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ABSTRACT
        This study examined the micro-level contextual factors that
impact the process of large-scale, transformational, intentional change at
institutions of higher education. The study used an organizational culture
framework to examine use of change strategies from the "general" literature
on change, to identify micro-level issues and strategies that facilitate
transformational change, and to investigate the importance of and
relationships among these micro-level issues and strategies. Ethnographic
longitudinal methodology was used to examine organizational change at six
institutions. Data analysis identified five themes: (1) certain strategies or
conditions are central (senior administrative support, collaborative
leadership, robust action, staff development, and visible action); (2) core
and secondary strategies and conditions are interrelated; (3) sense-making
emerged as the main vehicle for accomplishing transformational change; (4)
balance is an important principle for effecting transformational change; and
(5) culture of the campus appears to influence the change process. These
principles are illustrated in two case studies depicting change at a
community college and at an urban, private research university.
Recommendations are made concerning the importance of institutions conducting
internal analysis and reflection, the need for institutions to exploit and
build upon interconnections, and the need to recognize that transformational
change is about organizational sense-making. (Contains 36 references.) (DB)

Balancing the Core Strategies of Institutional Transformation: Toward a "Mobile" Model of Change

by

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We looked at the business literature for ideas about change because there are no educational models for transformational change, but we learned that business models are sometimes difficult to apply to education. Business is inherently different from education: changes are made at the executive level, and it is very different producing human beings as opposed to widgets. (Sunshine Community College)

Balancing the Core Strategies of Institutional Transformation:
Toward a "Mobile" Model of Change

Introduction

Financial pressure, growth in technology, changing faculty roles, public scrutiny, changing demographics, competing values and the rapid rate of change in the world both within and beyond our national boarders make change an imperative for higher education. Many think higher education is in the throws of unprecedented change. The type of changes institutions may have to make go beyond the adjustments, tinkering and change through growth and accrual so common in American higher education history. Today's changes are calling for a rethinking of their assumptions of how they work, what it means to teach and learn, and institutional priorities. Institutions may well likely have to transform themselves (Cameron & Tschirhart, 1992; Clark, 1995; Dill & Sporn, 1995). Transformational change is a type of change unfamiliar to most institutions. For those institutions that found themselves transformed, the change typically was thrust upon them rather than intentional. But more and more institutions may have to undertake intentional, coordinated transformational change. It is in how institutions do this that questions arise.

One of the repeated concerns in the literature is that the processes related to accomplishing intentional transformational change are only minimally understood. Much of the literature on transformational change focuses on what types of changes occurred (see for example St. John, 1991). Other literature investigates factors that are related to the change outcomes. For example, some literature suggests that institutional type impacts the ability to make large-scale change; smaller, less bureaucratic institutions may be better able to respond to changes quickly and deeply (Hearn, 1996). Also cultural conditions play a significant role. Institutions with a

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long embedded history are often less likely to respond to change then newer institutions (Hearn, 1996).

Generalized strategies are also fairly common in the literature, such as a willing president or strong leadership; a collaborative process; persuasive and effective communication; change in line with the values of the institution; a motivating vision and mission; aligning values and policies; providing rewards (Roberts, Wergin, & Adam, 1993; Cowan, 1993; Kaiser and Kaiser, 1994; Taylor & Koch, 1996). Sometimes these generalized strategies come from research (Leslie & Fretwell, 1996) other times they are the reflections of the author, typically a former college president (Guskin, 1996; Whalen, 1996: Walker, 1979). Neither sets of writing tend to be very insightful as broad strategies hide the information that help leaders effect institutional change; it is the micro-level detail that is helpful.

The challenge of working on the micro-level is getting to a level too specific. As Hearn (1996) noted, the first and fundamental propositions we can stress about change is so simple as to seem banal or deflating, "it depends". These idiosyncratic insights are of little use to practitioners. One size does not fit all. The wealth of understanding this complicated process is found in the micro-issues of large-scale institutional change. The challenge is findings helpful and informative insights at a micro-level.

