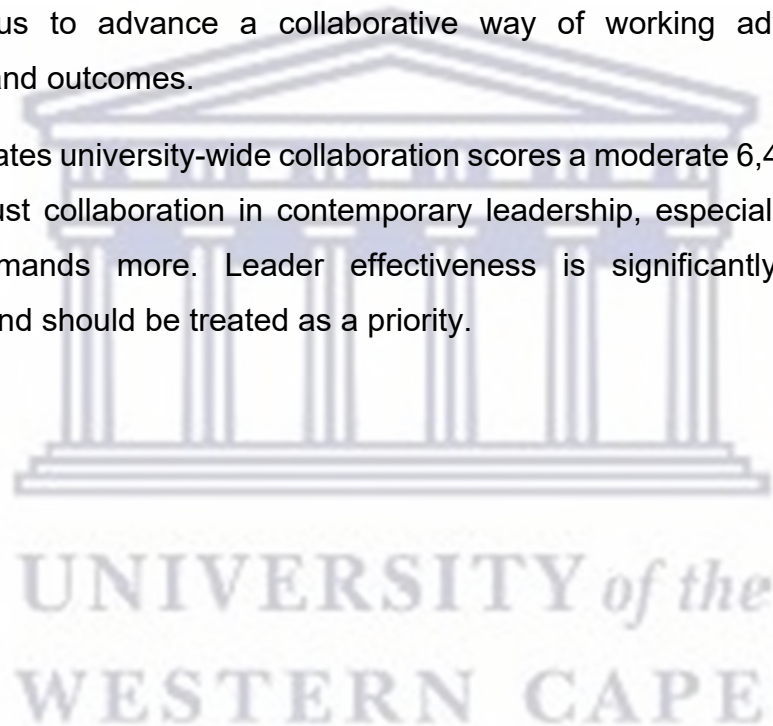
Chart 6.10 provides a comparison of the literature and empirical results for collaboration as a leadership characteristic.

Chart 6.10 Comparison of the collaboration theme in the literature and empirical results



Comparing literature with the empirical results highlights the perception that the executive and senior leaders have good, sincere intentions. They fully recognise the value of collaboration, and to an even higher degree where VUCA conditions manifest. However, they struggle with execution. Underutilising social capital results in missed collaborative opportunities. Maybe most importantly, leaders need to actively create a collaborative climate, lead from the front by replacing out-of-date work methods with contemporary, novel, innovative, and collaborative processes and systems. Leaders should strive to take an integrated approach, and Chart 7.10 refers to this as a collaborative eco-system, where all stakeholders are actively participating in inclusive value creation. Cross functional and multi-disciplinary projects could provide much needed impetus to advance a collaborative way of working advancing leader effectiveness and outcomes.

Chart 6.1 indicates university-wide collaboration scores a moderate 6,4. The necessity for strong robust collaboration in contemporary leadership, especially under VUCA conditions demands more. Leader effectiveness is significantly impacted by collaboration and should be treated as a priority.



6.2.1.10 Consensus seeking skills

Chart 6.11 provides a comparison of the literature and empirical results for consensus as a leadership characteristic.

Chart 6.11 Comparison of the consensus seeking theme in the literature and empirical results



Interrogating the challenges participants expressed offers a deeper understanding of how literature compares and contrast with the present study's evidence. Participants' perceptions support consensus as a leadership characteristic, empowering leaders to

find common ground, achieving more engagement and commitment from all stakeholders towards a shared goal. The executive and senior leaders have an opportunity to improve consensus as a leader characteristic. By modelling contemporary leadership styles like servant, authentic, transformational, and team leadership, they can demonstrate good values, including modesty, and eradicate egos getting in the way of creating a culture of consensus.

Chart 6.1 shows participants rate the university-wide consensus a moderate 6,3. Leaders should prioritise consensus as it is becoming increasingly important to sustain leader effectiveness in the future.



6.2.1.11 Mindfulness

Chart 6.12 provides a comparison of the literature and empirical results for mindfulness as a leader characteristic.

Chart 6.12 Comparison of the mindfulness theme in the literature and empirical results



Mindfulness is perceived as an underutilised contemporary skill, showing high promise, and offers leaders opportunity to develop new expertise. Especially under dynamic VUCA conditions, leadership should explore ways to strengthen their

repertoire of abilities to lead effectively. Chart 6.1 support this synopsis with relatively low scores of 5,6 and 6,3 for the university and department scores, respectively.

6.2.2 Influential factors

6.2.2.1 Organisational culture

Chart 6.13 provides a comparison of the literature and empirical results for organisational culture as a factor impacting leader effectiveness.



Chart 6.13 Comparison of the organisational culture theme in the literature and empirical results



Contrasting theory with the empirical findings amplifies the challenges posed by the current organisational culture. It is significant that, based on participants' feedback, organisational culture impacts on all levels of leadership. It demonstrates the fundamental principle that even skilled and experienced leaders' effectiveness is moderated by the prevailing organisational culture. An inhibiting organisational culture obliterates leader initiative, creativity and render the leader paralysed (Bernstein *et al.*, 2014). To enhance leader effectiveness, executive leaders should prioritise organisational culture as a critical intervention.



6.2.2.2 Role of women in leadership

Chart 6.14 provides a comparison of the literature and empirical results for the role of women in leadership positions as a factor impacting leader effectiveness.



Chart 6.14 Comparison of the role of women theme in the literature and empirical results



There is a strong perception among the research participants that the university is on the right track with women appointed broadly throughout the organisational structure,

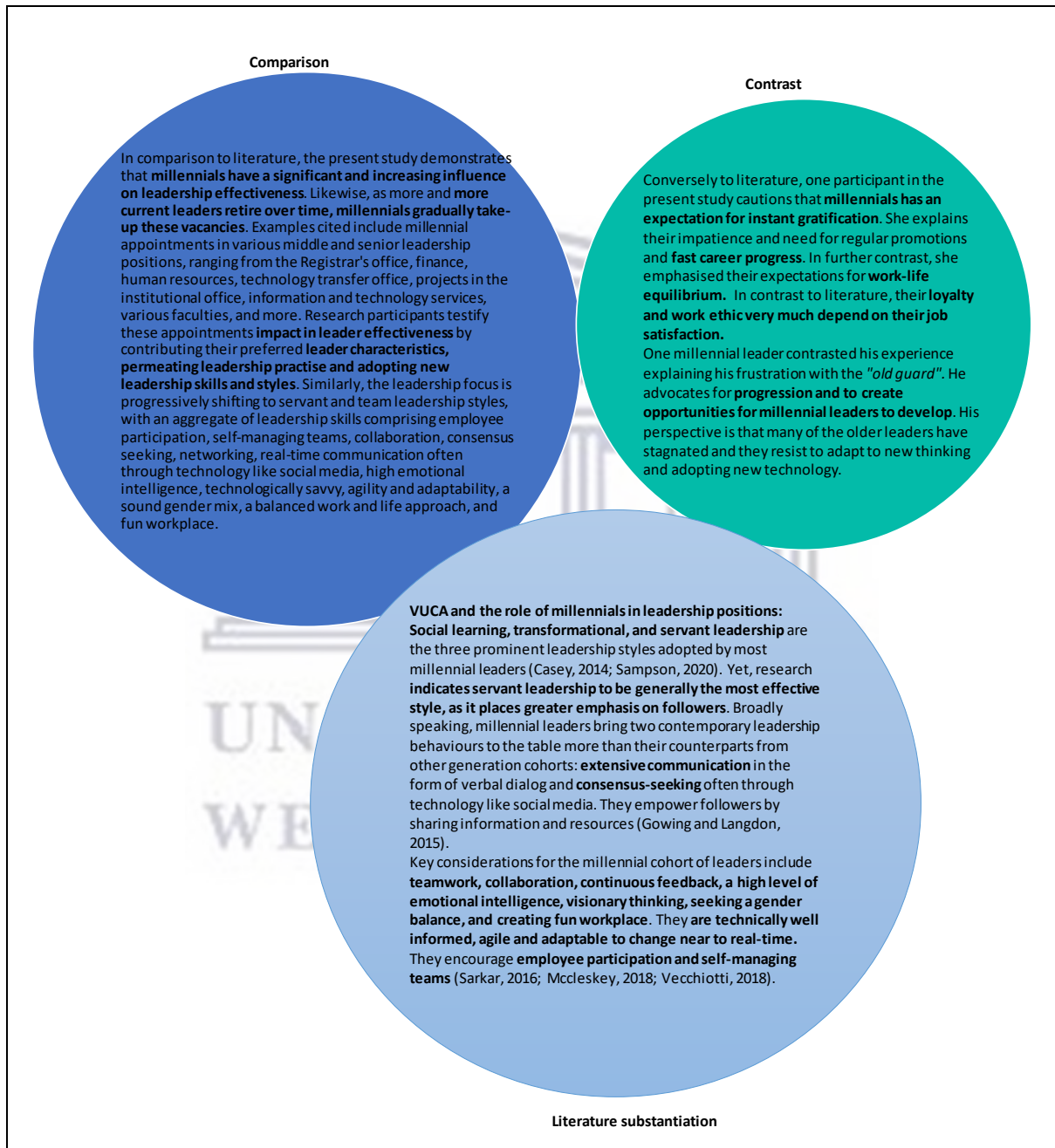
especially in executive and senior leadership. This strategy is supported by Kemp, Madsen & Davis (2015) and Vecchiotti (2018), postulating that in general, women add an additional dimension of softer skills and a more people focussed organisational culture. In contrast though, some participants advocated for a better gender balance citing examples for the benefits of gender diversity.



6.2.2.3 Role of millennials in leadership

Chart 6.15 provides a comparison of the literature and empirical results for the role of millennials in leadership positions as a factor impacting leader effectiveness.

Chart 6.15 Comparison of the role of millennial theme in the literature and empirical results



Comparing and contrasting literature with empirical evidence from the present study highlights the opportunity for the executive and senior leaders to engage and actively prepare for another new normal to come. Progressively, millennial leaders will impact

on the university, the challenge is to embrace the value they add and to influence their contribution through active leader development and mentorship. Under VUCA conditions, millennials have an important role to play in enabling leader effectiveness.

6.2.2.4 Diversity

Chart 6.16 provides a comparison of the literature and empirical results for diversity as a factor impacting leader effectiveness.

Chart 6.16 Comparison of the diversity theme in the literature and empirical results



Contrasting theory with the empirical results shows the university's accomplishments with achieving diversity appointments in terms of race and gender throughout the university. The concern expressed by the participants is that many of these appointees are not effectively contributing to the university and making their voices heard. Active participation in all structures and processes for the university is pivotal. Only when the aggregate of different, diverse voices is effectively heard and employed, will diversity enhance effective leadership.

6.3 Model of effective leadership under VUCA conditions

6.3.1 Introduction

In Chapter 2, contemporary leadership theories under VUCA conditions were identified and discussed as transformational or charismatic, authentic or values-based, servant, adaptive, and team or shared or distributed leadership. Investigating these five theories in Chapter 5 suggested 11 characteristics impacting leadership effectiveness under VUCA conditions, i.e., empowerment, trust, level of engagement and commitment, teamwork, innovation and creativity, communication, ethical behaviour, emotional intelligence, collaboration, consensus seeking skills and mindfulness. The contemporary leadership theories furthermore suggested four influential factors in Chapter 6, impacting leader effectiveness, being organisational culture, the role of women in leadership, the role of millennials in leadership and diversity.

6.3.2 Leadership model

Figure 6.2 proposes a leadership model under VUCA conditions. The model employs an AND-gate, collating the impact of 11 leadership characteristics to deliver an aggregated output for effective leadership output under VUCA conditions. This output is then passed through a series of four band-pass filters, influencing the output to a final "moderated leadership output".

The model suggests that leaders possessing the 11 leadership characteristics, are more able to lead effectively under VUCA conditions. Notwithstanding the aforementioned premise, the model also suggests that the four influential factors, could either have an enabling/supportive effect, or a disabling/non-supportive effect.

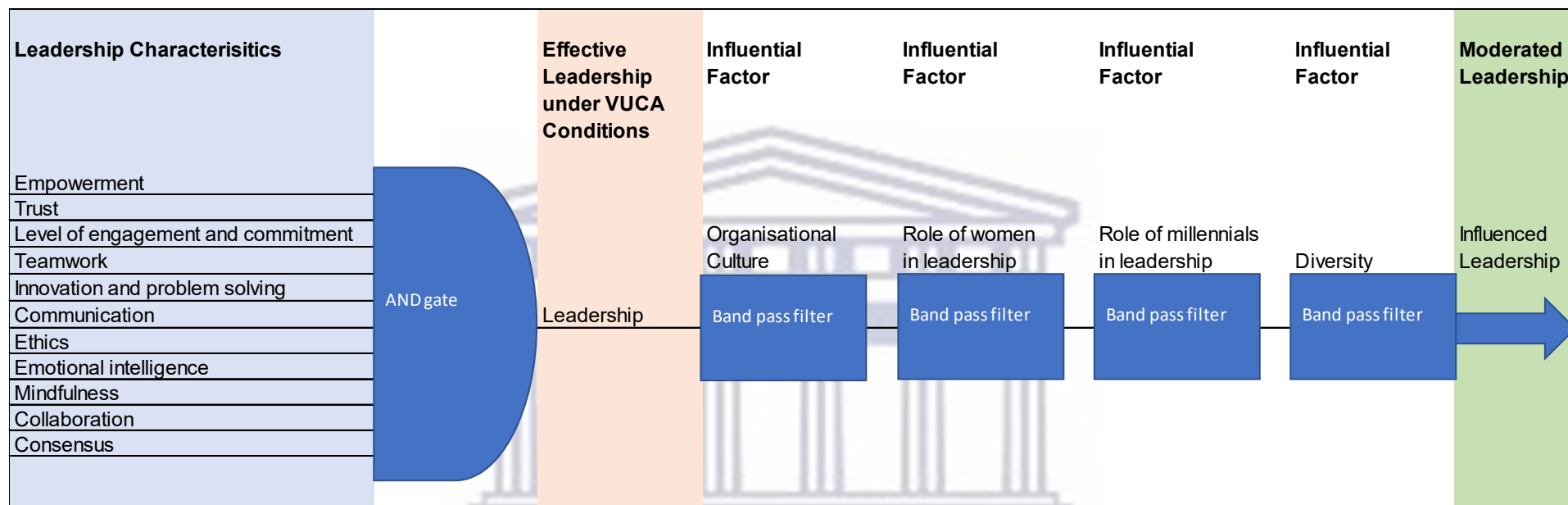
To consider a practical example, an upskilled, knowledgeable and experienced contemporary leader could potentially be influenced by the organisational culture in her place of work. In the event where the organisational culture is productive, dynamic and positive, the leader could be positively influenced, be effective and perform well. The opposite is true if the organisational culture is negative and disabling, the leader's efforts could be negatively influenced, rendered paralysed and ineffective, delivering a poor organisational result.

A second example could be exploring the potential effect of inclusivity and diversity on effective leadership. Once again, the knowledgeable and experienced leader could benefit from an organisational structure and composition, where diversity is strongly represented and many different voices, opinions and contributions are being heard and acted upon. In this example, diversity has a positive contribution and strengthen the leader's efforts to deliver efficacious organisational outputs. On the contrary, where the organisation is under-represented and weak with respect to diversity, the knowledgeable and experienced leader could be disadvantaged missing the opportunity that inclusivity and diversity contribute. Especially under VUCA conditions, not having access to diverse suggestions, innovation and contributions, the leader's effectiveness could be negatively impacted and the end result delivering less optimal organisational results.

The logo of the University of the Western Cape, featuring a stylized building facade with columns and a pediment, with the text "UNIVERSITY of the WESTERN CAPE" below it.

UNIVERSITY *of the*
WESTERN CAPE

Figure 6.2 Leadership model under VUCA conditions



UNIVERSITY of the
WESTERN CAPE

6.3.3 Scenario planning

It is clear that many of the leader characteristics and influential factors enabling effective leadership are lacking within the HEI. If the university's leaders are to manage their VUCA environment more effectively, actions must be taken to improve these conditions. Universities have an opportunity to upskill leaders with the proposed leadership characteristics on one hand and another opportunity to create a more conducive environment in terms of the proposed influential factors. Figure 6.3 shows potential scenarios demonstrating the greater the surface overlap, the more the organisation supports and enables leader effectiveness.

