

**A FRAMEWORK FOR LEADERSHIP AND
MANAGEMENT OF A MEDICAL SCHOOL
IN SOUTH AFRICA**

by

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DECLARATION

I hereby declare that the work submitted here is the result of my own independent investigation. Where help was sought, it was acknowledged. I further declare that this work is submitted for the first time at this university/faculty towards a Ph.D. degree in Health Professions Education and that it has never been submitted to any other university/faculty for the purpose of obtaining a degree.

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**“Your job might give you authority and power,
but your behaviour earns you respect”**

Coetzee 2003

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LIST OF ACRONYMS

CEO:	Chief Executive Officer
CHE:	Council on Higher Education
DCI:	Data-collection instrument
DoE:	Department of Education
DoH:	Department of Health
E & T:	Education and Training
ETQA:	Education and Training Quality Assurer
HDUs:	Historically Disadvantaged Universities
HE:	higher education
HoD:	Head of Department
HPCSA:	Health Professions Council of South Africa
HWIs:	Historically White Institutions
IT:	Information technology
LMG:	Leadership and Management Group
NCHE:	National Commission on Higher Education
NHS:	National Health System
NPHE:	National Plan for Higher Education
NWG:	National Working Group
RSA:	Republic of South Africa
SA:	South Africa

SAQA:	South African Qualifications Authority
SD:	Service delivery
UFS:	University of the Free State
UK:	United Kingdom
WHA:	World Health Assembly
WHO:	World Health Organization

SUMMARY

Key terms: Academic leadership and management; Dean; Delphi study; framework; Head of Medical School; health care; Health Professions Education; higher education; leadership and management group; medical school; structured interviews; qualitative and quantitative approach

In future, more emphasis will be placed on the outcomes of education and on its impacts on health care and health status. In this, leadership and management play a decisive role. It will be required of the leadership and management of a medical school to adapt to the changing needs and demands of medical education.

Managers need to reassess their role and create an environment within which education and training can be conducted successfully. The complexity of medical and education institutions; the changes that have occurred and are still occurring; as well as the expectations of higher education and health institutions and bodies, demand that urgent and informed action be taken in leadership and on the management front.

The question that has arisen was, "How can a medical school meet the demands for effective and efficient leadership and management in a changing environment, taking into consideration the unique features of academic institutions?"

Against this background, the problem that was addressed, was that of a lack of a framework within which to fit the concept of leadership and management in a medical school. Therefore the aim of this study was to address the problem by designing such a framework for leadership and management in medical schools on which the leadership and management of a school could be modelled if a school should wish to do so.

The objectives were to gain a deeper insight into approaches to leadership and management *per se*, particularly in institutions for higher education, including medical education and training; to gain an understanding of the changes impacting on higher education and the role that it plays in leadership and management; to determine criteria for a framework for academic leadership and management in a medical school; to test the criteria (by means of formulated statements) for leadership and management in a medical school; and to design a framework for leadership and management that can be implemented in any medical school in South Africa.

Quantitative and qualitative approaches were used to complement each other; to provide a better understanding of the research problem; as well as to enhance the interpretability of the research findings. The methods which were used and which formed the basis of the study, comprised a literature review, and - as the empirical study - structured interviews and Delphi questionnaires.

The focus of the literature study was on the higher education system and institutional management trends and challenges, as well as on certain perspectives of leadership and management, describing the meaning of leadership and management in an academic context; the characteristics and qualities of leaders and managers; as well as the challenges that the leadership and management group face. The literature review was used as a support for the design of the interview guide that was used during the structured interviews.

Questions pertaining to aspects such as challenges which have to be faced; strategies that have to be followed in addition to the needs in order to successfully master the challenges; difficulties concerning leadership and management; the role that has to be played; as well as leadership qualities and managerial knowledge, skills and competencies needed for effective leadership and management; were included. Six participants were selected for the structured interviews by means of judgement sampling and formulated criteria. The analysis of the interview findings was done by the researcher according to scientific methods. The results were displayed in tables and were used, together with the criteria identified from the literature study, to compile the statements that were used in the Delphi questionnaire.

The Delphi technique not only provides quantitative information about the subject of the study, but also qualitative information. The Delphi

questionnaire which had been structured, included nine sections, namely challenges; strategies; roles; leadership qualities; managerial knowledge, skills and competencies; performance areas; management structures; infrastructure and facilities; as well as the aspects that have to be addressed in a framework for leadership and management. Six experts were selected from higher education institutions who occupied positions where they played a leadership role and/or were involved in academic management. The analysis of the various rounds of the Delphi process was done manually by the researcher. The results of the Delphi process are included in the Appendices.

All the respondents in the empirical study consented to take part. Pre-testing of the interview guide and the Delphi questionnaire were done through pilot studies. These actions were undertaken to ensure the reliability, validity and trustworthiness of the study.

The findings of the empirical study were reported on by means of a description and discussion of the structured interviews, followed by those of the Delphi study. These findings were used to compile a framework for leadership and management in a medical school.

The premises for the academic leadership and management framework; the departure points for successful implementation; the different role-players who influence leadership and management in medical schools; as well as detailed

formulations of the recommendations on each aspect included in the framework, were given. The researcher proposed two ways of how the recommendations made in the framework could be used, namely a sliding and a layering approach and/or by using them together with a planning indicator.

Final conclusions were drawn, and the limitations of the study and recommendations were highlighted.

With this study an attempt was made to contribute to effective and efficient academic leadership and management in Medical Schools in South Africa.

OPSOMMING

Sleuteltermes: Akademiese leierskap en bestuur; Dekaan; Delphi-studie; raamwerk; Hoof van die Mediese Skool; gesondheidsorg; Gesondheidsberoepsonderwys; hoër onderwys; leierskap- en bestuursgroep; mediese skool; gestruktureerde onderhoude; kwalitatiewe en kwantitatiewe benadering.

In die toekoms sal meer klem geplaas word op die uitkomst van onderwys, asook op die impak daarvan op gesondheidsorg en die stand van gesondheid. In hierdie opsig speel leierskap en bestuur 'n deurslaggewende rol. Daar sal van die leierskap en bestuur van 'n mediese skool vereis word om aan te pas by die veranderende behoeftes en eise van die mediese onderwys.

Dit is essensieel dat bestuurders hul rol in herooring moet neem en 'n omgewing moet skep waarin onderwys en opleiding suksesvol kan geskied. Die kompleksiteit van mediese en opvoedkundige instellings; die veranderinge wat plaasgevind het en nog steeds besig is om plaas te vind; asook die verwagtinge van hoër onderwys en gesondheidsinstellings en –liggame, vereis dat dringende en ingeligte aksie op die leierskaps- en bestuursfront moet plaasvind.

Die vraag wat opgeduik het, was die volgende: "Hoe kan 'n mediese skool voldoen aan die eise om effektiewe en bekwame leierskap en bestuur in 'n veranderende omgewing, terwyl die unieke kenmerke van akademiese instellings in aanmerking geneem word?"

Teen hierdie agtergrond is die probleem wat aangespreek is, die gebrek aan 'n raamwerk waarbinne die konsep van leierskap en bestuur in 'n mediese skool kan inpas. Om daardie rede was die hoofdoel van hierdie studie om die probleem aan te spreek deur so 'n raamwerk vir leierskap en bestuur in 'n mediese skool te ontwerp. Die leierskap en bestuur van so 'n skool sou die raamwerk as 'n voorbeeld kon gebruik om 'n model te ontwikkel indien die skool dit sou wou doen.

Die doelwitte was om 'n dieper insig in benaderinge tot leierskap en bestuur as sulks - veral in hoërondewysinstellings - te verkry, insluitende mediese onderwys en opleiding; om 'n begrip te vorm van die veranderinge wat 'n uitwerking op hoër onderwys het, asook van die rol wat dit in leierskap en bestuur speel; om kriteria vir 'n raamwerk vir akademiese leierskap en bestuur in 'n mediese skool te bepaal; om die kriteria te toets (deur middel van geformuleerde stellings) vir leierskap en bestuur in 'n mediese skool; en om 'n raamwerk vir leierskap en bestuur te ontwerp wat in enige mediese skool in Suid-Afrika geïmplementeer kan word.

Kwantitatiewe en kwalitatiewe benaderinge is gebruik om mekaar aan te vul; om 'n beter begrip van die navorsingsprobleem daar te stel; asook om die interpreteerbaarheid van die resultaatbevindinge te verhoog. Die metodes wat gebruik is en wat die basis vir die studie gevorm het, het bestaan uit 'n literatuuroorsig en – as die empiriese studie – gestruktureerde onderhoude en die Delphi-vraelyste.

Die fokus van die studie was op die hoërondewysstelsel en institusionele bestuursneiginge en -uitdagings, asook op sekere perspektiewe van leierskap en bestuur, terwyl die betekenis van leierskap en bestuur in die akademiese konteks beskryf is; die karaktertrekke en kwaliteite van leiers en bestuurders; asook die uitdagings wat die leierskaps- en bestuursgroep in die gesig staar. Die literatuuroorsig is gebruik ter ondersteuning van die ontwerp van die onderhoudsgids wat gebruik is ter ondersteuning van die gestruktureerde onderhoude.

Vrae wat betrekking het op aspekte soos uitdagings wat in die gesig gestaar moet word; strategieë wat gevolg moet word; die noodsaaklikhede wat benodig word om die uitdaginge suksesvol die hoof te bied; probleme rakende leierskap en bestuur; die rol wat gespeel moet word; asook leierskapskwaliteite en bestuurskennis, vaardighede en bekwaamhede wat essensieel is vir doeltreffende

leierskap en bestuur, is ingesluit. Ses deelnemers is uitgesoek vir die gestruktureerde onderhoude volgens geformuleerde kriteria. Die analise van die bevindinge van die onderhoude is deur die navorser gedoen volgens voorgeskrewe wetenskaplike metodes. Die resultate is aangedui deur van tabelle gebruik te maak saam met die kriteria wat voortgespruit het uit die literatuurstudie om die stellinge wat in die Delphi-vraelys gebruik is, saam te stel.

Die Delphi-tegniek voorsien nie alleen kwantitatiewe inligting rakende die onderwerp van die studie nie, maar ook kwalitatiewe inligting. Die Delphi-vraelys wat saamgestel is, het uit nege afdelings bestaan, naamlik uitdaginge; strategieë; rolle; leierskapseienskappe; bestuurskennis; vaardighede en bekwaamhede; prestasiegebiede; bestuurstrukture; infrastruktuur en fasiliteite; asook die aspekte wat aangespreek moet word in 'n raamwerk vir leierskap en bestuur. Ses deskundiges verbonde aan hoërondewysinstellings is uitgesoek waar hulle betrekkinge beklee het waarbinne hulle 'n leierskapsrol gespeel het en/of in akademiese bestuur betrokke was. Die analise van die verskillende rondtes van die Delphi-proses is met die hand deur die navorser gedoen. Die resultate van die Delphi-proses is ingesluit in die Bylaes.

Al die respondente in die empiriese studie het ingestem om deel te neem. Vooraftoetsing van die onderhoudsgids en die Delphi vraelys het plaasgevind

deur middel van loodsstudies. Hierdie aksies is aangepak om die geldigheid, betroubaarheid en geloofwaardigheid van die studie te bepaal.

Die bevindinge van die empiriese studie is gerapporteer deur middel van 'n beskrywing en 'n bespreking van die gestruktureerde onderhoude, gevolg deur dié van die Delphi-studie. Hierdie bevindinge is gebruik om 'n raamwerk vir leierskap en bestuur in 'n mediese skool saam te stel.

Die voorafgaande stellings vir die akademiese leierskaps- en bestuursraamwerk; die vertrekpunte vir suksesvolle implementering daarvan; die verskillende rolspelers wat 'n invloed uitoefen op leierskap en bestuur in mediese skole; asook gedetailleerde formulerings van die aanbevelinge rakende elke aspek wat in die raamwerk ingesluit is, is voorsien. Die navorser het twee metodes voorgestel waarvolgens die aanbevelinge wat in die raamwerk gemaak is, gebruik kon word, naamlik 'n "sliding" en 'n "layering approach" en/of deur hierdie twee benaderinge saam met 'n beplanningsaanwyser te gebruik.

Finale gevolgtrekkings is gemaak en die beperkinge van die studie, asook die aanbevelings, is uitgelig.

Met hierdie studie is gepoog om 'n bydrae gelewer tot effektiewe en bekwame akademiese leierskap en bestuur in mediese skole in Suid-Afrika.

A FRAMEWORK FOR LEADERSHIP AND MANAGEMENT OF A MEDICAL SCHOOL IN SOUTH AFRICA

CHAPTER 1

ORIENTATION TO THE STUDY

1.1 INTRODUCTION

Health care systems worldwide face new challenges and new responses are called for. The quest for relevance, quality, cost-effectiveness and equity in health care appears to be universal and health status and care everywhere are influenced by prevailing economic, social and political realities.

Higher education institutions, in which medical schools in South Africa find their homes, are also confronted with rapid changes, multiplying demands on their leadership and a growing need for transformation. Concurrent with the demands for transformation of the medical school itself and in medical education, there is an increased need to make curricula more relevant to the needs of the communities which educational institutions serve. Challenges are also posed by increasingly complex and multicultural learning environments. These challenges will compel management and leadership of medical schools to seek more

efficient and effective means of satisfying those needs. Whether the education and training, research and service of an educational institution will blossom or fail, quantitatively as well as qualitatively, primarily depend on the management and leadership abilities and skills employed (Bitzer, Human & Labuschagné 1986:1).

It will be required of the leadership and management of a medical school to change their attitude and management style in order to adapt to the changing needs and demands of medical education. Managers need to reassess their role and create an environment within which education and training can be conducted successfully. Therefore a need has arisen in South African medical schools for a framework on which the leadership and management of a school can be modelled. The complexity of management in an educational institution; the changes that have occurred and are still occurring; as well as the expectations of higher education and health institutions and bodies demand urgent and informed action to be taken in leadership and on the management front.

For some time now the World Health Organization (WHO) has been promoting the need to co-ordinate health services and the education and training of health personnel. Over the years, lessons have been learnt about the factors that influence changes in health care organisations, the health professions and

educational institutions, in addition to the need to forge links between them (Boelen 1996:5).

The resolution (WHA48.8) on the reorientation of medical education and medical practice of health for all, adopted by the World Health Assembly (WHA) in May 1995 (Engel 1996:6) urges all member states and the WHO to undertake a series of activities to reform medical education and medical practice with a view to increasing relevance, quality, cost-effectiveness and equity in health care. It provides a useful framework for the development of a global strategy for action. The challenge here lies in the initiation of innovative research and action that will encourage the improvement of education for health professions. In future, more emphasis will be placed on the outcome of education and on its impact on health care and health status. In this, leadership and management play a decisive role.

Universities are complex organisations. When management and leadership are discussed, the first thing that must be kept in mind is that organisations vary in a number of important ways: they have different types of clients; they work with different technologies; they employ staff with different skills; and they differ with regard to their relationship with the external environment (Baldrige, Curtis, Ecker & Riley 1977:2). Universities are not static organisations - they have evolved over hundreds of years in response to internal and external pressures. Universities are mostly categorised as professional bureaucracies (cf. Mintzberg

1979:20; Moses & Roe 1990:8). Like other organisations, they have goals; hierarchical structures and systems; officials who carry out specified duties; decision-making processes that determine institutional policy; and a bureaucratic administration that handles routine business (Baldrige *et al.* 1977:3). But universities in addition have some distinguishing characteristics which influence their decision-making processes. These influencing factors play a determining role in the leadership and management processes of universities.

In the WHO Resolution referred to above (Resolution WHA48.8) it is stated that “the need for medical schools to improve their contribution to changes in the manner of health care delivery through more appropriate education, research and service delivery, including preventive and promotive educational activities in order to respond better to people’s needs and improve health status” (Engel 1996:6), should be acknowledged. It is therefore imperative that the relevance of medical education programmes and the contribution of medical schools to changes in health care delivery should be enhanced.

From this WHA Resolution (Engel 1996:7) it becomes clear that a need exists for studies about and the implementation of new patterns of education and training that would promote medical graduates’ ability to identify the health needs of the people they serve and to respond to these needs. To do this, guidelines and models should be developed that will enable medical schools to enhance their

capacity for initial and continuing training of the medical workforce and to re-orientate their instructional, research, clinical and community health activities in order to make an optimal contribution to the changes in health care delivery (Engel 1996:7). The co-ordination of worldwide efforts to reform medical education and training, as well as medical practice and to bring it in line with the principles of health for all, should be encouraged, and this needs to be managed effectively and efficiently.

This poses a great challenge for medical schools, their leaders and their managers. The health environment is changing at a frenetic pace and makes demands on leadership to often satisfy apparently conflicting demands. To be effective and efficient require a balancing of university (medical school) roles and health service responsibilities. Economic realities also demand of medical schools and their leaders to measure the benefits of cost minimisation against optimal health outcomes.

During the 1970s the foremost issue in health care provision was the question of the achievements of medical science and the medical profession. According to Macleod (1996:14), present signs indicate that, for the next decade or two, academic centres are likely to become preoccupied with concerns about human health resource planning, which is a responsibility of management. The tensions under which the medical school operates will be enhanced by the pressures of

health care reform, that has to be preceded by curriculum reform and adaptations to delivery approaches and strategies. The pace of change is extraordinary and occurring over a wide front and medical schools must begin to question their present commitment to gradual change or maintenance of the *status quo* (Macleod 1996:15).

A number of external and internal factors influence education and training institutions, including medical schools, namely political factors, socio-economic factors, demographic factors and technological factors (external); changing student and staff populations; innovative teaching and learning methods and techniques; democratisation at all levels; a community-oriented focus; and more emphasis on accountability *versus* autonomy (internal). In South Africa, these factors manifest, *inter alia*, in the changing student and staff demography; the increasing lack of financial resources; demands for equal employment opportunities; new paradigms within the health and educational dispensations; the demands for even distribution of services; demands for accountability; and demands for transformation (cf. MacLeod:17 1996). The need for change in medical education and training is widely recognised (Boelen, Bandranyake, Bouhuijs, Page & Rothman: 1992), while scientific discoveries, technological advances, economic considerations, as well as political and social demands and expectations make it impossible for any medical school to negate the urgency for change. In South Africa, the numerous changes that have taken place in

education and the health care system, have brought with them incalculable challenges to management and leadership in medical schools. Among these are the challenges of more diversity in the preparation for a medical career; an emphasis on group decision-making; interdisciplinary and multi-professional educational initiatives; a multi-technological approach; a blended primary, secondary and tertiary care approach; an emphasis on primary care in South Africa; a focus on a community orientation; gender equality; a more even service distribution; and more outside involvement in decision-making (Wade 1991 in MacLeod 1996:17).

In South Africa numerous changes have occurred in the health system and in higher education. Changes in the health and higher education acts (RSA DoE 1997; RSA DoH 1997) require new approaches to medical education and training. Moving from department- and discipline-based education and training of doctors to integrated curricula; the implementation of outcomes-based education and training and modular programmes; and an emphasis on student-centred learning geared towards the enhancement of independent, self-directed learning, as well as preparing students for lifelong learning - brought with them special challenges to management. Add to this the focus on the development of generic skills, such as communication, creative thinking, entrepreneurship and a research orientation; the increased importance of community-based education and training and primary health care; the demands of group work and multi-

professional training; as well as the demands of a changed student population; equal employment opportunities and the perceived overload of academic staff; and the effects these changes will have on the leadership in and management of the medical school cannot be denied.

Effective leadership and management will be required to assist a medical school in keeping abreast of the current changes in the health environment.

Against this background and taking into account the vast amount of literature on the issue, it may be concluded that the need exists for a framework for leadership and management in medical schools in South Africa, not because medical schools in South Africa are not led and managed well, but because of the volatile character of academic medicine (due to the impacting factors mentioned) and the demands of health sciences and health care systems in general, rendering the management of medical schools and leadership in medical schools increasingly complex. Added to this is the striving towards excellence, which is also making specific demands.

1.2 RESEARCH QUESTION AND STATEMENT OF THE PROBLEM

Cunningham (in Mbhele 1992:49) defines organisational development as “a response to change, a complex educational strategy intended to change the

beliefs, attitudes, values, and structure of organisations so that they can better adapt to new technologies, markets, and challenges, and the dizzying rate of change itself". In medical schools in South Africa, a need for innovative management strategies and structures to enable schools to face the challenges and meet the demands that change has brought with it, has been identified. It has become clear that managing a medical school within a changing, competitive environment today is a necessity more than ever before, as time has run out for those who consider change temporary and predictable (Mbhele 1992:49). The question that arises, is: **How can academic institutions, and in particular then, a medical school, meet the demands for effective and efficient leadership and management in a changing environment, taking into consideration the unique features of medical schools?**

Leadership and management are complex concepts that cannot be defined easily. Management occurs within an organisation. The task of the manager is to achieve organisational objectives through the efforts of the organisational team (Bernard 1981:15). Hersey and Blanchard (1982:4) also conclude that the one common factor in the different definitions of management is the achievement of organisational goals and objectives. Smit and De J Cronje (2002:279) define management as "... "the process of planning, organising, leading and controlling the resources of the organisation to achieve stated organisational goals as productively as possible."

In efforts to find a definition of leadership one can go far back in literature and still find the same sentiments as today. According to Allen (1975:25), leadership is that effort of a manager that results in people reacting actively. Hersey and Blanchard (1982:83) resolve that leadership is the interpersonal influencing occurring in a specific situation where people are led through communication to the achievement of specific, specialised goals and objectives. Leadership thus can be seen as the influencing of others in the striving for a common goal. According to Smit and De J Cronje (2002:279), leadership is "... the process of directing the behaviour of others towards the accomplishment of the organisation's goals. It is a complex management function."

Aspects of various organisational models play a role in the management of higher education institutions (including medical schools) and it has now become obvious that a framework for academic management in medical schools in South Africa is required in which the unique character and dynamics of the medical school as education and training institution and provider of health services are taken into account to create a particular approach to management.

"Academic management framework" in this study refers to a conceptual representation based on the general theoretical principles of management which can serve as a premise or framework for establishing a management model to be

used in an academic institution. The purpose of the framework for leadership in and management of a medical school would therefore be to order the diverse facts which come to the fore in management studies in a way that will render them useful. The systematic procedures that thus become possible, facilitate the diagnosis of and finding solutions for complex management problems and issues (Strydom & Bitzer 1989:2).

According to Strydom and Bitzer (1989:3), “***academic leadership and management***” imply all typical management functions, for example, *inter alia*, planning, organisation, and control which directly or indirectly contribute to the meaningful enhancement of the primary outputs (education, research and service) of an academic institution. Academic leadership is included here as a particularly important component of academic management.

With regard to the relationship between leadership and management, literature does not seem to be congruent. In some cases leadership is regarded as an aspect of management, while in others the opposite is asserted (Niemann 1988:347).

Against this background, the **problem** that was addressed was that of **a lack of a framework within which to fit the concept of leadership and management in an academic institution, that is, a medical school.**

Leadership and management are not matters that can be addressed in a haphazard way and a framework to guide actions in this regard should be based on in-depth investigation and sound research findings, or else it may be found to be insufficiently contextualised and unfit to be implemented in a particular circumstance, namely that of a medical school. The context in which this study was carried out, is that of the university/faculty/medical school as an organisation¹.

Universities are not static institutions - they have evolved over hundreds of years in response to internal and external pressures and changed over years within their own societal contexts. In literature there is, however, consensus that higher education institutions are to a certain extent characterised by goal ambiguity, professional staff, high levels of autonomy of sub-units, part-time decision-makers, environmental vulnerability and undifferentiated functions (Moses & Roe 1990:9). These characteristics have a significant impact on the management and leadership found in higher education institutions. The impact of these features need to be taken cognisance of in the management of an academic institution. Therefore, to develop a framework for management and leadership in a medical school, these and other unique characteristics of

¹ In this study it was difficult to focus on only a medical school, due to the fact that in South Africa at some institutions the model of a Faculty of Health Sciences is followed, subdivided into different Schools (e.g. School of Medicine with a Head of the School) while at other institutions the model of a Faculty of Medicine (with a Dean as head) is followed. Due to the above, where reference is made in the current study to a School of Medicine, information/references are applicable to a Faculty of Medicine as well.

academic institutions as well as changes in higher education that took place, were taken cognisance of in a thorough study.

1.3 GOALS AND OBJECTIVES OF THE STUDY

The overall goal of the study was to make a contribution to effective and efficient leadership and management in medical schools.

The aim of this study was to address the problem stated above by designing a framework for leadership and management of a school of medicine in a constantly changing environment. Within the context of the South African academic sphere, a suitable framework ought to serve as premise for leaders when they start adapting the academic and management activities of their institutions in congruence with their own unique situations to face the demands made on institutions by a constantly changing environment.

In literature concerning academic management (Strydom & Bitzer 1989), a common point of departure has become clear, namely that there is no perfect **model** that will suit the leadership and management needs and unique features of all academic institutions - a management **framework** can be designed to leave room for these.

The specific objectives of the study were:

- To gain a deeper insight into approaches to management and leadership *per se* and, in particular, in institutions for higher education with an emphasis on medical education and training by means of a thorough literature study.
- To gain an understanding of the changes impacting on higher educational institutions in a constantly changing environment and the role this volatile situation plays in leadership and management in an academic institution such as a medical school. This will include an investigation into the internal and external factors influencing leadership and management in medical schools and the unique features of academic institutions which must be taken cognisance of in leadership and management.
- To determine criteria for a framework for academic leadership and management in a medical school by means of a survey of literature on leadership and management in general and in medical schools in particular, as well as by interviews with managers and leaders in higher education.
- To test the suggested criteria for leadership and management in a medical school by means of the Delphi technique. This was done in the form of formulated statements.

- To design a framework for leadership and management that can be implemented in medical schools in South Africa, based on the literature study, the structured interviews, and the findings of the Delphi procedure.

1.4 METHODS AND PROCEDURES

The methods used in the study comprised a literature study of academic leadership and management and leadership and management in general, with special reference to the various management approaches and characteristics and the unique features of medical schools as education and training institutions with a service component. Attention was paid to the changes occurring in education and health worldwide that are compelling academic institutions to revisit their leadership approaches and management functions and structures.

The literature study was followed up with structured interviews with leaders and managers in higher education.

Based on the findings of the literature review and the structured interviews, criteria for leadership in and management of medical schools were compiled.

These criteria were tested by means of the Delphi technique, using academics in management positions and other leaders and managers in South Africa as

experts to evaluate the criteria that could/might be used for a proposed academic management framework. Expert rather than general or informal opinion is often sought in the development of educational policy, as decisions of this nature require critical thinking and reasoning. The Delphi technique provides a rigorous and systematic strategy in collecting and disseminating critical information (Clayton 1997:373).

A detailed description of the research design, methods and procedures, the participants and data analysis will be provided in Chapter 4: Research Methodology.

1.5 BENEFITS AND VALUE OF THE STUDY

The framework for leadership and management in medical schools that has been developed and designed with due consideration of the changing environment of medical education and training in South Africa, will provide a mechanism according to which medical school management may be undertaken.

A framework is a skeleton structure for supporting something, or onto which something can be fitted, or "within" which something can be structured. This management framework makes provision for institutions to construct their own management models, in accordance with unique institutional problems, the

application of conceptual constructs and accepted organisational behaviour under specific conditions. Therefore the management framework can be used as a structure according to which leadership in and the management of a medical school may be undertaken. It will, however, not provide the content of management (that which has to be managed) for any particular medical school (cf. Strydom & Bitzer 1989). The framework for academic management in a medical school will provide a "map" for leaders and managers in medical schools to progress from the known starting point to the desired finishing point, with many minor roads and many junctions which need to be passed in-between.

Leading and managing in an academic institution like a medical school in a constantly changing environment may be one of the biggest challenges facing medical education and training in the future. Applying the framework for academic leadership and management will ensure that medical schools in South Africa address all the aspects of leadership functions and management processes in a model unique to a particular institution and that medical schools will be capable of managing constant adaptation as the needs of the institution and the stakeholders change.

Academic institutions are notorious for clinging to obsolete practices simply because they worked in the past. A volatile and changing environment within which academia has to function, puts a great deal of pressure on the leadership

and management of an academic institution.

This research was aimed at alleviating the pressure and making a contribution to effective and efficient leadership and management in academic institutions, especially medical schools, by proposing a framework on which to model leadership and management approaches and strategies.

1.6 IMPLEMENTATION OF THE FINDINGS

This report containing the findings of the research will be brought to the attention of medical schools in South Africa with a recommendation that the framework that will have been developed, may be adapted or used as such by these schools as a basis for the development of models for leadership and management in the schools.

The research findings in the form of manuscripts for articles will be submitted to academic journals with a view to publication, as the researcher hopes to make a meaningful contribution to leadership and management in academia (especially medical education and training) through this investigation.

The investigation and description of leadership and management in academic institutions in times of change and arranging these complex phenomena into a

framework for leadership and management in medical schools are matters that need urgent and focused attention. No academic institution can any longer afford to go about leadership and management in a haphazard way and a thoroughly investigated and carefully structured framework for academic management and leadership will have considerable value if implemented in our institutions.

Apart from making the research results known through publications and at conferences, the researcher will submit the findings to the Management Committee of the Faculty of Health Sciences at the University of the Free State (UFS) with a recommendation that the framework might be implemented and used as a tool to model the leadership and management of the Faculty/School.

1.7 DEMARCATION OF THE FIELD OF STUDY

This study was conducted in the field of Health Professions Education. There has been an explosion of interest in the development of management competence and competency approaches for leaders and managers in higher education and this can be regarded as a merger between the traditional approaches to management and leadership in higher education (discussed first) and modern concepts and approaches in a generic context (discussed later in the text).

The fields of education/academic management and leadership were thus studied to determine the way in which they manifest in the particular environment of higher education institutions as organisations and, more specifically, in the medical school as organisation. While service delivery makes up a large component of the tasks of a medical school, it was not researched as part of the leadership and management framework due to the fact that the theme of this thesis is academic management and leadership. A thorough review of the current medical service scene in the public sector, including the history of academic health and future challenges, was, however, undertaken by Van Zyl (2004) in his doctoral thesis (cf. Chapter 2).

1.8 ORGANISATION OF THE REPORT

In this chapter, Chapter one, ***Orientation to the study***, the background to the study was provided and the problem was stated. The goal, aim and objectives were stated and the methods that were employed were discussed briefly to give the reader an overview of what the report contains.

In Chapter two, ***The higher education system and institutional management trends and challenges***, attention will be paid to the characteristics of universities as organisations. Features impacting on management and leadership in higher education in South Africa will be reported

on. Models of governance in higher education, organisational assets, liabilities of universities as well as organisational principles will be touched on.

The higher education scene, the transition process as well as management trends and challenges will be discussed.

Chapter three, ***Perspectives on leadership and management***, deals with definitions and descriptions of what leadership and management entail and the characteristics thereof, especially in academic organisations. It also includes perspectives on the leader and manager group.

The methodology that was applied in this study is explained in Chapter four, ***Research methodology***. Theoretical aspects of research pertaining to this study are discussed and the reasons for deciding on the particular approach and methods come under scrutiny. The structured interviews and the Delphi technique, which were applied as tools for gaining ideas and opinions of experts on the research topic, are described in detail. The way in which the Delphi questionnaire was constructed, the course of the study, and the processing of the data are explained.

Chapter five, ***Findings of the research***, is devoted to an exposition and discussion of the findings.

In Chapter six, a ***framework for leadership and management of a medical school***, will be set forth and discussed.

Chapter seven, ***Conclusion and recommendations***, contains a summative conclusion of the study and recommendations as to the envisaged value and application of the results. In addition, the limitations of the study are discussed.

1.9 CONCLUSION

Over the past decade or two, a volatile environment and change have been dominating features of academic institutions all over the world. To a great extent, the future success of medical schools depends on managers' and leaders' capacity to respond to changes. To be able to do this, a different approach to management and leadership is required.

This study represents a search for a theoretical framework within which the leader and the manager in an academic institution and, more particularly a medical school, can model the way in which they will use their management and leadership skills and steer their institutions through changing times.

In the next chapter the higher education system and institutional management trends and challenges will be discussed. Models of governance in higher education, liabilities of the universities and organisational principles will be described in short.

The transition process from 1994 up to 2004 will receive attention and a comprehensive discussion on management trends and challenges as well as the leader and manager group will be included.

CHAPTER 2

THE HIGHER EDUCATION SYSTEM AND INSTITUTIONAL MANAGEMENT TRENDS AND CHALLENGES

2.1 INTRODUCTION

Higher education institutions are “people” organisations, that is, their “clients” as well as their “products” are mainly people. Such institutions have organisational structures distinguishing them from organisations/institutions such as commercial banks, factories, shops, farming enterprises, state departments, municipalities, and so forth. In higher education institutions (client driven) the driving forces that play a role in management and leadership differ from those in the mentioned organisations (cf. Baldrige *et al.* 1977; Moses & Roe 1990; Ramsden 1998).

Organisations vary in a number of ways, namely they have different types of clients; they work with different types of technology; they employ staff with different knowledge bases and skills; they develop different structures and co-ordinating styles; and they have different types of relationships with their external environments. There are, of course, certain elements common to the operation of some organisations, but no two organisations are the same. In any management and leadership model these differences have to be taken into

account (Baldrige *et al.* 1977:2).

2.2 THE ORGANISATIONAL STRUCTURE OF THE UNIVERSITY

Typifying the academic institution as an organisation is not an easy task. Authors point out the complexity of the academic institution and the only thing about which there is a fair amount of agreement, is that the academic institution cannot be classified within a single organisation model.

Organisational structure refers to individual jobs, sub-units (departments/divisions), a management hierarchy, rules and plans, committees and task forces (Kotter, Schlesinger and Sathe 1979:7). Traditionally organisational structure is based on the sub-division of disciplines into separate departments, together with a vertical hierarchy. A typical organisational structure comprises a number of functional departments reporting to a general manager. According to Burke (1999:259) this is called the wedding cake corporate structure.

With regard to the organisational structure of academic institutions, Corson already observed the following almost 30 years ago: "My observations of organizations over three decades suggest that the college or university as enterprise has certain unique characteristics and operates in an environment which dictates significant modifications in the manner in which authority is

distributed and individuals and sub-units relate to one another, but that one need not abandon what is known of organizational theory to interpret the functioning of an institution of higher education" (Corson 1975:89). Factors that emphasise the uniqueness of academic institutions as organisations have been defined by many authors (cf. Baldrige *et al.* 1977:2; Jedamus, Peterson & Associates 1980:602; Lockwood 1981:183; Moses & Roe 1990:8). These factors include:

- Integrated basic goals of the academic institution.
- Relative immeasurability of outputs.
- The extent of autonomy of the units within the institution, based on professionalism, specialisation and tradition (cf. Lockwood 1981:183).

In order to gain a clear understanding of what these features - which put academic institutions apart from other organisations - entail, they need to be described more fully.

2.3 FEATURES OF ACADEMIC INSTITUTIONS IMPACTING ON MANAGEMENT AND LEADERSHIP

According to Bloomfield and Updegrove (1981:93-103), efforts to describe the university (or any higher education institution for that matter) in terms of organisational models in the past were not successful, because a number of non-scientifically proven premises were held valid. These included:

- The immeasurability of university outcomes renders modelling valueless.
- Because university goals are multi-dimensional and poorly defined, policy decisions cannot be modelled.
- The modelling approach is not reconcilable with the nature and functions of a university.
- Modelling has a technical nature and demands specialist knowledge.

Literature, however, indicates that universities and their schools/colleges are complex institutions or organisations. Like other organisations they have goals, hierarchical structures and systems, officials who carry out certain duties, decision-making processes that set institutional policy, and a bureaucratic administration that handles routine business. Yet, they also exhibit some critical distinguishing features (Baldrige *et al.* 1977:2). These features are the following:

- Goal ambiguity.
- Professional staff.
- A high level of autonomy of sub-units.
- Part-time decision-makers.
- Environmental vulnerability.
- Undifferentiated functions (Baldrige *et al.* 1977:2; Moses & Roe 1990:9).

These factors must be taken cognisance of in the deliberations on management and leadership in academic institutions, because - to a certain extent – they

determine the way in which management and leadership manifest in an institution or an organisation.

2.3.1 Goal ambiguity

In contrast to most other organisations/institutions that are goal-oriented, academic institutions have vague, ambiguous goals and their decision-making processes have to be dealt with a high degree of uncertainty and conflict. What, for example, is the goal of a university? Or of a medical school? The list of possible answers is long, namely teaching and instruction; delivering well-trained professionals; the enhancement of science; research; service to the local community; solution of health problems; administration of scientific units; etcetera (Baldrige *et al.* 1977:3)(cf. 2.7).

Academic institutions have different constituencies - students, staff, the administration, the community, government, the employers, and professions. Generally there is a lack of agreement on the importance of a variety of goals among constituencies in the academic institutions (Moses & Roe 1990:9). The goals - or mission - of an academic institution is usually phrased in vague and high sounding terms and published in its calendars and other official documentation - academic institutions rarely have a single, clearly phrased mission; they rather tend to try "to be all things to all people" (Baldrige *et al.* 1977:3).

Goal ambiguity is typical of academic institutions and in times of scarce resources some groups within and external to the institution may promote achievement of specific goals at the cost of others. Government and the students may, for example, regard the quality of teaching as having higher priority than research, whereas academics may value research more highly. The community and local authorities may wish the institution to increase service to the community, while academics and students may fear that this can only be done at the expense of academia's contribution to teaching and research (Moses & Roe 1990:9).

Goals of academic institutions are not only unclear, they are also sometimes highly contested. As long as goals are left to be ambiguous and abstract, they are readily agreed upon. But often, as soon as they are concretely specified and put into operation, conflict may erupt. The link between clarity and conflict may perhaps explain the prevalence of sometimes meaningless rhetoric in academic policy statements (Baldrige *et al.* 1977:3).

In addition to the complexity of purpose in academic institutions, there is also the problem of limited measurability of goals. The value added to the individual student by the institution through teaching is hard to measure; research output on the other hand is often quantified. Performance indicators like the number of research grants, the number of publications, the number of successful students in post-graduate studies, etcetera are used widely to rank institutions (Moses &

Roe 1990:10).

2.3.2 Professionalism

Professionals are characterised by autonomy in their work, divided loyalty, tension between professional values and bureaucratic expectations in the institution and peer evaluation of work (Baldrige *et al.* 1977:3-4). Academics, like other professionals, can and do demand large-scale autonomy in their work, based on their skill and expertise - they want freedom from supervision. The way staff divide their time between their various obligations is largely up to them - as long as they fulfil their timetable obligations, little monitoring is done. This is one of the great attractions of academic work - at an early stage a lecturer might stress teaching, then research, later on perhaps consultancy and, eventually, perhaps academic administration (Moses & Roe 1990:10).

With regard to the "divided loyalties" of professionals, Baldrige *et al.* (1977:4) assert that they have "cosmopolitan" tendencies - their allegiance is to a number of different professional groups. Academics thus experience divided loyalty among the discipline at large, peers at national and even international level, and their loyalty to the home institution. This "cosmopolitan" tendency of staff may result in diminished administrative power over them, as they receive their rewards and status in part from the international peer group.

The tension between professional values and bureaucratic expectations is closely related to autonomy and divided loyalty. The academic administration is recruited from academic staff and is expected to share the same values as academics in general, but as their responsibilities and functions change, academic bureaucrats perceive and enforce different priorities. This can intensify tension between professional staff and organisational managers (Moses & Roe 1990:11).

Professionals demand peer evaluation of their work. According to Baldrige *et al.* (1977:4) and Moses and Roe (1990:11), they believe that only their colleagues can judge their performance and they reject the evaluations of others, even if they are technically their superiors in the organisational hierarchy. Professionalism is based on expertise and it is this expertise that is acknowledged in peer evaluation.

2.3.3 High level of autonomy of sub-units

Moses and Roe (1990:11) quote various authors describing universities as “organised anarchies”, “loosely coupled systems” and “bottom heavy”. These terms refer to universities being characterised by the strength of their basic units, namely the departments, units, institutes. The disciplinary conventions and cultures into which academics have been socialised, make it easier for them to identify with colleagues in the discipline from elsewhere than with colleagues

from other disciplines in their own institution.

The campus is not a loosely knit group of professionals who see the world from one perspective - as a collection of professionals it has a decentralised, loose and flabby organisational culture (Baldrige *et al.* 1977:4). Thus communication across departments can be poor and individual and departmental goals may be pursued that are not necessarily in harmony with those of the institution. Academic institutions are fractured by expertise not unified by it (Baldrige *et al.* 1977:4).

2.3.4 Part-time decision-makers

Academic institutions are also characterised by having part-time decision-makers in the councils, boards and committees and as administrators (Moses & Roe 1990:12). This makes academic institutions very different from business organisations where resources and people are managed through hierarchical controls. This, however, is not necessarily negative: the continuing academic involvement of deans and heads is necessary for their own careers; it helps them to stay in close contact with the activities and staff they are helping to administer and to retain the confidence of the academic staff.

2.3.5 Environmental vulnerability

The degree of autonomy an institution has within and towards its environment is a critical determinant of how it will be managed. Recently, powerful external forces have started impacting on academic institutions. Interest groups holding different values have been making their wishes, demands and threats well known to the administrations and staff of academic institutions since the 1970s (Baldrige *et al.* 1977:5). Furthermore, with most of the funding of the academic institutions coming from governments, institutions are dependent on the degree of autonomy the governments grant and aware of the power of interference governments have and sometimes exercise (Moses & Roe 1990:12).

2.3.6 Undifferentiated functions

Within most higher education institutions (universities) there is no clear or consistent differentiation in function. Lecturers, like professors, are expected to perform teaching duties and to do research, to engage in professional activities, and to take on administrative tasks. This is closely connected to the notion of "community of scholars" - of looking at colleagues as peers, not as superiors or inferiors in terms of positions (Moses & Roe 1990:12). In the academic hierarchy there is little direction. It is acknowledged that the senior members have the advantage of more experience and accumulated expertise, but that the younger staff will achieve this similarly.

2.3.7 Client service

Like schools, hospitals and welfare agencies, academic institutions are “people-processing organisations” (Baldrige *et al.* 1977:3). Clients with specific needs come into the institution from the environment, the institution acts upon them, and they return to the larger society. This links up with the environmental vulnerability, in that the clients demand and often obtain significant input into institutional decision-making.

2.3.8 Problematic technology

Because academic institutions serve clients with disparate complicated needs, they frequently have problematic technologies. A manufacturing organisation develops a specific technology that can be segmented and routinised. Workers can be productively used without having to rely heavily on professional expertise. But it is hard to construct a simple technology plan for an organisation dealing with people. Serving clients is difficult to accomplish and the outcome is difficult to evaluate. The entire person must be considered: people cannot be separated into small, routine and technical segments (Baldrige *et al.* 1977:4).

Against this background and despite the fact that there is agreement in literature that it is difficult to place the academic institution within a specific management

model or organisational structure, modelling does have certain advantages for academic institutions. It namely facilitates decision-making and it enables the decision-maker to assess a problem more fully if it is done within a specific context (Bloomfield & Updegrave 1981:97).

2.4 MODELS OF GOVERNANCE IN HIGHER EDUCATION

It is readily accepted that there are a number of basic models of governance in universities and the various models influence the management and leadership found in an academic institution. It is, however, difficult to fit an academic institution into a specific organisational model. Six models encountered in literature to a greater or lesser degree find application in academic institutions as organisations. They are:

- the community/collegial model
- the political model
- the organised-anarchy model
- the bureaucratic model
- the matrix model
- the professional bureaucracy model (BUE 1988:4; Mintzberg 1979:345).

A short overview will be given as it is not the aim of this study to give a comprehensive discussion on models of governance.

In the collegial or community model, the university is typified as a community of teachers and students. Gross (1968:518), who made an intensive study of this model, describes it as follows: "... (they) see them ... as communities, that is, as providing homes or atmospheres in which persons may set their own goals, such as self-fulfilment, the pursuit of truth, the dialogue at the two ends of the log, and other traditional ivory-tower values." Here a common set of values was found in a great commitment to the institution, a spirit of co-operation and instead of a rigid hierarchy of status and authority there tended to be what was roughly called a company of equals (Baldrige *et al.* 1977:9).

Baldrige (1971) proposed a "political" model of university governance. This model assumes that complex organisations can be studied as miniature political systems. There are interest group dynamics and conflicts similar to those in political entities. The political model focuses on policy-forming processes, because major policies commit an organisation to definite goals and set the strategies for reaching those goals. Policy decisions are critical decisions; they have a major impact on an institution's future (Baldrige *et al.* 1977:11). Features of this model include the following (Baldrige *et al.* 1977):

- Everyone is not involved in policy-making; inactivity prevails. Most people most of the time find policy-making unrewarding and uninteresting. Policy-making is therefore mostly left to the administrators (common in the political model: voters do not vote; citizens do not attend council meetings; and so

forth).

- Even people who are actively engaged in fluid participation, move in and out of the decision-making process. Rarely do people spend much time on a given issue, resulting in decisions being made by small groups who persist. They govern most major decisions, because they invest the time in the process.
- Academic institutions are characterised by fragmentation into interest groups with different goals and values. When resources are plentiful and the institution is prospering, there is minimal conflict, but the groups are likely to mobilise when resources are tight, outside pressure groups act, or when internal groups try to assume command.
- The pressure that groups exert, can place severe limitations on the formal authority. Decisions are not merely bureaucratic orders, but are negotiated compromises among competing groups. Officials are not free to simply issue a decision - they must find a viable course acceptable to various powerful blocks.
- External interest groups exert strong influence on the policy-making process. External pressures and formal control are powerful shapers of internal governance processes.

The organised-anarchy model (Cohen & March 1974) describes academic institutions as impossible to manage rationally, due to - among others - ambiguous goals, ambiguity in the decision-making systems and specific

relationships with the “market”. Here there are no clear lines of authority and autonomy is emphasised.

In the bureaucratic model or academic bureaucracy, the institution has a formal hierarchy, with offices and a set of by-laws that specify the relations between the offices. There are definite bureaucratic authority relations with certain officials exercising authority over others. These relations may be vague and shifting, but they do exist. Formal policies and rules govern most of the institutions’ work, such as course regulations, budgetary guidelines and procedures of the university senate. The bureaucratic elements are most visible in the “people-processing” aspects: registration, record-keeping, graduation requirements and a multitude other day-to-day activities designed to help the modern university handle its masses of students. Bureaucratic decision-making processes are mostly used by officials assigned the responsibility for making routine decisions (Baldrige *et al.* 1977:12).

The matrix model is characterised by a multitude of lines of authority, of a temporary nature. Collegiality is important and decision-making differs from project to project. Decision-making structures are flexible and leadership is usually based on the ability to optimally co-ordinate knowledge and expertise. Structures are vague and temporary (Bitzer 1984:58).

The professional bureaucracy (Mintzberg 1979:348) contains elements of all the

before-mentioned. It is based on the acceptable assumption that the basic structure of academic institutions is formed around the operating core, the academic departments. The second assumption is that the efficiency and effectiveness of an academic institution are determined by the knowledge and skills of the professionals. According to Mintzberg (1979:349), "The professional bureaucracy relies for co-ordination on the standardization of skills and its associate design parameter, training and indoctrination. It hires duly trained and indoctrinated specialists - professionals - for the operating core, and then gives them considerable control over their own work."

Professionals adhere to the values and standards of the profession (the discipline of the academic), accept the authority of expertise and receive their reward from peer recognition of expertise; that the output of academic work is difficult to measure and thus cannot be standardised; academics seek and obtain autonomy in their work (Moses & Roe 1990:8), in addition to seeking collective control of the administrative decisions that affect them (Mintzberg 1979:358).

Depending on the leading paradigm as reflected by the mission of the institution, variations of these organisational models may be found and not one of these can be regarded as pure or correct (Strydom & Bitzer 1989:7). Aspects of all of these play a role in management and leadership in an academic institution.

2.5 ORGANISATIONAL ASSETS AND LIABILITIES OF UNIVERSITIES

Against the background of the previous discussion, it is clear that academic institutions, including the university, have unique characteristics with regard to organisational structure and these impact directly and/or indirectly on management and leadership. These institutions have ambiguous goals that are often strongly contested. They serve clients who demand a say in the decision-making process; their technology is problematic, for - in order to serve clients - their technology must be holistic and adaptable to individual needs; they are professionalised organisations in which employees demand a large measure of control; and, finally, they are becoming more and more vulnerable to their environments.

The organisational structure of universities to a great extent is similar to that of the professional bureaucracy described by Mintzberg (1979:359). The operational core (lecturers) is strongly developed - each department lays claim to the fact that it is the primary authority in the field. The next level of governance comprises faculty boards with the dean as the line manager, with the senate and rector as line manager being the top academic decision making organs that report to the university council. The techno-structure (administration) is relatively small, while supporting structures (bureaux, institutes, libraries) play an important role.

In such a structure the professional operational core strives for autonomy. Departments have a fair amount of self-determination and may take autonomous decisions regarding academic matters (for example the content of curricula, appointments, etc.), albeit often with ratification required at a higher level of authority.

The top-structure has co-ordinating powers and is responsible for the mission and goals of the institution (Mintzberg 1979:21). Leadership is important with regard to the achievement of professional (educational) goals. Decision-making powers are fairly distributed and there is not much possibility of autocratic decision-making with regard to decisions that will affect the institution as a whole. Most of such a nature decisions have to go through a number of channels before they are passed and accepted.

In such a management structure the professional corps will still strive for more autonomy, but it stays dependent on support structures for the implementation of decisions (Mintzberg 1979:22). Especially in situations as the current one where rationalisation at all levels is the order of the day, demands for autonomy and academic freedom from the side of the operational core may lead to conflict.

2.6 ORGANISATIONAL PRINCIPLES

Academic institutions differ from most other institutions and this should be taken cognisance of when the way in which they are organised and managed, comes under scrutiny. The goals of academic institutions are ambiguous and contested; they serve clients instead of seeking to make a profit; their technologies are unclear; while professionals dominate the work force and decision-making processes (Baldrige *et al.* 1977:17).

Although the academic institution as an organisation, however, has certain unique characteristics and operates in an environment that dictates significant modifications in the manner in which authority is distributed and individuals and sub-units relate to one another, one need not abandon what is known about organisational theory to interpret the functioning of an academic institution and in discussions of leadership and management in such an organisation. Thus, typical organisational principles such as the following also play a role in academic institutions when it comes to their governance and management, as well as their leadership within these organisations:

- **Goals:** An academic institution, just like any other organisation, must have clearly-defined goals.
- **Authority:** Any institution must have a highest authority and clearly defined lines of authority should run through the institution from that individual (or group) through the different hierarchies in the institution.
- **Responsibility:** Authority must equal responsibility.

- **Specialisation:** As far as it is possible, the tasks of a person or a unit within an organisation should be limited to a single function (or related functions) and these functions ought to be grouped under one manager/head.
- **Efficiency:** Goals must be achieved at all levels at the lowest cost possible.
- **Single control:** Under ideal circumstances, each individual should be held responsible by only one superior.
- **Co-ordination:** The institution must have a method according to which all inputs with a view to achieving a specific goal or objective are co-ordinated.
- **Scope of control:** There is a limit to the number of subordinates over whom a superior can have primary control.
- **Short line of authority:** There should be as few levels of control as possible between the chief executive or the highest authority and the lowest unit in an institution.
- **Delegation:** Decisions should be made at the lowest possible level, where the expertise is to be found.
- **Balance:** Attention must continually be paid to maintaining a balance between the various units in the institution; between efforts to standardise policy and procedures, in addition to flexibility and the ability to react; as well as between centralisation and decentralisation of decision-making.
- **Accountability:** Authority (control) may be delegated, but not responsibility and accountability, for all activities within the scope of a specific responsibility should be made clear (cf. Strydom & Bitzer 1989: 8-9).

Apart from these typical organisational principles which are present in academic institutions, these institutions may often also experience the presence of an inherent tension due to its complexity and unique nature as organisation. Examples are the tensions found between the administrative sub-systems and the pure academic sub-systems, between formal and informal decision-making processes, as well as between external impacting factors and internal needs. When academic institutions therefore consider organisational and management approaches, the history, culture, staff and other circumstances must be taken into consideration.

An overview of various aspects pertaining to organisations has shown that the academic institution is difficult to classify according to a specific model. The unique characteristics of the academic institution are numerous and they will have to be taken into consideration when a framework or model for academic management and leadership is developed.

In recent years a variety of profound changes have occurred in academic institutions and the external environments. These impact on management and leadership too. Before institutional management trends and challenges can be taken under scrutiny, the higher education scene from 1990 to 2004 as well as the internal and external environment of academic institutions need to be explored.

2.7 THE HIGHER EDUCATIONAL SCENE

To understand the present higher educational scene, it is necessary to take heed of what the situation in the 1990s was, as well as the aims that Government set out to achieve with the changes it was effecting.

According to Grobbelaar (2004:35), the universities in South Africa were established in three separate, although overlapping, waves. The first wave developed over a period of approximately one century and was concluded in the mid-1950s with the existence of one correspondence (distance education) university and eight residential universities; with another two universities added in the sixties (in Johannesburg and Port Elizabeth). These 11 universities became known as the Historically White Universities (HWUs).