The purpose of this study is to better understand these micro-level contextual factors that impact the process of large-scale, intentional change that are often unexamined or are swept into generalized principles that become uninformative. The detailed data and stories help to move beyond the majority of the literature that is based on superficial or uncomplicated big picture principles. The questions this research sought to address are:

Which change strategies from the "general" literature on change are used within
comprehensive change?

What are the micro-level issues/strategies that facilitate transformational change?

Which of the micro-level issues/strategies seem to be most important?

How are the micro-level issues/strategies related to one another?

Theoretical Framework

This study adopted an organizational culture framework to understand institutional transformation. Although we agree that institutional change encompasses structuralist changes, cultural change, deeply connected to sensemaking, is the central process in comprehensive change. In this paper, transformational change is conceived as a change in culture.

Understanding the transformational change process is a complicated task, as one needs help in knowing what to look at and what to disregard. To focus our attention, we selected first a model of cultural change (Martin, 1992; Schein, 1993; Tierney, 1988). This theoretical construct was identified for two reasons. First, because transformational change is deep and pervasive, it effects the culture of the institution (Eckel, Hill, Green, 1998; Tierney, 1988). Second, because we are interested in the micro-level issues, one has to understand the experience of those within the institution, and culture provides the entrée (Barley, 1983; Martin, 1992; Meyerson, 1991; Tierney, 1988; Tierney, 1990). Culture is the institution-wide patterns of perceiving, thinking, feeling, shared understanding, collective assumptions and interpretive frameworks (Kuh & Whitt, 1988; Schein, 1993).

Writers, such as Emmert (1998) suggest that the way to transform higher education institutions is "paradoxically, we must work within the academy's existing culture while helping to shape it to promote essential transformations" (p. 8). We suspect that institutions that succeeded at institutional transformation were able to grasp this cultural paradox successfully. So how do institutions do this? To answer this question, one must focus on the micro-level issues of a change process. This focus gets beyond the unhelpful general principles of change and to an informative level.

Culture emerges at many different levels——at the institutional, group (faculty, administrators), and individuals level (Martin, 1993). Thus, we realized that top down strategies, e.g., vision from the top, senior leadership, most prevalent within the literature were most likely not capturing the breadth of strategies or the most effective strategies for change. Since we conceptualized culture as encompasses these three levels, we explored change strategies within these various levels, identifying what might be considered more grass-roots or collaborative strategies.

Another body of literature which framed this study was the literature on change in higher education and business. This literature helped to identify what key conditions or strategies have been related to or proven to impact change. Although there is literature on conditions such as institutional type, the majority of the literature relates to change strategies. This literature, i.e., change strategies, provides the "how" of change and enables people implement efforts, so understandably it is important to practitioners. Analysis of the literature written on change strategies from 1981-1998 from the ERIC database and ABI Inform was reviewed. The following strategies were most common in the literature: willing president or strong leadership; a collaborative process; persuasive and effective communication; a motivating vision and mission; long-term orientation; providing rewards; and developing support structures (Roberts, Wergin, & Adam, 1993; Cowan, 1993; Kaiser and Kaiser, 1994; Taylor & Koch, 1996). These seven strategies were utilized as a guide for analysis of the six institutions. Although definitions varied across studies; the definitions provided in Appendix 1 tried to capture the most frequent or commonly understood definitions. Less commonly mentioned strategies were noted as possible emerging themes, including: planning; change in line with the values of the institution; decision-making processes; aligning values and policies; institutional focus (not defined much differently from vision); and gathering data.

Some more recent strategies are becoming increasingly prevalent in the literature. For example, systematic individual development -- a major component of Total Quality Management -- has become noted within several books and articles as a key factor for institutional change (Freed, Klugman, and Fife, 1997). Similar to systematic individual development, is the notion of becoming a learning organization (Curry, 1991). Change is seen as a learning process, so the way to accomplish change is through encouraging employees to learn, which is defined as "unfreezing oneself from currently held beliefs, knowledge, or attitudes; absorbing new or alternative attitudes and behavior; and refreezing oneself in the new state (Curry, 19991, pg, 51-54). Senge (1992) is best known for the concept of the learning organization and discusses the five disciplines that individuals must adopt (systems thinking, personal mastery, mental models, building shared vision, and team learning) in order to move toward the concept of the learning community (see Curry, 1991 or Senge for further detail). The notions of systematic individual development and the learning organization were also used as a guide for analysis. We purposeful

examined the data for situations where learning or development was used as a strategy or approach to create change.