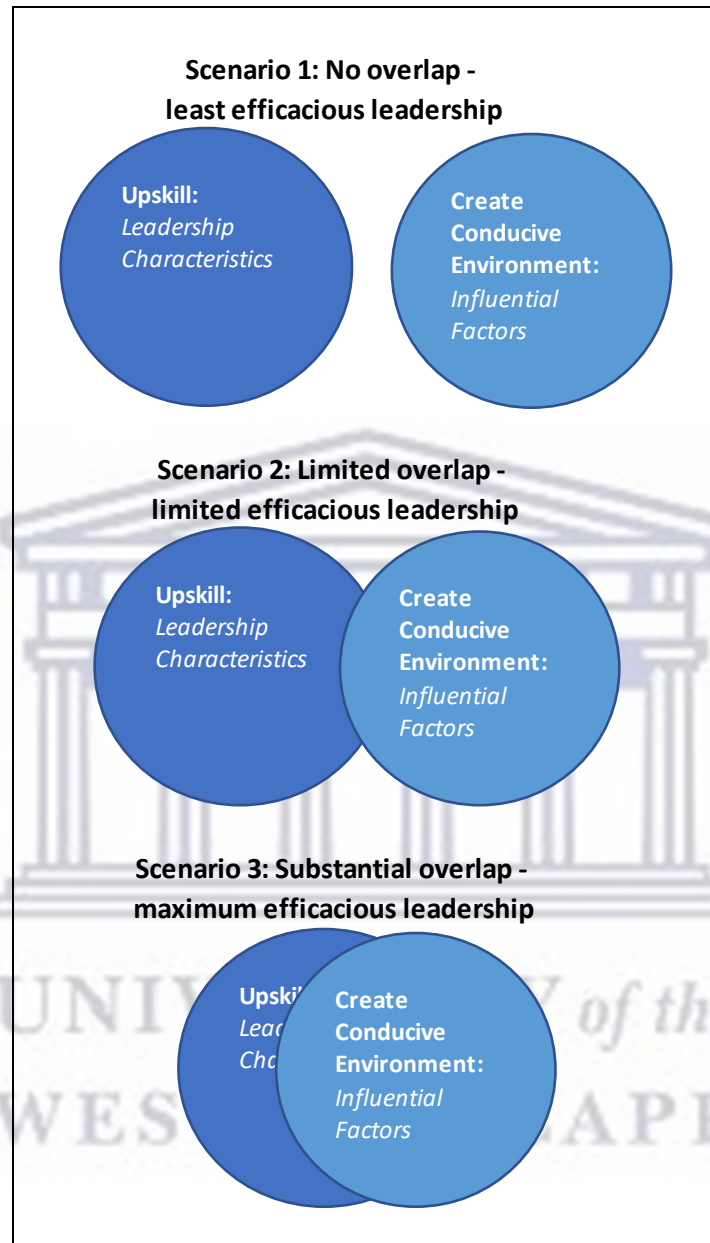
Under the first scenario, there is no surface overlap, representing the least effective scenario. Even if leaders are upskilled, competent, and experienced, but the environment does not support leader efforts, it undermines and render leaders paralysed.

Under the second scenario, there is moderate surface overlap for improving leader effectiveness to some extent. This scenario will enable limited leader effectiveness and is not the ideal situation.

The third scenario provides substantial surface overlap, enabling leader effectiveness. Due to restricted resources, there are pragmatic considerations and limitations to the maximum extent of surface overlap possible, but under the third scenario, organisations optimise leader effectiveness. Under these conditions, leaders are well versed with the characteristics to be effective and the environment is conducive, moderating leader efforts positively towards effectiveness.

The empirical results of the present study strongly supported the notion that a combination of leader characteristics and influential factors are required to advance leader effectiveness. Maximising leader effectiveness by adopting the leadership model has informed the study's recommendations in the next chapter.

Figure 6.3: Scenarios of organisational investment in leader upskilling and environment improvement



6.4 Summary

Discussing the empirical results of the presents study was supported by a leadership characteristic frequency distribution analysis. Contrasting and comparing the leader characteristics and influential factors empirical outcomes, with theory, underscored a corroborative approach to support the trustworthiness of the research data. Lastly, an analysis of additional proposed new research themes suggested by the present

study's participants followed. These themes could potentially serve to initiate further research in the future.

Chapter 7 presents the conclusions and recommendations based on this discussion.



Chapter 7: CONCLUSIONS AND RECOMMENDATIONS

“Success is not final; failure is not fatal: it is the courage to continue that counts.” - Winston S. Churchill

7.1 Introduction

This chapter commences with an overview of the study, followed by a presentation of the conclusions and recommendations. The chapter concludes with a discussion on the limitations of the study and recommendations for further research.

7.2 Overview of the study

Chapter 1 provided an introduction to the present study. Chapter 2 investigated literature to provide a VUCA framework and contemporary leadership theories. Chapter 3 explained the research methods employed in the study. Chapters 4 and 5 presented the literature and empirical results for the leader characteristics and the influential factors impacting leader effectiveness, respectively. Chapter 6 contrasted and compared literature with empirical results from the present study. The current Chapter 7 aims to answer the research questions.

To answer the present study’s research problem and the two research questions, six research objectives were identified, and are discussed in the conclusion section below.

Research Questions:

RQ1: What are the behaviours and characteristics of effective leaders within HEIs in a VUCA environment?

RQ2: Which factors influence effective leadership behaviours?

Research Objectives:

RO1: To determine and synthesise the characteristics required to be an effective leader under VUCA conditions.

RO2: To understand effective leadership characteristics of people in leadership positions in a public university.

RO3: To understand the key factors that influence leader effectiveness in a public university.

RO4: To contrast and compare the leader characteristics and key influential factors for effective leadership found in literature, with those practised at a public university.

RO5: To present a model of characteristics and key factors influencing leader effectiveness under VUCA conditions.

RO6: To compose relevant guidelines for effective leadership within a higher education institution within a VUCA environment.

7.3 Conclusions

7.3.1 Characteristics of effective leaders under VUCA

Research Objective 1: To determine and synthesise the characteristics required to be an effective leader under VUCA conditions, according to literature.

Research Objective 2: To understand effective leadership characteristics of people in leadership positions in a public university.

Investigating the traditional and contemporary theories of leadership, as well as the VUCA leadership literature, provided a foundation of behaviours and characteristics for effective leadership. Then, the study's empirical research sought to provide insights into how these characteristics are experienced at a HEI facing VUCA conditions, by interviewing leaders from a public university, which experiences VUCA conditions.

Literature Conclusions

Effective leadership under VUCA conditions requires counter strategies. Combating volatility requires agility as a counter strategy; uncertainty requires information; complexity requires restructuring; and ambiguity requires experimentation [Section 2.3]

Contemporary leadership styles impact leader effectiveness positively under VUCA conditions [Section 2.4.3 & 2.4.4].

Five contemporary leadership theories to support leader effectiveness under VUCA conditions have been identified: transformational (or charismatic), authentic (or values based), servant, adaptive, and team (or shared or distributed) [Section 2.4.3 & 2.4.4].

Specific leadership characteristics enable leader effectiveness under VUCA conditions [Section 4.2].

The 11 characteristics enabling leader effectiveness under VUCA conditions are: empowerment, trust, level of engagement and commitment, teamwork, innovation and problem solving, communication, ethics, emotional intelligence, collaboration, consensus-seeking, and mindfulness [Section 4.2].

Empirical Conclusions

Research participants rated the extent to which leadership characteristics were practised by the university as a whole, from 1 (very poor) to 10 (excellent). A frequency distribution analysis of their responses revealed that trust is the lowest (4,3), followed by innovation (5,0), engagement and commitment (5,2), empowerment and mindfulness both (5,6), communication and emotional intelligence both (6,2), consensus (6,3) and lastly collaboration, the highest (6,4). These ratings provide an agenda for executive and senior leadership to prioritise remedial action [Section 6.2.2 and Chart 6.1].

The participants consistently demonstrated self-rating bias. In rating their own department's performance against the leader characteristics, all participants they rated their own department leadership higher than the university-wide leadership. These leaders attribute this phenomenon to their and their team's unique contribution [Section 6.2.2 & Chart 6.1].

A frequency table analysis illuminated the relative importance of the various research sub-themes. Leadership impact appears seven times and could be considered the most important sub-theme. Organisational culture follows next with a count of six, and represents the second highest priority. Positive events, experiences, or characteristics are the third most frequent, appearing four times [Table 5.3].

7.3.2 Factors influencing leader effectiveness under VUCA

Research Objective 3: To understand the key factors that influence leader effectiveness in a public university.

An assessment of the five contemporary leadership theories most applicable to VUCA revealed four key factors that influence leader effectiveness under VUCA conditions [Section 5.2 and Table 5.1]. Furthermore, the study's empirical research sought to provide insights into supporting and non-supporting evidence compared to literature [Section 5.4]. The conclusions below differentiate between literature and empirical evidenced conclusions [Chapter 5]:

Literature conclusions

The four factors impacting leader effectiveness under VUCA conditions are: organisational culture, the role of women in leadership positions, the role of millennials in leadership positions, and diversity [Section 5.2].

These factors are by no means exhaustive [Section 5.2].

Empirical conclusions

A frequency table analysis illuminated the relative importance of the various sub-themes according to participants' perceptions. No sub-theme repeated itself in the frequency table. Therefore, no sub-themes differentiated itself in terms of importance [Table 5.3].

Organisational culture represents a priority with respect to its impact on leader effectiveness. The voluminous and seriousness of the evidence provided by the participants represents a common theme throughout the present study. The testimonies were emotionally loaded, ranging from disappointment, frustration, anger, and even aggression, indicating unequivocally the urgency to address this issue [Section 5.4].

Further empirical evidence supports the need to improve the positive impact of diversity, proactively engage and employ the millennial cohort, and sustain the positive impact of women in leadership positions [Section 5.4].

7.3.3 Comparison of theoretical and empirical practices

Research Objective 4: To contrast and compare the characteristics and key factors for effective leadership found in the literature, with those practiced at a public university.

Comparing and contrasting the literature findings with empirical evidence in Chapter 6 amplifies support or non-support for characteristics and influential factors that enable leader effectiveness, to arrive at the conclusions below.

Conclusions regarding leader characteristics [Section 6.2.2]

Empowerment: Bureaucracy is a problem. Challenges of excessive red tape, slow and tedious approval processes aggravate matters. VUCA demands dynamic, timely, decisive decision-making to advance leader effectiveness. When people are empowered, they feel valued, respected, and offer their best efforts. The contrary is true where employees are disempowered, their self-worth is affected negatively and they tend to deliver the bare minimum in terms of expected outcomes for the organisation.

Trust: There are pockets of low trust throughout the university. This is especially true between faculties, directorates and divisions. Trust is vital under VUCA conditions and creates a climate where leaders and their teams demonstrate commitment, agility, and

fast reaction to challenges. The opposite is true where there is a climate of low trust. People are cautious, consult widely, and respond only after much deliberation, mostly in writing – a slow, inflexible, and expensive response.

Commitment and engagement: Productivity is generally low with only pockets of high commitment and engagement throughout the university. Even executive management shared evidence of poor productivity, complacency, and ineffective leaders. Effective leaders seek high levels of commitment from employees to be creative, energised, and deliver exceptional results. The current status of generally low commitment and engagement is concerning and impacts negatively on organisational performance and leader effectiveness.

Teamwork: There is a silo mentality prevailing at the university, especially between faculties, directorates, and divisions. Within own departments teamwork fare relatively better. There is very little evidence of cross-functional and multi-disciplinary teamwork. Teamwork is especially critical for organisations to navigate under VUCA conditions. No individual leader possesses all the knowledge, skills, and competence to successfully sustain performance during turbulent times. Inclusive, collaborative teamwork, where diverse experiences and competencies complement one another, provides the impetus for powerful, innovative solutions to challenges.

Innovation: The university's innovation and creative problem-solving initiatives are lagging behind the preferred ideal. Pockets of innovation manifest mostly in the areas of commercialisation and projects. Notwithstanding scientific innovation, social innovation and change initiatives (e.g., UN SDG 2030 Agenda, RSA National Developmental Plan 2030) are underutilised opportunities where the university should demonstrate leadership. Experimentation and innovation are cornerstones to manage the demands of VUCA conditions. The Fourth Industrial Revolution, artificial intelligence, robotics, coding, big data, and social innovation are a few of the prominent drivers to inform the university's innovation agenda, enabling leader effectiveness.

Communication: The university established an improved communications department, employing specialists with media experience. This communications structure has delivered on both improved communication within the university community, as well as with the external media. On the contrary, communication overload, data rich and information poor, employing older communication channels, too little direct or face-to-face communication between the executive, and students and staff, and not communicating university community accomplishments strategically and intentionally, are some of the current communication challenges. These challenges are exacerbated under VUCA conditions.

Ethics: Ethics in the present study is mostly positive and encouraging, manifesting as good governance and compliance with policies and procedures. There are, however, some challenges (e.g., improving university reporting and transparency for statutory purposes, identifying and eradicating pockets of poor compliance, improving student throughput rates, improving the university community's understanding for ethics, with a special focus on creating a moral compass for students). Under VUCA conditions, a climate where ethics is valued, creates an environment where staff stay focussed and deliver on their work commitments.

Emotional intelligence: The executive and senior leaders are failing to connect with the university community on an emotional level. Defensive leadership behaviour and the non-visibility of senior and executive leaders were described. Furthermore, skills

with mismatch promoting high-performing academics into leadership positions where strong people skills are required, poses a challenge. Complacency and a lack of appetite regarding leaders' own development is of concern.

Collaboration: There are limited attempts to work in a cross-functional and multi-disciplinary way (e.g., the design of inter-faculty and internationally collaborated, shared degrees). On the contrary, a preference to work in silos and neglecting the opportunity to work in a cross-functional, or multi-disciplinary way as standard practice, undermine leadership effectiveness. The underutilisation of collaboration under VUCA conditions undermines leader effectiveness.

Consensus: The university has a proud historic record of engaging with stakeholders to understand different agendas and to encourage people around it. It is written into the DNA of the university. Yet, there is concern regarding the implementation and execution of effective consensus that it needs to go beyond structures and board, senate, and management meeting arrangements. There is an opportunity to hear multiple voices within a complex ecosystem, and to extend enabling structures and processes.

Mindfulness: There is a recognition and appreciation for the potential value of mindfulness to amplify leader effectiveness. In contrast though, the practical uptake to practise mindfulness is falling seriously short. Very few leaders actively practise mindfulness and it is being perceived as an underutilised contemporary skill, leaving an opportunity to develop new leader expertise. Under VUCA conditions, being grounded through mindful practices could prove to be useful.

Conclusions regarding influential factors [Section 6.2.3]

Organisational culture: Organisational culture has a profound impact on leader effectiveness. Change is too slow and manifests in negative emotions such as fear and resistance to change. Even executive and senior leaders experienced and testified to the negative impact the current organisational culture has on leader effectiveness. Pivotal is leaders' inability to execute strategy effectively, especially underestimating the impact of VUCA. The university's current philosophy of 'putting people first' by demonstrating respect and tolerance, is unfortunately being abused by many staff members. Complacency, poor work performance, abuse of university benefits like leave and sick leave, aggregate into a condition of no consequences for the aforementioned undesirable behaviours. Poorly implemented industrial relations and a system of performance development, as opposed to a performance management system, renders leaders ineffective. Emotional reactions of frustration and anger, leading to disempowerment, prevail in many departments throughout the university.

The role of women in leadership roles: The present study underscores the university's achievement with women broadly appointed throughout the university's leadership structures, including in executive and senior management. Likewise, the empirical evidence supports the notion that women fulfil a pivotal role to advance effective leadership. In general, women exhibit an inclination to nurture, care, and develop staff. Similarly, their soft skills counter confrontational egos and create a more tolerant and people-focussed organisational culture (Day, 2001; Vecchiotti, 2018). On

the contrary, caution should be taken to retain a gender balance, accentuating the value of gender diversity.

