

# **Institutional Research in South African Higher Education in synergy with policy developments during the first two decades of the democratic dispensation**

**Jan Botha**

**CREST and DST/NRF Centre of Excellence in Scientometrics and Science, Technology and Innovation Policy (SciSTIP)**

**16 September 2014**





## Research Object:

**The 488 programme events at SAAR Annual Forums during 1994-2013 in SA policy context**

## Research Problem:

**What was the synergy, if any, between the papers, keynotes, panel discussions, workshops etc. at SAAIR Forums during 1994-2013 and policy development epochs in Higher Education during the first two decades of the democratic dispensation?**



# SAAIR forum attendance 2010-2014



	<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>
	Johannesburg	Cape Town	Bloemfontein	Durban	Pretoria
South African members	105	137	81	101	100
Outside SA			9	4	4
Total number of participants	105	137	90	105	104

# SAAIR Programme Events



<b>Nature of contribution</b>	
Contributed papers	384
Demonstrations	24
Invited papers	20
Keynote addresses	18
Open forums	14
Panel discussions	9
Workshops	6
Table top discussions	5
<b>Gender distribution of presenters</b>	
Female	38%
Male	62%
<b>Population groups of presenters</b>	
African	16%
Coloured	2%
Indian	4%
White	78%

# Institutional affiliation of presenters of SAAIR programme evenents



Public universities in South Africa	64,5%	<b>88%</b>
Public Technikons and Universities in South Africa	18,4%	
South African government and statutory bodies	3,3%	
Commercial companies in SA	1,2%	
Non-governmental organisations in South Africa	0,8%	
Private higher education institutions in Botswana	1,8%	<b>12%</b>
Public universities in Botswana	1,6%	
Private higher education institutions in Botswana	1,6%	
Public university in Namibia	0,4%	
Polytech of Namibia	0,4%	
Government bodies from Botswana	0,3%	
Universities in Tanzania	0,3%	
Universities in Mozambique	0,1%	
Private higher education institutions in Namibia	0,1%	
University of Swaziland	0,1%	
Institutions beyond SSA, and elwewhere in world	4,9%	

# Keynote addresses at SAAIR 1994-2013



- **Jairam Reddy** (1997) (chaired the NCHE), **Nico Cloete** (1998) (Director of the Centre for Higher Education Transformation), **Nasima Badsha** (1999) (Deputy Director General Department of Education), **Mala Singh** (1999) (executive director HEQC), **Saleem Badat** (2000) (Chief Executive Officer of the CHE, Vice Chancellor Rhodes University), **L Hewitt** (2002), **G McLaughlin** (2002), **Jonathan Jansen** (2003) (Vice-Chancellor of the University Free State), **R Sharma** (2003), **Rolf Stumpf** (2004) (president of Human Sciences Research Council), **Vic Borden** (2005) (American Association for Institutional Research), **C Elfick** (2005), **Patrick Molutsi** (Director of Tertiary Education Council Botswana), **Judy Favish** (2007) (University of Cape Town), **A Mathekga** (2008), **T Tjivijua** (2008), **Rick Voorhees** (2009) (AIR president), **Randy Swing** (2010) (CEO of AIR), **Karen Webber** (2010) (University of Georgia), **Geoff Scott** (2011) (University of Western Sydney), **Ulrich Teichler** (2011) (Univ Kassel, Germany), **Amy Bik May Tsu** (2012) (Deputy Vice-Chancellor University of Hong Kong), **Martin Schofield** (2013) (Edge Hill University, UK)