Research Design

Site Selection: This research sample is six institutions participating in the ACE Project on Leadership and Institutional Transformation. The ACE Project is a five-and-a-half year initiative on institutional transformation. Institutions were selected to participate in the project through a national competition from a pool of 110 applicants. The institutions in this study were selected from a sample of the 26 institutions in the project. Although 26 institutions were participating only a sub-set of them had intentionally set out to accomplish institutional transformation. From this sub-set, the six institutions that were making the most progress were identified. Institutions were selected using purposeful sampling (Yin, 1994) and following the example of Birnbaum (1992). The six institutions included one research universities, three doctoral-granting universities, a liberal arts college and a community college. Each institution was engaging in a major change initiative, but each differed in the agenda. The change agendas included: becoming more student centered, change faculty roles and rewards, creating a more rigorous academic environment, creating a stronger campus community, integrating technology into the teaching and learning process, and redesigning the goals of general education and those responsible.

Data Collection: In order to examine the process of organizational change through a micro-level analysis, an ethnographic approach was adopted. Institutional participants were recruited to provide data on a semesterly basis. These individuals acted as participant observers. Outside research teams visited each campus on a twice yearly basis for the first three years and on a yearly basis for the last two. Researchers additionally collected and analyzed institutional documents. Thus a combination of internal and external observers and data collection were combined.

This project was a longitudinal study, in that the change initiatives were currently underway. Compared to retrospective studies, longitudinal studies have advantages such as capturing what is immediately important in the minds of the actors and not having to rely upon memory, thus generating less subjective information (Pettigrew, 1995). Events are noted for

their importance not for their chronological proximity (Glick, Huber, Miller, Doty, & Sutcliff, 1995).

Data collection was designed to encompass six measurement points in time, four during the first three years, and two in the final two years. Data was collected about the following areas during each data collection point: 1) conditions including external influences, institutional influences, institutional type, history and culture; 2) processes such as strategies, leadership, and making decisions; and 3) outcomes including sustainability, learning, changed processes, policies, structures, beliefs and assumptions.

Analysis: Data analysis was conducted through three different approach. Categorical analysis was used to search for themes of micro and macro influences, conditions, processes, and outcomes (Miles and Huberman, 1994). Second, we engaged in memoing, a process of writing up ideas of the pattern coded data which helps to identify interrelationship among themes (Miles and Huberman, 1994). Lastly, we examined the data for stories which exemplified the micro contextual issues critical to change and the interrelatedness of micro and macro themes (Reissman, 1993). We identified and categorized change strategies, utilizing the list of change strategies in appendix 1 to shape the analysis of the data. Emergent themes were identified (adding to appendix 1) and negotiated between the two reviewers of the data. The focus of the analysis was on conditions, strategies, and outcomes. We examined how institutional type or the type of change, for example, appeared to influence the change process.

After thorough review of the data, case studies of two of the institutions were drafted to illustrate the surfaced themes common to all six institutions. Although it was the goal of the study to show a more detailed picture of how institutions accomplished comprehensive change, all six institutions could not be described within the results due to space constraints. Having two cases were adequate examples to illustrate the impact of different cultural contexts and see micro-level issues in different contexts.

Limitations: Because the institutions self-selected to be part of the study, they may not represent the full experience of institutions undergoing change. Also since much of the data collected is self-reported by institutional participants, data may be biased to reflect success. Literature indications that people tend to focus on their successes, especially individuals with power positions within the institution rather than challenges or ways that they may have failed.

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Also, campus change initiatives are still incomplete after five years. Because change is such a long term project, it may change before completed and it is difficult to determine when change is final, when it succeeded and if it failed.

