In periods where there is no leadership, society stands still. Progress occurs when courageous, skillful leaders seize the opportunity to change things for the better.

Harry S. Truman
Chapter - 2

Review of Literature
CHAPTER 2: REVIEW OF LITERATURE

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CHAPTER 2: REVIEW OF LITERATURE

2.0 PREVIEW:

This chapter elaborates literature review, compiled via search for articles, research papers, online thesis published within last two decades, in specialist higher education journals, organization management journals as well as more general review of the field.

In the beginning the changing nature of higher education in India and in Maharashtra is studied. This changing nature of higher education itself has enforced a thought process of the topic. Administration concepts have evolved with time. The Meta analysis of literature brought to the light the definitions to key terms used in the study, it also formed base to finalizing the dependent and independent and moderating variables of the study.

2.1 HIGHER EDUCATION IN INDIA: PAST, PRESENT AND FUTURE:

“The past is our foundation, the present our material, the future our aim and summit. Each must have its due and natural place in a national system of education.” - Sri Aurobindo

It is interesting to take a quick run through the pages of Indian education’s history at this stage. Ancient Indian education as covered by VEDIC, post VEDIC, Buddhist and Jain systems of education extends over a very long period from about 1500 BC to 1200AD. Buddhism the religion founded by Gautam Buddha 6th Century BC was not anti-Hinduisms but was a reaction to Hinduism. Buddhism was more concerned with practical aspects of life and thought, and less concerned with metaphysical questions. The first basic change made by Buddhism was it started giving education to all in ‘Prakrit’, regional languages. Monks used to give education through ‘Vihars’ the educational institution resembled university of present times. It started giving education about Sanskrit literature, astronomy, poetry, grammar, and Yoga.
In those days Nalanda, Takshshila, Valabhi, Vikamshila universities were established and run successfully.

Jainism also emerged during 6th century, they also spread the higher education in India, which was preached by 'Tirthankars' in Temples. Jain system of education measurably reflected their religious principle but in addition they offered subjects like logic, mathematics, geography, astronomy and first to develop scientific explanation to be presented.

Soon after independence (1947), the department of education founded in 1945 was converted into a full-fledged Ministry of Education. Higher Education even then was the prime concern, University Education Commission (1948-49) was appointed as first step in the direction of expansion of higher education in India. Currently India's institutional framework is complex. Now there exist several types of institutions: Universities, colleges, Institutions of national importance, all these can grant only degrees. Diplomas to granted by polytechnic and post graduate institutes to award PG Degrees are to be recognized by All India Council for Technical Education.

The British model of university prior to this the rulers, kings, state and National leaders were the administrators only after following British model of universities the administrators and administrative bodies and positions were established, with slight changes till now the same model of administrators position is followed. Good olden days branches of education, institutes were limited and people were self-disciplined dedicated with commitment. There were multi fold experiments for training the teaching faculties no efforts were taken or rather it was not thought necessary to train the administrators.

Moving towards the 21st Century Nations and People are relying on colleges and Universities to shape the future generations. To attain this societal challenge Higher education institutions will need to transform their vision,
mission, structure and courses and this responsibility is expected to be
shouldered by academic administrators.

2.1.1 The role of Govt. of India in Education:

Pre-Independence:

In 1870, Lord Mayo introduced a system of administrative decentralization;
this gave rise to ‘Provincial’ system for the purpose of day to day
administration. The financial and other statutory controls are still at the
centre’s control.

1917-1919 - Universities Act was passed in 1904. This was the time when
education became subject of national importance.

1900 – 1921 – When Indians started struggle for independence, Lord Curzon
defended for advisory educational services in India. In the year 1910
formed separate Education Department in the Government of India.

1921 – 1947 – Govt. of India continued to function as a Federal Government
with five distinct functions as:

1. Policy making
2. Clearing house of information
3. Research and publication
4. Co-ordination
5. Financial assistance

Soon after attainment of independence, the role of Govt. of India in education
came up for discussion, again when continuation was being framed. Along
with other discussions and viewpoints one of the most recommended issue
was one of providing strong and competent leadership.

This leadership was to be provided in three distinct ways in ideas, personnel
and programs.

1. Leadership in ideas to be provided in two ways, through research
developments and through co-coordinating clearing house functions.
2. Three ways suggested for leadership in personnel is – the maintenance of an advisory service, the training of educational administrators, and experimental work in the training of teachers.

3. Finally it is through the conduct of experimental or pilot projects that leadership in programmes could have been provided.

2.1.2 Growth in Higher Education in India:

Table 2.1 Growth in terms of numbers of HEIs in India

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<tbody>
<tr>
<td>Universities</td>
<td>30</td>
<td>117</td>
<td>214</td>
<td>333</td>
</tr>
<tr>
<td>Colleges</td>
<td>750</td>
<td>7346</td>
<td>9703</td>
<td>16885</td>
</tr>
<tr>
<td>Enrolment('000s)</td>
<td>263</td>
<td>4925</td>
<td>6755</td>
<td>9954</td>
</tr>
<tr>
<td>Teachers('000s)</td>
<td>24.0</td>
<td>272.7</td>
<td>321</td>
<td>457</td>
</tr>
</tbody>
</table>

Note: *includes institutions deemed to be universities, but excludes other institutions.

Source: UGC Annual Report 2009-10 (New Delhi: University Grants Commission); and Selected Educational Statistics (New Delhi: Ministry of Human Resources Development) (relevant years).

2.2 HISTORIC LEADERSHIP IN INDIAN EDUCATION:

India has a long list of courageous, saintly and visionary role models, educational reformist to name few, Raja Rammohan Roy, Swami Vivekanand, Mahatma Gandhi, Jawaharlal Nehru, Radhakrishnan, Ravindranath Tagore, Madam Mohan Malvia, Lokmanya Tilak, Jotiba Phule, Savitribai Phule, Sam Pitroda, and many more.

Swami Vivekanand (1863-1902), a great thinker and reformer of India, embraces education, which for him signifies ‘man-making’, as the very mission of his life. In Swami Vivekananda’s opinion, education system needs
to have definite goal to pursue. As a sculptor has a clear idea as to what he wants to shape out of the marble block. Swamiji attempts to establish, through his words and deeds, that the end of all education is 'man-making'. Swamiji defined education as 'the manifestation of the perfection already in man.' The aim of education is to manifest in our lives the perfection, which is the very nature of our inner self. Education for him means that process by which character is formed, strength of mind is increased, and intellect is sharpened, as a result of which one can stand on one's own feet.

Vivekananda's method of education resembles the heuristic method of the modern educationists. In this system, the teacher invokes the spirit of inquiry in the pupil who is supposed to find out things for himself under the bias-free guidance of the teacher. Hence education, in Vivekananda's sense, enables one to realization of self everywhere. The essential unity of the entire universe is realized through education. -'Arise, awake, and stop not till the goal is reached.'

Raja Rammohan Roy has come to be called the 'Maker of Modern India'. Without giving up what was good and noble in the past, he laid the foundations for a great future. He was a great scholar and an independent thinker. He advocated the study of English, Science, Western Medicine and Technology. Today when Indians are standing confident that we shall equal Western Nations, are the efforts of Raja Rammohan Roy. About 150 years ago, only Sanskrit and Persian were taught in our schools. Western science was all in English, and our people did not know English. It was this great visionary Raja Rammohan Roy, who realized that India would remain a backward country, if her people did not learn English, Mathematics and Science. He took initiative and also spent his own money to start a college to teach English and Science. In 1817, Raja Rammohan Roy established the western higher education in India introducing education in European languages to cope with foreign entrants. That is why he is called the 'Maker of Modern India'.

30
If education is the foundation of all growth and progress, then aims, goals and objectives are the four interconnected and most significant components that gives direction to educational outcomes through the curricular content, syllabus and evaluations. These four components are highly influenced by four interconnected foundation blocks namely, epistemology (the nature of knowledge), society/culture, the individual, and learning theories (Zais, 1976). In 1937 it was Gandhiji who first questioned the futility of the British education system and stressed certain points:

1. True education is all-round development of the faculties, best attained through action.
2. Education must be concrete and interconnected, not abstract or given in isolated sections.
3. Education must be imparted in the child's mother tongue and organically connected with the child's Social and Cultural environment.

Sam Pitroda, Telecommunications icon and entrepreneur who is also the Chairman of National Knowledge Commission, on mission to build excellence in India's education system to meet the challenges of the 21st century, is of the opinion that India faces serious problems in its higher education system and that unless it is promptly improves, the Indian march to become a major global player could be adversely impacted. He continues further that "Higher education has been key to India's growth in the last couple of decades". Pitroda said what India's founding fathers started 50 years ago, "has taken us to where we are today. We do recognize that in the 21st century, knowledge is going to be the key driver and we need to prepare to respond to the global competitive landscape." "That can happen only when the focus will be on higher education, research and development, intellectual property and new tools and new technologies."
History has clear evidences that a successful leader in one situation could be a disaster in another. Churchill was a war time leader, reaching prominence in the 1914-18 war, pre-eminence in 1939-45. But, in peace time, he lost credibility and influence to a degree that nearly destroyed his career.