The role of millennials in leadership roles: Millennials impact leader effectiveness by contributing their preferred leader characteristics (e.g., teamwork, collaboration, continuous feedback, a high level of emotional intelligence, visionary thinking, creating a balanced gender blend, creating fun workplace, technically well informed, agile and adaptable to change near to real-time. They also encourage employee participation and self-managing teams (Sarkar, 2016; Vecchiotti, 2018), permeating leadership practice, and adopting new leadership skills and styles. There is even a distinct possibility that they will oppose and even reject some of the current leadership styles and practices in time to come. Millennials seek regular promotions and fast career progress. They also have an expectation for work-life equilibrium. Millennials' diverse contribution has a positive impact to counter negative VUCA challenges.

Diversity: Diversity is a critical enabler to facilitate effective leadership. Efficacious diversity goes way beyond the appointment of diverse human resources. It requires hearing and employing diverse perspectives, experiences, and knowledge. The concern is that the university is failing to utilise diversity effectively. In many cases, diverse voices do not speak and are therefore not being heard. Furthermore, executive and senior leaders are not successful at eliciting different perspectives, which is a wasted opportunity.

7.3.4 Leadership model

Research Objective 5: To present a model of characteristics and key factors influencing leader effectiveness under VUCA conditions.

The leadership model under VUCA conditions, introduced in Chapter 6, demonstrates two critical requirements for effective leadership. The first requirement alludes to the value a specific set of leader characteristics offers to accomplish leader effectiveness under VUCA conditions. The second requirement shows the potential impact of a set of influential factors, moderating leader effectiveness. The leadership model employs an AND-gate, collating the impact of 11 leadership characteristics to deliver an aggregated *effective leadership output under VUCA conditions*. This output is then passed through a series of four band-pass filters, influencing the output to a final *moderated leadership output* [Section 6.4, Figure 6.1]. Section 6.4, Figure 6.2 depicts various scenarios under different margins of overlap in a Venn diagram. The more organisations invest to upskill leaders and create conducive environments for effective leadership, the better the leader outcomes. The following conclusions are relevant [Chapter 6]:

Conclusions

Skilled and experienced leaders do not necessarily translate into effective leadership. In addition, creating a conducive environment is imperative to enable the skilled and experienced leaders to be effective [Section 6.3 and Figure 6.1].

The extent to which leaders are upskilled with leader characteristics under VUCA conditions and exposed to a conducive environment through positive influential factors, determine the level of leader effectiveness [Section 6.4 and Figure 6.2].

7.3.5 Guidelines for HEIs in VUCA

Research Objective 6: To compose relevant guidelines for effective leadership within a higher education institution within a VUCA environment.

The guidelines for improving leader effectiveness in an HEI under VUCA conditions are informed by contemporary leadership theory, literature on the impact of VUCA conditions in organisations, and the perceptions and testimonies provided by the research participants.

7.3.5.1 Conduct professional leadership development, to upskill leaders at all levels with respect to contemporary leadership characteristics under VUCA conditions.

The key goals of this recommendation are:

- Upskill leaders with respect to VUCA conditions and ways to manage and mitigate these conditions. Saleh and Watson (2017) and Mathebula (2017) advocate for effective leadership through strategy employing agility, improved information, restructuring, and experimentation, to counter volatility, uncertainty, complexity, and ambiguity, respectively.
- Upskill leaders with respect to contemporary leadership theories including transformational (or charismatic), authentic (or values-based), servant, adaptive, and team (or shared or distributed) theories. According to Graziadion (2017), leadership is an ever-changing process, giving rise to a 'new' genre of leadership theories, relative to the traditional approaches. It is essential for leaders to adapt to these contemporary approaches to be relevant and effective in the fast-changing world of work.
- Build leader capacity with focussed training on the 11 key characteristics of effective leadership to empower leaders.

7.3.5.2 Initiate an intervention for creating a conducive leadership environment by sensitising leaders to the key factors influencing leader effectiveness.

The key goals of this recommendation are:

- Organisational culture improvement intervention to address the following:
 - Bureaucracy (red tape, process improvements, and upgrading systems with new technology)
 - Empowerment (gate keepers, accountable without authority, misaligned organogram, poor industrial relations support, exploiting 'putting people first' policy)
 - Trust (build a high trust environment)
 - Executive and senior leaders (walk the talk, leading by example from the front, exhibit strong emotional intelligence, build strong relationships with the university community, staff, and students).

Groysberg, *et al.*, (2018) postulate that culture and leadership are inextricably linked. They amplify the fact that mindsets, unspoken behaviours, and social patterns are anchored in organisational culture and leaders need to consciously influence and shape desired outcomes. Different leadership styles have a different impact on organisational culture. Consequently, effective leaders have a keen awareness of multiple cultures and employ change management processes to steer improvement initiatives.

- Continue to employ high performing women in leadership roles, but aim to retain a sound gender balance.
Day (2001) and Vecchiotti (2018) propose the characteristics of women leaders and their contributions to contemporary business success include increased collaboration, mentoring, a strong focus on employees and their development, a nurturing style, and a willingness to look at the short- and long-term factors to achieve business results.
- Employ the millennial cohort contribution to leader effectiveness through development and active succession planning.
According to Sarkar (2016) and Vecchiotti (2018), key considerations for the millennial cohort of leaders include teamwork, collaboration, continuous feedback, a high level of emotional intelligence, visionary thinking, creating a

balanced gender mix, and creating a fun workplace. They are technologically well informed, agile, and adaptable to change in real time. They encourage employee participation and self-managing teams.

- Exploit diversity, inclusivity by hearing and employing a multitude of different voices.

In turbulent conditions, effective leaders require skillsets to not only champion and manage diversity, but to exploit diversity to the benefit of the organisation (Hall & Rowland, 2016; Sarkar, 2016). Increased competitiveness and performance are possible if leaders can successfully blend different values, knowledge and backgrounds to achieve organisational goals (Hall & Rowland, 2016).

7.3.5.3 Implement the proposed leadership model under VUCA conditions as presented in the present study.

Seek to find optimal overlap between the effective leader Venn diagram [Chapter 6], which shows the actions of upskilling leadership characteristics, and creating a conducive environment through positive influential factors, respectively. Maximising leader development and improving the environment have a cumulative effect that is potentially greater than the sum of the individual initiatives. This model represents a holistic approach to impact organisational and leader effectiveness.

7.3.5.4 Improve collaboration with all stakeholders.

No one person possesses all the skills, experience, and knowledge needed to lead effectively in the contemporary organisation (Friedrich, *et al.*, 2011; Raelin, 2018). Inclusive collaboration, through strong teamwork, extensive networking, and positive organisational culture, is needed to ensure optimal organisational results.

Baran and Woznyj (2020) advocate for robust collaboration as a mechanism to negate the organisational design barriers under VUCA conditions. Organisational design barriers could include policy or structural issues like departmental silos, time, and resource constraints. They maintain these barriers limit the sharing of cross-departmental knowledge and cause a breakdown in communication. Through effective

collaboration, organisations could respond to the VUCA phenomenon by aggregating diverse perspectives and employing strong teamwork.

Executive and senior leaders should strive to create a strong collaborative ecosystem, processes, and systems, to create opportunities and facilitate operations that stimulate a collaborative way of working, and in the final instance, the organisational culture. Cross-functional and multi-disciplinary projects where stakeholders from various faculties, directorates, and divisions work towards a shared goal, are powerful mechanisms to enhance organisational and leader effectiveness. VUCA conditions exacerbate the need and identify collaboration a critical leader characteristic.

7.3.5.5 Leaders need to see and establish themselves as network builders.

Leaders must expand their current networks, seek to establish new ones, and build strong relationships with all Higher Education stakeholders. These include local, national, and international stakeholders such as government, industry and business, local communities, funders, parents, sponsors and students, and academic and administrative staff employed by the university.

Novak (2008) argues that traditional leadership approaches mostly ignored networking competencies. He further posits that productive networking advances positive organisational outcomes. As a consequence, the contemporary leader should intentionally seek to instil network-building behaviours. Leader effectiveness could be improved through skills and mastery to manage, operate, and lead within the context of a connected, networked world.

Individuals and organisations become stronger as their networks expand and grow. Even more so under VUCA conditions, which amplify the interconnectedness of the contemporary organisational world, leaders need to build a strong ecosystem and advance leader effectiveness.

7.3.5.6 Encourage teamwork across various faculties, directorates, and departments by establishing formal cross-functional work teams.

Leaders should assign tasks to these cross-functional work teams seeking integrated solutions for multi-disciplinary, shared challenges. Furthermore, the university

structures, systems, processes, and resources should be aligned to facilitate and enable team success.

To support the recommendation for improved teamwork, Daniel and Davis (2009) reason that the achievements and performance of effective, well-functioning teams exceed the collective individuals' cumulative performance. Furthermore, according to Baran and Woznyj (2020), teamwork and the associated sharing of knowledge provide an advantage for identifying VUCA trends and the potential internal and external implications for an organisation.

Executive and senior leaders could create capacity and enable the university to successfully manage big projects through teamwork, enabling agility through shared goals and exploiting team members' different strengths and viewpoints. In a dynamic VUCA world, effective teamwork is crucial for effective leadership, enhancing optimal decision making, and sustaining the long-term success of the institution.

7.3.5.7 Communication is pivotal to leader effectiveness and requires urgent intervention from executive and senior leaders.

A holistic approach to ensure efficacious communication with students, the university staff, and all external stakeholders is needed. A comprehensive communication strategy is required to address a whole range of issues. These include variety of content, information rich as opposed to data rich content, differentiated and focussed target audiences, frequency of communication, timeliness of communication, duration of communication, differentiated communication channels for different audiences, connecting with students and staff on an emotional level, indirect versus face-to-face communication. Furthermore, building the university's brand and improving the standing with national and international stakeholders, are some of the goals to address.

According to Luthra (2015), efficient communication is a prerequisite for effective leadership. She also believes that exceptional communication plays a pivotal role in achieving followership. A skilled communicator motivates followers and teams to excel at work.

Furthermore, communication with students needs special attention. Research to establish students' preferences could reinforce anecdotal and perceived evidence

provided by the present study. Suggestions have surfaced in favour of short bursts of essential communication; employing modern channels, technology, and platforms; and some face-to-face communication time with the executive and senior leaders.

Also, communication with staff needs to be focussed to specific target audiences to prevent information overload. “Death by email” has a paralysing effect on recipients and has led to total inefficiency. The utilisation of new technology and communication channels including WhatsApp, Facebook, and an interactive, user-friendly website has merit. This is especially true under dynamic VUCA conditions where fast, accurate, and relevant communication could contain the impact of VUCA.

Lastly, communication with external actors and media requires strategic intervention to advocate for and elevate the university’s profile with newsworthy university accomplishments. There has been a significant improvement in this regard with the appointment of experienced, competent staff in the University’s Media, Marketing, and Communications division. Initiatives to upgrade the university’s website to include mobile applications, are well received. These initiatives should be expanded to achieve an aggressive communication strategy supporting leader effectiveness going forward.

7.3.5.8 The university has the obligation to support and provide leadership for the national government with reference to socio-economic conditions.

Support to the government includes change initiatives and economic growth plans to create employment and eradicate poverty. Establishing effective innovation as the foundation for social and economic sustainability enables agility, flexibility, and speed to react to VUCA challenges. An innovation agenda to embrace Social innovation and change initiatives (e.g., UN SDG 2030 Agenda, RSA National Developmental Plan 2030), the Fourth Industrial Revolution, artificial intelligence, and robotics could prove to be useful. These initiatives should be supported by financial and human resources, structures and processes.

The Higher Education South Africa (HESA) Office Response to the National Development Plan Vision for 2030 posits that education is imperative for good citizenship, an enriching and diversifying life. This initiative further proposes that

Higher Education drives economic development through a linked information and knowledge system.

The executive and senior leaders should work towards creating a rich innovative organisational culture for continuous experimentation and learning, tolerance for mistakes, taking calculated risks, and thinking out-of-the-box.

7.3.5.9 The executive and senior leaders should initiate and act on an urgent assessment of productivity throughout the university as a whole.

To support this recommendation, Rus and Sandu (2020) highlight the necessity for employee engagement and commitment under VUCA conditions. Tight competition in the marketplace requires quality, capable human resources to achieve market share under these turbulent VUCA conditions. Furthermore, conditions like the current COVID-19 pandemic require engaged and committed employees to perform well with very little supervision, mostly working from home.

An organisational development intervention is required to initiate a formal performance management system where key performance areas and indicators commit all employees to deliver on voluminous and quality output standards. As a result, leaders should follow to recognise and reward good work performance and also to formally address poor work. Included in this system of assessment should be a career development programme to support and upskill workers where needed. This intervention will shift the organisational culture towards accountability and fairness since hard working, high performing individuals will feel valued, respected, and recognised for their achievements. At the same time, poor performing employees will hear a difficult, but necessary conversation to improve their performance and develop the required skillsets and acumen where they need development. These initiatives will improve the university's standard of service to students, deliver improved academic outputs, and reposition the university for a sustained future striving for excellence. The pivotal balance is to retain the university's people-focussed philosophy, embedded in a rich and proud history, with repositioning the academic value proposition to be future-focussed for exploiting new market opportunities towards excellence.

7.3.5.10 Create an executive decision-making centre to provide leadership under crisis VUCA conditions.

This multi-stakeholder task unit will have the responsibility to create and execute a crisis response plan when needed. Ideally it should be chaired by the vice-chancellor and the task team should be organised around key responsibilities: Operations, Students (a living experience of students on the ground), Staff, Communications, Financial and Legal, Teaching and Learning, and Research. Including expertise in areas of scenario/contingency planning, project management, and strategic and institutional expertise, are recommended. An effective response to VUCA challenges includes fast, centrally located decision-making capabilities, and effective integration and coordination of the pain points. Data, ideas, experiences, and networks regarding recent VUCA related crisis incidents, such as #FeesMustFall and the current COVID-19 pandemic, could inform research to initiate and perpetually improve current contingency plans (Frantz, 2020).

7.4 Limitations of the study

The following limitations are applicable to this study:

- The present study was limited to only one public university in the Western Cape Province, South Africa.
- The present study's research sample only included leaders from executive, senior, and middle management level, and excluded the operational staff/recipients of the leadership.
- In the context of the unique university under investigation, the findings of the present study should be interpreted with caution. Care should be exercised when generalisations of the results are considered for other contexts.

7.5 Recommendations for future research

7.5.1 Meta skills

There is merit to consider the development of meta skills in the context of leader effectiveness under VUCA conditions. A core set of meta skills is required to lead Higher Education institutions effectively. This is a toolbox comprising a variety of leader competencies: the right mix of compassion, courage, the necessary skills and competencies, curiosity, openness to new ideas, resilience, and the ability to take hard

decisions. Objectivity is required to see the big picture and then to select the appropriate skillset for a specific context.

The development of meta skills is furthermore an important goal to support knowledge-creating inquiry in Higher Education. According to Muukkonen and Lakkala (2009), empirical research supports meta skills including the ability to deal with confusion, epistemic involvement, commitment, and the iterative nature of knowledge advancement. They further suggest exposing students to areas beyond their expertise and to experiment with self-directed collaborative inquiry.

7.5.2 The entrepreneurial university

To embrace the entrepreneurial dimension, there is a viewpoint that the contemporary university requires a new mindset with less risk aversion to experiment more, and even consider radical changes.

Bezanilla *et al.*, (2020) argue that universities are progressively focussing on the development of academic entrepreneurship. They highlight the impact of the university's mission, policies and procedures, strategy, support from the leadership team, organisational design, training, and research to succeed. Pugh *et al.*, (2018) research illustrates the positive and significant impact of academic entrepreneurship on regional economic development.

Depending on the unique context of universities and their strategic intent, and by adopting strategy, policies, procedures, structures, and financial and human resources requirements across the entire university, the entrepreneurial agenda and, consequently, leader effectiveness could be impacted positively.