The Universities Extension Act of 1959 allowed for the establishment of six new universities, which extended university education to the Black communities, maintaining the apartheid divide (Grobbelaar 2004:35).

The final wave came when the so-called homelands were each accorded an independent university, which resulted in a further three universities. The University of Fort Hare (already established in 1916 as a University College) ended up as a "homeland university". The latter 10 universities became known as the Historically Disadvantaged Universities (HDUs) (Grobbelaar 2004:36).

2.8 THE HIGHER EDUCATION TRANSITION PROCESS

The National Commission on Higher Education (NCHE) (1996:1) listed various problems and inadequacies of the fragmented, racially divided system:

- It perpetuated an inequitable distribution of access and opportunity for students and staff (regarding race, gender, class and geographic discrimination).
- There was a chronic mismatch between higher education's output and the needs of the community.
- There was an inclination towards closed-system disciplinary approaches and programmes that had led to inadequately contextualised teaching and research.
- There was a lack of regulatory frameworks.
- There had been a tendency for higher education institutions to replicate the ethnic, racial and gender divisions of the wider society.

It was clear that a thorough systematic restructuring of the sector was needed.

2.8.1 The National Commission on Higher Education (NCHE)

The NCHE, a presidential committee, constituted a number of task groups, technical committees and working groups. It consulted widely and presented its report, *A Framework for Transformation*, in 1996. This was a report that would

set the tone for a process of transformation of the higher education scene. Its major recommendations were on the forming of a single co-ordinated higher education system, co-operative equity, democratisation, development, quality, academic freedom and institutional autonomy, as well as effectiveness and efficiency (Grobbelaar 2004:38).

2.8.2 The Education White Paper (EWP) 3

The Education White Paper 3, *A Programme for the Transformation on Higher Education* was published in the Government Gazette on 15 August 1997. This White Paper 3 has guided Government's actions on higher education since its publication.

The requirements for the transformation of higher education are summarised as follows:

- Increased and broadened participation. Successful policy must overcome a historically determined pattern of fragmentation, inequity and inefficiency. It must increase access for Blacks, women, disabled and mature students, in addition to generating new curricula and flexible models of learning and teaching - including modes of delivery - to accommodate a larger and more diverse student population.
- Responsiveness to societal interests and needs. Successful policy must

restructure the higher education system and its institutions to meet the needs of an increasingly technologically-oriented economy. It must also deliver the requisite research, the highly trained people, and the knowledge to equip a developing society with the capacity to address national needs, in addition to participating in a rapidly changing and competitive global context.

- Co-operation and partnerships in governance. Successful policy must re-conceptualise the relationship between higher education and the state, civil society and stakeholders as well as among institutions. It must create an enabling institutional environment and culture that is sensitive to and affirms diversity, promotes reconciliation and respect for human life, protects the dignity of individuals from racial and sexual harassment, in addition to rejecting all other forms of violent behaviour (RSA DoE 1997:10).

It is stated in the White Paper 3 (RSA DoH 1997:17) that “higher education must be re-planned, governed and funded as a single national co-ordinated system ... premised on [the following] programme-based definition of higher education: Higher education comprises all learning programmes leading to qualifications higher than the proposed Further Education and Training Certificate or the current Standard 10 certificate” (RSA DoE 1997:10).

It was envisaged that there would be a blurring of the existing sharp distinction between the three forms of institutions, although diversity should be maintained: "An important task in planning and managing a single national co-ordinated system is to ensure diversity in its organisational form and in the institutional landscape, and offset pressures for homogenisation" (RSA DoE 1997:23).

2.8.3 The Higher Education Act

The Higher Education Act (Act 101 of 1997) was promulgated in December 1997, giving the Minister far-reaching powers to implement and enforce, if necessary, the anticipated structural changes of the higher education community (Grobbelaar 2004:41)(For details cf. The Higher Education Act).

2.8.4 The Size and Shape Report

The Council on Higher Education (CHE) was asked to provide the Minister with a set of *concrete proposals on the shape and size of the higher education system and not (merely) a set of guiding principles which serve as guidelines for restructuring* (CHE 2000:6).

The report, *Towards a New Higher Education Landscape: Meeting the Equity, Quality and Social Development Imperatives of South Africa in the 21st Century* made a definite contribution to, among other things, its proposals on the

structure of the higher education sector towards a system that is characterised by “*differentiation and diversity within an integrated and co-ordinated national system*”(CHE 2000:32).

Vertical diversity was to be achieved through ensuring that the missions of different institutions distinguish them, where appropriate, from one another, in addition to reflecting the necessary breadth of coverage.

Horizontal differentiation was to be achieved by identifying three layers of institutions, with institutions being mandated to operate within a specific layer, depending on its profile and performance. The layers were labelled bedrock universities, extensive master’s universities, and comprehensive research universities. They are described as follows:

- Institutions which constitute the bedrock of the higher education system whose orientation and focus would be:
 - Quality undergraduate programmes.
 - Limited postgraduate programmes up to a taught master’s level.
 - Research related to curriculum, learning and teaching with a view to application.
- Institutions described as extensive master’s universities, whose focus would be:
 - Quality undergraduate programmes.
 - Extensive postgraduate taught and research programmes up to master’s

level.

- Selective postgraduate taught and research programmes up to doctoral level.
- Select areas of research [basic, applied, strategic and development].
- Institutions described as comprehensive research universities whose orientation and focus are:
 - Quality undergraduate programmes.
 - Comprehensive postgraduate taught and research programmes up to the doctoral level.
 - Extensive research capabilities [basic, applied, strategic and developmental] across a broad range of Areas (CHE 2000:64).

The CHE Report was not favourably received, because it created uncertainty within the sector. The report, however, did not lead to explicit actions by Government, but it contained valuable recommendations, namely:

- “made it abundantly clear that it would not be business as usual and no institution could be complacent about its position in a future dispensation;
- underlined the need to reduce the number of institutions and made enforced mergers a possibility to be taken seriously;
- suggested a number of possible mergers that were to resurface in future deliberations;
- made explicit the use of benchmarks to assist in positioning institutions;
- emphasised the need for institutions to be economically viable and

sustainable with a clear development path” (Grobelaar 2004:44).

2.8.5 The National Plan for Higher Education (NPHE)

In February 2001 the National Plan for Higher Education (NPHE) (RSA DoE 2001) was published and it was made clear that the distinction was becoming more and more blurred.

The NPHE envisaged that the diversity between institutions should be fostered in the mission statements and the programme mixes of the institutions. The Ministry could ensure that the overlap and duplication of programmes would be minimised, whilst meeting the anticipated needs of the population and the economy.

Section 6 of the NPHE dealt with restructuring the institutional landscape of the higher education system. Goal four, addressed in this section, states: “To build new institutional and organisational forms and new institutional identities and cultures as integral components of a single co-ordinated national higher education system”. The strategic objectives, which underpin this goal, are:

- “To promote and foster collaboration between institutions at a regional level;
- To restructure the institutional landscape of higher education” (RSA DoE 2001:79).

2.8.6 The National Working Group (NWG)

One of the most significant actions was the establishment of the National Working Group (NWG) to “investigate and advise the Minister on the appropriate institutional structures on a regional basis to meet regional and national needs for higher education, including mergers and/or other forms of combination” (RSA DoE 2001:93).

Incisive instructions were given and the following was expected from them:

- Address how the number of institutions can be reduced and the form that the restructured institutions should take and not whether the number of institutions can or should be reduced.
- Ensure that ... higher education programmes would continue to be offered at all the current sites of delivery, but within new institutional and organisational forms and structures.
- Consider the full range of potential institutional arrangements including ... different modes of mergers.
- [Note that] ... No institution should be exempted from the need to change fundamentally and from contributing to achieving a new higher education landscape (NWG 2001:561).

From the recommendations of the NWG stemmed the whole new dispensation of merging or not merging. The names “Technikons” changed to “Universities of Technology”, with the exception of the Durban Institute of Technology, as

permission was given earlier for that institution to be known by that name.

Time scales for the prospective mergers and the names that were subsequently proposed and adapted were:

" Pre2004

- * Non-merging institutions: institutions that do not have to merge but in some circumstances have to incorporate one or more of the other institutions.

Their new names are as follows:

- University of Stellenbosch
- University of Cape Town
- University of the Western Cape
- Rhodes University
- University of Zululand (to become a comprehensive university)
- University of the Free State
- Free State University of Technology
- Witwatersrand University
- Vaal University of Technology
- University of Pretoria
- Venda University of Science and Technology (to become a comprehensive university)

- * Durban Institute of Technology (adapted their new name before permission was given for the use of the term University of Technology)

2 Jan. 2004

* Merging institutions: Different institutions that had to merge with others and listed by their new names are:

- University of Kwazulu-Natal
- Tshwane University of Technology
- North-West University
- University of South Africa

1 Jan. 2005

* Merging institutions: Different institutions that will have to merge with others and listed by their proposed names

- University of Johannesburg
- Nelson Mandela Metropolitan University
- Cape-Peninsula University of Technology
- University of Limpopo
- Walter Sisulu University of Technology and Sciences” (Grobbelaar 2004:51).

2.9 INSTITUTIONAL MANAGEMENT TRENDS AND CHALLENGES

Vaill (1996:XIV) refers to the permanent state of change in the higher education sector as “permanent white water”. As societal problems and challenges increase, so does society’s expectations that higher education (HE) should address the issues and help solve the problems.

In South Africa, the most important challenges facing the HE sector must be the transformation of the HE system triggered by the political changes of the past decade (Nolte 2004:117). This transformation originated with the peaceful political transition of 1994 and subsequent attempts by the new government to re-integrate South Africa into the world community (Kishun 1998:58).

Changes in the HE system worldwide include, *inter alia*, globalisation and internationalisation; a reduction in public funding for social purposes and calls for increased accountability for the spending of public funds; new approaches to knowledge management; and an increased focus on quality and the management thereof (Nolte 2004:117).

Changes in the HE that stemmed from these developments are new ways of managing HE institutions; the search for alternative sources of funding; changes to governance; and new approaches to teaching, learning and research with accompanying quality assurance and accreditation. This causes managerial challenges for different levels and groupings of institutional management.

According to Clarke (1998:5), it is of the utmost importance that institutions and their managements must respond to the changing demands and that a "strengthened steering core" is necessary to see to both central management as well as academic faculties and departments.

According to the Government's policy documents (RSA DoE 1997; RSA DoE 2001), the greatest challenges facing HE as a whole in South Africa is to redress past inequalities and to transform the system to meet the national needs by responding to new realities and opportunities.

Nolte (2004:119) puts it as follows: "More specifically, institutions are going to be expected to contribute to the achievement of the system goals spelt out in the NPHE by providing increased access, irrespective of race, gender, age, creed, class or disability; redressing past inequalities with respect to both students and staff; addressing regional and national needs in social and economic development; building research capacity; building regional collaboration between institutions; increasing participation rate; increasing graduate outputs; broadening social base of students; increasing recruitment of students from the Southern African Development Community; changing numbers of enrolments by field of study and enhancing cognitive skills of the graduates."

Additionally, the reduction of the number of HE institutions from the previous 36 to 21 will bring more challenges to the HE sector. Nolte (2004:120) concludes that "managers of the institutions will require training in transformational leadership, participative management and management of diversity."

Another important challenge that must be addressed is the issue of globalisation and internationalisation. Deem (2001:7) differentiates between globalisation and

internationalisation as follows: "Globalisation is the global spread of business and services as well as key economic, social and cultural practices to a world market, often through multi-national companies and the internet", while internationalisation is "the sharing of ideas, knowledge and ways of doing things in similar ways across different countries".

The previously disadvantaged institutions in South Africa could benefit from collaborative partnerships by assisting them to become important Mode 2 knowledge (applied knowledge) generators.

According to Deem (2001:9), a major trend in many Western countries has been the reduction in public spending for public services. Nolte (2004:122) mentioned that this trend was also evident in South Africa, where, for example, the National Plan refers to financial constraints and does not anticipate any significant increase in government expenditure on HE, because of other pressing social needs that also require funding.

Deem (2001:9) suggests that publicly funded institutions are themselves expected to enter or create a marketplace, adapting the practices and values of the private sector. Woodward, Love and Komives (2000:34) emphasise the importance to think of students as learners and not as customers and ensuring their educational needs.

Woodward *et al.* (2000:31) state that "learning occurs best among diverse people in diverse places and in diverse ways." These authors emphasise the challenge to produce lifelong learners and not only graduates.

According to Johnes (1999:505), it appears that there is a trend away from the centralised "legal-bureaucratic management of the university system towards more autonomy and self-management by individual institutions."

Nolte (2004:124) indicates that "the new managerialism refers to the idea that present business practices and approaches originating in the private sector have found application in the public sector and publically funded institutions, such as HE institutions." Attempts to apply new management approaches, such as re-engineering, quality management, strategic management, performance management or the balanced score card approach, could also be seen as the new managerialism (Nolte 2004:124).

Johnes (1999:520) points out the need for a strategic approach to university management and for strategic decisions as the HE environment is becoming very competitive. Strategic issues include governance, organisational structure and modes of operation, inter- and multidisciplinary co-operation with a view of delivering inter- and multidisciplinary programmes (Nolte 2004:126).

According to Nolte (2004:127), it should be noted that "new managerialism in

the sense of professional managers taking over the running of HE organisations has a downside as well. The freedom and power of academics who have to answer to non-academics is greatly curbed". The effect this will have on organisational culture and morale is unlikely to be only positive (Deem 2001:11). South Africa is still caught up between massification and post-massification processes. To handle these relevant curricula, sufficient and competent faculty and administrative systems must be in place. Dealing with this as well as the enrolment of more students and management later during the post-massification phase is seen to be a real challenge.

Technology is impacting on many spheres of HE that is becoming increasingly reliant on it (Woodward *et al.* 2000:5). These authors state that HE must give learners not only knowledge but also the ability to be wise.

According to Duderstadt (2000:2), it is the powerful new information technologies (computers, networks, telecommunications) that are partially responsible for the evolution of the knowledge-based society. This opens up new challenges for managing the similarly vast increases in knowledge.

2.10 CONCLUSION

The restructuring of the HE system in South Africa is an extensive and thoroughly planned exercise with enormous implications for the institutions and would put pressure upon the management and leaders of every institution.

It seems that the following needs attention: students' needs and expectations; the establishment of a learning-orientated educational system; mechanisms to overcome funding constraints; the use of technology; and the management of knowledge and innovative approaches to management and leadership as well as management of change and diversity.

Institutions have to follow the recommendations and stipulations stated by Government as described in the National Plan (RSA DoE 2001) and the new Higher Education Policy (RSA DoE 2002).

"The major challenge for institutional managements, be they central managerial groups or middle level academic managers may well be to find the niche that is most compatible with the institution's or unit's inherent strengths and the opportunities that exist in its environment" (Nolte 2004:135).

It is clear that managerial skills have to be developed, as strong management ability will be needed at central institutional level, but also at faculty,

departmental and support levels.

In the next chapter, Chapter three, "Perspectives on Leadership and Management" will receive attention.

CHAPTER 3

PERSPECTIVES ON LEADERSHIP AND MANAGEMENT

3.1 INTRODUCTION

Leadership is an ageless topic - it has a dated air about it. "It smacks of trench warfare and imperial administration," says Handy (1993:96). Leadership implies setting one person up above another, raises spectres of élitist and privileged classes. Assumptions about the nature of leadership have affected not only institutions and organisations, but even the whole shape of political systems, the design of educational systems, and the management of governments (Handy 1993:96). Leadership, albeit an age-old concept, stays a complex role, often riddled with ambiguity, incompatibility and conflict (Handy 1993:118).

Management, on the other hand, is largely the product of the past 100 years or so, the response of one of the most significant developments of the twentieth century, namely the emergence of large numbers of complex organisations. Without management the complex enterprises of the modern world would become chaotic and their very existence would have been threatened. Good management brought a degree of order and consistency to key dimensions, like quality and sustainability of enterprises (Kotter 1990:3).

In this chapter there will by no means be attempted to give a comprehensive discussion on leadership and management. A few perspectives will, however, be elucidated as background to the empirical study.

3.2 LEADERSHIP VERSUS MANAGEMENT

When one discusses leadership and management it is almost the same as with the egg and the hen - which was first and which is the most important? When one looks at management and leadership, the definitions do not seem to be clear. Koontz, O'Donnel & Weihrich (1980:126) regard leadership as an aspect of management, while another author regards leadership as the overarching concept (Gannon 1977:224).

From the wide spectrum of definitions (BUE 1988:3) it seems as if the two concepts cannot be divorced and that leadership and management are mutually inclusive. Kapp (1983:80) puts it this way: "What has a bearing on leadership, can also be said of management and *vice versa*. Just as the leader has to investigate, plan, organise, command, co-ordinate and control, the manager also has to be commander, decision-maker, initiator, innovator, etc."

Definitions for leadership and management abound in literature and are to say the least, mostly confusing. What can be said, is that leadership should be seen

within the broader context of management (Handy 1993:322). Leadership seems to be that component of management that has to do with people. Some authors maintain that leadership should be the overarching concept and that management is only a particular manifestation of leadership. Others maintain that, despite some similarities, differences exist that make management and leadership very distinct (Kotter 1990:6).

According to Addicott, Atun and Associates of the Imperial College in London (2003:7), management and leadership are diverse roles that require different characteristics and functions. Although the roles are often contradictory, they are complementary – one cannot function without the other. In Table 3.1 comparisons are drawn between management and leadership:

Table 3.1: Comparison between management and leadership. Source: Kotter (1990:6).

	Management	Leadership
Creating an agenda	Planning and budgeting	Establishing direction
Developing a human network for achieving the agenda	Organising and staffing	Aligning people
Execution	Controlling and problem-solving	Motivating and inspiring
Outcomes	Predictability and order	Change

Leadership can be described as setting the direction and developing a vision for the future, while management is concerned with planning that is deductive and orderly, not a process of producing change. Planning should complement direction-setting (Addicott *et al.* 2003:7).

Kotter (2001:87) is of the opinion that one of the most frequent mistakes that overmanaged and underled corporations make, is to embrace long-term planning as “a panacea for their lack of direction and inability to adapt to an increasingly competitive and dynamic business environment”.

3.2.1 What is management?

When this question is asked, the definitions that are given by practising managers invariably describe some aspects of the manager's own actions, tasks or intentions. Examples in literature abound on management being the act of “getting results through others”, “achieving profit targets”, “making it happen” and so on (Mitchell 1996:9). Kotter (1979: 10) maintains that although most people realise that managers “get things done through others”, few really appreciate just how much dependence is inherent in managerial jobs. One of the distinguishing features of managerial work is ceaseless dependence on the activities of a variety of other people. Mitchell (1996:9) defines management as the conduct of the relationship between responsibility and authority.

Kotter (1979:1) mentions another aspect, which may be seen as closely related to authority, namely power in management. According to Kotter (1979:1), managers regularly acquire and use power - deliberately and consciously, as well as intuitively and unconsciously. Trying to control people merely on the basis of power associated with the manager's position will, however, simply not work - in the first instance because managers are always dependent on people over whom they do not have formal authority and, second, because no-one in a modern organisation will passively accept and simply obey someone simply because he/she is the 'boss' (Kotter 1979:15).

To return to the concepts of authority and responsibility, it is important to pay attention to the context in which the manager works. While Kotter (1979:9) regards formal power as a "type of authority", Mitchell (1996:10) defines authority as "the external limitations on decision-making". These include limits set from within the organisation, usually from interaction with a superior and from outside, in the form of codes of practice, rules and regulations. Responsibility, according to Mitchell (1996:10), means the "internal limitations on decision-making"; they come from the manager's own thinking, attitudes and vision; they determine the manager's ability to respond within the context created through authority.

The following definitions give an indication of how management has been defined over three decades (BUE 1988:3):

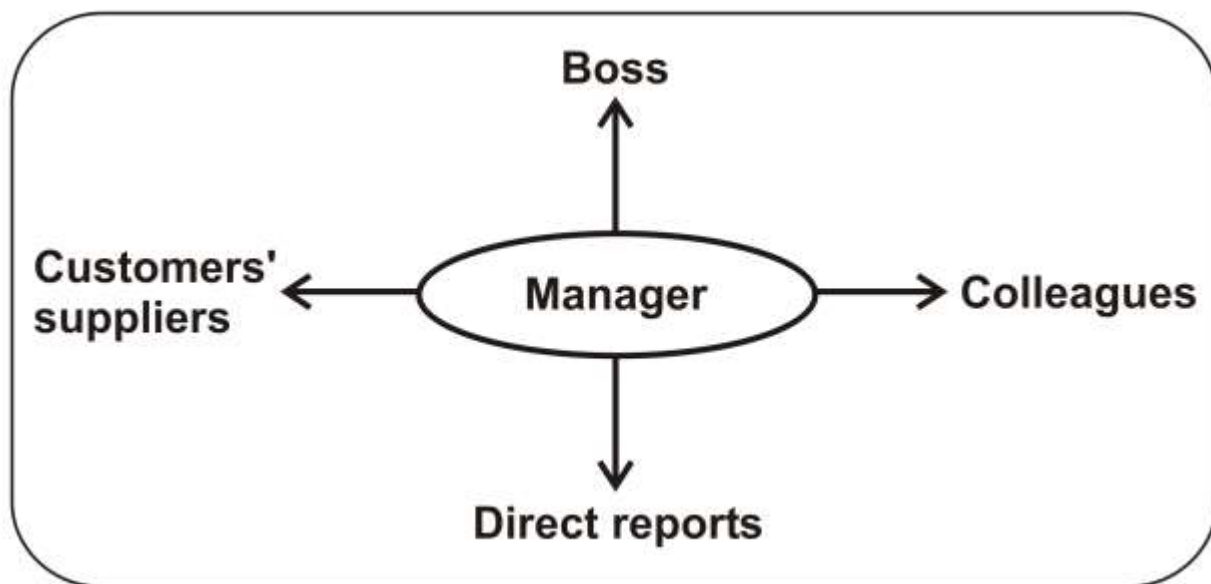
- "[Management is] ... planning, administration, and leadership involving decisions as to the most effective expenditure of manpower facilities, materials and funds needed to achieve goals and objectives" (Dressel 1981:19).
- "The first definition of management is therefore that it is an economic organ of an industrial society" (Drucker 1979:19).
- "Leadership may inspire management, and governance may support management. It is by the effectiveness of its work planning and work performance that a college or a university accomplishes its mission" (Millet 1980:85).
- " ... management is concerned with the movement of resources to achieve goals, and therefore in the making of the most beneficial choices in resource use" (Glasser 1970:1).
- "Management consists of the rational assessment of a situation and the systematic selection of goals and purposes ... ; the systematic development of strategies to achieve these goals; the marshalling of the required resources; the rational design, organization, direction, and control of activities required to attain the selected purposes; and finally motivating and rewarding people to do the work" (Levitt 1976:73).

- " ... management is the utilization of physical and human resources through coordinative efforts and it is accomplished by performing the functions of planning, organizing, staffing, directing and controlling" (Reester 1973:1).

There furthermore seems to be confusion between the concepts of management and administration. Thus "academic administration" is used to refer to the leadership and management roles in universities in the USA: " ... academic administrators are[sic] who are part educational leader and part manager ... " (Green 1981:15).

The context of management is said to be the framework of personal relationships that derive from the existence of a position of authority, executed with a greater or lesser degree of responsibility (Mitchell 1996:12). Universally this context is a structure of four relationships based on authority. These relationships are depicted in Figure 3.1.

Figure 3.1: The context of management



Source: Mitchell (1996:11).

The fundamental relationship is “upwards” - the relationship with a person or persons with a higher level of authority. This is described as the fundamental relationship, because the others depend on it.

The “downward” relationship is that with those at a lower level of authority. These people have to report directly to the manager and are accountable to the manager for their performance. The two remaining relationships are “sideways”,

that is, they are with groups of people with a broadly similar level of authority. One of these is described by Mitchell (1996:11) as the peer group or colleagues who report to the same manager and the other is the wider group in other parts in the organisation (or other organisations) who have a broadly equivalent level of authority.

Having defined management and the context in which it operates, Mitchell (1996:12) gives a description of how it operates: through only two activities, namely thinking and communicating. According to Mitchell (1996:12-13), it may seem that decision-making is also an activity performed by management, but it occupies such a tiny span of time that it can hardly be counted as an activity. All the activities specific to management are included in thinking and communicating. Creating plans, pondering, digesting new information and absorbing new ideas are all said to be part of thinking, whilst speaking, listening, writing letters and memos and participating are all part of communicating.

According to Marshall and colleagues (2000:44) management in higher education encompasses both management and leadership. These authors identified seven areas of knowledge and activity that are essential for the effective manager and that can be developed. Garrett (2003:7) summarised it as follows:

- **“professional identity.** Managers must have a good understanding of their institution, their higher education sector and its wider context. They must also be cognisant of their own responsibilities.
- **strategic leadership and management.** Managers must have a good understanding of their institution’s strategies and the relationship with their own management functions. They must also be adept at strategic planning in their own area of responsibility.
- **operational leadership and management.** Managers must be able to assure the quality of inputs, processes and outputs and anticipate, plan, implement, monitor and evaluate change to core activities as imposed/required/suggested by wider contexts.
- **financial and physical resources management.** Managers must be able to plan, develop, maintain and dispose of physical assets in sympathy with their unit’s strategic priorities. They must also have a good understanding of budgets and accounting systems and deal with both physical and financial resources in line with institutional guidance.
- **human resources management.** Managers must have a good knowledge of planning, recruiting, selecting, inducting, motivating, supervising, evaluating and rewarding staff. These activities must be undertaken in the light of equal opportunities and health and safety legislation.

- **information management.** Managers must be able to utilise, develop, maintain and evaluate systems that ensure that adequate information is available to inform operational and strategic decision-making.
- **academic leadership and management.** The central work of higher education institutions is identified as quality teaching, research and community outreach. Managers in higher education must be able to plan, develop and support this work”.

Not all managers will be required or able to undertake all these activities on an equal basis. A managerial career in higher education will, however, undoubtedly bring an individual into situations where all these activities are required at some time or another. The account of Marshall and his colleagues leaves us with an ambiguous question as to whether a manager in higher education must also be an academic practitioner (or have at least been one in the past). Nonetheless, this list provides a baseline from which attempts at management development must begin.

Mumford (1997:6) defines management development as “an attempt to improve managerial effectiveness through a learning process”.

Mumford (1997:6) draws on the theories of learning of David Kolb and adapts the learning cycle, including the four major stages, in the ideal learning process as:

- Having an experience (Activist).
- Reviewing the experience (Reflector).
- Concluding from the experience (Theorist).
- Planning the next step (Pragmatist) (Mumford (1997:6)).

As summarised by Garrett (2003:11) in the 1st Interim Report, the following factors are necessary for management development to succeed:

- “participants must contribute to the structures and content of any formal development;
- formal development must recognise the informal, intuitive, contextual nature of management practice;
- management developers and organisations must try to make the most of learning on-the-job by utilising structures that encourage management reflection (e.g. appraisal systems);
- development must both be aware of the learning preferences of individuals and try to engender a more rounded approach to learning;
- development linked to clear job/promotion objectives;

- shared diagnosis of individual development needs;
- a rational cumulative approach to individuals' development;
- an avoidance of development fashions and fads for their own sake;
- measurement of progress against defined outputs".

The professional development of senior managers is most important in the HE sector with a view to improve managerial effectiveness.

According to Richter (1998:300), "little has been done specifically dedicated to understanding the relationship between executive learning and organisational learning." This despite the fact that executive learning must be " ... a significant contributor to ongoing organisational learning and change".

3.2.2 What is leadership?

Leadership, like management, is the conduct of the relationship between authority and responsibility. The context is the same and the activities are the same (Mitchell 1996:13).

In the definitions of leadership found in literature, the various aspects of leadership are emphasised differently, which reveal the complexity thereof. Cramer (1974:91) writes: "The concept of leadership engulfs a magnitude of

implications. It is almost impossible to comprehend its significance without understanding its numerous dimensions."

Initial definitions of leadership that were based on personality traits of famous leaders, seemed to be insufficient to describe the complexity of leadership (BUE 1988:2). More modern theories and definitions make it clear that there is no "ideal" leadership style and that the relationship among the leader, the followers and the situation is the determining factor for the type of leadership that will lead to success (Hersey & Blanchard 1982:149-192).

Mitchell (1996:13) states that leaders operate within the same fundamental set of relationships as managers and they have two activities, namely thinking and communicating.

Yukl (2002:7) argues that leadership is often confused with concepts such as "power", "authority", "management", "administration", "control" and "supervision". The essence of the leadership role and process is, however, to inspire, develop and empower followers. This author states that "leadership is the process of influencing others to understand and agree about what needs to be done and how it can be done effectively, and the process of facilitating individual and collective efforts to accomplish the shared objectives" (Yukl 2002:7).

According to Addicott *et al.* (2003:3), the NHS Modernisation Agency Report (2002) mentioned that the role of leaders in the National Health System (NHS) in the UK is to:

- “improve patients’ care, treatment and experience
- promote healthier population
- enhance the NHS’s reputation as a well-managed and accountable organisation
- motivate and develop staff”.

Bennis and Nanus (1997:144) argue that leaders must be able to generate and sustain trust among the community, but also question the assumed objectives and processes. Leaders are responsible for identifying cultural factors that impede organisational learning, with a view to ensure that it can avoid controlling the symptoms rather than underlying causes. Processes must be created to define problems so that organisational members can convey their reality and avoid dominant and culturally acceptable definitions of problems (Berthoin Antal, Lenhardt & Rosenbrock 2001:126).

According to Kets de Vries (1980:2), emotions in organisational life are often repressed, suppressed or dismissed: “... the consequence of this attitude is that

ritualistic activities and rationalisation of behaviour seem to be the norm and have become the more acceptable ways of dealing with the routines of management". He states that the emotions that are not handled correctly, may lead to the premature death of executives, output problems, work inefficiencies, labour turnover, strikes and absenteeism (Kets de Vries 1980:3).

To foster a learning culture in an organisation it is important to allocate resources to development and to ensure that learning is rewarded. Leaders within learning cultures must know their own expertise and realise that their experience is limited. Furthermore, leaders have to know a culture before trying to change it, must know where they want to go and must be open to other perceptions (Kets de Vries 1980:3).

Kotter (1996:138) proposes an eight-stage process for leading change:

- "Establish a sense of urgency
- Create a guiding coalition
- Develop a vision and strategy
- Communicate the change vision
- Empower employees for broad-based action
- Generate short-term wins
- Consolidate gains and produce more change

- Anchor new approaches in the culture”.

Schein (1985:392) believes that leaders must be comfortable within their own weaknesses and open to diverse experiences: “We cannot achieve cultural humility required to live in a turbulent culturally diverse world unless we see cultural assumptions within ourselves. In the end, cultural understanding and cultural learning start with self-insight”.

Empey, Peskett and Lees (2002:191) argue that effective leadership should incorporate various elements relating to knowledge, skills and competencies and personal characteristics and behaviour (cf. Figure 3.2).

Figure 3.2: Effective leadership - the key elements



Source: Empey *et al.* (2002:192).

Figure 3.2 shows the specific tracts within each of the following elements:

- Knowledge.
- Skills and competencies.
- Leadership characteristics and behaviour.

Berthoin Antal *et al.* (2001:148) state that personal characteristics are a more important indicator of successful leadership than an actual job description.

Addicott *et al.* (2003:7) argue that personal traits, such as commitment to an issue and an ability to develop linkages between perspectives and objectives, have considerable influence on the effectiveness of a leader.

In comparison to the preceding, Yukl (2002:9), however, states that characteristics of the followers, the nature of the work, the type of organisation, as well as the nature of the external environment all influence what it would take to be a most appropriate leadership style. Kotter (2001:pp) also proposes that personality is not necessarily an indication of successful leadership.

Yukl (2002:9) suggests the following actions for successful leadership:

- Articulate a clear and appealing vision.
- Explain how the vision can be attained.
- Act confidently and optimistically.
- Express confidence in followers.
- Use dramatic, symbolic actions to emphasise key values.
- Lead by example.
- Empower people to achieve the vision.

According to Empey *et al.* (2002:192), clinical (medical, nursing and social) staff in the NHS are increasingly being required to perform managerial duties and

leadership functions. Some of these professionals are not trained or experienced in leading and managing the changes in the health and social sector. The same should most probably be said of the similar staff in South Africa. Continuous opportunities for development must be put in place.

3.2.3 The difference between managers and leaders

Zaleznik (1977:67-68) distinguishes between leaders and managers and emphasises the fact that leadership has to do with the “dynamic” aspects of management, while the other components of management have more to do with the “mechanical” aspects.

Managers normally do not prefer a feeling of “turbulence” in their work and they act as the conservators (maintainers) of the existing order. Leaders, on the other hand, are proactive, rather than reactive with regard to the goals of and approaches to existing problems. The manager is usually rather reactive than proactive and often more process- and procedure-bound than the leader. The leader can work comfortably in isolated situations; often acts individualistically; and arouses strong feelings of identification, rejection, etc. among subordinates. The manager usually prefers a communal working atmosphere, finds it difficult to work “without his/her people” and often maintains a low level of emotional

involvement with subordinates (with the concomitant lack of empathy) (Zaleznik 1977:67).

The leader tends to be autocratic in decision-making. He/she, to a large extent, depends on a mentor role and often acts as mentor. He/she is usually not too concerned about precise role definitions for everyone in the organisation. The manager tends to be democratic in decision-making, identifies with the existing order and puts a higher premium on role definitions within the organisation (Zaleznik 1977:68).

Kreitner and Kinicky (1998:497) differentiate between leaders and managers with regard to eight characteristics (cf. Table 3.2).

Table 3.2: Differences between leaders and managers

Leaders	Managers
Innovative	Administer
Develop	Maintain
Inspire	Control
Long-term view	Short-term view
Ask what and why	Ask how and when
Originate	Initiate
Challenge the <i>status quo</i>	Accept the <i>status quo</i>
Do the right things	Do things right

Source: Kreitner and Kinicky (1998:497).

3.3 MANAGEMENT-LEADERSHIP

As mentioned before in the introduction (cf. 3.1), no attempt will be made to give a detailed description of the different leadership and managerial styles and types and also not to draw up schedules of characteristics and elements of leadership and management. [The reader is referred to the Ph.D. study done by Van Zyl (2004) about the compilation of a management model for Heads of Departments in the Medical School at the UFS. In this study a comprehensive review of literature regarding leadership and management is given, including

models applicable in a School of Medicine.]

Van Zyl (2004:512) developed the PRIME model and proposed it as a clinical model that would be applicable in the academic management of departments and that emphasises the rendering of clinical service as a component.

Coetzee (2003:55) stated that: "the most important prerequisites for the creation of a motivating climate are effective manager-leadership, the development and the establishment of a shared value system and ensuring that sound work ethics operate in the organisations. Creation of a motivating climate is impossible without the orientation of effective manager-leadership which is a combination of managing and leadership – therefore it is labelled as management-leadership."

Coetzee (2003:55) argues that management-leadership is far more than filling the role of planning, tasks, actions, giving support and direction, but it is also an expression of who the manager-leader really is – in other words, revealing his/her character.

Effective manager-leadership is summarised as:

- "a combination of managing and leadership
- an expression of competence, character and of emotional intelligence

- focussed on the enhancement of performance, satisfaction and aligned-commitment" (Coetzee 2003:74).

In Table 3.3 the differences between the traditional manager and the modern manager-leader is given (Coetzee 2003:61):

Table 3.3: Differences between the traditional manager and the modern manager-leader

The traditional manager:	The modern manager-leader:
<ul style="list-style-type: none"> ▪ Manages people ▪ Plans, organises, directs, controls ▪ Is reactive, focuses on execution ▪ Is problem-orientated ▪ Has a short-term view – works according to a plan ▪ Accepts and maintains the <i>status quo</i> ▪ Uses policy, regulations, methods, systems and structures to get work done ▪ Keeps things intact, focuses on stability and predictability ▪ Wishes to diminish uncertainty and wishes to control ▪ Is a consolidator ▪ Uses power, expects compliance and loyalty ▪ Accepts responsibility ▪ Delegates cautiously ▪ Has subordinates (a group) ▪ Occupies a position ▪ Gets people to do things <p>Does things right (is efficient)</p>	<ul style="list-style-type: none"> ▪ Facilitates relationships ▪ Creates a motivating climate ▪ Is proactive, focuses on a vision and a value system ▪ Is opportunity-orientated ▪ Has a long-term vision, leads according to a dream, a perspective ▪ Questions and challenges the <i>status quo</i> ▪ Transfers a vision, creates expectations, enthusiasm and a motivating climate ▪ Seeks opportunities, new approaches, and is prepared to take risks ▪ Encourages people to find better ways of doing things ▪ Is an innovator ▪ Empowers, creates loyalty, respect and dedication ▪ Delegates responsibility but accepts accountability ▪ Empowers by transferring responsibility ▪ Has followers (a team) ▪ Performs a function/a service ▪ Creates an environment in which people want to do things <p>Does the right things right (is effective)</p>

According to Coetzee (2003:63), the following are the most important characteristics, typical of a successful manager-leader:

- “Successful manager-leaders create motivating visions (dreams) and/or inspiring goals (ideals) which they wish to achieve
- Successful manager-leaders empower their people (enable them)
- Successful manager-leaders are lifelong learners and they regularly stimulate the growth and development of their teams
- Successful manager-leaders enjoy their work and create an environment in which their team members are also able to experience job satisfaction”.

These characteristics are based on a value system of which integrity and trustworthiness are important values.

Effective manager-leadership comprises a combination of competencies (for example intelligence, knowledge, abilities, skills, values, personality traits); knowing the business and business environment; and a high emotional intelligence consisting of self-awareness, self-regulation, motivation to achieve, empathy and social skills (Coetzee 2003:75).

According to this author manager-leaders are not born, but can be developed. They do, however, have to accept the responsibility to grow and to develop,

using all available learning opportunities, demonstrate the will and willpower to learn and create opportunities for team members to learn and to develop.

3.4 EDUCATIONAL/ACADEMIC LEADERSHIP AND MANAGEMENT

Educational management is defined as "a field of study and practice concerned with the operation of educational organizations" (Bush 1995:1). The effective and efficient management of higher education institutions has been under scrutiny since the 1970s, due to various factors (Strydom & Bitzer 1989:1). Especially in the USA (cf. Corson 1960; 1975; 1979; Karol & Ginsberg 1980; Merson & Qualls 1979), in Europe and in Australia an unparalleled interest in educational management started.

Academic or university management or management in higher education institutions is closely related and implies all the typical management functions, for example, planning, organisation, leadership and guidance, control, as well as functions that directly or indirectly contribute to meaningful enhancement of the primary outputs (education and training, research and further service rendering in the community) of the educational institution. In this conceptualisation academic leadership is included as a particularly important component of academic management (Strydom & Bitzer 1990:246).

There was a time when academic leaders or leaders of institutions could control and manipulate their institutions more readily than they can today, because institutions were seen as less complicated, environments were more stable, and power and wisdom were perceived to flow from their “heroic” figures (Bhindi & Duignan 1999:52). The emphasis was on goal achievement rather than on serving the customer; on productivity rather than on market needs and quality; on outcomes rather than on ethical and moral responsibility; on dependency rather than on mutuality; on predictability rather than on continuous change and improvement; and on gamesmanship rather than on leadership authenticity (Bhindi & Duignan 1999:52). The complex forces that have emerged over the past decade or so, however, put both institutions and their management under greater scrutiny.

The challenges these emerging forces have brought with them are worldwide phenomena, placing leadership under increasing pressure. Accompanied with this there is a demand for the re-examination and review of the concepts of leadership and management. Leadership and management are redefined and there are increasing calls for a movement away from the traditional hierarchical control mechanisms and processes as the basis for leadership and management in academic institutions (Bhindi & Duignan 1999: 53).

At this stage it is necessary to refer to the leader and management group that will receive attention in this study. As the present study is about the development of a framework for leadership and management of a Medical School, it is also essential to look at the role-players, in other words the leaders and managers in a Medical School. In South Africa the model is found where some of the institutions that provide medical training are known as a Faculty of Health Sciences or a Faculty of Medicine or a Medical School. Depending on the above-mentioned set-up at the head of the institution we will find *a Dean, a Vice-Dean or a Head of a School*. It was therefore throughout the aim of the study to direct it in such a way that, whatever the case may be, attention will be given to the *head manager and leader figure*, may it be *a Dean, a Vice-Dean, a Deputy Dean or a Head of School*. This resulted in the fact that, among other things, the focus will fall on the challenges these people in Tertiary Education face; what they will need to be able to do; which difficulties are foreseen; the main tasks of these managers/leaders, as well as the qualities, knowledge and skills they will need.

3.5 PERSPECTIVES ON THE LEADER AND MANAGER GROUP

To identify the criteria that could be used in compiling a framework for leadership and management of a medical school, it was necessary to cite literature on Deans and Heads of School (School Directors). Literature regarding

Vice-Deans or Deputy Deans that was relevant for inclusion into this study was scarce. Literature regarding a Head of a Medical School or literature pertaining to a Medical Dean in South Africa is limited.

Due to this state of affairs, the point of departure of this study was to do a study of deanship *per se* and, where possible, then to expand on that with data from the other positions and *vice versa*.

As can be seen from Chapter three (cf. Chapter 3.1 – 3.4) much has been written regarding leadership and management, as well as about the academic organisation and happenings in HE (cf. Chapter two), but less attention has been given to deanship in the past. “The academic deanship is the least studied and most misunderstood position in the academy” (Gmelch, Wolverton, Wolverton & Sarros 1999:717).

Gmelch *et al.* (1999:717) state that, “aside from anecdotal speeches, unpublished research reports and magazine articles, literature on the deanship, consists of two volumes published in the mid 1960’s (Dibden 1968; Gould 1964) and one in the 1980’s on education (Anderson and King 1987; Kapel and Dejnozka 1979), liberal arts 1979 and sociology (Bowker 1992). Since that time a few studies have emerged investigating career paths and gender as well as

ethical issues in the deanship (Astin and Leland 1991; Bowker and Lynch 1985; Moore 1983)."

Wolverton, Gmelch, Montez and Nies (2001), however, compiled a comprehensive report on *The Changing Nature of the Academic Deanship*.

The Flemish Community financed a joint project that made the publication of a handbook possible. This was written by Heijnen, Jan de Graaf and Jonathan Jansen and published in 2003. This handbook aims to provide guidance to deans of higher education facilities, both from an academic as well as a practical point of view. As Jansen is a Dean of Education in South Africa, the book is written within an international, but also a national perspective.

Johnson and Cross (2004) from the University of the Witwatersrand, wrote a comprehensive article on academic leadership and executive deanship, with emphasis on their institution. The basic principles are, however, relevant to other universities as well.

3.5.1 Deans and their roles and tasks

"Leadership is the linchpin that holds an organisation together while at the same time moving it forward. Its focus lies midway between those perceived by the

public as leaders and those upon whose work the reputation of the organisation rests" (Wolverton *et al.* 2001:1). In universities academic deans fill this role (cf. Austin 1984; Austin, Ahearn and English 1997; Fagin 1997; Thiesen & Howey 1998).

Deans serve two masters: On the one hand, university presidents advocate responses to the external environment that require innovation and creativity that only faculty can provide; on the other hand, faculty stand loyal to academic disciplines but not necessarily to the universities for which they work. They may not be interested in expending time and energy on issues they deem someone else's concern (Wolverton, Gmelch & Sorenson 1998:207).

According to Wolverton *et al.* (2001:2), deans in the past functioned in an environment that was stable. Deans had the "luxury of doing what they had always done or of having to adjust only slightly". From the latter part of the twentieth century, shifts in the external environment have become more rapid, more violent, more radical. If deans cannot anticipate and handle the changes, their academic institutions may be threatened.

Over the years different people and positions have carried the name "Dean" – for example academic dean, deans of students, instruction, studies, graduate schools, administration and student affairs. Sometimes the name "dean" can be

associated with types of responsibilities and others with institutional types. The term “academic dean has been reserved for those institutional leaders who head discipline-specific colleges within universities” (Wolverton *et al.* 2001:3).

Deanships can be traced back to medieval universities and it was not until 1913 that the position gained universal acceptance (Wolverton *et al.* 2001:3). The duties of deans have changed over the years from student-focused to roles such as budgeting, fund-raising, management of staff and work environment, as well as academic programme oversight. Due to this shift and increase in responsibilities Deans could experience conflict and have raised levels of work-related stress.

According to Tucker and Bryan (1988:156), deans are responsible for personnel, budgeting, policy, governance, development and fund-raising. Miller (1989:110) attributes the functions of corporate business managers to them, for example figurehead, leader, liaison, monitor, disseminator, spokesperson, entrepreneur, disturbance handler, resource allocator, and negotiator.

Deans foster good teaching, represent the colleges/faculties/schools, engage in financial planning and budgeting, build and maintain good work environments within their institutions, provide direction, and recruit a strong faculty (Gmelch *et al.* 1999:723).

According to Wolverton *et al.* (2001:17), deans take in additional business-oriented functions of seeking new student markets, finding opportunities to combine academic interests with business or industrial interests, monitoring external grant opportunities, searching for developments outside their units, as well as representing their institutions/faculties/schools to off-campus agencies and alumni. This is a transition in deanship from chief academic officer to chief executive officer.

A further description is that of “cultural representative” – a suggestion that deans personify the culture of colleges and universities (Wolverton *et al.* 2001:18).

Role conflict and ambiguity stem from the fact that, as administrators, deans function in an environment that is part of the university’s environment. Ryan (1980:377) refers to this phenomenon as operating a professional bureaucracy (the college/faculty/school) within a professional bureaucracy (the university). As a consequence, deans hold legitimate authority granted by the university, but are sometimes unable to assert it within the context of their college. As the university’s demands increase, deans are compelled to maintain credibility in the eyes of staff who deny any assertion of the authority (Wolverton, Wolverton & Gmelch 1999:80). The Dean “is usually the one expected to lead the college to bigger and better things – few deans are hired with the mandate to maintain the

status quo. Such a dilemma presents a ready-made tension between the dean and the faculty" (Yarger 1998:141). One of the roles of a Dean is to handle tension (stress).

Dean-stress is a typical result stemming from the difficult environment in which deans have to operate. Proven success, the addressing of challenges, use of opportunities and bettering of ourselves, all contribute to positive stressors. According to Wolverton *et al.* (2001: 22), however, "tensions between deans and upper management manifest themselves in Provost-Related Stress: Deans express frustration over trying to resolve differences with their provosts, having insufficient authority to perform their responsibilities and not knowing how they are evaluated". This type of stress seems to be consistent over time.

Faculty/Chair-related stress shows up the conflict-ridden nature of academic administrators' positions. "This stress emanates partially from having to evaluate staff and make promotion and tenure decisions" (Wolverton *et al.* 2001:22). These authors describe the third type of stress as "Time/Personal Stress" that stems from after-hour activities such as work-related social obligations, travel and the competition from time to time between the dean's personal and professional lives.

Scholarship Stress results from the fact that deans do not have the time to stay on top of their academic fields. Stress results due to the fact that it is difficult to find a balance between leadership and scholarship responsibilities, while deans who believe that they receive insufficient compensation and recognition for their administrative and scholarly performances, experience Salary/Recognition Stress (Wolverton *et al.* 2001:23).

According to Wolverton *et al.* (2001:24), each type of dean stress can be influenced in some way by numerous personal or work-related variables. Older deans experience higher levels of administrative task, provost-related and fund-raising stress, but lower levels of faculty-related, time/personal and scholarship stress. The longer deans have been in their positions, the lower their levels of administrative task and fund-raising stress. They do, however, exhibit higher levels of salary/recognition stress. Both women and deans of colour tend toward lower levels of faculty-related [staff-related] stress. Women, however, experience higher levels of administrative task stress and deans of colour higher provost-related stress. If deans hold high self-expectations, they increase their administrative tasks, faculty-related and time/personal stress levels. Work-related variables that seem to add to most stress categories include role conflict, role ambiguity, dealing with new technology, handling student conflicts and promoting diversity (Wolverton, Gmelch & Wolverton 2000:221).

According to Townsend and Bassopo-Moyo (1996) (in Wolverton *et al.* 2001:25), they found that, even though deans could compile long lists of required skills and traits, few had formal, specialised training for the position. These authors found five competencies in which deans desired, but frequently lacked skills and knowledge, namely:

- Technical – refers specifically to administrative tasks such as budgeting and finance.
- Contextual – refers to the understanding of the HE administration environment.
- Interpersonal – refers to the maintenance of relationships with and among people through team building and conflict resolution.
- Communicative – refers to including effective use of both traditional and technological modes.
- Conceptual – refers to the grasping of the theoretical underpinnings of higher education.

The study findings of Townsend and Bassoppo-Moyo (1996) (in Wolverton *et al.* 2001:25) indicate a specific need for better preparation in fiscal management, law and the use of computers. It appears that a growing number of people who fill the position of dean do not possess the skills and background knowledge

necessary for effective performance. Universities find that they have to train deans and the other members of the leadership and management group.

Alimo-Metcalfe of the University of Leeds and Lawler from the Nuffield Institute for Health, University of Leeds in the UK (2001:387) state that the development of leadership in the NHS in the UK is currently high on the agenda in the DoH, the government, and local health sector organisations.

Alimo-Metcalfe and Lawler (2001:402) additionally state that there are, however, negative practices (leadership that is ill-defined, shortage of leadership skills, hazy methods of developing future leaders, untested developments). There are also positive aspects (the recognition of the shortage of leadership skills, the prioritising of development, much good practice to build on and a willingness to cascade the skills development throughout the organisation). Alimo-Metcalfe and Lawler (2001:403) recommend that leadership development should be seen “as a set of activities and not as a discreet separate activity akin to a job-related skills development training programme”. They further state that: “Health organisations concerned to develop the best leaders need to plan activity on how to avoid the dangers of short programmes which may have little chance of contributing to organisational objectives.”

It is becoming increasingly clear that it is necessary to provide the leadership and management groups (Deans/Vice-Deans/Heads or Directors of Schools) with the opportunity to undergo developmental programmes. This will empower them to be prepared for handling the challenges of the terrain of the Higher Education as well as Health Sciences Education successfully.

3.5.2 The challenges faced by the leadership and management group

These groups often face challenges that lie outside their spheres of experience. Although they will face discipline-specific challenges, they will, in addition, face non-discipline-specific issues most of the time.

In the study done by Wolverton, Montez and Gmelch (2000) (in Wolverton *et al.* 2001:28), it is stated that seven categories of anticipated challenges emerged, namely strained fiscal resources; externally imposed accountability pressures; demands for relevant curricula and programmes; technology, advancement and educational delivery; faculty ill-equipped to meet student and system demands; as well as diversity; and professional and personal imbalance.

According to Heijnen, De Graaf and Jansen (2003:6), the 21st Century Dean will face several important contextual challenges:

- The Dean will have to bear knowledge of the multiple impacts of institutional, national and global forces that have an influence on his/her work and the viability and standing of the Faculty or School.
- The Dean will face increasing pressure for competitiveness of programmes, academics, students and finances within regional and international contexts.
- The Dean will have a more direct and expanding role in marketing and communication.
- The Dean is likely to encounter an unprecedented proliferation in knowledge (data/information) that he/she has to be conscious of, manage, interpret and respond to in order to be effective.
- The Dean will be faced with opportunities represented in the global advances and new technologies that impact directly on every aspect of the academic leadership of Faculties/Schools.
- The Dean will encounter new governance regimes within HE that very closely track the trends and changes in universities across the world.
- The new Dean will be increasingly called on to represent the Faculty/School within the external environment.
- The Dean will play a more direct and active role in the recruitment of high quality academics and promising postgraduate students.

- The Dean will be handed a heavily loaded portfolio of responsibilities as a result of the growing trend towards decentralisation of academic and administrative functions.

All of the above challenges must be seen against changes in HE in South Africa.

Heijnen *et al.* (2003:2) mention the following as examples, namely changes relating to the following:

- Size and shape of HE.
- Meaning of autonomy and accountability.
- Nature of HE products.
- Character of student distribution and characteristics in HE.
- Organisation of university management and governance.
- Roles of student politics and organisation.
- Modes of delivery in HE.
- Notion of HE – between free trade and the public good.
- Value of HE programmes.
- Nature of the academic workplace.

3.5.3 Strategies that can be used to meet these challenges

Universities expect Deans to lead their Faculties or Schools. Deans/Heads of Schools must ensure that their Faculties/Schools realise the university's missions in terms of instruction, research and community service.

Wolverton *et al.* (2001:5) suggest an overall strategy that will move deans as managers of day-to-day operations to deans as leaders in a dynamic environment. They furthermore offer six specific strategies that relate to persistent challenges, as well as a suggestion of how deans might go about phasing in a culture of ethical practice in their Colleges/Faculties or Schools.

The overarching strategy described by Wolverton *et al.* (2001:41) includes common views on transactional and transformational leadership, as well as the concept of shared leadership.