So in the changing global competitive times if India's higher education has to stand out and make a difference its academic administrators need to gear up to march ahead.

2.3 THE CHANGING NATURE OF HIGHER EDUCATION IN INDIA AND MAHARASHTRA:

Mintzberg in the description of organizational types describes University as an explar of the “PROFESSIONAL BUREAUCRACY” in which high levels of control are exerted over the core-functions of the organization by the professionals (academic faculty) working within it. From this perspective, the Universities HEIS were not regarded as an organization where managerial or hierarchial approach to leadership would thrive; instead leadership would be better regarded as a responsibility shared amongst academic members.

The last two decades have witnessed rapid technological advances of the 20th century. The subsequent effect of which was increased demand for skilled workers for the ‘KNOWLEDGE ECONOMY’. This challenged the notion of higher education institutes as an elite institution and governments, employers and communities have put pressure on higher education providers to produce ‘human capital’ capable of harnessing these developments. Higher education Institutes are now being regarded as engines of the economy, tasked with the dual roles of producing skilled and competent graduates for the workforce as well as high quality research that contributes towards social and organizational innovation and impact.
Rapid growth of the higher education sector has inevitably changed general and professional perceptions of Higher Education Institutes, and the way they managed and run. "Globalization of higher education has transformed higher education into a commodity, and changing fee structures have undoubtedly enhanced a perspective in which students are regarded as consumers, as said by Naidoo, Marginson and Sawir and Knight."

Cohen and March described about managing University, as a process of organized anarchy becomes out-dated and it is no longer appropriate for organizations of this size and importance.

The management of Higher Education Institutes was generally based upon a 'collegial' approach, with decision making in the hands of academic staff with little or no management expertise or training and implemented by a corpus of administrators who had limited input into the decision making process, this was the situation till mid 90’s. Since then, however there has been shift in trend towards more business like 'corporate' or 'entrepreneurial' approaches to leadership and management in Higher Education Institutes, an accompanying professionalization of the management and leadership functions, and the growth of hybrid academic administrative roles.
2.4 KEY THEMES IN LITERATURE REVIEW:

![Graphical Representations of Key Themes within the Literature Review](image)

2.5 ROLE OF ACADEMIC ADMINISTRATORS: TRANSITION FROM TEACHING TO ADMINISTRATION:

Academic administrators play a vital role in helping their institutions maintain quality and manage constant change. Higher education is highly interconnected with social, political and economic aspects of the country. India is facing several challenges in the higher education sector. In this context, it is imperative to prepare higher education administrators, who are
well versed with the theory and practice of higher education. Language and role of teacher is different from “assessment”, “measurement”, “instruction”, “control” and is more related to “observation”, “encouraging”, “grooming”, “nurturing”, and “developing”. A good administrator keeps focus on following skill-sets

- Knowing and understanding all the nitty-gritties about work.
- To set goal and plan meticulously.
- To develop employable manpower by encouraging industry institute interface.
- Delegation of responsibilities.
- Creating healthy and conducive work environment.
- Developing good human resource.
- Maintain effective communication.
- Encourage and involve others in decision making.
- Crisis management and conflict resolution.

One of the basic opinion natural tendency in teaching in higher education is to debate, question and to challenge. The ability to influence, ability to inspire people and important of all with due home work they keep learning and exploring new knowledge areas.

“Colleges and universities have presented leadership challenges...from the most varied perspectives...Yet this vast trove of purported wisdom remains somehow unsatisfying and desperately random” (Wergin, 2007,p. xv). This is to say, despite all that has been said and done about academic leadership and administrators capabilities the question still remains "What does it take to be an effective leader."

An effective leader is committed his or her ability to lead others, perform technical skills, and conceptualize situations, thus helping to goal attainment.
“Leadership is an action, not a title, it is the ability to lead and can be found in every person. Each of us must claim our authority to lead at the right time and in the right place (Shapiro, 2005)” Dr. Willis M. Watt (Faculty Focus) elaborated characteristics of effective emergent leadership as Attitude, recognition and respect People, Listen, be compassionate and truthful, Expect Conflicts, Proactive, Committed, Risk Taker, Submit to the authority of others, Follow procedures and adhere to policies. Effective leaders are essentially required to be good followers............

**Attitude** – Effective leadership begins with a correct mind-set, so it is essential for a good administrator to check his/her attitude. Having the right kind of attitude ensures success in achieving personal goals and more importantly group achieves its objectives and fulfils its mission.

**Recognition and respect people**- An administrator needs to acknowledge the value of colleagues and respect them with the dignity they deserve. Whether it is students, teaching staff and non teaching staff, it is essential to show the staff that you care. The bottom-line is that leaders must value people and relationships with them if they are to claim their authority to lead.

**Listen** – Communication plays an important role in the achievement of interpersonal and organizational goals. Communication being a two-way process, effective communication demands effective listening. Covey’s (1989) explained in his book ‘seven habits of highly influential people’, Habit #5, Seek First to Understand, Then Seek to Be Understood, reflects the epitome of effective listening. Ineffective listening undermines people’s self-esteem, self-confidence, and creativity. Point here is hearing and listening are not synonymous terms.

**Be compassionate and truthful** – Truthfulness is most important in leadership as pointed out by Bracey, Rosenblum, Sanford, and Trueblood (1990). Conflicts occur many a times due to confusion on task related and
personal interventions. As human being fall prey to prejudice and perceptions. Even then the leader must compassionately tell the truth whether it is about faculty member’s job performance or management issues. Student activities etc...

**Expect Conflict** – Conflict among people is natural and inevitable. Conflicts at any organization cannot be avoided however they can effectively be managed. An effective leader expects conflict and is able to manage it in a productive manner.

**Be Proactive** – Covey pointed the need for leader to be proactive.

**Commitments** - The group’s vision and mission must be internalized by the leader. An effective leader is a person who can commit to using his or her ability to lead others, perform technical skills, and conceptualize situations, thus help the team to ensure goal attainment.

**Risk Taker**– For the leaders it is essential to ‘think out of the box’ and be innovative. It is essential for leader to know when it is time to try for new procedures or to implement new policies.

**Submit to the authority of others** – Administrators also essentially has to work under authority of someone whether it is directors, board members. Follow procedures and adhere to policies. Effective leaders are essentially good followers............

In an article in Academic Leader Cheryl Achterberg wrote, “The change from a teaching position to one in administration is full of versatility,” echoing C.Kristina Gunsalus on “surviving the jump from faculty to administrator.” Several authors have commented on the variety of the roles that academic administrator needs to perform on daily basis as well in policy making. Visser (2009) in his research identified four core roles that academic administrators develop to fulfil in the higher education sector. These roles are as mentioned below
1. Academics
2. Administration
3. Management
4. Leadership

2.5.1 Academic Role:
- Teaching in Classes
- Dealing with faculty affairs
- Acting as representative on various syllabus committees
- Evaluating and facilitating academic issues
- Researcher

2.5.2 Administrative Role:
Administrative role refers to administrative duties and responsibilities. This typically includes administration of admissions, examinations, and Channeling of information and policies.

2.5.3 Managerial Role:
In the managerial role is concerned with combination of planning, organizing, directing and controlling the activities of staff members towards attainment of institutional objectives and goals.

2.5.4 Leaders Role:
In the day to day working as academic administrators, leadership role is concerned with activities as
- As an advisor and counselor for staff members as well as for students
- Mentor and coach
- Motivator and Risk taker

In the opinion of Yielder and Codling (2004), leadership and management are closely integrated in the academic context. They further explained that both the academic leadership role and the managerial role require aspects of leadership. Yielder and Codling, elaborated that academic administrators are
consigned in a position and the focus needs to therefore be on the managerial role which incorporates leadership.

2.5.5 Academic Administration and Multitasking:

“When you walk, walk; when you eat, eat; and when you sit, sit. This is the way of Zen. Do what you do fully in each moment.” Levin (2005)

Multitasking has been raised up to the status of a modern virtue, but it is much overrated. In most cases when we say we are multitasking, we are giving only a part of the attention it needs and deserves. It is essential for a good administrator to be a “sequential tasker” than being “multi-tasker”.

“When we are with people, be hundred percent with them; when we are by ourselves, be hundred percent alone. This is the way of all things: Be exactly where we are at any given moment and everything will be without strain”, Levin (2005).