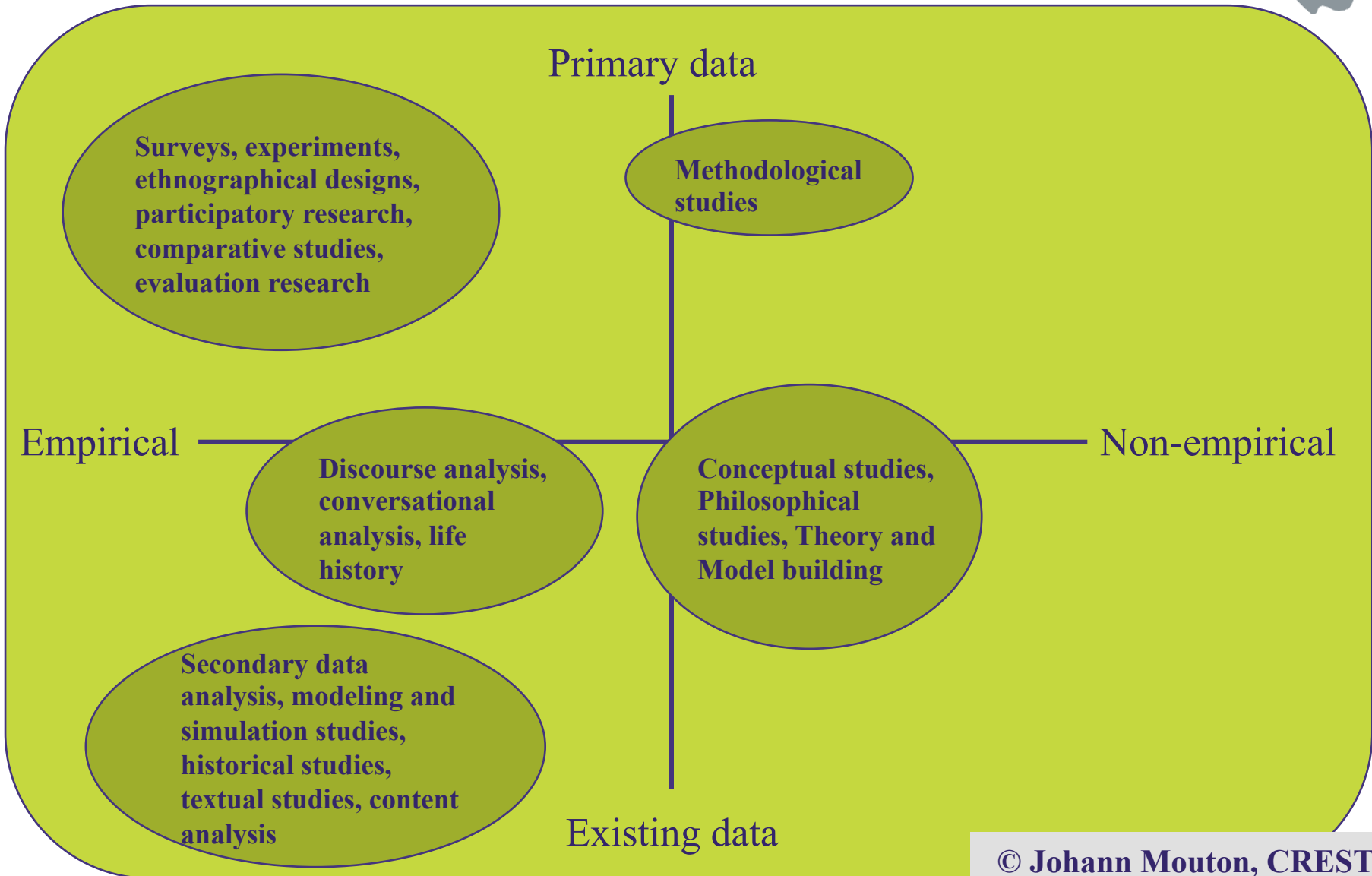
## Presenters at SAAIR Forums 1993-2013



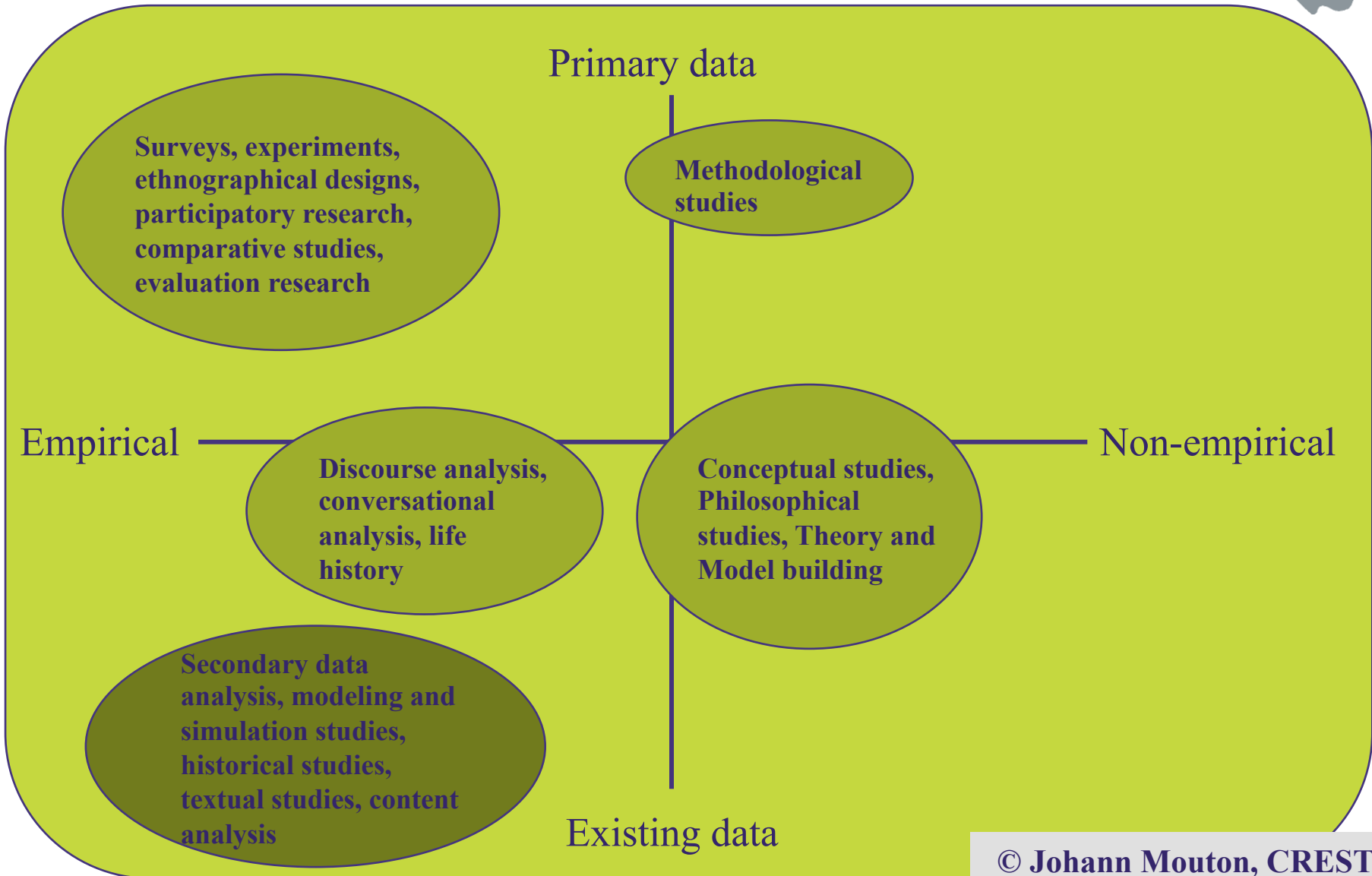
HJ Visser (24), G Barnes (12), G Steyn (12), D Bleazard (9), J Botha (9), SA Du Plessis (9), H Geyser (9), A Lourens (9), G Subotzky (9), P Van Eldik (9), EM Bitzer (8), T Lourens (8), E Sibanda (7), I Pretorius (6), C van der Merwe (6), D van Zyl (6), M Cronje (6), J Hendry (5), G Jacobs (5), H Alt (4), R Bally (4), C Boonzaaier (4), A Dandala (4), M Fourie-Malherbe (4), M Fowler (4), I McLean (4), P Minnaar (4), C Mjojo (4), AE Müller, R Searle (4), R Stumpf (4), CA van der Merwe (4)