The differentiation between transactional and transformational stems from the work *Leadership* by Burns (1978) as described in Wolverton *et al.* (2001:42), Burns delineates transactional leadership as a trading of benefits between leaders and followers and transforming leadership as mobilising others to act in a manner that is morally superior to what might otherwise be the case. According to Wolverton *et al.* (2000:42), Burns stated that, as a consequence, "a person's

ability to lead depends on the willingness of others to be led. It is a negotiated process in which the power basis of the leader and the followers counterbalance each other". Leaders under this theory tend toward the "use of the control and command mechanisms; organise around goals, tasks and agendas; focus attention on the issues at hand; communicate well; match resources with the requirements of the work to be completed; and understand what motivates followers" (Wolverton *et al.* 2001:42).

According to Wolverton *et al.* (2001:43), in a transformational leadership model the purpose of the interaction is not individualistic (What's in it for me?) but collectively directed (How can we change our situation?).

Leaders in the transformational group focus on changing the culture and disrupting the *status quo*. They are self-confident and directive (Bensimon, Neumann and Birnbaum 1989:38). According to Goleman (1998:111), they exhibit "emotional intelligence: - they understand themselves and their emotions, moods and desires. They have a passion for work, empathy for others and the social skills needed to build rapport and find common ground. They strive to personally impact their followers by shifting responsibility to those with the greatest vested interests" (Goleman 1998:111).

According to Heifetz (1994:124) transformational leaders identify relevant challenges, focus people on crucial issues, and move them away from unnecessary distractions.

Bass (1998:99) is of the opinion that "The best of leaders are both transformational and transactional but they are likely to be more transformational and less transactional than poorer leaders." That means that deans must perform day-to-day actions of operational management, but not at the expense of generating ideas and forming collective visions of the future (Wolverton *et al.* 2001:43).

With shared leadership it seems to be an attempt to move the concept of leadership from a person-centred to a team-based approach. According to Katzenbach (1998:217), the concept of shared leadership does not advocate for a team of leaders, but rather a leadership team. He defines real teams as a "small number of people with complementary skills who are committed to common purposes, performance goals and leadership approaches for which they hold themselves mutually accountable" (Katzenbach 1998:217).

On the other hand, Bensiman and Neumann (1993 in Wolverton *et al* 2001:45) describes the team as "more open and equalised in their conception of leadership ... and viewed leadership as a shared process and a shared

responsibility. They demand shared responsibility for thinking as much as it requires shared responsibility for doing”.

Deans have to accept, effect, implement and regenerate organisational change (Wolverton *et al.* 2001:46). “Change places deans in the position of managing tensions between various factions of the institution while at the same time keeping the organisation focused on its mission and goals.”

Wolverton *et al.* (2001:50) suggest that, “if deans somehow become leaders practiced in leading change, their burdens in some way will be lightened. It may be true that deans who anticipate and confront change lead and may be more effective at what they do than deans who simply sit and hope that the storm will pass.”

Wolverton *et al.* (2001:5) offer six specific strategies to meet persistent challenges, namely:

- Creating a diverse culture by assessing and collecting data on the current state, the history, policies, procedures, psychological climate and behaviours of staff; emphasising goals and objectives and by focusing on good teaching and learning.
- Becoming technologically connected by using technology to enhance students’ learning and the delivery of education; using technology

- effectively as it relates to productivity of personnel; and applying technology to the most efficient use.
- Strategically managing and securing financial resources by applying good fiscal management procedures.
 - Seeking and maintaining professional balance by managing time and stress better; by planning and prioritising (boundary management); and by seeking personal and professional balance.
 - Nurturing the integrity of the College/Faculty/School by reclaiming the public trust, following the following strategies, namely redefining staff's work, reframing academic departments, refocusing departmental Chairs, reconnecting with the community and revisiting leadership change by creating a climate in which change can flourish.
 - Knowing the legal environment by the implementation of antidiscrimination practices concerning administrations and selection; searching for and hiring of staff, promotion decisions, dismissal procedures and providing an environmental climate in which members feel comfortable, safe and valued. Having policies, procedures and explanations in place to enlighten and inform individuals about sexual harassment. Issues on academic freedom must receive attention, as well as contractual relationships with staff and students. Clear guidelines for ethical practice is of the utmost importance.

- The changing context of HE holds several challenges for the role of leaders and manager groups. According to Heijnen *et al.* (2003:9), the following is needed to master these challenges:
 - They have to be familiar with the changing context of HE, new policies and other functions influencing HE and how this impacts on their work as leader and manager.
 - They have to have good knowledge of the strengths and limitations of the academic programmes within their Faculties or Schools.
 - They have to link up with professional networks within HE as part of the effort to ensure that their Faculty/School is aware of and responsive to major challenges within regional and international contexts.
 - They need to be among the first to access the information on new funding and development opportunities on offer in an efficient manner that could strengthen their Faculty/School.
 - They need to ensure that staff and students are exposed to the newest technologies for communication and research.
 - They have to cope with and maintain the balance between the academic and the business world.
 - They have to redefine the ratio of on-campus (in the Faculty/School) work and external (off-campus) work they are willing to take on.

- They have to develop an “intelligent faculty management strategy in order to manage the growing and changing responsibilities” which are devolved to the executive officers (Heijnen *et al.* 2003:12).

Johnson and Cross (2004:34) stated that ...“we contend that, given the legacy of bureaucratic or autocratic management styles under apartheid, what is needed is stronger academic and intellectual leadership. Such leadership would concentrate on changing relationships, promoting new forms of academic and scholarly socialization, and building “enabling” institutional identities and environments. Solutions in this line should draw on the strengths of the rich intellectual legacies of individual institutional histories and cultures, where collegial restructuring with a mere fiscal and performativity tool-box will not do the job”.

3.5.4 Leadership qualities and managerial skills that the leadership and management group require to be developed

To lead and manage their Faculty or School the leader and manager needs certain knowledge, skills and attitudes. Continuous development programmes are necessary to meet the needs.

In a survey done on School Directors/Heads of Schools and Departmental Chairs/Heads of Departments by the Bowling Green State University, various training needs were identified with a view to sustain or develop certain leadership qualities and managerial skills (The Institute for Psychological Research and Application 2002).

According to the Report of The Institute for Psychological Research and Application (2002:49 – 69), new School Directors need development courses on budgeting and course scheduling. They further need a policy and procedure manual, a list of deadlines and reports, tenure/promotion, annual reviews, a list of hierarchy i.e. who to call for specific problems or issues within the institution. On the other hand, Deans also express the need for budgeting as well as conflict resolution and office management courses. They need documents on the priorities of the universities, availability of resources and support to redirect or change if necessary. A complete orientation to university policy issues is a necessity. The assistant and associate dean groups asked for clearly outlined areas of responsibility, training on budget and conflict resolution. They further needed guidelines of governance questions as well as a peer or mentoring group to help them.

3.6 SUMMARY AND CONCLUSION

In Chapter 3, **Perspectives on Leadership and Management**, the concepts of leadership and management were discussed as well as the differences between managers and leaders. The role and task, the challenges and the strategies to meet these challenges, as well as the qualities on the leadership and managerial skills the leadership and management group in a Faculty/School require, were discussed.

Owing to the fact that the literature puts more emphasis on the Dean as the leader and manager of a Faculty this was rather strongly emphasised. The challenge in this empirical study will be to determine which of the characteristics, roles, challenges and strategies will be applicable and relevant to lead and manage a School of Medicine/Faculty of Medicine/Health Sciences.

With the discussion of the literature an effort was made to provide some background as elucidation for the empirical research.

In Chapter 4, **Research Methodology**, the methods and procedures that were applied will be discussed.

CHAPTER 4

RESEARCH METHODOLOGY

4.1 INTRODUCTION

It is required of medical schools in South Africa to review their leadership and management practices from time to time with the view to accommodating changes in the higher education and health sectors, as well as in medical education. In order to fully conform to this process, it is necessary that it takes place in an orderly and systematic way according to a specific set of overlaying criteria. A scientifically founded framework for leadership and management in medical schools may be the answer to the leader and management group that will be heading such a process. Such a leadership and management framework may serve as a route map to indicate the way to go in order to reach the destination. It will, however, be the prerogative of each Medical School or Faculty to choose its own specific destination according to its own inherent convictions, expertise and experience, as well as to determine its own route on how to reach that destination, in its own time, according to its own needs.

4.2 THEORETICAL PERSPECTIVES ON THE RESEARCH METHODOLOGY

This research was based on a phenomenological preparation, namely the literature review to provide reliable data for understanding the phenomenon (cf. Verma & Beard 1981:187). The phenomenology here served the purpose of ensuring sufficient background knowledge on the subject, in addition to generating a number of criteria to be used together with criteria which were identified during structured interviews, with the view to eventually provide a framework for leadership and management of a Medical School. These criteria were converted into statements contained in a Delphi questionnaire survey.

The two main paradigms, quantitative and qualitative (Landman 1988:73), were used in the study. Babbie and Mouton (2001:49) state that, when we refer to the quantitative paradigm, we have a number of related themes in mind which could include an emphasis on the qualification of construct, i.e. assigning numbers to the perceived qualities of things.

According to Robson (in Mafisa 1999:118), a research problem can be addressed by using more than one approach, an aspect which may have substantial

advantages. The two approaches were used to complement each other, to provide a better understanding of the research problem, as well as to enhance the interpretability of the research findings.

4.3 METHODS AND PROCEDURES

The methods used in this investigation comprised as the basis of the study a literature review and, as the empirical study, structured interviews and Delphi questionnaires.

4.3.1 Literature review

According to Singleton and Straits (1999:544), a literature review has as its aim the contextualising of the problem against related theory and research, as well as to ensure that the researcher is sufficiently knowledgeable about the topic to be able to investigate it in an informed manner.

The focus of the literature study was on the HE system and institutional management trends and challenges. It dealt with the organisational structure of the university; the features of academic institutions impacting on management; models of governance in HE; organisational assets and liabilities of universities;

organisational principles; and the higher educational scene, emphasising the changes during the period 1994 – 2004 (cf. Chapter two).

In Chapter three the literature study focused on certain perspectives of leadership and management, describing the meaning of leadership and management in an academic context; the characteristics and qualities of leaders and managers; as well as the challenges that the leadership and management group face.

4.3.2 Structured interviews

According to McMillan and Schumacher (2001:444), the characteristics of a structured interview are the following: "Topics are outlined in advance. Researcher decides the sequence and wording during the interview. Interview probes can increase comprehensiveness". The *ERIC Digests* (1997:1 of 5) defines a structured interview as one which uses a data-collection instrument (DCI) to gather data, either by telephone or face to face. In a structured interview, the evaluator asks the same questions of numerous individuals in a precise manner, offering each individual the same set of possible responses.

It is, however, important to bear in mind that, in a qualitative approach, a structured interview does not replace the human as the instrument of the study

(Maykut & Morehouse 1994:96). These authors draw a distinction between an *interview guide* and an *interview schedule* (1994:83). They quote Patton's (1990) view that a series of topics or broad interview questions which the researcher is free to explore and probe with the interviewee is usually referred to as an *interview guide*. They add that an interview format consisting of a detailed set of questions and probes is called an *interview schedule*.

The literature review was used as support for the design of the interview guide. The methodology and procedures followed in designing the interview guide, the pilot study, the structured interviews, as well as the analysis and presentation of the findings will be described (cf. Appendices A – B).

4.3.2.1 *The interview guide*

The interview guide, designed as one of the research tools for this study, was based on the information regarding leadership and management which had been obtained from the literature review.

In the interview guide (cf. Appendix B) it was stated that the purpose of the structured interviews was to identify criteria for a leadership and management framework for use in a faculty/school in a tertiary educational institution, particularly with the emphasis on a constantly changing environment. The

purpose was further to gain insight into how the interviewees felt about important applicable issues and what kind of solutions they foresaw.

Aspects such as the challenges which have to be faced; strategies that have to be followed, in addition to the needs in order to successfully master these challenges; difficulties concerning leadership and management; the roles that have to be played; as well as leadership qualities and managerial skills needed were identified in the literature as key elements for effective leadership and management.

Questions pertaining to these aspects were therefore included in the interview guide (cf. Appendix B). A question was also put to the interviewees to determine their views on which managerial and leadership criteria they would like to include in the compilation of a leadership and managerial framework. The interviewees were asked - according to their respective opinions - how the characteristics, knowledge and skills, as well as the role, task and functions would differ if they would be applied by the Head of the School as opposed to the Dean applying them. In total, eight questions were put to the interviewees.

4.3.2.2 *The pilot study*

Once the interview guide had been completed, a pilot study (n=2) was carried out. This was necessary to determine the clarity and distinctness of the questions. The duration of the structured interview was also confirmed, although it was clear beforehand that it would differ from one participant to another. A colleague in Health Professions Education and one in Higher Education and experienced in research were selected to give an opinion on the clarity of the questions. Following on this, a pilot interview was done with a senior leader and a manager in Tertiary Education with a view to determine whether the questions were formulated in a clear, unambiguous and non-biased way. The duration of the interview was determined as being just over one hour. The findings of this interview were incorporated with the other interviews, as there were no changes after this interview.

4.3.2.3 *The participants and the structured interviews*

The six participants for the structured interviews were selected by means of judgement sampling by the researcher. These participants were academic leaders and managers in higher education institutions in the Bloemfontein and Potchefstroom areas. The sample included two Deputy Vice-Chancellors, a Chief

Director (of high standing in HE), a Dean in the formal discipline of Management, a Research Dean at a university, as well as a Director/Head of Department in a School of Management (who was also a well-known author on leadership and management). The above-mentioned area included several tertiary institutions and, due to financial constraints, it was decided to conduct all the interviews in this area. (The Delphi participants covered a much wider area in South Africa.)

The above-mentioned academics were selected to participate in the study according to specific criteria, namely their experience in HE; their knowledge concerning management and leadership; their familiarity with the requirements and outcomes of HE policy, in addition to their proven leadership and management roles.

Consent to participate in the study was obtained through personal and electronic communications. All the participants for the structured interviews had to give consent (cf. Appendix A-2).

Interviews with the participants were scheduled on an appointment basis. After the appointment had been made and prior to the interview, an interview guide was sent electronically to each participant, allowing them the opportunity to prepare for the interview and the questions that were to be answered. All interviews were recorded on tape, transcribed afterwards, and then checked by

the interviewer (= the researcher) in order to determine that the interview was correctly typed. A colleague from the Faculty of Health Sciences checked to ensure that the transcripts were a true reflection of each interview.

4.3.2.4 *Analysis and presentation of the findings*

On completion of the above-mentioned process, the information was read over and over to determine the feeling of what was said. Concepts were summarised and grouped in themes. Different themes were grouped to form specific categories. This was done by the researcher with the view to reduce the variety of responses and to simplify the reporting process. This took place with caution to avoid changing the meaning of the responses. Phrases were linguistically adjusted and/or abbreviated to simplify the reporting of the results.

The results were displayed in tables (cf. Chapter five) and were used, together with the criteria identified in the literature survey, to compile the statements that were used in the Delphi questionnaire.

4.3.3 THE DELPHI TECHNIQUE

Van Zyl (2004:251) mentioned in his Ph.D. thesis that the Delphi technique received its name from Delphi, a place that was famous before the time of Christ as a seat of the most important temple of the Greek god, Apollo. It is said that

kings and other rulers would come to Delphi to consult with Apollo. According to Smit and De J Cronje (2002:163), the Delphi technique can be used to finalise decisions which need to be made by experts.

The Delphi technique rests on the two assumptions that, in the first place, group decisions are more valid than those made by a single person (particularly if those persons are experts in the fields of study) and, in the second place, that face-to-face interaction might be influenced by domineering members or by group bias (Murry & Hammons 1995:426). Since the decision-making is rarely left to a single person, the success, credibility and validity of the process is increased (Clayton 1997:373). According to Critcher and Gladstone (1998:432), the Delphi technique allows a wide range of experts from different backgrounds to participate equally in the communication process. These experts may furthermore be geographically widely separated.

The main characteristics of the Delphi technique are anonymity; expert input (Clayton 1997:377); physical separation; iteration, as the process takes place through a number of rounds during which a new questionnaire - containing the feedback from the previous round – is compiled (Woudenberg 1991:133); statistical analysis of the responses, which allows each participant to see where his/her opinion lies when compared to the rest of the group (Clayton 1997:385); and controlled feedback, which entails that the participants' responses after each round are analysed and each respondent receives feedback during the next

round. Feedback is completely anonymous and it is a democratic process, as each panellist has the opportunity to change and/or amend his/her previous opinion (Goodman 1987:730). The Delphi technique in addition not only provides quantitative information about the subject of study, but also qualitative information, because definitions and solutions to problems - related to the topic under discussion – are provided by the participants. Therefore Critcher and Gladstone's (1998:433) statement that the "Delphi straddles the divide between qualitative and quantitative methodologies", is particularly true.

Linstone and Turoff (1979:7) stated that the Delphi process entails six phases that can be identified, namely formulation of issues; exposing the options; determining initial positions on the issues; exploring and obtaining the reasons for disagreement; evaluating the underlying reasons and the re-evaluation of the options.

The Delphi technique was used in this study for the following reasons (Critcher & Gladstone 1998:432; Linstone & Turoff 1979:4; Murry & Hammons 1995:426): It was a fast and cost-effective method of gathering expert opinions; difficulties and problems with a face-to-face discussion were overcome through using the Delphi process; the study allowed a range of experts from various backgrounds to participate equally in the process; as the research was aimed at designing a framework, the Delphi process lent itself to exploration of the topic; participants could carefully consider their responses in their own time; and this study needed

a quantitative as well as a qualitative approach. The Delphi technique was therefore regarded as a suitable method of research.

4.3.3.1 *The Delphi questionnaire*

The Delphi questionnaire was compiled by using information that had been obtained from the literature review as well as from the findings of the structured interviews.

The Delphi questionnaire consisted of nine sections, namely:

Section A: Challenges

Section B: Strategies

Section C: Roles

Section D: Leadership qualities

Section E: Managerial knowledge, skills and competencies

Section F: Performance areas

Section G: Management structures

Section H: Infrastructure and facilities

Section I: Aspects that have to be addressed in a framework for leadership and management.

390 statements were grouped under the above-mentioned sections (cf. Appendix D). It was stated clearly what every section deal with. Participants were not asked to simply choose from a number of alternatives, but they were required to make an evaluation, based on clearly defined criteria. Participants had to indicate how important each of the statements was according to the following scale:

1 = Essential

2 = Useful

3 = Unnecessary.

After each section space was left for comments from the participants.

4.3.3.2 *The pilot study*

The Delphi questionnaire had been pre-tested, using a biostatistician from the Department of Biostatistics at the UFS and a staff member of Educational Development in the Faculty of Health Sciences, the UFS, as well as the supervisors of this research project. A few amendments were made according to the suggestions that resulted from the pilot study. These implied mainly the numbering of statements, correction of spelling mistakes, the wording of some items, as well as changes to some of the instructions. One of the participants in

the pilot study made several suggestions with regard to improving the clarity of the questionnaire on the computer screen.

4.3.3.3 *The participants and the Delphi process*

For the purposes of the Delphi technique, respondents were selected from persons in HE institutions who occupied positions where they played a leadership role and/or were involved in academic management. Experts in the field of management who had had some kind of involvement in or possessed expert knowledge of academic management, as well as leadership approaches and practices in academia, were selected as expert respondents. The sampling was done on a basis of, first, stratified sampling (Landman 1988:92), that is, the population (people in leadership and management positions) was divided into sub-groups (experts in management, experts in academic management, persons in academic management positions, experts in academic leadership, and other sub-groups) as decided on the basis of the literature review. As the population needed to be reduced and random sampling did not seem to be an option in this case, since specific expertise and experience are required as features of the participants in the Delphi method, the second sampling method that was used, was purposive sampling. That entails that the available sampled individuals who had satisfied the criteria which were decided on in the course of the literature survey, were requested to participate (cf. Landman 1988:91).

Six experts were invited to participate in the study, all of them in South Africa, since the proposed framework will be for leadership and management of Medical Schools in South Africa and the context of the HE and medical education in South Africa was of the utmost importance with a view to emphasising the relevancy of the framework. The panel of experts was carefully selected according to set criteria. The following selection criteria were used to select the experts (cf. Linstone & Turoff 1979:23; Murray & Hammons 1995:428; Williams & Webb 1994:185). They had to have experience and expertise in leadership and management in HE; they had to have a postgraduate qualification either in the field of HE or be medically qualified and/or in the field of Health Sciences; they had to have been involved in education at a higher education institution for at least five years; and diversity among the panelists in terms of experience, expertise and interests was necessary (cf. Bijl 1996:144). In addition, they had to be involved in leadership and management in higher and/or medical education and they had to be involved with different HE institutions that accommodated/had a medical school/Faculty of Health Sciences.

Six panel members were invited because they represented a heterogeneous sample group, due to the fact that they came from different education stratifications (Clayton 1997:378).

The sample was selected from various HE institutions from all over South Africa and included two Vice-(or Associate) Deans, one Head of a Medical School, one Head of a Department serving on the Education Committee of the Professional Board for Medicine and Dentistry, one expert in HE *per se*, as well as one participant who was an expert in Medical Education. All of these participants were experienced in leadership and management and all were recommended for participation in this study by colleagues from top management. In total five of the six Delphi participants were attached to medical schools in South Africa.

Consent to participate in the study was obtained through personal and electronic communication. All the participants in the Delphi process had to give their consent (cf. Appendix C-2).

4.3.3.4 *Analysis of the data*

The Delphi can be described as a method which is used to obtain the most reliable consensus of opinion of a group through a series of intensive questionnaires interspersed with controlled feedback (Clayton 1997:377).

Literature suggests that as many as five rounds may be necessary to meet all the researcher's objectives, but most researchers report that positions are unlikely to change after three rounds (Cricher & Gladstone 1998:5).

For the purpose of this study, consensus was defined as being reached when 80% of the participants' votes fell in the same range, that is a 1, 2 or 3 indicated per statement (cf. Appendix D).

Linstone and Turoff (1979:277) refer to the question on what represents a reasonable cut-off point, namely when stability of decisions is reached. These authors state that there is a certain degree of oscillatory movement and change within the group, which is inevitable. Stability is described as the natural tendency for opinions of experts to centralise (Linstone & Turoff 1979:277). According to Van Zyl [2004 (see Appendix 1)] the interest lies not in the opinion of the individual, but rather in that of the group, since the change in the group has to be measured. Stability therefore can be declared when movement of the opinion of the group as a whole has reached stability.

The responses from the various rounds (three rounds) of the Delphi process were analysed manually by the researcher and will be described and discussed in Chapter five.

4.3.4 RELIABILITY, VALIDITY AND TRUSTWORTHINESS

According to Babbie and Mouton (2001:1190), "... reliability is a matter of whether a particular technique, applied repeatedly to the same object, would

yield the same result each time.” Landman (1988:80) adds that “reliability” refers to the extent to which studies can be replicated, that is, consistency of obtaining the same relative answer when measuring phenomena which have not changed.

Bostwick and Kyte (1981:113-120) - as quoted in De Vos, Strydom, Fouché and Delport - (2002:168), state that reliability has been defined as the accuracy or precision of an instrument; as the degree of consistency or agreement between two independently derived sets of scores; and as the extent to which independent administrations of the same instrument yield the same (or similar) results under comparable conditions.

The fact that the nature of the study was an in depth one consisting of structured interviews and the use of the Delphi technique, enhanced the reliability of the study. In this study the reliability of both the questionnaires (the interview guide and the Delphi questionnaire) was ensured by conducting pilot studies beforehand. The strict criteria for selecting the interviewees as well as the Delphi experts enhanced the reliability even further.

Babbie and Mouton (2001:1190) state that the term “validity” refers to the extent to which an empirical measure adequately reflects the real meaning of the concept under consideration and they accurately inquire how we can ever say

whether a particular measure adequately reflects the meaning of a concept. Landman (1988:96), in turn, states that validity is the extent to which an instrument or procedure satisfies the purpose for which it was constructed, that is, it determines that which it was designed to determine.

The validity of the study rested on the in-depth literature survey; the experience of the promoters and of the researcher himself; as well as the scientific methods used. Both the interview guide as well as the Delphi questionnaire were piloted (pre-tested). The validity was further ensured by selecting knowledgeable experts on academic leadership and management and the careful analysis of the responses in order to obtain a true account of the opinions of the respondents according to pre-determined, set criteria and was not purely a subjective exercise. The Delphi process has a disadvantage in that it has the tendency to eliminate extreme positions and force a middle-of-the-road consensus. During the current study, however, a 73% consensus was reached in the first round (cf. p165) that highlights the validity of this study.

The Web definition (Google s.a.) of "trustworthiness" is particularly accurate, namely: "When trust is well-founded and if trust of another person (or moral agent) is morally sound, then it is based on trustworthiness. Put another way, that which deserves trust is trustworthy". According to Henning (2004:103), "trustworthiness" is a synonym for "validity", while – according to Maykut and

Morehouse (1994:64) – trustworthiness is the term used by Lincoln and Guba (1985) to refer to the believability of a researcher's findings. Guba, as quoted in De Vos *et al.* (2002:351-352), identifies the four aspects of trustworthiness as follows: credibility, transferability, dependability and confirmability.

The trustworthiness or "believability" of the study is enhanced by the fact that the researcher was trained in the interviewing technique by a skilled expert in interviewing; that the interviews were taped and typed; and that the transcriptions were checked by a colleague for correctness. The findings were interpreted by the researcher himself, who is an experienced person with expertise in research.

4.3.5 CONCLUSION

The research approaches followed were highlighted and the methods used were described. The structured interview and the Delphi technique were thoroughly discussed and the way in which they were conducted explained.

The results of the structured interviews will be presented in Chapter five.

CHAPTER 5

FINDINGS OF THE RESEARCH

5.1 INTRODUCTION

The results and the findings of the six interviews and six Delphi questionnaires are reported in this Chapter. The results are presented according to the stages in which the study took place.

First the structured interviews will be reported on. This will be followed by a description and a discussion of the results of the Delphi technique.

5.2 DESCRIPTION AND DISCUSSION OF THE STRUCTURED INTERVIEWS

Two approaches have been followed in the study, namely a qualitative approach (interviews) and a quantitative approach with qualitative elements included (Delphi technique). The findings are reported in line with these approaches.

The purpose of the interviews was to identify criteria that could be used, together with information obtained from the literature review, to compile the Delphi

questionnaire. In addition the purpose of the interviews (cf. Appendix B) was to gain insight into how the interviewees feel (attitudes, their ways of approach, feelings, disposition, etc.) as well as to empower the researcher to reach a better understanding which could help him in identifying the criteria and together with the information gleaned from the literature formulate them into statements.

As far as the findings of the structured interviews are concerned, they will be reported on according to the format of the interview guide (cf. Appendix B).

The findings of the structured interviews are tabled in Tables 5.1 – 5.5.

An extract of comments obtained during the interviews together with information from the literature study were combined and formulated as the different statements included in the Delphi questionnaire.

Table 5.1: Challenges for Deans/Heads of Schools (leadership and management group)
(Question 1, Appendix B)

Financial issues	Staff issues	Student issues	Programme and curricular issues
<ul style="list-style-type: none"> ▪ Entrepreneurial thinking ▪ New subsidy formula ▪ Expansion of resources ▪ New financial plan of government ▪ Financial planning and management in general ▪ Funding challenges ▪ External and internal pressures ▪ Sustainability of financial resources 	<ul style="list-style-type: none"> ▪ Performance management ▪ Employment equity ▪ Do more with fewer staff ▪ Sustainability of human resources ▪ Equity of staff ▪ Staff development ▪ Resistance against change ▪ Behavioural change necessary ▪ External and internal pressures ▪ Quality assurance leads to ranking ▪ How to transform and still maintain quality ▪ Quality assurance 	<ul style="list-style-type: none"> ▪ Quality of graduates ▪ Student diversity ▪ Enrolment of students ▪ Access and admission ▪ Equity of students ▪ Disabled students ▪ Africanisation and globalisation of student body ▪ Students not “students” but clients ▪ Behavioural change necessary ▪ Resistance against change ▪ External and internal pressures ▪ How to transform and still maintain quality 	<ul style="list-style-type: none"> ▪ Quality of graduates ▪ Changing of the educational field of a programme ▪ Didactics of HE ▪ Multidiscipline, interdiscipline and studying in context ▪ Faculty must stay centre of excellence ▪ Value for money ▪ Focus on learning ▪ Planning challenges ▪ Increase academic output and quality simultaneously ▪ External and internal pressures ▪ National and international positioning as centre of excellence ▪ How to transform and still maintain quality ▪ Quality assurance

Table 5.1: (continued)

Organisational/"political issues"	Educational issues	Managerial issues	Managerial issues (continued)
<ul style="list-style-type: none"> Interface between top management and academic core in faculty Public relations Integration of unreasonable demands and political expectations by national departments and ministers with global competitive best practices in academic managerial conditions How to handle bureaucrats on campus 	<ul style="list-style-type: none"> Outcomes-based E-learning Mastering of new HE didactics Quality assurance Programme evaluation Knowledge of HE plans New financial plan of government Quality assurance Integration of HE and WHO stipulations External and internal pressures <hr/> <p>Own personal issues</p> <hr/>	<ul style="list-style-type: none"> Growth management Expansion of resources that needs managing Increase in complexity of internal and external environment Interface between top management and academic core in faculty Command and control system kills initiative Model must unlock potential Must be modern managerial leader Command and control not the traditional African way Management is a relationship Get rid of old ideas 	<ul style="list-style-type: none"> Leadership and management challenges Interference from government Paperwork becomes overwhelming Stay academic leader – do not become administrative clerk Create best academic environmental managerial practice Be more of a CEO than a pen pusher Public relations and advertising Maintain relationship between university and medical profession Performance management and revue Create, sell and realise a vision
Technology issues			
<ul style="list-style-type: none"> New technology External and internal pressures 	<ul style="list-style-type: none"> Must be modern managerial leader Leadership is a relationship Must be willing and able to change Create, sell and realise a vision Leadership challenge 		

**Table 5.2: Needs (strategies) relevant to master the challenges successfully
(Question 2, Appendix B)**

Financial issues	Programme and curricular issues	Organisational/"Political issues"	Higher educational issues
<ul style="list-style-type: none"> ▪ Financial acumen ▪ Must keep abreast of all new developments 	<ul style="list-style-type: none"> ▪ Must know what goes on in his/her programmes ▪ Quality assurance ▪ Must keep abreast of all new developments ▪ Abilities to look scientifically at problems of HE and his/her discipline and to integrate them 	<ul style="list-style-type: none"> ▪ Know the context of the internal and external environment ▪ Must know the environment ▪ Must keep abreast of all new developments ▪ Scientist and politician ▪ Abilities to look scientifically at problems of HE and his/her discipline and to integrate them ▪ Communications up and down 	<ul style="list-style-type: none"> ▪ Knowledge of policy documents ▪ Must keep abreast of all new developments
Staff issues			
<ul style="list-style-type: none"> ▪ Quality assurance ▪ Heads must undergo training in management – management qualification 			
Student issues		Technology issues	
<ul style="list-style-type: none"> ▪ Quality assurance 		<ul style="list-style-type: none"> ▪ Information technology (IT) proficiency ▪ Must keep abreast of all new developments 	

Table 5.2: (continued)

Personal and managerial issues	(continued)	(continued)
<ul style="list-style-type: none"> ▪ Must be an academic leader ▪ Have a vision for the school ▪ Must be a transformational leader in the sense that he/she should not be satisfied with <i>status quo</i> but have a vision for the school that will be better ▪ Must have the ability to take people with him/her ▪ Must be able to get people to “buy in” ▪ Heads must undergo training in management qualification ▪ Emphasis not just on academic knowledge only ▪ Do an executive managerial programme ▪ Is a CEO of a business dealing in intellectual property 	<ul style="list-style-type: none"> ▪ Must have open mind and willing to change him-/herself ▪ Must be read up and genned up on leadership and management ▪ Scientist and politician ▪ Communication skills ▪ Planning skills ▪ Must be able to handle perceptions ▪ Motivational skills ▪ Assess realistically ▪ Abilities to look scientifically at the problems of HE and his/her discipline and to integrate them ▪ Must be an innovative thinker ▪ Be a change agent ▪ Ability to create an atmosphere of commitment, creative activity, innovation and - above all - academic excellence 	<ul style="list-style-type: none"> ▪ Research development ▪ Know the context of the internal and external environment ▪ Effective management underlies all ▪ Must have a good knowledge of management and managerial skills ▪ Must be able to manage change ▪ Good communication necessary ▪ Needs managerial skills ▪ Must “take over” school after being employed for a full year ▪ Must have excellent personnel skills

Table 5.3: Difficulties that might prevent successful accomplishment of challenges**(Question 3, Appendix B)**

Financial issues	Programme and curricular issues	Organisational/"Political issues"	Higher educational issues
<ul style="list-style-type: none"> ▪ Not sufficient knowledge ▪ Resistance to change ▪ Lack of skills in how to obtain and assimilate financial knowledge 	<ul style="list-style-type: none"> ▪ Lack of understanding of quality and quality assurance mechanisms ▪ Insufficient knowledge of new policies ▪ Difficult to manage diversity ▪ Resistance to change ▪ Information not digested well ▪ Lack of skills in how to obtain and assimilate knowledge 	<ul style="list-style-type: none"> ▪ Insufficient knowledge of new policies ▪ Serving on too many committees, etc. outside of school/university – must be a balance ▪ Governance – more of an executive – focus on service goes down ▪ Arrogance ▪ Culture in an organisation – this is how things are done around here = old norms, regulations ▪ Opportunities within an organisation ▪ Information not available in an understandable format in SA ▪ Information not digested well ▪ Shrinking image of academic life as a profession 	<ul style="list-style-type: none"> ▪ Lack of understanding of quality and quality assurance mechanisms ▪ Lack of skills in how to obtain and assimilate knowledge ▪ Difficult to manage diversity ▪ Resistance to change ▪ Culture in an organisation – this is how things are done around here = old norms, regulations.
<hr/> <p>Staff issues</p> <hr/> <ul style="list-style-type: none"> ▪ Lack of understanding of quality assurance ▪ Difficult to be a human resource manager ▪ Insufficient knowledge of new policies ▪ Difficult to find good staff ▪ Difficult to manage diversity ▪ Resistance to change ▪ Culture in an organisation – this is how things are done around here = old norms, regulations ▪ Climate in an organisation – workers' perceptions and relationships ▪ Opportunities within an organisation ▪ Lack of skills in how to obtain and assimilate knowledge ▪ Shrinking image of academic life as a profession 	<hr/> <p>Technology issues</p> <hr/> <ul style="list-style-type: none"> ▪ Lack of understanding ▪ Resistance to change ▪ Lack of skills in how to obtain and assimilate knowledge ▪ Information not available in an understandable format in South Africa 		<hr/> <p>Student issues</p> <hr/> <ul style="list-style-type: none"> ▪ Lack of understanding of quality and quality assurance mechanisms ▪ Difficult to be a human resource manager ▪ Insufficient knowledge of new policies ▪ New student composition completely different from before – causes difficulties ▪ Diversity must be managed ▪ Resistance to change

Table 5.3: (continued)

Managerial issues	Managerial issues(continued)	
<ul style="list-style-type: none"> ▪ Lack of understanding of quality and quality assurance mechanisms ▪ Lack of knowledge of project management ▪ Managers not realising when they do not have sufficient knowledge about a topic or necessary skills ▪ Lack of training of senior staff ▪ Lack of experience <i>per se</i> ▪ Ineffective managerial administration ▪ Not skilled in human resource management ▪ Insufficient knowledge of new policies ▪ Lack of experience in 2nd level management ▪ Tunnel vision is dangerous ▪ Information not available in an understandable format in SA ▪ Information not digested well ▪ No clear and proper guidelines available to new manager ▪ No proper strategic thinking ▪ Not enough good information ▪ Not enough knowledge to handle all the information ▪ Lack of managerial leadership skills ▪ Lack of managerial leadership training 	<ul style="list-style-type: none"> ▪ Serving on too many committees, etc. outside of school/university ▪ Governance – more of an executive – focus on service goes down ▪ Diversity must be managed ▪ Resistance to change ▪ Most dangerous person on earth is he who does not know that he does not know ▪ Arrogance ▪ Culture in an organisation – this is how things are done around here = old norms, regulations, etc. ▪ Climate in an organisation – workers' perceptions and relationships ▪ Opportunities within an organisation ▪ Lack of skills in how to obtain and assimilate knowledge ▪ Priorities not correct ▪ Caught up in day-to-day crisis management dilemma which leaves no time for catching up on the necessary knowledge ▪ Excessive bureaucracy ▪ Systems overload due to too many bureaucratic systems and too much diversity without necessary infrastructural back-up 	

Table 5.4: Main tasks of Dean/Head of School (leadership and management group)
(Question 4, Appendix B)

Tasks concerning HE; Programme and curricular issues; research and community service	Tasks concerning staff and student issues	Tasks concerning managerial issues
<ul style="list-style-type: none"> ▪ Renewal of HE ▪ Restructuring of HE due to new challenges ▪ Acknowledge HE, University, but place School/Faculty above else ▪ Re-curriculation and programme development <ul style="list-style-type: none"> -career directed -proper graduate qualifications -learner-centred education -problem-based learning -outcomes-based education -e-learning ▪ Managing shape and size of programmes ▪ Changing teaching methodology ▪ Building and maintaining research ▪ Expansion of service to community 	<ul style="list-style-type: none"> ▪ Appointment and management of staff ▪ Empowerment of staff ▪ Development of staff ▪ Motivation of staff ▪ Capacity-building ▪ Empower staff in order to reach the status of centre of excellence ▪ Maintain good staff relations ▪ "Build the reputation of the School – your students are your reputation" ▪ Proper handling of change concerning student population ▪ Empowerment of students 	<ul style="list-style-type: none"> ▪ Responsible for everything in the Faculty/School ▪ Figurehead of the Faculty/School ▪ Strategic positioning, national and international ▪ Re-structuring and structuring of policies ▪ Manage change ▪ Change ineffective management practices ▪ Manage diversity ▪ Quality assurance ▪ Conflict management: staff and other issues ▪ Management of people ▪ Delegate: do not waste time on day-to-day issues ▪ Develop support structures for where support is needed – can't do everything ▪ Foster public relations ▪ Networking ▪ Create a positive and an academic atmosphere

Table 5.5: Leadership qualities and managerial skills needed by the Dean/Head of School (leadership and management group)
(Questions 5 and 6, Appendix B)

Leadership qualities	Management skills
<ul style="list-style-type: none"> ▪ Must be able to have a holistic overall vision ▪ Must be able to lead change ▪ Must be able to do things in a different way ▪ Must be able to walk in front ▪ Must be able to know how far ahead he/she is ▪ Must be able to get the best out of people ▪ Must be balanced: rational and constant ▪ "A leader never has groups – he/she has teams" ▪ Must be able to create a motivational climate ▪ Must be able to focus on positive things ▪ Must be able to get people to work together ▪ "Ethos as a leader: must contain balance between the positive and negative" ▪ Must be available to staff (accessibility) ▪ "Don't break rules but handle with subtlety" ▪ Academic credibility ▪ People skills ▪ Enthusiasm ▪ Strong transformational leadership ▪ Motivating skills ▪ Communication skills ▪ Humility ▪ Accommodating ▪ High integrity ▪ Adaptability ▪ Skills to build relations ▪ Innovative thinking ▪ Networking skills 	<ul style="list-style-type: none"> ▪ Must be able to manage change ▪ "Self-management leads to good management of other" ▪ Must be able to distinguish between a strategic problem and an operational one ▪ "Must be able to distinguish between a problem that you can solve and a dilemma that you can't, but must manage" ▪ Business skills ▪ Must be trained to develop managerial skills ▪ Must be able to delegate ("the what not the how") ▪ Emotional intelligence ▪ Managing people ▪ Know the potential of staff and where to use/apply them ▪ Handling of power discreetly ▪ Quality management skills ▪ General managerial skills ▪ Financial management and budgeting ▪ People management skills

5.2.1 Challenges for Deans/Heads of Schools (leadership and management group)

Table 5.1 shows the challenges that were identified for Deans/Heads of School (in other words the leadership and managerial group), currently as well as over the next five years, in Tertiary Education institutions in South Africa.

The following issues were identified, namely financial, staff, student, programmes and curricula, political, technology, educational, as well as managerial issues. For the specific summarised and shortened comments, see Table 5.1 under the specific headings.

From Table 5.1 it is clear that financial issues will constitute a challenge for the leadership and managerial group in the HE field. It includes the management and application of the new subsidy formula; the different funding challenges; expansion of resources; as well as securing the sustainability of financial resources. Financial planning and management, together with entrepreneurial thinking in the light of external and internal pressures will offer various challenges to Deans and Heads of Schools (cf. Table 5.1).

As far as staff issues are concerned, it seems that quality assurance as a whole will pose a major challenge: how to transform and still maintain quality, is the question. To ensure employment equity, to develop staff, to implement performance management, do more with fewer staff, and to accommodate external and internal forces with the view to sustain human resources have to be done. To overcome resistance against change, behavioural changes will be necessary (cf. Table 5.1).

Student issues offered the following challenges: access, admission and enrolment of students; the equity of students; not discriminating against students, for example disabled students; to foster student diversity; and the paradigm shift to view students as clients will pose a challenge. Behavioural changes are necessary to overcome the resistance against change. The Africanisation and globalisation of the student body, together with external and internal pressures must be taken into account. One of the most important challenges will be to introduce mechanisms to ensure the quality of graduates (cf. Table 5.1).

As far as curricula and programme issues are concerned, it was identified that the assurance of the excellence of programmes and curricula must be ensured and that the challenge will be to position the institution nationally and internationally as a centre of excellence, with a view to deliver

programmes of quality. A definite focus will be on learning with a multidisciplinary and an interdisciplinary approach that will ensure learning in context. The increase of academic output, but with the retainment of quality and - at the same time - providing education and training that will ensure that the students receive value for their money, will be a challenge (cf. Table 5.1).

The organisational/political issues include the management of the interface between top management and the academic core in the Faculty; improvement and expansion of public relations off campus; and the handling of beaurocrats on campus will pose several challenges; as well as the integration of unreasonable demands and political expectations by national departments and ministers. Global competitive best practices in academic conditions will be other major challenges (cf. Table 5.1).

As far as technology issues are concerned, the mastering and application of new technology to enhance the best of the Faculty/School will pose a challenge (cf. Table 5.1).

New HE didactics, including outcomes-based education and e-learning, will have to be considered and introduced in such a way that they are conducive to the institution. Programme evaluation with a view to ensure quality will

have to receive attention. Relevant and applicable knowledge of HE plans - including the integration of new policies, for example those of the HE sector and the WHO - will need attention (cf. Table 5.1).

A whole series of managerial issues were identified that can pose a challenge.

Various different issues such as becoming a modern managerial leader; leadership challenges; and the creation, selling and realising of a vision were highlighted. It was stated that leadership is a relationship and that leaders will personally have to be able to change.

Two of the other comments were that the complexity of the internal and the external environment, as well as the interface between top management and the academic core will be challenges for the leadership and managerial group in a Faculty/School (cf. Table 5.1).

It is clear that a leadership and management framework/model must unlock potential and that it must be shifted away from a command and central system that kills initiative. It will, in addition, be important to maintain the relationship between the university and the medical profession. It would be a challenge to create the best academic managerial practice, to stay an

academic leader, and not to become an administrative clerk. For further detailed comments, see Table 5.1: Heading: Managerial issues.

5.2.2 Needs (strategies) relevant to master these challenges

Table 5.2 shows what will be needed and which strategies must be followed to meet the above-mentioned challenges that were identified and summarised.

Needs (strategies) concerning financial, staff, student, programme and curricula, “political”, technology, educational, personal and managerial issues, were identified and tabled in Table 5.2.

For the specific summarised and shortened comments on needs (strategies) see Table 5.2 under the specific headings.

It is clear that, to meet financial challenges, it will be necessary to keep abreast of all new developments as far as financial issues are concerned (cf. Table 5.2).

The interviewees were of the opinion that training in management with the aim to receive a management qualification is an important mechanism to

meet the challenges concerning staff issues. Ensuring quality, both on staff and student issues, was identified as a strategy to be followed (cf. Table 5.2).

It will be necessary for Deans/Heads of Schools to have a good knowledge of their education and training programmes; to keep abreast of new developments; to have the ability to look scientifically at problems in HE and their discipline; and to handle them in an integrated way. It was further identified that they had to have knowledge of HE policies (cf. Table 5.2).

Table 5.2 (second page) shows three columns marked "Personal and managerial issues". It shows the needs (strategies) concerning personal and managerial issues that are relevant to master the posed challenges. For detailed comments, see Table 5.2 (second page).

5.2.3 Difficulties that might prevent successful accomplishment of challenges

Table 5.3 shows the difficulties that might prevent successful accomplishment of challenges. Difficulties concerning financial, staff, programme and curricular, technology, "political", educational, student and managerial issues were identified. (For the specific summarised and shortened comments, see Table 5.3.)

Difficulties concerning financial issues were that Deans/Heads of Schools might not have sufficient knowledge or lack the necessary skills to obtain and assimilate knowledge on financial challenges (Table 5.3).

Staff issues that could pose a problem were, *inter alia*, issues such as a lack of understanding quality assurance, insufficient knowledge of new policies, a lack of skills in obtaining and assimilating the necessary knowledge, lack of recognition of opportunities in an organisation, and the existing climate in an organisation – the workers' perceptions and relationships (Table 5.3).

As far as programme and curricular issues as well as technology are concerned, the lack of skills on how to obtain knowledge on these issues were mentioned (cf. Table 5.3).

"Political" issues or the "politics"(organisational issues) in the institution could pose difficulties that might prevent successful accomplishment of challenges. For example, the fact that systems overload occurred due to too many bureaucratic systems and too much diversity without the necessary infrastructural backup, might cause difficulties that can prevent successful accomplishment. (For more detailed comments, see Table 5.3.)

Lack of skills and a lack of understanding of the HE sector and policies are difficulties that were identified during the interviews. Regarding student issues lack of understanding and insufficient knowledge of new policies played a significant role in causing difficulties (cf. Table 5.3).

Various managerial issues with regard to difficulties that might prevent successful accomplishment of challenges, are listed in Table 5.3. (second page). (For the detailed summarised comments, see Table 5.3.)

5.2.4 The main tasks of a Dean/Head of School (leadership and management group)

Table 5.4 shows the main tasks of the Dean/Head of School under the following headings: Tasks concerning HE; Programme and curricular issues; Research and community service; Tasks concerning staff and student issues; as well as Tasks concerning managerial issues. Only a few of the tasks will be highlighted. (See the detailed summarised comments in Table 5.4.)

The renewal and restructuring of HE were identified as two of the most important issues that Deans/Heads of Schools had to undertake and mentioned by all the interviewees as issues of importance. The re-curriculation and programme development with an emphasis on relevant

career-directed programmes, qualifications of high standard, learner-centred education, Problem-based Learning, and e-learning in an outcomes-based system were identified during the interviews (cf. Table 5.4).

Managing the shape and size of programmes; changing teaching methodology; building and maintaining research; as well as the expectation of service to communities, will definitely be the specific tasks of the Dean/Head of School or he/she would have to take the responsibility to see that these tasks were executed.

Various tasks concerning staff and student issues will have to be handled by the Dean/Head of School or must be delegated to another senior individual in the leadership and managerial group (for example a Vice- or an Associate Dean or a Head of Student Affairs, or a Head of Education). How staff and student issues are handled, will differ from institution to institution, but the Dean/Head of School will ultimately be responsible for them. Issues such as appointment of staff, development, empowerment and motivation of staff, and capacity-building will be important. The proper handling of students and student affairs and the empowerment of students will help to build the reputation of the Faculty/School.

Tasks concerning managerial issues will, however, form the most important duties of the Dean/Head of School/leadership and management group. This individual/group of senior managers are responsible for everything happening in the Faculty/School. He/she/they are the “figure-head” of the Faculty/School. One of the tasks would be to position the institution nationally and internationally. Other issues such as structuring and restructuring of policies, managing change, managing conflict, developing support structures, in addition to empowering individuals to assist the Dean/Head of School, fostering public relations, networking and the creation of a positive academic atmosphere also fall under the tasks of the Dean/Head of School (cf. Table 5.4).

5.2.5 Leadership qualities and managerial skills needed by the Dean/Head of School (leadership and management group)

Table 5.5 shows the leadership qualities and managerial skills that the Dean/Head of School/leadership and management group needs. A selection or combination of these will be applicable according to the leadership and management structure as well as the vision, mission and goals that are set for the institution.

Responses to Questions 7 and 8 of the interview guide (Appendix B) are not summarised in a table format, but discussion on these responses will follow.

In response to the question (Question 7, Appendix B) to the interviewees: “Which managerial and leadership criteria would you like to see included in the compilation of a leadership and management framework for a medical school?”, most of the interviewees were of the opinion that all the comments up to that point in time of the interview were of the utmost importance and could form the basis for criteria-setting.

What was added, however, was the issue raised regarding the risk-taking profile of Deans/Heads. The question that was mentioned by them, was whether these leaders and managers took risks. It was also stated that these individuals had to maintain a balance in attending one meeting after another. The question concerning “Do Deans/Heads of School know that they sometimes don’t know?” was also raised. Interviewees were furthermore of the opinion that a fellowship for deans/heads might be an option. It was stated that it was not necessarily a good thing to follow in the footsteps of the previous dean/head and it was strongly recommended that they should go somewhere else to be trained.

Question 8 (Appendix B) was put to the interviewees to differentiate between the characteristics; knowledge and skills; as well as the role, tasks and functions of a Dean or a Head of School in a decentralised managerial system.

All the interviewees indicated that it was very difficult to determine the difference between the characteristics of a Dean and a Head of School. Five of the six interviewees, however, mentioned some characteristics that could be allocated/ascribed to the Dean, but they mentioned that it would also be applicable to the Head of the School!. The following was mentioned: creative manager and innovative thinker; must have the responsibility and freedom to manage; must be energetic - "dead people can't lead others, they scare others".

A Dean/Head of School must have the following skills (the depth and intensity will differ between the leadership and management group as well as from institution to institution):

- Planning and organising
- Quality management
- Project management and costing
- Academic Research skills

- Management accounting
- Technical report-writing skills
- Marketing skills and fund-raising skills
- Policy and procedure writing skills
- Public speaking skills
- Report-writing skills
- Strategic planning and business plan writing skills
- Meeting skills
- Policy development and implementation skills
- General management
- Budgeting and financial management
- People management
- Effective interviewing skills
- Benchmarking skills
- Networking.

A Dean/Head of School must possess the following knowledge (the depth and intensity will differ between the leadership and management group as well as from institution to institution):

- Knowledge of relevant academic and industry-related legislation
- Knowledge of governmental and industry/service requirements
- Knowledge of institutional policy
- Knowledge of community requirements and needs
- Joint venture and contract management
- Knowledge of relevant legislation and Higher Education Policy
- Knowledge of academic peer recognition processes
- Knowledge of process management and organisation development
- Knowledge of university organisation structures, management committee structure, policies and procedures, compliance frameworks
- Knowledge of business excellence trends
- Knowledge of strategic positioning trends and higher education developments
- All legislative policy and academic legislative requirements
- Knowledge of the academic teaching and research environment
- Public and private tertiary education environment
- Corporate governance
- Quality management and organisational effectiveness
- Knowledge of relevant legislation
- Facilities management and maintenance process
- Organisation development.

It was additionally mentioned that in a decentralised system the Dean must run the Faculty and must be careful not to run one of the Schools which accommodates his/her discipline. If there is a Head for a School, the Head must run the School. The Head must, however, “buy into” the vision of the Dean – he/she must be a “disciple” of the Dean. It was clearly stated that the Head of the School has to run the day to day activities of his/her School. The Dean must remove all obstacles that prevent staff from doing their respective jobs – he/she has the accountability, while the Head of the School has the responsibility and the authority.

It was proposed that the leader and the management group members should do a fellowship before being permanently appointed.

One of the interviewees differentiated on the basis of role, tasks and functions between the Dean and the Head of School as follows:

Dean: “public relations; chair only the main meetings; networking; visionary leadership; power equals responsibility; you can’t lead if you can’t trust or be trusted; ask, plan, officiate and activate”.

Head of School: “day-to-day running of School; chair and attend meetings and run task groups; not necessarily the successor to the Dean; runs a cost

centre; managerial tasks *per se* ; not necessarily an academic; this is a mini-dean: has same skills, etc. as a Dean”.

The findings of the structured interviews, together with information obtained during the literature study, were used in order to compile a questionnaire in the Delphi study that followed the interviews.

5.3 DESCRIPTION AND DISCUSSION OF THE DELPHI STUDY

Three rounds were necessary before the Delphi study could be ended and these rounds are discussed separately. First a description of the measuring instrument will be provided, followed by the analysis of the responses. It will be followed by a short summative discussion of the findings of Rounds I and II respectively (Appendices D-G). A summative discussion will be given on Round III (the Final round) (cf. Appendix H - I and 5.3.3.3).