7.5.3 Investing in transformative learning for leadership capabilities

To build contemporary leadership capabilities, especially under VUCA conditions, there is a call for transformational approaches. Upskilling current and emerging leaders with professional leader competencies is crucial to advance leader effectiveness.

According to Bradley, Grice, and Paulsen (2017), academics are promoted into strategic and operational leadership positions based on their performance as academics, i.e. research and teaching outcomes. They rather argue for interpersonal

skills and operational and strategic competence to be the benchmark for progression. Skills development, to build capacity for future competent and efficacious leaders, is imperative for sustained high performance in the Higher Education sector.

7.5.4 A monitoring and evaluation process for leader accountability

Monitoring and evaluation to render leader accountability has strong merit. Benchmarking against best practice and a continuous improvement of quality standards is essential to leader effectiveness. There is a call to improve the status quo, not just technically or academically, but in terms of people skills.

According to Smith and Benavot (2019), accountability is a cornerstone of modern education, highlighting educational outcomes as an imperative. They propose a structured democratic voice consisting of all relevant stakeholders to actively participate and set a benchmark for educational leaders to be accountable for outcomes. Likewise, Skedsmo and Huber (2019) submit that educational reform worldwide seeks to address the concerns of policy makers regarding efficiency, equity and the performance of education systems. They furthermore suggest reform elements including monitoring and evaluation, and accountability to promote leader effectiveness.

7.5.5 Context of the sector

There is a call to consider leader effectiveness in a Higher Education context. Context matters: it determines priorities, it provides the lens through which one views success and defines leader effectiveness. Notwithstanding the fact that VUCA conditions are a given, key questions to consider include: what is modern education and what is the specific context the Higher Education Institution is finding itself in? Potential competing priorities are globalisation, capacitation, empowerment, social justice, and business efficiencies.

Cloete (2020) posits that Higher Education matters for development, to provide highly qualified graduates, knowledge workers, relevant knowledge for economic growth and social development, investigations of major challenges confronting societies, and research to explore innovative solutions to these challenges.

Within the realm of a university's unique context, all stakeholders influence the mission, vision, strategy, and operating goals. The specific institutional context will inform and direct the university's change agenda, the benchmark against which leader effectiveness should be measured.

7.5.6 Interconnectedness

Effective networking has a profound impact on the organisation and leader effectiveness. Leaders need to shed the old thinking that their role is predominantly to build competencies. They have the obligation to build inclusive, diverse, and collaborative networks. Leaders and their organisations become stronger in relation to the strength of their networks.

According to Valencia and Cázares (2016), governments are globally seeking to share knowledge and build collaborative networks in order to exploit synergy between organisations, universities, and institutions. Leal *et al.*, (2013) similarly argue for extensive networking between universities, with the aim to share their work (e.g., research, projects, and curriculum innovation) in order to create best practices, explore methodology to integrate sustainable development in university curricula, and create a common platform for collaboration and cooperation.

7.5.7 Participatory action research

Since the present study's research sample only included leaders on executive, senior, and middle management level, excluding the operational staff, participatory action research could be considered to gain further input into the change process.

Furthermore, in some instances, executive and senior leaders externalised blame by testifying and explaining the need to improve the impact of leader characteristics and influential factors. Yet, these are the very leaders that have the authority to implement change to improve leader effectiveness.

Broad participatory action research in the university community, emphasising reflection and collaborative participation and action, should steer required change initiatives to improve leader effectiveness.

7.6 Researcher acknowledgement

Critically engaging with the leadership model presented in the present study, the researcher acknowledges the limitations being applicable to only one university in the Province of the Western Cape. The initial intention was to focus the research on a single university to capture the unique specifics e.g., history, vision and mission, specific organisational culture, curriculum offerings, geographical setting, and student and staff demographics, in order to derive at conclusions and recommendations that are unique and specific to this one university. In order to expand the potential application of the leadership model additional research will have to be performed to test the applicability to other HEIs in different settings.

7.7 Significance of the study, reflections, and learnings

The present study's significance lies in the potential contribution to assist educational leaders with being more effective under VUCA conditions. The study presents a leadership model, comprised of leader characteristics and key influential factors, to provide university leaders with insights for effective leadership under VUCA conditions.

Similarly, reflections and learnings regarding the researcher's personal experience conducting the study included a remarkable shift in his own understanding of effective leadership under VUCA conditions. Of profound importance is the premise that effective leadership does not only depend on the leader's characteristics, competencies and experiences, but equally depends on a conducive work environment. The unequivocal role of executive leaders is to demonstrate decisive decision making by steering professional leader development and organisational development interventions to create a conducive working environment.

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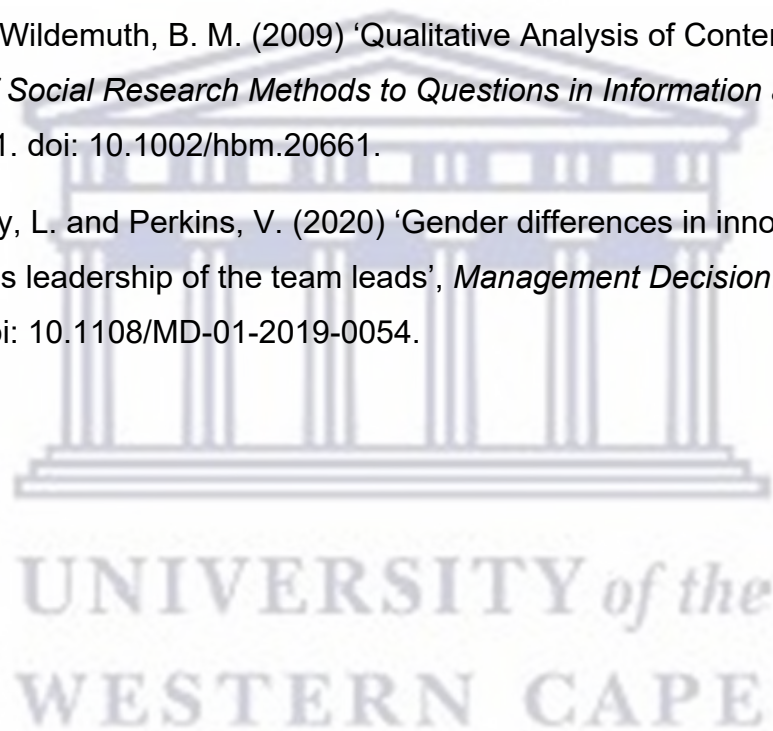
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ANNEXURE A: SEMI-STRUCTURED INTERVIEW SCHEDULE

Title of research: Contemporary leadership behaviour enabling leadership effectiveness in a public university

Instructions/Notes to the interviewer:

On the outset explain the confidential nature of the interview and that the interviewee's identity will always be anonymous, protected by the use of a coding system, employing alpha numeric reference numbers. Also make the interviewee aware that he or she can stop and withdraw from the interview at any point in time. Make the interviewee feel safe and at ease.

To provide the interviewee with some context to the study, explain that the aim of the research is to develop new, deep insights to answer two research questions:

RESEARCH QUESTIONS

RQ1: What are the behaviours and characteristics of effective leaders within HEIs in a VUCA environment?

RQ2: Which factors influence effective leadership behaviours?

Define the acronym VUCA, i.e., volatile, uncertain, complex and ambiguous in the context of today's business conditions.

Further explain to the interviewees that their contribution to the interview is to provide real world insights as employees in a modern public university. There are no "yes" or "no" answers, encourage the interviewee to provide thorough and detailed answers, covering all aspects relating to the questions in the questionnaire. The aim is to acquire rich information through in-depth inquiry. In the event the interviewee does not answer the questions in enough detail, the suggestions in brackets could be used by the interviewer prompting the interviewee to elaborate.

Before you start with the interview, allow the interviewee an opportunity to ask any questions. Be transparent and truthful in your answers. Endeavor to make a warm personal connection and for the interviewee to feel valued and respected.



Questionnaire:

Interview reference No. _____

- 1) What **contemporary leadership behaviour** do you consider crucial to enable high performance **under VUCA conditions**?

[This question serves as an icebreaker. Asking the interviewee's personal opinion serves to connect on a human level and to establish trust with the interviewee.

Explore which contemporary leadership behaviour and why the interviewee perceives these behaviours to be crucial under VUCA conditions.]

- 2) To what extent does the **current leadership successfully lead** the university to **achieve high performance**?

[Seek evidence i.e., consistency, leading from the front, achieving institutional operating plan (IOP) goals, etc.]

- 3) Do you believe you have **adequate skills** to lead effectively under VUCA conditions?

[Ask what new- and different skills interviewees require under VUCA conditions.]

- 4) Are you **empowered** to be effective in your role?

[Seek evidence for delegation of authority in terms of decision making and approval mandates.]

- 5) To what extent do you experience **trust** in the workplace?

[Test for characteristics of high trust leadership behaviour.]

6) How would you describe the current **level of engagement and commitment** of leadership and -employees in their work at the university?

[Seek evidence and real work examples for engagement and commitment.]

7) What role does **teamwork** play in achieving high performance at the university?

[Test the health of teamwork: how often employed, does all get the opportunity to contribute, how does this impact on employee work performance?]

8) To what extent do you experience the freedom to **innovate and be creative in problem solving**?

[Seek evidence of flexibility and agility to innovate and the impact on real-time problem solving, tolerance for- and learning from mistakes (learning organization).]

9) How effective is leadership **communication** with students, staff and other stakeholders?

[Seek evidence for frequency, timeliness and quality of all communication channels (face-to-face meetings, email, website, SMS, telephone, Skype, university notices, etc.) to the correct audience. Is there evidence for effective communication of relevant information (required breadth & -depth) to make accurate and real-time decisions?]

10) How would you rate leadership's **ethical** behaviour?

[Seek evidence and real work examples for demonstrated ethics in the workplace.]

11) To what extent does leadership behave **emotionally intelligent** in the day-to-day operations of the university?

[Seek evidence for emotionally intelligent behaviour.]

12) To what extent does leadership employ **mindfulness** deliberately in their daily management function?

[Seek evidence for leaderships' moment-to-moment, non-judgmental awareness, cultivated by paying attention in a specific way, that is, in the present moment, and as non-reactively, as non-judgmentally, and as openheartedly as possible. When it is cultivated intentionally, it is sometimes referred to as deliberate mindfulness (Kabat-Zinn 2015).]

13) How successful does leadership **collaborate** with all stakeholders (students, staff, Government, business & industry, community) to achieve high performance?

[Seek evidence for collaboration in the workplace, i.e., real-world examples to substantiate the level of collaboration.]

14) To what extent does leadership employ **consensus seeking** skills to resolve problems and accomplish high performance at the university?

[Seek evidence and real examples at the university for a *consensus seeking* approach. Does leadership at all levels display consensus seeking skills? And to what extent (positive outcomes)?]

15) How does the university's **organisational culture** impact on the effectiveness of leadership?

[Seek evidence for and real work examples: Rigid policy and rules based, seeking certainty versus being dynamic, innovative and flexible, seeking agility. Impact on level of job satisfaction, employee commitment and organisational performance.]

16) What contribution do you believe **women** in leadership roles make at the university? [Seek evidence for: *increased collaboration*, mentoring, a strong focus on employees and their development, a nurturing style and a willingness to look at the short- and long term to achieve business results, and with an attitude of vulnerability, willing to sometimes say, "I don't know the answer."]

17) What contribution do you believe the **millennium cohort** (or Generation Y) in leadership roles make at the university?

[**Millennials** (*millennial generation, Generation Y*) is the phrase used to generally describe a person who **reached adulthood in the early 21st century** and covers the generation of people born between 1980 and 2000. Seek evidence for: **servant leadership** placing much emphasis on followers. Much **verbal dialog** and a **consensus seeking** approach often through social media. Empower followers by **sharing information and -resources. Teamwork, collaboration, continuous feedback, a high level of emotional intelligence, visionary thinkers, creating a productive gender blend and fun workplace. Technically well informed,**

agile and adaptable to change near to real-time. Encouraging employee participation and self-managing teams.]

18) How well does leadership employ **diversity** in the university?

[Seek evidence and real work examples for the employment of diversity to achieve exceptional results.]

19) Do you have any **other suggestions** on contemporary leadership behaviour that can inspire and improve high performance under VUCA conditions in the modern university?

[Ending the interview on a human level asking an open-ended question, affording an opportunity for the interviewee to suggest how the modern university can improve leadership under VUCA conditions.]



UNIVERSITY *of the*
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ANNEXURE B: ETHICS APPROVAL CERTIFICATE



UNIVERSITY *of the*
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OFFICE OF THE DIRECTOR: RESEARCH
RESEARCH AND INNOVATION DIVISION

Private Bag X17, Bellville 7535
South Africa
T: +27 21 959 4111/2948
F: +27 21 959 3170
E: research-ethics@uwc.ac.za
www.uwc.ac.za

27 August 2019

Mr CDJ van Vuuren
School of Business and Finance
Faculty of Economics and Management Science

Ethics Reference Number: HS19/6/45

Project Title: Contemporary leadership behaviour enabling high performance: a case study in a public university

Approval Period: 27 August 2019 – 27 August 2020

I hereby certify that the Humanities and Social Science Research Ethics Committee of the University of the Western Cape approved the methodology and ethics of the above mentioned research project.

Any amendments, extension or other modifications to the protocol must be submitted to the Ethics Committee for approval.

Please remember to submit a progress report in good time for annual renewal.

The Committee must be informed of any serious adverse event and/or termination of the study.

A handwritten signature in black ink, appearing to read 'Patricia Josias', is placed over a white rectangular background.

*Ms Patricia Josias
Research Ethics Committee Officer
University of the Western Cape*

HSSREC REGISTRATION NUMBER - 130416-049

<http://etd.uwc.ac.za/>

ANNEXURE C: REGISTRAR'S LETTER OF APPROVAL



UNIVERSITY *of the*
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02 September 2019

RE: REQUEST FOR PERMISSION TO CONDUCT RESEARCH AT THE UNIVERSITY OF THE WESTERN CAPE

Name of Researcher	: Carel Daniel Jansen van Vuuren
Research Topic	: Contemporary leadership behaviour enabling high performance: a case study in a public university
Date of Issue	: 02/09/2019
Reference number	: UWCRP020919CVV

This serves as acknowledgement that you have obtained and presented the necessary ethical clearance and your institutional permission required to proceed with the above referenced project.


Approval is granted for you to conduct research at the University of the Western Cape for the period 02 September 2019 to 27 August 2020 (or as determined by the validity of your ethics approval). You are required to engage this office in advance if there is a need to continue with research outside of the stipulated period. The manner in which you conduct your research must be guided by the conditions set out in the annexed agreement: *Conditions to guide research conducted at the University of the Western Cape*.

The University of the Western Cape promotes the generation of new knowledge and supports new research. It also has a responsibility to be sensitive to the rights of the students and staff on campus. This office will require of you to respect the rights of students and staff who do not wish to participate in interviews and/or surveys.

It is also incumbent on you to first furnish this office with a copy of the proposed publication should you wish to reference the University's name, spaces, identity, etc. prior to public dissemination.

Please be at liberty to contact this office should you require any assistance to conduct your research or specifically require access to either staff or student contact information.

Yours sincerely


 DR ARMED SHAIKJEE
 DEPUTY REGISTRAR
 OFFICE OF THE REGISTRAR



UWCRP020919CVV
 Page 1 of 3

Agreement

CONDITIONS TO GUIDE RESEARCH CONDUCTED AT THE UNIVERSITY OF THE WESTERN CAPE

The onus rests on the researcher/investigator to observe and comply with the conditions set out below with the aim to conduct responsibly ethical research. Clarity must be sought from the authorising office should the interpretation of the conditions be unclear.