# Research mapping



# Research mapping



# Research design



	Survey	Case Study	Evaluation	Ethnographic
Intent of researcher / research objective	<ul style="list-style-type: none"> <li>Descriptive</li> <li>Correlational</li> </ul>	<ul style="list-style-type: none"> <li>Descriptive (narrative)</li> <li>Interpretive</li> </ul>	<ul style="list-style-type: none"> <li>Evaluative</li> <li>Explanatory</li> <li>Descriptive</li> </ul>	<ul style="list-style-type: none"> <li>Interpretive</li> <li>Descriptive</li> <li>Explanatory</li> </ul>
Contextualization / Generalization	Generalization	Contextualization	Contextualization	Contextualization
Discovery / Validation	Validation (analytical surveys) Discovery (explanatory)	Discovery (explanatory case studies) Validation (critical case studies)	Validation (theory driven evaluations) Discovery (goal free evaluations)	Discovery (grounded theory studies) Validation (theory testing studies)
Diachronic / Synchronic	<ul style="list-style-type: none"> <li>Synchronic (cross-sectional surveys)</li> <li>Diachronic (longitudinal surveys)</li> </ul>	<ul style="list-style-type: none"> <li>Synchronic (Life histories)</li> <li>Diachronic (retrospective case studies of organizations)</li> </ul>	<ul style="list-style-type: none"> <li>Synchronic (process evaluations or impact assessments)</li> <li>Diachronic (outcome evaluations)</li> </ul>	<ul style="list-style-type: none"> <li>Synchronic (life history studies)</li> </ul>

# Research design

Research Object: The programme events at SAAR Conferences 1994-2013

	Survey	Case Study	Evaluation	Ethnographic
Intent of researcher / research objective	<ul style="list-style-type: none"> <li>Descriptive</li> <li>Correlational</li> </ul>	<ul style="list-style-type: none"> <li><b>Descriptive (narrative)</b></li> <li><b>Interpretive</b></li> </ul>	<ul style="list-style-type: none"> <li>Evaluative</li> <li>Explanatory</li> <li>Descriptive</li> </ul>	<ul style="list-style-type: none"> <li>Interpretive</li> <li>Descriptive</li> <li>Explanatory</li> </ul>
Contextualization / Generalization	Generalization	<b>Contextualization</b>	Contextualization	Contextualization
Discovery / Validation	Validation (analytical surveys) Discovery (explanatory)	<b>Discovery (explanatory case studies)</b> Validation (critical case studies)	Validation (theory driven evaluations) Discovery (goal free evaluations)	Discovery (grounded theory studies) Validation (theory testing studies)
Diachronic / Synchronic	<ul style="list-style-type: none"> <li>Synchronic (cross-sectional surveys)</li> <li>Diachronic (longitudinal surveys)</li> </ul>	<ul style="list-style-type: none"> <li>Synchronic (Life histories)</li> <li><b>Diachronic (retrospective case studies of organizations)</b></li> </ul>	<ul style="list-style-type: none"> <li>Synchronic (process evaluations or impact assessments)</li> <li>Diachronic (outcome evaluations)</li> </ul>	<ul style="list-style-type: none"> <li>Synchronic (life history studies)</li> </ul>

# Literature survey

---



- References to SAAIR in scholarly/reference books
- References to SAAIR in scholarly journals
- SAAIR outputs in “grey literature”

Search conducted via the Stellenbosch University Library's subscription e-resources using channels such as published journals and monographs eg. **EBSCHOhost, Scopus, Web of Science, Google scholar** etc.

# Literature survey: Books

---



- Hopper, R.R., 2007. **Building capacity in quality assurance. The challenge of context.** In *Cross-border Tertiary Education A Way towards Capacity Development*. OECD, World Bank.
- Bitzer, E. & Wilkenson, A. 2009. **Higher Education as a field of study and research.** In E. Bitzer, ed. *Higher Education in South Africa: A Scholarly Look Behind the Scenes*
- Reichard, D.J., 2012. **The History of Institutional Research.** In R. D. Howard et al, eds. *The Handbook of Institutional Research*.

# Literature survey

---



## Articles in scholarly journals

- Chirikov (2013) in *Studies in Higher Education*
- Lange, L., Saavedra, F. M. & Romano, J (2013) in *New Directions for Institutional Research*
- Jama, M.P., Mapesela, M.L.E. & Beylefeld (2008) in *SAJHE*
- Watson, P (2008) in *SAJHE*

## Special edition of the SAJHE (2013)

- Eleven articles, including Scott, Badat, Teichler

## Unpublished

- Lourens 2007 reference to conference proceedings
- ppt-slides on SAAIR's web site, reports on HDs and files

# SAAIR's outputs in “grey literature”



- **Grey Literature**

- production, distribution, and access to multiple document types produced on all levels of government, academics, business, and organizations
- in electronic and print formats
- **\_not controlled by commercial publishing** i.e. where publishing is not the primary activity of the producing body

- **Examples**

reports (pre-prints, preliminary progress and advanced reports, technical reports, statistical reports, memoranda, state-of-the art reports, market research reports, etc.), theses, conference proceedings, technical specifications and standards, non-commercial translations, bibliographies, technical and commercial documentation, and official documents

- **Where are SAAIR's knowledge outputs?**





- Starting point: “four areas that challenge Institutional Researchers and the institutions they serve”, strategic planning, assessment,, accreditation, curriculum development (Voorhees & Hinds 2012:80)
- Further categories distinguished through a close reading and study of the titles of the SAAIR programme events
- 22 categories, grouped into 8 themes



# Planning, information and implementation /management

Strategic planning at system and institutional levels	6%
Environmental scanning	4%
Institutional transformation and change (including mergers)	9%
Enrollment planning and management	3%
Performance indicators	4%
Management information and business intelligence for decision-support and reporting	10%
Subsidy, funding, fees	4%



# Quality assurance 10%

Quality assurance policy and arrangements 7%

Institutional audits, program reviews and program accreditation 2%

Reviews of institutional organizational units (e.g., departments, schools, support units) 1%



# Teaching & learning and curriculum development

26%

Student preparedness

3%

Language of instruction

1%

Interventions to enhance the quality of student learning and improve student success

10%

Student experience and student engagement

2%

Student satisfaction studies

1%

Tracking student success and follow-up studies

8%



<b>Knowledge production by universities</b>	<b>4%</b>
<b>Community engagement</b>	<b>1%</b>
<b>Postgraduate studies</b>	<b>2%</b>
<b>International benchmarking and learning</b>	<b>3%</b>
<b>Practice and instruments of Institutional Research</b>	<b>16%</b>