5.3.1 First round of the Delphi study

5.3.1.1 *The measuring instrument*

A letter (Appendix D) accompanied the Delphi questionnaire (Appendix D-2) in the first round of the Delphi study. In the letter the researcher thanked

the participants for agreeing to take part in the Delphi study. Information on the structure of the questionnaire was given, as well as the procedure of the Delphi process. Instructions on how to complete the questionnaire were also included.

It was clearly stated that each statement had to be evaluated in respect of its importance on a three-point scale. These points were defined as follows and in this manner:

- 1 = Essential (this criterion must definitely be included in the framework).
- 2 = Useful (it does not matter whether this criterion is included or excluded from the framework).
- 3 = Unnecessary (this criterion must definitely be excluded from the framework).

In the letter it was specifically mentioned that, when reference was made to the "Head of a School" it should be read as also referring to a "Dean (or Vice-Dean etc.) of a Medical School". The framework that forms the essence of the study aims at the **academic management structure** in a medical training institute *per se* and does not necessarily place all attributes in one single person.

The layout of the Delphi questionnaire will be discussed per section and will only be done once in the following paragraphs, as the basic structure of the questionnaire stayed the same through all the rounds (cf. comments in Rounds II and III).

SECTION A of the Delphi questionnaire (cf. Appendix D-2) dealt with CHALLENGES, and the heading read as follows: **In compiling the leadership and management framework, recognition must be taken of CHALLENGES that might be faced by the management of Schools.**

This section was divided into 12 subsections, containing various (n=50) statements included under each subsection. Place was allocated after each statement for the participants to give their comments. The 13th subsection was an open-ended section in which the participants could add other statements or write additional comments (cf. Appendix D-2, pp. 1-5).

SECTION B of the Delphi questionnaire (cf. Appendix D-2) dealt with STRATEGIES, and the heading read as follows: **In compiling the leadership and management framework, cognisance must be taken of strategies that can be used to meet the challenges that Management have to face.** This section was divided into seven subsections, containing various (n=99) statements included under each subsection. Place was allocated after each statement for the participants to

provide their comments. The 13th subsection was an open-ended section in which the participants could add other statements or write additional comments (cf. Appendix D-2, pp. 6-15).

SECTION C of the Delphi questionnaire (cf. Appendix D-2) dealt with ROLES, and the heading read as follows: **In compiling the framework for leadership and management, the different roles of a Head of a School have to be identified.** This section was not divided into subsections and only contained various statements (n=11). Place was allocated after each statement for the participants to give their comments. An open-ended section was included in which the participants could add other statements or write additional comments (cf. Appendix D-2, pp. 16-17).

SECTION D of the Delphi questionnaire (cf. Appendix D-2) dealt with LEADERSHIP QUALITIES and the heading read as follows: **In compiling the framework for leadership and management, the leadership qualities that a Head of a School has to have, should be identified.** This section was divided into 16 subsections, containing various (n=87) statements, included under each subsection. Place was allocated after each statement for the participants to give their comments. The 17th subsection was an open-ended section in which the participants could add other statements or write additional comments (cf. Appendix D-2, pp.18-22).

SECTION E of the Delphi questionnaire (cf. Appendix D-2) dealt with MANAGERIAL KNOWLEDGE, SKILLS AND COMPETENCIES and the heading read as follows: **In compiling the framework for leadership and management, the managerial knowledge, skills and competencies that a Head of a School has, should be identified.** This section was divided into 10 subsections, containing various (n = 89) statements, included under each subsection. Place was allocated after each statement for the participants to give their comments. The 11th subsection was an open-ended section in which participants could add other statements or write additional comments (cf. Appendix D-2, pp. 23-31).

SECTION F of the Delphi questionnaire (cf. Appendix D-2) dealt with PERFORMANCE AREAS and the heading read as follows: **In compiling the framework for leadership and management, the PERFORMANCE AREAS have to be identified.** This section was divided in two subsections: one containing various (n=15) statements with space for comments and the other one was an open-ended one in which the participants could add other statements or write additional comments (cf. Appendix D-2, p.32).

SECTION G of the Delphi questionnaire (cf. Appendix D-2) dealt with MANAGEMENT STRUCTURES and the heading read as follows: **In compiling**

the framework for leadership and management, the following MANAGEMENT STRUCTURES must be included. This section was divided into three subsections, containing various statements ($n = 17$) included under each subsection. Place was allocated after each statement for the participants to provide their comments. The fourth subsection was an open-ended section in which the participants could add other statements or write additional comments (cf. Appendix D-2, pp. 33-34).

SECTION H of the Delphi questionnaire (cf. Appendix D-2) dealt with INFRASTRUCTURE AND FACILITIES and the heading read as follows: **In compiling the framework for leadership and management, the following INFRASTRUCTURAL COMPONENTS AND FACILITIES have to be addressed.** This section was divided into two subsections. One of these contained various statements ($n=14$) with space for comments and the other one was an open-ended section in which participants could add other statements or write additional comments (cf. Appendix D-2, p.35).

SECTION I of the Delphi questionnaire (cf. Appendix D-2) dealt with ASPECTS THAT HAVE TO BE ADDRESSED IN A FRAMEWORK FOR LEADERSHIP AND MANAGEMENT and the heading read as follows: **In compiling the framework for leadership and management, the following aspects have to be addressed.** This section was divided in two subsections, one

containing various statements ($n=8$) with space for comments and the other one was an open-ended section in which participants could add other statements or write additional comments (cf. Appendix D-2, p.36). The Sections A – I make up the nine Sections which were incorporated in the Delphi questionnaire.

5.3.1.2 *Analysis of responses*

The responses from Round I of the Delphi study were analysed manually with the assistance of a Biostatistician, by indicating for each statement in the questionnaire the frequency of responses for each point on the scale.

Consensus was defined for the purpose of this study as being reached when 80% of the participants' votes fell in the same bracket (1 or 2 or 3) on the scale. This implied that five of the six responses had to fall on the same scale point. All items on which consensus had been reached during the first round, were subsequently excluded from the questionnaire during round II.

5.3.1.3 *Summative discussion of the findings of Round I of the Delphi study*

All six participants responded to the Delphi questionnaire (100% response rate). On the 390 statements in the questionnaire consensus was reached on 73% of the statements during the first round.

An accompanying letter (Appendix E) as well as a Round I-feedback questionnaire sheet (Appendix E-2) was sent to all the participants a week after Round I had been completed.

All the statements on which consensus had been reached, were shadowed (73% of the statements). The participants' comments were listed as well (cf. Appendix E-2). These comments were then taken note of during the process and will be highlighted where relevant and applicable and will be indicated in the Round I feedback report.

During the first round (and all the following rounds) no extra statements were added by the participants. Where questions were put to the researcher by the participants in order to obtain more clarity, they were communicated to and cleared with the participant whose request it was. For the findings of Round I of the Delphi study, see Appendices E and E-2.

5.3.2 Second round of Delphi study

5.3.2.1 *The measuring instrument*

An accompanying letter (cf. Appendix F) was sent with the Delphi questionnaire of Round II (Appendix F-2) to the participants. It stated the purpose of the questionnaire and the instructions for completion of the second round.

The responses of all the participants were included in a document which was attached to the letter and the questionnaire. In this attached document an indication was given of the percentage of participants who had indicated the specific value in Round I. Every participant's own response in round one was also indicated, for example:

	Essential	Useful	Unnecessary	Comments
(b.) Vice-Dean(s)	1	2	3	80 20 0 2

It was interpreted as follows: As far as that statement was concerned, 80% of the participants to Round I indicated *essential* as their preference; 20% indicated *useful* as their preference; and no-one indicated *unnecessary* as

their choice. Your choice in Round I was *useful* (=2) (**each participant received a personalised form that only indicated that specific participant's choice**). This was done in order to enable each participant to easily remember what he/she had actually indicated in Round I.

As an appendix the Delphi questionnaire that had to be completed for Round II is included in this thesis (Appendix F-2). All statements on which consensus had been reached during the first round, were subsequently excluded from the Round II questionnaire. None of the original statements were changed.

5.3.2.2 *Analysis of responses*

The responses from Round II of the Delphi study were analysed manually, by indicating for each statement in the questionnaire, the frequency of responses for each point on the scale.

5.3.2.3 *Summative discussion of the findings of Round II of the Delphi study*

100% of the participants responded. After Round II an 88% point of consensus was reached on all of the statements. In Appendix G the results

are reported, including comments that were made by the participants. The statements on which consensus was reached during Round II were shadowed. The results of Round II of the Delphi study were sent to the participants within a week.

5.3.3 Third round of the Delphi study

5.3.3.1 *The measuring instrument*

An accompanying letter (Appendix H) was sent with the questionnaire of Round III. The purpose was to try and get consensus on the last few statements.

The questionnaire for the third round contained only a participant's responses that differed between Rounds I and II. One of the participants' questionnaire is attached as Appendix H-2 as an example. Each participant's questionnaire was individualised.

The participants were offered the opportunity to change or to stand by their previous opinions. (These were individually marked with a "#" symbol to indicate what was chosen in Round I and with an "X" for Round II). It meant

that consensus could be reached or, if the participants stood by their previous opinions, stability could be declared.

All participants were again offered the opportunity to make comments.

5.3.3.2 *Analysis of responses*

The responses from the third round were analysed manually by again determining the frequency of responses for each point of the scale for a particular statement. With the exception of one statement on which consensus was reached during this round, stability was reached on all the remaining statements in Round III of the Delphi study.

5.3.3.3 *Summative discussion of the findings of Round III (final round) of the Delphi study*

After Round I on 73% of the 390 statements consensus was reached and after Round II 88% consensus. Stability on the remaining 12% of statements was reached after completion of Round III.

The consensus and stability status are shown in the final results of the Delphi questionnaire Round III (cf. Appendix I). The number of participants exercising their vote is indicated as well.

The statements on which **consensus** was reached, is deemed as essential, meaning that they must be included in the leadership and management framework. **(SEE APPENDIX I FOR THE DETAILED NUMBERS CONCERNING CONSENSUS.)**

The statements on which no consensus, but **stability** (cf. Appendix H:2) was reached, will be tabled on the following pages. The percentage of participants indicating a specific point on the scale will be indicated as well (cf. Tables 5.6 – 5.13).

Table 5.6: Statements dealing with challenges that face the management of Medical Schools (Section A, Appendix I) on which stability was reached in Round III

1 = % of participants who indicated that statement is essential and must be included in the framework

2 = % of participants who indicated that statement is useful and could be included in framework

3 = % of participants who indicated that statement is unnecessary and should be eliminated

Statement on which stability was reached in Round III	1	2
-The Management will have to bear knowledge of the multiple impacts of: <ul style="list-style-type: none"> ▪ Global forces that have an influence on the management's work/duties and the viability and standing of the School 	50.0	50.0
-The Management will have to manage externally imposed accountability processes on the: <ul style="list-style-type: none"> ▪ Fiscal terrain 	66.7	33.3
-The Management will have to manage technology which impact on: <ul style="list-style-type: none"> ▪ The attitude of staff members who are pressured by the rapidity of technological changes 	50.0	50.0
-The Management will have to manage the diversity of shifting demographics which include: <ul style="list-style-type: none"> ▪ Age of student population 	66.7	33.3

Table 5.6: (continued)

1 = % of participants who indicated that statement is essential and must be included in the framework

2 = % of participants who indicated that statement is useful and could be included in framework

3 = % of participants who indicated that statement is unnecessary and should be eliminated

	1	2
-The Management will have to manage faculty who are ill-equipped to meet student and system demands, due to:		
▪ Mismatches in campus climate that are politically correct but not conducive to learning for minority groups	66.7	33.3
▪ Mismatches in the demand for technologically sophisticated programmes and the capacity of school to provide it	66.7	33.3
▪ Mismatches in existing faculty that do/do not spark (demand) new programme initiatives	66.7	33.3
▪ Mismatches between students' expectations (whether what they learn will aid them in finding jobs) and staff's instructional mission (in terms of what students know)	50.0	50.0
-The management will have a more direct and expanding role in marketing and communication in order to:		
▪ Demonstrate the value added to local communities	66.7	33.3

Table 5.7: Statements dealing with strategies that Management can use to meet challenges (Section B, Appendix I) on which stability was reached in Round III

1 = % of participants who indicated that statement is essential and must be included in the framework

2 = % of participants who indicated that statement is useful and could be included in framework

3 = % of participants who indicated that statement is unnecessary and should be eliminated

Statement on which stability was reached	1	2	3
Creating a diverse culture by:			
-Collecting and analysing data on the attitudes and perceptions of staff and students	50.0	50.0	0
-Changing staff profile through the selection of qualified people who bring in diverse perspectives	66.7	33.3	0
-Changing management systems through the selection of qualified people who bring in diverse perspective	50.0	50.0	0
▪ A mission statement that explicitly addresses diversity			
Understanding "academic freedom" as defined by the legal system according to the "rights and responsibilities of the teaching profession". They can take the following actions:			
-Deciding whether the interest of the individual in engaging in an activity outweighs the interest of School in preventing it	66.7	16.7	16.7
-Answering the question of whether the School would have taken adverse action against the faculty member even without the activity being involved	66.7	16.7	16.7

Table 5.7: (continued)

1 = % of participants who indicated that statement is essential and must be included in the framework

2 = % of participants who indicated that statement is useful and could be included in framework

3 = % of participants who indicated that statement is unnecessary and should be eliminated

	1	2	3
Strategically manage and secure financial resources by:			
-communicating in advance	66.7	33.3	0
-resource procurement – refers to soliciting unearned gifts or engaging in revenue-generating activities that lie outside the normal of the School (donations, fund-raising)	66.7	0	33.3
Seek and maintain professional and personal balance			
-when is most productive time	66.7	33.3	0

Table 5.8: Statements dealing with the different roles that the Head of a School has to fulfil (Section C, Appendix I) on which stability was reached in Round III.

1 = % of participants who indicated that statement is essential and must be included in the framework

2 = % of participants who indicated that statement is useful and could be included in framework

3 = % of participants who indicated that statement is unnecessary and should be eliminated

Statement on which stability was reached in Round III	1	2	3
-The Head has a role in taking responsibility for all necessary managerial activities	50.0	33.3	16.7
-The Head has to nurture all staff members, by knowing the needs and dreams of each individual and to work with them, together with other leaders, to ensure that the greatest potential is achieved	50.0	33.3	16.7

Table 5.9: Statements dealing with the leadership qualities that the Head of the School should have (Section D, Appendix I) on which stability was reached in Round III

1 = % of participants who indicated that statement is essential and must be included in the framework

2 = % of participants who indicated that statement is useful and could be included in framework

3 = % of participants who indicated that statement is unnecessary and should be eliminated

Statement on which stability was reached in Round III	1	2	3
-The Head has to be able to lead change by: ▪ Analysing change and its effects on individuals	50.0	50.0	0
-The Head has to manage time and priorities in order to: ▪ Manage others' time effectively	66.7	16.7	16.7
-The Head must have the ability to foster the following characteristics of transformational leadership: ▪ Individualised consideration: gives personal attention to others, making each individual feel uniquely valued	66.7	33.3	0
-The Head of the School has to demonstrate the following competencies: ▪ Develop self-awareness	50.0	50.0	0
-Characteristics that differentiate a good/an excellent leader ▪ Good personal strength ▪ Connected at higher levels ▪ Is more likely to be flexible on principles ▪ Manages by consent	66.7 33.3 16.7 16.7	33.3 50.0 33.3 50.0	0 16.7 50.0 33.3

Table 5.10: Statements dealing with the managerial knowledge, skills and competencies that the Head of School should have (Section E, Appendix I) on which stability was reached in Round III

1 = % of participants who indicated that statement is essential and must be included in the framework

2 = % of participants who indicated that statement is useful and could be included in framework

3 = % of participants who indicated that statement is unnecessary and should be eliminated

Statement on which stability was reached	1	2	3
-The Head has to have the following knowledge, skills and competencies concerning:			
▪ Ability to encourage faculty members to submit proposals for external contracts and grants	66.7	33.3	0
▪ Ability to set priorities for use of programme resources (e.g. travel funds)	66.7	33.3	0
-The Head has to have the following knowledge concerning legal issues:			
▪ Knowledge of records and documents to be maintained	50.0	33.3	16.7
▪ Knowledge of procedures concerning the leave policy	66.7	0	33.3
▪ Knowledge of procedures for dealing with disability issues	50.0	50.0	0
-The Head has to have the following knowledge, skills and competencies concerning faculty (staff) issues:			
▪ Knowledge of policies and procedures surrounding faculty service termination	66.7	33.3	0

Table 5.10 (continued)**1 = % of participants who indicated that statement is essential and must be included in the framework****2 = % of participants who indicated that statement is useful and could be included in framework****3 = % of participants who indicated that statement is unnecessary and should be eliminated**

	1	2	3
-The Head has to have the following knowledge, skills and competencies concerning student issues:			
▪ Ability to advise and counsel students concerning careers	16.6	66.7	16.6
▪ Ability to monitor student scholarship and awards	33.3	66.7	0
-The Head has to have the following knowledge, skills and competencies concerning: School/programme administration			
▪ Knowledge of School/programme/university deadlines	66.7	33.3	0
-The Head has to have the following knowledge, skills and competencies concerning professional development within the School/programme			
▪ Ability to foster the development of individual faculty members' talents and interests	66.7	33.3	0
▪ Ability to encourage faculty members to participate in professional meetings	50.0	50.0	0
▪ Ability to encourage faculty grantmanship	66.7	33.3	0
-The Head has to have the following knowledge, skills and competencies concerning office administration:			
▪ Ability to manage School/programme facilities, equipment and inventory	50.0	50.0	0
▪ Ability to supervise clerical and technical staff in office	50.0	16.7	33.3

Table 5.11: Statements dealing with the performance areas which have to be addressed in a School of Medicine (Section F, Appendix I) on which stability was reached in Round III

1 = % of participants who indicated that statement is essential and must be included in the framework

2 = % of participants who indicated that statement is useful and could be included in framework

3 = % of participants who indicated that statement is unnecessary and should be eliminated

Statement on which stability was reached	1	2	3
-The following performance areas must be included in the framework: ▪ Legal issues	66.7	16.7	16.7

Table 5.12: Statements dealing with the management structures that must be in place in order to manage the School (Section G, Appendix I) on which stability was reached in Round III

1 = % of participants who indicated that statement is essential and must be included in the framework

2 = % of participants who indicated that statement is useful and could be included in framework

3 = % of participants who indicated that statement is unnecessary and should be eliminated

Statement on which stability was reached	1	2	3
-There has to be a line structure of leaders and managers in the faculty consisting of: ▪ Associate dean(s) ▪ Heads of divisions	50.0 50.0	33.3 33.3	16.7 16.7

Table 5.13: Statements dealing with the infrastructure and facilities that must be in place in order to manage the School (Section H, Appendix I) on which consensus was reached in Round III

1 = % of participants who indicated that statement is essential and must be included in the framework

2 = % of participants who indicated that statement is useful and could be included in framework

3 = % of participants who indicated that statement is unnecessary and should be eliminated

Statement on which stability was reached	1	2	3
-The following have to be in place, fully equipped and functional:			
▪ Restrooms	66.7	33.3	0
▪ Staff room(s)	66.7	33.3	0

The fact that statements on which no consensus (but stability) were reached, were tabled in full (cf. Tables 5.6 – 5.13) made it unnecessary to describe these findings in words.

It was decided, however, that in compiling the framework, only statements where 50% or more of the Delphi participants indicated a point 3 on the scale (suggesting that the statement should be excluded), will be eliminated (statistical significance). Such a statement is shown in Table 5.9 and deals with the leadership qualities that the Head of the School should have. It reads as follows:

“ – Characteristics that differentiate a good/an excellent leader:

▪ Is more likely to be flexible on principles”

This was a statement on which stability was reached and which was rated as follows:

1 = 16,7% (essential, must be included in framework)

2 = 33,3% (useful, could be included in framework)

3 = 50% (unnecessary, must definitely be excluded from the framework).

It will be excluded from the final framework.

The above statement is therefore the only statement in the whole of the Delphi questionnaire that will not be addressed in the final framework.

No other statements on which consensus was reached were ranked as a "3", thus indicating them as unnecessary. This means that no statement on which consensus was reached, had to be excluded from the framework.

A differentiation will, however, be made between essential and useful statements when compiling the final framework.

In summary the following on the final results of the Delphi study:

- Consensus

- On 344 of the 390 statements consensus was reached on scale point 1 (essential)

- = 88.21%

- On 2 of the 390 statements consensus was reached on scale point 2 (useful)

- = 0.51%

- On 0 of the 390 statements consensus was reached on scale point 3 (unnecessary) = 0,0%.

- Stability

On 46 of the 390 statements stability was reached = 11.79%

- Of the 46 statements (46 x 6 options = 276 options) the following results were obtained:
 - 157 options - participants indicated their choice as a 1 = 56.88%
 - 97 options - participants indicated their choice as a 2 = 35.14%
 - 22 options - participants indicated their choice as a 3 = 7.97%.

5.4 CONCLUSION

There was a 100% response for both the interviews as well as the Delphi study (all three rounds).

Of the 390 statements made in the Delphi questionnaire, consensus was reached on 344. Of these 344 statements, with the exception of two statements, consensus was reached on a 1 (=essential for the framework). On the remaining two, consensus was reached on a 2 (=useful for the framework).

Stability was reached on the remaining 46 statements. Of the 46 only one statement was eventually not used (in the compilation of the framework) due to

the fact that 50% of the respondents indicated a 3 (= not necessary for the framework).

The researcher sees the above results as very positive and as an indication that the Delphi questionnaire was a comprehensive one due to the literature study and interviews which were used to compile them.

This chapter dealt with the discussions on the findings of the structured interviews as well as of the Delphi study. Tables were used to summarise comments and findings.

In the next chapter, Chapter six, the compiled framework for leadership and management in a medical school will be presented and described.

CHAPTER 6

A FRAMEWORK FOR LEADERSHIP AND MANAGEMENT OF A MEDICAL SCHOOL

6.1 INTRODUCTION

Major developments are taking place in South Africa's health care system, as well as in the higher education system, as is the case worldwide. In recent years there has been a proliferation of interest in medical education and it has become apparent that medical education and training should be adapted to the needs of society.

According to the document *Education and Training of Doctors in South Africa* of the Health Professions Council of South Africa (HPCSA) (1999:1), the "... unique function of faculties for health sciences/medical schools is to select and educate competent, skilled and caring medical practitioners, capable of meeting the individual's, as well as society's expectations of health care and to promote the health of all people. The medical school should strive to educate doctors who are capable of adaptation to change, whose minds can encompass new ideas and developments and whose attitudes to learning is such that it will inspire the continuation of their educational process throughout their professional life" (HPCSA 1999:1). It is further clearly stated that the overarching goal of medical education and training is to provide

students with opportunities to acquire competencies in order to render a professional service as doctors to the community, i.e. they should achieve the necessary levels of knowledge, skills, professional thinking, behaviour and attitudes in all the ramifications of medicine and health care to be able to pursue their profession as doctors and managers of health care (HPCSA 1999:5).

In addition, the HPCSA is prescriptive as far as the mission of Faculties of Health Sciences/Medical Schools in South Africa are concerned: " ... to provide education and training which will enable graduates to render service across a wide front in medicine and health care and to specialize in any field of medicine" (HPCSA 1999:8). These demands, needs and standards were formulated on the basis of recommendations made in various declarations such as the Edinburg Declaration 1988; Yaounde Declaration 1994 as well as the Cape Town Declaration (cf. HPCSA 199: 1 – 3).

Medical education therefore must be sensitive to both academic demands as well as the unique needs of the South African society; education and training have to meet modern medical standards of professional excellence in practice and are responsible for the development in future graduates of a high standard of ethical principles and a healthy outlook on life (HPCSA 1999:9). With such clearly stated functions and overall goals for and missions of faculties of health sciences/medical schools in South Africa, the question that comes to the fore, is: "How will these institutions go about in order to fulfil

these expectations?” “What is necessary to ensure that the institution (faculty/school) reflects a quality contribution to medical education and health care in South Africa?”

It becomes clear that South African faculties of health sciences/medical schools have to follow an overall management plan in order to fulfil their roles.

In this study the overall goal was to make a contribution to effective and efficient academic leadership and management in medical schools. The aim was to design a framework for leadership and management of a school of medicine. It can serve as a premise for leaders when they start adapting the academic and management activities of their institutions in congruence with their own unique situations to face the demands made on their schools.

This may serve as a means of addressing the need of the medical schools, as they can now - if they wish to - work from a scientific-based framework to direct their schools' leadership and management activities.

6.2 PREMISES FOR THE ACADEMIC LEADERSHIP AND MANAGEMENT FRAMEWORK

From the perspective of the researcher, it is obvious that the following premises are not negotiable in order to establish an effective and efficient

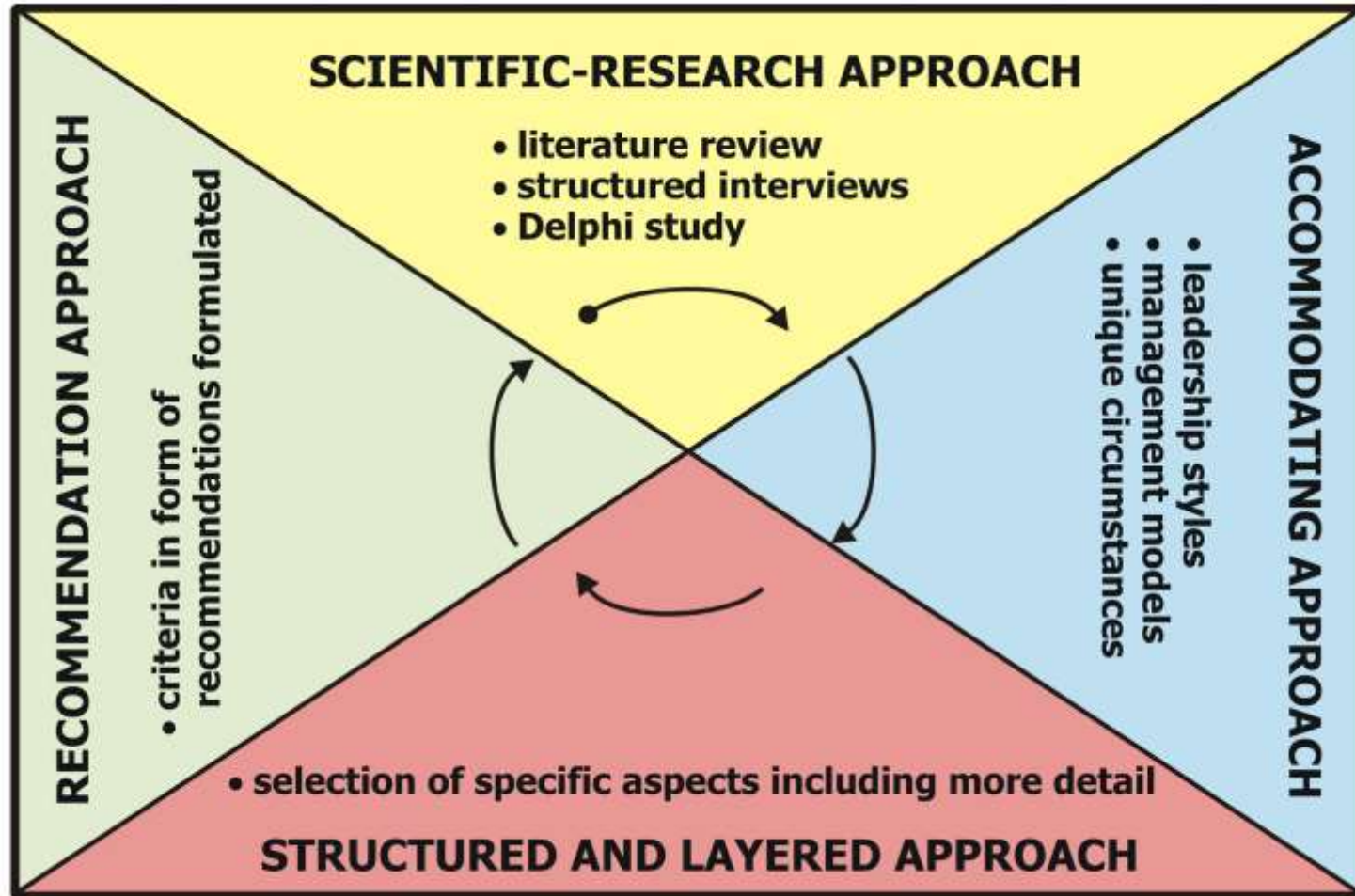
framework for leadership and management of a medical school. Subsequent to this, the points of departure for designing the framework as well as the role-players who influence leadership and management in a medical school, must receive attention. A schematic illustration of the framework with recommendations will follow.

Figure 6.1 shows the different premises for the academic leadership and management framework.

The first premise entails that the framework will be based on scientifically determined research results, in other words information regarding leadership and management that was obtained from national and international literature; from contributions made during structured interviews with highly acclaimed role-players in academic leadership and management, as well as from feedback from the Delphi participants who were all experts in health professions education, the medical terrain and the academic leadership and management terrain.

Reliable and viable research results for the compilation of the framework are fundamental to the process and will ensure that the framework is not biased and therefore more trustworthy. It will ensure that medical schools can depart from a well-defined basis and make their own adjustments.

Figure 6.1: Premises for the academic leadership and management framework



The second premise is that it is also clear from the study that a single model for leadership and management for all of the medical schools in South Africa will never be a possibility, but that the framework must be accommodating and must make provision for leadership styles and management models that already exist and to which preference may be given in medical schools, depending on personal factors as well as institutional uniqueness. Other models must, for example, be able to be linked to and benefit from recommendations in the framework. This must be possible without any negative impact on their existing models.

The third premise is that, in compiling the framework, a structured and layered approach must be followed. It must make provision for the different aspects that were investigated, for example challenges, strategies, needs, roles, qualities, functions, etc. This will ensure that a medical school can “zoom in” on a specific aspect in a structured way and benefit there from it in context.

The fourth premise is that the criteria which stem from the research must not be given as lists, but must be formulated as recommendations within well-defined aspects. These aspects are shown in Figure 6.4.

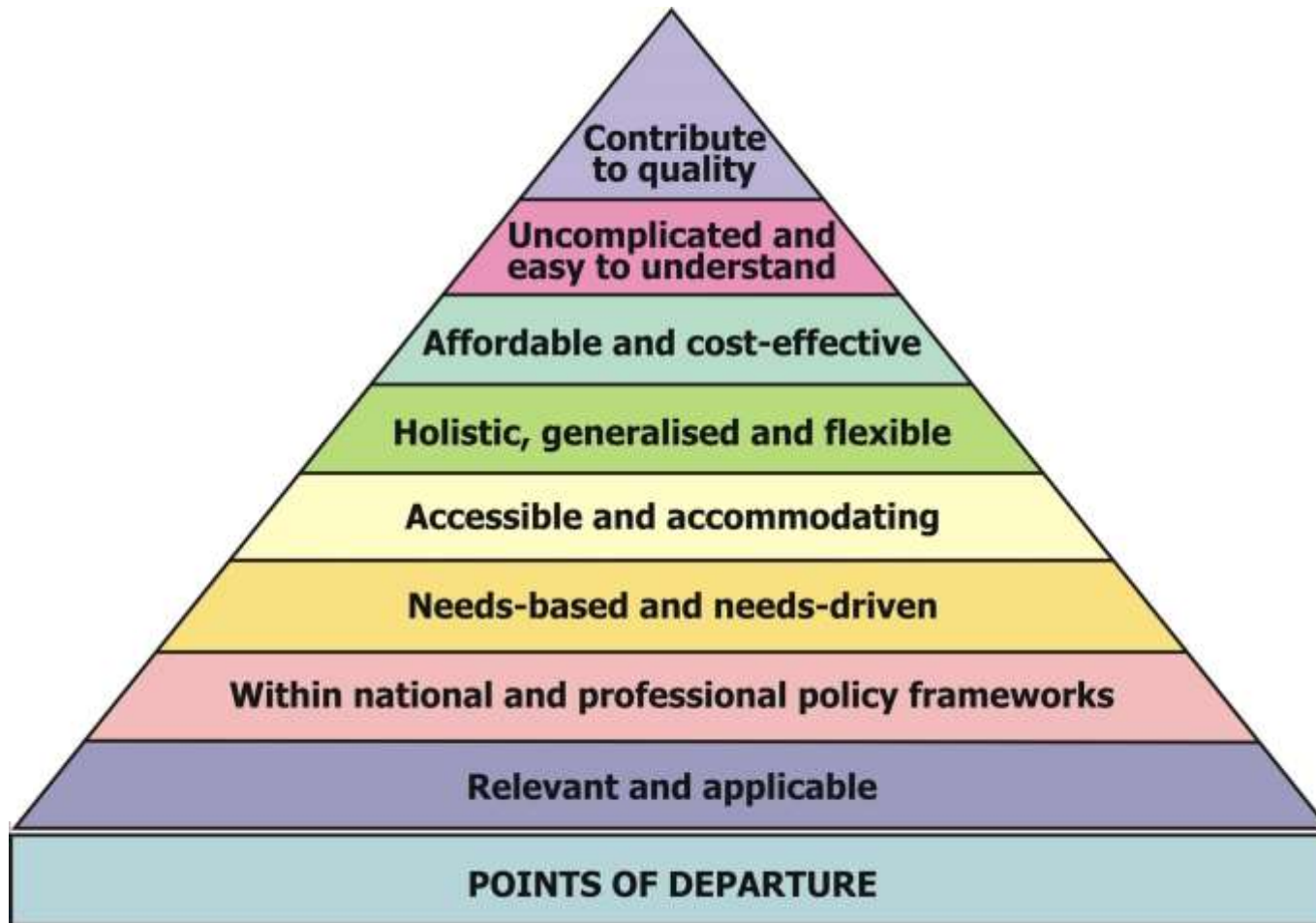
6.3 POINTS OF DEPARTURE

Figure 6.2 shows the points of departure with regard to the leadership and management framework.

In order for the recommendations included in the framework to be effectively implemented, the following must serve as points of departure (based on findings gleaned from the literature study, interviews and Delphi process):

- The framework for leadership and management must contain recommendations that make it relevant to and applicable to medical schools.
- The framework for leadership and management must be formulated within the policy framework of the DoE, the DoH and the HPCSA, but must also be functional in the institutional environment by encapsulating and making provision for the vision, mission and aims of each medical school.
- The framework for leadership and management must address needs of leaders and managers in managing their schools with the view to fulfilling the needs of medical education as well as the needs of the public in as far as health care is concerned.
- The framework for leadership and management must be accessible to leaders and managers in medical schools in such a way that it can accommodate best practices already present in schools.

Figure 6.2: Points of departure with regard to the leadership and management framework



- The framework for leadership and management must provide holistic and generalised as well as flexible options so that medical schools can implement different scenarios with ease.
- The framework for leadership and management must be affordable by offering a cost-effective approach to leadership and management.
- The framework for leadership and management must be uncomplicated, simple and easy to understand with a view to the successful implementation thereof.
- The framework for leadership and management must contribute to quality and success in the management of medical schools.

6.4 ROLE-PLAYERS WHO INFLUENCE LEADERSHIP AND MANAGEMENT IN MEDICAL SCHOOLS

Figure 6.3 shows the main role-players who influence leadership and management in medical schools (as identified in the literature).

For the leadership and management framework to be successfully implemented, the following role-players need to be recognised and involved where possible (on different levels and at different intensities, of course).

Internal role-players

University top leader and management group, for example by:

- setting the vision, mission and goals for the institution (the way to go);

- leading and managing the whole process of university education and training; and
- providing the infrastructure and funding for education, research and community service.

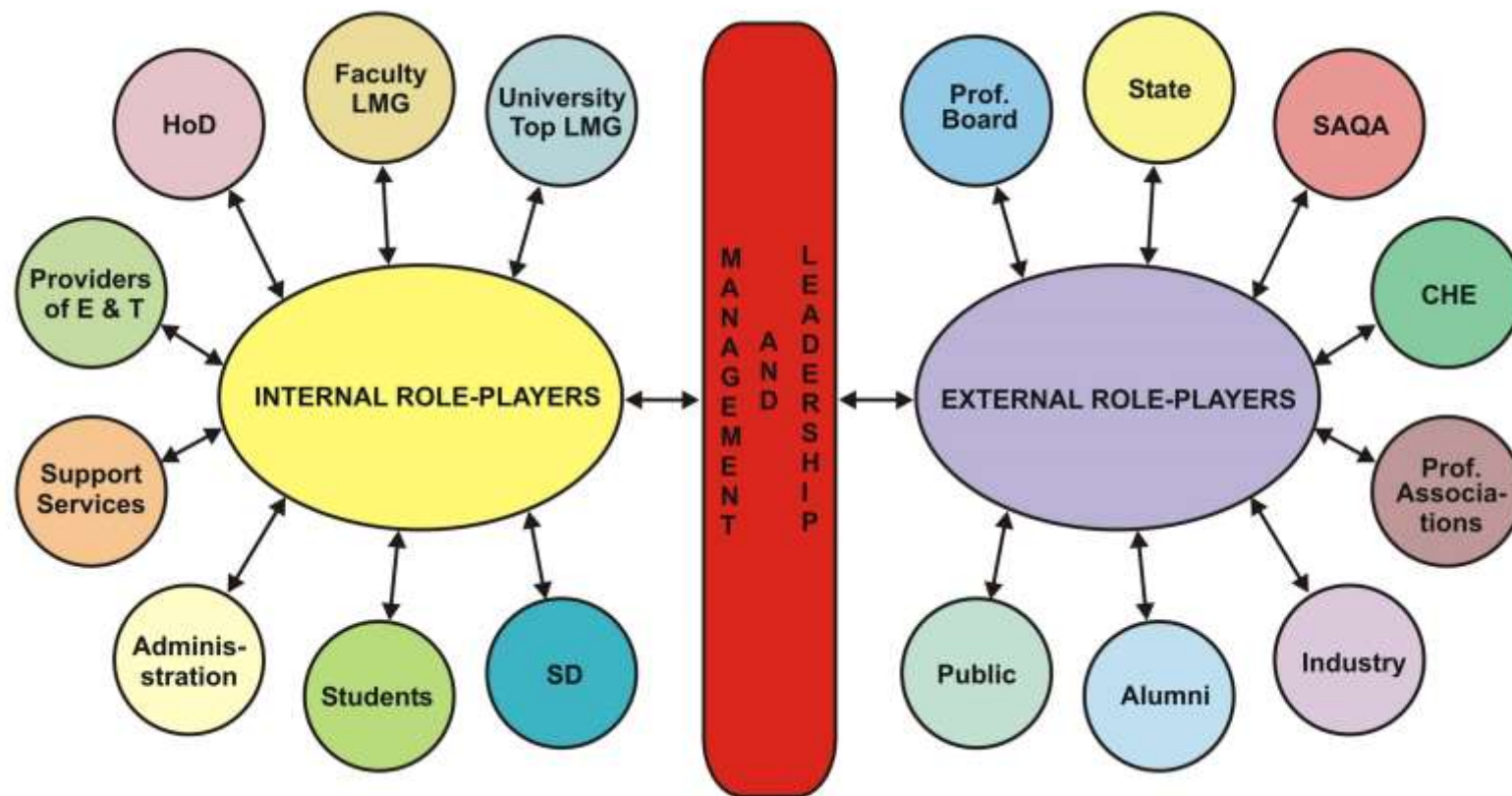
Faculty leadership and management group, for example by:

- setting the vision, mission and goals for the Faculty/School in line with that of the institution *per se*;
- leading and managing the whole process of education and clinical training in the Faculty/School;
- providing the specific infrastructure as well as providing/allocating funds for education, research and community service.

Heads of Departments, for example by:

- strategic management of departments;
- including leadership, networking, communication, change-management, project management and marketing.

Figure 6.3: Role-players who influence leadership and management in medical schools: Leadership and management group (LMG); Heads of Department (HoD); Education and training (E & T); Service delivery (SD); Prof. Board; South African Qualifications Authority (SAQA); Council on Higher Education (CHE); Prof. Association: Professional Association



Providers of education and training, for example by:

- offering undergraduate and post-graduate education and training programmes;
- doing research and implementing findings in education and training programmes;
- forging links nationally and internationally through active involvement in community, research and educational initiatives; and
- recognising limitations and enrolling in capacity-building programmes.

Support services, for example by:

- giving academic and student support; and
- developing staff (Faculty) capacity on academic, clinical and management terrains.

Administration, for example by:

- managing the whole process of administration in the Faculty/School through office management, document management and secretarial duties, as well as financial and information management; and
- delivering a service in as far as staff and student administrative issues are concerned.

Students, for example by:

- communication on all levels on issues applicable to them;
- involvement on all levels where applicable; and
- ensuring quality education and training.

Service delivery, for example:

- patient care management and outpatients management;
- patient documentation;
- theatre management;
- intensive care unit management;
- referrals;
- patient research;
- forging links with relevant organisations/bodies on different levels; and
- clinical involvement in teaching and training.

External role-players**Professional Board, for example by:**

- communicating effectively where regulatory change is necessary;
- developing and maintaining its role as an Education and Training Quality Assurer (ETQA) for the profession through and assisting in the developing quality assurance structures;
- developing standards, performance criteria and indicators for education and training; and
- upholding the code of ethics in the profession.

The state, including the public sector health service authorities as well as parastatal organisations (e.g. MRC, NRF, NHLS, etc.) for example by:

- establishing new education and training opportunities (internships);
- ensuring the effective implementation of community-based education and training;
- establishing of clinical sites that articulate with community service year;
- providing facilities, infrastructure, clinical and support staff and funding;
- helping in the improvement of standards of care and service delivery;
- service delivery; and
- offering scholarships and research support.

SAQA, for example by:

- seeking registration for undergraduate and post-graduate programmes;
- upholding the principles of the NQF; and
- respecting and ensuring critical and career outcomes.

The CHE, for example, by:

- implementing its own quality assurance structures while, at the same time, respecting the ETQA memorandum of understanding with the Professional Board.

Professional associations, for example by:

- ensuing and communicating benefits to the profession and the public;
- helping in the planning of a sustainable and viable career path for young doctors; and
- indirectly by assisting with the promotion of the broader education terrain.

Industry (Pharmaceutical Industry, private hospitals, medical aid organisations), for example by:

- forming working relationships with the profession;
- promoting research opportunities;
- offering scholarships where deserved; and
- promoting joint evaluation of new technology and medicine.

The alumni, for example by:

- promoting and carrying forth their *alma mater's* public image;
- joint and separate initiatives aimed at obtaining donations and funds for bursaries and other educational needs of the institution; and
- involvement, either directly or indirectly, by giving feedback on education and training programmes.

The public, for example by:

- promoting health care to them;
- respecting their expectations and rights; and

- welcoming their involvement in primary health care community projects.

It is clear to the researcher that the recognition of effective interaction between the different role-players as well as the forces interplaying on the different levels of leadership and management, is of the utmost importance in as far as the successful implementation of the framework for leadership and management of medical schools in South Africa is concerned.

6.5 ASPECTS THAT ARE ADDRESSED IN THE LEADERSHIP AND MANAGEMENT FRAMEWORK

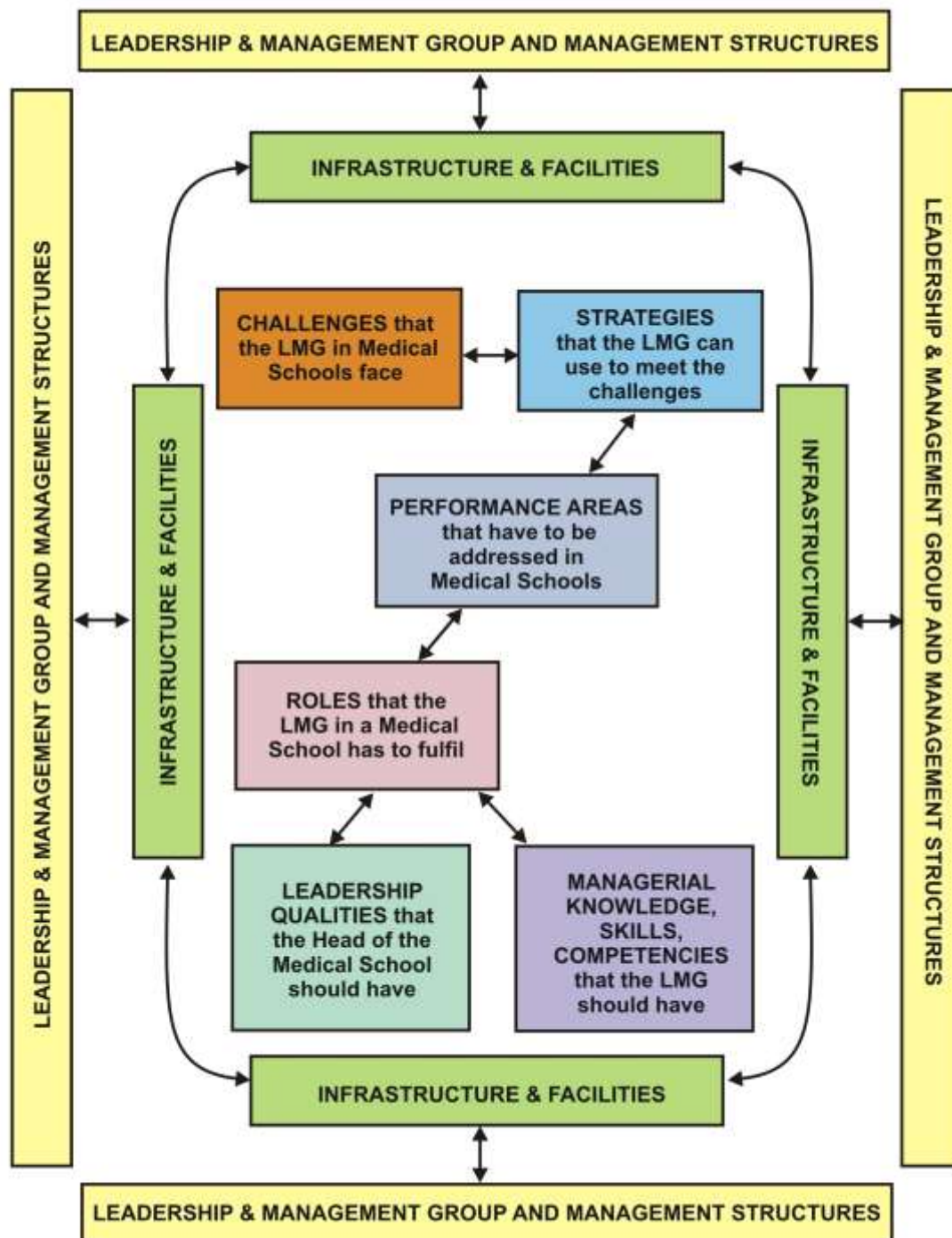
Figure 6.4 shows the different aspects that are addressed in the leadership and management framework and how they impact on one another. These aspects were identified from the literature review and interviews and served as the subsections of the Delphi questionnaire and can act interactively and dynamically upon one another.

The following aspects are included in the framework, namely

- The **challenges** that the leadership and management group in medical schools face.
- The **strategies** that the leadership and management group can use to meet the challenges.

- The **performance areas** that have to be addressed in the medical school.
- The **roles** that the leadership and management group in a medical school has to fulfil.
- The **leadership qualities** that the Head of the School should have.
- The **managerial skills and competencies** that the leadership and management group in medical schools should have (the Head could be a Dean or Vice-dean, etc.).
- The **infrastructure and facilities** that must be in place for the successful management of a medical school.
- The different **Leadership and Management Group and management structures** that must be in place in order to manage a medical school.

Figure 6.4 Aspects that are addressed in the leadership and management framework and how they impact on one another



It is important to emphasise that the roles, in the overarching performance areas, will not necessarily be filled by one single person, the Head of the Medical School, but that it can be done by the leadership and management group or management structures in the medical school. The knowledge, skills and competencies will likewise not necessarily be centred in one single individual.

6.6 RECOMMENDATIONS MADE WITH REGARD TO THE DIFFERENT ASPECTS INCLUDED IN THE LEADERSHIP AND MANAGEMENT FRAMEWORK

Figure 6.4 illustrates the different aspects included in the framework.

Recommendations are formulated under the eight aspects that are included in the framework (cf. 6.1-6.5; Delphi questionnaire layout, Appendix D-2; Interview guide Appendix B).

The Delphi results are used in such a way that the recommendations were categorised according to the indications whether the statement was predominantly marked as essential (for example, with 6 respondents indicating it is essential, followed by 5 respondents indicating it is essential and 1 as useful). These recommendations are clearly marked in **bold**. It does not mean that the other recommendations are not important, however.

They could be of importance to a specific Medical School/in specific circumstances, or when the more complete picture is preferred or used.

Recommendations were also ranked from most essential to less essential where it was logical to do so (for example the context might be lost if it was not done).

C1 CHALLENGES

It is recommended that the leadership and management group in a School of Medicine/Faculty of Health Sciences take cognisance of the following challenges that might be faced by them in the management of their schools:

C1.1 The management will have to have knowledge of the multiple impacts that are exerted by the various forces that have an influence on the management's work/duties and the viability and standing of the school:

- **Institutional forces**
- **National forces**
- Global forces.

C1.2 The management will have to cope with strained fiscal resources which result from:

- **Availability of resources on national level**
- **Decrease in funding**

- **Reallocation of resources in institutions.**

C1.3 The management will have to manage externally imposed accountability processes on the:

- **Educational terrain**
- **Research terrain**
- **Service delivery terrain**
- **Fiscal terrain.**

C1.4 The management will find increasing pressure for competitiveness of:

- **Relevant programmes and curricula within regional, national and international contexts**
- **Academic staff within regional, national and international contexts**
- **Students within regional, national and international contexts**
- **Finances within regional, national and international contexts.**

C1.5 The management will have to manage technology which impacts on:

- **The mode of learning to which students are exposed**
- **The mode of delivery of teaching**
- **A wider access to educational opportunities**
- **Research (for example, data research)**

- **Management capacity of managers**
- Effectiveness and efficiency of administration
- The attitude of staff members who are pressured by the rapidity of technological changes.

C1.6 The management will have to manage the diversity of shifting demographics which include:

- **Language diversity**
- **Gender of student population**
- **Racial and ethnic minorities**
- **Students from historically underrepresented populations**
- **Multiculturalism**
- Age of student population.

C1.7 The management will have to manage the faculty who are ill-equipped to meet student and system demands, due to:

- **Shifting demographics**
- **Mismatches in priorities (for example, research and scholarships versus developing new e-learning material, etc.)**
- Market demand
- Technical advances
- Mismatches in campus climate regarding minority groups who are politically correct, but not conducive to learning

- Mismatches in the demand for technologically sophisticated programmes and the capacity of the School to provide them.
- Mismatches in existing faculty that do/do not spark new programme initiatives
- Mismatches between students' expectations (whether what they learn will aid them in finding jobs) and staff's instructional mission (in terms of what students know).

C1.8 The management will have to manage a proliferation in knowledge to:

- **Respond strategically in its leadership role**
- **Interpret new information in order to be effective within the school.**

C1.9 The management will have to fulfil an active role in the recruitment of quality academics and post-graduate students with a view to:

- **Attract promising academics for supervising postgraduate students**
- **Favour the school's position in a competitive marketplace**
- **Obtain external research funds.**

C1.10 The management will have a more direct and expanding role in marketing and communication in order to:

- **Recruit students and staff**
- **Obtain funds**
- **Foster public opinion**
- Demonstrate the value added to local communities.

C1.11 The Head of the School will have to function as executive manager by:

- **representing the priorities of the executive management of the institution among his/her staff**
- **representing not only his/her school on a professional level, but foster the Professional Board's views and demands in his/her school**
- having knowledge and good relations with new governance structures in HE.

C1.12 The management will have to strike a balance in dealing with the following issues:

- **Their scholarship and leadership roles**
- **Long-term agendas and short-term tasks**
- **Their professional and personal lives.**

S1 STRATEGIES

It is recommended that the leadership and management group in a School of Medicine/Faculty of Health Sciences take cognisance of the following strategies which can be used to meet the challenges that management have to face in their schools:

S1.1 Creating a diverse culture by:

- **fostering a broader multicultural understanding**
- **preparing people to function in a more diverse workforce**
- **committing through the allocation of resources**
- **changing the culture of the school through:**
 - **assessing the current state (policies, procedures, psychological climate, behaviour of people)**
 - suggesting how diversity can further the overarching goals of academe
 - collecting and analysing data on the attitudes and perceptions of staff and students.
- **Changing management systems through:**
 - **eliminating exclusionary practices that keep people from becoming fully participating members**
 - **introducing modes of learning, including learning materials that foster diversity**
 - a mission statement that explicitly addresses diversity

- putting academic, fiscal and emotional support in place
- celebrating and championing diversity
- ongoing evaluation and monitoring of efforts to achieve diversity with a view to determining effectiveness
- changing staff profile through the selection of qualified people who bring in diverse perspectives.