Results

The results of the study illustrate several themes that are illuminated by two detailed case studies. First, certain *strategies or conditions are central*; what makes them core strategies is 1) their frequency and magnitude, and 2) their facilitative role in sensemaking. These include: senior administrative support, collaborative leadership, robust action, staff development, and visible action (See Appendix 1 for a list of strategies and definitions). Core strategies were identified both from the campuses perceptions about what helped them to move forward, as well as researchers perceptions based on the site visits and review of documents. Sensemaking emerged a common outcome across all five core strategies. Institutions can not engage in comprehensive change unless the members of the institution change the way they perceive their roles, skills, and approaches/philosophies, in other words, make new sense. What made these five strategies so powerful, was their ability to help individuals conceptualize a new identity, to feel worthwhile, to be brought along with the institutional agenda . All the institutions that made substantial progress toward change had these five conditions/strategies in place. Which strategy played a more central role, depended upon the campus context and culture.

Second, the *inter-relatedness of core and secondary strategies and conditions* is also reflected through the cases. As noted in the literature review, strategies are usually seen as separate or linearly organized, for example, 1) scan the environment, 2) develop a plan, 3) obtain senior administrative support, 4) communicate with members of the campus, etc. The experiences of the six institutions in this study reflect interconnected nature of the activities. Things occur simultaneously or in clusters and bursts rather than sequentially. Twenty-three change strategies were also identified as part of the literature review. See Appendix 2 for a chart of the inter-relationship among the various strategies.

Third, *sensemaking emerged as the main vehicle for accomplishing transformational change*. The core strategies used were essentially trying to create sensemaking opportunities; they were events, activities, programs that are aimed at allowing people to understand the

comprehensive change initiative, make meaning, and find their place in the new realities. These activities allowed people to explore their assumptions and to obtain feedback as well as to conduct reality checks and create new shared interpretations of important activities, goals and procedures. It allowed them to come to new understandings of means for conducting their business. Although campuses are improving technology use, modifying faculty roles and rewards, or becoming more student centered, these changes meant the creation of a new beliefs and new sense. The process to embed these new beliefs and transmit them among key institutional stakeholders involved collective sensemaking.

Conceptually sensemaking is a central organizational construct that is created from interpretations made by linking cues with well learned cognitive frameworks (Porac, Thomas & Baden-Fuller, 1989; Starbuck & Milliken, 1988). The central thrust of sensemaking is to investigate how meanings are "produced and reproduced in complex nets of collective action" (Czarniawska-Joerges, 1992, p. 37). Meaning making and sensemaking are fundamental organizational activities because what individuals see and understand is what they do (Senge, 1992). The sensemaking process is important because the sense made reflects organizational beliefs about what is and what should be (Starbuck & Milliken, 1988). We discovered that in periods of change new cognitive frameworks are introduced and adopted. Transformation occurs when cues become associated with new cognitive frameworks and thus new meanings are made and new activities occur. The processes that emerged as important at the six institutions in this study were opportunities for institutional participants to work towards creating a new conception of reality, purpose and a sense of who they are as an institution.

Fourth, *balance is an important principle for effecting transformational change.* A number of elements were shown to be balanced as the change moved forward. For example, in developing the agenda, balancing inside and outside perspectives was critical. When developing change strategies cultural and structural approaches are necessary. The plan or design should moderate; moving too fast will create disequilibrium. Balance can be an incredibly deceiving principle. It can assume some ideal measure. What is balanced and the ways in which balance occurs is defined specifically within each organization as dictated by institutional culture and context. For a community college that is used to influence from external constituencies, balance in external and internal perspectives will be much different from in a selective liberal arts college

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more insulated. Nevertheless, both need to have some element of inside and outside perspective and the mix is dependent upon institutional culture and context.