1. ACCOUNTABILITY

- 1.1. The University reserves the right to audit the research practices of the researcher/investigator to assess compliance to the conditions of this agreement.
- 1.2. Data collection processes must not be adapted, changed or altered by the researcher/investigator without written notification issued to the authorising office.
- 1.3. The University reserves to right to cease research if any proposed change to the data collection process is found to be unethical or in contravention of this agreement.
- 1.4. Failure to comply with any one condition in this agreement may result in:
 - 1.4.1. Disciplinary action instituted against a researcher/investigator employed or registered at the University;
 - 1.4.2. The contravention reported to the organisation employing or registering the external researcher/ investigator.

2. GOVERNANCE

- 2.1. Approval to conduct research is governed by the Protection of Personal Information Act, No 4 of 2013, which regulates the entire information life cycle from collection, through use and storage and even the destruction of personal information and it is incumbent on the researcher/investigator to understand the implications of the legislation.
- 2.2. The researcher/investigator must employ the necessary measures to conduct research that is ethically and legally sound.

3. ACQUIRING CONSENT & RIGHTS OF PARTICIPANTS

- 3.1. It is incumbent on the researcher / investigator to clarify any uncertainties to the participant about the research.
- 3.2. Written consent must be obtained from participants before their personal information is gathered and documented.
- 3.3. Participation in the research must be voluntary and participants must not be pressured or coerced.
- 3.4. Participants have the right to access their personal information, obtain confirmation of what information is in the possession of the researcher / investigator and who had access to the information.
- 3.5. Participants have the right to withdraw from the research and insist that their personal information not be used.



4. DATA AND INFORMATION MANAGEMENT

- 4.1. Due diligence must be afforded by the researcher/investigator to:
 - 4.1.1. Mitigate any risks that could compromise the privacy of participants before
 - 4.1.2. during and after the research is conducted;
 - 4.1.3. Collect only information that is relevant to the aim of the research;
 - 4.1.4. Verify all personal information collected about a participant if the information is supplied by a source other than the participant;
 - 4.1.5. Refrain from sharing participant information with a third party;
 - 4.1.6. Apply for an exemption if the identity of participants should be revealed in the interest of the research aims.
- 4.2. The researcher/investigator must employ appropriate, reasonable and technical measures to protect, prevent loss of and unlawful or unauthorised access of research information.

Should you have any questions relating to this agreement please contact:

a.shalliker@uwc.ac.za, or
re-searchperm@uwc.ac.za

ANNEXURE D: INFORMATION SHEET



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**UNIVERSITY OF THE WESTERN CAPE (UWC)
FACULTY OF ECONOMIC AND MANAGEMENT SCIENCES**

School of Business and Finance

**INFORMATION SHEET FOR RESEARCH PARTICIPANTS
PARTICIPATING IN A SEMI-STRUCTURED INTERVIEW**

Dear participant,

Please take time to read through this information sheet carefully in order for you to be knowledgeable about what is required of you as a research participant in this study.

Student: **Carel D Jansen van Vuuren** (student no: **3580131**) Degree registered for:
PhD

The title of my thesis is:

Contemporary leadership behaviour enabling leadership effectiveness in a public university

Purpose or reason for the study:

This study investigates contemporary leadership behaviour enabling high performance in a public university. Research within a public university will be conducted and the data processed to develop conclusions and interpret the research results. The latter conclusions will be used to answer two research questions:

RESEARCH QUESTIONS

RQ1: What are the behaviours and characteristics of effective leaders within HEIs in a VUCA environment?

RQ2: Which factors influence effective leadership behaviours?

The results of the research will contribute to- and enrich the academic knowledge, our understanding of management theory and professional management practice.

As a participant who gave consent of your participation in this study, you will be required to:

Participate in a semi-structured interview to reflect on key leadership behaviour enabling high performance in a public university. Your participation in this research project is voluntary. You are free to withdraw from the research at any time if you wish to do so. No names will be used and your anonymity will be protected. Your identity, responses to the questions and personal data will be kept strictly confidential, i.e.: The semi-structured interview will be recorded, transcribed and coded. The legend and the original recordings will be saved on external memory and locked away in a safe for five years, where after it will be destroyed. This process will protect each participant from potential identification.

The purpose of the research is not to criticize current leadership in any way, but rather to see the recommendations from the research as an organisation developmental exercise. The dynamic changing organisational environment demands all organisations to continuously adapt and learn.

Your participation will assist me to achieve the objective of the study which is to answer the two research questions as discussed in the section above. There will be no financial reward for participating in the interview.

This study received ethical clearance from the Research Office: **Humanities & Social Sciences Research & Ethics Committee (HSSREC)**, UWC, P O Box X17, Bellville, 7535, South Africa, Email: research-ethics@uwc.ac.za , Tel: +27-21-959-2988

Should you have any questions regarding this study or wish to report any problems you have experienced related to the study, please contact me at:

Researcher:

Carl D. Jansen van Vuuren
cdjansenvanvuuren@uwc.ac.za
.za
063 083 9498

Supervisor:

Prof D.J. Visser
kvisser@uwc.ac.za
021 959 2416

Co-supervisor:

Dr M. du Plessis
mduplessis@uwc.ac.za
021 959 3175

University of the Western
Cape
Robert Sobukwe Road
Bellville
7535

**HOD for the SBF
Management Division:**

Prof R. Shambare
rshambare@uwc.ac.za
021 959 3220

University of the Western
Cape
Robert Sobukwe Road
Bellville
7535

I have been given a copy of this form.

Name of Participant

Date

Thank you for participating in my study.

ANNEXURE E: CONSENT FORM



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Consent Form for participants in a Semi-Structured Interview

Title: **Contemporary leadership behaviour enabling leadership effectiveness in a public university**

Researcher: **Carel D Jansen van Vuuren (Student no 3580131)**

Please initial box

1. I confirm that I have read and understand the information sheet explaining the above research project and I have had the opportunity to ask questions about the project.
2. I understand that my participation is voluntary and that I am free to withdraw at any time without giving any reason and without there being any negative consequences. In addition, should I not wish to answer any particular question or questions, I am free to decline. (If I wish to withdraw, I may contact the lead researcher at any time)
3. I understand my responses and personal data will be kept strictly confidential. I give permission for members of the research team to have access to my anonymised responses. I understand that my name will not be linked with the research materials, and I will not be identified or identifiable in the reports or publications that result for the research.
4. I agree for the data collected from me to be used in future research.
5. I agree to take part in the above research project.
6. I give my consent for the interview to be audio-recorded.



Name of Participant (or legal representative) Date Signature

Name of person taking consent (If different from lead researcher) Date Signature

Lead Researcher (To be signed and dated in presence of the participant) Date Signature

Copies: All participants will receive a copy of the signed and dated version of the consent form and information sheet for themselves. A copy of this will be filed and kept in a secure location for research purposes only.

This study received ethical clearance from the Research Office: **Humanities & Social Sciences Research & Ethics Committee (HSSREC)**, UWC, P O Box X17, Bellville, 7535, South Africa,
Email: research-ethics@uwc.ac.za, Tel: +27-21-959-2988

Researcher:

Carel D. Jansen van Vuuren
cardanieljansenvanvuuren@gmail.com
063 083 9498

Supervisors:

Prof K. Visser
kvisser@uwc.ac.za
021 959 9531

Co-supervisor:

Dr M. du Plessis
mduplessis@uwc.ac.za
021 959 3175

**HOD for the SBF
Management Division:**

Prof R. Shambare
rshambare@uwc.ac.za
021 959 3220



ANNEXURE F: RESEARCH CODE OF CONDUCT



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UNIVERSITY of the WESTERN CAPE

RESEARCH POLICY

SECTION 9: RESEARCH ETHICS POLICY

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SECTION 9: RESEARCH ETHICS POLICY

1. Preamble

The University of the Western Cape is concerned with protecting the rights, dignity, safety and privacy of research subjects, the welfare of animals and the integrity of the environment. It is also concerned with protecting the health, safety, rights, and academic freedom of researchers and the reputation of the University as a centre for high-quality research. With this in mind, the University has developed a Research Ethics Policy that aims to govern the ethics of research across the University, and to promote awareness of the highest ethical standards, principles and issues in the conduct of research activities thereby clarifying for researchers their ethical obligations. The vision, principles and core values of the University are based on its commitment to the principles and values enshrined in the Constitution of South Africa.

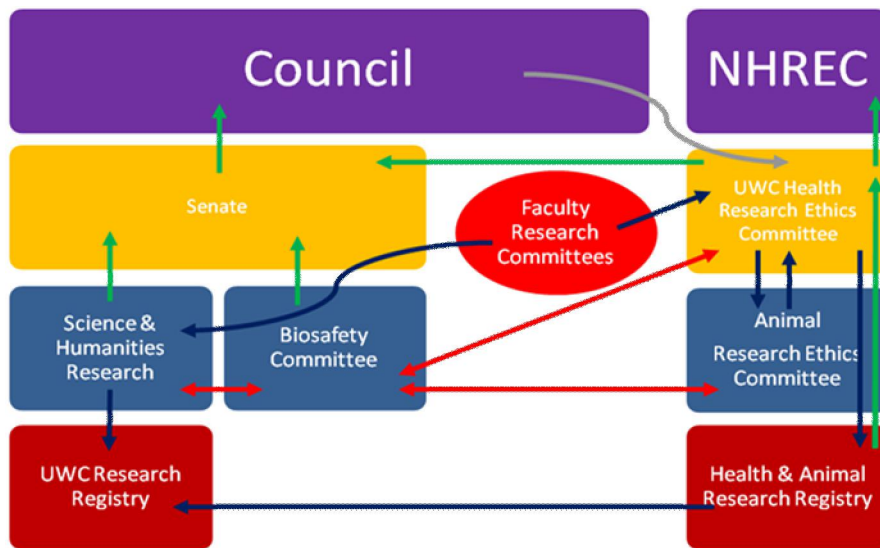
Against this context therefore, this Research Ethics Policy has been developed as the ethical framework for the University community to be considered as part of the research process at all levels of research activity by undergraduate, postgraduate and postdoctoral students and members of staff across the University.

All research will have ethical implications, however there are some areas of research where the ethical implications will be particularly important. The following is not an exhaustive list, however some examples of such areas of research are: where it involves human subjects (particularly children and vulnerable adults); where it uses human data or human material; where there are serious health and safety implications; where animal experiments are involved; where there is a risk of damage to the environment; where the impact of the research may be emotionally damaging; where the research is politically or socially sensitive; where the source of funding for the research has the potential to compromise the University's position as a publicly-funded charitable body.

2. Who are the Researchers?

This Policy on Research Ethics applies, but is not limited to, all members of staff, visiting researchers, those with honorary posts, and postdoctoral, graduate and undergraduate students who are involved in research on or off the campuses of UWC. In addition, any person not affiliated with UWC who wishes to conduct research with UWC students and/or staff is bound by the same Research Ethics Policy. Each member of the University community is responsible for the implementation of this Policy in relation to scholarly work with which she or he is associated and to avoid any activity which might be considered to be in violation of this Policy.

3. Structure and Governance of Research Committees



Research Ethics Flowchart and Committee Structures



3.1 Research falls into the portfolio of the DVC (Academic), and she/he as such will be responsible for developing, operating and reviewing policies and guidelines which prevent unethical practices, and which are consistent with recognised standards and best practice.

3.2 Three specialist research ethics committees will be created. These are the Animal Research Ethics Committee (AREC), the Science and Humanities Research Ethics Committee (SHREC) and the Health Research Ethics Committee (HREC). They are responsible for effecting ethics approval and certification of research proposals. HREC is primarily responsible to the National Health Research Ethics Council (NHREC) statutory body, but will report to Council via the DVC (Academic). Appointment onto HREC will be done by Council. AREC will operate as a sub-committee of HREC. The SHREC will report to Senate and the DVC (Academic).

3.3 Review of research proposals takes into account academic freedom and its responsibilities while providing accountability and quality assurance to scholars and society in general. Such review also provides assurance that, where relevant, the environment will not be damaged and indeed be protected and maintained to the best of the researcher's ability. Research-related documents will be treated in the strictest of confidence. Any requests for review of these documents outside the respective Committees will have to be forwarded to the appropriate Committee Chair for authorisation. Each specialist Research Ethics Committee functions in accordance with Terms of Reference and comprehensive Standard Operating Procedures that have been approved by the Senate Research Committee, which in turn is accountable to Council.

3.4 Research where the biological, clinical, psychological and social processes in human beings and animals are studied and/or where harm or damage to the environment is a possibility, requires ethics review and clearance prior to commencement of the project and in particular prior to field work and/or data collection. The researcher is responsible for consulting with the appropriate Committee(s) to ascertain whether the proposed research requires ethical clearance or not.

3.5 All students, members of staff and other persons who, although not affiliated to the University but are involved in research at/or in association with the University, must familiarise themselves with and sign an undertaking to comply with the University's 'Code of Conduct for Research' (Appendix A).

4. Institutional Bio-safety Committee (IBC)

An Institutional Bio-safety Committee (IBC) will be formally constituted to monitor the bio-safety in research. This is not only mandatory for institutions seeking National Institute of Health (NIH) funding but it is also critical to the safe conduct of research involving recombinant DNA molecules and to the fulfillment of an institutional commitment to the protection of staff, the environment, and public health.

5. The Administrative Responsibility of the University

The University will facilitate the ethical conduct of scholarly research by developing and providing capacity-building programs in research ethics for researchers and members of the Research Ethics Committees.

Formal ethics certification is required of all researchers conducting research at or in association with the University, through a process of research ethics education, testing and certification. The DVC (Academic) will ensure that development and implementation of the training programs and the certification process proceeds.

The University takes responsibility to ensure that all laboratories and other physical resources for research are maintained and meet all necessary accreditation requirements to allow for ethical and effective research.

The necessary administrative support to the research committees for the implementation of policies and procedures will be provided via the Research Office. A separate implementation document (yet to be drafted) will contain detailed information in this regard. The Research Office will oversee and manage the administrative aspects of the research portfolio. It is the responsibility of the DVC (Academic) to ensure adequate administrative infrastructure to provide support to the following Ethics Committees and the Institutional Bio-safety Committee:

- Animal Research Ethics Committee
- Science and Humanities Ethics Committee
- Health Research Ethics Committee (HREC)
- And any other specialist university-wide sub-committees established in terms of the constitution by the DVC (Academic).

Applications for ethical approval are to be forwarded for processing to the Research Office.

6. Legal and Ethical Issues

In cases where an approved, registered UWC research proposal or project is legally challenged, the University must provide the following support based on the Wigmore criteria:

'The researchers will do everything possible to maintain the confidentiality of information obtained during the study and the anonymity of the sources. If an order is made by a court that the researchers provide information or reveal the identity of their sources, the University will provide legal representation until all available court processes have been exhausted to assist the researchers to maintain confidentiality of information and sources. Even then, the researchers will not reveal any confidential information and will never do so unless they believe it ethically proper, considering the circumstances, to reveal the information.'

7. The Selection and Conduct of Research

7.1 The choice of a research topic and the conduct of research in accordance with University policy is the responsibility of the individual researcher. In addition to this policy, other UWC policies, regulations or guidelines and other professional codes may apply.

7.2 Where collaborative or team research is being conducted, the Principal Investigator is obliged to ensure that all members of the research team are aware of the contents of this Policy and of other applicable ethical norms governing the conduct of research. The Principal Investigator should take all possible steps to ensure that the provisions of this Policy are complied with by the research team.

7.3 Where research is to be conducted by students for academic credit, the supervisor will inform the student of her/his obligations in respect of the ethical conduct of research. In addition, the supervisor will ensure that the student understands her/his obligations in accordance with the University Research Ethics Policy and will take all possible measures to ensure that the student's research is conducted in accordance with the provisions of this Policy, and with other applicable ethical norms, and that the student has signed the Code of Conduct for Research (**Appendix A – Section 8**).

7.4 The supervisor will maintain a record of all research projects undertaken, together with the appropriate ethical approval.