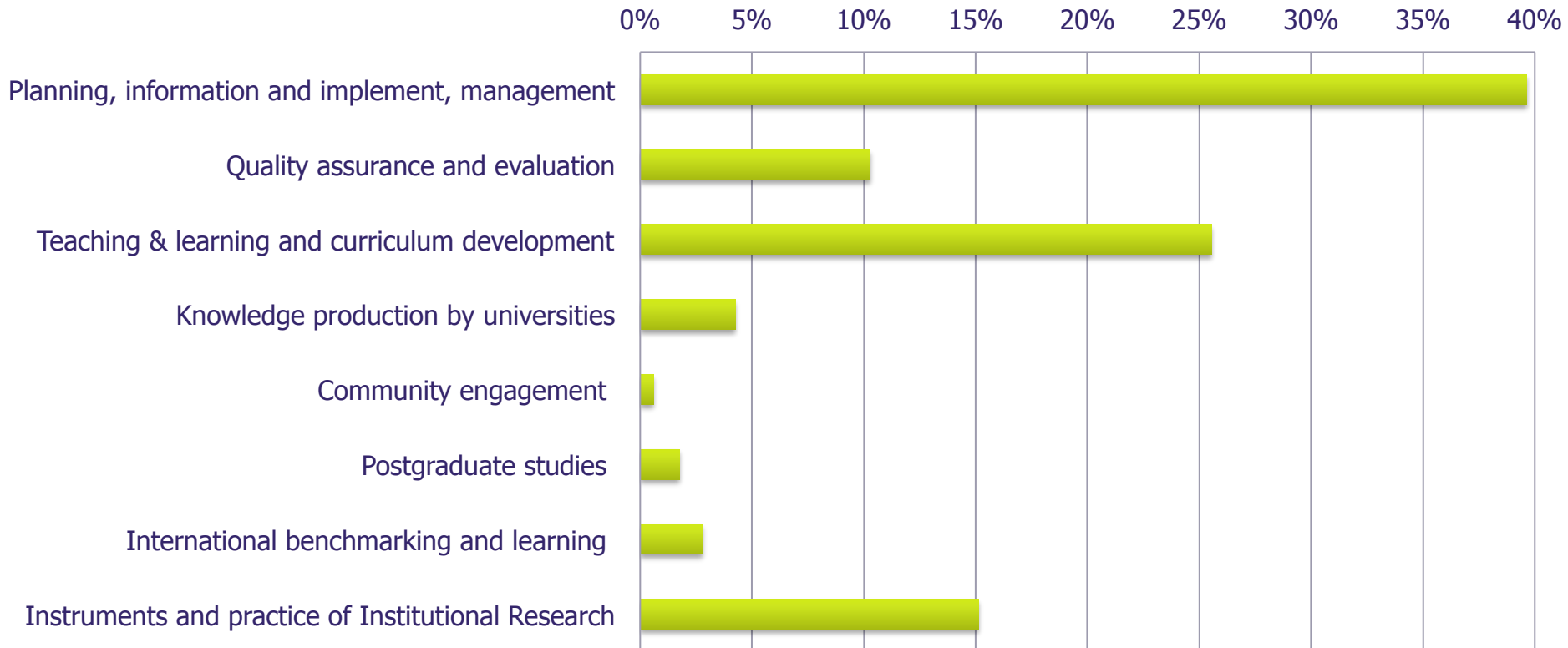
# Practice and instruments of Institutional Research 16%

Institutional research practice 10%

Information and communication technology tools, instruments and models in IR 6%

# Classification and distribution of programme events

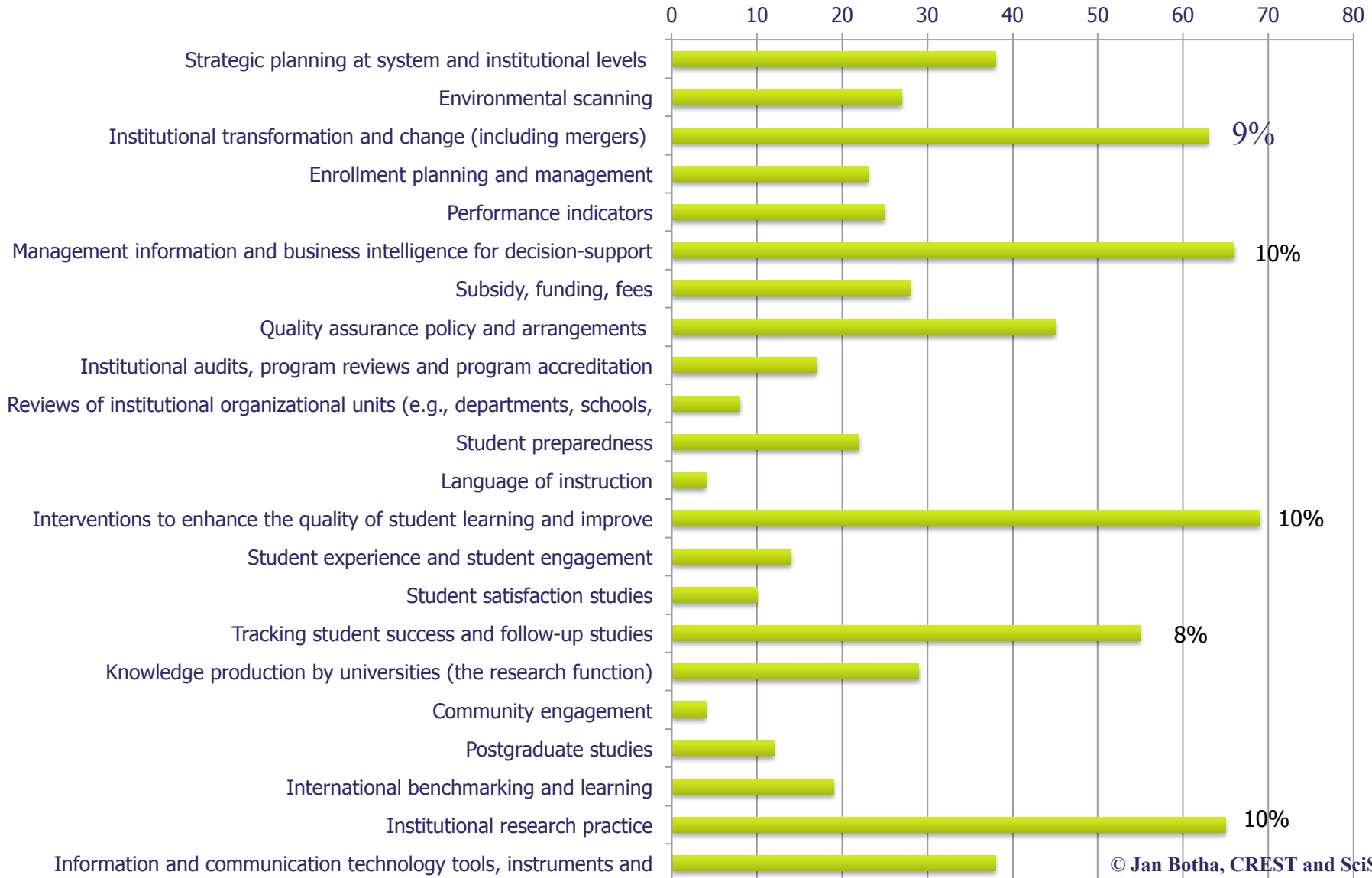
## ALL FOUR periods (1994-2013) SUMMARY in %