Finally, micro contextual factors or the *culture of the campus appears to influence the change process*. Institutions were successful, in part because the leaders recognized that their strategies had to fit with the culture of the campus. Culture impacts the way change occurs and the change process impacts culture. There is a reciprocal relationship. We focus on the way culture influences the way change occurred, yet we were observant of the influence the process had on the culture. Some aspects of a campuses culture assisted in propelling institutions toward change, yet other cultures hindered a campus, e.g., a history of contentious relationships between faculty and administrators. Broad generalizations about the change process that were culled from the initial data collected (Eckel, Hill, & Green, 1999) and from previous studies of change such as seeing the big picture, have shared leadership, or developing a climate of trust were enriched through a more micro level analysis. For example, different institutional histories illustrated what creating a culture of trust means. The individual stories of change illustrate the way different contexts impacted the conditions that are critical for change.

Another important aspect of culture is that many campuses modified their strategic approaches to implementing change. They believed at first that change would be successfully brought about because of modifications to structural aspects such as agenda, planning, goals, etc., much of which was based on their review of the change literature. However, these institutions (as well as some other literature on change) suggest that dialogue, focus on institutional values, developing a common language, etc. are just as important strategies, if not more important, because they are levers for change that directly get at institutional culture.

Finally, many of the institutions in this study exported change models from business and were unhappy with the processes outlined and the strategies offered. As the quote at the beginning of the paper testifies, a higher education change model is necessary to guide institutions. Although a model can reify and take away the dynamic nature of processes, we hope that the following metaphor and model will be helpful to campuses without oversimplifying the process. A mobile is used as a metaphor for these various element. See Appendix 3 for a conceptualization of a model of comprehensive change.

The next section of this paper presents two illustrative cases, one depicts the change

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process at a community college and the second describes the change process at an urban, private research university.

<center>Case Analysis</center>

<center>Sunshine Community College</center>

The Change Initiative:

Improving learning by collaborating to transform the core processes. Sunshine's initiative focused on moving the college from an institution focused on teaching to on focused on learning. This is a shift in emphasis from the process of teaching to the result of that process, learning. Sunshine is examining the extent to which learning is occurring and the extent to which students are prepared for the next step in their educational and working lives as a result of their college experiences. The institution will support and measure teaching in terms of improvements in the learning outcomes of its students.

The Change Process:

Sunshine formulated the above change agenda after many years of groundwork. The campus had been engaged in a prolonged discussion about the need for change. One of the external factors that was influencing the need for change is that Sunshine is in a state with increased fiscal constraints that has led to the use of performance indicators to measure the efficiency and effectiveness. In addition, there was a lot of concern on the part of faculty that many of the "students just weren't getting where we wanted them to get." Ninety percent of our students coming in require remediation. One administrator noted that "a lot of students were being lost who we felt didn't have to be lost if we could just focus more directly on learning and how people learn."

Change is bound to be challenging on a campus like Sunshine. It is a multi-campus institution serving 60,000 students. Communication across geographic distances, across departments, and between and among faculty, administrators, and community stakeholders is difficult. Developing a shared understanding is tenuous and a coordinated effort trying.

Sunshine, like many other institutions, began the change effort intentionally and believed

that the systematic planning, agenda setting, and evaluation would provide a solid foundation for a change process. They established a planning team and charged it with developing a specific process; they decided that bringing in consultants and reading from the literature, to inform the process they were going to develop, would be important. In their final report, the campus noted that:

The leadership team had the foresight to call outside consultants to assist them in understanding more about change, organizational culture, and leadership. This was an important step since it allowed the team to take on the role of students by learning more about their own institution, listening to outside impartial experts, and listening and learning from each other.

After meeting within reading groups to develop a common language and listening to outside consultants, a change agenda was emerging. A number of change efforts were already underway at the college. Some were isolated to a single department or campus. Others were college wide. One of our key tasks was to step back and take a look at the larger picture and the way in which they could leverage change by tying efforts together. Sunshine also developed a comprehensive three year plan to effect change and prepare the campus for change. The steps include structured dialogues, develop consensus on a college wide vision, gathering baseline data and assessment of core processes, assessment of organizational culture (added later by campus leaders), teams working on issues, team to look at unifying efforts, develop goals and objectives, train faculty and staff (added later by campus leaders), leadership development program (added later by campus leaders r), design and implement improved communications and decision-making processes (added later by campus leaders); implement, and lastly, to evaluate. They started with a more rationalistic, managerial, and structural emphasis and ended up changing to a more developmental and values oriented approach. The plan kept evolving since the campus remained open to feedback and influence throughout the process.