S1.2 Knowing the legal environment

- **Fostering good ethical practice by expecting School members to conduct themselves in a certain way and finding certain ways unacceptable. This can be done by:**
 - **a clearly stated “code” of conduct, including professional behaviour, relationships between faculty and students, academic freedom and research**
 - **adhering to professional behaviour**
 - **an ethical character of a school that is supported, cultivated and reinforced by everyone**
 - **management that can create ethical practice by entering into dialogue with staff and students about what constitutes acceptable behaviour.**
- **Fostering anti-discrimination in practice by providing environmental climates in which all members feel comfortable, safe and valued through:**
 - **hiring and promotion decisions**

- **introducing clear policies and procedures**
- **admission and selection procedures**
- implementation of fair affirmative action procedures
- creation of equal opportunities
- clear dismissal procedures.
- **Fostering contractual relationships with students by:**
- **honouring the principle of students paying for tuition while the institution in exchange agrees to provide academic programmes and services that will help students to reach their academic goals**
- **reviewing programmes and programme delivery systems regularly in order to maintain the School's integrity**
- keeping faculty and students in compliance with both written and spoken "promises" in order to avoid potential legal concerns.
- **Introducing policies and procedures to empower and inform individuals about sexual harassment in the following areas:**
- gender harassment (generalised sexist behaviour and remarks intended to insult, degrade or convey sexist attitudes)
- seductive behaviour (sexual advances that are unwanted, inappropriate and offensive)
- sexual bribery (reward promised following solicitation of sexual activity/sex linked behaviour)
- sexual coercion (threat of punishment by sexual solicitation)
- sexual imposition (gross sexual imposition, assault, rape).

- **Understanding “academic freedom” as defined by the legal system according to the “rights and responsibilities of the teaching profession”. They can take the following actions in the following sequence:**
- **determine whether the issue is an individual or institutional concern;**
- deciding whether the interest of the individual in engaging in an activity outweighs the interest of the School in preventing it;
- answering the question of whether the School would have taken adverse action against the faculty member even without the activity being involved;
- evaluating the situation in terms of how the activity in question affects the School’s ability to maintain effective working relationships and provide education; and
- discovering the potential impact on the School in order to determine whether to pursue legal council.

S1.3 Management has to be familiar with developments in higher education relating to:

- **Changing context of HE**
- **New policies**
- **Factors influencing HE**
- **How the above-mentioned impact on the Head’s work as leader and manager.**

S1.4 Strategically manage and secure financial resources by:

- **Accessing new funding and development opportunities:**
 - **by applying for such funding**
 - **by supporting applications**
 - by communicating in advance.
- **Fiscal management**
 - **explore added resources of revenue (contract research, patent and library development, etc.)**
 - recognising the enormity of the task and responsibility
 - **assessing financial needs**
 - **making allocation decisions**
 - **establishing expenditure targets and strategies**
 - **evaluating financial planning**
 - **adjusting budgets**
 - **controlling fraud and mismanagement**
 - **searching for most cost-effective ways of delivering services**
 - **building/developing an understanding of finance and budgeting**
 - **developing sound budgeting strategies.**
- Resource procurement – refers to soliciting unearned gifts or engaging in revenue-generating activities that lie outside the normal functions of the School (donations, fund-raising).

S1.5 Becoming technologically connected with a view to:

- **enhancing student learning and education delivery by:**

- **shifting from teacher-initiated instruction to student-focused instruction**
- **placing emphasis on student-centred learning**
- **increasing student/faculty contact by simplifying feedback on work**
- **accommodating a variety of learning styles**
- **enhancing staff productivity**
- **being efficient in providing technological infrastructure for communications available to staff and students.**

S1.6 Management has to have a good knowledge of the strengths and limitations of the academic programmes offered within the School in order to:

- **decide which programmes to retain and strengthen**
- **decide which programme to conduct on a cooperative basis (offered jointly)**
- **decide which programmes to phase out.**

S1.7 Management has to seek and maintain professional and personal balance by:

- **Applying time and stress management:**
 - **focus on what is important**
 - **use mentoring and networking**
 - **establish what must be done**

- quit trying to do everything
- delegate
- create order by setting deadlines and adhering to them
- do things that add meaning to life
- when is most productive time
 - Applying boundary management
- planning and prioritising for the school
- formulation of vision and mission
- setting of long- and short-term goals
- writing down steps and determining what needs to be done by a certain time or date
 - Finding a balance between priorities at work and at home
- clarify professional and personal purpose
- working more efficiently
- set time aside for scholarly projects
- recognition and support of the whole person.

S1.8 Nurturing the integrity of the School that is, the success it has in building alliances with people and organisations that fulfil recognisable public needs by:

- Reconnecting with the community through:
 - academic management
 - integrated teaching, research and service
 - accountable to their various communities

- **stakeholder relationships**
- **campus-community relationships.**
 - **Revisiting change leadership through:**
 - **educating themselves about concepts of change**
 - **creating an environment conducive to change**
 - **understanding how people respond to change.**
 - **Redefining faculty (staff) work through:**
 - **evaluating performance by students, peer reviews and self-reviews**
 - **redefining faculty productivity**
 - **redesigning workload/systems where participants agree on annual responsibilities.**
 - **Reframing academic departments through:**
 - **redefining a department's responsibilities**
 - **evaluating departmental success**
 - **ensuring that academic departments perform effectively in terms of educating students and interfacing with communities they serve and efficiently in terms of resources**
 - **shifting toward interdisciplinary teaching and research.**
 - **Refocusing departmental chairs/heads through:**
 - **continuous training and development**
 - **helping chairs to delineate between work that must be done within the department and work that can be done for the department**
 - **making posts available to assist the chair.**

P1 PERFORMANCE AREAS

It is recommended that the following performance areas are addressed in the management of a Medical School (cf. Delphi questionnaire in Appendix I – final results):

P1.1 Strategic management and planning

P1.2 Programme and curriculum development

P1.3 Student affairs

P1.4 Administration

P1.5 Budgeting and resource allocation

P1.6 Student training

P1.7 Post-graduate education

P1.8 Research

P1.9 Service delivery

P1.10 Staffing**P1.11 Faculty affairs****P1.12 Internal communications****P1.13 External communications****P1.14 Community service****P1.15 Legal issues****R1 ROLES**

It is recommended that the Head of the School fulfil the following roles in the School of Medicine:

R1.1 The Head has to be involved in the maintenance of balance between the various external and internal demands placed on the school.

R1.2 The Head has to answer to the staff, students, central administration, Boards, corporate sponsors, alumni groups and

outside funding agencies and must conscientiously serve all of these masters if the Head is to succeed in his/her role.

R1.3 The Head has to foster and implement strategies for teaching, research and service delivery.

R1.4 The Head has to take responsibility for all the necessary leadership initiatives.

R1.5 The Head has to set division wide goals so that all departments are pointing in the same direction.

R1.6 The Head as “cultural representative” of the School has to personify the culture of the School and the Institution and has to influence employees’ perceptions of their organisations’ culture.

R1.7 The Head has to invest in new staff members by ensuring that mentoring and support systems are in place.

R1.8 The Head has to secure essential resources in order to service students, faculty and communities well.

R1.9 The Head has to interface with Rectors, Deans, Heads of other Schools, Departmental Heads, staff, students and external entities, each influencing and benefiting from the School in specific ways.

R1.10 The Head has to nurture all staff members by knowing the needs and dreams of each individual and to work with them, together with other leaders, to ensure that the greatest potential is achieved.

R1.11 The Head has a role in taking responsibility for all necessary managerial activities.

L1 LEADERSHIP QUALITIES

It is recommended that the Head of the School should have the following leadership qualities:

L1.1 To function in a leadership position the Head has to:

- **Understand the academic context and environment**
- **Have knowledge on leadership styles**
- **Know the differences between leadership and management**
- **Possess knowledge on leadership theory.**

L1.2 The Head has to have certain personal qualities such as:

- **Integrity**
- **High ethical standards**
- **The ability to move beyond self-interest to focus on the larger goals of the School/Faculty.**

L1.3 The Head has to be able to lead change by:

- **Knowing the concepts and principles of change management**
- **Understanding strategic planning (objectives and target-setting)**
- **Understanding the importance of communication during change**
- **Understanding flexibility and adaptability in change management**
- **Dealing with pressure and stress (self and others)**
- **Analysing change and its effect on others.**

L1.4 The Head has to be able to create and develop effective teams by:

- **Having knowledge on team roles and functions**
- **Understanding group dynamics**
- **Having skills for team creation and development.**

L1.5 The Head has to be able to lead people by:

- **Empowering people**
- **Successful staff development**
- **Delegating "with fulfilment"**
- **Managing difficult situations (disciplinary, grievances, etc.).**

L1.6 The Head has to have good communication skills in order to:

- **Manage meetings effectively**
- **Motivate others**
- **Give and receive feedback**
- **Develop assertiveness skills**
- **Develop negotiation skills**
- **Develop presentation skills.**

L1.7 The Head has to have the ability to make decisions and take risks by:

- **Understanding and solving problems**
- **Taking decisions**
- **Creating solutions**
- **Making judgements**
- **Risk analysis**
- **Developing analytical skills.**

L1.8 The Head has to have the ability to deal with challenging situations by:

- **Knowing conflict resolutions**
- **Identifying reasons behind conflict**
- **Having influencing and communication skills**
- **Understanding the role of personality differences in creating and resolving conflict.**

L1.9 The Head has to set visions and values by:

- **Defining and determining a vision and values**
- **Translating vision into action**
- **Understanding personal beliefs and value systems.**

L1.10 The Head has to manage time and priorities in order to:

- **Prioritise and balance activities**
- **Manage own time effectively**
- **Manage others' time effectively.**

L1.11 The Head has to have influencing skills by:

- **Understanding influence and behavioural effects**
- **Good communication**
- **Understanding the skills and qualities of the "influential" person**
- **Understanding that empathy is the key to influence.**

L1.12 The Head has to have the ability to set own career planning and management goals by:

- **Professional planning**
- **Doing a full appraisal/review**
- **Personal planning.**

L1.13 The Head has to have the ability of self-awareness in order to:

- **Understand own strengths, weaknesses, motivations and stresses**
- **Knowing own learning styles**
- **Own emotional intelligence**
- **Developing credibility and earning respect**
- **Stress proofing self.**

L1.14 The Head must have the ability to foster the following characteristics of transformational leadership:

- **Intellectual stimulation: actively encourages a new look at old methods, stimulates creativity, encourages others to look at problems and issues in a new way**
- **Inspirational motivation: increase optimism and enthusiasm, communicates high expectations, points out possibilities not previously considered**
- **Idealises influence: provides vision and a sense of purpose; elicits respect, trust and confidence from followers**
- **Individualised consideration: gives personal attention to others, making each individual feel uniquely valued.**

L1.15 The Head of the School has to demonstrate the following leadership competencies:

- **Provide clarity about strategic direction**
- **Focus on delivery**
- **Develop people**
- **Build relationships**
- **Ensure commitment**
- Possess personal convictions
- Develop self-awareness.

L1.16 Characteristics that differentiate a good/excellent leader:

- **Aligns people with him/her**
- **Clear vision**
- **Achieves through empowering other people**
- **Gets people on board**
- **Work to long-term objectives**
- **Not afraid to take decisions**
- **Effective delegater**
- **Gives feedback, particularly on positive performances**
- **Consultative**
- **Innovator**
- **Welcomes questioning/discussion**
- **Will regard people he/she manages as equals**
- **Deals with serious problems**

- **Understanding complex issues**
- **Good at finishing things**
- Demonstrates added value as a leader
- Sticks head out
- Good personal strength
- Connected at higher levels
- Manages by consent.

M1 MANAGERIAL KNOWLEDGE, SKILLS AND COMPETENCIES

It is recommended that the Head of the Medical School has to have the following knowledge, skills and competencies concerning:

M1.1 Budgeting and resources:

- **Knowledge of internal and external sources of funds**
- **Knowledge of policies and procedures for obtaining external funding**
- **Knowledge of institutional and governing board policies and guidelines concerning budgetary operations**
- **Skills in preparing and managing school programme budgets**
- **Ability to plan for long-range special programmes and activities**
- **Ability to obtain external funding for the School**
- Ability to read and interpret budget reports

- Overall issues related to budgeting and resources in general
- Ability to encourage faculty members to submit proposals for external contracts and grants
- Abilities to set priorities for use of programme resources (e.g. travel funds)
- Knowledge of space (rooms) and procedures needed to schedule courses.

M1.2 The Head has to have the following knowledge concerning

“Legal issues”:

- **Knowledge of procedures pertaining to the promotion and tenure of faculty**
- **Knowledge of procedures to recruit and select students**
- **Knowledge of intellectual property rights**
- **Knowledge of whom to contact concerning legal issues**
- Knowledge of procedures dealing with sexual harassment
- Knowledge of procedures for applying the university’s affirmative action plan
- Knowledge of procedures concerning matters of confidentiality
- Overall knowledge of legal issues in general
- Knowledge of procedures for dealing with disability issues
- Knowledge concerning the institutes leave policies
- Knowledge of records and documents to be maintained

M1.3 The Head has to have the following knowledge, skills and competencies concerning “Faculty and staff issues”:

- **Knowledge of policies and procedures concerning faculty grievances**
- **Knowledge of faculty recruitment policies and procedures**
- **Knowledge of faculty selection policies and procedures**
- Knowledge of policies and procedures surrounding faculty service termination
- **Skill in reducing, resolving and preventing conflict among faculty members**
- **Ability to assign faculty responsibilities (e.g. teaching, research, committee work, etc.)**
- **Ability to evaluate faculty service contributions**
- **Ability to deal with and provide feedback for unsatisfactory faculty performance**
- **Ability to evaluate faculty research productivity**
- **Ability to evaluate teaching within the School programme**
- Ability to aid faculty in preparing for evaluation (e.g. annual, mid-career, end of tenure)
- Overall issues related to faculty in general.

M1.4 The Head has to have the following knowledge, skills and competencies concerning “External communication”:

- **Knowledge of relevant outside constituencies**

- **Ability to communicate School/programme needs to upper-level administrators**
- **Ability to promote the School's/programme's image and reputation**
- **Ability to communicate effectively with the management**
- **Overall issues related to external communications in general**
- Ability to develop relations and co-ordinate with outside groups
- Ability to communicate with other Schools/programmes about mutual interests.

M1.5 The Head has to have the following knowledge, skills and competencies concerning "Internal communications":

- **Ability to convey the university policies, procedures and actions to the departments/programmes**
- **Ability to keep members informed of institutional/School/programme plans, activities and expectations**
- **Ability to foster communication of ideas towards improving the School/programmes**
- **Ability to convey performance criteria and the evaluative process to faculty and students**
- Overall issues related to internal communications in general.

M1.6 The Head has to have the following knowledge, skills and competencies concerning “Student issues”:

- **Knowledge of policies regarding student grievances**
- **Knowledge of faculty willingness and ability to teach courses**
- **Ability to plan, evaluate and update School/programme/curricula**
- **Ability to project courses based on student needs and interests**
- **Ability to advise and counsel students concerning academic issues**
- **Ability to communicate policies and procedures to students**
- **Ability to develop student recruitment programmes**
- Ability to monitor graduate student progress
- Ability to monitor student scholarships and awards
- Ability to advise and counsel students concerning careers
- Overall issues related to students in general.

M1.7 The Head has to have the following knowledge, skills and competencies concerning “School/programme administration”:

- Knowledge of School/programme/university deadlines
- **Ability to develop and implement long-range initiatives**
- **Ability to delegate administrative responsibilities**
- **Ability to establish, prioritise and meet deadlines**

- **Ability to determine what the School/programme should provide to the university and the community**
- **Ability to prepare for accreditation and evaluation**
- Ability to establish School/programme committees
- Overall issues related to School/programme administration in general.

M1.8 The Head has to have the following knowledge, skills and competencies concerning “Professional development within the School/programme”:

- **Ability to provide professional development opportunities for faculty and staff**
- **Ability to maintain faculty morale**
- **Ability to promote high quality teaching in the School/programme**
- **Ability to promote faculty research**
- Ability to encourage faculty grantmanship
- Ability to foster the development of individual faculty members’ talents and interests
- Ability to encourage faculty members to participate in professional meetings
- Overall issues related to professional development within the School/programme.

M1.9 The Head has to have the following knowledge, skills and competencies concerning “Personal professional development”:

- **Leadership skills**
- **Interpersonal skills**
- **Ability to manage multiple roles as Head (e.g. teaching, administration, etc.)**
- **Time management skills for performing School tasks**
- **Skill in decision-making under ambiguous circumstances**
- **Skill in adopting different leadership styles to fit varying situations**
- **Ability to represent the School/programmes at professional meetings/societies**
- **Ability to remain current with academic discipline**
- Overall issues related to professional development of Head in general.

M1.10 The Head has to have the following knowledge, skills and competencies concerning “Office administration”:

- **Knowledge of policies and procedures for promoting and terminating the services of staff**
- **Knowledge of policies and procedures for evaluating staff**
- **Ability to process paperwork and answer correspondence efficiently**
- Overall issue related to office management in general

- Ability to manage School/programme facilities, equipment and inventory
- Ability to supervise clerical and technical staff in office.

I1 INFRASTRUCTURE AND FACILITIES

It is recommended that the following infrastructural components and facilities are in place in order to enhance effective management in the Medical School:

I1.1 The following have to be in place, fully equipped and functional:

- **Main buildings for departments, offices, etc.**
- **Laboratories**
- **Library**
- **Skills unit**
- **Lecture halls**
- **Group venues**
- **Clinical buildings and facilities for training**
- **Computer centre**
- **Meeting venues**
- **Self-study venues**
- **Student cafeteria**
- Staff room(s)
- Restrooms.

G1 LEADERSHIP AND MANAGEMENT GROUP AND MANAGEMENT STRUCTURES

It is recommended that the following leadership and management group and management structures are needed for effective functioning of the Medical School/Faculty of Health Sciences:

G1.1 There has to be a line structure of leaders and managers in the Faculty/School consisting of:

- **Dean**
- Vice-Dean(s)
- Associate Dean(s)
- Head of School*
- **Heads of Departments**
- **Programme directors**
- Heads of divisions.

[* Five respondents indicated that the Head of the School had to be part of the line structure, while one excluded it as he/she was of the opinion that the Dean could fulfil the function, but - according to the majority - it is actually important.]

G1.2 There has to be a decentralised management structure in the School/Faculty consisting of:

- **Faculty management structure (or committee consisting of Deans, Head of School)**
- **Executive committee**
- **Faculty board committees**
- ***Ad hoc* working group committees**
- **Representatives on other university committees.**

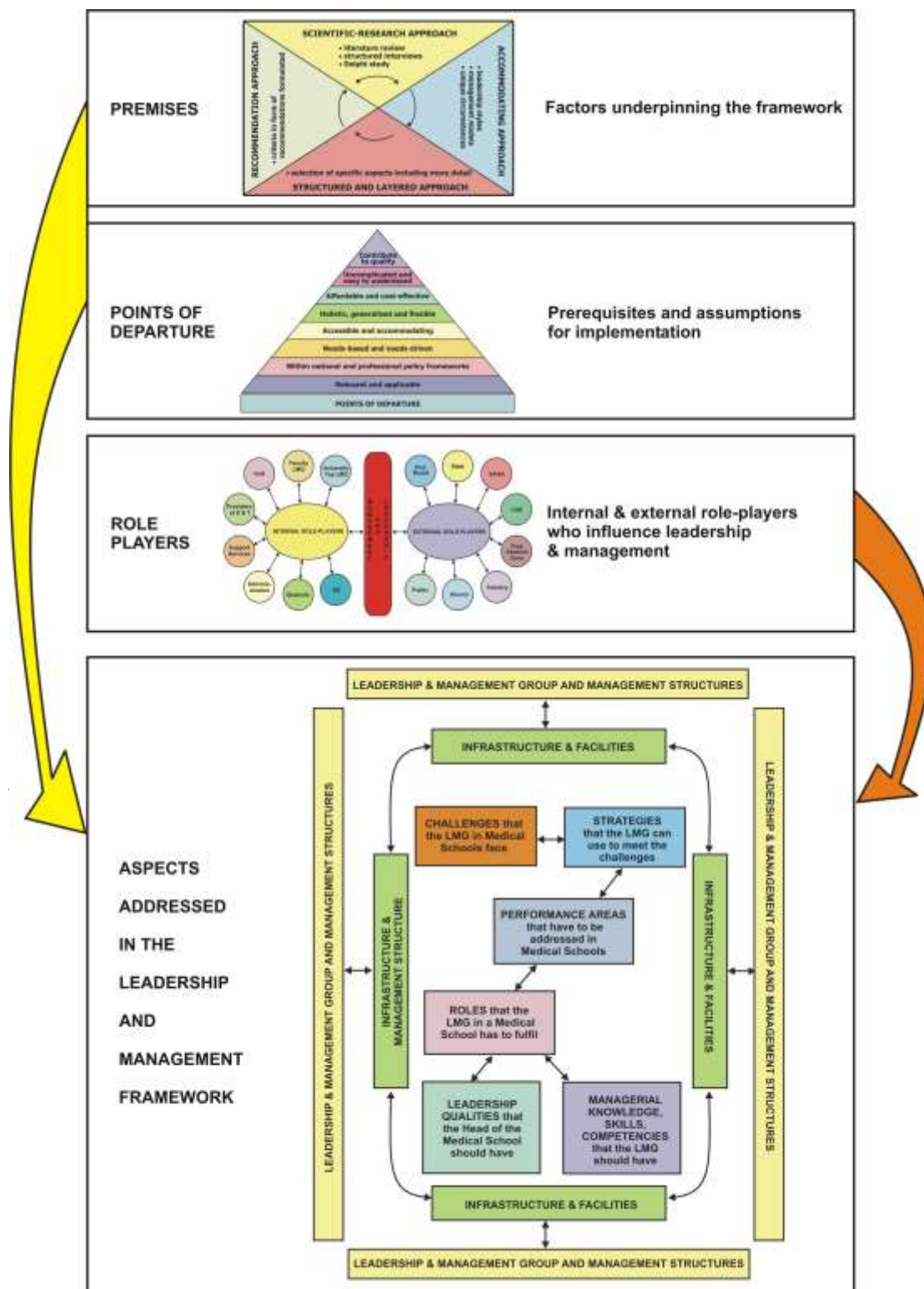
G1.3 There has to be decentralised units in the School/Faculty:

- **Academic departments**
- Office of the management*
- Support departments, divisions and/or units*
- Administration divisions and offices*

[Five respondents indicated that these units had to be in a Faculty, while one excluded it, but - according to the majority - it is actually necessary.]

To view the framework for leadership and management in a holistic way, please see Figure 6.5.

Figure 6.5: A schematic illustration of the framework for leadership and management in medical schools



6.7 PERSPECTIVES SUPPLEMENTAL TO THE PROPOSED LEADERSHIP AND MANAGEMENT FRAMEWORK

Willie Loman, the protagonist in Arthur Miller's play, "Death of a Salesman", describes the particular difficulties and challenges of his life by pointing out that "... I was out there with nothing but a shoeshine and a smile ..." (Brown, Birnstihl & Wheeler 1996: 1 of 11). Similar comments are often heard from professionals appointed to the leadership and management positions on innovative working groups, committees, task forces and teams within the institutional or external environment.

With demands made on the leadership and management groups in medical schools to lead and manage changes in the HE and health care sectors, it is of the utmost importance that the leadership and management group is empowered to contextualise these changes in relation to societal needs. It is necessary that medical schools prepare themselves for the changes and actively participate in these changes.

The overall goal of this study was to make a contribution to effective and efficient leadership and management in medical schools in South Africa, taking into account the numerous changes occurring in HE and in the health system, which were discussed in Chapters one to three.

The researcher does not wish to be prescriptive to medical schools and has therefore opted for a framework for leadership and management rather than a model with rigid stipulations. It is therefore possible for institutions to utilise and adapt the framework according to its own unique circumstances, organisational culture and climate. While the researcher endorses all the recommendations included in the framework, he would, however, like to place emphasis on certain aspects in addition to what stemmed from the empirical research (in conjunction with the literature studied and more than 20 years' experience in an HE institution/a medical school).

6.7.1 Challenges facing the medical schools

In the literature chapters quite a few challenges for the leadership and management group in HE were highlighted. These were further researched during the interviews as well as during the Delphi study. Full recommendations with regard to these challenges were formulated and included in the framework. The researcher would, however, like to emphasise the following challenges according to his opinion:

- The process of globalisation causing societies and institutions to increasingly become more and more interconnected and interdependent in many aspects, will continue to gain momentum. Information and transportation technology can be seen as a driving force behind globalisation: it enables and empowers people and

ensures fast delivery of information and products. Medical schools will have to deal with technology and its effects. The possibilities are endless, from shared information/management systems to co-operative teaching and training programmes. The acquisition of knowledge is no longer the focus point, but has been replaced by the acquisition of the appropriate skills to find, assimilate and improve knowledge. An innovative medical school will explore this challenge with a view to ensure quality management.

- Together with the transformation of the HE system in South Africa, a series of initiatives from various governmental organisations has come to the fore. Various policy imperatives stem from these initiatives that require that policy issues are integrated and made accountable in any HE institution. The researcher would like to suggest the following issues to be addressed in this regard:
 - Academic planning (for example incorporating the National Plan for Higher Education); mission and niche statements; programme and qualification mix; rolling plans; changing admission and selection requirements.
 - Relevant education and training programmes (for example National Qualification Framework requirements; the government's new academic policy; outcomes-based formats for programmes/qualifications; procedures for registration and

approving of funding for new programmes; regional and professional clearing of programmes).

- Data collection and reporting (for example the changeover from the South African Post-secondary Education System to the Higher Education Management Information system; production of institutional annual reports; and responding to requests for information from government departments).
- Equity and labour issues (for example implementation of labour legislation; Employment Equity Act; institutional equity policies, plans and reports; the Skills Development Act; and transformation processes within institutions).
- Funding (for example the implementation of the new funding formula for universities and the impact thereof on academic planning as well as on the programme and qualification mix; marketing and promoting the school).
- Research (for example programmes for capacity-building; emphasis on innovation; rating of researchers; intensive training programmes; research development plan; emphasised Ph.D. qualification; progress reports).
- Quality assurance (for example institutional framework proposals; teaching and learning support frameworks; institutional visits by the Higher Education Quality Committee; Professional Board's accreditations).

- Promoting and enhancing the scholarship of teaching. The management of medical schools should make use of alternative forms of teaching, learning and assessment; regular reviews of infrastructure; curriculum review and development with internal and external evaluations; creating a reward system for outstanding teachers and conducting educational research.
- Establishing strong managerial and administrative systems. Reviewing the technological infrastructure; synchronising staff systems between the university, faculty and school; policing the overload of administration by the Dean/Head; allocating to senior staff and advisors or delegating to manager of special projects; fostering strong, positive relationships with central administration.
- Assembling and retaining a diverse staff body (for example, a staff plan to foster diversity, but well communicated and understood; recruitment strategies).

The above-mentioned nine issues **must** be addressed in every medical school in South Africa.

6.7.2 Leading and managing in an academic context

This includes two components: leadership and management (and administration). Without trying to match a specific leadership style/styles to a

medical school, it can be informative to highlight certain leadership elements that could fit into the new higher education environment. The different members of the leadership and management group will have different leadership qualities and will demonstrate them according to the specific circumstances and situation.

In compiling the framework for leadership and management, the principles of three clearly defined leadership styles came to the fore. These are the authentic leadership, transformational leadership, and manager leadership. All three leadership styles were covered with references from the literature.

The three leadership styles named here entail the elements which were incorporated into the Delphi questionnaire from the literature and interviews. It was ranked with precision and highly valued by the experts. The researcher is of the opinion that all three of these styles have to be considered when making use of this framework with the view of developing a suitable leadership and management structure for any medical school.

6.7.3 The nexus between challenge and opportunity

Perhaps the most important challenge to the leadership and management group in a medical school will be to create opportunities for a team of leaders and managers to enrol in developmental programmes. It is suggested that it is appropriate to establish a comprehensive, structured, ongoing programme

designed to ensure and enhance executive management and leadership in medical schools.

The proposed framework for academic leadership and management could be seen as a first step in a proactive approach. With the implementation of the framework, the need to develop leadership and management knowledge, skills and attitudes, will come to the fore.

6.8 USING THE LEADERSHIP AND MANAGEMENT FRAMEWORK

It is important to view any leadership and management initiative in a Medical School by revisiting or establishing the following:

- Premises
- Points of departure
- Internal and external role players
- Aspects impacting on the initiative

The researcher would like to propose that the recommendations made in the Framework be used in two ways, namely:

- Following a sliding and layering approach by working through the recommendations
- Using the recommendations in the Framework together with a planning indicator

6.8.1 The sliding and layering approach

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6.8 CONCLUSION

In this chapter the proposed framework for leadership and management was presented, including the premises, points of departure, as well as the internal and external role-players. Recommendations per aspect-category were made in detail. Two possible ways of using/exploring these recommendations within the framework were offered as well.

In the following chapter, **Conclusion and recommendations**, final conclusions on the study will be drawn, the limitations of the study will be discussed, and recommendations made.

CHAPTER 7

CONCLUSION AND RECOMMENDATIONS

7.1 INTRODUCTION

In this chapter the main conclusion and the limitations will be highlighted. In addition, recommendations forthcoming from the study as well as recommendations with regard to further research studies which may be undertaken, will be made.

7.2 CONCLUSION

With reference to the study, the researcher wishes to accentuate the following:

- The researcher is of the opinion that the overall goal, aim and objectives of the study were addressed and the research end-product, namely the framework for leadership and management, was compiled on sound principles by making use of scientific methods. The researcher by no means tried to report on all the literature available on the broader field of leadership and management, or other relevant fields. He neither tried to be prescriptive regarding which leadership

and management style or model is used, and leaves it in the hands of the specific institutions to do it according to their own style and circumstances.

- The recommendations made on the different aspects that are included in the framework for leadership and management (cf. Chapter six) are in line with policies and guidelines of the DoE, the DoH as well as those of the HPCSA. It forms a synergetic relation to perspectives on leadership and management as reported in the literature, covering the more traditional up to some of the more modern concepts of leadership and management.
- It is clear that the transformation of the South African higher education and health care systems requires a different approach from the leadership and management of medical schools and that current systems that are implemented must be evaluated and adapted where necessary. The framework for leadership and management could serve as a “guide” whereby this process can be initiated and driven.
- New leaders within learning cultures must know their own expertise and realise that their experience might be limited. They have to know a culture before trying to change it, must know where they want to go and must be open to other perceptions.
- The changes impacting on higher educational institutions within a constantly changing environment and the role this volatile situation plays in leadership and management in academic institutions such as a

medical school are phenomena/influences that have to be evaluated and monitored on an ongoing spiral.

- This study makes a contribution to development of effective and efficient leadership and management in academic institutions, especially medical schools, by proposing a framework on which to model leadership and management approaches and strategies.

7.3 LIMITATIONS OF THE STUDY

The researcher recognises the following limitations in the study:

- Although the scope of the study was clearly stated and the demarcation of the field of study was thoroughly done, namely academic leadership and management in the particular environment of higher education institutions and, more specifically, in the medical school, it was not a simple task. As less research is done in this field on medical schools in South Africa *per se* than research on leadership and management in higher education institutions worldwide, it was necessary to continuously fall back on literature covering the more general information. The researcher, however, tried to make it applicable in a responsible way.
- In addition, service delivery was excluded from the field of study with the emphasis on academic leadership and management. Researchers on the terrain of leadership and management are also referred to the

study by Van Zyl (2004) on a management model for heads of departments in a medical school wherein this author discussed service delivery as one of the main management areas of heads of clinical departments in a medical school. During the protocol presentation, it was decided that the inclusion of service delivery into this current study will make the study too comprehensive and that service delivery (the leadership and management thereof) must rather be undertaken as a separate study on its own (cf. 7.4: Recommendations).

- Another limitation was the fact that, in medical schools in South Africa, leadership and management function in different ways and that the person in charge is either a Dean or a Head of School (who runs a part of the faculty). Due to this setup, several references were made in the study to the leadership and management group.

7.4 RECOMMENDATIONS

As the recommendations are aimed at the successful implementation/usage of the framework for leadership and management in medical schools in South Africa, the researcher takes the liberty to make the following recommendations:

- That the findings of this study be put before the executive management of the researcher's own medical school for consideration and implementation.

- That the findings of the study, together with the proposed framework for leadership and management, be published in accredited scientific journals and that the researcher reports these findings at national and international conferences.
- That the researcher be given the opportunity to introduce the framework at other medical schools by means of workshops and/or seminars.
- That a formal capacity-building programme aimed at the development and improvement of leadership qualities and management knowledge, skills and competencies, be introduced on a national level.
- That this research is continued in order to refine and extend it with the aim of compiling a model for a specific school according to its own needs and circumstances. Research covering the area of service delivery ought to be addressed as well.

7.5 CONCLUSIVE REMARK

Leadership and management in a medical school might be one of the biggest challenges facing medical education and training in future. The researcher's efforts to develop a framework for academic leadership and management will ensure that medical schools in South Africa, by applying it, will address aspects of leadership functions and management processes in a way that will be unique to their school.

As Steven R. Covey stated: "We are more in need of a vision or destination and a compass (a set of principles and directions) and less in need of a road map. We often don't know what the terrain ahead will be like or what we will need to go through; much will depend on our judgment at the time – but an inner compass will always give us direction" (Covey 2002: 1 of 2 pages).

This study must be seen as more of a compass than as a road map – however, giving direction and motivation.

I thank my supervisor, Dr Nic van Zyl, for doing just that.

Soli Gloria Deo.

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APPENDIX A

**Letter of request and consent form to the interviewees of the
structured interview**

APPENDIX A

ADDRESS

Dear Participant

Request to participate in a Ph.D. study: entitled *A Framework for Leadership and Management of a Medical School in South Africa*

I am currently occupying the position of **Organiser: Undergraduate Programmes** in the **Division for Medical Programme Management** of the Faculty of Health Sciences at the University of the Free State. **I am mainly responsible for the logistical arrangements of the whole MBChB programme (years 1 – 5).**

At the moment I am writing a thesis to obtain the Ph.D. degree in Health Professions Education in the Faculty of Health Sciences at the University of the Free State (Student number: 2001108618). The title of my research is *A Framework for Leadership and Management of a Medical School in South Africa*.

My supervisors are.

Dr N.R.J. van Zyl
Programme Manager for Health Care Managers
Faculty of Economic and Management Sciences
University of the Free State
Bloemfontein, South Africa.

Co-study supervisor:

Prof. S. Petersen
Head: Medical Education
School of Medicine, University of Leicester
United Kingdom.

As indicated by the title, it is the **purpose** of my study to design a framework for leadership and management of a medical school in South Africa. I chose this specific subject, since a need has arisen in South African medical schools for a framework on which the leadership and management of a school can be modeled. The complexity of management in an educational institution; the changes that have been occurring; and the expectations of higher education and health institutions and bodies demand urgent and informed action to be in leadership and on the management front. The pressing question that arises, is how academic institutions and, in particular, a medical school, can meet the demands for effective and efficient leadership and management in a changing environment, taking into consideration the unique features of medical academic institutions.

For the sake of clarity it would be necessary to **define** the meanings of certain complex concepts, e.g. “leadership and management”, which is a concept that cannot be defined easily. In short, according to the literature, management occurs within an institution, while leadership is that effort of a manager that results in people reacting actively. It is the interpersonal influencing occurring in a specific situation where people are led through communication to the achievement of specific, specialised goals and objectives. Leadership can therefore be seen as the influencing of others while striving for a common goal. Another concept which has to be explained, is “academic management framework”, that in this study will refer to a conceptual representation based on the general theoretic principles of management that can serve as a premise or framework for establishing a management model to be used in an academic institution. “Academic leadership and management” implies all typical management functions, e.g. planning, organisation, control, etc. that directly or indirectly contribute to the meaningful enhancement of the primary outputs - namely education, research and service - of an academic institution. In this study academic leadership is included as a particularly important component of academic management.

Against the brief background information provided, the **problem** that has to be addressed is that of **a lack of a framework within which to fit the concept of leadership and management in an academic institution, specifically in a medical school**. The main goal of this study therefore is to address the problem as stated by designing a framework for leadership in and the management of a school of medicine in a constantly changing environment. It is also essential to bear in mind that – according to the literature – there is no perfect **model** that will suit the leadership and management needs and the unique features of all academic institutions. Thus a management **framework** can be designed to leave room for these.

The specific **aim** of the study is therefore to design a framework for leadership and management in a medical school based on the identified criteria while taking into account the changing environment in which medical schools currently operate. The criteria obtained from interviews and the literature study will be subjected to a Delphi survey and the final set of criteria will be obtained in order to design the management framework, that is the researcher’s final product.

The **methods** that will be utilised in the study are, in the first place, a comprehensive literature study (that has already been completed). In the second place, interviews with role-players in the field, as well as interviews based on the findings of the literature review, will follow in order to design a draft set of criteria. These criteria will be used to compile a questionnaire that will be pre-tested in the Faculty of Health Sciences of the University of the Free State, using a member of the Executive Management and an academic management specialist as respondents before subjected to the Delphi panel.

For the purposes of this study semi-structured interviews will take place. Interviews in this study fall under the category of the qualitative research approach. The main characteristics of the qualitative approach are, *inter alia*, that – as far as orientation is concerned – there are multiple realities, e.g. interviews with educational experts, experts

in the field of the post-graduate Health Profession Education, management and financial experts about specific situations. Other aspects are that the research purpose is understanding a social situation from the participants' perspectives, while the research methods and process are flexible, changing strategies; and a design emerges as data is collected. The researcher's role is ensuring that the prepared interviewees become immersed in the social context, while the importance of the context is the goal of detailed context-bound generalisations.

The structured interview is also referred to as the interview schedule or guide. The characteristics of a structured interview or an interview guide are the following: Topics are outlined in advance, while the researcher decides the sequence and wording during the interview. Furthermore, interview probes can increase comprehensiveness. A structured interview is also defined as one which uses a data-collection instrument to gather data, either by telephone or face to face. In a structured interview, the evaluator asks the same questions of numerous individuals in a precise manner, offering each individual the same set of possible responses. In contrast, an unstructured interview contains many open-ended questions that are not asked in a precise, structured way.

The **benefit and value** of this research will be of such a nature that, by applying the framework for academic leadership and management, it will ensure that medical schools in South Africa will be able to address all the aspects of leadership functions and management processes in a model unique to a particular institution and that medical schools will be capable of managing constant adaptation as the needs of the institution and the stakeholders change. The final results, as well as the relevant requirements and findings for the implementation thereof, will be submitted to the Deans/Heads of Schools of Medicine and to the HPCSA.

Having briefly explained the process to you, I would like to respectfully request your expert co-operation in completing this project. I am aware of the fact that time is a very precious commodity to all of us, therefore I will try to take up as little of your time as possible. The completion of the interviews will take approximately 45 minutes. Should you have any inquiries, my particulars are as follows:

Telephone number: 051-401-2773
 E-mail address: nelppc.MD@mail.uovs.ac.za
 Cell: 082-558-9195
 Postal address: Internal Box G48
 Faculty of health Sciences
 University of the Free State
 P.O. Box 339
 Bloemfontein 9300

Hereby I would therefore like to request your willingness **to take part in the interviews**, which are scheduled to take place during the period **between 15 April 2004 and 15 May 2004**. Should you be willing to participate, please fill in the accompanying consent form and return it to me electronically as soon as possible.

Thank you very much for your kind attention and your time devoted to reading this communication. I sincerely hope that you will be able to oblige me and I am looking forward to hearing from you.

Yours faithfully

PROF. DR P.P.C. NEL

**FACULTY OF HEALTH SCIENCES
UNIVERSITY OF THE FREE STATE
BLOEMFONTEIN
(ETOVS NO: 14/02)
REGISTERED PROJECT**

FORM OF CONSENT

Date:

Hereby I, the undersigned, consent to participate in the interviews which are scheduled to take place **from 15 April 2004 to 15 May 2004**. My full particulars are as follows:

Title:.....

Surname:.....

Full names:.....

Postal address:.....

.....

.....

E-mail address:.....

Telephone number:.....

Cellular number:.....

Signature:.....

Please return this form **on or before 12 March 2004**. My full particulars are as follows:

Postal address: Internal Box G48
Faculty of Health Sciences
University of the Free State
P.O. Box 339, Bloemfontein 9300

E-mail address: nelppc.MD@mail.uovs.ac.za

Telephone number: 051-401-2773

Fax: 051-401-2805

Cellular number: 082-558-9195

Thank you in advance for your kind co-operation.

Yours faithfully

PROF. DR P.P.C. NEL
FACULTY OF HEALTH SCIENCES
UNIVERSITY OF THE FREE STATE
BLOEMFONTEIN
SOUTH AFRICA

APPENDIX B

Interview guide

APPENDIX B

A FRAMEWORK FOR LEADERSHIP AND MANAGEMENT OF A MEDICAL SCHOOL IN SOUTH AFRICA

INTERVIEW GUIDE

Purpose of the interview:

The purpose of the structured interviews is to identify criteria for a leadership and management framework for use in a faculty/school in a tertiary educational institution, particularly with the emphasis on a constantly changing environment. This will be done by obtaining academic contributions from experts in the field of Higher Education, leadership and Management. In addition, the purpose is to gain insight into how they feel (attitudes, ways of approach, feelings, and disposition) about important applicable issues and what kind of solutions they foresee.

Important:

For this interview the following – Dean of Faculty/Dean of School/Deputy or Vice Dean/Head of School/School Chair – will be viewed as synonymous (with the exception of Question 8). In the questions there will only be referred to the term Dean. In the same context, only the term Faculty will be used when referring to a Faculty and/or a School (with the exception of Question 8).

QUESTIONS

- 1. In your opinion, what challenges are there currently, as well as over the next five years, for deans¹ in Tertiary Educational Institutions in South Africa?**

(For example):

- The Dean will have to bear knowledge of the multiple impacts of institutional, national and global forces that have an influence on the Dean's work/duties and the viability and standing of the faculty.
- The Dean will find increasing pressure for competitiveness of programmes, academics, students and finances within regional and international contexts.
- The Dean will have a more direct and expanding role in marketing and communication.

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¹ Dean(s) and/or leadership and management group

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2. What, in your opinion, is needed (in other words what qualities must a Dean possess) in order to successfully master these challenges?

(For example):

- The Dean has to be familiar with the changing context of higher education, new policies and other functions influencing Higher Education and how this impacts on the Dean's work as a manager and leader.
 - The Dean has to have good knowledge of the strength and limitations of the academic programmes within the faculty.
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-

3. What difficulties might there be that can prevent the successful accomplishment of these challenges?

(For example):

- Poor leadership and management skills.
 - Ineffective managerial and administrative systems.
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-

4. What are the most probable main tasks that the Dean will probably handle during his/her tenure in the Dean's office?

(For example):

- Restructuring the Faculty, Schools, Departments, Supporting divisions, etc.
- Marketing and promoting the Faculty.
- Building/maintaining a research culture in the Faculty.

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5. What do you think are the leadership qualities required by a Dean?

(For example):

- To obtain and maintain credibility through consistent leadership acts.
- To have the ability to listen empathetically, irrespective of the persons involved or of the subsequent actions.

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6. What do you think are the managerial skills required by a Dean?

(For example):

- The Dean has to apply sound financial and accounting principles in the faculty.
- The Dean has to have regular discussions with key management personnel and create a regular forum for discussions, to ensure that all functions are integrated and that the common purpose is constantly achieved.

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- 7. Which managerial and leadership criteria would you like to see included in the compilation of a Leadership and Managerial framework?**

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- 8. According to your opinion, how will the characteristics, knowledge and skills as well as the role, task and functions differ when they are applied by the Head of a School (in other words when a decentralised managerial system [Dean, Vice-Dean and Head of School] exists in a Faculty)?**

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**THANK YOU FOR YOUR WILLINGNESS TO
PARTICIPATE**

APPENDIX C

Letter of invitation and consent form to the Delphi participants

ADDRESS

Dear Sir/Madam

REQUEST TO PARTICIPATE IN A PH.D. STUDY ENTITLED: *A FRAMEWORK FOR LEADERSHIP AND MANAGEMENT OF A MEDICAL SCHOOL IN SOUTH AFRICA*

I am currently occupying the position of **Organiser: Undergraduate Programmes** in the **Division for Medical Programme Management** of the Faculty of Health Sciences at the University of the Free State. I am mainly responsible for the logistical arrangements of the whole MBChB programme (years 1 – 5).

At the moment I am writing a thesis to obtain the Ph.D. degree in Health Professions Education in the Faculty of Health Sciences at the University of the Free State (Student number: 2001108618). The title of my research is *A Framework for Leadership and Management of a Medical School in South Africa*.

My supervisors are.

Dr N.R.J. van Zyl
Programme Manager for Health Care Managers
Faculty of Economic and Management Sciences
University of the Free State
Bloemfontein, South Africa.

Co-study supervisor:

Prof. S. Petersen
Head: Medical Education
School of Medicine, University of Leicester
United Kingdom.

As indicated by the title, it is the **purpose** of my study to design a framework for leadership and management of a medical school in South Africa. I chose this specific subject, since a need has arisen in South African medical schools for a framework on which the leadership and management of a school can be modeled. The complexity of management in an educational institution; the changes that have been occurring; and the expectations of higher education and health institutions and bodies demand urgent and informed action to be in leadership and on the management front. The pressing question that arises, is how academic institutions and, in particular, a medical school, can meet the demands for effective and efficient leadership and management in a changing environment, taking into consideration the unique features of medical academic institutions.

For the sake of clarity it would be necessary to **define** the meanings of certain complex concepts, e.g. “leadership and management”, which is a concept that cannot be defined easily. In short, according to the literature, management occurs within an institution, while leadership is that effort of a manager that results in people reacting actively. It is the interpersonal influencing occurring in a specific situation where people are led through communication to the achievement of specific, specialised goals and objectives. Leadership can therefore be seen as the influencing of others while striving for a common goal. Another concept which has to be explained, is “academic management framework”, that in this study will refer to a conceptual representation based on the general theoretic principles of management that can serve as a premise or framework for establishing a management model to be used in an academic institution. “Academic leadership and management” implies all typical management functions, e.g. planning, organisation, control, etc. that directly or indirectly contribute to the meaningful enhancement of the primary outputs - namely education, research and service - of an academic institution.

Against the brief background information provided, the **problem** that has to be addressed is that of **a lack of a framework within which to fit the concept of leadership and management in an academic institution, specifically in a medical school**. The main goal of this study therefore is to address the problem as stated by designing a framework for leadership in and the management of a school of medicine in a constantly changing environment. It is also essential to bear in mind that – according to the literature – there is no perfect **model** that will suit the leadership and management needs and the unique features of all academic institutions. Thus a management **framework** can be designed to leave room for these.

The specific **aim** of the study is therefore to design a framework for leadership and management in a medical school based on the identified criteria while taking into account the changing environment in which medical schools currently operate. The criteria obtained from interviews and the literature study will be subjected to a Delphi survey and the final set of criteria will be obtained in order to design the management framework, that is the researcher’s final product.

The **methods** that will be utilised in the study are, in the first place, a comprehensive literature study (that has already been completed). In the second place, interviews with role-players in the field, as well as interviews based on the findings of the literature review, will follow in order to design a draft set of criteria. These criteria will be used to compile a questionnaire that will be pre-tested in the Faculty of Health Sciences of the University of the Free State, using a member of the Executive Management and an academic management specialist as respondents before subjected to the Delphi panel.

The **Delphi technique** in this study will entail using academics in management positions and other leaders and managers (e.g. deans, programme managers, etc.) in medical schools in South Africa as well as in other countries as experts to evaluate the proposed criteria for drafting an academic management framework. Expert opinion is usually

sought, as critical decisions require critical thinking and reasoning. The Delphi technique provides a rigorous and systematic strategy in collecting and disseminating such critical information. This technique represents a communication vehicle whereby individuals can participate in decision-making without having to travel. According to literature, Delphi can be described as a method that is used to obtain the most reliable consensus of opinion of a group through a series of intensive questionnaires interspersed with controlled feedback. The technique involves questioning of the individuals while avoiding direct confrontation of group members with one another. Participants will not be asked to simply choose from a number of alternatives, but they will be required to make an evaluation, based on clearly defined areas. A rating scale will be established for the items, e.g. *Essential*, *Important*, *Significant* etc. Precise definitions for each of the scale points will be provided to ensure some reasonable degree of assurance that the participants will make compatible distinctions between concepts such as, for example, *Essential* and *Necessary*. Approximately three rounds of the Delphi technique will be required to reach consensus. Most researchers report that positions are usually unlikely to change after two or three rounds. The process is anonymous in that only the researcher will have access to aspects like the origin of feedback and responses. The findings of each round of questionnaire implementation will be processed and the propositions will be edited accordingly, whereafter the questionnaire will be sent to the respondents once again for comments and rating. The consolidation and assessment processes alternate until only that on which consensus has been reached, is retained.

The benefit and **value** of this research will be of such a nature that, by applying the framework for academic leadership and management, it will ensure that medical schools in South Africa will be able to address all the aspects of leadership functions and management processes in a model unique to a particular institution and that medical schools will be capable of managing constant adaptation as the needs of the institution and the stakeholders change.

The final results, as well as the relevant requirements and findings for the implementation thereof, will be submitted to the Deans/Heads of Schools of Medicine as well as to all Delphi-experts.

Having briefly explained the process to you, I would like to respectfully request your expert co-operation in completing this project. I am aware of the fact that time is a very precious commodity to all of us; therefore I will try to take up as little of your time as possible. The completion of the questionnaire and aspects related to it should take approximately 30-45 minutes. The questionnaire, as well as any relevant information or inquiries which you might have, will be e-mailed to you, while a hard copy will also be sent to you by post.

My particulars are as follows:

Telephone number: 051-401-2773
E-mail address: nelppc.MD@mail.uovs.ac.za
Postal address: Internal Box G48, Faculty of Health Sciences, University of the
Free State, P.O. Box 339, Bloemfontein 9300

Hereby I would therefore like to request your willingness to take part in the **Delphi process**, which is scheduled to take place during the period **between 16 August 2004 and 15 September 2004**. Should you be willing to participate, please fill in the accompanying consent form and return it to me electronically as soon as possible.

Thank you very much for your kind attention and your time devoted in reading this communication. I sincerely hope that you will be able to oblige me and I am looking forward to hearing from you.

Yours faithfully

PROF. DR P.P.C. NEL
(STUDENT NO: 2001108618)

FACULTY OF HEALTH SCIENCES
UNIVERSITY OF THE FREE STATE
BLOEMFONTEIN
REGISTERED PROJECT
(ETOVS NO: 14/02)

FORM OF CONSENT

Date:

Hereby I, the undersigned, consent to participate in the Delphi process which is scheduled to take place **from 16 August 2004 to ± 15 September 2004**. My full particulars are as follows:

Title:.....

Surname:.....

Full names:.....

Postal address:.....

.....

.....

E-mail address:.....

Telephone number:.....

Cellular number:.....

Signature:.....

Please return this form **on** or **before 16 July 2004**. My full particulars are as follows:

Postal address: Internal Box G48
Faculty of Health Sciences
University of the Free State
P.O. Box 339, Bloemfontein 9300
E-mail address: nelppc.MD@mail.uovs.ac.za
Telephone number: 051-401-2773
Fax: 051-401-2805
Cellular number: 082-558-9195

Thank you in advance for your kind co-operation.

Yours faithfully

**PROF. DR P.P.C. NEL
FACULTY OF HEALTH SCIENCES
UNIVERSITY OF THE FREE STATE
BLOEMFONTEIN
SOUTH AFRICA**

APPENDIX D

**Accompanying letter and Delphi questionnaire to experts:
Round 1**

DELPHI QUESTIONNAIRE

ROUND 1

A Framework for Leadership and Management of a Medical School in South Africa

Dear Delphi participant

Thank you for agreeing to participate in this Delphi process. Attached please find the first round of the Delphi process. Thank you for taking the time to complete this document and sending it back to me. Your willingness and participation is highly appreciated. The attached questionnaire was compiled after doing a thorough literature study and conducting a series of interviews with experts in leadership and management.

Information on the structure of the questionnaire:

The structuring of the questionnaire was done in such a way that you can offer your opinion regarding the importance of the listed criteria. These criteria are all envisaged to form part of a framework for academic leadership and management. The questionnaire contains numbered statements that also provide the opportunity to offer additional suggestions and comments. The questionnaire is subdivided into nine main sections. In each section precise indications are provided that indicate the specific theme of that section to you.

Procedure of the Delphi process

The opinion of each participant is needed with regard to the relevance and importance of each criterion for such a framework. All information provided and opinions offered by all the participants will be treated as confidential. Please note that no respondent will know the identity of any other respondent. The researcher and supervisor alone will have any knowledge on the identity of all participants. You can therefore feel free to answer all questions and provide any comment as honestly as you like. Please be so kind and keep all information stemming from this questionnaire as being confidential. The above will be applicable to all subsequent rounds of this Delphi process as well.

The Delphi process is conducted in such a way that feedback will be given to all participants. The researcher will indicate outcomes of each statement in the follow-up rounds.