	Instruments and practice of Institutional Research	International benchmarking and learning	Postgraduate studies	Community engagement	Knowledge production by universities	Teaching & learning and curriculum development	Quality assurance and evaluation	Planning, information and implement, management
Series1	15%	3%	2%	1%	4%	26%	10%	40%

# Classification and distribution of programme events

## ALL FOUR periods (1994-2013) DETAIL in # (n=488)







## 1994-2000

- HE to match needs of a society in social, political and economic transition
- NCHE (1996), White Paper 3 and HE Act (1998)
- Institutional plans (1999)
- Focus on access, equity and redress
- Policy implementation lacking

## 2001-2005

- NPHE (2001) and mergers (2001-2005)
- Intense policy making and roll out of the steering mechanisms
  - new funding formula (2003)
  - planning (PQMs 2002 and mergers 2002)
  - quality assurance (accreditation and institutional audits, 2004)
- From focus on equity, access, redress and democratisation to focus on efficiency and effectiveness

## 2006-2008

- Pandor ministry: consolidation
- New funding framework implemented
- Enrolment planning (2006)
- NQF Act 67 of 2008 and HEQ(S)F



## 2009-2013

- Higher Education Laws Amendment Act 26 of 2010
- Transformation Oversight Committee
- Decline of CHE
- National Development Plan (NDP)
- PSET Green and White papers
- Review of subsidy formula
- Quality Enhancement Project (QEP)

# HE Policy Development in four periods



- A 1994-2000
- B 2001-2005
- C 2006 – 2008
- D 2008 - 2013

# Classification and distribution of programme events Period A (1994-2000) SUMMARY in %



0% 10% 20% 30% 40% 50% 60%

Planning, information and implementation/management,

Quality assurance and evaluation

Teaching & learning and curriculum development

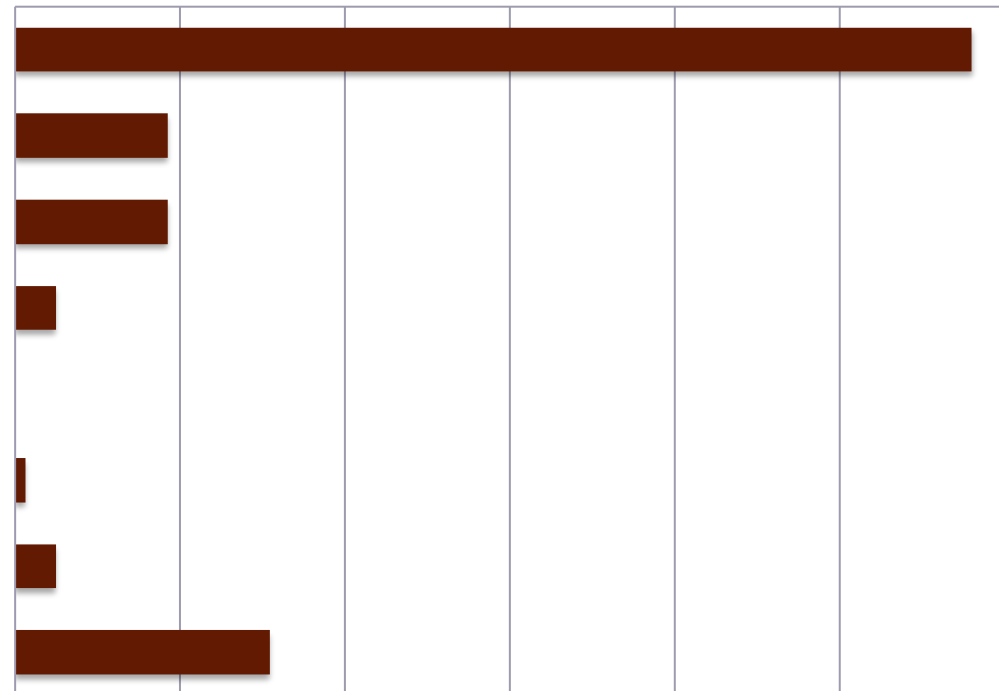
Knowledge production by universities (the research function)