8. Guiding Principles

Research should be undertaken in accordance with commonly agreed standards of good practice, such as those laid down in the Declaration of Helsinki, as follows:

- Beneficence - 'do positive good'
- Non-Maleficence - 'do no harm'
- Informed consent
- Confidentiality/Anonymity
- Veracity- 'truth telling'

8.1 Beneficence and Non-Maleficence

- 8.1.1 Concerns risk(s), harm and hazards, and includes emotional and mental distress, damage to financial and social standing as well as physical harm.
- 8.1.2 The research should be scientifically sound and the purpose should be to contribute to knowledge.
- 8.1.3 The research should be undertaken and supervised by those who are appropriately qualified and experienced.
- 8.1.4 The importance of the objective should be in proportion to the inherent risk to the participants. Concern for the interests of the participants must always prevail over the interests of science and society.
- 8.1.5 The research should be preceded by careful assessment of predictable risks in comparison with foreseeable benefits to the participants or to others.
- 8.1.6 Research should not be undertaken where the hazards involved are not believed to be predictable.
- 8.1.7 Adequate facilities and procedures should be in place to deal with any potential hazards.

8.2 Informed Consent

Ethically, informed consent is part of the principle of respect for autonomy. Rights of self-determination and “not to be harmed” are implicit in the South African Constitution. Furthermore, the Department of Health makes clear that the primary consideration in any research within health and social care is preserving the dignity, rights, safety and well-being of participants and that informed consent is at the heart of ethical research (DOH *Ethics in Health Research*, 2004).

- 8.2.1 Each potential subject must be adequately informed of the aims, methods, anticipated benefits and potential hazards of the research and any discomfort participation may entail.
- 8.2.2 Any documentation given to potential participants should be comprehensible and there should be an opportunity for them to raise any issues of concern.
- 8.2.3 Consent should be required in writing and records of consent should be maintained.
- 8.2.4 Potential participants must be informed that they are free to withdraw consent to participation at any time.
- 8.2.5 There should be a procedure for making complaints and participants should be made aware of this.
- 8.2.6 All participants should be volunteers. Considerable care should be taken where consent is sought from those in a dependent position and it should be made clear that refusal to participate will not lead to any adverse consequences. For example, students must be assured that any decision not to participate will not prejudice, in any way, their academic progress.

- 8.2.7 Any inducement offered to participants should be declared and should be in accordance with appropriate guidelines.
- 8.2.8 Specialist advice and appropriate Research Ethics Committee (REC) approval should be sought where consent cannot be obtained.

8.3 Confidentiality

- 8.3.1 When personal identifiers are used in a study, researchers should explain why this is necessary and how confidentiality would be protected.
- 8.3.2 Procedures for protecting the confidentiality of participants should be followed and include:
- Securing individual confidentiality statements from all research personnel;
 - Coding data with numbers instead of names to protect the identity of participants;
 - Using codes for identification of participants when transcribing audiotapes, and destroying the tapes on completion of transcription;
 - Storing data with any identifying information in a locked file to which only one or two persons have access;
 - Using pseudonyms for participants, agencies and geographical settings in the publishing of reports;
 - Disposing of information that can reveal the identity of participants or places carefully.

9. The Duty of Honesty and Integrity (Appendix A – sections 4, 5, 6)

- 9.1 Researchers must possess the knowledge and skills compatible with the demands of the investigation to be undertaken and must recognise and not overstep the boundaries of their research competence. Researchers should not accept work they are not qualified to carry out or supervise
- 9.2 Researchers are expected to maintain the highest standards of honesty and integrity. Any form of academic dishonesty, including but not limited to the following, is a serious offence:
- (a) Falsification of Data, Plagiarism, Fabrication
 - (b) Non-declaration of Conflict(s) of Interest
 - (c) Misuse of Research Funds
 - (d) Any other form of dishonesty in research that undermines the integrity of the research and which may bring the University into disrepute
- 9.3 This Policy is not intended to censure the actions of the individual who has made an honest error, or who exercises *bona fide* judgment, or interprets data or designs experiments in a way that may reasonably be the subject of an honest difference of opinion.

10. Experimental therapies*

- 10.1 Clinicians and researchers should understand the ethical issues involved in using innovative experimental therapies and should assist patients to make decisions concerning experimental therapy that are in their best interest, by facilitating and enhancing their capacity for decision making in accordance with their perspectives, culture and values (**Appendix B**).
- 10.2 Experimental therapies carried out in the University require a standardised process of evaluation and approval. This includes the consent format, indications, limitations and reporting procedures.
- 10.3 Informed consent must state the nature of the experimentation and must provide the best available information, including the consensus of expertise at the institution and/or national level concerning the use of the experimental therapy, and whether alternative therapies may be available.
- 10.4 Review, analysis and reporting of experimental therapy must be carried out at the earliest possible time when data are judged to be meaningful. This includes adequate numbers (ie, three patients or more). The conclusion should be anonymously available for current or future patients treated with the experimental therapy and should be reported to the UWC HREC.

*The use of the word 'therapy' is synonymous for a drug, a device or a procedure.

11. Photography for Research Purposes

- 11.1 Photography guidelines are required to prevent breach of privacy and exploitation of research subjects (**Appendix C**).
- 11.2 Most scientific journals require authors to obtain informed consent (**Appendix D & E**) from participants in order to publish their photographs. Due to varying levels of literacy and oral cultural norms, non-written consent methods (like audiovisual documentation of oral consent) may need to be used.
- 11.3 Researchers, teachers and publishers should aim to show only those aspects of a photograph that are not identifiable, even if consent has been given and explore avenues of digital editing where digital images can be altered in a way that disguises the identity of the subject beyond recognition.
- 11.4 Researchers should act as gate-keepers and protect the rights of patients in their care, and inform them and photographers of the subject's rights to refuse and the photographer's obligation to obtain consent, so that over time, patients will learn that they have choices, and to demand that their rights are respected.

12. Data Protection Policy

- 12.1 The collection and storage of research data by researchers must comply with the Data Protection Act of 1998.

- 12.2 Researchers should be aware of the risks to anonymity, privacy and confidentiality posed by all kinds of personal information storage and processing, including computer and paper files, e-mail records, audio and videotapes, or any other information which directly identifies an individual.
- 12.3 Participants must be informed of the kinds of personal information which will be collected, what will be done with it, and to whom it will be disclosed. 'Consent to process' may need to be obtained where information collected from individuals is to be used later for research purposes.
- 12.4 Measures to prevent accidental breaches of confidentiality should be taken (see Informed Consent section 9.2) and in cases where confidentiality is threatened, relevant records should be destroyed.
- 12.5 Provisions for data security at the end of a project must be made. Where the researcher leaves the University, this responsibility should usually rest with the relevant Faculty.
- 12.6 Current practice is that research data, research transcripts, videos and other related electronic data – tapes and videos should be kept for a *two year* period after completion of the research study and hard copies of data capture sheets, questionnaires, informed consent forms, transcripts and analysis for a period of *five years*.

13. Environment

All research must be conducted taking into account Section 24 of the Bill of Rights of the Constitution of South Africa which requires that research should not result in an environment that could lead to harm to health or well-being. The environment must be protected, for the benefit of present and future generations. Pollution and ecological degradation must be avoided in order to:

- i. Promote conservation; and
- ii. Secure ecologically sustainable development and use of natural resources while promoting justifiable economic and social development.

14. Biohazards

Personnel working in research laboratories at UWC must be protected from possible harm resulting from exposure to hazardous biological or chemical materials. Personnel must comply with the Hazardous Biological Agents Regulations of the Occupational Health and Safety Act No. 85 of 1993. Personnel must be appropriately trained to work with hazardous biological or chemical materials and be accredited as such. Managers of laboratories where hazardous biological or chemical material is used will need to inform the Occupational Health and Safety Practitioners on their campuses. Appropriate safety measures must be established for the use of hazardous materials in each laboratory.

15. Acknowledgement of University and Other Support of Research

Research support by the University or any other body must be appropriately acknowledged in any publication resulting from the research. **(Appendix A – section 4.4)**

16. Disputes between Co-researchers

Disputes between co-researchers must be resolved in accordance with existing University policies on dispute resolution. Alternative dispute resolution mechanisms such as mediation and arbitration must be resorted to prior to any litigation. The University Human Resources Department may be contacted in this regard.

17. Disciplinary Action

In the event of a researcher contravening the research ethics principles and practices as espoused in this Policy any necessary disciplinary action will be dealt with by the University's existing disciplinary structures. The Senate Research Committee will recommend appropriate penalties such as loss of ethical certification or eligibility for funding.



APPENDIX F: CODE OF CONDUCT FOR RESEARCH

1. General

1.1 Guiding principles

The pursuit of knowledge is the pursuit of truth. It is to be carried out with:

- Honesty and integrity
- Safe and responsible methods
- Fairness and equity for the participants

1.2 Requirements for observance

This code applies to all individuals participating in research under the auspices of the University. This includes:

- Academic Staff
- Staff providing technical or administrative support for research activity
- Staff employed through research grants or contracts administered by the University
- Staff of research Centres and Units
- Graduate or undergraduate students participating in research
- Any other individuals, such as honorary appointees and visiting researchers making use of any University resource

All researchers working at UWC must complete a statement confirming that they are familiar with the Code and undertake to observe it.

Contracts of affiliation between the University and independent research institutes should ensure that the independent institutes adhere to a comparable code of ethics.

Where appropriate, the Code specifies formal procedures and regulations. Nevertheless, it recognises that, in ethical questions, it is not possible to legislate for every eventuality. The over-riding principle is an expectation of all researchers that they are expected to act with integrity in the interests of the University and to be scrupulous in conducting their affairs.

1.3 Breaches of the code

Failure to observe the requirements of the Code may be grounds for disciplinary action under the Code of Conduct applying to University employees or under the Student Disciplinary Rules as appropriate.

1.4 Advice and help

Advice and help in interpreting the Code may be obtained from the Chairpersons of the current specialist research ethics committees:

- Health Research Ethics Committee
- Animal Research Ethics Committee
- Science and Humanities Research Ethics Committee
- Institutional Bio-safety Committee

2. DVC (Academic) Research Office

The DVC (Academic) delegates responsibility for developing, monitoring, and maintaining all University ethics policies and procedures, including research ethics. In particular, specialist committees (listed above) are charged with the responsibility of approving and monitoring research proposals and programmes that require specific ethical clearance.

2.1 Health Research Ethics Committee

All health related research involving human subjects requires prior ethical clearance. Application must be made on the appropriate form to the Health Research Ethics Committee.

2.2 Anima; Research Ethics Committee

University staff intending to make any use whatsoever of animals in their work, whether in research or for teaching purposes, are required to apply to the Animal Ethics Committee for ethical clearance by submitting an application on the appropriate form.

2.3 Science and Humanities Research Ethics Committee (non-Biomedical/Health)

Research involving human subjects, which is non-biomedical/health-related, requires ethical clearance from the Science and Humanities Research Ethics Committee. Application is to be made on the appropriate application form.

2.4 Institutional Bio-safety Committee

Projects involving hazardous biological or chemical materials will be reviewed by the Institutional Bio-safety Committee in addition to the usual ethical review.

3. Management of research data and records

The University is committed to openness in research. The data on which published research is based must be available for evaluation by the broader research community. There will be two database registries: one for Health Research and this will be required for annual audit by the Department of Health (NHREC) and the other for all research being carried out in the University. Agreements, under which data is kept confidential for a period in order to protect intellectual property rights, must conform with this Code.

3.1 Data storage and maintenance

- It is the responsibility of the researcher to arrange for safe storage of all data and specimens on which research is based. Costs of such storage should be included in the budgets of research programmes.
- Electronic data sets should have adequate arrangements for back-up. Ensuring this is the responsibility of the researcher.
- The primary data should be stored in the Faculty/School in which the project is based. The intention of this is to ensure safety and integrity of the data set. The overall responsibility for this rests with the Dean/Head of School.
- Data on which any research publication is based should be retained in the Faculty/School for at least five years after publication.

- If a researcher leaves the University, the University and the researcher are jointly responsible for ensuring that satisfactory arrangements are made for maintenance of the data set. If there is no contractual arrangement to determine what is to be done with the data, then possible arrangements are:
 - I. The data set is retained in the University. The researcher has access to the original data set and may keep copies.
 - II. The data set is transferred to the research institution to which the researcher is moving, provided that adequate facilities are available for conservation and storage.
 - III. If no publications based on the data set have appeared within the last five years it may be destroyed.

3.2 Confidentiality of data

- Researchers are entitled to keep data sets confidential before publication.
- After publication, when the research is in the public domain, the data should, upon request, be available to other researchers by the Principal Investigator. It is recognised that there may be technical or cost problems which prevent it being freely available, but the principle is that there should be the opportunity for checking any data on which material in the public domain is based.
- In no way do the requirements for data availability override the right to confidentiality and privacy of individuals or organisations who are the subjects of research.

4. Publication

4.1. General

The University encourages the widest dissemination of research results by appropriate publication. Pressure to publish is a modern fact of academic life with a strong bearing on the career and standing of the researcher. It is important that this pressure does not lead to ethical problems. Such problems are generally related to one of three causes:

- Failure to give appropriate credit to the work of others.
- Taking more personal credit for collaborative work than is justified by one's contribution.
- Overuse of a limited body of work to provide more publication credit than is justified.

The guidelines that follow cover many aspects of publication but cannot cover every eventuality. Researchers should always satisfy themselves that (i) they have given full credit to the work of others, whether by citation, acknowledgement, or co-authorship, (ii) that they are prepared to take responsibility for all aspects of collaborative work, and (iii) that the work that they are submitting for publication is original and worthy of publication.

4.2. Authorship

The principles in this section of the code are based on part of the Vancouver Protocol, originally developed at a meeting in Vancouver by a group of editors of medical journals. Many of the principles of the Vancouver protocol are of wider application.

- I. Each author should have participated sufficiently in the work to take public responsibility for appropriate portions of the content.
- II. One or more of the authors, as corresponding author, should take responsibility for the integrity of the work as a whole.
- III. Credit as an author should be based only on participation in each of the following aspects of the work:
 - Substantial contribution to conception and design, or acquisition of data, or analysis and interpretation of data.
 - Either drafting the article or commenting critically on the draft.
 - Approving the final version, to the extent that each author is prepared to take joint responsibility for it.
- IV. The acquisition of funding, the collection of data, or the general supervision of the research group, do not, by themselves, justify authorship. Such contributions should be listed in the acknowledgements.
- V. The order of authorship should be a joint decision of the authors, decided at an early stage of drafting the paper.
 - In most fields of research the first author is recognised as having made the most significant contribution. This is the preferred style unless the conventions of the field of research require another ordering.
 - In joint publications of a graduate student and his or her supervisor, the graduate student should be first author unless the supervisor's contribution goes well beyond material on which the graduate student has worked.

4.3. Citation and acknowledgement

It is important in all publications, including such documents as research proposals, to cite all sources properly. The form of citation is usually specified by the journal in which the article is published. In the absence of such specification, for University publications, the Harvard system is preferred.

Citations serve two purposes

- To direct the reader to further information.
- To give due credit to the source of ideas, quotations, or data.

Any of the following require appropriate citation of the source:

- Direct quotations of published material – longer quotations may require a release from the copyright holder.
- The description, summarising, or paraphrasing of any previous work.
- Use of previously published data, presented in any form, such as graphs, calculations, or tables. Use of such data also requires permission in the form of clearance from the holder of the copyright.
- Ideas that originate from other published or unpublished sources

4.4 Acknowledgement of financial support

The University gives a substantial amount of support to research, indirectly by paying the salaries of researchers, and providing an infrastructure for research, and directly by grants or awards. Outside bodies provide substantial direct research support. Collaborations between researchers may lead to indirect support for a research publication from several different institutions.

It is important that all such support is appropriately acknowledged:

4.4.1 Direct acknowledgement of the University's indirect support through salary or basic infrastructure is not necessary but any papers resulting from such support must give the University's address as the author address

- The author address shall be the University address for work done entirely while an author is at the University. This applies even if the paper has been published after the author has left the University.
- If the work has been done at more than one institution then the addresses of each institution should be used as the author address, either as alternate addresses, or with the main address being that of the institution at which most work was done and a footnote for the addresses of other institutions.
- University staff are paid and get other benefits during sabbatical leave. The author address for work done while on sabbatical leave should include the University address.

4.4.2 Direct support for research in the form of grants should be acknowledged at the end of the paper in the form required by the grant-giving body.