Please answer all questions in all the sections.

PLEASE COMPLETE THE QUESTIONNAIRE AS FOLLOWS:

Each statement must be evaluated in respect of its importance as an aspect or criterion that must be included in the leadership and management framework. Indicate your opinion on the three-point scale provided. These points are defined as follows:

- 1 = Essential (this criterion must definitely be included in the framework)
- 2 = Useful (it does not matter whether this criterion is included or excluded from the framework)
- 3 = Unnecessary (this criterion must definitely be excluded from the framework)

If possible please complete the questionnaire in its electronic form. If, however, you prefer to print it out and complete it in paper format, please feel free to do so. In both cases please answer all the points by placing an X over the specific number of your choice in the scale provided with each statement. Space is provided in each section for any further comments that you would like to make regarding that specific section.

The questionnaire in this round should at most take up ± 1 hour of your time. Please contact me if anything is unclear to you.

Due to the fact that the tertiary institutions in South Africa that offer teaching and training to medical students do not all have the same management structure in place, some terminology is used in a generic way, e.g.

When reference is made to a "School of Medicine" in this questionnaire it should be read as also referring to a "Faculty of Medicine" simultaneously.

When reference is made to the "Head of a School" it should be read as also referring to a "Dean (vice-dean, etc.) of a Medical School". The framework that forms the essence of this study aims at the management structure in a medical training institute *per se* and does not necessarily place all attributes in one single person. Please contact me if this is unclear to you.

Thanking you in anticipation.

Pieter Nel
 Student number: 2001108618
 Tel: 082-558-9195
 Fax: 051-522-1307
Nelppc.MD@mail.uovs.ac.za

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SECTION A					APPENDIX D-2
CHALLENGES					
This section deals with challenges that face the management of Medical Schools in Tertiary Education Institutions					
Please indicate how important each of the following challenges is according to the following scale:					
1 = Essential					
2 = Useful					
3 = Unnecessary					
Please mark the appropriate block with an X. Only mark one option.					
In compiling the leadership and management framework, recognition must be taken of CHALLENGES that might be faced by the management of Schools					
1. The Management will have to bear knowledge					
of the multiple impacts of					
					Comments
(a.) <i>institutional</i> forces that have an influence on the management's work/ duties and the viability and standing of the school	1	2	3		
(b.) <i>national</i> forces that have an influence on the management's work/ duties and the viability and standing of the school, as well as	1	2	3		
(c.) <i>global</i> forces that have an influence on the management's work/ duties and the viability and standing of the school	1	2	3		
2. The Management will have to cope with strained fiscal resources, which result from					
(a.) availability of resources on national level	1	2	3		
(b.) decrease in funding of Higher Education	1	2	3		
(c.) reallocation of resources in Institutions	1	2	3		
3. The Management will have to manage externally imposed accountability processes on the					
(a.) fiscal terrain	1	2	3		
(b.) education terrain	1	2	3		
(c.) research terrain	1	2	3		
(d.) service delivery terrain	1	2	3		

4. The Management will find increasing pressure for competitiveness of				
				Comments
(a.) relevant programmes and curricula within regional, national & international contexts	1	2	3	
(b.) academic staff within regional, national & international contexts	1	2	3	
(c.) students within regional, national & international contexts	1	2	3	
(d.) finances within regional, national & international contexts	1	2	3	
5. The Management will have to manage technology which impact on				
(a.) the mode of delivery of teaching	1	2	3	
(b.) the mode of learning to which students are exposed	1	2	3	
(c.) a wider access to educational opportunities	1	2	3	
(d.) research (e.g. data analysis)	1	2	3	
(e.) effectiveness and efficiency of administration	1	2	3	
(f.) management capacity of managers	1	2	3	
(g.) the attitude of staff members which are pressured by the rapidity of technological changes	1	2	3	
6. The Management will have to manage the diversity of shifting demographics which include				
(a.) age of student population	1	2	3	
(b.) gender of student population	1	2	3	
(c.) racial and ethnic minorities	1	2	3	
(d.) students from historically underrepresented populations	1	2	3	
(e.) multiculturalism	1	2	3	
(f.) language diversity	1	2	3	

7. The Management will have to manage faculty who are ill equipped to meet student and system demands, due to				
				Comments
(a.) shifting demographics	1	2	3	
(b.) market demands	1	2	3	
(c.) technical advances	1	2	3	
(d.) mismatches in priorities (e.g. research & scholarship versus developing new e-learning material etc.)	1	2	3	
(e.) mismatches in campus climate that are politically correct but not conducive to learning for minority groups	1	2	3	
(f.) mismatches in the demand for technologically sophisticated programmes and the capacity of school to provide it	1	2	3	
(g.) mismatches in existing faculty that do/do not spark(demand) new programme initiatives	1	2	3	
(h.) mismatches between student's expectations (whether what they learn will aid them in finding jobs) and staff's instructional mission (in terms of what students know)	1	2	3	
8. The Management will have to manage a proliferation in knowledge to				
(a.) interpret new information in order to be effective within the school	1	2	3	
(b.) respond strategically in his leadership role	1	2	3	

9. The Management will have to fulfill an active role in the recruitment of quality academics and postgraduate students with a view to				
				Comments
(a.) favour the school's position in a competitive market place	1	2	3	
(b.) attract promising academics for supervising postgraduate students	1	2	3	
(c.) obtain external research funds	1	2	3	
10. The Management will have a more direct and expanding role in marketing and communication in order to				
(a.) recruit students and staff	1	2	3	
(b.) obtain funds	1	2	3	
(c.) foster public opinion	1	2	3	
(d.) demonstrate the value added to local communities	1	2	3	
11. The Head of the School will have to function as an executive manager by				
(a.) representing the priorities of the executive management of the Institution among his/her staff	1	2	3	
(b.) representing not only his/her School on a professional level, but foster the Professional Board's views and characteristics in his School	1	2	3	
(c.) having knowledge and good relationships with new governance structures in Higher Education	1	2	3	
12. The Management will have to strike a balance in dealing with the following issues				
(a.) their professional and personal lives	1	2	3	
(b.) their scholarship and leadership roles	1	2	3	
(c.) long-term agendas and short-term tasks	1	2	3	

13. Any further comments on challenges?

SECTION B				
STRATEGIES				
This section deals with strategies that Management can use to meet challenges				
Please indicate how important each of the following strategies is according to the following scale:				
1 = Essential				
2 = Useful				
3 = Unnecessary				
Please mark the appropriate square with an X. Only mark one option.				
In compiling the leadership and management framework, cognisance must be taken of STRATEGIES that can be used to meet the challenges that Management have to face				
				Comments
14. Creating a diverse culture by:				
(a.) celebrating and championing diversity	1	2	3	
(b.) fostering a broader multicultural understanding	1	2	3	
(c.) preparing people to function in a more diverse workforce	1	2	3	
(d.) committing through the allocation of resources				
(e.) putting academic, fiscal and emotional support in place	1	2	3	
(f.) changing the culture of the school through				
* assessing the current state (policies, procedures, psychological climate, behaviours of people)	1	2	3	
* collecting and analysing data on the attitudes and perceptions of staff and students	1	2	3	
* suggesting how diversity can further the overarching goals of academe	1	2	3	

				Comments
(g.) changing staff profile through the selection of qualified people who bring in diverse perspectives	1	2	3	
(h.) changing management systems through				
* a mission statement that explicitly addresses diversity	1	2	3	
* eliminating exclusionary practices that keep people from becoming fully participating members	1	2	3	
* introducing modes of learning (including learning materials) that foster diversity	1	2	3	
(i.) ongoing evaluation and monitoring of efforts to achieve diversity with a view to determine effectiveness	1	2	3	
15. Knowing the legal environment by:				
(a.) fostering antidiscrimination in practice by providing environmental climates in which all members feel comfortable, safe and valued through				
* implementation of fair affirmative action procedures	1	2	3	
* creation of equal opportunities	1	2	3	
* introducing clear policies and procedures	1	2	3	
* admission and selection procedures	1	2	3	
* hiring and promotion decisions	1	2	3	
* clear dismissal procedures	1	2	3	

(b.) introducing policies and procedures empower and inform individuals about sexual harassment in the following areas				
				Comments
* gender harassment (generalised sexist behaviour and remarks intended to insult, degrade or convey sexist attitudes)	1	2	3	
* seductive behaviour (sexual advances that are unwanted, inappropriate and offensive)	1	2	3	
* sexual bribery (reward promised following solicitation of sexual activity/sex linked behaviour)	1	2	3	
* sexual coercion (threat of punishment by sexual solicitation)	1	2	3	
* sexual imposition (gross sexual imposition, assault, rape)	1	2	3	
(c.) Understanding "academic freedom" as defined by the legal system according to the "rights and responsibilities of the teaching profession". They can take the following actions				
* determine whether the issue is an individual or institutional concern	1	2	3	
* deciding whether the interest of the individual in engaging in an activity outweighs the interest of the School in preventing it	1	2	3	
* answering the question of whether the School would have taken adverse action against the faculty member even without the activity being involved	1	2	3	

				Comments
* evaluating the situation in terms of how the activity in question affects the School's ability to maintain effective working relationships and provide education	1	2	3	
* discovering the potential impact on the School in order to determine whether to pursue legal counsel	1	2	3	
(d.) fostering contractual relationship with students by				
* honouring the principle of students paying for tuition while the institution in exchange agrees to provide academic programmes and services that will help students reach their academic goals	1	2	3	
* reviewing programmes and programme delivery systems regularly in order to maintain the School's integrity	1	2	3	
* keeping faculty and students in compliance with both written and spoken "promises" in order to avoid potential legal concerns	1	2	3	
(e.) fostering good ethical practice by expecting School members to conduct themselves in a certain way and find certain ways unacceptable. This can be done by				
* a clearly stated "code" of conduct including professional behaviour, relationships between faculty and students, academic freedom and research	1	2	3	
* an ethical character of a School that is supported, cultivated and reinforced by everyone	1	2	3	

				Comments
* Management that can create ethical practice by entering into dialogue with staff and students about what constitutes acceptable behaviour	1	2	3	
* adhering to professional ethical behaviour	1	2	3	
16. Management has to be familiar with developments in Higher Education relating to				
(a.) changing context of Higher Education	1	2	3	
(b.) new policies	1	2	3	
(c.) factors influencing Higher Education	1	2	3	
(d.) how the above-mentioned impact on the Head's work as leader and manager	1	2	3	
17. Strategically manage and secure financial resources by				
(a.) accessing new funding and development opportunities				
* by communicating in advance	1	2	3	
* by applying for such funding	1	2	3	
* supporting applications	1	2	3	
(b.) fiscal management				
* recognising the enormity of the task and responsibility	1	2	3	
* assessing financial needs	1	2	3	
* making allocation decisions	1	2	3	
* establishing expenditure targets and strategies	1	2	3	
* evaluating financial planning	1	2	3	

				Comments
* adjusting budgets	1	2	3	
* controlling fraud and mismanagement	1	2	3	
* searching for most cost-effective ways of delivering services	1	2	3	
* explore added resources of revenue (contract research, patent and laboratory development, etc.)	1	2	3	
* building/developing an understanding of finance and budgeting	1	2	3	
* developing sound budgeting strategies	1	2	3	
(c.) resource procurement - refers to soliciting unearned gifts or engaging in revenue-generating activities that lie outside the normal of the School (donations, fundraising)	1	2	3	
18. Becoming technologically connected with a view to				
(a.) enhancing student learning and education delivery, by				
* shifting from teacher-initiated instruction to student-focused instruction	1	2	3	
* placing emphasis on student-centred learning	1	2	3	
* increasing student/faculty contact by simplifying feedback on work	1	2	3	
* accommodating a variety of learning styles	1	2	3	

				Comments
(b.) obtaining exposure to the newest technologies for communication and research	1	2	3	
(c.) being efficient in providing technological infrastructure for communications available to staff and students	1	2	3	
(d.) enhancing personnel productivity	1	2	3	
19. Management has to have good knowledge of the strengths and limitations of the academic programmes within the School in order to				
(a.) decide which programmes to retain and strengthen	1	2	3	
(b.) decide which programmes to phase out	1	2	3	
(c.) decide which programmes to conduct on a cooperative basis (offered jointly)	1	2	3	
20. Seek and maintain professional and personal balance by				
(a.) applying time and stress management				
* establish what must be done	1	2	3	
* when is most productive time	1	2	3	
* quit trying to do everything	1	2	3	
* focus on what is important	1	2	3	
* delegate	1	2	3	
* do things that add meaning and quality to life	1	2	3	
* create order by setting deadlines	1	2	3	
* use mentoring and networking	1	2	3	

				Comments
(b.) applying boundary management				
* planning and prioritising for the school	1	2	3	
* formulation of vision and mission	1	2	3	
* setting of long- and short-term goals	1	2	3	
* writing down steps and determining what needs doing by a certain time	1	2	3	
(c.) finding a balance between priorities at work and home				
* working more efficiently	1	2	3	
* set time aside for scholarly projects	1	2	3	
* clarify professional and personal purpose	1	2	3	
* recognition and support of the whole person	1	2	3	
21. Nurturing the integrity of the School i.e. the success it has in building alliances with people and organisations that fulfill recognisable public needs by				
(a.) reconnecting with the community through				
* accountable to their various communities	1	2	3	
* academic management	1	2	3	
* integrated teaching, research and service	1	2	3	
* stakeholder relationships	1	2	3	
* campus-community partnerships	1	2	3	
(b.) revisiting change leadership through				
* educating themselves about concepts of change	1	2	3	

				Comments
* creating an environment conducive to change	1	2	3	
* understanding how people respond to change	1	2	3	
(c.) redefining faculty (staff) work, through				
* redesigning workload/systems where participants agree on yearly responsibilities	1	2	3	
* evaluating performance by students, peer reviews and self-reviews	1	2	3	
* redefining faculty productivity	1	2	3	
(d.) reframing academic departments through				
* ensuring that academic departments perform effectively in terms of educating students and interfacing with communities they serve and efficiently in terms of using resources	1	2	3	
* shifting toward interdisciplinary research and teaching	1	2	3	
* redefining a departments' responsibilities	1	2	3	
* evaluating departmental success	1	2	3	
(e.) refocussing departmental chairs/heads through				
* continuous training and development of chairs	1	2	3	
* helping chairs to delineate between work that must be done within the department and work that can be done for the department	1	2	3	
* making posts available to assist the chair	1	2	3	

SECTION C				
ROLES				
This section deals with the different roles that the Head of a School has to fulfil				
Please indicate how important each of the following roles is according to the following scale				
1 = Essential				
2 = Useful				
3 = Unnecessary				
Please mark the appropriate square with an X. Only mark one option.				
In compiling the framework for leadership and management, the different ROLES of a Head of a School have to be identified				
	1	2	3	Comments
23. The Head has to be involved in the maintenance of balance between the various external and internal demands placed on the institution (School)				
24. The Head has to interface with rectors, deans, heads of other schools, departmental chairs, staff, students and external entities, each influencing and benefiting from the School in specific ways				
25. The Head has to answer to the staff, students, central administration, boards, corporate sponsors, alumni groups, and outside funding agencies and must conscientiously serve all of these masters if the Head is to succeed in his/her role				
26. The Head has to foster and implement strategies for teaching, research and service delivery				
27. The Head has a role in taking responsibility for all necessary leadership initiatives				
28. The Head as "cultural representative" of the School has to personify the culture of the School and the Institution and has to influence employees' perceptions of their organisations' culture				

[illegible]

SECTION D				
LEADERSHIP QUALITIES				
This section deals with the leadership qualities that the Head of School should have				
Please indicate how important each of the following leadership qualities is according to the following scale				
1 = Essential				
2 = Useful				
3 = Unnecessary				
Please mark the appropriate square with an X. Only mark one option.				
In compiling the framework for leadership and management, the LEADERSHIP QUALITIES that a Head of a School has to have, should be identified				
				Comments
35. To function in a leadership position the Head has to				
(a.) understand the academic context and environment	1	2	3	
(b.) have knowledge on leadership styles	1	2	3	
(c.) have knowledge on leadership theory	1	2	3	
(d.) know the difference between leadership and management	1	2	3	
36. The Head has to have certain personal qualities such as				
(a.) integrity	1	2	3	
(b.) high standards of ethics	1	2	3	
(c.) the ability to move beyond self- interest to focus on the larger goals of the School/Institution	1	2	3	
37. The Head has to be able to lead change, by				
(a.) knowing the concepts and principles of change management	1	2	3	
(b.) understanding strategic planning (objective and target setting, measuring and evaluating success)	1	2	3	
(c.) understanding flexibility and adaptability in change management	1	2	3	
(d.) analysing change and its effects on individuals	1	2	3	

				Comments
(e.) dealing with pressure and stress (self and others)	1	2	3	
(f.) understanding the importance of communication during change	1	2	3	
38. The Head has to be able to lead people by				
(a.) empowering people	1	2	3	
(b.) delegate "with fulfilment"	1	2	3	
(c.) successful staff development	1	2	3	
(d.) managing difficult situations (disciplinary, grievance, etc.)	1	2	3	
39. The Head has to be able to create and develop effective teams by				
(a.) having knowledge on team roles and functions	1	2	3	
(b.) understanding group dynamics	1	2	3	
(c.) having skills for team creation and development	1	2	3	
(d.) having knowledge of personality types and team interactions	1	2	3	
40. The Head has to have influencing skills by				
(a.) understanding influence and behavioural effects	1	2	3	
(b.) understanding the skills and qualities of the "influential" person	1	2	3	
(c.) understanding that empathy is the key to influence	1	2	3	
(d.) good communication	1	2	3	
41. The Head has to have the ability to deal with challenging situations by				
(a.) identifying reasons behind conflict	1	2	3	
(b.) knowing conflict resolution	1	2	3	
(c.) having influencing and communication skills	1	2	3	
(d.) understanding the role of personality differences in creating and resolving conflict	1	2	3	

42. The Head has to have the ability to make decisions and take risks by				Comments
(a.) developing analytical skills	1	2	3	
(b.) understanding and solving problems	1	2	3	
(c.) creating solutions	1	2	3	
(d.) making judgements	1	2	3	
(e.) taking decisions	1	2	3	
(f.) risk analysis	1	2	3	
43. The Head has to set vision and values				
(a.) by defining and determining a vision and values	1	2	3	
(b.) by understanding personal belief and value systems	1	2	3	
(c.) translating vision into action	1	2	3	
44. The Head has to manage time and priorities in order to				
(a.) manage own time effectively	1	2	3	
(b.) prioritise and balance activities	1	2	3	
(c.) manage others' time effectively	1	2	3	
45. The Head has to have good communication skills to				
(a.) manage meetings effectively	1	2	3	
(b.) develop assertiveness skills	1	2	3	
(c.) develop negotiation skills (persuading, influencing)	1	2	3	
(d.) motivate others	1	2	3	
(e.) develop presentation skills	1	2	3	
(f.) give and receive feedback	1	2	3	
46. The Head has to have the ability of self awareness to				
(a.) understanding own strengths, weaknesses, motivation and stresses	1	2	3	
(b.) knowing own learning styles	1	2	3	
(c.) own emotional intelligence (EQ) and understanding others	1	2	3	
(d.) developing credibility and earning respect	1	2	3	
(e.) stressproofing self	1	2	3	

47. The Head has to have the ability to set own career planning and management goals by				Comments
	1	2	3	
(a.) doing a full appraisal/review	1	2	3	
(b.) personal planning	1	2	3	
(c.) professional planning	1	2	3	
48. The Head must have the ability to foster the following characteristics of transformational leadership				
(a.) Individualised consideration: gives personal attention to others, making each individual feel uniquely valued	1	2	3	
(b.) Intellectual stimulation: actively encourages a new look at old methods, stimulates creativity, encourages others to look at problems and issues in a new way	1	2	3	
(c.) Inspirational motivation: increase optimism and enthusiasm, communicates high expectations, points out possibilities not previously considered	1	2	3	
(d.) Idealized influence: provides vision and a sense of purpose; elicits respect, trust and confidence from followers	1	2	3	
49. The Head of a School has to demonstrate the following competencies				
(a.) provide clarity about strategic direction	1	2	3	
(b.) focus on delivery	1	2	3	
(c.) build relationships	1	2	3	
(d.) ensure commitment	1	2	3	
(e.) develop self-awareness	1	2	3	
(f.) possess personal convictions	1	2	3	
(g.) develop people	1	2	3	

[illegible]

SECTION E				
MANAGERIAL KNOWLEDGE, SKILLS AND COMPETENCIES				
This section deals with the managerial knowledge, skills and competencies that the Head of School should have				
Please indicate how important each of the following statements on managerial knowledge, skills and competencies is according to the following scale				
1 = Essential				
2 = Useful				
3 = Unnecessary				
Please mark the appropriate square with an X. Only mark one option.				
In compiling the framework for leadership and management, the MANAGERIAL KNOWLEDGE, SKILLS AND COMPETENCIES that a Head of a School have, should be identified				
				Comments
52. The head has to have the following knowledge, skills and competencies concerning:				
Budgeting and resources				
(a.) knowledge of internal and external sources of funds	1	2	3	
(b.) knowledge of policies and procedures for obtaining external funding	1	2	3	
(c.) knowledge of institutional and governing board policies and guidelines concerning budgetary operations	1	2	3	
(d.) knowledge of space (rooms) and procedures needed to schedule courses	1	2	3	
(e.) skill in preparing and managing school program budgets	1	2	3	
(f.) ability to encourage faculty members to submit proposals for external contracts and grants	1	2	3	
(g.) ability to set priorities for use of program resources (e.g. travel funds)	1	2	3	

				Comments
(h.) ability to plan for long-range financing of special programmes and activities	1	2	3	
(i.) ability to obtain external funding for the School	1	2	3	
(j.) ability to read and interpret budget reports	1	2	3	
(k.) overall issues related to budgeting and resources in general	1	2	3	
53. The Head has to have the following knowledge concerning: Legal issues				
(a.) knowledge of procedures in dealing with sexual harassment	1	2	3	
(b.) knowledge of records and documents to be maintained	1	2	3	
(c.) knowledge of procedures for dealing with disability issues	1	2	3	
(d.) knowledge of procedures pertaining to the promotion and tenure of faculty	1	2	3	
(e.) knowledge of procedures to recruit and select students	1	2	3	
(f.) knowledge of procedures for applying the university's affirmative action policy	1	2	3	
(g.) knowledge of procedures to recruit and select faculty	1	2	3	
(h.) knowledge of intellectual property rights	1	2	3	
(i.) knowledge of whom to contact concerning legal issues	1	2	3	

				Comments
(j.) knowledge of procedures concerning matters of confidentiality	1	2	3	
(k.) knowledge of procedures concerning the leave policies	1	2	3	
(l.) overall knowledge of legal issues in general	1	2	3	
54. The Head has to have the following knowledge skills and competencies concerning: faculty (staff) issues				
(a.) knowledge of policies and procedures concerning faculty grievances	1	2	3	
(b.) knowledge of policies and procedures surrounding faculty service termination	1	2	3	
(c.) knowledge of faculty recruitment policies and procedures	1	2	3	
(d.) knowledge of faculty selection policies and procedures	1	2	3	
(e.) skill in reducing, resolving, and preventing conflict among faculty members	1	2	3	
(f.) ability to assign faculty responsibilities (e.g. teaching, research, committee work, etc.)	1	2	3	
(g.) ability to evaluate faculty service contributions	1	2	3	
(h.) ability to deal with and provide feedback for unsatisfactory faculty performance	1	2	3	
(i.) ability to evaluate faculty research productivity	1	2	3	

				Comments
(j.) ability to aid faculty in preparation for evaluation (e.g. annual, mid-career, and tenure)	1	2	3	
(k.) ability to evaluate teaching within the school programmes	1	2	3	
(l.) overall issues related to faculty in general	1	2	3	
55. The Head has to have the following knowledge, skills and competencies concerning: External communication				
(a.) knowledge of relevant outside constituencies	1	2	3	
(b.) ability to communicate School/programme needs to upper-level administrators	1	2	3	
(c.) ability to promote the Schools/programme's image and reputation	1	2	3	
(d.) ability to develop relations and coordinate activities with outside groups	1	2	3	
(e.) ability to communicate with other schools/programmes about mutual interests	1	2	3	
(f.) ability to communicate effectively with top management	1	2	3	
(g.) overall issues related to external communication in general	1	2	3	

56. The Head has to have the following knowledge, skills and competencies concerning: Internal communications				
				Comments
(a.) ability to convey the university policies, procedures and actions to the departments/programmes	1	2	3	
(b.) ability to keep members informed of institutional/School/programme plans, activities and expectations	1	2	3	
(c.) ability to foster communication of ideas toward improving the School/programmes	1	2	3	
(d.) ability to convey performance criteria and the evaluative process to faculty and students	1	2	3	
(e.) overall issues related to internal communication in general	1	2	3	
57. The Head has to have the following knowledge, skills and competencies concerning: Student issues				
(a.) knowledge of policies and procedures regarding student grievances	1	2	3	
(b.) knowledge of faculty willingness and ability to teach courses	1	2	3	
(c.) ability to plan, evaluate and update School/programme/curriculum	1	2	3	
(d.) ability to project courses based on student needs and interests	1	2	3	
(e.) ability to monitor graduate student progress	1	2	3	
(f.) ability to advise and counsel students concerning academic issues	1	2	3	

				Comments
(g.) ability to advise and counsel students concerning careers	1	2	3	
(h.) ability to monitor student scholarships and awards	1	2	3	
(i.) ability to communicate policies and procedures to students	1	2	3	
(j.) ability to develop student recruitment programmes	1	2	3	
(k.) overall issues related to students in general	1	2	3	
58. The Head has to have the following knowledge, skills and competencies concerning: School/ programme administration				
(a.) knowledge of School/programme/ university deadlines	1	2	3	
(b.) ability to establish, prioritise and meet deadlines	1	2	3	
(c.) ability to establish School/ programme committees	1	2	3	
(d.) ability to develop and implement long-range initiatives	1	2	3	
(e.) ability to determine what the School/ programme should provide to the university and community	1	2	3	
(f.) ability to prepare for accreditation and evaluation	1	2	3	
(g.) ability to delegate administrative responsibilities	1	2	3	
(h.) overall issues related to School/ programme administration in general	1	2	3	

59. The Head has to have the following knowledge, skills and competencies concerning: Professional development within the School/programme				
	1	2	3	Comments
(a.) ability to foster the development of individual faculty members' talents and interests				
(b.) ability to promote high quality teaching in the School/programmes				
(c.) ability to promote faculty research				
(d.) ability to encourage faculty members to participate in professional meetings				
(e.) ability to encourage faculty grantmanship				
(f.) ability to provide professional development opportunities for faculty and staff				
(g.) ability to maintain faculty morale				
(h.) overall issues related to professional development within the School/programmes in general				
60. The Head has to have the following knowledge, skills and competencies concerning: Personal professional development				
(a.) skill in decision making under ambiguous circumstances				
(b.) skill in adopting different leadership styles to fit varying situations				
(c.) time management skills for performing School tasks				
(d.) interpersonal skills				

				Comments
(e.) leadership skills	1	2	3	
(f.) ability to represent the School/ programmes at professional meetings/societies	1	2	3	
(g.) ability to remain current with academic discipline	1	2	3	
(h.) ability to manage multiple roles as Head (e.g. teaching, administra- tion, etc.)	1	2	3	
(i.) overall issues related to professional development of Head in general	1	2	3	
61. The Head has to have the following knowledge, skills and competencies concerning: Office administration				
				Comments
(a.) knowledge of policies and procedures for promoting and terminating the services of staff	1	2	3	
(b.) knowledge of policies and procedures for evaluating staff	1	2	3	
(c.) ability to manage School/ programme facilities, equipment and inventory	1	2	3	
(d.) ability to supervise clerical and technical staff in office	1	2	3	
(e.) ability to process paperwork and answer correspondence efficiently	1	2	3	
(f.) overall issues related to office management in general	1	2	3	

62. Any further comment on the managerial knowledge, skills and competencies?

SECTION F				
PERFORMANCE AREAS				
This section deals with the performance areas which have to be addressed in a School of Medicine				
Please indicate how important each of the following performance areas is according to the following scale				
1 = Essential				
2 = Useful				
3 = Unnecessary				
Please mark the appropriate square with an X. Only mark one option.				
In compiling the framework for leadership and management, the PERFORMANCE AREAS have to be identified				
63. The following performance areas must be included in the framework				Comments
(a.) strategic management and planning	1	2	3	
(b.) budgeting and resource allocation	1	2	3	
(c.) programme and curriculum development	1	2	3	
(d.) external communication	1	2	3	
(e.) internal communication	1	2	3	
(f.) legal issues	1	2	3	
(g.) student training	1	2	3	
(h.) postgraduate education	1	2	3	
(i.) research	1	2	3	
(j.) service delivery	1	2	3	
(k.) faculty affairs	1	2	3	
(l.) student affairs	1	2	3	
(m.) staffing	1	2	3	
(n.) community service	1	2	3	
(o.) administration	1	2	3	
64. Any further comment on performance areas?				

SECTION G**MANAGEMENT STRUCTURES**

This section deals with the management structures that must be in place in order to manage the School

Please indicate how important each of the following management structures is for inclusion in a framework for leadership and management according to the following scale

1 = Essential

2 = Useful

3 = Unnecessary

Please mark the appropriate square with an X. Only mark one option.

In compiling the framework for leadership and management, the following MANAGEMENT STRUCTURES must be included

65. There has to be a line structure of leaders and managers in the Faculty consisting of				Comments
(a.) dean	1	2	3	
(b.) vice-dean(s)	1	2	3	
(c.) associate dean(s)	1	2	3	
(d.) heads of school(s)	1	2	3	
(e.) heads of departments	1	2	3	
(f.) programme directors	1	2	3	
(g.) heads of divisions	1	2	3	
66. There has to be a decentralised management structure in the Faculty consisting of				
(a.) faculty management structure (or committee consisting of deans, heads of schools)	1	2	3	
(b.) executive committee	1	2	3	
(c.) faculty board committee	1	2	3	
(d.) representatives on other university committees	1	2	3	
(e.) organisational committees	1	2	3	
(f.) ad hoc work group committees	1	2	3	
67. There has to be desentralised units in the Faculty				
(a.) office of the management	1	2	3	
(b.) academic departments	1	2	3	
(c.) support departments, divisions or units	1	2	3	
(d.) administrative divisions and offices	1	2	3	

68. Any further comment on management structures?

SECTION H**INFRASTRUCTURE AND FACILITIES**

This section deals with the infrastructure and facilities that must be in place in order to manage the School

Please indicate how important each of the following infrastructural components and facilities are for inclusion in a framework for leadership and management according to the following scale

1 = Essential

2 = Useful

3 = Unnecessary

Please mark the appropriate square with an X. Only mark one option.

In compiling the framework for leadership and management, the following INFRASTRUCTURAL COMPONENTS AND FACILITIES have to be addressed

69. The following have to be in place, fully equipped and functional				
				Comments
(a.) main buildings for departments, offices, etc.	1	2	3	
(b.) laboratories	1	2	3	
(c.) clinical buildings and facilities for training	1	2	3	
(d.) library	1	2	3	
(e.) skills unit	1	2	3	
(f.) computer centre	1	2	3	
(g.) multimedia centre	1	2	3	
(h.) lecture halls	1	2	3	
(i.) group venues	1	2	3	
(j.) meeting venues	1	2	3	
(k.) self study venues	1	2	3	
(l.) restrooms	1	2	3	
(m.) staff room(s)	1	2	3	
(n.) student cafeteria	1	2	3	

70. Any further comment on infrastructure and facilities?

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SECTION I**ASPECTS THAT HAS TO BE ADDRESSED IN A FRAMEWORK FOR LEADERSHIP AND MANAGEMENT**

This section deals with the aspects that must be addressed in a framework for academic leadership and management

Please indicate how important each of the following aspects is for inclusion in a framework for leadership and management according to the following scale

1 = Essential

2 = Useful

3 = Unnecessary

Please mark the appropriate square with an X. Only mark one option.

In compiling the framework for leadership and management, the following ASPECTS have to be addressed

71. Aspects that should be included in the academic leadership and management framework for a School of Medicine in South Africa	
---	--

	1	2	3	Comments
(a.) challenges that management of Medical Schools face				
(b.) strategies to meet these challenges				
(c.) role that the Head of the School has to play				
(d.) leadership qualities of the Head of the School				
(e.) knowledge, skills and competencies that the Head of the School must have				
(f.) performance areas that warrant attention in a School				
(g.) management structures that must be in place within the School				
(h.) infrastructure and facilities that must be available in the School				

72. Any further comment on aspects that must be addressed in a framework for leadership and management? Please add and elaborate

APPENDIX E

Accompanying letter and results of Delphi Round 1

DELPHI QUESTIONNAIRE

ROUND 1- FEEDBACK

A Framework for Leadership and Management of a Medical School in South Africa

Dear Delphi participant

Thank you for agreeing to participate in this Delphi process. Attached please find the results of the first round of the Delphi process. Thank you for taking the time to complete this document and sending it back to me. Your willingness and participation is highly appreciated.

According to Larson and Wissman (2000:45) consensus is reached where 80% of the participants indicate the same value (to a specific item) as their choice. In round one of this Delphi process, out of 390 statements, consensus was reached in 73% of these statements. In other words, for round two only 105 statements are left for your consideration (*This questionnaire will reach you soon*).

Attached please find feedback on round one. All questions on which consensus has been reached, I have shaded. I have also included all the comments that was received from all participants.

This feedback is sent to you with the sole purpose of providing you with information regarding the first round of the Delphi process. **YOU NEED NOT DO ANYTHING WITH IT.**

Round two of the Delphi process will reach you very soon. That document will not include all the questions on which consensus has been reached. It will therefore be a much shortened questionnaire.

Have a nice day.

Prof Pieter PC Nel
2004/10/03

Larson, E. & Wissman, J. 2000. Critical academic skills for Kansas Community College graduates: A Delphi study. *Community College Review*. 28(2): 43 – 56.

SECTION A				APPENDIX E-2
CHALLENGES				
This section deals with challenges that face the management of Medical Schools in Tertiary Education Institutions				
Please indicate how important each of the following challenges is according to the following scale:				
1 = Essential				
2 = Useful				
3 = Unnecessary				
Please mark the appropriate block with an X. Only mark one option.				
In compiling the leadership and management framework, recognition must be taken of CHALLENGES that might be faced by the management of Schools				
1. The Management will have to bear knowledge of the multiple impacts of				
				Comments
	Essential	Useful	Unnecessary	
(a.) institutional forces that have an influence on the management's work/ duties and the viability and standing of the school	1	2	3	*The demands on the management of departments and institutions are quite phenomenal. Some training in handling these issues are necessary (*Institutional forces will/should be determined by the national and global forces
(b.) national forces that have an influence on the management's work/ duties and the viability and standing of the school, as well as	1	2	3	*This is very important. Needs to have environmental scanning.
(c.) global forces that have an influence on the management's work/ duties and the viability and standing of the school	1	2	3	*This often applies more to the different Disciplines than to the School, except for international accreditation. *A higher level than School/Fact management react to this, but knowledge of this essential
2. The Management will have to cope with strained fiscal resources, which result from				
(a.) availability of resources on national level	1	2	3	*These are all dealt with by the overstuffed and overpaid bureaucracy at national and institutional levels.
(b.) decrease in funding of Higher Education	1	2	3	
(c.) reallocation of resources in Institutions	1	2	3	*The impact of conditional grants important.
3. The Management will have to manage externally imposed accountability processes on the				
(a.) fiscal terrain	1	2	3	*Usually guided by executive of university(2) Not his job
(b.) education terrain	1	2	3	
(c.) research terrain	1	2	3	
(d.) service delivery terrain	1	2	3	*Lower priority

4. The Management will find increasing pressure for competitiveness of				
	<div style="display: flex; justify-content: space-around; align-items: center;"> <div style="transform: rotate(-45deg); transform-origin: center;">Essential</div> <div style="transform: rotate(-45deg); transform-origin: center;">Useful</div> <div style="transform: rotate(-45deg); transform-origin: center;">Unnecessary</div> </div>			Comments
(a.) relevant programmes and curricula within regional, national & international contexts	1	2	3	
(b.) academic staff within regional, national & international contexts	1	2	3	
(c.) students within regional, national & international contexts	1	2	3	
(d.) finances within regional, national & international contexts	1	2	3	
5. The Management will have to manage technology which impact on				*This can be shared by central IT-dept of university
(a.) the mode of delivery of teaching	1	2	3	
(b.) the mode of learning to which students are exposed	1	2	3	
(c.) a wider access to educational opportunities	1	2	3	
(d.) research (e.g. data analysis)	1	2	3	
(e.) effectiveness and efficiency of administration	1	2	3	
(f.) management capacity of managers	1	2	3	
(g.) the attitude of staff members which are pressured by the rapidity of technological changes	1	2	3	
6. The Management will have to manage the diversity of shifting demographics which include				
(a.) age of student population	1	2	3	
(b.) gender of student population	1	2	3	
(c.) racial and ethnic minorities	1	2	3	*This is very important.
(d.) students from historically underrepresented populations	1	2	3	
(e.) multiculturalism	1	2	3	
(f.) language diversity	1	2	3	

7. The Management will have to manage faculty who are ill equipped to meet student and system demands, due to				
	<div>Essential</div> <div>Useful</div> <div>Unnecessary</div>			Comments
(a.) shifting demographics	1	2	3	*Difficult one - no ways management in Faculties can meet this, yet understanding has to be there
(b.) market demands	1	2	3	*Impacts on language of tuition = emotional issue
(c.) technical advances	1	2	3	*Not sure that this quite fits in with essential, useful etc
(d.) mismatches in priorities (e.g. research & scholarship versus developing new e-learning material etc.)	1	2	3	
(e.) mismatches in campus climate that are politically correct but not conducive to learning for minority groups	1	2	3	*Huge problem- leads to misunderstandings
(f.) mismatches in the demand for technologically sophisticated programmes and the capacity of school to provide it	1	2	3	
(g.) mismatches in existing faculty that do/do not spark(demand) new programme initiatives	1	2	3	
(h.) mismatches between student's expectations (whether what they learn will aid them in finding jobs) and staff's instructional mission (in terms of what students know)	1	2	3	
8. The Management will have to manage a proliferation in knowledge to				
(a.) interpret new information in order to be effective within the school	1	2	3	
(b.) respond strategically in his leadership role	1	2	3	*A challenge.

9. The Management will have to fulfill an active role in the recruitment of quality academics and postgraduate students with a view to				
	Essential	Useful	Unnecessary	Comments
(a.) favour the school's position in a competitive market place	1	2	3	*Demand on better students in PDI-group is high, scholars with Maths & Science (HGR) are limited
(b.) attract promising academics for supervising postgraduate students	1	2	3	*Subsidies from state and postgraduates
(c.) obtain external research funds	1	2	3	*3rd stream of income high more important
10. The Management will have a more direct and expanding role in marketing and communication in order to				
(a.) recruit students and staff	1	2	3	
(b.) obtain funds	1	2	3	
(c.) foster public opinion	1	2	3	*3rd stream of income influenced by this
(d.) demonstrate the value added to local communities	1	2	3	
11. The Head of the School will have to function as an executive manager by				
(a.) representing the priorities of the executive management of the Institution among his/her staff	1	2	3	
(b.) representing not only his/her School on a professional level, but foster the Professional Board's views and characteristics in his School	1	2	3	
(c.) having knowledge and good relationships with new governance structures in Higher Education	1	2	3	*This is essential. *This can/should be handled primarily at level of Universities
12. The Management will have to strike a balance in dealing with the following issues				
(a.) their professional and personal lives	1	2	3	*Very difficult - the jobs are so demanding (2) Burn out prevention
(b.) their scholarship and leadership roles	1	2	3	*Term appointments mean management might/will have to return to acad post
(c.) long-term agendas and short-term tasks	1	2	3	

13. Any further comments on challenges?

SECTION B				
STRATEGIES				
This section deals with strategies that Management can use to meet challenges				
Please indicate how important each of the following strategies is according to the following scale:				
1 = Essential				
2 = Useful				
3 = Unnecessary				
Please mark the appropriate square with an X. Only mark one option.				
In compiling the leadership and management framework, cognisance must be taken of STRATEGIES that can be used to meet the challenges that Management have to face				
				Comments
	Essential	Useful	Unnecessary	
14. Creating a diverse culture by:				
(a.) celebrating and championing diversity	1	2	3	
(b.) fostering a broader multicultural understanding	1	2	3	
(c.) preparing people to function in a more diverse workforce	1	2	3	
(d.) committing through the allocation of resources				**buying" highly qualified PDI necessitates special salary packages
(e.) putting academic, fiscal and emotional support in place	1	2	3	
(f.) changing the culture of the school through				
* assessing the current state (policies, procedures, psychological climate, behaviours of people)	1	2	3	
* collecting and analysing data on the attitudes and perceptions of staff and students	1	2	3	
* suggesting how diversity can further the overarching goals of academe	1	2	3	

	Essential	Useful	Unnecessary	Comments
(g.) changing staff profile through the selection of qualified people who bring in diverse perspectives	1	2	3	*Within the framework of policies.
(h.) changing management systems through				
* a mission statement that explicitly addresses diversity	1	2	3	*mission statement meaningless if people have not bought in
* eliminating exclusionary practices that keep people from becoming fully participating members	1	2	3	
* introducing modes of learning (including learning materials) that foster diversity	1	2	3	*Scholastic backlog of PDI scholars reflects even up to the most senior students
(i.) ongoing evaluation and monitoring of efforts to achieve diversity with a view to determine effectiveness	1	2	3	
15. Knowing the legal environment by:				
(a.) fostering antidiscrimination in practice by providing environmental climates in which all members feel comfortable, safe and valued through				
* implementation of fair affirmative action procedures	1	2	3	
* creation of equal opportunities	1	2	3	*will not support high diversity
* introducing clear policies and procedures	1	2	3	
* admission and selection procedures	1	2	3	
* hiring and promotion decisions	1	2	3	*These are two issues!
* clear dismissal procedures	1	2	3	*This is a very difficult one. Difficult to dismiss the most incompetent individuals. Clarity of the procedures according to labour law is very important. Individuals should not be afraid to consider dismissal

(b.) introducing policies and procedures empower and inform individuals about sexual harassment in the following areas				
	Essential	Useful	Unnecessary	Comments
* gender harassment (generalised sexist behaviour and remarks intended to insult, degrade or convey sexist attitudes)	1	2	3	
* seductive behaviour (sexual advances that are unwanted, inappropriate and offensive)	1	2	3	
* sexual bribery (reward promised following solicitation of sexual activity/sex linked behaviour)	1	2	3	
* sexual coercion (threat of punishment by sexual solicitation)	1	2	3	
* sexual imposition (gross sexual imposition, assault, rape)	1	2	3	
(c.) Understanding "academic freedom" as defined by the legal system according to the "rights and responsibilities of the teaching profession". They can take the following actions				
* determine whether the issue is an individual or institutional concern	1	2	3	
* deciding whether the interest of the individual in engaging in an activity outweighs the interest of the School in preventing it	1	2	3	
* answering the question of whether the School would have taken adverse action against the faculty member even without the activity being involved	1	2	3	*The HPCSA can also help in this regard.

	Essential Useful Unnecessary			Comments
* evaluating the situation in terms how the activity in question affects the School's ability to maintain effective working relationships and provide education	1	2	3	
* discovering the potential impact on the School in order to determine whether to pursue legal counsel	1	2	3	
(d.) fostering contractual relationship with students by				
* honouring the principle of students paying for tuition while the institution in exchange agrees to provide academic programmes and services that will help students reach their academic goals	1	2	3	
* reviewing programmes and programme delivery systems regularly in order to maintain the School's integrity	1	2	3	
* keeping faculty and students in compliance with both written and spoken "promises" in order to avoid potential legal concerns	1	2	3	*Need to check all documents for loop holes which the students will find. All rules guidelines need to be checked by the University lawyers * Is it compliance?
(e.) fostering good ethical practice by expecting School members to conduct themselves in a certain way and find certain ways unacceptable. This can be done by				
* a clearly stated "code" of conduct including professional behaviour, relationships between faculty and students, academic freedom and research	1	2	3	
* an ethical character of a School that is supported, cultivated and reinforced by everyone	1	2	3	

	Essential	Useful	Unnecessary	Comments
* Management that can create ethical practice by entering into dialogue with staff and students about what constitutes acceptable behaviour	1	2	3	
* adhering to professional ethical behaviour	1	2	3	*This is also part of professionalism.
16. Management has to be familiar with developments in Higher Education relating to				
(a.) changing context of Higher Education	1	2	3	
(b.) new policies	1	2	3	
(c.) factors influencing Higher Education	1	2	3	
(d.) how the above-mentioned impact on the Head's work as leader and manager	1	2	3	
17. Strategically manage and secure financial resources by				*Depends on level of decentralisation - if things are very centralised then these roles are responsibility of univ. top management
(a.) accessing new funding and development opportunities				*Many of us not trained in many fields and require that assistance
* by communicating in advance	1	2	3	
* by applying for such funding	1	2	3	
* supporting applications	1	2	3	
(b.) fiscal management				
* recognising the enormity of the task and responsibility	1	2	3	
* assessing financial needs	1	2	3	
* making allocation decisions	1	2	3	
* establishing expenditure targets and strategies	1	2	3	*the tune is piped centrally - autonomy usually limited!
* evaluating financial planning	1	2	3	

	Essential Useful Unnecessary			Comments
* adjusting budgets	1	2	3	
* controlling fraud and mismanagement	1	2	3	
* searching for most cost-effective ways of delivering services	1	2	3	*This is very important. (* This more the role of the hospital (as apposed to Faculty's)
* explore added resources of revenue (contract research, patent and laboratory development, etc.)	1	2	3	
* building/developing an understanding of finance and budgeting	1	2	3	
* developing sound budgeting strategies	1	2	3	
(c.) resource procurement - refers to soliciting unearned gifts or engaging in revenue-generating activities that lie outside the normal of the School (donations, fundraising)	1	2	3	
18. Becoming technologically connected with a view to				
(a.) enhancing student learning and education delivery, by				
* shifting from teacher-initiated instruction to student-focused instruction	1	2	3	
* placing emphasis on student-centred learning	1	2	3	*Yet certain PDI students are not well enough prepared for this
* increasing student/faculty contact by simplifying feedback on work	1	2	3	
* accommodating a variety of learning styles	1	2	3	

	Essential		Useful	Unnecessary	Comments
	1	2	3		
(b.) obtaining exposure to the newest technologies for communication and research					*Backlog in certain cases has been to large - financial constraints a reality
(c.) being efficient in providing technological infrastructure for communications available to staff and students					
(d.) enhancing personnel productivity					
19. Management has to have good knowledge of the strengths and limitations of the academic programmes within the School in order to					
(a.) decide which programmes to retain and strengthen					
(b.) decide which programmes to phase out					
(c.) decide which programmes to conduct on a cooperative basis (offered jointly)					
20. Seek and maintain professional and personal balance by					
(a.) applying time and stress management					
* establish what must be done					
* when is most productive time					
* quit trying to do everything					*Difficult decision to take. Must have others to assist
* focus on what is important					
* delegate					
* do things that add meaning and quality to life					*Idealistic - time very limited
* create order by setting deadlines					
* use mentoring and networking					

				Essential	Useful	Unnecessary	Comments
(b.) applying boundary management							
* planning and prioritising for the school	1	2	3				
* formulation of vision and mission	1	2	3				
* setting of long- and short-term goals	1	2	3				
* writing down steps and determining what needs doing by a certain time	1	2	3				
(c.) finding a balance between priorities at work and home							
* working more efficiently	1	2	3	*Very difficult as well. Not enough time in the day			
* set time aside for scholarly projects	1	2	3	*Very difficult as well. Not enough time in the day *Could be very limited			
* clarify professional and personal purpose	1	2	3				
* recognition and support of the whole person	1	2	3				
21. Nurturing the integrity of the School i.e. the success it has in building alliances with people and organisations that fulfill recognisable public needs by							
(a.) reconnecting with the community through							
* accountable to their various communities	1	2	3				
* academic management	1	2	3				
* integrated teaching, research and service	1	2	3				
* stakeholder relationships	1	2	3				
* campus-community partnerships	1	2	3				
(b.) revisiting change leadership through							
* educating themselves about concepts of change	1	2	3				

	Essential Useful Unnecessary			Comments
* creating an environment conducive to change	1	2	3	
* understanding how people respond to change	1	2	3	
(c.) redefining faculty (staff) work, through				
* redesigning workload/systems where participants agree on yearly responsibilities	1	2	3	*This implies responsibility for the whole faculty
* evaluating performance by students, peer reviews and self-reviews	1	2	3	*There are too many components in this question. *This implies responsibility for the whole faculty
* redefining faculty productivity	1	2	3	
(d.) reframing academic departments through				
* ensuring that academic departments perform effectively in terms of educating students and interfacing with communities they serve and efficiently in terms of using resources	1	2	3	
* shifting toward interdisciplinary research and teaching	1	2	3	
* redefining a departments' responsibilities	1	2	3	
* evaluating departmental success	1	2	3	
(e.) refocussing departmental chairs/heads through				
* continuous training and development of chairs	1	2	3	*some chairs would object
* helping chairs to delineate between work that must be done within the department and work that can be done for the department	1	2	3	*some chairs would object
* making posts available to assist the chair	1	2	3	

22. Any further comments on strategies?
<p>*I found it difficult to differentiate between what the head of school's responsibilities are and what should be devolved to heads of departments, in this section. The head of school, however should set the example.</p> <p>This overlaps a bit with the next section</p> <p>*If it does not have an influence on the <u>core functions</u> of the department it should be ignored</p>

SECTION C				
ROLES				
This section deals with the different roles that the Head of a School has to fulfil				
Please indicate how important each of the following roles is according to the following scale				
1 = Essential 2 = Useful 3 = Unnecessary				
Please mark the appropriate square with an X. Only mark one option.				
In compiling the framework for leadership and management, the different ROLES of a Head of a School have to be identified				
	1	2	3	Comments
	Essential	Useful	Unnecessary	
23. The Head has to be involved in the maintenance of balance between the various external and internal demands placed on the institution (School)				
24. The Head has to interface with rectors, deans, heads of other schools, departmental chairs, staff, students and external entities, each influencing and benefiting from the School in specific ways				
25. The Head has to answer to the staff, students, central administration, boards, corporate sponsors, alumni groups, and outside funding agencies and must conscientiously serve all of these masters if the Head is to succeed in his/her role				*Has to try but impossible task *Work division should be (i) internal clients & (ii) external clients
26. The Head has to foster and implement strategies for teaching, research and service delivery				*Delegate
27. The Head has a role in taking responsibility for all necessary leadership initiatives				*Delegate - offer opportunity for subordinates to also take part in this
28. The Head as "cultural representative" of the School has to personify the culture of the School and the Institution and has to influence employees' perceptions of their organisations' culture				*Very difficult task.