While multitasking is inadvisable when one is dealing with work, it’s unpardonable when we are dealing with people. Many people have said that one of the most remarkable things about being in the presence of Jacqueline Kennedy or Bill Clinton is that, while you were speaking with them, they made you believe you were the most important person in the world to them. Good administrators need to give their attention on this point and proceed. Whether it is meeting faculty members, parents, students, board members or any other member of the institutional community, a good administrator need to give their complete and undivided attention.

The educational leaders’ skills as listed by Isa Kaftal Zimmerman, and Joan Thormann (2010) are as follows:

1. Calling and running meetings – with clear agendas, punctuality, formation committee with volunteers, following action.
2. Building consensus – ensure open debate, listen patiently, recognizing team’s strengths and weakness, appropriate delegation, rewarding people, being true and social.

3. Communication – sharing information, acknowledge positively.

An effective administrator is a person who can commit to using his or her ability to lead others, perform technical skills, and conceptualize situations, thus helping to ensure goal achievements. Donna Goss and Don Robertson, co-director of the Leadership Development Institute at Northampton Community College – interview extracts difference between management and leadership in higher education institutes. Leadership is more about where ‘we are going’, so it is about future. On the other hand, managing is more about the present; it is about planning, organizing, controlling and coordinating. However in higher education sector there is thin line difference between leadership and managing.

In the opinion of some authors, the role of academic administrator is more crucial when it comes to teamwork. As most of the academic administrators are from amongst the teacher’s team, so for the academic administrators (Principals in particular) they need to demonstrate support for teachers. The good teamwork exhibited by faculty members will lead to good institutional culture. Ultimately principals and other academic administrators need to put one and all to understand that, everyone is equally and mutually can attain institutional goals.

2.6 CHANGING CONCEPTIONS IN ACADEMIC ADMINISTRATION:

Change is the order of the day, when changes are taking place in every walk of life; academic administration is also not left behind. New era of education is of technical advancement and young leadership so are changes in administration styles seen in the higher education institutions.
Types of Administration:

1. Autocratic or Authoritarian Administration
2. Democratic Administration

2.6.1 Autocratic Administration:
An autocratic administration is one that is ruled by sole, authoritarian, or dictator governance as opposed to democratic or republican rule by many. Typically it is one man’s bossism, where boss is right and the subordinates have to follow orders, having no say irrespective whether they like it or not.

2.6.2 Democratic Administration:
A democratic administration is the one which is decentralized. A democratic administrative setup is where the boss and subordinates work as colleagues. Administrators would largely agree that the purpose of an administrative system is to help bring about a methodical and well graded achievement of the educational and social ideals of the people.

In the comparison of autocratic vs democratic administration following few lines are worth quoting

"The boss drives his team, the leader coaches them.
The boss depends on authority, the leader on good will.
The boss inspires fear, the leader inspires enthusiasm.
The boss assigns the tasks; the leader sets pace.
The boss says, ‘Get there on time’, the leader gets there ahead of time.
The boss fixes the blame for the breakdown; the leader fixes the breakdown."

In India we have accepted democracy as our political, social and economic creed. So imparting a democratic administrative style in education will help build future generations.

The study by M.P. Koes, E.M. Bitzer about leadership in higher education at one university in South Africa revealed that roles of academic leaders
expanded in the era of globalization. There seems to be continuous pressure to perform effectively and efficiently in the emergence of knowledge economy, competition for resources, reduced staff, budget crunch, new technologies, teaching, results and accreditations. There is certainly no agreed upon recipe for academic leaders and at the same time, the Universities, higher education institutions cannot do without good leadership. Leadership does matter, and it is further agreed upon that enhancing skills of academic leaders on building relations through all levels is key to the success in South African higher education.

2.6.3 Zen and the Art of Higher Education Administration:

In higher education institutions, faculty members experience personal success like one person gets his book published, wins award as best teacher, serves as principal investigator on grant and is also known to brilliant students as mentor. In the same set up, role of administrator and their success also depends on team performance. Even though decisions and negotiations are done efficiently by administrators, the success of projects is through committee. Administrators begin finding success in the success of others.

“Walk gently, leaving tracks only where they can make a difference. Where no difference can be made, walk without leaving tracks. This is how the sage passes through life: unseen and invisible, yet effecting change everywhere.”

“Succeed quietly, letting everyone else believe that it was because of their efforts that a venture worked. At times, you may feel unrewarded for your efforts, but you’ll always know in your heart the value of your contributions.” Good administrator lead by example. They are concerned only about what is the best for their institution and more so for the people of the institution.
2.7 MEANING AND DEFINITION OF MANAGERIAL CAPABILITY:

It is the ability of managers to create a healthy workplace and organizational culture that accelerates the employee's growth, simultaneously ensure that organizational goals and objectives are attained. Amongst many dimensions it includes leadership qualities, decision making, and innovation.

![Managerial capability diagram](image)

**Figure 2.2 Managerial capability**

The managerial capability is supported by four key factors as said by Frans A.J. functional knowledge, technical knowledge, company knowledge, and environmental knowledge. An organization achieves managerial capabilities by integrating the managerial knowledge of individuals.

2.7.1 Defining Managership and Leadership:

Academic leaders in their day to day basis most of the time busy in management activities - managing budgets, dealing with personnel matters,
scheduling courses, etc but being a true leader demands a more perspective visionary than the day to day management tasks.

Although often the terms “managership” and “leadership” are used as synonyms, the two need to be distinguished. As a matter of fact, there can be leaders of completely unorganized groups, but there can be managers, as visualized here, where organized structures created roles. Leadership certainly is an important aspect of managing.

Robertson: Leadership is focused on where we are going what new future possibility do we want to pursue? For leadership there is this aspect of the future and getting people excited about this new possibility, on the other hand managing is more about the present. It’s more about planning and organizing, controlling and coordinating and setting up budgets and putting in place to-do lists but, it’s all focused on what we are going to do right now.

Academic administrators achieve their greatest success through the achievements of others. Many of an administrator’s accomplishments cannot even be measured or quantified by customary methods of assessment. The most satisfied academic leaders are, therefore, the ones who do not rely on the constant recognition of others in order to achieve their sense of worth. They know the contributions they have made, and many times that knowledge is enough. “When no one is doing what you think is right, do it yourself”, Levin (2005).

2.7.2 Defining Competency and Capability:

*Competency* as defined by many authors is the ability of an individual to perform a job properly. A competency is a set of defined behaviours that provide a structured guide enabling the identification, evaluation and development of the behaviours in individual employees. Competency has different meanings, and continues to remain one of the most diffuse terms in the management development sector, and the organizational and
occupational literature. (Collin 1989). Competencies are generic knowledge motive, trait, social role or a skill of a person linked to superior performance on the job. (Hays 1979)

Competencies are personal characteristics that contribute to effective managerial performance. (Albanese 1989). A competency is a set of skills, related knowledge and attributes that allow an individual to successfully perform a task or an activity within a specific function or job. (Unido 2002). Capability as defined by many authors is a talent or ability that has potential for development or use. Competency, a more detailed examination of the definition of competency as 'an underlying characteristic of an individual that is casually related to effective or superior performance in job' (Boyatzis, 1982: 21) appears to be a useful starting place to explore the meaning of competencies. The definition emphasizes on FOUR key words which are critical to understand namely, 'individual', 'casually', and 'superior' and 'performance'. Competency and capability are used interchangeably in day to day use.

2.7.3 Managerial Capabilities Important for Job of Academic Administrators:

1. Capabilities relating to planning and organizing
2. Capabilities relating to leadership
3. Capabilities relating to controlling
4. Capabilities relating to Information Technology
5. Capabilities relating to human resource specific aspects
6. Capabilities relating to personal attributes
7. Capabilities relating to decision making
8. Capabilities relating to Communicating
9. Capabilities relating to Evaluating

Major components of academic administration on which majority of the thinkers agree on are as follows
1. Planning
2. Organizing
3. Directing
4. Co-ordination
5. Controlling
6. Reporting
7. Budgeting

It is very difficult to judge the superiority of one element over the others. All components are important at their own places. In-fact each one assists the other so as to have better outcome on administration process.

2.8 ROLE OF UGC IN HIGHER EDUCATION:

The University Grants Commission (UGC) came into existence on 28th December, 1953 and became a statutory organization established for the coordination, determination and maintenance of standards of university education.

The present approach towards higher education is governed by the “National policy on education” of 1986 and program of action of 1992. This National policy was based on two land mark reports namely, “University Education Commission” of 1948-49 (popularly known as Radhakrishnan Commission), and the “Education Commission” of 1964-66 (Kothari Commission). These two landmark reports in fact laid down the basic framework for the National Policy for higher education in the country.