Community engagement

Postgraduate studies

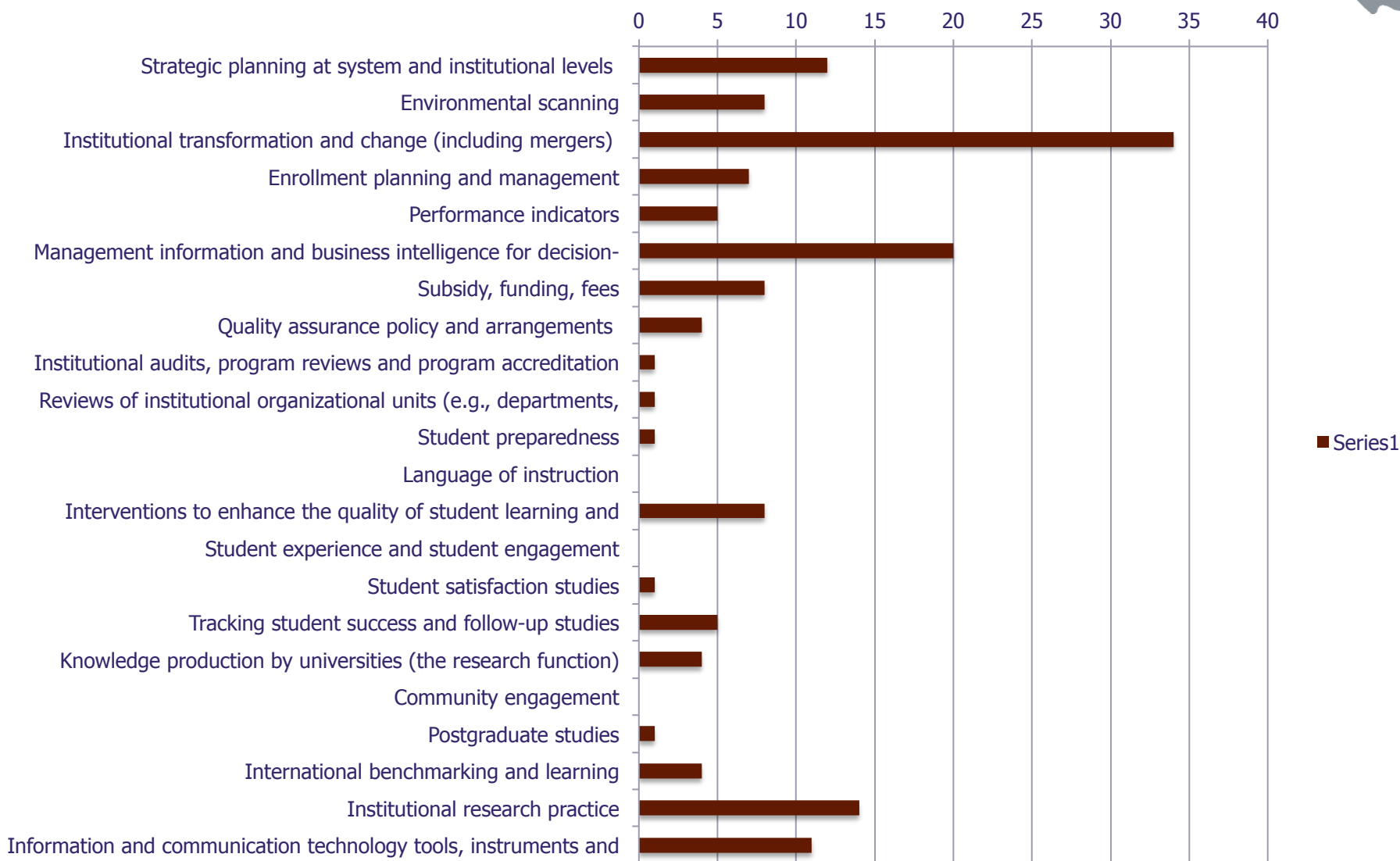
International benchmarking and learning

Instruments and practice of Institutional Research

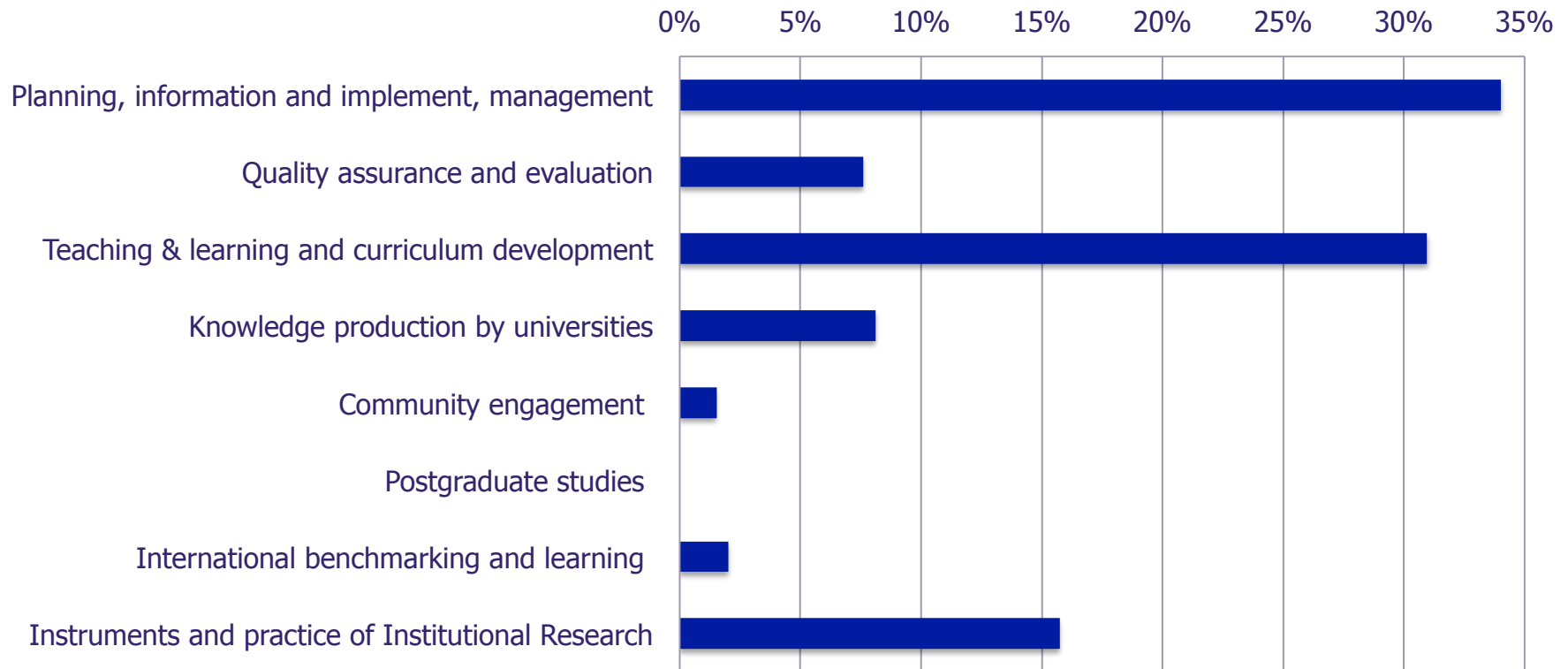


	Instruments and practice of Institutional Research	International benchmarking and learning	Postgraduate studies	Community engagement	Knowledge production by universities (the research function)	Teaching & learning and curriculum development	Quality assurance and evaluation	Planning, information and implementation/management,
■ Series1	15%	2%	1%	0%	2%	9%	9%	58%