	Essential Useful Unnecessary			Comments
29. The Head has a role in taking responsibility for all necessary managerial activities	1	2	3	*Impossible unless "necessary" is defined *Delegation
30. The Head has to set division wide goals so that all departments are pointing in the same direction	1	2	3	
31. The Head has to nurture all staff members, by knowing the needs and dreams of each individual and to work with them, together with other leaders, to ensure that the greatest potential is achieved	1	2	3	*Too wide a task to contemplate
32. The Head has to invest in new staff members, by ensuring that mentoring and support systems are in place	1	2	3	*Includes potential of those postgraduate students that should be recognised and nurtured (*Delegate to HR and other senior academics *Too wide a task to contemplate
33. The Head has to secure essential resources to service students, faculty and communities well	1	2	3	
34. Any further comment on the roles?				
*If the roles do not effect the core functions of the department, it becomes preferal.				
*The Head has to delegate to support staff				

SECTION D				
LEADERSHIP QUALITIES				
This section deals with the leadership qualities that the Head of School should have				
Please indicate how important each of the following leadership qualities is according to the following scale				
1 = Essential				
2 = Useful				
3 = Unnecessary				
Please mark the appropriate square with an X. Only mark one option.				
In compiling the framework for leadership and management, the LEADERSHIP QUALITIES that a Head of a School has to have, should be identified				
	Essential	Useful	Unnecessary	Comments
35. To function in a leadership position the Head has to				
(a.) understand the academic context and environment	1	2	3	
(b.) have knowledge on leadership styles	1	2	3	
(c.) have knowledge on leadership theory				*Some of this could be to theoretical
(d.) know the difference between leadership and management	1	2	3	
36. The Head has to have certain personal qualities such as				
(a.) integrity	1	2	3	*Has to be a role model
(b.) high standards of ethics	1	2	3	
(c.) the ability to move beyond self-interest to focus on the larger goals of the School/Institution	1	2	3	
37. The Head has to be able to lead change, by				
(a.) knowing the concepts and principles of change management	1	2	3	
(b.) understanding strategic planning (objective and target setting, measuring and evaluating success)	1	2	3	
(c.) understanding flexibility and adaptability in change management	1	2	3	
(d.) analysing change and its effects on individuals	1	2	3	*Could be overdone

	Essential		Useful	Unnecessary	Comments
(e.) dealing with pressure and stress (self and others)	1	2	3		
(f.) understanding the importance of communication during change	1	2	3		
38. The Head has to be able to lead people by					
(a.) empowering people	1	2	3		
(b.) delegate "with fulfilment"	1	2	3		
(c.) successful staff development	1	2	3		
(d.) managing difficult situations (disciplinary, grievance, etc.)	1	2	3		
39. The Head has to be able to create and develop effective teams by					
(a.) having knowledge on team roles and functions	1	2	3		
(b.) understanding group dynamics	1	2	3		
(c.) having skills for team creation and development	1	2	3		
(d.) having knowledge of personality types and team interactions	1	2	3		
40. The Head has to have influencing skills by					
(a.) understanding influence and behavioural effects	1	2	3		
(b.) understanding the skills and qualities of the "influential" person	1	2	3		
(c.) understanding that empathy is the key to influence	1	2	3		*Could be overdone. Even if empathy exists - may not deviate focus
(d.) good communication	1	2	3		*The most essential quality along with a positive attitude
41. The Head has to have the ability to deal with challenging situations by					
(a.) identifying reasons behind conflict	1	2	3		
(b.) knowing conflict resolution	1	2	3		
(c.) having influencing and communication skills	1	2	3		
(d.) understanding the role of personality differences in creating and resolving conflict	1	2	3		

42. The Head has to have the ability to make decisions and take risks by				Comments
	Essential	Useful	Unnecessary	
(a.) developing analytical skills	1	2	3	
(b.) understanding and solving problems	1	2	3	
(c.) creating solutions	1	2	3	
(d.) making judgements	1	2	3	
(e.) taking decisions	1	2	3	
(f.) risk analysis	1	2	3	
43. The Head has to set vision and values				
(a.) by defining and determining a vision and values	1	2	3	*Together with Management team. *This is a team involvement
(b.) by understanding personal belief and value systems	1	2	3	
(c.) translating vision into action	1	2	3	
44. The Head has to manage time and priorities in order to				
(a.) manage own time effectively	1	2	3	
(b.) prioritise and balance activities	1	2	3	
(c.) manage others' time effectively	1	2	3	*Sometimes difficult task. (*He/she can only guide, not manage)(*their own responsibility
45. The Head has to have good communication skills to				
(a.) manage meetings effectively	1	2	3	*Very important.
(b.) develop assertiveness skills	1	2	3	
(c.) develop negotiation skills (persuading, influencing)	1	2	3	
(d.) motivate others	1	2	3	
(e.) develop presentation skills	1	2	3	
(f.) give and receive feedback	1	2	3	
46. The Head has to have the ability of self awareness to				
(a.) understanding own strengths, weaknesses, motivation and stresses	1	2	3	
(b.) knowing own learning styles	1	2	3	
(c.) own emotional intelligence (EQ) and understanding others	1	2	3	
(d.) developing credibility and earning respect	1	2	3	
(e.) stressproofing self	1	2	3	

47. The Head has to have the ability to set own career planning and management goals by				Comments
	Essential	Useful	Unnecessary	
(a.) doing a full appraisal/review	1	2	3	*Difficult to find the time to do this - but it is essential
(b.) personal planning	1	2	3	*in work environment?
(c.) professional planning	1	2	3	
48. The Head must have the ability to foster the following characteristics of transformational leadership				
(a.) Individualised consideration: gives personal attention to others, making each individual feel uniquely valued	1	2	3	*True transformational leaders are few and far between.
(b.) Intellectual stimulation: actively encourages a new look at old methods, stimulates creativity, encourages others to look at problems and issues in a new way	1	2	3	*It is only limited to a very few gifted, talented and natural leaders to possess these qualities
(c.) Inspirational motivation: increase optimism and enthusiasm, communicates high expectations, points out possibilities not previously considered	1	2	3	
(d.) Idealized influence: provides vision and a sense of purpose; elicits respect, trust and confidence from followers	1	2	3	
49. The Head of a School has to demonstrate the following competencies				
(a.) provide clarity about strategic direction	1	2	3	
(b.) focus on delivery	1	2	3	
(c.) build relationships	1	2	3	
(d.) ensure commitment	1	2	3	
(e.) develop self-awareness	1	2	3	*Too specific a goal
(f.) possess personal convictions	1	2	3	
(g.) develop people	1	2	3	

50. Characteristics that differentiate a good/ excellent leader				
	Essential		Useful	Comments
	1	2	3	
(a.) good personal strength	1	2	3	
(b.) effective delegater	1	2	3	
(c.) connected at higher levels	1	2	3	*However, it is a great asset if it exists
(d.) gives feedback particularly on positive performance	1	2	3	*Critical to do this. Otherwise individuals feel 'used'
(e.) align people with him/her	1	2	3	
(f.) consultative	1	2	3	
(g.) gets people on board	1	2	3	
(h.) more likely to be flexible on principles	1	2	3	* Not sure of this. Is it principles or ideas. Difficult to change principles (*Principles are not flexible (*Dangerous
(i) not afraid to take difficult decisions	1	2	3	
(j) works to long-term objectives	1	2	3	
(k.) clear vision	1	2	3	
(l.) innovator	1	2	3	
(m.) demonstrates added value of leader	1	2	3	
(n.) manages by consent	1	2	3	*Where appropriate (*not possible in absolute sense (*not to dangerous
(o.) achieves through empowering other people	1	2	3	
(p.) welcomes questioning/discussion	1	2	3	
(q.) will regard people he/she manages as equals	1	2	3	
(r.) sticks head out	1	2	3	*Risking is inevitable
(s.) deals with serious problems	1	2	3	
(t.) understands complex issues	1	2	3	
(u.) good at finishing things	1	2	3	*Very NB
51. Any further comment on the leadership qualities?				
<p>*Impossible to do all this but we have to try!!</p> <p>*If you require all of these in a leader, you will have to go and look for them in heaven.</p> <p>*We have to limit the requirements to an acceptable range, thus only the 1's.</p>				

SECTION E				
MANAGERIAL KNOWLEDGE, SKILLS AND COMPETENCIES				
This section deals with the managerial knowledge, skills and competencies that the Head of School should have				
Please indicate how important each of the following statements on managerial knowledge, skills and competencies is according to the following scale				
1 = Essential				
2 = Useful				
3 = Unnecessary				
Please mark the appropriate square with an X. Only mark one option.				
In compiling the framework for leadership and management, the MANAGERIAL KNOWLEDGE, SKILLS AND COMPETENCIES that a Head of a School have, should be identified				
	Essential	Useful	Unnecessary	Comments
52. The head has to have the following knowledge, skills and competencies concerning:				
Budgeting and resources				
(a.) knowledge of internal and external sources of funds	1	2	3	
(b.) knowledge of policies and procedures for obtaining external funding	1	2	3	*Could delegate if competent staff available
(c.) knowledge of institutional and governing board policies and guidelines concerning budgetary operations	1	2	3	
(d.) knowledge of space (rooms) and procedures needed to schedule courses	1	2	3	*Should happen at programme (course) management level. *Delegate
(e.) skill in preparing and managing school program budgets	1	2	3	*Should happen at programme (course) management level.
(f.) ability to encourage faculty members to submit proposals for external contracts and grants	1	2	3	*HOD responsibility
(g.) ability to set priorities for use of program resources (e.g. travel funds)	1	2	3	

	Essential Useful Unnecessary			Comments
(h.) ability to plan for long-range financing of special programmes and activities	1	2	3	*Can be delegated but must be knowledgeable
(i.) ability to obtain external funding for the School	1	2	3	*Most should be executed at Organizational Unit (Department, Centre, etc.) level.
(j.) ability to read and interpret budget reports	1	2	3	
(k.) overall issues related to budgeting and resources in general	1	2	3	
53. The Head has to have the following knowledge concerning: Legal issues				
(a.) knowledge of procedures in dealing with sexual harassment	1	2	3	
(b.) knowledge of records and documents to be maintained	1	2	3	*Detail to be maintained at Administrative Support level. Manager must have access to this knowledge base. (*Delegate
(c.) knowledge of procedures for dealing with disability issues	1	2	3	*Delegate
(d.) knowledge of procedures pertaining to the promotion and tenure of faculty	1	2	3	
(e.) knowledge of procedures to recruit and select students	1	2	3	
(f.) knowledge of procedures for applying the university's affirmative action policy	1	2	3	
(g.) knowledge of procedures to recruit and select faculty	1	2	3	
(h.) knowledge of intellectual property rights	1	2	3	*Detail to be maintained at Research Support level. Manager must have access to this knowledge base.
(i.) knowledge of whom to contact concerning legal issues	1	2	3	

	Essential			Useful			Unnecessary			Comments
(j.) knowledge of procedures concerning matters of confidentiality	1	2	3							*This one covers for most of the others
(k.) knowledge of procedures concerning the leave policies	1	2	3							*Detail to be maintained at Human Resource Management level. *Manager must have access to this knowledge base.
(l.) overall knowledge of legal issues in general	1	2	3							
54. The Head has to have the following knowledge skills and competencies concerning: faculty (staff) issues										
(a.) knowledge of policies and procedures concerning faculty grievances	1	2	3							
(b.) knowledge of policies and procedures surrounding faculty service termination	1	2	3							*Detail to be maintained at Human Resource Management level. *Manager must have access to this knowledge base. (*HR should take over
(c.) knowledge of faculty recruitment policies and procedures	1	2	3							
(d.) knowledge of faculty selection policies and procedures	1	2	3							
(e.) skill in reducing, resolving, and preventing conflict among faculty members	1	2	3							
(f.) ability to assign faculty responsibilities (e.g. teaching, research, committee work, etc.)	1	2	3							
(g.) ability to evaluate faculty service contributions	1	2	3							*Most should be executed at Organizational Unit (Department, Centre, etc.) level.
(h.) ability to deal with and provide feedback for unsatisfactory faculty performance	1	2	3							
(i.) ability to evaluate faculty research productivity	1	2	3							*Detail to be managed at Research Support and at Organizational. Unit (Department, Centre, etc.) level. Manager must have access to this expertise base

	<div>Essential</div> <div>Useful</div> <div>Unnecessary</div>			Comments
(j.) ability to aid faculty in preparation for evaluation (e.g. annual, mid-career, and tenure)	1	2	3	
(k.) ability to evaluate teaching within the school programmes	1	2	3	*Should happen at programme (course) management level. *Does not have to be the expert
(l.) overall issues related to faculty in general	1	2	3	*Does not have to be the expert
55. The Head has to have the following knowledge, skills and competencies concerning: External communication				
(a.) knowledge of relevant outside constituencies	1	2	3	
(b.) ability to communicate School/ programme needs to upper-level administrators	1	2	3	
(c.) ability to promote the Schools/ programme's image and reputation	1	2	3	
(d.) ability to develop relations and coordinate activities with outside groups	1	2	3	
(e.) ability to communicate with other schools/programmes about mutual interests	1	2	3	
(f.) ability to communicate effectively with top management	1	2	3	
(g.) overall issues related to external communication in general	1	2	3	

56. The Head has to have the following knowledge, skills and competencies concerning: Internal communications				
	Essential	Useful	Unnecessary	Comments
(a.) ability to convey the university policies, procedures and actions to the departments/programmes	1	2	3	
(b.) ability to keep members informed of institutional/School/programme plans, activities and expectations	1	2	3	
(c.) ability to foster communication of ideas toward improving the School/programmes	1	2	3	
(d.) ability to convey performance criteria and the evaluative process to faculty and students	1	2	3	
(e.) overall issues related to internal communication in general	1	2	3	
57. The Head has to have the following knowledge, skills and competencies concerning: Student issues				
(a.) knowledge of policies and procedures regarding student grievances	1	2	3	
(b.) knowledge of faculty willingness and ability to teach courses	1	2	3	*Delegate *Can find out from others
(c.) ability to plan, evaluate and update School/programme/curriculum	1	2	3	*This should be seen as a process that needs management and not a personal function of the manager.(2) delegate
(d.) ability to project courses based on student needs and interests	1	2	3	*Should happen at programme (course) management level. *Delegate
(e.) ability to monitor graduate student progress	1	2	3	*Delegate (*delegate *Should happen at programme (course) management level.
(f.) ability to advise and counsel students concerning academic issues	1	2	3	*Delegate (*Delegate *Should happen at programme (course) management and organizational unit (Dept.) level.

	Essential			Useful			Unnecessary			Comments
(g.) ability to advise and counsel students concerning careers	1	2	3							*Delegate (*Delegate *Should happen at programme (course) management and organizational unit (Dept.) level.
(h.) ability to monitor student scholarships and awards	1	2	3							*Delegate (*Delegate *Should happen at programme (course) management and organizational unit (Dept.) level.
(i.) ability to communicate policies and procedures to students	1	2	3							
(j.) ability to develop student recruitment programmes	1	2	3							*But does not have to do implementation - delegate
(k.) overall issues related to students in general	1	2	3							
58. The Head has to have the following knowledge, skills and competencies concerning: School/ programme administration										
(a.) knowledge of School/programme/ university deadlines	1	2	3							*Most should be executed at Organizational Unit (Department, Centre, etc.) level. (*Delegate
(b.) ability to establish, prioritise and meet deadlines	1	2	3							*Most should be executed at Programme Management and Organizational Unit (Department, Centre, etc.) level. (*Delegate
(c.) ability to establish School/ programme committees	1	2	3							*Detail to be managed at Research Support and at Organizational Unit (Department, Centre, etc.) level. Manager must have access to this expertise base.
(d.) ability to develop and implement long-range initiatives	1	2	3							*Detail to be managed at Research Support and at Organizational Unit (Department, Centre, etc.) level. Manager must have access to this expertise base.
(e.) ability to determine what the School/ programme should provide to the university and community	1	2	3							*Detail to be managed at Research Support and at Organizational Unit (Department, Centre, etc.) level. Manager must have access to this expertise base.
(f.) ability to prepare for accreditation and evaluation	1	2	3							*In cooperation with staff. *Delegate detailed staff
(g.) ability to delegate administrative responsibilities	1	2	3							
(h.) overall issues related to School/ programme administration in general	1	2	3							

59. The Head has to have the following knowledge, skills and competencies concerning: Professional development within the School/programme				
	Essential	Useful	Unnecessary	Comments
(a.) ability to foster the development of individual faculty members' talents and interests	1	2	3	*Delegate *Most should be executed at Organizational Unit(Department, Centre, etc) level
(b.) ability to promote high quality teaching in the School/programmes	1	2	3	*Most should be executed at Programme Management and Organizational Unit (Department, Centre, etc) level
(c.) ability to promote faculty research	1	2	3	*Detail to be managed at Research Support and at Organizational Unit level
(d.) ability to encourage faculty members to participate in professional meetings	1	2	3	*Delegate *It should not be necessary to encourage a true professional. *Detail to be managed at Research Support and at Organizational Unit level
(e.) ability to encourage faculty grantmanship	1	2	3	*Detail to be managed at Research Support and at Organizational Unit level
(f.) ability to provide professional development opportunities for faculty and staff	1	2	3	
(g.) ability to maintain faculty morale	1	2	3	
(h.) overall issues related to professional development within the School/programmes in general	1	2	3	*too vague
60. The Head has to have the following knowledge, skills and competencies concerning: Personal professional development				
(a.) skill in decision making under ambiguous circumstances	1	2	3	
(b.) skill in adopting different leadership styles to fit varying situations	1	2	3	
(c.) time management skills for performing School tasks	1	2	3	
(d.) interpersonal skills	1	2	3	

	Essential Useful Unnecessary			Comments
(e.) leadership skills	1	2	3	
(f.) ability to represent the School/ programmes at professional meetings/societies	1	2	3	
(g.) ability to remain current with academic discipline	1	2	3	*Does not have to retain his/her discipline academic abilities (*Should stay current with at least a core/specialist component(3) If he has to return to offer term appointment
(h.) ability to manage multiple roles as Head (e.g. teaching, administra- tion, etc.)	1	2	3	
(i.) overall issues related to professional development of Head in general	1	2	3	*Too vague.
61. The Head has to have the following knowledge, skills and competencies concerning: Office administration				
	Essential Useful Unnecessary			Comments
(a.) knowledge of policies and procedures for promoting and terminating the services of staff	1	2	3	*HR can handle
(b.) knowledge of policies and procedures for evaluating staff	1	2	3	
(c.) ability to manage School/ programme facilities, equipment and inventory	1	2	3	*Delegate
(d.) ability to supervise clerical and technical staff in office	1	2	3	*The size of the School will determine the direct involvement at this level. *Delegate
(e.) ability to process paperwork and answer correspondence efficiently	1	2	3	*Delegate
(f.) overall issues related to office management in general	1	2	3	*Delegate *Too vague.

62. Any further comment on the managerial knowledge, skills and competencies?

*The focus should be on **core** academic roles and functions otherwise

You are looking for a "superperson".

*Bring in a senior person with these skills and expertise to assist Dean/Head of School

SECTION F				
PERFORMANCE AREAS				
This section deals with the performance areas which have to be addressed in a School of Medicine				
Please indicate how important each of the following performance areas is according to the following scale				
1 = Essential				
2 = Useful				
3 = Unnecessary				
Please mark the appropriate square with an X. Only mark one option.				
In compiling the framework for leadership and management, the PERFORMANCE AREAS have to be identified				
63. The following performance areas must be included in the framework				
	<div>Essential</div> <div>Useful</div> <div>Unnecessary</div>			Comments
(a.) strategic management and planning	1	2	3	
(b.) budgeting and resource allocation	1	2	3	
(c.) programme and curriculum development	1	2	3	
(d.) external communication	1	2	3	
(e.) internal communication	1	2	3	
(f.) legal issues	1	2	3	
(g.) student training	1	2	3	*Delegate
(h.) postgraduate education	1	2	3	*Delegate
(i.) research	1	2	3	*Delegate
(j.) service delivery	1	2	3	
(k.) faculty affairs	1	2	3	
(l.) student affairs	1	2	3	*This should be limited to the academic affairs and not the social.
(m.) staffing	1	2	3	
(n.) community service	1	2	3	*Unless this means service to the hospital, then it becomes a 1.
(o.) administration	1	2	3	
64. Any further comment on performance areas?				
*This must be done by someone senior in management - not necessarily the Head/Chair/Dean				
*All of the above have to be managed, but of course is too much for one person - there must be others with the necessary level of seniority & skills, to whom some of the responsibilities can be delegated. a,d,e and k must be done by Head/Chair/Dean of School/Faculty				

SECTION G**MANAGEMENT STRUCTURES**

This section deals with the management structures that must be in place in order to manage the School

Please indicate how important each of the following management structures is for inclusion in a framework for leadership and management according to the following scale

1 = Essential

2 = Useful

3 = Unnecessary

Please mark the appropriate square with an X. Only mark one option.

In compiling the framework for leadership and management, the following MANAGEMENT STRUCTURES must be included

65. There has to be a line structure of leaders and managers in the Faculty consisting of				
	Essential 1	Useful 2	Unnecessary 3	Comments
(a.) dean				
(b.) vice-dean(s)				*Associate Dean recommended (*Rather Vice Dean: Student Affairs
(c.) associate dean(s)				*Depends on title or role (*Depends on size of faculty & size of teaching platform
(d.) heads of school(s)				
(e.) heads of departments				
(f.) programme directors				
(g.) heads of divisions				*Depends on structures in place
66. There has to be a decentralised management structure in the Faculty consisting of				
(a.) faculty management structure (or committee consisting of deans, heads of schools)				
(b.) executive committee				
(c.) faculty board committee				
(d.) representatives on other university committees				
(e.) organisational committees				
(f.) ad hoc work group committees				
67. There has to be desentralised units in the Faculty				
(a.) office of the management				
(b.) academic departments				
(c.) support departments, divisions or units				
(d.) administrative divisions and offices				

68. Any further comment on management structures?

*To much structure causes overwhelming burequcracy which leads to too many **chiefs** and no Indians, consequently the tail wags the dog and you sit with a situation dominating in South African Higher Education where 60% of funding goes to the maintenance of bureaucracies which in most cases are useless, and 40% going for the **core** academic function of the institution.

SECTION H				
INFRASTRUCTURE AND FACILITIES				
This section deals with the infrastructure and facilities that must be in place in order to manage the School				
Please indicate how important each of the following infrastructural components and facilities are for inclusion in a framework for leadership and management according to the following scale				
1 = Essential				
2 = Useful				
3 = Unnecessary				
Please mark the appropriate square with an X. Only mark one option.				
In compiling the framework for leadership and management, the following INFRASTRUCTURAL COMPONENTS AND FACILITIES have to be addressed				
69. The following have to be in place, fully equipped and functional				
	<div>Essential</div> <div>Useful</div> <div>Unnecessary</div>			Comments
(a.) main buildings for departments, offices, etc.	1	2	3	
(b.) laboratories	1	2	3	*For training?
(c.) clinical buildings and facilities for training	1	2	3	*Mostly provided in service environment
(d.) library	1	2	3	
(e.) skills unit	1	2	3	
(f.) computer centre	1	2	3	
(g.) multimedia centre	1	2	3	*Should be interwoven with both skills unit and computer centre.
(h.) lecture halls	1	2	3	
(i.) group venues	1	2	3	*Including small group venues
(j.) meeting venues	1	2	3	
(k.) self study venues	1	2	3	
(l.) restrooms	1	2	3	*Often linked to Cafeteria
(m.) staff room(s)	1	2	3	*Often linked to Departments
(n.) student cafeteria	1	2	3	
70. Any further comment on infrastructure and facilities?				
*If the teaching platform is very spread out geographically some of the above mentioned facilities will have to be duplicated applicable on c,h,i,k,l,m and n				
*The core function of an academic institution is teaching, learning/research				

SECTION I**ASPECTS THAT HAS TO BE ADDRESSED IN A FRAMEWORK FOR LEADERSHIP AND MANAGEMENT**

This section deals with the aspects that must be addressed in a framework for academic leadership and management

Please indicate how important each of the following aspects is for inclusion in a framework for leadership and management according to the following scale

1 = Essential

2 = Useful

3 = Unnecessary

Please mark the appropriate square with an X. Only mark one option.

In compiling the framework for leadership and management, the following ASPECTS have to be addressed

71. Aspects that should be included in the academic leadership and management framework for a School of Medicine in South Africa

	Essential	Useful	Unnecessary	Comments
(a.) challenges that management of Medical Schools face	1	2	3	*What about these? Must they exist, be identified?
(b.) strategies to meet these challenges	1	2	3	
(c.) role that the Head of the School has to play	1	2	3	
(d.) leadership qualities of the Head of the School	1	2	3	
(e.) knowledge, skills and competencies that the Head of the School must have	1	2	3	
(f.) performance areas that warrant attention in a School	1	2	3	
(g.) management structures that must be in place within the School	1	2	3	
(h.) infrastructure and facilities that must be available in the School	1	2	3	

72. Any further comment on aspects that must be addressed in a framework for leadership and management? Please add and elaborate

*Very comprehensive

*The focus has to be on the core functions.

APPENDIX F

**Accompanying letter and Delphi questionnaire to experts:
Round 2**

6 OCTOBER 2004

DELPHI QUESTIONNAIRE

ROUND 2

A Framework for Leadership and Management of a Medical School in South Africa

Dear Delphi Participant

Once again I would like to thank you for your willingness to participate in this Delphi process and the feedback that you gave regarding round one of the process.

I have already sent you feedback on the first round. I trust that you have received it and that it was of interest to you.

Attached please find the 2nd round of the Delphi process. As indicated earlier, I have not included any of the questions of the questionnaire on which consensus was reached in the first round. You will therefore see that this questionnaire for the 2nd round is a much shorter one than the one of the first round.

Purpose of the questionnaire of Round 2:

The questionnaire in this round is structured in such a way that it can determine your opinion regarding all the statements (criteria) on which consensus was not reached during the first round. This questionnaire contains the numbered statements and provides opportunities for reconsideration and additional comments and suggestions. All categories, subcategories and statements are numbered exactly the same as in the first round.

Instructions for completion of the second round:

As mentioned above, the attached questionnaire for round two only contains those statements on which consensus was not reached in round one. For the purpose of this Delphi process consensus is defined according to the literature of Larson and Wissman (2000:45) where 80% of the participants vote on a specific item within the same value of the three-point scale. All comments received during round one was included in the feedback sent out earlier, and are not repeated now.

Please use the following scale again:

- 1 = Essential (Criterion must definitely be included in the framework)
 2 = Useful (It does not matter whether this criterion is included in, or left out of the framework)
 3 = Unnecessary (This criterion must definitely **not be included** in the framework)

Responses of all participants are included in a document which is attached to this letter and questionnaire. In this attached document an indication is given of the percentage of participant that has indicated the specific value. Your own response in round one is also indicated: e.g.

	Essential	Useful	Unnecessary	Comments
(b.) vice-dean(s)	1	2	3	80 20 0 2

Interpret as follows: As far as this statement was concerned; 80% of the participants to round 1 indicated *essential* as their preference; 20% indicated *useful* as their preference; and no-one indicated *unnecessary* as their choice. Your choice in round one was for *useful* (=2) (***each participant receives a personalised form that only indicates that specific participant's choice***). This is done in order to enable you to easily remember what you actually indicated in round one.

Round number two enables you to reconsider your opinion on a specific statement, in light of the opinions of the other participants. During this second round, you are allowed to change your opinion if you feel like doing so. You can therefore indicate a different level of importance to any of the statements, should you think it appropriate.

Please indicate your choice for the statements in round two by once again placing an X over the number of your choice. You also have an opportunity for any comment that you feel necessary. **Please answer all questions in the questionnaire.** We are aiming at obtaining consensus on each statement throughout the questionnaire.

Please keep in mind that your response stays anonymous and confidential to all other participants and will be known only by the researcher.

The completion of this second round questionnaire should not take you longer than $\pm 20 - 30$ minutes at the most.

If possible I would like to receive feedback on this round not later than 20 October 2004 please.

Once again thank you for your willingness to be of assistance in this research.

Kind regards.

Pieter Nel

Student number: 2001108618

SECTION A				APPENDIX F-2
CHALLENGES				
This section deals with challenges that face the management of Medical Schools in Tertiary Education Institutions				
Please indicate how important each of the following challenges is according to the following scale:				
1 = Essential				
2 = Useful				
3 = Unnecessary				
Please mark the appropriate block with an X. Only mark one option.				
In compiling the leadership and management framework, recognition must be taken of CHALLENGES that might be faced by the management of Schools				
1. The Management will have to bear knowledge of the multiple impacts of				
		Essential	Useful	Unnecessary
(c.) global forces that have an influence on the management's work/ duties and the viability and standing of the school	1	2	3	Comments
3. The Management will have to manage externally imposed accountability processes on the				
(a.) fiscal terrain	1	2	3	
5. The Management will have to manage technology which impact on				
(c.) a wider access to educational opportunities	1	2	3	
(g.) the attitude of staff members which are pressured by the rapidity of technological changes	1	2	3	
6. The Management will have to manage the diversity of shifting demographics which include				
(a.) age of student population	1	2	3	
(e.) multiculturalism	1	2	3	

7. The Management will have to manage faculty who are ill equipped to meet student and system demands, due to				
	Essential	Useful	Unnecessary	Comments
(e.) mismatches in campus climate that are politically correct but not conducive to learning for minority groups	1	2	3	
(f.) mismatches in the demand for technologically sophisticated programmes and the capacity of school to provide it	1	2	3	
(g.) mismatches in existing faculty that do/do not spark(demand) new programme initiatives	1	2	3	
(h.) mismatches between student's expectations (whether what they learn will aid them in finding jobs) and staff's instructional mission (in terms of what students know)	1	2	3	
9. The Management will have to fulfill an active role in the recruitment of quality academics and postgraduate students with a view to				
(c.) obtain external research funds	1	2	3	
10. The Management will have a more direct and expanding role in marketing and communication in order to				
(c.) foster public opinion	1	2	3	
(d.) demonstrate the value added to local communities	1	2	3	

11. The Head of the School will have to function as an executive manager by				
	<div>Essential</div> <div>Useful</div> <div>Unnecessary</div>			Comments
(b.)representing not only his/her School on a professional level, but foster the Professional Board's views and characteristics in his School	1	2	3	
(c.) having knowledge and good relationships with new governance structures in Higher Education	1	2	3	
13. Any further comments on challenges?				

SECTION B				
STRATEGIES				
This section deals with strategies that Management can use to meet challenges				
Please indicate how important each of the following strategies is according to the following scale:				
1 = Essential				
2 = Useful				
3 = Unnecessary				
Please mark the appropriate square with an X. Only mark one option.				
In compiling the leadership and management framework, cognisance must be taken of STRATEGIES that can be used to meet the challenges that Management have to face				
				Comments
	Essential	Useful	Unnecessary	
14. Creating a diverse culture by:				
(b.) fostering a broader multicultural understanding	1	2	3	
(c.) preparing people to function in a more diverse workforce	1	2	3	
(f.) changing the culture of the school through				
* assessing the current state (policies, procedures, psychological climate, behaviours of people)	1	2	3	
* collecting and analysing data on the attitudes and perceptions of staff and students	1	2	3	
(g.) changing staff profile through the selection of qualified people who bring in diverse perspectives	1	2	3	
(h.) changing management systems through				
* a mission statement that explicitly address diversity	1	2	3	
* introducing modes of learning (including learning materials) that foster diversity	1	2	3	

15. Knowing the legal environment by:				
(a.) fostering antidiscrimination in practice by providing environmental climates in which all members feel comfortable, safe and valued through				
	<div style="display: flex; justify-content: space-around; align-items: center;"> <div style="transform: rotate(-45deg); transform-origin: center;">Essential</div> <div style="transform: rotate(-45deg); transform-origin: center;">Useful</div> <div style="transform: rotate(-45deg); transform-origin: center;">Unnecessary</div> </div>			Comments
* creation of equal opportunities	1	2	3	
* hiring and promotion decisions	1	2	3	
(b.) introducing policies and procedures empower and inform individuals about sexual harassment in the following areas				
* gender harassment (generalised sexist behaviour and remarks intended to insult, degrade or convey sexist attitudes)	1	2	3	
* seductive behaviour (sexual advances that are unwanted, inappropriate and offensive)	1	2	3	
* sexual coercion (threat of punishment by sexual solicitation)	1	2	3	
(c.) Understanding "academic freedom" as defined by the legal system according to the "rights and responsibilities of the teaching profession". They can take the following actions				
* deciding whether the interest of the individual in engaging in an activity outweighs the interest of the School in preventing it	1	2	3	
* answering the question of whether the School would have taken adverse action against the faculty member even without the activity being involved	1	2	3	

(d.) fostering contractual relationship with students by				
	<div>Essential</div> <div>Useful</div> <div>Unnecessary</div>			Comments
* keeping faculty and students in compliance with both written and spoken "promises" in order to avoid potential legal concerns	1	2	3	
(e.) fostering good ethical practice by expecting				
School members to conduct themselves in a certain way and find certain ways unacceptable. This can be done by				
* Management that can create ethical practice by entering into dialogue with staff and students about what constitutes acceptable behaviour	1	2	3	
17. Strategically manage and secure financial resources by				
(a.) accessing new funding and development opportunities				
* by communicating in advance	1	2	3	
* by applying for such funding	1	2	3	
* supporting applications	1	2	3	
(b.) fiscal management				
* establishing expenditure targets and strategies	1	2	3	
* adjusting budgets	1	2	3	
* searching for most cost-effective ways of delivering services	1	2	3	
(c.) resource procurement - refers to soliciting unearned gifts or engaging in revenue-generating activities that lie outside the normal of the School (donations, fundraising)	1	2	3	

18. Becoming technologically connected with a view to				
	<div>Essential</div> <div>Useful</div> <div>Unnecessary</div>			Comments
(b.) obtaining exposure to the newest technologies for communication and research	1	2	3	
20. Seek and maintain professional and personal balance by				
(a.) applying time and stress management				
* when is most productive time	1	2	3	
* do things that add meaning and quality to life	1	2	3	
(b.) applying boundary management				
(c.) finding a balance between priorities at work and home				
* set time aside for scholarly projects	1	2	3	
21. Nurturing the integrity of the School i.e. the success it has in building alliances with people and organisations that fulfill recognisable public needs by				
(a.) reconnecting with the community through				
* campus-community partnerships	1	2	3	
(c.) redefining faculty (staff) work, through				
* evaluating performance by students, peer reviews and self-reviews	1	2	3	
(e.) refocussing departmental chairs/heads through				
* making posts available to assist the chair	1	2	3	
22. Any further comments on strategies?				

SECTION C				
ROLES				
This section deals with the different roles that the Head of a School has to fulfil				
Please indicate how important each of the following roles is according to the following scale				
1 = Essential				
2 = Useful				
3 = Unnecessary				
Please mark the appropriate square with an X. Only mark one option.				
In compiling the framework for leadership and management, the different ROLES of a Head of a School have to be identified				
	<div>Essential</div> <div>Useful</div> <div>Unnecessary</div>			Comments
28. The Head as "cultural representative" of the School has to personify the culture of the School and the Institution and has to influence employees' perceptions of their organisations' culture	1	2	3	
29. The Head has a role in taking responsibility for all necessary managerial activities	1	2	3	
31. The Head has to nurture all staff members, by knowing the needs and dreams of each individual and to work with them, together with other leaders, to ensure that the greatest potential is achieved	1	2	3	
32. The Head has to invest in new staff members, by ensuring that mentoring and support systems are in place	1	2	3	
33. The Head has to secure essential resources to service students, faculty and communities well	1	2	3	
34. Any further comment on the roles?				

SECTION D				
LEADERSHIP QUALITIES				
This section deals with the leadership qualities that the Head of School should have				
Please indicate how important each of the following leadership qualities is according to the following scale				
1 = Essential 2 = Useful 3 = Unnecessary				
Please mark the appropriate square with an X. Only mark one option.				
In compiling the framework for leadership and management, the LEADERSHIP QUALITIES that a Head of a School has to have, should be identified				
	Essential	Useful	Unnecessary	Comments
35. To function in a leadership position the Head has to				
(c.) have knowledge on leadership theory	1	2	3	
37. The Head has to be able to lead change, by				
(d.) analysing change and its effects on individuals	1	2	3	
40. The Head has to have influencing skills by				
(c.) understanding that empathy is the key to influence	1	2	3	
42. The Head has to have the ability to make decisions and take risks by				
(a.) developing analytical skills	1	2	3	
(f.) risk analysis	1	2	3	
43. The Head has to set vision and values				
(a.) by defining and determining a vision and values	1	2	3	
(b.) by understanding personal belief and value systems	1	2	3	
44. The Head has to manage time and priorities in order to				
(c.) manage others' time effectively	1	2	3	

48. The Head must have the ability to foster the following characteristics of transformational leadership				
	<div>Essential</div> <div>Useful</div> <div>Unnecessary</div>			Comments
(a.) Individualised consideration: gives personal attention to others, making each individual feel uniquely valued	1	2	3	
49. The Head of a School has to demonstrate the following competencies				
(e.) develop self-awareness	1	2	3	
50. Characteristics that differentiate a good/ excellent leader				
(a.) good personal strength	1	2	3	
(c.) connected at higher levels	1	2	3	
(h.) more likely to be flexible on principles	1	2	3	
(n.) manages by consent	1	2	3	
51. Any further comment on the leadership qualities?				

SECTION E				
MANAGERIAL KNOWLEDGE, SKILLS AND COMPETENCIES				
This section deals with the managerial knowledge, skills and competencies that the Head of School should have				
Please indicate how important each of the following statements on managerial knowledge, skills and competencies is according to the following scale				
1 = Essential				
2 = Useful				
3 = Unnecessary				
Please mark the appropriate square with an X. Only mark one option.				
In compiling the framework for leadership and management, the MANAGERIAL KNOWLEDGE, SKILLS AND COMPETENCIES that a Head of a School have, should be identified				
	Essential	Useful	Unnecessary	Comments
52. The head has to have the following knowledge, skills and competencies concerning:				
Budgeting and resources				
(b.) knowledge of policies and procedures for obtaining external funding	1	2	3	
(d.) knowledge of space (rooms) and procedures needed to schedule courses	1	2	3	
(e.) skill in preparing and managing school program budgets	1	2	3	
(f.) ability to encourage faculty members to submit proposals for external contracts and grants	1	2	3	
(g.) ability to set priorities for use of program resources (e.g. travel funds)	1	2	3	
(h.) ability to plan for long-range financing of special programmes and activities	1	2	3	
(i.) ability to obtain external funding for the School	1	2	3	
53. The Head has to have the following knowledge concerning: Legal issues				
(b.) knowledge of records and documents to be maintained	1	2	3	
(c.) knowledge of procedures for dealing with disability issues	1	2	3	
(h.) knowledge of intellectual property rights	1	2	3	
(k.) knowledge of procedures concerning the leave policies	1	2	3	

54. The Head has to have the following knowledge skills and competencies concerning: faculty (staff) issues				
	Essential	Useful	Unnecessary	Comments
(b.) knowledge of policies and procedures surrounding faculty service termination	1	2	3	
(g.) ability to evaluate faculty service contributions	1	2	3	
(i.) ability to evaluate faculty research productivity	1	2	3	
57. The Head has to have the following knowledge, skills and competencies concerning: Student issues				
(b.) knowledge of faculty willingness and ability to teach courses	1	2	3	
(c.) ability to plan, evaluate and update School/programme/curriculum	1	2	3	
(d.) ability to project courses based on student needs and interests	1	2	3	
(e.) ability to monitor graduate student progress	1	2	3	
(f.) ability to advise and counsel students concerning academic issues	1	2	3	
(g.) ability to advise and counsel students concerning careers	1	2	3	
(h.) ability to monitor student scholarships and awards	1	2	3	
(i.) ability to communicate policies and procedures to students	1	2	3	
58. The Head has to have the following knowledge, skills and competencies concerning: School/ programme administration				
(a.) knowledge of School/programme/ university deadlines	1	2	3	
(b.) ability to establish, prioritise and meet deadlines	1	2	3	

59. The Head has to have the following knowledge, skills and competencies concerning: Professional development within the School/programme				
	Essential	Useful	Unnecessary	Comments
(a.) ability to foster the development of individual faculty members' talents and interests	1	2	3	
(d.) ability to encourage faculty members to participate in professional meetings	1	2	3	
(e.) ability to encourage faculty grantmanship	1	2	3	
60. The Head has to have the following knowledge, skills and competencies concerning: Personal professional development				
(g.) ability to remain current with academic discipline	1	2	3	
61. The Head has to have the following knowledge, skills and competencies concerning: Office administration				
(a.) knowledge of policies and procedures for promoting and terminating the services of staff	1	2	3	
(c.) ability to manage School/programme facilities, equipment and inventory	1	2	3	
(d.) ability to supervise clerical and technical staff in office	1	2	3	
(e.) ability to process paperwork and answer correspondence efficiently	1	2	3	
(f.) overall issues related to office management in general	1	2	3	
62. Any further comment on the managerial knowledge, skills and competencies?				

SECTION F**PERFORMANCE AREAS**

This section deals with the performance areas which have to be addressed in a School of Medicine

Please indicate how important each of the following performance areas is according to the following scale

1 = Essential

2 = Useful

3 = Unnecessary

Please mark the appropriate square with an X. Only mark one option.

In compiling the framework for leadership and management, the PERFORMANCE AREAS have to be identified

63. The following performance areas must be included in the framework

Included in the framework					Comments
	Essential	Useful	Unnecessary		
(f.) legal issues	1	2	3		

64. Any further comment on performance areas?

--	--

SECTION G**MANAGEMENT STRUCTURES**

This section deals with the management structures that must be in place in order to manage the School

Please indicate how important each of the following management structures is for inclusion in a framework for leadership and management according to the following scale

1 = Essential

2 = Useful

3 = Unnecessary

Please mark the appropriate square with an X. Only mark one option.

In compiling the framework for leadership and management, the following MANAGEMENT STRUCTURES must be included

65. There has to be a line structure of leaders and managers in the Faculty consisting of				Comments
	Essential 1	Useful 2	Unnecessary 3	
(b.) vice-dean(s)	1	2	3	
(c.) associate dean(s)	1	2	3	
(g.) heads of divisions	1	2	3	
66. There has to be a decentralised management structure in the Faculty consisting of				
(d.) representatives on other university committees	1	2	3	
(f.) ad hoc work group committees	1	2	3	
68. Any further comment on management structures?				

SECTION H**INFRASTRUCTURE AND FACILITIES**

This section deals with the infrastructure and facilities that must be in place in order to manage the School

Please indicate how important each of the following infrastructural components and facilities are for inclusion in a framework for leadership and management according to the following scale

1 = Essential

2 = Useful

3 = Unnecessary

Please mark the appropriate square with an X. Only mark one option.

In compiling the framework for leadership and management, the following INFRASTRUCTURAL COMPONENTS AND FACILITIES have to be addressed

69. The following have to be in place, fully equipped and functional

	<div style="display: flex; justify-content: space-around; align-items: center;"> <div style="writing-mode: vertical-rl; transform: rotate(180deg);">Essential</div> <div style="writing-mode: vertical-rl; transform: rotate(180deg);">Useful</div> <div style="writing-mode: vertical-rl; transform: rotate(180deg);">Unnecessary</div> </div>			Comments
(l.) restrooms	1	2	3	
(m.) staff room(s)	1	2	3	

70. Any further comment on infrastructure and facilities?

SECTION I**ASPECTS THAT HAS TO BE ADDRESSED IN A FRAMEWORK FOR LEADERSHIP AND MANAGEMENT**

This section deals with the aspects that must be addressed in a framework for academic leadership and management

Please indicate how important each of the following aspects is for inclusion in a framework for leadership and management according to the following scale

1 = Essential

2 = Useful

3 = Unnecessary

Please mark the appropriate square with an X. Only mark one option.

In compiling the framework for leadership and management, the following ASPECTS have to be addressed

72. Any further comment on aspects that must be addressed in a framework for leadership and management?

Please add and elaborate

APPENDIX G

Results of Delphi Round 2

APPENDIX G

SECTION A

CHALLENGES

This section deals with challenges that face the management of Medical Schools in Tertiary Education Institutions

Please indicate how important each of the following challenges is according to the following scale:

1 = Essential

2 = Useful

3 = Unnecessary

Please mark the appropriate block with an X. Only mark one option.

In compiling the leadership and management framework, recognition must be taken of CHALLENGES that might be faced by the management of Schools

1. The Management will have to bear knowledge

of the multiple impacts of

	Essential	Useful	Unnecessary	Comments
(c.) <i>global</i> forces that have an influence on the management's work/duties and the viability and standing of the shool	1	2	3	If the trend now ends up being predominantly "1" - then my response can be changed back to 1

3. The Management will have to manage externally imposed accountability processes on the

(a.) fiscal terrain

5. The Management will have to manage technology which impact on

(c.) a wider access to educational opportunities
--

(g.) the attitude of staff members which are pressured by the rapidity of technological changes

6. The Management will have to manage the diversity of shifting demographics which include

(a.) age of student population

(e.) multiculturalism

7. The Management will have to manage faculty who are ill equipped to meet student and system demands, due to				
	Essential	Useful	Unnecessary	Comments
(e.) mismatches in campus climate that are politically correct but not conducive to learning for minority groups	1	2	3	
(f.) mismatches in the demand for technologically sophisticated programmes and the capacity of school to provide it	1	2	3	
(g.) mismatches in existing faculty that do/do not spark(demand) new programme initiatives	1	2	3	
(h.) mismatches between student's expectations (whether what they learn will aid them in finding jobs) and staff's instructional mission (in terms of what students know)	1	2	3	
9. The Management will have to fulfill an active role in the recruitment of quality academics and postgraduate students with a view to				
(c.) obtain external research funds	1	2	3	
10. The Management will have a more direct and expanding role in marketing and communication in order to				
(c.) foster public opinion	1	2	3	
(d.) demonstrate the value added to local communities	1	2	3	This can be delegated to marketing division and/or leave responsibility with Chairpersons of Schools of HOD's

11. The Head of the School will have to function as an executive manager by				
	<div>Essential</div> <div>Useful</div> <div>Unnecessary</div>			Comments
(b.)representing not only his/her School on a professional level, but foster the Professional Board's views and characteristics in his School	1	2	3	
(c.) having knowledge and good relationships with new governance structures in Higher Education	1	2	3	If this does not occur the Faculty will 'die'
13. Any further comments on challenges?				
Very difficult for management in any Faculty Dep understanding of expectations is essential				

SECTION B				
STRATEGIES				
This section deals with strategies that Management can use to meet challenges				
Please indicate how important each of the following strategies is according to the following scale:				
1 = Essential				
2 = Useful				
3 = Unnecessary				
Please mark the appropriate square with an X. Only mark one option.				
In compiling the leadership and management framework, cognisance must be taken of STRATEGIES that can be used to meet the challenges that Management have to face				
	Essential	Useful	Unnecessary	Comments
14. Creating a diverse culture by:				
(b.) fostering a broader multicultural understanding	1	2	3	
(c.) preparing people to function in a more diverse workforce	1	2	3	
(f.) changing the culture of the school through				
* assessing the current state (policies, procedures, psychological climate, behaviours of people)	1	2	3	Management must <u>interpret</u> analyses and plan accordingly
* collecting and analysing data on the attitudes and perceptions of staff and students	1	2	3	
(g.) changing staff profile through the selection of qualified people who bring in diverse perspectives	1	2	3	
(h.) changing management systems through				
* a mission statement that explicitly address diversity	1	2	3	Either are accepted - the value will depend on how much cognisance is taken of mission statement in strategy and implementation procedures
* introducing modes of learning (including learning materials) that foster diversity	1	2	3	

15. Knowing the legal environment by:				
(a.) fostering antidiscrimination in practice by providing environmental climates in which all members feel comfortable, safe and valued through				
	Essential	Useful	Unnecessary	Comments
* creation of equal opportunities	1	2	3	
* hiring and promotion decisions	1	2	3	
(b.) introducing policies and procedures empower and inform individuals about sexual harassment in the following areas				
* gender harassment (generalised sexist behaviour and remarks intended to insult, degrade or convey sexist attitudes)	1	2	3	
* seductive behaviour (sexual advances that are unwanted, inappropriate and offensive)	1	2	3	
* sexual coercion (threat of punishment by sexual solicitation)	1	2	3	
(c.) Understanding "academic freedom" as defined by the legal system according to the "rights and responsibilities of the teaching profession". They can take the following actions				
* deciding whether the interest of the individual in engaging in an activity outweighs the interest of the School in preventing it	1	2	3	
* answering the question of whether the School would have taken adverse action against the faculty member even without the activity being involved	1	2	3	

(d.) fostering contractual relationship with students by				
	<div>Essential</div> <div>Useful</div> <div>Unnecessary</div>			Comments
* keeping faculty and students in compliance with both written and spoken "promises" in order to avoid potential legal concerns	1	2	3	
(e.) fostering good ethical practice by expecting				
School members to conduct themselves in a certain way and find certain ways unacceptable. This can be done by				
* Management that can create ethical practice by entering into dialogue with staff and students about what constitutes acceptable behaviour	1	2	3	
17. Strategically manage and secure financial resources by				
(a.) accessing new funding and development opportunities				
* by communicating in advance	1	2	3	
* by applying for such funding	1	2	3	
* supporting applications	1	2	3	
(b.) fiscal management				
* establishing expenditure targets and strategies	1	2	3	
* adjusting budgets	1	2	3	
* searching for most cost-effective ways of delivering services	1	2	3	
(c.) resource procurement - refers to soliciting unearned gifts or engaging in revenue-generating activities that lie outside the normal of the School (donations, fundraising)	1	2	3	

18. Becoming technologically connected with a view to				
	<div>Essential</div> <div>Useful</div> <div>Unnecessary</div>			Comments
(b.) obtaining exposure to the newest technologies for communication and research	1	2	3	
20. Seek and maintain professional and personal balance by				
(a.) applying time and stress management				
* when is most productive time	1	2	3	
* do things that add meaning and quality to life	1	2	3	Depends on work load
(c.) finding a balance between priorities at work and home				
* set time aside for scholarly projects	1	2	3	Depends on work load
21. Nurturing the integrity of the School i.e. the success it has in building alliances with people and organisations that fulfill recognisable public needs by				
(a.) reconnecting with the community through				
* campus-community partnerships	1	2	3	
(c.) redefining faculty (staff) work, through				
* evaluating performance by students, peer reviews and self-reviews	1	2	3	
(e.) refocussing departmental chairs/heads through				
* making posts available to assist the chair	1	2	3	
22. Any further comments on strategies?				

SECTION C**ROLES**

This section deals with the different roles that the Head of a School has to fulfil

Please indicate how important each of the following roles is according to the following scale

1 = Essential

2 = Useful

3 = Unnecessary

Please mark the appropriate square with an X. Only mark one option.

In compiling the framework for leadership and management, the different ROLES of a Head of a School have to be identified

	<div>Essential</div> <div>Useful</div> <div>Unnecessary</div>			Comments
28. The Head as "cultural representative" of the School has to personify the culture of the School and the Institution and has to influence employees' perceptions of their organisations' culture	1	2	3	
29. The Head has a role in taking responsibility for all necessary managerial activities	1	2	3	May not have to everything required but is ultimately responsible Delegate
31. The Head has to nurture all staff members, by knowing the needs and dreams of each individual and to work with them, together with other leaders, to ensure that the greatest potential is achieved	1	2	3	Delegate
32. The Head has to invest in new staff members, by ensuring that mentoring and support systems are in place	1	2	3	
33. The Head has to secure essential resources to service students, faculty and communities well	1	2	3	Communities should see that their needsa are being considered. Very difficult. Communities can be very demanding
34. Any further comment on the roles?				

SECTION D				
LEADERSHIP QUALITIES				
This section deals with the leadership qualities that the Head of School should have				
Please indicate how important each of the following leadership qualities is according to the following scale				
1 = Essential				
2 = Useful				
3 = Unnecessary				
Please mark the appropriate square with an X. Only mark one option.				
In compiling the framework for leadership and management, the LEADERSHIP QUALITIES that a Head of a School has to have, should be identified				
	Essential	Useful	Unnecessary	Comments
35. To function in a leadership position the Head has to				
(c.) have knowledge on leadership theory	1	2	3	
37. The Head has to be able to lead change, by				
(d.) analysing change and its effects on individuals	1	2	3	
40. The Head has to have influencing skills by				
(c.) understanding that empathy is the key to influence	1	2	3	
42. The Head has to have the ability to make decisions and take risks by				
(a.) developing analytical skills	1	2	3	
(f.) risk analysis	1	2	3	
43. The Head has to set vision and values				
(a.) by defining and determining a vision and values	1	2	3	Team responsibility
(b.) by understanding personal belief and value systems	1	2	3	
44. The Head has to manage time and priorities in order to				
(c.) manage others' time effectively	1	2	3	Their responsibility

48. The Head must have the ability to foster the following characteristics of transformational leadership				
	<div>Essential</div> <div>Useful</div> <div>Unnecessary</div>			Comments
(a.) Individualised consideration: gives personal attention to others, making each individual feel uniquely valued	1	2	3	
49. The Head of a School has to demonstrate the following competencies				
(e.) develop self-awareness	1	2	3	
50. Characteristics that differentiate a good/ excellent leader				
(a.) good personal strength	1	2	3	
(c.) connected at higher levels	1	2	3	
(h.) more likely to be flexible on principles	1	2	3	Perhaps it is not the principle that should be flexible but the strategy
(n.) manages by consent	1	2	3	
51. Any further comment on the leadership qualities?				
<p>Unless individuals are trained - will be very difficult to achieve above</p> <p>Leadership is not being popular.</p>				

SECTION E				
MANAGERIAL KNOWLEDGE, SKILLS AND COMPETENCIES				
This section deals with the managerial knowledge, skills and competencies that the Head of School should have				
Please indicate how important each of the following statements on managerial knowledge, skills and competencies is according to the following scale				
1 = Essential				
2 = Useful				
3 = Unnecessary				
Please mark the appropriate square with an X. Only mark one option.				
In compiling the framework for leadership and management, the MANAGERIAL KNOWLEDGE, SKILLS AND COMPETENCIES that a Head of a School have, should be identified				
	Essential	Useful	Unnecessary	Comments
52. The head has to have the following knowledge, skills and competencies concerning:				
Budgeting and resources				
(b.) knowledge of policies and procedures for obtaining external funding	1	2	3	
(d.) knowledge of space (rooms) and procedures needed to schedule courses	1	2	3	
(e.) skill in preparing and managing school program budgets	1	2	3	If manager cannot do so has to have trained individuals in the Faculty or University that can assist
(f.) ability to encourage faculty members to submit proposals for external contracts and grants	1	2	3	
(g.) ability to set priorities for use of program resources (e.g. travel funds)	1	2	3	
(h.) ability to plan for long-range financing of special programmes and activities	1	2	3	
(i.) ability to obtain external funding for the School	1	2	3	
53. The Head has to have the following knowledge concerning: Legal issues				
(b.) knowledge of records and documents to be maintained	1	2	3	
(c.) knowledge of procedures for dealing with disability issues	1	2	3	Delegate - Human Resources
(h.) knowledge of intellectual property rights	1	2	3	
(k.) knowledge of procedures concerning the leave policies	1	2	3	

54. The Head has to have the following knowledge skills and competencies concerning: faculty (staff) issues				
	Essential	Useful	Unnecessary	Comments
(b.) knowledge of policies and procedures surrounding faculty service termination	1	2	3	
(g.) ability to evaluate faculty service contributions	1	2	3	
(i.) ability to evaluate faculty research productivity	1	2	3	
57. The Head has to have the following knowledge, skills and competencies concerning: Student issues				
(b.) knowledge of faculty willingness and ability to teach courses	1	2	3	
(c.) ability to plan, evaluate and update School/programme/curriculum	1	2	3	
(d.) ability to project courses based on student needs and interests	1	2	3	
(e.) ability to monitor graduate student progress	1	2	3	
(f.) ability to advise and counsel students concerning academic issues	1	2	3	
(g.) ability to advise and counsel students concerning careers	1	2	3	
(h.) ability to monitor student scholarships and awards	1	2	3	
(i.) ability to communicate policies and procedures to students	1	2	3	
58. The Head has to have the following knowledge, skills and competencies concerning: School/ programme administration				
(a.) knowledge of School/programme/ university deadlines	1	2	3	
(b.) ability to establish, prioritise and meet deadlines	1	2	3	

59. The Head has to have the following knowledge, skills and competencies concerning: Professional development within the School/programme				
	Essential	Useful	Unnecessary	Comments
(a.) ability to foster the development of individual faculty members' talents and interests	1	2	3	
(d.) ability to encourage faculty members to participate in professional meetings	1	2	3	
(e.) ability to encourage faculty grantmanship	1	2	3	
60. The Head has to have the following knowledge, skills and competencies concerning: Personal professional development				
(g.) ability to remain current with academic discipline	1	2	3	
61. The Head has to have the following knowledge, skills and competencies concerning: Office administration				
(a.) knowledge of policies and procedures for promoting and terminating the services of staff	1	2	3	
(c.) ability to manage School/programme facilities, equipment and inventory	1	2	3	
(d.) ability to supervise clerical and technical staff in office	1	2	3	
(e.) ability to process paperwork and answer correspondence efficiently	1	2	3	
(f.) overall issues related to office management in general	1	2	3	
62. Any further comment on the managerial knowledge, skills and competencies?				
<p>If the manager cannot do everything he or she must be aware of all aspects presented and obtain help from skilled individuals to assist</p> <p>A competent secretary could take care of most of these. Some of the functions are dealt with by specialist staff (Careers, Intellectual Property, resources)</p>				

SECTION F**PERFORMANCE AREAS**

This section deals with the performance areas which have to be addressed in a School of Medicine

Please indicate how important each of the following performance areas is according to the following scale

1 = Essential

2 = Useful

3 = Unnecessary

Please mark the appropriate square with an X. Only mark one option.