The team now needed feedback from the campus community. They also needed to communicate what they had learned within the reading groups and from the consultants. The opportunity for two way communication was set up through 12 roundtables. Every faculty and staff member received an invitation to the roundtables. 300 faculty and staff, including nearly every full-time faculty member, attended the roundtables. The roundtables focused on what it

means to be a learning-centered college and recommendations for changes in order to make Sunshine a more learning-centered institution. The team described the external forces that were impacting the campus and why the changes were necessary (information from their reading groups and the consultants). The comments from all of the roundtables were complied and circulated college-wide. All faculty and staff were invited to suggest additions to the document. Additional comments were incorporated into the document and a final version was circulated college-wide. Based on the document, the planning team developed a draft definition of a learning-centered college. It has been agreed that this will remain a perpetual draft with revision as the college's vision evolves. This will also encourage and invite people to recommend change on an on-going basis.

In terms of senior administrative support, the President, for example, effectively articulated the importance of the change initiative. He took a lead role in writing to all the members of the college community and informing them of the change project; he also served as a facilitator at many of roundtables held during the summer. And he is an active participant in the leadership team meetings and has provided resources for the project. The President believes in a collaborative approach: "Leaders must be committed to the collaborative process as they are to the change agenda itself. They must be willing to trust their colleagues as professionals and to rely on their judgment. This builds unity an when it is time to implement specific changes, trust will expedite, rather than inhibit, implementation." Senior administrators were also helpful in competed for and winning grants to support change effort. As one faculty member noted: "Without the resources and commitment of the senior administration from the president down, things would be the same as they had always been." A recommendation that emerged from the planning team that was supported by the senior administration was the creation of a new position, Vice President for Institutional Transformation. This position provides resources and institutionalized focus for the change initiative. Money for the continuation of core teams was also provided by the administration. The Vice President for Transformation eventually suggested some changes to campus governance in order to better facilitate communication.

Critical at the beginning of the process was a realization of validating what people were already doing well, validating and making people feel worthwhile during the change process. The President noted that: "We have learned that educators will fear change less if we focus first

on what we want to preserve. We should not throw out the baby with the bath water and abandon the higher calling that we as educators share. By articulating our core values and our core purposes, as well as acknowledging that these are enduring aspects of the college, change becomes less frightening since it represents an effort to better serve that which we hold most dear."

This realization led to the development of a "vision and organizational character action team." With the assumption that any significant change at the college should be rooted in commonly held core values and should enable then to better serve their core mission and purpose. The team administered an organizational character index within the college to determine perceptions of the institution's character. Depending upon how the college perceives its character, transformation will require different types of support and leadership. Sunshine used this information to design appropriate change strategies and thereby to improve the prospect for success.

Following the roundtables, two-and-one-half day Transformation Workshops were held for administrators and key faculty and staff leaders of the college. The purpose of the workshops was to generate a common understanding of the transformation process, to review the findings of the 12 roundtables held during the summer, to invite membership on the action teams, and to make recommendations about how best to move forward with the transformation agenda. Over 170 persons attended. More campus involvement ensued; a call for volunteers was sent out college-wide, and over 180 persons volunteered to serve on the action teams. Several other opportunities for involvement from the broader campus occurred, such as forums throughout the year with reports handed out, team member discussions, and opportunities for members of the community to express their opinions or to be involved. As one faculty member noted: "It is no longer a surprise to be asked to participate in a collaborative effort. Making people feel part if the process is important. Another thing we did right was sharing articles and discussing, this allows early buy-in and helps prepare people for possible future involvement." Members of the Sunshine campus also noted that input was critical for develop good relationships: "We learned to put the word "DRAFT" in big letters at the top of everything. If you don't do anything else, do that. People don't want to think it's over and done with before they've had a chance to be heard."