# Classification and distribution of programme events Period A (1994-2000) DETAIL in # (n=116)



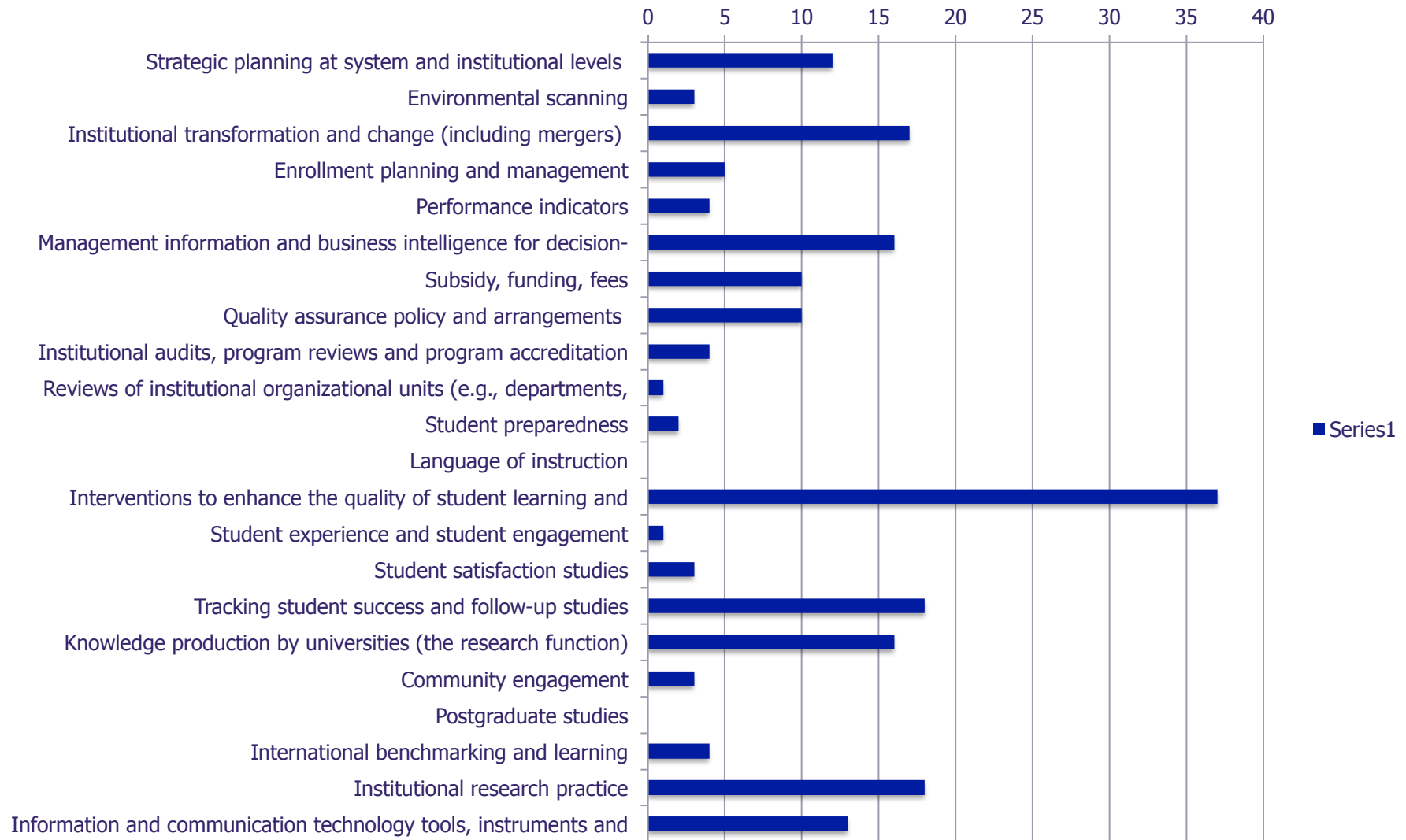
## Classification and distribution of programme events Period B (2001-2005) SUMMARY in %



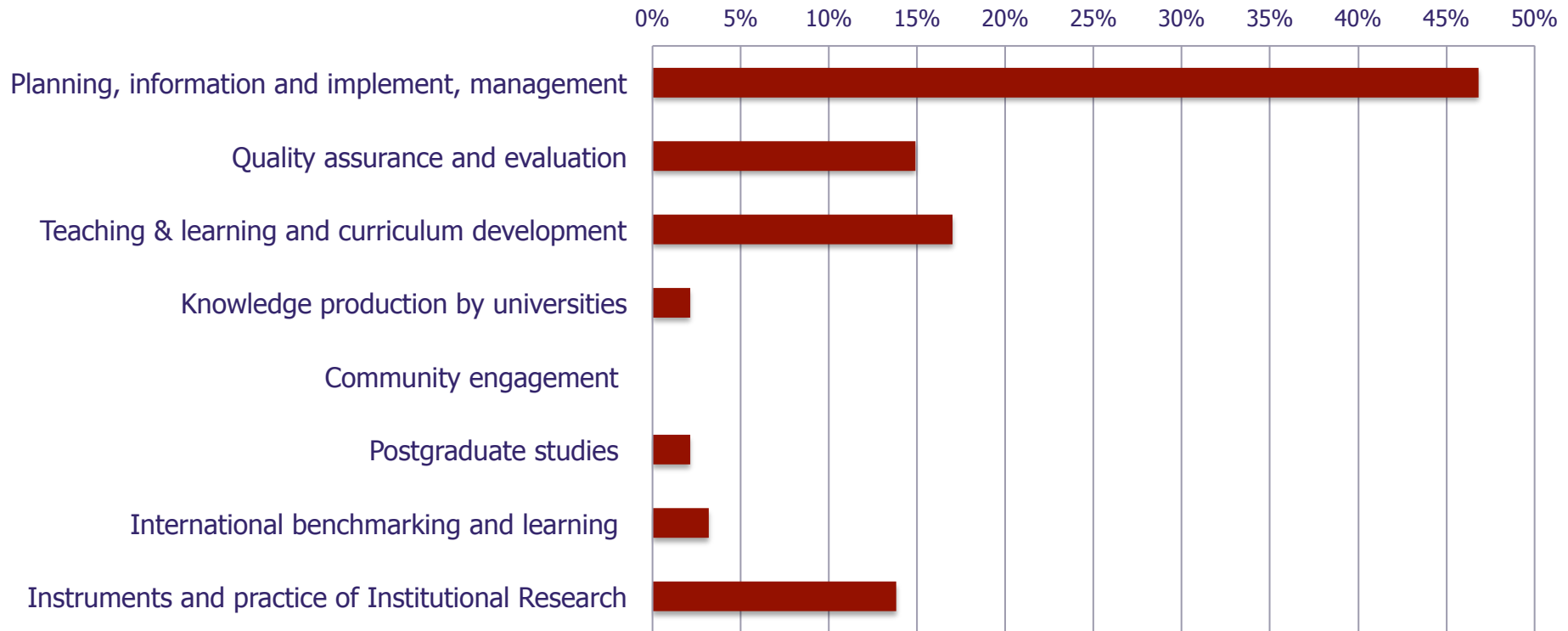
	Instruments and practice of Institutional Research	International benchmarking and learning	Postgraduate studies	Community engagement	Knowledge production by universities	Teaching & learning and curriculum development	Quality assurance and evaluation	Planning, information and implement, management
■ Series1	16%	2%	0%	2%	8%	31%	8%	34%