In compiling the framework for leadership and management, the PERFORMANCE AREAS have to be identified

63. The following performance areas must be included in the framework

	<div>Essential</div> <div>Useful</div> <div>Unnecessary</div>			Comments
(f.) legal issues	1	2	3	

64. Any further comment on performance areas?

This is a specialized field and universities have specialist staff who can deal with these issues.

SECTION G**MANAGEMENT STRUCTURES**

This section deals with the management structures that must be in place in order to manage the School

Please indicate how important each of the following management structures is for inclusion in a framework for leadership and management according to the following scale

1 = Essential

2 = Useful

3 = Unnecessary

Please mark the appropriate square with an X. Only mark one option.

In compiling the framework for leadership and management, the following MANAGEMENT STRUCTURES must be included

65. There has to be a line structure of leaders and managers in the Faculty consisting of				Comments
	Essential 1	Useful 2	Unnecessary 3	
(b.) vice-dean(s)	1	2	3	These individuals could assist managers in many of the above areas
(c.) associate dean(s)	1	2	3	If teaching platforms extend far out to other cities
(g.) heads of divisions	1	2	3	
66. There has to be a decentralised management structure in the Faculty consisting of				
(d.) representatives on other university committees	1	2	3	
(f.) ad hoc work group committees	1	2	3	To deal with specific issues
68. Any further comment on management structures?				

SECTION H**INFRASTRUCTURE AND FACILITIES**

This section deals with the infrastructure and facilities that must be in place in order to manage the School

Please indicate how important each of the following infrastructural components and facilities are for inclusion in a framework for leadership and management according to the following scale

1 = Essential

2 = Useful

3 = Unnecessary

Please mark the appropriate square with an X. Only mark one option.

In compiling the framework for leadership and management, the following **INFRASTRUCTURAL COMPONENTS AND FACILITIES** have to be addressed

69. The following have to be in place, fully equipped and functional

	<div>Essential</div> <div>Useful</div> <div>Unnecessary</div>			Comments
(l.) restrooms	1	2	3	Environment is crucial to staff and student comfort. These are simple but effective
(m.) staff room(s)	1	2	3	

70. Any further comment on infrastructure and facilities?

SECTION I**ASPECTS THAT HAS TO BE ADDRESSED IN A FRAMEWORK FOR LEADERSHIP AND MANAGEMENT**

This section deals with the aspects that must be addressed in a framework for academic leadership and management

Please indicate how important each of the following aspects is for inclusion in a framework for leadership and management according to the following scale

1 = Essential

2 = Useful

3 = Unnecessary

Please mark the appropriate square with an X. Only mark one option.

In compiling the framework for leadership and management, the following ASPECTS have to be addressed

72. Any further comment on aspects that must be addressed in a framework for leadership and management?

Please add and elaborate

APPENDIX H

**Accompanying letter plus letter (example) to Delphi experts
with a view to reach stability: Round 3**

DELPHI QUESTIONNAIRE

ROUND 3

A Framework for Academic Leadership and Management of a Medical School in South Africa

Dear Delphi participant

Thank you for agreeing to participate in this Delphi process and for completing the first two rounds. Attached please find the third round of the Delphi process. Thank you for taking the time to complete this document and sending it back to me. Your willingness and participation is highly appreciated. The attached document pertaining to this round is a very short one, and should take only a few minutes of your time.

Purpose of the questionnaire:

Consensus was reached in the first two rounds of this Delphi process on a large number of the questions posed (88% consensus). In this third round, a few remaining points regarding your own indications during the first two rounds (and that are still unclear) are addressed.

The answers that you indicated during round one for a few of the questions differ from the answers that you indicated for the same questions during round two.

In the attached questionnaire an indication is given of the answers that you provide in the two rounds. **Please look at all these questions again, and confirm whether you stand by your opinion as you indicated in the last round (round 2).**

PLEASE ANSWER ALL QUESTIONS

PLEASE COMPLETE THE QUESTIONNAIRE AS FOLLOWS:

Each statement must be evaluated in respect of its importance as an aspect or criterion that must be included in the leadership and management framework. Indicate your opinion on the three-point scale provided. These points are defined as follows:

- 1 = Essential (this criterion must definitely be included in the framework)
- 2 = Useful (it does not matter whether this criterion is included or excluded from the framework)
- 3 = Unnecessary (this criterion must definitely be excluded from the framework)

If possible please complete the questionnaire in its electronic form. If, however, you prefer to print it out and complete it in paper format, please feel free to do so. In both cases please answer all the points by placing an X over the specific number of your

choice in the scale provided with each statement. Space is provided in each section for any further comments that you would like to make regarding that specific section.

The questionnaire in this round should at most take up only a few minutes of your time. It would therefore be highly appreciated if you could please complete the questionnaire within the next day or two and send it back to me before Friday 5 November. Please contact me if anything is unclear to you.

Due to the fact that the tertiary institutions in South Africa that offer teaching and training to medical students do not all have the same management structure in place, some terminology is used in a generic way, e.g.

When reference is made to a "School of Medicine" in this questionnaire it should be read as also referring to a "Faculty of Medicine" simultaneously.

When reference is made to the "Head of a School" it should be read as also referring to a "Dean (vice-dean, etc.) of a Medical School".

Stability is described as the natural tendency for opinions of experts to centralise (Linstone & Turoff 1979:277)*. Stability can be declared when movement of the opinion of the group as a whole has reached stability.

The framework that forms the essence of this study aims at the management structure in a medical training institute *per se* and does not necessarily place all attributes in one single person. Please contact me if this is unclear to you.

Thanking you in anticipation.

Pieter Nel
Student number: 2001108618
Tel: 082-558-9195
Fax: 051-522-1307
Nelppc.MD@mail.uovs.ac.za

* Linstone, H.A. & Turoff, M. 1979. Introduction: In *The Delphi Method. Technique and application*. Edited by H.A. Linstone & M. Turoff. London: Addison-Wesley. 3 – 12.

APPENDIX H-2

You provided feedback on the underlying 4 (four) questions as indicated. Due to the fact that your choices differ as far as rounds 1 and 2 are concerned, **PLEASE INDICATE IF YOU STAND BY YOUR LATEST CHOICE (ROUND 2) as indicated.**

IF YOU STAY WITH YOUR LATEST CHOICE INDICATE IT WITH A XX IN THE APPROPRIATE BLOCK. If you change what you indicated in round two, show it with an XX for your latest choice (round 3) as well.

Your previous choices are indicated by a # for what you had indicated in round one, and a X for what you had indicated in round 2.

SECTION A**CHALLENGES**

This section deals with challenges that face the management of Medical Schools in Tertiary Education Institutions

Please indicate how important each of the following challenges is according to the following scale:

1 = Essential

2 = Useful

3 = Unnecessary

Please mark the appropriate block with an X. Only mark one option.

In compiling the leadership and management framework, recognition must be taken of CHALLENGES that might be faced by the management of Schools

1. The Management will have to bear knowledge of the multiple impacts of

Comments

(c.) *global* forces that have an influence on the management's work/duties and the viability and standing of the school

1	2	3
#	X	

10. The Management will have a more direct and expanding role in marketing and communication in order to

Comments

(d.) demonstrate the value added to local communities

1	2	3
x	#	

SECTION B**STRATEGIES**

This section deals with strategies that Management can use to meet challenges

Please indicate how important each of the following strategies is according to the following scale:

1 = Essential

2 = Useful

3 = Unnecessary

Please mark the appropriate square with an X. Only mark one option.

In compiling the leadership and management framework, cognisance must be taken of STRATEGIES that can be used to meet the challenges that Management have to face

20. Seek and maintain professional and personal balance by

(a.) applying time and stress management

Comments

* when is most productive time

1	2	3
X	#	

SECTION D				
LEADERSHIP QUALITIES				
This section deals with the leadership qualities that the Head of School should have				
Please indicate how important each of the following leadership qualities is according to the following scale				
1 = Essential				
2 = Useful				
3 = Unnecessary				
Please mark the appropriate square with an X. Only mark one option.				
In compiling the framework for leadership and management, the LEADERSHIP QUALITIES that a Head of a School has to have, should be identified				
50. Characteristics that differentiate a good/excellent leader				Comments
(h.) more likely to be flexible on principles	1 #	2	3 x	

APPENDIX I

Final results of Delphi questionnaire

SECTION A				APPENDIX I
CHALLENGES				
This section deals with challenges that face the management of Medical Schools in Tertiary Education Institutions				
Please indicate how important each of the following challenges is according to the following scale:				
1 = Essential				
2 = Useful				
3 = Unnecessary				
Please mark the appropriate block with an X. Only mark one option.				
In compiling the leadership and management framework, recognition must be taken of CHALLENGES that might be faced by the management of Schools				
1. The Management will have to bear knowledge of the multiple impacts of				Comments
(a.) <i>institutional</i> forces that have an influence on the management's work/duties and the viability and standing of the school	1	2	3	CONSENSUS ROUND 1 (6 0 0)* * = 6 participants indicated 1; 0 participants indicated 2; 0 participants indicated 3
(b.) <i>national</i> forces that have an influence on the management's work/duties and the viability and standing of the school, as well as	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(c.) <i>global</i> forces that have an influence on the management's work/duties and the viability and standing of the school	1	2	3	STABILITY ROUND 3 (3 3 0)
2. The Management will have to cope with strained fiscal resources, which result from				
(a.) availability of resources on national level	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(b.) decrease in funding of Higher Education	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(c.) reallocation of resources in Institutions	1	2	3	CONSENSUS ROUND 1 (5 1 0)
3. The Management will have to manage externally imposed accountability processes on the				
(a.) fiscal terrain	1	2	3	STABILITY ROUND 3 (4 2 0)
(b.) education terrain	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(c.) research terrain	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(d.) service delivery terrain	1	2	3	CONSENSUS ROUND 1 (5 1 0)

4. The Management will find increasing pressure for competitiveness of				Comments
(a.) relevant programmes and curricula within regional, national & international contexts	1	2	3	
(b.) academic staff within regional, national & international contexts	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(c.) students within regional, national & international contexts	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(d.) finances within regional, national & international contexts	1	2	3	CONSENSUS ROUND 1 (5 1 0)
5. The Management will have to manage technology which impact on				Comments
(a.) the mode of delivery of teaching	1	2	3	
(b.) the mode of learning to which students are exposed	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(c.) a wider access to educational opportunities	1	2	3	CONSENSUS ROUND 2 (5 1 0)
(d.) research (e.g. data analysis)	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(e.) effectiveness and efficiency of administration	1	2	3	CONSENSUS ROUND 1 (5 0 1)
(f.) management capacity of managers	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(g.) the attitude of staff members which are pressured by the rapidity of technological changes	1	2	3	STABILITY ROUND 3 (3 3 0)
6. The Management will have to manage the diversity of shifting demographics which include				Comments
(a.) age of student population	1	2	3	
(b.) gender of student population	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(c.) racial and ethnic minorities	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(d.) students from historically underrepresented populations	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(e.) multiculturalism	1	2	3	CONSENSUS ROUND 2 (5 1 0)
(f.) language diversity	1	2	3	CONSENSUS ROUND 1 (6 0 0)

7. The Management will have to manage faculty who are ill equipped to meet student and system demands, due to				
				Comments
(a.) shifting demographics	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(b.) market demands	1	2	3	CONSENSUS ROUND 1 (5 0 1)
(c.) technical advances	1	2	3	CONSENSUS ROUND 1 (5 0 1)
(d.) mismatches in priorities (e.g. research & scholarship versus developing new e-learning material etc.)	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(e.) mismatches in campus climate that are politically correct but not conducive to learning for minority groups	1	2	3	STABILITY ROUND 3 (4 2 0)
(f.) mismatches in the demand for technologically sophisticated programmes and the capacity of school to provide it	1	2	3	STABILITY ROUND 3 (4 2 0)
(g.) mismatches in existing faculty that do/do not spark(demand) new programme initiatives	1	2	3	STABILITY ROUND 3 (4 2 0)
(h.) mismatches between student's expectations (whether what they learn will aid them in finding jobs) and staff's instructional mission (in terms of what students know)	1	2	3	STABILITY ROUND 3 (3 3 0)
8. The Management will have to manage a proliferation in knowledge to				
(a.) interpret new information in order to be effective within the school	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(b.) respond strategically in his leadership role	1	2	3	CONSENSUS ROUND 1 (6 0 0)

9. The Management will have to fulfill an active role in the recruitment of quality academics and postgraduate students with a view to				Comments
(a.) favour the school's position in a competitive market place	1	2	3	
(b.) attract promising academics for supervising postgraduate students	1	2	3	
(c.) obtain external research funds	1	2	3	
10. The Management will have a more direct and expanding role in marketing and communication in order to				Comments
(a.) recruit students and staff	1	2	3	
(b.) obtain funds	1	2	3	
(c.) foster public opinion	1	2	3	
(d.) demonstraee the value added to local communities	1	2	3	
11. The Head of the School will have to function as an executive manager by				Comments
(a.) representing the priorities of the executive management of the Institution among his/her staff	1	2	3	
(b.)representing not only his/her School on a professional level, but foster the Professional Board's views and characteristics in his School	1	2	3	
(c.) having knowledge and good relationships with new governance structures in Higher Education	1	2	3	
12. The Management will have to strike a balance in dealing with the following issues				Comments
(a.) their professional and personal lives	1	2	3	
(b.)their scholarship and leadership roles	1	2	3	
(c.) long-term agendas and short-term tasks	1	2	3	

13. Any further comments on challenges?

SECTION B				
STRATEGIES				
This section deals with strategies that Management can use to meet challenges				
Please indicate how important each of the following strategies is according to the following scale:				
1 = Essential				
2 = Useful				
3 = Unnecessary				
Please mark the appropriate square with an X. Only mark one option.				
In compiling the leadership and management framework, cognisance must be taken of STRATEGIES that can be used to meet the challenges that Management have to face				
14. Creating a diverse culture by:				Comments
(a.) celebrating and championing diversity	1	2	3	CONSENSUS ROUND 1 (5 0 1)
(b.) fostering a broader multicultural understanding	1	2	3	CONSENSUS ROUND 2 (5 1 0)
(c.) preparing people to function in a more diverse workforce	1	2	3	CONSENSUS ROUND 2 (5 1 0)
(d.) committing through the allocation of resources				CONSENSUS ROUND 1 (5 1 0)
(e.) putting academic, fiscal and emotional support in place	1	2	3	CONSENSUS ROUND 1 (5 0 1)
(f.) changing the culture of the school through				
* assessing the current state (policies, procedures, psychological climate, behaviours of people)	1	2	3	CONSENSUS ROUND 2 (5 1 0)
* collecting and analysing data on the attitudes and perceptions of staff and students	1	2	3	STABILITY ROUND 3 (3 3 0)
* suggesting how diversity can further the overarching goals of academe	1	2	3	CONSENSUS ROUND 1 (5 0 1)

				Comments
(g.) changing staff profile through the selection of qualified people who bring in diverse perspectives	1	2	3	STABILITY ROUND 3 (4 2 0)
(h.) changing management systems through				
* a mission statement that explicitly address diversity	1	2	3	STABILITY ROUND 3 (3 3 0)
* eliminating exclusionary practices that keep people from becoming fully participating members	1	2	3	CONSENSUS ROUND 1 (5 1 0)
* introducing modes of learning (including learning materials) that foster diversity	1	2	3	CONSENSUS ROUND 2 (5 1 0)
(i.) ongoing evaluation and monitoring of efforts to achieve diversity with a view to determine effectiveness	1	2	3	CONSENSUS ROUND 1 (5 0 1)
15. Knowing the legal environment by:				
(a.) fostering antidiscrimination in practice by providing environmental climates in which all members feel comfortable, safe and valued through				
* implementation of fair affirmative action procedures	1	2	3	CONSENSUS ROUND 1 (5 0 1)
* creation of equal opportunities	1	2	3	CONSENSUS ROUND 2 (5 0 1)
* introducing clear policies and procedures	1	2	3	CONSENSUS ROUND 1 (5 1 0)
* admission and selection procedures	1	2	3	CONSENSUS ROUND 1 (5 1 0)
* hiring and promotion decisions	1	2	3	CONSENSUS ROUND 2 (6 0 0)
* clear dismissal procedures	1	2	3	CONSENSUS ROUND 1 (5 0 1)

(b.) introducing policies and procedures empower and inform individuals about sexual harassment in the following areas				
				Comments
* gender harassment (generalised sexist behaviour and remarks intended to insult, degrade or convey sexist attitudes)	1	2	3	CONSENSUS ROUND 2 (5 0 1)
* seductive behaviour (sexual advances that are unwanted, inappropriate and offensive)	1	2	3	CONSENSUS ROUND 2 (5 0 1)
* sexual bribery (reward promised following solicitation of sexual activity/sex linked behaviour)	1	2	3	CONSENSUS ROUND 1 (5 0 1)
* sexual coercion (threat of punishment by sexual solicitation)	1	2	3	CONSENSUS ROUND 2 (5 0 1)
* sexual imposition (gross sexual imposition, assault, rape)	1	2	3	CONSENSUS ROUND 1 (5 0 1)
(c.) Understanding "academic freedom" as defined by the legal system according to the "rights and responsibilities of the teaching profession". They can take the following actions				
* determine whether the issue is an individual or institutional concern	1	2	3	CONSENSUS ROUND 1 (5 1 0)
* deciding whether the interest of the individual in engaging in an activity outweighs the interest of the School in preventing it	1	2	3	STABILITY ROUND 3 (4 1 1)
* answering the question of whether the School would have taken adverse action against the faculty member even without the activity being involved	1	2	3	STABILITY ROUND 3 (4 1 1)

				Comments
* evaluating the situation in terms of how the activity in question affects the School's ability to maintain effective working relationships and provide education	1	2	3	CONSENSUS ROUND 1 (5 0 1)
* discovering the potential impact on the School in order to determine whether to pursue legal counsel	1	2	3	CONSENSUS ROUND 1 (5 0 1)
(d.) fostering contractual relationship with students by				
* honouring the principle of students paying for tuition while the institution in exchange agrees to provide academic programmes and services that will help students reach their academic goals	1	2	3	CONSENSUS ROUND 1 (5 1 0)
* reviewing programmes and programme delivery systems regularly in order to maintain the School's integrity	1	2	3	CONSENSUS ROUND 1 (5 1 0)
* keeping faculty and students in compliance with both written and spoken "promises" in order to avoid potential legal concerns	1	2	3	CONSENSUS ROUND 2 (5 0 1)
(e.) fostering good ethical practice by expecting School members to conduct themselves in a certain way and find certain ways unacceptable. This can be done by				
* a clearly stated "code" of conduct including professional behaviour, relationships between faculty and students, academic freedom and research	1	2	3	CONSENSUS ROUND 1 (6 0 0)
* an ethical character of a School that is supported, cultivated and reinforced by everyone	1	2	3	CONSENSUS ROUND 1 (5 1 0)

				Comments
* Management that can create ethical practice by entering into dialogue with staff and students about what constitutes acceptable behaviour	1	2	3	CONSENSUS ROUND 2 (5 1 0)
* adhering to professional ethical behaviour	1	2	3	CONSENSUS ROUND 1 (6 0 0)
16. Management has to be familiar with developments in Higher Education relating to				
(a.) changing context of Higher Education	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(b.) new policies	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(c.) factors influencing Higher Education	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(d.) how the above-mentioned impact on the Head's work as leader and manager	1	2	3	CONSENSUS ROUND 1 (6 0 0)
17. Strategically manage and secure financial resources by				
(a.) accessing new funding and development opportunities				
* by communicating in advance	1	2	3	STABILITY ROUND 3 (4 2 0)
* by applying for such funding	1	2	3	CONSENSUS ROUND 2 (5 1 0)
* supporting applications	1	2	3	CONSENSUS ROUND 2 (5 1 0)
(b.) fiscal management				
* recognising the enormity of the task and responsibility	1	2	3	CONSENSUS ROUND 1 (5 0 1)
* assessing financial needs	1	2	3	CONSENSUS ROUND 1 (5 1 0)
* making allocation decisions	1	2	3	CONSENSUS ROUND 1 (5 1 0)
* establishing expenditure targets and strategies	1	2	3	CONSENSUS ROUND 2 (5 1 0)
* evaluating financial planning	1	2	3	CONSENSUS ROUND 1 (5 1 0)

				Comments
* adjusting budgets	1	2	3	CONSENSUS ROUND 2 (5 1 0)
* controlling fraud and mismanagement	1	2	3	CONSENSUS ROUND 1 (5 1 0)
* searching for most cost-effective ways of delivering services	1	2	3	CONSENSUS ROUND 2 (5 1 0)
* explore added resources of revenue (contract research, patent and laboratory development, etc.)	1	2	3	CONSENSUS ROUND 1 (6 0 0)
* building/developing an understanding of finance and budgeting	1	2	3	CONSENSUS ROUND 1 (5 1 0)
* developing sound budgeting strategies	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(c.) resource procurement - refers to soliciting unearned gifts or engaging in revenue-generating activities that lie outside the normal of the School (donations, fundraising)	1	2	3	STABILITY ROUND 3 (4 0 2)
18. Becoming technologically connected with a view to				
(a.) enhancing student learning and education delivery, by				
* shifting from teacher-initiated instruction to student-focused instruction	1	2	3	CONSENSUS ROUND 1 (6 0 0)
* placing emphasis on student-centred learning	1	2	3	CONSENSUS ROUND 1 (6 0 0)
* increasing student/faculty contact by simplifying feedback on work	1	2	3	CONSENSUS ROUND 1 (6 0 0)
* accommodating a variety of learning styles	1	2	3	CONSENSUS ROUND 1 (6 0 0)

				Comments
(b.) obtaining exposure to the newest technologies for communication and research	1	2	3	CONSENSUS ROUND 2 (5 1 0)
(c.) being efficient in providing technological infrastructure for communications available to staff and students	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(d.) enhancing personnel productivity	1	2	3	CONSENSUS ROUND 1 (6 0 0)
19. Management has to have good knowledge of the strengths and limitations of the academic programmes within the School in order to				
(a.) decide which programmes to retain and strengthen	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(b.) decide which programmes to phase out	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(c.) decide which programmes to conduct on a cooperative basis (offered jointly)	1	2	3	CONSENSUS ROUND 1 (6 0 0)
20. Seek and maintain professional and personal balance by				
(a.) applying time and stress management				
* establish what must be done	1	2	3	CONSENSUS ROUND 1 (5 1 0)
* when is most productive time	1	2	3	STABILITY ROUND 3 (4 2 0)
* quit trying to do everything	1	2	3	CONSENSUS ROUND 1 (5 1 0)
* focus on what is important	1	2	3	CONSENSUS ROUND 1 (6 0 0)
* delegate	1	2	3	CONSENSUS ROUND 1 (5 1 0)
* do things that add meaning and quality to life	1	2	3	CONSENSUS ROUND 2 (5 1 0)
* create order by setting deadlines	1	2	3	CONSENSUS ROUND 1 (5 1 0)
* use mentoring and networking	1	2	3	CONSENSUS ROUND 1 (6 0 0)

				Comments
(b.) applying boundary management				
* planning and prioritising for the school	1	2	3	CONSENSUS ROUND 1 (6 0 0)
* formulation of vision and mission	1	2	3	CONSENSUS ROUND 1 (6 0 0)
* setting of long- and short-term goals	1	2	3	CONSENSUS ROUND 1 (6 0 0)
* writing down steps and determining what needs doing by a certain time	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(c.) finding a balance between priorities at work and home				
* working more efficiently	1	2	3	CONSENSUS ROUND 1 (5 1 0)
* set time aside for scholarly projects	1	2	3	CONSENSUS ROUND 2 (5 1 0)
* clarify professional and personal purpose	1	2	3	CONSENSUS ROUND 1 (6 0 0)
* recognition and support of the whole person	1	2	3	CONSENSUS ROUND 1 (5 1 0)
21. Nurturing the integrity of the School i.e. the success it has in building alliances with people and organisations that fulfill recognisable public needs by				
(a.) reconnecting with the community through				
* accountable to their various communities	1	2	3	CONSENSUS ROUND 1 (5 1 0)
* academic management	1	2	3	CONSENSUS ROUND 1 (6 0 0)
* integrated teaching, research and service	1	2	3	CONSENSUS ROUND 1 (6 0 0)
* stakeholder relationships	1	2	3	CONSENSUS ROUND 1 (5 1 0)
* campus-community partnerships	1	2	3	CONSENSUS ROUND 2 (5 1 0)
(b.) revisiting change leadership through				
* educating themselves about concepts of change	1	2	3	CONSENSUS ROUND 1 (5 1 0)

				Comments
* creating an environment conducive to change	1	2	3	CONSENSUS ROUND 1 (5 1 0)
* understanding how people respond to change	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(c.) redefining faculty (staff) work, through				
* redesigning workload/systems where participants agree on yearly responsibilities	1	2	3	CONSENSUS ROUND 1 (5 1 0)
* evaluating performance by students, peer reviews and self-reviews	1	2	3	CONSENSUS ROUND 2 (6 0 0)
* redefining faculty productivity	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(d.) reframing academic departments through				
* ensuring that academic departments perform effectively in terms of educating students and interfacing with communities they serve and efficiently in terms of using resources	1	2	3	CONSENSUS ROUND 1 (5 1 0)
* shifting toward interdisciplinary research and teaching	1	2	3	CONSENSUS ROUND 1 (5 1 0)
* redefining a departments' responsibilities	1	2	3	CONSENSUS ROUND 1 (6 0 0)
* evaluating departmental success	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(e.) refocussing departmental chairs/heads through				
* continuous training and development of chairs	1	2	3	CONSENSUS ROUND 1 (6 0 0)
* helping chairs to delineate between work that must be done within the department and work that can be done for the department	1	2	3	CONSENSUS ROUND 1 (5 0 1)
* making posts available to assist the chair	1	2	3	CONSENSUS ROUND 2 (5 0 1)

[illegible]

SECTION C				
ROLES				
This section deals with the different roles that the Head of a School has to fulfil				
Please indicate how important each of the following roles is according to the following scale				
1 = Essential				
2 = Useful				
3 = Unnecessary				
Please mark the appropriate square with an X. Only mark one option.				
In compiling the framework for leadership and management, the different ROLES of a Head of a School have to be identified				
	1	2	3	Comments
23. The Head has to be involved in the maintenance of balance between the various external and internal demands placed on the institution (School)				CONSENSUS ROUND 1 (5 1 0)
24. The Head has to interface with rectors, deans, heads of other schools, departmental chairs, staff, students and external entities, each influencing and benefiting from the School in specific ways				CONSENSUS ROUND 1 (5 0 1)
25. The Head has to answer to the staff, students, central administration, boards, corporate sponsors, alumni groups, and outside funding agencies and must conscientiously serve all of these masters if the Head is to succeed in his/her role				CONSENSUS ROUND 1 (5 1 0)
26. The Head has to foster and implement strategies for teaching, research and service delivery				CONSENSUS ROUND 1 (5 1 0)
27. The Head has a role in taking responsibility for all necessary leadership initiatives				CONSENSUS ROUND 1 (5 1 0)
28. The Head as "cultural representative" of the School has to personify the culture of the School and the Institution and has to influence employees' perceptions of their organisations' culture				CONSENSUS ROUND 2 (5 1 0)

				Comments
29. The Head has a role in taking responsibility for all necessary managerial activities	1	2	3	STABILITY ROUND 3 (3 2 1)
30. The Head has to set division wide goals so that all departments are pointing in the same direction	1	2	3	CONSENSUS ROUND 1 (5 1 0)
31. The Head has to nurture all staff members, by knowing the needs and dreams of each individual and to work with them, together with other leaders, to ensure that the greatest potential is achieved	1	2	3	STABILITY ROUND 3 (3 3 0)
32. The Head has to invest in new staff members, by ensuring that mentoring and support systems are in place	1	2	3	CONSENSUS ROUND 2 (5 1 0)
33. The Head has to secure essential resources to service students, faculty and communities well	1	2	3	CONSENSUS ROUND 2 (5 1 0)
34. Any further comment on the roles?				

SECTION D				
LEADERSHIP QUALITIES				
This section deals with the leadership qualities that the Head of School should have				
Please indicate how important each of the following leadership qualities is according to the following scale				
1 = Essential				
2 = Useful				
3 = Unnecessary				
Please mark the appropriate square with an X. Only mark one option.				
In compiling the framework for leadership and management, the LEADERSHIP QUALITIES that a Head of a School has to have, should be identified				
				Comments
35. To function in a leadership position the Head has to				
(a.) understand the academic context and environment	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(b.) have knowledge on leadership styles	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(c.) have knowledge on leadership theory				CONSENSUS ROUND 2 (6 0 0)
(d.) know the difference between leadership and management	1	2	3	CONSENSUS ROUND 1 (6 0 0)
36. The Head has to have certain personal qualities such as				
(a.) integrity	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(b.) high standards of ethics	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(c.) the ability to move beyond self-interest to focus on the larger goals of the School/Institution	1	2	3	CONSENSUS ROUND 1 (6 0 0)
37. The Head has to be able to lead change, by				
(a.) knowing the concepts and principles of change management	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(b.) understanding strategic planning (objective and target setting, measuring and evaluating success)	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(c.) understanding flexibility and adaptability in change management	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(d.) analysing change and its effects on individuals	1	2	3	STABILITY ROUND 3 (3 3 0)

				Comments
(e.) dealing with pressure and stress (self and others)	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(f.) understanding the importance of communication during change	1	2	3	CONSENSUS ROUND 1 (6 0 0)
38. The Head has to be able to lead people by				
(a.) empowering people	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(b.) delegate "with fulfilment"	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(c.) successful staff development	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(d.) managing difficult situations (disciplinary, grievance, etc.)	1	2	3	CONSENSUS ROUND 1 (5 1 0)
39. The Head has to be able to create and develop effective teams by				
(a.) having knowledge on team roles and functions	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(b.) understanding group dynamics	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(c.) having skills for team creation and development	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(d.) having knowledge of personality types and team interactions	1	2	3	CONSENSUS ROUND 1 (6 0 0)
40. The Head has to have influencing skills by				
(a.) understanding influence and behavioural effects	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(b.) understanding the skills and qualities of the "influential" person	1	2	3	CONSENSUS ROUND 1 (5 0 1)
(c.) understanding that empathy is the key to influence	1	2	3	CONSENSUS ROUND 2 (5 0 1)
(d.) good communication	1	2	3	CONSENSUS ROUND 1 (5 1 0)
41. The Head has to have the ability to deal with challenging situations by				
(a.) identifying reasons behind conflict	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(b.) knowing conflict resolution	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(c.) having influencing and communication skills	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(d.) understanding the role of personality differences in creating and resolving conflict	1	2	3	CONSENSUS ROUND 1 (5 1 0)

42. The Head has to have the ability to make decisions and take risks by				Comments
(a.) developing analytical skills	1	2	3	CONSENSUS ROUND 2 (5 0 1)
(b.) understanding and solving problems	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(c.) creating solutions	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(d.) making judgements	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(e.) taking decisions	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(f.) risk analysis	1	2	3	CONSENSUS ROUND 2 (5 1 0)
43. The Head has to set vision and values				
(a.) by defining and determining a vision and values	1	2	3	CONSENSUS ROUND 2 (5 1 0)
(b.) by understanding personal belief and value systems	1	2	3	CONSENSUS ROUND 2 (5 1 0)
(c.) translating vision into action	1	2	3	CONSENSUS ROUND 1 (5 1 0)
44. The Head has to manage time and priorities in order to				
(a.) manage own time effectively	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(b.) prioritise and balance activities	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(c.) manage others' time effectively	1	2	3	STABILITY ROUND 3 (4 1 1)
45. The Head has to have good communication skills to				
(a.) manage meetings effectively	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(b.) develop assertiveness skills	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(c.) develop negotiation skills (persuading, influencing)	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(d.) motivate others	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(e.) develop presentation skills	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(f.) give and receive feedback	1	2	3	CONSENSUS ROUND 1 (6 0 0)
46. The Head has to have the ability of self awareness to				
(a.) understanding own strengths, weaknesses, motivation and stresses	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(b.) knowing own learning styles	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(c.) own emotional intelligence (EQ) and understanding others	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(d.) developing credibility and earning respect	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(e.) stressproofing self	1	2	3	CONSENSUS ROUND 1 (5 0 1)

47. The Head has to have the ability to set own career planning and management goals by				
				Comments
(a.) doing a full appraisal/review	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(b.) personal planning	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(c.) professional planning	1	2	3	CONSENSUS ROUND 1 (6 0 0)
48. The Head must have the ability to foster the following characteristics of transformational leadership				
(a.) Individualised consideration: gives personal attention to others, making each individual feel uniquely valued	1	2	3	STABILITY ROUND 3 (3 2 1)
(b.) Intellectual stimulation: actively encourages a new look at old methods, stimulates creativity, encourages others to look at problems and issues in a new way	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(c.) Inspirational motivation: increase optimism and enthusiasm, communicates high expectations, points out possibilities not previously considered	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(d.) Idealized influence: provides vision and a sense of purpose; elicits respect, trust and confidence from followers	1	2	3	CONSENSUS ROUND 1 (5 1 0)
49. The Head of a School has to demonstrate the following competencies				
(a.) provide clarity about strategic direction	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(b.) focus on delivery	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(c.) build relationships	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(d.) ensure commitment	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(e.) develop self-awareness	1	2	3	STABILITY ROUND 3 (4 2 0)
(f.) possess personal convictions	1	2	3	CONSENSUS ROUND 1 (5 0 1)
(g.) develop people	1	2	3	CONSENSUS ROUND 1 (6 0 0)

50. Characteristics that differentiate a good/ excellent leader				Comments
(a.) good personal strength	1	2	3	STABILITY ROUND 3 (4 2 0)
(b.) effective delegater	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(c.) connected at higher levels	1	2	3	STABILITY ROUND 3 (2 3 1)
(d.) gives feedback particularly on positive performance	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(e.) align people with him/her	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(f.) consultative	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(g.) gets people on board	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(h.) more likely to be flexible on principles	1	2	3	STABILITY ROUND 3 (2 1 3)
(i.) not afraid to take difficult decisions	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(j.) works to long-term objectives	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(k.) clear vision	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(l.) innovator	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(m.) demonstrates added value of leader	1	2	3	CONSENSUS ROUND 1 (5 0 1)
(n.) manages by consent	1	2	3	STABILITY ROUND 3 (3 2 1)
(o.) achieves through empowering other people	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(p.) welcomes questioning/discussion	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(q.) will regard people he/she manages as equals	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(r.) sticks head out	1	2	3	CONSENSUS ROUND 1 (5 0 1)
(s.) deals with serious problems	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(t.) understands complex issues	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(u.) good at finishing things	1	2	3	CONSENSUS ROUND 1 (5 1 0)
51. Any further comment on the leadership qualities?				

SECTION E				
MANAGERIAL KNOWLEDGE, SKILLS AND COMPETENCIES				
This section deals with the managerial knowledge, skills and competencies that the Head of School should have				
Please indicate how important each of the following statements on managerial knowledge, skills and competencies is according to the following scale				
1 = Essential				
2 = Useful				
3 = Unnecessary				
Please mark the appropriate square with an X. Only mark one option.				
In compiling the framework for leadership and management, the MANAGERIAL KNOWLEDGE, SKILLS AND COMPETENCIES that a Head of a School have, should be identified				
				Comments
52. The head has to have the following knowledge, skills and competencies concerning:				
Budgeting and resources				
(a.) knowledge of internal and external sources of funds	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(b.) knowledge of policies and procedures for obtaining external funding	1	2	3	CONSENSUS ROUND 2 (5 1 0)
(c.) knowledge of institutional and governing board policies and guidelines concerning budgetary operations	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(d.) knowledge of space (rooms) and procedures needed to schedule courses	1	2	3	CONSENSUS ROUND 2 (1 5 0)
(e.) skill in preparing and managing school programme budgets	1	2	3	CONSENSUS ROUND 2 (5 1 0)
(f.) ability to encourage faculty members to submit proposals for external contracts and grants	1	2	3	STABILITY ROUND 3 (4 2 0)
(g.) ability to set priorities for use of programme resources (e.g. travel funds)	1	2	3	STABILITY ROUND 3 (4 2 0)

				Comments
(h.) ability to plan for long-range financing of special programmes and activities	1	2	3	CONSENSUS ROUND 2 (5 1 0)
(i.) ability to obtain external funding for the School	1	2	3	CONSENSUS ROUND 2 (5 1 0)
(j.) ability to read and interpret budget reports	1	2	3	CONSENSUS ROUND 1 (5 0 1)
(k.) overall issues related to budgeting and resources in general	1	2	3	CONSENSUS ROUND 1 (5 0 1)

53. The Head has to have the following knowledge concerning: Legal issues				
(a.) knowledge of procedures in dealing with sexual harassment	1	2	3	CONSENSUS ROUND 1 (5 0 1)
(b.) knowledge of records and documents to be maintained	1	2	3	STABILITY ROUND 3 (3 2 1)
(c.) knowledge of procedures for dealing with disability issues	1	2	3	STABILITY ROUND 3 (4 0 2)
(d.) knowledge of procedures pertaining to the promotion and tenure of faculty	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(e.) knowledge of procedures to recruit and select students	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(f.) knowledge of procedures for applying the university's affirmative action policy	1	2	3	CONSENSUS ROUND 1 (5 0 1)
(g.) knowledge of procedures to recruit and select faculty	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(h.) knowledge of intellectual property rights	1	2	3	CONSENSUS ROUND 2 (5 1 0)
(i.) knowledge of whom to contact concerning legal issues	1	2	3	CONSENSUS ROUND 1 (5 1 0)

				Comments
(j.) knowledge of procedures concerning matters of confidentiality	1	2	3	CONSENSUS ROUND 1 (5 0 1)
(k.) knowledge of procedures concerning the leave policies	1	2	3	STABILITY ROUND 3 (3 3 0)
(l.) overall knowledge of legal issues in general	1	2	3	CONSENSUS ROUND 1 (5 0 1)
54. The Head has to have the following knowledge skills and competencies concerning: faculty (staff) issues				
(a.) knowledge of policies and procedures concerning faculty grievances	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(b.) knowledge of policies and procedures surrounding faculty service termination	1	2	3	STABILITY ROUND 3 (3 3 0)
(c.) knowledge of faculty recruitment policies and procedures	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(d.) knowledge of faculty selection policies and procedures	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(e.) skill in reducing, resolving, and preventing conflict among faculty members	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(f.) ability to assign faculty responsibilities (e.g. teaching, research, committee work, etc.)	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(g.) ability to evaluate faculty service contributions	1	2	3	CONSENSUS ROUND 2 (5 1 0)
(h.) ability to deal with and provide feedback for unsatisfactory faculty performance	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(i.) ability to evaluate faculty research productivity	1	2	3	CONSENSUS ROUND 2 (5 1 0)

				Comments
(j.) ability to aid faculty in preparation for evaluation (e.g. annual, mid-career, and tenure)	1	2	3	CONSENSUS ROUND 1 (5 0 1)
(k.) ability to evaluate teaching within the school programmes	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(l.) overall issues related to faculty in general	1	2	3	CONSENSUS ROUND 1 (5 0 1)
55. The Head has to have the following knowledge, skills and competencies concerning: External communication				
(a.) knowledge of relevant outside constituencies	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(b.) ability to communicate School/programme needs to upper-level administrators	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(c.) ability to promote the Schools/programme's image and reputation	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(d.) ability to develop relations and coordinate activities with outside groups	1	2	3	CONSENSUS ROUND 1 (5 0 1)
(e.) ability to communicate with other schools/programmes about mutual interests	1	2	3	CONSENSUS ROUND 1 (5 0 1)
(f.) ability to communicate effectively with top management	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(g.) overall issues related to external communication in general	1	2	3	CONSENSUS ROUND 1 (5 1 0)

56. The Head has to have the following knowledge, skills and competencies concerning: Internal communications				
				Comments
(a.) ability to convey the university policies, procedures and actions to the departments/programmes	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(b.) ability to keep members informed of institutional/School/programme plans, activities and expectations	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(c.) ability to foster communication of ideas toward improving the School/programmes	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(d.) ability to convey performance criteria and the evaluative process to faculty and students	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(e.) overall issues related to internal communication in general	1	2	3	CONSENSUS ROUND 1 (5 0 1)
57. The Head has to have the following knowledge, skills and competencies concerning: Student issues				
(a.) knowledge of policies and procedures regarding student grievances	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(b.) knowledge of faculty willingness and ability to teach courses	1	2	3	CONSENSUS ROUND 2 (5 1 0)
(c.) ability to plan, evaluate and update School/programme/curriculum	1	2	3	CONSENSUS ROUND 2 (6 0 0)
(d.) ability to project courses based on student needs and interests	1	2	3	CONSENSUS ROUND 2 (5 1 0)
(e.) ability to monitor graduate student progress	1	2	3	STABILITY ROUND 3 (3 3 0)
(f.) ability to advise and counsel students concerning academic issues	1	2	3	CONSENSUS ROUND 2 (5 1 0)

				Comments
(g.) ability to advise and counsel students concerning careers	1	2	3	STABILITY ROUND 3 (1 4 1)
(h.) ability to monitor student scholarships and awards	1	2	3	CONSENSUS ROUND 3 (1 5 0)
(i.) ability to communicate policies and procedures to students	1	2	3	CONSENSUS ROUND 2 (5 1 0)
(j.) ability to develop student recruitment programmes	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(k.) overall issues related to students in general	1	2	3	CONSENSUS ROUND 1 (5 0 1)
58. The Head has to have the following knowledge, skills and competencies concerning: School/ programme administration				
(a.) knowledge of School/programme/ university deadlines	1	2	3	STABILITY ROUND 3 (4 2 0)
(b.) ability to establish, prioritise and meet deadlines	1	2	3	CONSENSUS ROUND 2 (5 1 0)
(c.) ability to establish School/ programme committees	1	2	3	CONSENSUS ROUND 1 (5 0 1)
(d.) ability to develop and implement long-range initiatives	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(e.) ability to determine what the School/ programme should provide to the university and community	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(f.) ability to prepare for accreditation and evaluation	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(g.) ability to delegate administrative responsibilities	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(h.) overall issues related to School/ programme administration in general	1	2	3	CONSENSUS ROUND 1 (5 0 1)

59. The Head has to have the following knowledge, skills and competencies concerning: Professional development within the School/programme				
				Comments
(a.) ability to foster the development of individual faculty members' talents and interests	1	2	3	STABILITY ROUND 3 (4 2 0)
(b.) ability to promote high quality teaching in the School/programmes	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(c.) ability to promote faculty research	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(d.) ability to encourage faculty members to participate in professional meetings	1	2	3	STABILITY ROUND 3 (3 3 0)
(e.) ability to encourage faculty grantmanship	1	2	3	STABILITY ROUND 3 (4 2 0)
(f.) ability to provide professional development opportunities for faculty and staff	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(g.) ability to maintain faculty morale	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(h.) overall issues related to professional development within the School/programmes in general	1	2	3	CONSENSUS ROUND 1 (5 0 1)
60. The Head has to have the following knowledge, skills and competencies concerning: Personal professional development				
(a.) skill in decision making under ambiguous circumstances	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(b.) skill in adopting different leadership styles to fit varying situations	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(c.) time management skills for performing School tasks	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(d.) interpersonal skills	1	2	3	CONSENSUS ROUND 1 (6 0 0)

				Comments
(e.) leadership skills	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(f.) ability to represent the School/ programmes at professional meetings/societies	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(g.) ability to remain current with academic discipline	1	2	3	CONSENSUS ROUND 2 (5 1 0)
(h.) ability to manage multiple roles as Head (e.g. teaching, administra- tion, etc.)	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(i.) overall issues related to professional development of Head in general	1	2	3	CONSENSUS ROUND 1 (5 0 1)
61. The Head has to have the following knowledge, skills and competencies concerning: Office administration				
				Comments
(a.) knowledge of policies and procedures for promoting and terminating the services of staff	1	2	3	CONSENSUS ROUND 2 (5 1 0)
(b.) knowledge of policies and procedures for evaluating staff	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(c.) ability to manage School/ programme facilities, equipment and inventory	1	2	3	STABILITY ROUND 3 (3 3 0)
(d.) ability to supervise clerical and technical staff in office	1	2	3	STABILITY ROUND 3 (3 1 2)
(e.) ability to process paperwork and answer correspondence efficiently	1	2	3	CONSENSUS ROUND 2 (5 1 0)
(f.) overall issues related to office management in general	1	2	3	CONSENSUS ROUND 2 (5 0 1)

62. Any further comment on the managerial knowledge, skills and competencies?

SECTION F**PERFORMANCE AREAS**

This section deals with the performance areas which have to be addressed in a School of Medicine

Please indicate how important each of the following performance areas is according to the following scale

1 = Essential

2 = Useful

3 = Unnecessary

Please mark the appropriate square with an X. Only mark one option.

In compiling the framework for leadership and management, the PERFORMANCE AREAS have to be identified

63. The following performance areas must be included in the framework

				Comments
(a.) strategic management and planning	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(b.) budgeting and resource allocation	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(c.) programme and curriculum development	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(d.) external communication	1	2	3	CONSENSUS ROUND 1 (5 0 1)
(e.) internal communication	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(f.) legal issues	1	2	3	STABILITY ROUND 3 (4 1 1)
(g.) student training	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(h.) postgraduate education	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(i.) research	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(j.) service delivery	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(k.) faculty affairs	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(l.) student affairs	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(m.) staffing	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(n.) community service	1	2	3	CONSENSUS ROUND 1 (5 0 1)
(o.) administration	1	2	3	CONSENSUS ROUND 1 (6 0 0)

64. Any further comment on performance areas?

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SECTION G**MANAGEMENT STRUCTURES**

This section deals with the management structures that must be in place in order to manage the School

Please indicate how important each of the following management structures is for inclusion in a framework for leadership and management according to the following scale

1 = Essential

2 = Useful

3 = Unnecessary

Please mark the appropriate square with an X. Only mark one option.

In compiling the framework for leadership and management, the following MANAGEMENT STRUCTURES must be included

65. There has to be a line structure of leaders and managers in the Faculty consisting of				Comments
(a.) dean	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(b.) vice-dean(s)	1	2	3	CONSENSUS ROUND 2 (5 0 1)
(c.) associate dean(s)	1	2	3	STABILITY ROUND 3 (3 2 1)
(d.) heads of school(s)	1	2	3	CONSENSUS ROUND 1 (5 0 1)
(e.) heads of departments	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(f.) programme directors	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(g.) heads of divisions	1	2	3	STABILITY ROUND 3 (3 2 1)
66. There has to be a decentralised management structure in the Faculty consisting of				
(a.) faculty management structure (or committee consisting of deans, heads of schools)	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(b.) executive committee	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(c.) faculty board committee	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(d.) representatives on other university committees	1	2	3	CONSENSUS ROUND 2 (5 1 0)
(e.) organisational committees	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(f.) ad hoc work group committees	1	2	3	CONSENSUS ROUND 2 (5 1 0)
67. There has to be desentralised units in the Faculty				
(a.) office of the management	1	2	3	CONSENSUS ROUND 1 (5 0 1)
(b.) academic departments	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(c.) support departments, divisions or units	1	2	3	CONSENSUS ROUND 1 (5 0 1)
(d.) administrative divisions and offices	1	2	3	CONSENSUS ROUND 1 (5 0 1)

68. Any further comment on management structures?

SECTION H**INFRASTRUCTURE AND FACILITIES**

This section deals with the infrastructure and facilities that must be in place in order to manage the School

Please indicate how important each of the following infrastructural components and facilities are for inclusion in a framework for leadership and management according to the following scale

1 = Essential

2 = Useful

3 = Unnecessary

Please mark the appropriate square with an X. Only mark one option.

In compiling the framework for leadership and management, the following INFRASTRUCTURAL COMPONENTS AND FACILITIES have to be addressed

69. The following have to be in place, fully equipped and functional

	1	2	3	Comments
(a.) main buildings for departments, offices, etc.				CONSENSUS ROUND 1 (6 0 0)
(b.) laboratories				CONSENSUS ROUND 1 (6 0 0)
(c.) clinical buildings and facilities for training				CONSENSUS ROUND 1 (5 1 0)
(d.) library				CONSENSUS ROUND 1 (6 0 0)
(e.) skills unit				CONSENSUS ROUND 1 (6 0 0)
(f.) computer centre				CONSENSUS ROUND 1 (5 1 0)
(g.) multimedia centre				CONSENSUS ROUND 1 (5 0 1)
(h.) lecture halls				CONSENSUS ROUND 1 (6 0 0)
(i.) group venues				CONSENSUS ROUND 1 (6 0 0)
(j.) meeting venues				CONSENSUS ROUND 1 (5 1 0)
(k.) self study venues				CONSENSUS ROUND 1 (5 1 0)
(l.) restrooms				STABILITY ROUND 3 (4 2 0)
(m.) staff room(s)				STABILITY ROUND 3 (4 2 0)
(n.) student cafeteria				CONSENSUS ROUND 1 (5 1 0)

70. Any further comment on infrastructure and facilities?

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SECTION I				
ASPECTS THAT HAS TO BE ADDRESSED IN A FRAMEWORK FOR LEADERSHIP AND MANAGEMENT				
This section deals with the aspects that must be addressed in a framework for academic leadership and management				
Please indicate how important each of the following aspects is for inclusion in a framework for leadership and management according to the following scale				
1 = Essential				
2 = Useful				
3 = Unnecessary				
Please mark the appropriate square with an X. Only mark one option.				
In compiling the framework for leadership and management, the following ASPECTS have to be addressed				
71. Aspects that should be included in the academic leadership and management framework for a School of Medicine in South Africa				Comments
(a.) challenges that management of Medical Schools face	1	2	3	
				CONSENSUS ROUND 1 (6 0 0)
(b.) strategies to meet these challenges	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(c.) role that the Head of the School has to play	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(d.) leadership qualities of the Head of the School	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(e.) knowledge, skills and competencies that the Head of the School must have	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(f.) performance areas that warrant attention in a School	1	2	3	CONSENSUS ROUND 1 (6 0 0)
(g.) management structures that must be in place within the School	1	2	3	CONSENSUS ROUND 1 (5 1 0)
(h.) infrastructure and facilities that must be available in the School	1	2	3	CONSENSUS ROUND 1 (5 1 0)
72. Any further comment on aspects that must be addressed in a framework for leadership and management? Please add and elaborate				