- University productivity awards and similar university funding need not be acknowledged specifically.

4.5 Peer review

The world of academic publishing is dependent on the willingness of researchers to give freely of their time to referee papers submitted to journals and to recommend on their publication. The University encourages its members to participate in this process. Such refereeing is done under conditions of confidentiality and is privileged. Referees should be meticulous about all the following:

- I. Referees undertake to complete their work expeditiously. If they cannot complete the review in a reasonable time they should ask the editor to select another referee.
- II. No use should be made of any of the ideas or results in the work under review until it has been published.
- III. Care should be taken to avoid a conflict of interest. If the referee is following a very similar line in his/her own work the work under review should in no circumstances be held up. If the referee is in any doubt of his/her impartiality, the work should be returned to the editor with the request that another referee be found.

- IV. It is acceptable to consult a colleague for technical advice, provided that there is agreement that this is done on the same basis of confidentiality as is required of the referee. Such consultation should be disclosed to the editor.

4.6 Redundant publication

Redundant publication is the unnecessary publication of similar material in different places:

- I. Publication of the same, or substantially the same, article in different places is not acceptable. This does not prevent the later reprinting of an article for a different readership or in an edited compilation by agreement with the editor(s) or publisher(s) involved.
- II. Researchers should consider carefully the most effective way to publish a particular research result or set of research results. This should be done with regard to the best way to communicate the results and not to maximise the publication count.
- III. The release to the media of research results that have not been peer reviewed is not acceptable. Generally, research results should always be published in a peer-reviewed journal before being released to the news media. In the case of very important results, and with the concurrence of the editor of the journal in which they are to be published, such results may be released to the press in advance. This does not prevent the publication of news items about ongoing research, or about problems that are being investigated, provided that these are not used as the medium for the release of new findings that have not been peer reviewed.

4.7 Plagiarism

Plagiarism is the unattributed and uncredited use of the ideas and work of others, whether this is in published work or in unpublished documents. It is not just the word-for-word reproduction of the work of another without attribution. Such reproduction certainly constitutes plagiarism and may also be an illegal breach of copyright, but plagiarism is also the use in any form of another's original ideas without attribution. There is a range of culpability. As ideas become absorbed into common knowledge, it may become difficult to determine their source. For this reason the highly publicised cases tend to be concerned with the direct reproduction of another's work as one's own. Nonetheless, researchers must continually be alert to the possibility that they may be unconsciously using the ideas of others. Care must be taken therefore to acknowledge all sources.

5. Research misconduct

5.1 Definition of research misconduct

The following definition of research misconduct is from the Federal Policy on Research Misconduct issued by the Office of Science and Technology Policy of the Government of the United States of America. The University of the Western Cape subscribes to this definition.

Research Misconduct Defined

Research misconduct is defined as fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results.

- *Fabrication* is making up data or results and recording or reporting them.
- *Falsification* is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
- *Plagiarism* is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.

Research misconduct does not include honest error or differences of opinion.

Findings of Research Misconduct

A finding of research misconduct requires that:

- There be a significant departure from accepted practices of the relevant research community;
- The misconduct be committed intentionally, or knowingly, or recklessly; and
- The allegation be proven by a preponderance of evidence

Notes:

1. Research, as used herein, includes all basic, applied, product-related and demonstration research in all fields of research. This includes, but is not limited to, research in economics, linguistics, medicine, psychology, social sciences, statistics, and research involving human subjects or animals.

2. The research record is the record of data or results that embody the facts resulting from scientific enquiry, and includes, but is not limited to, research proposals, laboratory records, both physical and electronic, progress reports, abstracts, theses, oral presentations, internal reports, and journal articles.

Research misconduct as so defined is a serious disciplinary offence. It is classified as misconduct under the Code of Conduct applying to UWC employees and under the Student Disciplinary Rules. In cases where investigation leads to a recommendation for disciplinary action, this will be taken under the provisions of whichever of these codes is applicable.

5.2 Dealing with research misconduct

Research misconduct is rare. Most researchers operate according to the highest standards, and, as a consequence, there is generally a high level of trust between them. Individuals are naturally reluctant to entertain any suspicion about the activities of a colleague. A serious case of research misconduct may lead to the end of a research career, and may reflect badly on colleagues and on the University. If suspicion does arise it can lead to considerable agony of mind on the part of a potential whistleblower in deciding how to proceed.

It is important, therefore, to emphasise that the University is committed to the following principles:

- Any allegation of research misconduct must be dealt with expeditiously. If such misconduct is established there is an absolute responsibility to expose it.
- A finding that research misconduct has occurred will be dealt with openly, and all steps to correct its effects will be taken.
- The rights of any researcher accused of misconduct must be protected.
- The rights of any individual reporting suspicions of such misconduct in good faith must be protected.

An individual who suspects that research misconduct may have occurred is strongly encouraged to discuss the problem in confidence, with the chairperson of the appropriate specialist ethics committee: Health Research Ethics Committee, Animal Research Ethics Committee or the Science and Humanities Research Ethics Committee, who will confidentially provide counseling to determine whether the concerns fall within the definition of research misconduct.

Because the consequences of research misconduct are so severe, there are several stages in the process for investigating it:

- I. Should an individual believe that research misconduct may have occurred the facts should be reported to the Deputy Vice-Chancellor responsible for research ethics.
- II. In consultation with the Human Resources Department and the University Proctor, as appropriate, the Deputy Vice-Chancellor (Academic) shall, without delay, appoint a committee of investigation to establish the facts of the matter and to recommend whether there is a *prima facie* case to be answered. The committee shall:
 - Inform, in confidence, those directly affected by the investigation of its nature. This will include the appropriate line manager, or supervisor of the individual involved.
 - Conduct an investigation to establish the facts.
 - Report to the Deputy Vice-Chancellor (Academic) within one month of establishment of the committee. This should either be a final report or a motivation to extend the investigation for a limited period.
 - The final report shall recommend:
 - Whether there is a *prima facie* case for disciplinary action.
 - What immediate action, if any, must be taken to rectify any irregularity. Full details of such action shall be made available to all interested parties inside and outside the University, either immediately, or, if necessary, after the completion of a disciplinary case.
- III. On receiving the report, the Deputy Vice-Chancellor (Academic) will, without delay, take appropriate action, based on the recommendations of the committee, referring the matter for disciplinary action, if necessary.

- IV. After the completion of any disciplinary case a full report of the facts of the case and the actions that have been taken to rectify the situation will be documented. The decision to make these findings public will rest with the Deputy Vice-Chancellor responsible for research ethics.
- V. All steps will be taken to protect the interest of *bona fide* individuals reporting misconduct.

6 Conflict of interest and conflict of commitment

The University encourages its members to interact with the wider community, by undertaking sponsored research, consulting, and engaging in other activities, which may benefit the University, the public, or the individual. Such activities must be consistent with principles of openness, trust, and free enquiry. In such activities it is sometimes difficult to reconcile the responsibility of the individual to the University and to the external organisation. The guiding principle is that each member of the University has a commitment to act in the best interests of the University, and must not allow external activities or financial interests to interfere with that commitment.

6.1 Conflict of Interest

A conflict of interest occurs when a member of the University has an opportunity, whether real, potential, or perceived, to place his or her personal interests, or the interests of external organisations, ahead of the interests of the University.

In the academic environment there are many opportunities for conflicts of interest to occur. Not all can be covered by formal procedures. All members of the University are expected to conduct their affairs in such a way that they can stand close scrutiny and are in accordance with scrupulous ethical and moral standards. In cases of doubt, advice should be sought before proceeding. If a member of the University has any reason to believe that some activity constitutes, or has the possibility of constituting, a conflict of interest involving research, it is required that a disclosure statement be lodged in the Research Office. The disclosure statement (Appendix F) involves:

- A statement of the nature of the conflict
- A proposal from the staff member of how the conflict of interest is to be managed
- A procedure for the management or elimination of the conflict agreed with the Head of School, Dean, or line manager as appropriate. This procedure may demand public disclosure, varying levels of oversight, and may include prohibition of the activity.

To assist members of the University in the process for disclosure, a Disclosure Form is provided, which will also contains a check list to help establish the nature of the conflict. Failure to disclose the existence of a conflict of interest may constitute dishonesty in terms of the University's disciplinary code and may lead to disciplinary action. The emphasis is on self-regulation.

6.2 Conflict of Commitment

A conflict of commitment takes place when the commitment of a member of the University to external activities affects his/her ability to meet his/her University commitments.

Generally, University researchers have commitments to their teaching, their research programmes, their research supervisions, and their administrative duties. It is expected that these commitments will be fully met, not just in the formal requirements of university policies and practices, but also in the spirit of the University's vision of excellence. In undertaking external activities, members of the University should take into account the possibility of conflict of commitment.

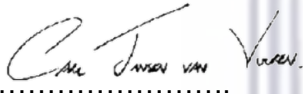
Members of the University are further required to abide by the University policy governing private remunerative work.

7 Safety

The University, in common with all other organisations in South Africa, is subject to the provisions of the Occupational Health and Safety Act No. 85 of 1993 . All questions relating to this Act and its application should be directed to the Occupational Health and Safety Manager, Risk Management Services, ext 2818.

8. RESEARCH ETHICS POLICY UNDERTAKING

I ...Carel D. Jansen van Vuuren....., hereby acknowledge that I am familiar with the provisions of the University of the Western Cape Code of Conduct for Research and undertake to comply with its requirements.



.....
Signature

.....13 February 2016

Date

Staff / Student Number: 3 5 8 0 1 3 1

UNIVERSITY of the
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Guidelines for Experimental Therapies

Recommendations and Guidelines for University of the Western Cape Health Research Ethics Committee

Clinicians and researchers should not contemplate experimental therapy and the UWC Health Research Ethics Committee (HREC) will not approve any protocols unless an affirmative response can be given to all of the following questions.

1. Does the applicant(s) have sufficient technical skill and experience to optimise the chances of success of the experimental therapy? The applicant should be able to demonstrate a comprehensive understanding of the scope of the procedure and its implications based upon research and publications.
2. Does an institutional structure exist within the host centre for integrated clinical care between teams and other clinicians required to optimise short- and long-term care? For example, all units required for optimal pre- and post-operative patient care must possess appropriate professional expertise and explicitly agree to co-operate in the provision of ongoing support for participating patients.
3. Does a comprehensive and coherent protocol exist for the selection of suitable patients for the experimental therapy? "Suitability" will address the physical, psychological and social attributes of the recipient, which will not only optimise the chance of success, but also optimise the potential for giving valid informed consent for the procedure and all aspects of its outcome.
4. Does the REC protocol provide potential patients with adequate information on the basis of which valid informed consent can be given? Methods must be in place to accurately confirm understanding of the information and the sustained character of a choice to proceed. It is of particular importance that this information should include comprehensive explanations of any known risks. It must be demonstrable that the patient understands what would be involved, both physically and psychologically in the event of failure of the therapy.
5. Does the REC protocol provide adequate information for potential patients about how little is known about some of the risks associated with the experimental therapy? This will be of particular importance for the moral and legal acceptability of any consent that is given to proceed.
6. If required, does the clinician/researcher have integrated links with a team with appropriate psychological expertise (including psychiatrists and psychologists) to provide support adequate to ensuring that prospective patients can give valid informed consent to experimental therapy? For example, the team should determine that the distress of the patient about their condition will not be an impediment to their being able to understand and to weigh up the pros and cons of the experimental procedure thus to their being able to make a competent choice.
7. In addition to the clinician or researcher obtaining consent to the experimental procedure, are there others involved in the process of acquiring informed consent and checking understanding who are sufficiently independent from the team itself to ensure that they are not explicitly or implicitly influenced by any factors other than respect for and protection of the patient?

For example, given the understandable enthusiasm of research teams to achieve innovative success with experimental therapy, it is essential that risks and benefits are also presented by others with demonstrable independence. Provision should be made for a dedicated program of education and assessment of understanding that is presented in the protocol and which can be tailored to the needs of individual patients.

8. How will the psychological team provide long-term therapeutic support to the patient after success or potential and/or actual failure of the experimental therapy? Is there sufficient evidence of expertise across the team for this to be done effectively? The protocol should indicate a clear schedule of long-term care linked to the management of potential problems, observation of patients and for the maintenance and security of records (DOH, 2004).
9. Can the clinical/research team, the psychological team and the host facility guarantee the long-term funding required to ensure that all patients will continue to receive the care and support specifically outlined in the protocol approved by the REC whether the experimental therapy has been successful or unsuccessful? These patients are participants in research and not conventional medical care. For this reason, long-term follow-up is essential to protect their best interests, but also to ensure that optimal empirical evidence about the outcome of the experimental therapy is properly collected and assessed. This follow-up care and research must therefore be dedicated, complex, lifelong and inevitably expensive. Unless the financial resources sufficient for such protection and support are identified and accepted as appropriated by the REC, the experimental therapy should not proceed.
10. The composition of the UWC HREC that considers an application for experimental therapies, to ensure appropriate and representative expertise, should include experts in all areas of care including any representative organisations who provide support for such patients. These individuals should be demonstrably independent from the applicants proposing the experimental therapy.
11. In their deliberations about specific protocols, members of the REC should be sure that they remain independent from the interests of the institution where the experimental therapy may occur. They should equally ensure that their final decision is consistent with Paragraph 6 of the Helsinki declaration, "in medical research involving human subjects, the well-being of the individual research subject must take precedence over all other interests" (WMA, 2008).

References

World Medical Association, Declaration of Helsinki: Ethical principles for medical research involving human subjects. <http://www.wma.net/e/policy/c8.htm>. Last accessed 22 June 2009.

Ethics in Health Research: Principles, Structures and Processes. Research Ethics Guidelines. Department of Health, 2004.

Guidelines adapted from: Morris P, Bradley A, Doyal L, Earley M, Hagen P, Milling M, Rumsey N. Face transplantation: a review of the technical, immunological, psychological and clinical issues with recommendations for good practice. *Transplantation* 2007; 83(2):109-28.

Guidelines for Clinical Photography in Research and Teaching at the University of the Western Cape

Background

Ethical photography demands that persons taking photographs of patients or subjects whether for research, clinical or teaching purposes (i) protect patient autonomy and rights (ii) protect patient data and confidentiality and (iii) preserve the integrity of patient records. These demands comply with the requirements of the Health Professions Council of South Africa for good record-keeping. They are a demonstration of professionalism because they are virtuous aspects of clinical photographic practice, and because primarily the resultant image is a medical record, and any other use is subsidiary.

Scope of this guidance

This guidance covers all types of audio and visual recordings of patients, carried out for research, clinical, teaching or other purposes. 'Recording' in this guidance means originals or copies of video and audio recordings, photographs and other visual images of patients. A 'recording' does not include pathology slides containing human tissue (as opposed to an image of such a slide).

1. Basic principles

When making recordings you must take particular care to respect patients' autonomy and privacy since individuals may be identifiable, to those who know them, from minor details that you may overlook. The following general principles apply to most recordings although there are some exceptions, which are explained later in this guidance.

- Seek permission to make the recording and get consent for any use or disclosure.
- Give patients adequate information about the purpose of the recording when seeking their permission.
- Ensure that patients are under no pressure to give their permission for the recording to be made.
- Stop the recording if the patient asks you to, or if it is having an adverse effect on the consultation or treatment.
- Do not participate in any recording made against a patient's wishes.
- Ensure that the recording does not compromise patients' privacy and dignity.
- Do not use recordings for purposes outside the scope of the original consent for use, without obtaining further consent.
- Make appropriate secure arrangements for storage of recordings.

Where children who lack the understanding to give their permission are to be recorded, you must get permission to record from a parent or guardian.

When a mental disability or mental or physical illness prevents patients giving their permission, you must get agreement to record from a close relative, guardian or carer.

2. Recordings for which permission is not required

You do not need to seek separate permission to make the recordings listed below. Nor do you need consent to use them for any purpose, provided that, before use, the recordings are

effectively anonymised by the removal of any identifying marks (writing in the margins of an x-ray, for example):

- Images taken from pathology slides
- X-rays
- Laparoscopic images
- Images of internal organs
- Ultrasound images

Such recordings are unlikely to raise issues about autonomy and will not identify the patient. It may nonetheless be appropriate to explain to the patient, as part of the process of obtaining consent to the treatment or assessment procedure, that a recording will be made.