“The most important and urgent reform needed in education is to transform it, to endeavor to relate it to the life, needs and aspirations of the people and thereby make it the powerful instrument of social, economic and cultural transformation necessary for the realization of the national goals. For this purpose, education should be developed so as to increase productivity, achieve social and national integration, accelerate the process of
modernization and cultivate social, moral and spiritual Values.” Radhakrishnan Commission (1948-49). Since then the vision of Indian Higher Education includes Greater access, equal access, quality and excellence, relevance and promotion of social values.

2.8.1 Training:
“The highest education is that which does not merely give us information but makes our life in harmony with all existence”. -- Rabindra Nath Tagore

Training is learning experience good leader look to the future and prepare for it. One important way to do this is to develop and train administrators so that they are able to cope with new demands, new problems and new challenges. Indeed Institutions have responsibility to provide training and development opportunities for their employees so that the employees can reach their full potential.

2.8.2 UGC on Training of Academic Administrators:
“Within the context of globalization and developments in technology, higher education is undergoing unprecedented changes. In addition to questions of access and equity, institutions of higher education are called upon to cut costs, improve quality and compete in an environment of cross-border educational provision. Academic administrators have to respond to these challenges and steer the course of their institutions to provide world class education and training to their students. The UGC proposes to address this issue by creation of a structured system to impart training and development opportunities to the staff, administrators and senior functionaries in the various universities and colleges with the broad goal of attaining excellence in academic governance.” (Higher Education in India - Strategies and Schemes during Eleventh Plan Period (2007-2012 for Universities and Colleges)
UGC established Academic Staff College's main functions is to plan, organize, implement, monitor and evaluate orientation courses for newly appointed college/university lecturers; to organize refresher courses for serving teachers; and to conduct orientation programmes for senior administrators, Heads of Departments, Principals, Officers, etc.

However no trainings were conducted in the year 2008-09. (UGC Annual Report 2008-2009). The teachers' training still receives attention through FDP (faculty development program), refresher courses but when it comes to administrators training, there is little or no attention is received.

2.9 PERFORMANCE MEASUREMENT:
Performance management involves your, understanding and acting on performance issues at each level of your organization from individuals, teams and directorates, through to the organization itself.

As well as involving performance measurement, systems and processes, 'performance management is about managing people and the way people within an organization operate and work together.' Issues such as leadership, decision making, involving others, motivation, encouraging innovation, and risk taking are just as important to bring about improvement.” Performance measurement is the area in which the multidisciplinary nature of performance management is being most effectively and extensively investigated. Balanced scorecard is nowadays most widely known approach to performance measurement. Performance measurement includes development of strategies or objectives and actions taken to improve performance based on the insight provided by the performance measures. This blurs the differentiation between performance management and performance measurement.
2.9.1 Balanced Score Card:

Robert S. Kaplan and David P. Norton introduced the concept of Balanced Score Card (BSC), in their Harvard Business Review article "The Balanced Scorecard – Measures that Drive Performance." Application of BSC is very well documented in the business sector, but about the application of BSC in the education sector is very less in research reported. In organizations financial results alone cannot confine value creating activities. It was through this study of BSC Kaplan and Norton suggested that organizations, while using financial measures, should develop a comprehensive set of additional measures to use as predictors of financial performance. Focusing on the fact that managers need presentation of both financial and operational measures they proposed four perspectives as the drivers of future financial performance:

1. Customer Perspective
2. Internal Perspective
3. Innovation and learning perspective
4. Financial perspective.

Activities in each perspective contribute to success in implementing a strategy. The very purpose of balanced score card is to provide a pyramid of strategic objectives, through the four perspectives (Epsteine & Roy).

James Self (2004) in his paper reviews the balanced score card's application at the University of Virginia library. He pointed out that BSC does not give a three dimensional picture, it just gives snapshot of organizational health. While pointing out problems there are no ways to know the solutions.

He has also brought to light the positive side of BSC, that this process improves the focus and thinking about which areas in improving customer satisfaction. It also encourages innovation and culture of assessment. Though he also points out that there have been arguments on measurability
of effectiveness, but the system assures that measurability can no longer be avoided.

The application of BSC in the business sector is well noted. Karathanos in this paper discussed with example, adaptation of BSC in education sector. He points out that organizations can improve their competitiveness by identifying role-model organizations. The measurement system is known as Baldrige Criteria for performance. Excellent framework yields results in the following areas as:

1. Customer focused results
2. Product and service results
3. Financial and market results
4. Human resource results
5. Organizational effectiveness results
6. Governance and social responsibility results

Education focuses on results and creating values. The core values are broadly conceptualized in seven categories as:

1. Leadership
2. Strategic planning
3. Student, stakeholder and market focus
4. Measurement, analysis and knowledge management
5. Faculty and staff focus
6. Process Management
7. Organisational Performance results

The author presented his study with examples of success stories of institutes who implemented Baldrige Criteria for Performance excellence. The study by Venkatesh Umashankar was aimed at the BSC concepts and discussed in what ways it may be applied to Indian higher education.
The BSC application will certainly be helpful for Indian Institutes to refocus their priorities on quality. Translating the BSC to the complex world of academia is a challenge (Ruben, 1999). In Indian scenario the process of reaching the organizational goals, the institutions are confronted with many barriers that are difficult to overcome however, many barriers originate from the institutions organizational members themselves by way of resistance to change, fear of accountability and its derivative pressure, lack of commitment and fear of failure. The advantage of BSC approach is it offers an institution the opportunity to formulate a cascade of measures to translate the mission of knowledge creation, sharing and utilization into a comprehensive, coherent, communicable and mobilizing framework. The author also stated that for India to give world class higher education, institutes must plan urgently on applying BSC.

Vernon and Mehenna, (2005) published paper on application of BSC to audit the performance of academic administrator. The drawbacks of measuring performance purely on the basis of accountability and comparability as pointed out by Porter (1992) are as follows.

1. It emphasizes short term returns and very less support for long term investments.
2. Readily measurable returns are only focus for favouring investment.
3. Ignored areas are those whose short term returns are more difficult to measure – internal development projects, process and product innovations, employee skills and customer satisfaction.

For academic administrators to remain more focused on internal processes and enhance institutional effectiveness, BSC will come as a handy tool. BSC provides a framework that shows contribution of individuals and units towards attainment of organizational objectives.
Balanced score card applicability in education sector:

The primary aim of organizations is to improve competitiveness in the global markets. The education sector is no different than any other sector in this regard. A thorough literature review produced few noteworthy publications which include Sutherland, Cullen, Joyce, Hassall and Broadbent, proposed that in the educational institutes performance currently is being just monitored, to effectively manage it balanced score card can be used. In the survey reported by Chang and Chow, the results are supportive to use of BSC. Karathanos & Karathanos have explained the adoption of BSC concept in Baldrige Education Criteria for Performance Excellence. In the same study a comparative analysis of BSC for business and BSC for education is also done. Ewell, (cited in Ruben), the measures used in USA in performance reports of higher education institutions, were:

- Enrolment/graduation rates by gender, ethnicity and program.
- Degree completion and time to degree.
- Persistence and retention rates by gender, ethnicity and program.
- Remediation activities and indicators of their effectiveness.
- Transfer rates to and from two and four year institutions.
- Pass rates on professional exams.
- Job placement data on graduates and graduates’ satisfaction with their jobs.
- Faculty workload and productivity in the form of student/faculty ratios and instructional contact hours.

Application of balanced score card in education sector would need basis for translation which suits to academic environment, the same is provided by Bailey et al.

Customer Perspective:

To achieve the organizational vision it is important how the organization appears to its customer? In the education sector the translation of customer is its varied stakeholders. Academic institutions have heterogeneous
stakeholders, internal customers, faculty, students, staff, administration, alumni, parents, employers, student organizations, community at large.

**Internal Process Perspective:**
To achieve the organizational vision it becomes necessary gauge what process to improve at? This when compared to education sector is quality of education programs and its providers.

**Innovation and learning Perspective:**
To achieve the organizational vision being innovative is key factor. In the education sector how far institutes can be innovative in designing courses, curriculum or teaching-learning methodology.

**Financial Perspective:**
How financially we appear to our customers? Traditionally organizations, key performance indicators are based on financial measures. To the education sector along with the revenue generation, value of the asset also must be maintained.

The power of this “top-down” hierarchy structure is the integration, from individual efforts in the four perspectives, now integrated toward a financial result.