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These roundtables and dialogues made troubled relationships on campus more visible. Faculty and administrators discussed stereotypes they had of each other. Individuals in vocational and liberal arts areas discussed contentiousness. Issues of lack of trust or sense of lack of commonality were openly discussed. It also brought up dialogue about basic assumptions and philosophies. They realized there were a lot of different ways that people saw the campus and the work of the campus; until people start talking about the issues nothing was going to happen. For example, they began by identifying who their customer is. It was assumed that students were the customer, but they now realize business and industry is the customer due to demand and expectations that business and industry have placed on graduates in terms of hiring, etc. This resulted in a lot of painful but useful ideological debates, particularly about "why should we serve business and industry? The college is a learning institution." Yet everything remained at a dialogue level; several people noticed this was becoming a problem.

One administrator noted that "after about a year of reflection and lots of roundtables and opportunity for people to talk about what a learning-centered institution would look like, we were still talking. And one of the things we learned then very rapidly was that we needed to make a way for action to take place. So we formed a short-term action team. And those people who were ready to roll and wanted to do something——anything——now were invited to participate in that. We did find that there were a number of suggestions that came out of our many roundtables that didn't require six years to accomplish and gave people a sense that something was moving and happening. So don't in any way keep everything on hold. Make sure that you give some means for some kind of short-term action so that people can see some progress." One short term outcome was a 20% increase in graduation/completion rates. This generated substantial momentum for people on campus to keep focused on the change initiative.

After establishing concrete plans, Sunshine was positioned to move rapidly into the action phases of this initiative, having taken the time needed to develop a common understanding of terms and to begin to develop a common vision of what learning-centered means for the college. The most successful aspect of the plan they developed was Leadership Sunshine. This new effort provides on-going professional development opportunities to employees of the college. The content has been shaped by the work of the action teams. Also, it trains leaders for the collaborative environment. One staff member noted: " we depend on leaders at all levels to

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make communications processes flow and to provide meaningful input into the decision-making processes that underpin change. If we are to strengthen communications and decision making, we must strengthen the college leadership." To date over 1,237 faculty and staff have taken 123 courses offered. The college purchased and renovated a small conference facility that is dedicated for use in offering Leadership Valencia courses; the new process is institutionalized. Another development opportunity, Discipline Enrichment Series, has also been extremely successful. This series of meetings invites faculty teaching in each discipline college-wide to meet to consider what might be done to enhance learning in that discipline. All of the development initiatives were based on models the campus adopted from the consultants, but modified for the culture of the campus. They also developed specific workshops on personal and organizational change, using William Bridges model of change and transition. Change is situational: the new site, the new boss, the new team roles and new policy. Transition is the psychological process people go through to come to terms with the new situation. Change is external, transition is internal.

Lastly, they learned not to assume buy-in and trust, this needs to be continually built. As one member of the campus noted: "So we really had to learn the hard way that when materials were sent out in advance, in any form, that we had to make it very clear that these did not represent any kind of a party line. And then we had to make it overtly clear as we acted on them from that point forward that no one was trying to push anything on anyone. There was no hidden agenda. That is something we have to continually work at." Continual oneness and working to help people to be part of the change process is critical. A common mistake is to say: "we have been working on change for four years, those who are not on board never will be." It just takes longer for some people.

Metropolitan University

The Change Initiative:

Metropolitan University (Metro) is revising its *curriculum to achieve the learning objectives common to general education through the major*. Through this initiative, known as the Common Academic Charter (CAC), faculty are being asked to take responsibility for general

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education by crafting developmental curricula that advance cumulative learning of the shared general education goals. Through a coordinated manner of liberal arts courses, modules within disciplinary courses, and non-course experiences, the CAC model challenges faculty and students to view undergraduate education as more than a series of usually disconnected courses.

The CAC is a powerful educational framework for promoting a common set of educational goals, typically associated with a general education curriculum. Its goal is to provide students with a more coherent education. The operating principles of CAC asked disciplinary faculty to take responsibility for the objectives of general education as well as the learning associated with each major. The challenge was to get faculty to take responsibility where none had existed before.