# Classification and distribution of programme events Period B (2001-2005) DETAIL in # (n=154)



# Classification and distribution of programme events Period C (2006-2008) SUMMARY in %



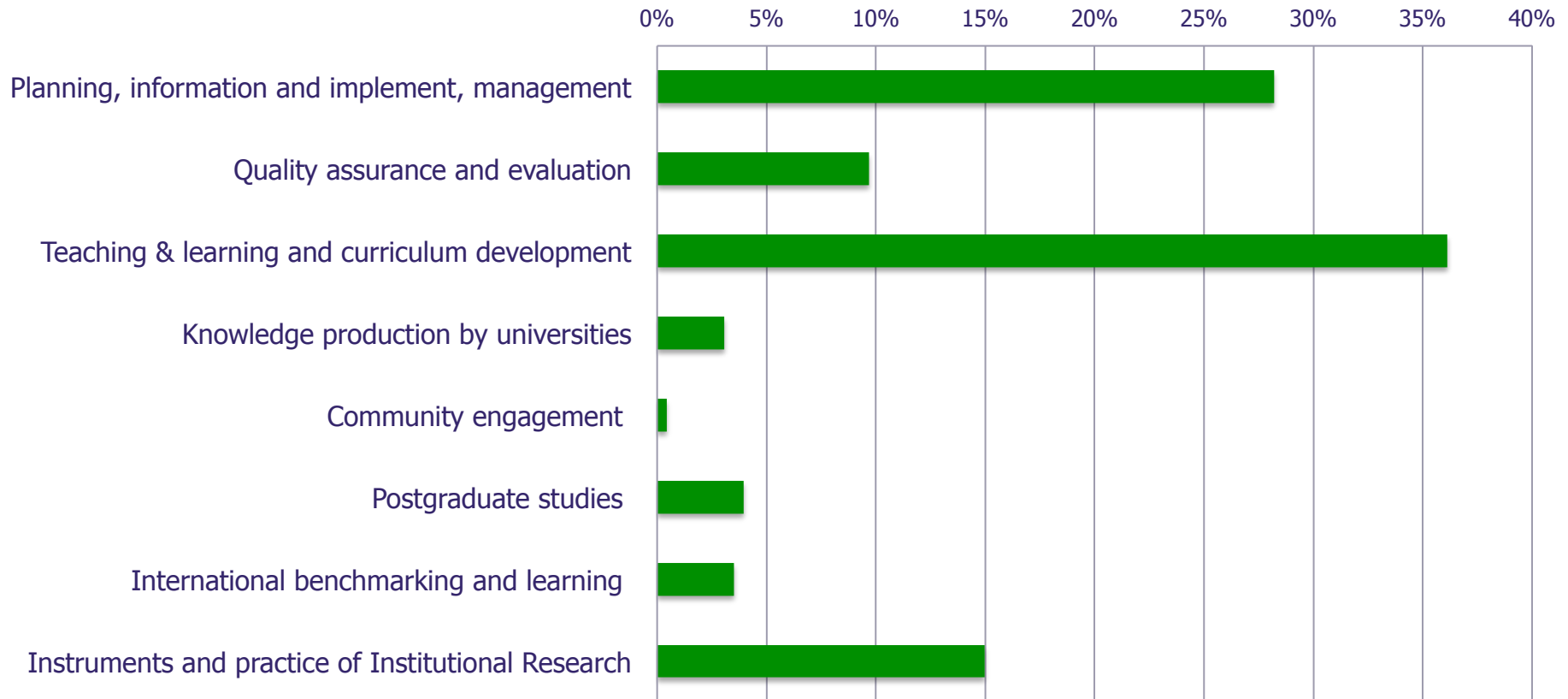
	Instruments and practice of Institutional Research	International benchmarking and learning	Postgraduate studies	Community engagement	Knowledge production by universities	Teaching & learning and curriculum development	Quality assurance and evaluation	Planning, information and implement, management
■ Series1	14%	3%	2%	0%	2%	17%	15%	47%

# Classification and distribution of programme events

## Period C (2006-2008) DETAIL in # (n=57)



# Classification and distribution of programme events Period D (2009-2013) SUMMARY in %



	Instruments and practice of Institutional Research	International benchmarking and learning	Postgraduate studies	Community engagement	Knowledge production by universities	Teaching & learning and curriculum development	Quality assurance and evaluation	Planning, information and implement, management
■ Series1	15%	4%	4%	0%	3%	36%	10%	28%

# Classification and distribution of programme events

## Period D (2009-2013) DETAIL in # (n=227)



# Distribution of programme events across four periods (1994-2013)