**Design of BSC in the Indian higher education scenario:**

Dorweiler and Yakhou describe BSC as novel approach to face challenges in the competitive times of accountability. A good balanced score card should have mix of outcome measures and performance drivers (Kaplan and Norton). India is witnessing a horizontal growth in higher education sector, and not much of focus on vertical growth. Institutes are required to position themselves and build a brand image, in the highly competitive environment.
In such scenario institutes are becoming more aggressive in their marketing activities. These increased marketing activity focus is generally found in contrast with the institutes’ vision. The managers of higher education face unique challenge of stringent budget controls, teaching quality, similar programs being offered by the University, industry expectations and demographic shift. Varied stakeholders have variety of expectations and even highly deviational demands. To meet the challenges especially when there is a sharp rise in the cost of higher education (Kanis), the job becomes tough.

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**BALANCED SCORE CARD**

**INNOVATION AND LEARNING PERSPECTIVE**

- Learning excellence and innovation,
- Faculty development, Technology leadership,
- Course and Curricular, Innovations and Improvements, Pedagogy enhancements,
- Value-added learning, Lifelong learning,
- Quality of facilities, Reward system and Mission-driven process

**CUSTOMER PERSPECTIVE**

- Student,
- Employers,
- Faculty,
- Alumni,
- Parents,
- Community

**INTERNAL BUSINESS PERSPECTIVE**

- Teaching excellence,
- Quality of faculty,
- Curriculum excellence and innovation,
- Service efficiency and Effectiveness,
- Strategic issues

**FINANCIAL PERSPECTIVE**

- Fund raising, Revenue from operations,
- Human capital investment,
- Financial management, and Alumni relationships,
- Public image

**Figure 2.3 Balanced Score Card Perspectives, based on Kaplan and Norton**

Students and parents now a days give importance to learning environment, which includes on campus facilities, amenities, accommodation, organizational policies, rules and regulations and most importantly
communications at all levels along with teaching environment. In an academic setup, staff, teaching, faculty and administrators all need to ensure continuous performance monitoring and improvement as everyone is teacher in education setup.

The institute needs to clearly define objective and maintain transparency in communication of the organizations vision, mission and policies. Once the objectives are clearly defined, measures to be taken as against each objective in-line with the BSC four perspectives will lead to overall quality enhancements in the organization. As described by Kaplan and Norton what needs to be done is

✓ Clearly state and update organizational vision and strategic direction;
✓ Ensure communicating the strategic objectives and measures through all levels of the employee of the organization;
✓ Align departments and individual goals with organization vision and strategies;
✓ Long term targets and budgets must be in-line with the strategic objectives;
✓ Identify and line-up strategic initiatives;
✓ Conduct periodic performance reviews to learn about and improve strategies;
✓ Take feedback for improvements.

The entire above mentioned can be equally thought in the higher education institutions context. One good thing about BSC is it is simple, meticulous, and easy to understand for performance measurement, review and evaluation (Pandey).

2.9.2 Benchmarking:
The example set by University of Southern Queensland (USQ) 2009-2013 strategic plan is worth noting. The USQ introduced Benchmarking framework to encourage collaboration throughout all levels of the University and to work
towards continuous improvement. American Productivity and Quality Centre (APQC) definition of benchmarking is as mentioned below. “A systematic and continuous measurement process; a process of continuously comparing and measuring an organisation’s business process against business leaders anywhere in the world to gain information which will help the organization take action to improve its performance.”

Jackson and Lund’s (2000) learning process and continuous improvement and continuous comparative measurement APQC are the key elements which frame USQ’s formal position. The USQ approach to benchmarking in 360° approach in the sense, the University encourages performance measures those can be used to enhance (leading and learning measures) also benchmarks that reflect past performance data (lagging measures).

2.9.3 Total Quality Management (TQM):
The study by R Raju is an effort to empirically establish a relationship between TQM implementation and students satisfaction of academic performance. In this study author has taken effort to empirically establish a relationship between TQM implementation and student’s satisfaction of academic performance. The study considered a 5C TQM model, where the 5C’s are course delivery, campus facility, courtesy, commitment of top management and customer feedback. The study is limited to privately funded engineering institutes in Tamilnadu State based on students’ perception has certainly its own limitations of various process and it considers only SCS from students’ angle.

Jose Carlos Pinto’s study is based on Portuguese manufacturing SME’s has proved relationship between TQM and customer satisfaction, orientation also has proved impact on performance. The structural link between innovation and TQM could however not be established. The study concluded on the node of advocacy of TQM to be used for performance measure and does not have direct or moderating influence on innovation (Prajogo and Sohal, 2003).
2.9.4 Investor in people:

Prof. Mike Bourne, Dr. Monica Franco – Santos (2010) conducted a study which found empirical evidence showing that Investor in People (IIP):

1. Improves managerial capabilities
2. Supportive to organisational learning culture
3. Improves the effectiveness of management development practices
4. Boosts high performing environment
5. Ensures enhanced performance of managers.

Investor in people has strong evidence that managers play vital role in organizations and have improved and performed better after adopting the IIP. The study has good amount of survey evidence in developed country like U.K. The organizations working with Investors in People (IIP) are recognized to have better managerial capabilities that produce higher managerial performance and outcome of which is higher profitability. The organizations with Investors in People are clearly the ones which are committed to their people. As loss of skilled manpower not only weakens the organization they leave but strengthens competitors.

2.10 WHY MANAGE PERFORMANCE?

Extensive review of literature gives various reasons for managing performance, the three main categories are:

**Strategic**: Comprising the roles of managing strategy implementation and challenging assumption.

**Communication**: Comprises the role of checking position, complying with the non-negotiable parameters, communicating direction, providing feedback and benchmarking.

**Motivational**: comprises the role of evaluating and rewarding behaviour, and encouraging improvement and learning.
There are two inter-related issues necessary to examine the way in which performance is managed firstly what should be managed and second how performance be managed?

In the study about performance measures, Umar Al-Turki Salin Duffuuaa advocates that the system of performance measures should be based on outputs as compared to inputs. As known in academic institutions, output is research, projects, graduates and their University results and the inputs are faculty, resources and other equipments. The academic administrator essentially plays an important role in the process. The author referring to (Mc Namara, 2000) development and evaluation of performance measurement has given from major steps as:

1. Choosing areas to measure
2. Selecting performance indicators
3. Designing specification for a measure
4. Testing the scientific strength of the measure.

The measures studied need a strong support of information system that could facilitate implementation of the theory.

2.11 STUDY CONDUCTED IN DEVELOPED COUNTRIES:

2.11.1 Baseline study of leadership development in UK Higher Education:

The report on UK leadership development in higher education indicates that there is significant importance and progress in this field. This research report is based on mainly two tools; that were used to gather data, first were questionnaire to HEIs and secondly was through visits and interviews. Rewarding and developing staff commonly cited during this survey. It is also apparent in this report that irrespective of new, old, small, medium or large size of the institution funding for leadership development and strategies for leadership development are increasing in UK Universities and HEIs.
Different leadership approaches performance measure methods are adopted by Universities. Dan McCarthy (2008) suggested moving up the ladder HEI can learn from practice of the top performing companies. In the sense that spotting talent early, investing in talented people at entry level, linking investments to wider strategic needs and continuously evaluating and learning from the outcomes (results). The activity of imparting trainings is costly though but that has been essence of success mantra for UK HEIs.

2.11.2 KELLOGG MSI Leadership Fellows Program:
The Kellogg MSI Leadership Fellows program is different from other programs as this training is focused on leadership skills. The training activities are grouped under three general thematic headings:

1. Planning / strategic issues
2. Day to day concerns and
3. Principles of leadership

Training program module is based on deliberate study and 360° feedback.

Planning / Strategic Issues:
1. Vision and Mission
2. Government Relations
3. Institutional accreditation
4. Financial management
5. Membership associations and advocacy organizations
6. Legal and regulatory issues
7. Board regulation and cultivation

Day to day concerns:
1. Information technology
2. Deferred maintenance
3. Senior staffing
Principles of leadership:
1. Time management and priority setting
2. Serving as an effective change agent
3. Crisis management and conflict resolution
4. Civil rights
5. Gender conflicts and gender roles
6. Ethics
7. Cross cultural learning
8. Personal motivation and vitality
9. Public speaking and advocacy

The Kellogg MSI leadership Fellows Program is a powerful example on how to shape future through next generation senior leaders.

2.11.3 EALP (Extension Administrative Leadership Program):
The University of Wisconsin-Extension (UW-Extension) is one of the fifteen University of Wisconsin System institutions and is the link between the people of Wisconsin and the extraordinary body of knowledge within the state-wide public university system. Faculty and staff within the University of Wisconsin-Extension are dedicated to applying and delivering university research, knowledge and resources to meet the educational needs of Wisconsin people, where they live and work (UW extension Annual report, 2001).

2.11.4 UNESCO:
In the report on regional workshop, 1992 on ‘Management Education and Training for Administrators of Higher Education Institutions, the objective was to help strengthen the higher education management persons or administrators to improve their functional efficiency or effectiveness.