3. Recordings for which permission is required

3.1 Recordings made for the training or assessment of students, audit, research or medico-legal reasons

You must obtain permission to make and consent to use any recording made for reasons other than the patient's treatment or assessment.

3.1.1. Before the recording, you must ensure that patients:

- I. Understand the purpose of the recording, who will be allowed to see it - including names if they are known - the circumstances in which it will be shown, whether copies will be made, arrangements for storage and how long the recording will be kept.
- II. Understand that withholding permission for the recording to be made, or withdrawing permission during the recording, will not affect the quality of care they receive.
- III. Are given time to read explanatory material and to consider the implications of giving their written permission. Forms and explanatory material should not imply that permission is expected. They should be written in language that is easily understood. If necessary, translations should be provided.

3.1.2 After the recording, you must ensure that:

- I. Participants are asked if they want to vary or withdraw their consent to the use of the recording.
- II. Recordings are used only for the purpose for which participants have given consent.
- III. Participants are given the chance, if they wish, to see the recording in the form in which it will be shown.
- IV. Recordings are given the same level of protection as health records against improper disclosure.
- V. If a participant withdraws or fails to confirm consent for the use of the recording, the recording is not used and is erased as soon as possible.

4. Existing collections used for teaching purposes

Some researchers may have existing collections of recordings which they use solely for teaching purposes within an academic/teaching setting. This guidance requires that permission is obtained to make any recording which is not part of the participant's assessment or treatment, regardless of whether the participant may be identifiable. However, recordings may have been made for teaching purposes prior to 2009 without it being recorded whether or not permission had been obtained. Such collections may have a significant value for teaching purposes.

You may continue to use recordings from which the participant is not identifiable, and which were made for teaching purposes prior to 2009. You should, however, seek to replace such recordings at the earliest opportunity with similar recordings for which permission can be shown to have been obtained. You may also continue to use effectively anonymised recordings that were originally made for assessment purposes. However, you should not use any recording, from which a participant may be identifiable, for teaching purposes if you cannot demonstrate that consent has been obtained for that use.

5. Recordings for use in public media (television, radio, internet, print)

In general, the considerations set out above also apply to recordings for use in public media. There are, however, some issues that are specific to recordings to which the public will have access:

- I. You must not make recordings for use in publicly accessible media without written permission, whether or not you consider the participant to be identifiable. 'Publicly accessible media' includes scientific journals.
- II. Before making any arrangements for external individuals or organisations to film participants in a health care or other University setting, you must inform the University.
- III. If you are involved in any way with recording patients for television or other public media, you should satisfy yourself that participants' permission has been properly obtained, even if you are not responsible for obtaining that permission or do not have control of the recording process.
- IV. In addition, you should make sure that participants understand that, once they have agreed to the recording, they may not be able to withhold their consent for its subsequent use. If participants wish to restrict the use of material, they should get agreement in writing from the owners of the recording, before recording begins.
- V. You should be particularly vigilant in recordings of those who are unable to give permission themselves. You should consider whether participants' interests and well-being, and in particular their privacy and dignity, are likely to be compromised by the recording, and whether sufficient account has been taken of these issues by the programme makers. If you believe that the recording is unduly intrusive or damaging to participants' interests, you should raise the issue with the programme makers. If you remain concerned, you should do your best to stop the recording, for example by halting a consultation, and withdraw your co-operation.

6. Data and Dissemination

Special consent for electronic publishing: Participants must be made aware of possible forms of publication now in existence and the lack of control that it is possible to exercise over who will see these images.

Proposed procedure for obtaining consent for Clinical Photography in Research and Teaching at the University of the Western Cape

The clinical photographer must be trained in asking consent from the patient using a uniform consent form.

1. The patient is asked to read through the consent form.
2. The photographer explicitly discusses each of the sections of the consent form with the patient or subject and invites questions.
3. The patient or subject is informed precisely about the nature of the image to be taken and whether they will be recognisable.
4. Patients who give consent and who may be identified from the images are given two weeks from the date of photography, allowing them time to reflect, and during which time they can withdraw consent, before the photographs are available for publication.
5. Three categories of consent may be presented to the patient or subject: (i) use of their images in confidential notes for teaching and publication, (ii) use restricted to patient notes and medical teaching and (iii) use limited to confidential patient notes alone.
6. The patient must be informed about the possibility that the images may be used in electronic publications.
7. The patient may view the images at any time and can withdraw consent, in which case the image is deleted permanently from the database. However, it is emphasised at the time of consent that full recovery of the image may not be possible once it has been made available for publication.
8. It must be made clear that refusal to give consent for the image to be made, or to be used in a specific way, will not affect the patient's medical or dental care in any way.
9. If the patient is under 16, consent must be requested from the parent or guardian. However, the views of competent minors can be taken into account, and if they refuse to give consent, no images should be taken.
10. After a video image has been taken, the patient or subject is asked to confirm the initial consent.

Example of a Consent Form UNIVERSITY

OF THE WESTERN CAPE

Patient Consent to Clinical Photography and Video Recordings	Surname:
	Name:
	Date of Birth: Gender:

I, consent to photographs or video recordings being taken of me/my child as requested, I understand that these photographs and recordings will be treated with the utmost confidentiality and be part of my health record. I hereby give consent for the images or recordings to be used for:

- Education and training purposes
- Approved research purposes
- Open publication in journals, text books or conference material
- I understand that all efforts will be made to conceal my identity but that full confidentiality cannot be guaranteed.
- I understand that my consent or refusal will in no way affect my dental care.

Patient Signature: Date.....

Parent/Guardian (if patient under 16 years) Name:

Signature.....

Witness Name Signature.....

Requesting Clinician Name (print):
Date:
Department: Phone:
Patient Name (print):
Views required
Required for: Records Teaching/Lectures Research Publication
Images taken by: Date.....
Location where copies stored:

Conflict of Interest Disclosure Form
Conflict of Interest regarding research

Any member of the University staff, including staff employed in posts funded by outside bodies, is required to disclose to the Dean/Head of School, or other appropriate line manager, any actual or perceived conflict of interest that may arise in the course of his or her research work. Such disclosure may be made on this form or as an equivalent written submission. After completion, the disclosure must be lodged in the Research Office.

Failure to disclose a conflict of interest may lead to disciplinary action.

Name of staff member making disclosure	
Staff number	
School/Faculty	
Name of staff member to whom disclosure is being made	

Check list:

Circle "Yes" or "No" for each question. Benefits marked with an asterisk are prohibited.

Financial Interest:

Do you or a close member of your family have any financial interest in or affiliation with an institution, company, or individual that:

Funds or sponsors your research?	Yes	No
May benefit directly or indirectly from access to or use of University resources?	Yes	No
May benefit directly or indirectly from the purchase of major equipment by the University for this project?	Yes	No
May benefit directly or indirectly by inappropriate delays or controls on the dissemination of the results of the research?	Yes	No

Will you or a close member of your family receive any:

<p>* Discounts or concessions or other financial benefits from a company or individual with which an order is placed? <i>(The award of air miles associated with the purchase of air tickets and other travel expenses is permitted and does not require disclosure, provided that mechanisms are in place to ensure that itineraries and fares are appropriate to the travel requirements. The normal mechanism would be a counter-signature on the order by the line manager.)</i></p>	Yes	No
<p>* Discounts or concessions or other financial benefits from a company or individual that is awarded a contract?</p>	Yes	No

Perception of Nepotism:

<p>Will any close member of your family be employed from funds under your control?</p>	Yes	No
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Clinical Trials:

<p>Does the research involve a clinical trial being conducted by an individual, company, or organisation that has a significant financial interest in the results of the trial?</p>	Yes	No
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If the answer to any of the above is “Yes” then:

- 1. Outline the nature of the conflict.**
- 2. Describe the sense in which the situation is of benefit to the University and the research programme.**
- 3. Propose a mechanism for the management of the conflict.**

Agreed Procedure for the Management of the Conflict:

To be completed by the Dean/Head of School or other appropriate line manager:



Certification:

I certify that I have disclosed everything relevant to the Dean/Head of School/line manager. I undertake to act according to the Management Plan above.

Signature of Researcher:

Date:.....

I have applied my mind to the situation described above and will monitor compliance with the Management Plan.

Signature of Head of School/Dean:.....

Date:

Useful additional material

These links are listed to provide additional reading. The responsibility for content is the responsibility of the organisations maintaining the sites.

- *On being a scientist – Responsible conduct in research*, National Academy Press, Washington DC 1995.
- *Joint NHMRC/AV-CC statement and guidelines on research practice*, Australian Vice Chancellors' Committee.
- *A Guide to Research Ethics for Staff and Students*, compiled by the Unilever Ethics Centre, University of KwaZulu-Natal.
- *Online Ethics Center for Engineering and Science* at Case Western Reserve University.
- *Office of Research Integrity* US Department of Health and Human Services
- *Bill of Rights of the Constitution of South Africa Act 106 of 1996*
<http://www.crisa.org.za/downloads/billofrights.pdf>.
- *National Statement on Ethical Conduct in Research Involving Humans- Preamble* National Health and Medical Research Council.
<http://www.health.gov.au/nhmrc/publications/humans/preamble.htm>
- *Report of the Review of the Role and Functioning of Institutional Ethics Committees*. A Report to the Minister of Health and Family Services, March 1996, Commonwealth of Australia, Canberra.
- *The Belmont Report: Ethical Principles and Guidelines for the Protection of Human Subjects of Research*. The National Commission for the Protection of Human Subjects of Biomedical and Behavioural Research, Department of Health, Education and Welfare Publication No (OS) 78-0012, US Government Printing Office Washington, 1978.
- *International Ethical Guidelines for Biomedical Research Involving Human Subjects, CIOMS, Geneva, 1993, p.11*. Council for International Organizations of Medical Sciences (CIOMS) in collaboration with the World Health Organisation (WHO).
- *Large Research Grants Scheme: Guidelines for the year 2000 Grants*, Australian Research Council, 1999, p.4. Department of Education, Training and Youth Affairs,
- *Guidelines and Policies*, University of Waterloo.
<http://www.research.uwaterloo.ca/ethics/human/guidelines.asp>
- *Integrity in Research Administrative Guidelines*, University of Waterloo.
http://www.research.uwaterloo.ca/ethics/misconduct/guidelines/misconduct_guidelines.html 8/26/2004
- *Ethical Behaviour Policy 33*. University of Waterloo.
<http://www.research.uwaterloo.ca/ethics/misconduct/guidelines/policy33.htm>
- *McGill University policy on research ethics*. McGill Research at McGill
<http://www.mcgill.ca/researchoffice/policies/sponsored/policies/ethics>

- *Regulations governing conflicts of interest in proprietary research* McGill Research at Mc Gill. <http://www.mcgill.ca/researchoffice/policies/sponsored/policies/proprietary>
- *Laboratory Biohazards Policy for Research Facilities and Personnel* Texas Tech University Health Sciences Centre.
- *Policy and procedures on Ethics in Research.* The University of North Carolina at Chapel Hill, August 1994.
- *Human Research Ethics Committee* Central Queensland University. <http://www/cqu.edu.au/ppmanual/committees/humanresearch.pdf>
- *Ethics Review of Research Involving Human Subjects* Simon Fraser University. <http://www2.sfu.ca/policies/research/r20-01.htm>
- *About Ethics at CDU.* Charles Darwin University. http://www/cdu.edu.au/research/ethics/ethics_about.html
- *Current Students –Postgraduate Research.* The University of New South Wales <http://www.unsw.edu.au/currentStudents/postgradResearch/res/cspgrpolicyproc.html>
- *Joint NHMRC/AV-CC Statement and Guidelines on Research Practice.* Australian Vice-Chancellors' Committee. http://www.avcc.edu.au/news/public_statements/publications/girespra.htm
- *Ethics Policy* St Edwards University, Course Policies. <http://www.stedwards.edu/educ/minus/read1323/gethicteach.htm>



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ANNEXURE G: EXECUTIVE SUMMARY OF THE PILOT STUDY

Outcomes of test interview conducted on 3 October 2019, at 11:00 to 12:00

The purpose of the test interview was to ensure questions are well understood and unambiguous, evaluating the practical execution and time taken to complete the interview, and acquire input from my supervisors on areas to improve the questionnaire.

The test interview lasted 55 minutes. Setting the scene, providing context to the study, defining VUCA, elaborating on the interviewee's right to stop the interview at any time and confidentiality assurance, took 5 minutes. The 19 questions took 50 minutes in total. The interview was recorded digitally.

Outcomes:

The first 3 questions have less structure and are more open questions. They provide information on the interviewee's point of view regarding required leadership behaviour and skills to achieve high performance under VUCA conditions. These questions provided deep, rich and quality insights of the interviewee's perception on these issues.

The next 12 questions (4 to 15) are more structured and tested the interviewee's perception of how successful the university's leadership measures-up against specific success factors/capabilities identified from a literature search on high performance leadership under VUCA conditions (Research Question 1), i.e. themes identified are: empowerment, trust, level of engagement and commitment, teamwork, innovation and creativity in solving problems, communication, ethical behaviour, employing diversity, emotional intelligence, mindfulness, collaboration and consensus seeking. The interviewee provided general answers regarding the importance of these factors and did not really answer as to how the current leadership measure-up against these factors. In an attempt to overcome the latter dilemma, the interviewer improvised by asking the interviewee to rate current leadership performance on a scale of 1 to 10, 1 being very poor and 10 exceptional. The interviewer also had to ask for actual work-related examples to substantiate and validate the interviewee's answers.

Questions 16 to 18 are also more structured and are testing key considerations influencing the effectiveness of leadership behaviour under VUCA conditions (Research Question 2), i.e. themes identified are: organizational culture, the contribution of women and the impact of the millennium cohort on leadership effectiveness. These questions provided deep, rich and quality insights of the interviewee's perception on these issues.

The last question (19) is an open-ended question seeking personal insights of the interviewee's perception on the issue of effective leadership under VUCA conditions.

The way forward and recommended suggestions:

Employ a rating scale of 1-to-10 (1 being very poor and 10 exceptional) to be applied additionally to questions 4 to 15 in order to gauge the answer to what extent the current leadership measure-up against these critical success factors. These ratings will provide a way to objectively measure and clarify relatively how these factors measure against the ideal capabilities.

Question 11 regarding the employment of diversity should move from the category how successful the university's leadership measures-up against specific "success factors/capabilities" (Research Question 1) to the category key considerations influencing the effectiveness of leadership behaviour under VUCA conditions (Research Question 2)

The interviewer will prompt the interviewee with every question to provide a real work-related example to substantiate and validate the answer and rating provided.

With every question the interviewer will clarify terminology, i.e. emotional intelligence, mindfulness and the millennial cohort. This will eliminate misinterpretation and ensure interviewees answer questions with the same understanding of what the question entails.

Conclusion:

The pilot interview proved to be valuable to refine the semi-structured questionnaire. Practical improvements were identified and discussed, hence the recommendations above. (End of report)

ANNEXURE H: LANGUAGE EDITOR CONFIRMATION LETTER

14 December 2020

To whom it may concern:

I hereby confirm that I, Sarah Boyd, reviewed and edited the doctoral thesis of Carel Jansen van Vuuren entitled “Contemporary leadership behaviour enabling leadership efficiency in a public university” for submission to the University of the Western Cape. Specifically, I performed the following services:

- Proofreading for spelling and grammar errors
- Stylistic editing for word choice, sentence construction, and flow
- Structural editing for appropriate content and organisation

I did this in my capacity as a freelance writer, editor, and researcher of academic writing, including journal articles, case studies, white papers, and reports. My main qualifications for this work are a Master of Business Administration from the Graduate School of Business at the University of Cape Town, as well as a Master of Engineering from Rensselaer Polytechnic Institute in Troy, New York.

Regards,



Sarah Boyd

Sarah.L.Boyd2@gmail.com