The workshop was able to:
1. Analyze and identify issues, concerns in the administration of higher education in the region.
2. Assess the training needs for administrators.
3. Formulate a number of projects on management education.

Workshop recommended 3 key projects through UNESCO:
1. Training in MIS system
2. Assessment and assistance for special trainings
3. Preparation of a systematic and annotated catalogue of trainings available currently.

2.12 RESEARCH GAP AND NEED FOR THE STUDY:

Central to most of the studies in the field of higher education in India and abroad on leadership the focal point is the concept of ‘academic credibility’. This certainly has some link to the capability of the ‘leader’ it is perhaps most significant in terms of how people respond to them – i.e. that academicians are more willing to believe and trust someone who has a demonstrated academic track record and hence may be more likely to ‘follow’ them. Despite the growth of interest in leadership in higher education, however, much of what is published on ‘academic leadership’ is actually about the leadership of academic institutions rather than leadership of academic work per se. More emphasis is on training on academic skills and there have been evidences of non-teachers - academic administrators training also, viz registrars, library heads, IT, finance and so on. Very little is done on need of training required for academic administrator’s smooth transition from academician to administrator. Successful leader in one situation could be a disaster in another. To quote an example Churchill was a war time leader, reaching prominence in the 1914-18 war, pre-eminence in 1939-45. But, in peace time, he lost credibility and influence to a degree that nearly destroyed his career.
# 2.13 SUMMARY OF LITERATURE REVIEW:

<table>
<thead>
<tr>
<th>Sr. No.</th>
<th>Author</th>
<th>Year</th>
<th>Source / Title</th>
<th>Outcome / Findings</th>
<th>Limitations / Gaps (If any)</th>
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<tbody>
<tr>
<td>1</td>
<td>Daniel James Rowley, Herbert Sherman</td>
<td>2003</td>
<td>Management Decision, Vol. 41 Iss: 10 pp. 1058 – 1063</td>
<td>Transition from Faculty to Manager to leader and unique challenges defined as compared to other organizations. Planning, Organizing, decision making and implementing. Capabilities defined: Listening, communicating, gathering data, leading immediate peer, enhancing trust, good union relations.</td>
<td>Theoretical paper covering various aspects of academic leadership no support of primary or secondary data. References are from literature of 1950s and 60s which may not be relevant in current timings.</td>
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<tr>
<td></td>
<td>Title</td>
<td>Year</td>
<td>Journal/Publication</td>
<td>BSC: measures that drive performance. Balanced Score Card concept and its application in Higher education. Theoretical model is proposed in this paper on strategic planning and leadership.</td>
<td>Its conceptual paper, absence of evidence of the application of BSC</td>
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<tr>
<td>5</td>
<td>Prof. Mike Bourne, Dr. Monica Fanco-Santos</td>
<td>2010</td>
<td>Investors in People, Managerial Capabilities and Performance <a href="http://www.knowledgeintoaction.co.uk">www.knowledgeintoaction.co.uk</a></td>
<td>Findings/Discussion: Managerial Capabilities are largely derived from 2 factors 1. Managerial Knowledge and experience (Analytical skills, suitable experience, knowledge required to do job, ability to learn and understand quickly and easily)</td>
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<td></td>
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<td></td>
<td>2. Managerial Skills (Decision Making, dealing with people, communication, Team behavior, persuasion, technical, cognitive and interpersonal skills, team organization, professional networking, Motivation). Performance measure: Effective planning (determining goals, policies and course of action), Effective investigation (Collecting and preparing information, record keeping, report writing, accounting,). Evaluation, Coordination, Supervising people, effective staffing, Negotiation skills, representation.</td>
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<td>Study is limited to Schools in one of the states of Nigeria. Focused on teacher’s accountability in education system.</td>
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<td>7</td>
<td>Prof. Mike Bourne, Dr. Monica Fanco-Santos</td>
<td>2010</td>
<td>Investors in People, Managerial Capabilities and Performance</td>
<td>Benefits of Training on Management development: Job Satisfaction, reduction in employee turnover, reduction in stress level, higher productivity, more effective dealing with customers, control/ reduction in employee grievance, effective succession planning, higher motivation levels, lower absenteeism, Improve organization standard and overall ranking.</td>
<td></td>
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<tr>
<td>8</td>
<td>Dr. Richard Bolden, Dr. Anne O'Brien, Dr. Kim Peters, Prof. Michelle Ryan, Prof. Alex Haslam</td>
<td>2012</td>
<td>University of Exeter Research and development series: 3 Publication 4.1</td>
<td>Academic leadership gets squeezed by management priorities. Academic administrator play dual identity “part church” (values &amp; beliefs) and “part business” (outcomes &amp; performance). Informal role &amp; interpersonal influence (Academic values &amp; identities, purpose, goals &amp; objectives). Formal Role &amp; institutional responsibilities (Academic tasks &amp; processes, academic management), Self leadership, Academic work and leading others. A Model of Academic leadership and management.</td>
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<td>Workload coherence with total working hours, professional safety with position, financial position, personal development, professional development, job satisfaction, self-esteem by position. Managerial Competence: Academic task handling, Strategic, Strategic managerial, financial, political, strategic relational, market related.</td>
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| Management Training |

<p>| Clinton O. Longenecker, Laurence S. Fink | Industrial and commercial training, Vol. 37 Iss: 1 pp. 25-30 | In 21st century to be effective in the ultra-competitive business environment, organizations must pay careful attention to management training. Key benefits of training: Exposure to new ideas, motivated managers perform better, improve skills, cause reflection and self-appraisal, identifies specific performance problems, increase | Generalization of these findings to non-rapidly changing organizations is unclear. The study is conducted over rapidly changing industry other than education. |
|   | John Burgoyne, Dr. John Mackness, Dr. Sadie Williams | 2009 | Baseline Study of Leadership Development in Higher Education Final Report, UK ISBN 978-1-906627-16-4 | Importance of leadership development is increasing in HEIs. Managerial Capabilities: Thinking Ability, People Abilities, Task Abilities. The kinds of leadership development most popular in UK HEIs are short courses in one’s own institutions, internal / external mentoring. | Need for leadership development in higher education to be integrated team work and cultural change initiatives. Running enhanced senior leadership programs. Whether Burgoyne’s ladder applies to HEIs. |</p>
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<th></th>
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<th>Leadership development was often aimed at individuals rather than group. Annual appraisal is most common kind of measurement of leadership capabilities.</th>
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<td>Motivational Skill training and leadership training facilitate administration.</td>
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<td>Need to check its applicability in the area of higher education.</td>
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<tr>
<td>12</td>
<td>G. Briscoe &amp; G. Briscoe</td>
<td>2010</td>
<td>Emerald Article Systems Training Council: the door is now closed.</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td>Discussion: Management training needs to include an emphasis on diagnostic techniques. Practice of management by ‘panacea’ becomes big problem, which is due to mismatch between management training and structures and actual problem. Managers also need to learn how to deploy the right mix of people to tackle problems.</td>
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<td>This paper examines the concept of learning and training strategies presented need to be aligned.</td>
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</tbody>
</table>

**Note:** The text seems to be a summary or abstract of research findings, possibly from academic journals or conference proceedings, discussing themes related to leadership development, training, and management practices.
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<th>Journal of Knowledge Management, Vol. 7 Iss: 3, pp.92 - 104</th>
<th>explores training strategies to promote the ability to learn, which can guide the design of training interventions and the development of a knowledge management system.</th>
<th>with structural, cultural, and managerial issues together to nurture the learning capability.</th>
</tr>
</thead>
<tbody>
<tr>
<td>16</td>
<td>James Self 2004</td>
<td>Metrics and management: applying the results of the balanced scorecard&quot;, Performance Measurement and Metrics, Vol. 5 Iss: 3 pp. 101 - 105</td>
<td>The paper reviews the balanced scorecard's first year of operation at the University of Virginia Library.</td>
</tr>
<tr>
<td>17</td>
<td>C.R. Coast 2010</td>
<td>Team Performance Management Emerald Article : Central Europe - management training Central government agency</td>
<td>The program has seven modules with broad 4 categories as Teamwork, Customer, Consensus and change</td>
</tr>
<tr>
<td>18</td>
<td>M. Strebler, &amp; M., Strebler 2011</td>
<td>Management Development Review Emerald Article : Developing a competence-based management training programme management training programme, vol. 12, no. 2, pp. 23-34</td>
<td>The article examines the use of competences in the light of the many claims which have been made about them recently. The effective implementation of Competence Based Management Training.</td>
</tr>
</tbody>
</table>
|   | Alfredo Serpell, Ximena Ferrada | 2007 | Personnel Review, Vol. 36 Iss: 4 / Emerald | **Findings:**
This case study demonstrated the significant potential of the competency framework. In particular, this framework can be an effective approach to achieving the competencies required by construction site supervisors who must deal with inadequately trained workers. The structured approach of the competency framework can help companies create more objective schemes for the design and implementation of training programs. | **Limitations:**
Study limits itself to a case in Construction company. However the training model suggested may be tested for its general applicability in other sectors. |
|---|---|---|---|---|
| 20 | John Edmonds | 2010 | Industrial and Commercial Training/ Emerald | **Findings:**
Most common causes of project failure:
1. Lack of clear links between the project and the organisation’s key strategic priorities.
2. Lack of clear senior management ownership and leadership.
3. Lack of effective engagement with stakeholders.
4. Lack of skills and proven approach to project management and risk management.
5. Too little attention to breaking developments and implementation into manageable steps. |
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<tbody>
<tr>
<td>21</td>
<td>Adrian Eley</td>
<td>1994</td>
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<tr>
<td></td>
<td>International Journal of Educational Management/ Emerald</td>
<td>Management Training for the University Head of Department</td>
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<td>22</td>
<td>Shai Rozenes, Gad Vitner</td>
<td></td>
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<tr>
<td></td>
<td>Industrial and Commercial Training / Emerald</td>
<td>The training methodology of project management office (PMO) personnel</td>
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<td>Any type of organization in any business sector can fall foul of project management failure, but if they do not want to suffer long term damage, they need to address the cause, and take steps to improve their chances of success. Great project management training should be delivered by subject matter experts who can deliver training experiences that are inspirational and rewarding.</td>
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<td><strong>Findings:</strong> Areas of Management Training That HODs Considered to Be the Most Useful</td>
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<tr>
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<td>1. Financial management</td>
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<td>2. Personnel management</td>
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<td>3. Administration</td>
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<td>4. Leadership</td>
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<td>5. Academic planning</td>
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<td>6. Monitoring and evaluation</td>
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<td><strong>Comments / Gap:</strong> Study conducted at UK university HODs, developed Country.</td>
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<td><strong>Findings:</strong> Many organizations are facing the need of coping with project demands. Separate Dedicated project management office that supports the project team is need of hour. Using a proven project management methodology by the PMO team can lead to the achievement of the project aims and objectives. Essentials for Better Management (1) time management (2) Cost management (3) Human resources management (4) Quality management (5) Communications management (6) Risk management (7) control</td>
</tr>
</tbody>
</table>
**Comments / Gap:**

In the Higher Education structure there is hardly or no provision for project based teams or additional skilled manpower. So how much can the quality be focused when project load is shared along with regular teaching work load.

**Quality Management Systems**

<table>
<thead>
<tr>
<th>Sr. No.</th>
<th>Author</th>
<th>Year</th>
<th>Source / Title</th>
<th>Findings</th>
</tr>
</thead>
<tbody>
<tr>
<td>23</td>
<td>Maria J. Rosa, Claudia S. Sarrico and Alberto Amaral</td>
<td>2012</td>
<td>Implementing quality management systems in higher education institutions. ISBN 978-953-51-0378-3</td>
<td>European Standards and Guidelines (ESG) forced HEIs to implement internal quality assurance systems, paper reviews various quality management frameworks. Quality Management in HEIs and managerialism is discussed and debated at length in the paper. Failure of application of TQM is often blamed on resistance to change; insufficient administration.</td>
</tr>
<tr>
<td>24</td>
<td>S. Kuppusamy</td>
<td>2009</td>
<td>International Journal of Educational Administration “Higher Education in India: an Overview”</td>
<td>The study is helpful as it discusses in brief historical background of Indian Higher Education and in depth the current state of higher education system in India. Study reveals statistical information about 4 types (State, Central, Deemed and Private) of Universities and the other higher educational institutions in India. The study has listed the states with their number of state universities. It has also listed the accredited colleges to the states.</td>
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<td></td>
<td>Authors</td>
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<td>Abstract</td>
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<td>25</td>
<td>Ronald H. Heck and Philip Hallinger</td>
<td>2005</td>
<td>Sage Publications/ British Educational Leadership, Management &amp; Administration Society, Educational Management Administration Leadership</td>
<td>This study comments on recent trends in research in educational leadership and management. It is noted that there is progress in use of quantitative methods over the past decade. The study concludes with thought that success of intellectual development needs proactive responses not only from professors and their associations, but also from educational leaders.</td>
</tr>
<tr>
<td>26</td>
<td>Dr. Cheong Sing Tng</td>
<td>2009</td>
<td>E- Leader Kuala Lumpur, Monash University, Malaysia</td>
<td>The study is about growing tension between fundamentalism and cosmopolitanism reflecting conflicts between universal rules and diversity respectively. Review is taken on traditional (Trait, Behavioral and contingency approach) and contemporary (Transformational, Strategic, Educative and Organizational) leadership theories.</td>
</tr>
<tr>
<td>27</td>
<td>Shelley B. Weipher, Antonia D’Onofrio Stephen C. Wilhite</td>
<td>2004</td>
<td>Academic Leadership the Online Journal <a href="http://www.academicleadership.org">www.academicleadership.org</a> Four Dimensions of Leadership in The Problem Solving of Education Deans</td>
<td>This study links personal attributes of deans to the problem solving contexts in which they make decisions. The study describes mix of intellect, emotion, social acumen and moral attributes that deans draw upon when they respond to vignettes that capture the multifaceted nature of problem solving in their positions.</td>
</tr>
<tr>
<td>28</td>
<td>Lawrence T.</td>
<td>2009</td>
<td>Academy Of Educational Leadership</td>
<td>This research points out that tolerance for ambiguity</td>
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<td></td>
<td>Author(s)</td>
<td>Journal/Website</td>
<td>Abstract</td>
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<td>Kajs, Daniel L. McCollum</td>
<td>Journal USA <a href="http://galnet.galegroup.com">http://galnet.galegroup.com</a></td>
<td>(TFA) or intolerance for ambiguity (INTFA) has an impact on individuals behavior, which in turn affects leadership style and decision making. This study has sample survey of 326 principals and academic administrators.</td>
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<tr>
<td>29</td>
<td>Donald E. Hanna</td>
<td>Educause Journal <a href="http://galnet.galegroup.com">http://galnet.galegroup.com</a></td>
<td>The study shows clear need for change in Higher Education Institutions to meet the future needs. In the Eleven strategies emphasis is also given on Technological competent manpower and transforming Bureaucracy Culture and Assumptions. It shows the need for committed, passionate, and visionary leadership to help shape the higher education Institutions.</td>
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<tr>
<td>30</td>
<td>Ken Ramani and Liu Zhimin</td>
<td>Educational Research and Reviews Academic Journals <a href="http://www.academicjournals.org">http://www.academicjournals.org</a></td>
<td>Objective of this research was to determine various mechanisms applied in resolving conflicts within the academic administrators. Importance of effective and transparent communication is key to success of academic administrators, as the administrators has to address the issues of conflicts amongst students, teaching / non teaching staff members, within administrators and with higher management.</td>
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<td>31</td>
<td>Saeid Farahbakhsh</td>
<td>Academic Leadership The Online Journal <a href="http://www.academicleadership.org">http://www.academicleadership.org</a></td>
<td>The emphasis is on principal as leader has added a new dimension to the traditional distinction between the dual roles of principal as educator and principal as administrator. The role of Principal as leader and as administrator involve influencing group of individuals towards goal attainment.</td>
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http://www.academicjournals.org | "The Relationship Between Leadership and Employee Morale in Higher Education"  
Higher Education environment is faced by changes such as mergers, downsizing and changes in the funding formula, budget cuts, increasing competition, staffing shortages and a significant decrease in staff morale. These challenges have an adverse impact on the confidence and performance of employees.  
This research pinpoints a critical issue as employees trust in institutional leaders. The results showed that both internal and external factors affect employee morale and that there is a relationship between leadership and employee morale. A "one size fits all" strategy might not be effective in Higher Education. |
|33 | Marry Ann Wisniewski | 2004 | Academic Leadership the Online Journal  
www.academicleadership.org | "Leadership In higher Education: Implications For Leadership Development Program"  
The study is about Extension Administrative Leadership Program. The higher education leadership competencies and related abilities generated by this research are Development of a core set of values and vision, Effective Communication, Reflection and Analysis, Creating a positive climate, Facilitation and Collaboration, Problem Solving and Risk Taking, Perseverance (ability to carry on despite ambiguity and conflicts). |
|34 | Mark R. Nelson      | 2003 | Educause Center for Applied research  
Educause.edu | The research analyzes findings from 867 higher education institutions of the highest ranking information technology and information management staff. The study reveals six dimensions of IT competence |
<table>
<thead>
<tr>
<th></th>
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<th>“The CIO in Higher Education: Leadership, Competencies, Effectiveness”</th>
<th>three are knowledge based (business, technical, and behavioral / organizational) and three are activity based (conveying the relevance of IT, managing critical relationships, and implementing IT based solutions.)</th>
</tr>
</thead>
<tbody>
<tr>
<td>35</td>
<td>Le Von E. Wilson</td>
<td>Academy Of Educational Leadership Journal <a href="http://galenet.galegroup.com">http://galenet.galegroup.com</a> &quot;The Value Of Law-Related Education For Faculty and Academic Administrators in Higher Education: The Challenge of Educating Educators&quot;</td>
<td>This study discusses importance of law related education for academic administrators. The results of this study show a need on part of colleges and universities to earnestly develop appropriate training programs for academic administrators to ensure that they receive appropriate law related training to enhance their level of knowledge of relevant constitutional law</td>
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<tr>
<td>36</td>
<td>James E. Berry, Robert Beach</td>
<td>National Council Of Professors of Educational Administration (NCPEA) USA <a href="http://cnx.org">http://cnx.org</a> &quot;K-12 Leadership And The Educational Administration Curriculum: A Theory Of Preparation&quot;</td>
<td>This module has been peer reviewed, accepted and sanctioned by NCPEA as a scholarly contribution to the knowledge base in educational administration. The basic report illustrates that the quality of university-based administrator preparation programs are considered to be a primary weakness in the nation's educational system. It further advocates need for strong University based training program for academic administrators.</td>
</tr>
<tr>
<td>37</td>
<td>Ingrid L. Potgieter, Melinde Coetze</td>
<td>SA Journal of Human Resource Management, South Africa <a href="http://www.sajhrm.co.za">http://www.sajhrm.co.za</a></td>
<td>This study indicated that there is a significant relationship between the competencies indicated as being important for the job and the level of training</td>
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<tr>
<td>No</td>
<td>Author</td>
<td>Year</td>
<td>Journal/Book</td>
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<tr>
<td>38</td>
<td>Izhar Oplatka</td>
<td>2006</td>
<td>Journal of Educational Administration / Emerald</td>
</tr>
<tr>
<td>39</td>
<td>Tim Simkins</td>
<td></td>
<td>Educational Management Administration &amp; Leadership/ SAGE Publications</td>
</tr>
<tr>
<td>40</td>
<td>Neil Johnson</td>
<td>2005</td>
<td>Leadership in Education 'What Works' or 'What Makes Sense'?</td>
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<td>• Standards and accountability</td>
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<td>• Devolution and delegation</td>
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<td>• Flexibility and innovation</td>
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<td>• Expanding choice</td>
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**Comments / Gap:**
The study considers leadership dimension of Education. It's more of comparative traditional and emerging leadership in Education.

**Findings:**
Need for programmes like the Certificate of School Management. Principals play a vital role in developing administrative competence on the job.

**Need for research:**
Into the effectiveness of devolution in specific schools and regions;
- Transition from bureaucratic structures to new managerial forms
- Effect of competition, capacity of existing theories of organization, change, power and conflict
- Professional Development of Principals, individual behavior and attitudes,
- Emerging organizational structures and role relationships.
- The knowledge and skills that principals and other educational administrators will need to cope successfully with their new roles.
|   | Author(s)                          | Year | Journal / Publication Information                                                                 | Findings: A satisfied internal customer would act as an efficient service provider.  
                                           |                                               |                                               | 1. Elements of quality framework helpful for academic administration are Specific goals, clear and specific policies and procedures, strategic and operational planning, clear organizational structure and design, emphasis on continuous improvement, management-by-fact/information system, Administrative competence-expertise and adequacy, Reward policy/incentive schemes, emphasis on training and development, customer focus, participation and involvement, trustworthiness, well-defined channels of communication, Teamwork, and respect for people. |
|   | Sangeeta Sahney, D.K. Banwet, S. Karunesh | 2010 | Quality framework in education through application of interpretive structural modeling: An administrative staff perspective in the Indian context |                                                                 |

### Academic Administration

<p>|   | Author(s)                          | Year | Journal / Publication Information                                                                 | Findings: It’s a comparative analysis of private and public universities administration and their students' academic performance. The papers concluded on note of need for public and private partnership in Higher education for better administrative controls. |
|   | Olabanji E. Obadara                | 2011 | Comparative Analysis of Public and private Universities Administration in Nigeria |                                                                 |</p>
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<th>Limitations:</th>
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<td></td>
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<td>The very concept is questionable, is there direct link between administration and students performance? This study is on limited sample size of 20 private and 20 public Universities</td>
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**Performance Management**

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<th>Findings:</th>
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<tr>
<td>43</td>
<td>John D. Hanson, Steven A. Melnyk, Roger A. Calantone</td>
<td>2011</td>
<td>The study is about assessment of the state of alignment and effectiveness of the performance measurement system.</td>
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<td>Performance measurement and management system (PMMS) having three elements (1) the measure; (2) the standard; and (3) the reward, instrument provides management with the tools and the system by which three critical functions are enabled: (1) Communication (2) Information (3) Control.</td>
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<td>Limitations:</td>
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<td>This research was conducted within one major organization which was undergoing a strategic shift from process efficiency to product innovation, hence the results need to be tested for generalizations.</td>
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<td></td>
<td>A measurement system for managing performance of industrial clusters: A conceptual model and research cases</td>
<td></td>
<td>Findings: Based on Balanced Score card Nortan Kaplan Despite all the constraints and pitfalls, it seems fine that implementing and maintaining a measurement system helps focusing on key performance factors and stimulate decision-making based on information analysis which benefits performance management of any business.</td>
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<td>Limitations: Absence of a culture of decision making based on analysis of information and lack of resources may create some difficulty in using metrics for a cluster of SMEs.</td>
</tr>
<tr>
<td>45</td>
<td>Ferda Erdem, Janset Ozen</td>
<td>2003</td>
<td>Team Performance Management, Vol. 9 Iss/ Emerald</td>
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<tr>
<td></td>
<td>Cognitive and affective dimensions of trust in developing team performance</td>
<td></td>
<td>Findings: According to this study, teams which show high levels of trust (both cognitive and affective dimensions of trust) perform better. Trustworthy behavior should be treated as a measurement of performance for the purposes of employee appraisal. Limitations: The development of trust in organizational life is definitely not merely an individual responsibility, but also an organizational responsibility. It is difficult to collaborate successful in teamwork</td>
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<td>Performance measures for academic departments</td>
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**Findings:**
Performance measurement system for educational institutions is discussed in this paper. It outlines the properties of adequate performance measures and the steps for developing such measures in an educational environment. Three types of performance measures are proposed. These are outcomes, inputs and process measures.

**Limitations:** The study is about Saudi Higher education departments. The applicability in different environments to be tested. There is need for supportive Information system that will facilitate use of performance measures.
<table>
<thead>
<tr>
<th>47</th>
<th>Michael Allio</th>
<th>2006</th>
<th>Handbook of Business Strategy/ Emerald Metrics that matter: seven guidelines for better performance measurement</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Findings:</strong> Budgets and Profits alone can not be Performance Measures in Organizations. For organizations to prosper the due importance should also be given to 1. Behaviour 2. Strategies 3. Time management 4. Team building 5. Communication 6. Stakeholders Interests 7. Continuous Quality Checks</td>
<td><strong>Comments / Gap:</strong> Is the stage too early for Practical Implementation of six Sigma principles? In the field of education</td>
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### Innovation

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<td><strong>Discussion:</strong> Teamwork quality is significantly related to improved performance, and task complexity moderates this relationship. Represents Various Industries study.</td>
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<tr>
<th>49</th>
<th>Yi-Ying Chang, Mathew Hughes, Sabine Hotho</th>
<th>2011</th>
<th>Management Decision, Vol. 49 Iss: 10, / Emerald Internal and external antecedents of SMEs’ innovation ambidexterity outcomes</th>
</tr>
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<tbody>
<tr>
<td><strong>Discussion:</strong> Effects of internal organizational structures and external environmental conditions on the appearance of a balance dimension of innovation are studied</td>
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<td>Authors</td>
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<tr>
<td>50</td>
<td>Mary Hardie, Grame Newell</td>
<td>2011</td>
<td>Construction Industry/ Emerald Factors influencing technical innovation in construction SMEs: an Australian perspective</td>
</tr>
<tr>
<td>51</td>
<td>Kuo-Ming Chu, Hui-Chun Chan</td>
<td>2009</td>
<td>Internet Research, Vol. 19 Iss: 5 / Emerald Community based innovation: its antecedents and its impact on innovation success</td>
</tr>
</tbody>
</table>