The Change Process:

The pressure for change at this private university came internally from faculty who recognized that the current structure of general education was simply not working and externally from a 1989 accreditation review in which the institution was cited for its lack of institutional common educational experience. The fragmentation in the curriculum was not surprising to campus administrators as it reflected the high degree of independence of Metro's colleges and departments. The institution describes itself as a series of loosely connected colleges and prides itself on their autonomy. The institution also had a history of strong administrative leadership. The president and provost, because of the decentralized nature of the institution, had to intentionally create processes and procedures to steer the institution as a whole, because faculty leaders were more concerned about the direction and activities of their own individual campuses. It was rare for anyone beyond top administrative leaders to take responsibility for the institution as a whole.

The institution had tried to rectify the general education fragmentation in the past, but an earlier attempt to create a university-wide core curriculum failed in part because, according to some on campus, the professional programs resisted adding new required courses to already highly structured curricula. At the same time as the accreditation report highlighting the curricular problem, the institution also faced a 30% drop in enrollment. The tuition-driven institution strongly felt the lack of tuition dollars. Finally, the institution had recently been

reclassified in the Carnegie classification system from a Doctoral II to an Research II institution, jumping two categories. The impact, as one person noted was, "while research and teaching is not an either/or proposition, the desire for upward mobility in the research world often finds institutions sending conflicting messages about its core values." These were the challenges facing a new president and provost.

The provost, and the associate provost crafted a process to implement the CAC that they believed had four distinct elements. First, they believed that the campus community had to identify its own educational goals. This was an important strategy to gain support for the basic principles of the CAC because they were an extreme departure from the traditional ways of meeting general education objectives. To do this they formed a large institution-wide committee of faculty, administrators and students that was charged to develop a common set of experiences for undergraduates regardless of academic program. This task force developed a newsletter to convey their ideas and continuously sought feedback and input from the campus over the course of their efforts. This took place in 18 months between October 1992 and June 1994.

The second component, which ran concurrently to the first, was to design the implementation mechanism. Campus leaders noted their challenge was to "devise a mechanism for general education that respected the university's culture." To do this they needed the community to be involved in not only developing the shared goals of CAC, but also the legitimacy of the implementation mechanism.

Once the goals and the processes were developed and agreed upon by key stakeholders, the administrators' moved to gain the approval of Metro's various governing bodies. In early 1994, the CAC became an element in the institution's strategic plan, and as such gained approval by the faculty senate, the faculty in full, and the board of trustees. By late 1994, the final version of CAC was drafted. It gained unanimous approval by the Council of Deans and the Undergraduate Curriculum Committee. Even the student government, on its own initiative, passed a resolution supporting the newly articulated goals.

Finally, the administrators believed they were ready to "begin" implementation. Although administrators viewed the other elements as pre-implementation aspects, they also recognized that they were crucial to the hoped for success of the CAC. Administrator's implementation process itself was two parts. First, Metro's provost and associate provost

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decided to launch the CAC through a series of pilot projects in various colleges. Three colleges volunteered to participate: the Colleges of Business and Management, Allied Health, and Nursing. Second, the plan was to implement the CAC across the remaining colleges. Each implementation plan was designed to have three phases: First, each unit was asked to conduct an audit to determine the extent to which the identified CAC goals were already being met. Second, each program was asked to develop a detailed implementation plan that would result in "a redefinition of the curricula in light of the shared educational goals." Third, each program was asked to develop a process of periodic assessment. In some instances units incorporated outside accrediting bodies in their assessment processes. Although each college moved forward through its own process, the common goals of CAC contained the fragmentation that once was associated with Metro's curriculum while not trying to override the institution's culture of autonomous colleges.

As part of implementation efforts and to develop collaboration across units, institutional leaders developed a series of interest groups. These groups of faculty "encouraged horizontal, interdisciplinary involvement... around shared goals." Interest groups formed around tasks such as fostering writing competency within disciplinary courses, information literacy and experiential education, and around topics such as esthetics, the natural world, and ethics. These interest groups, in turn, sponsored workshops each year, and the leader of each interest group was provided with a stipend.

In addition to the interest groups, the institution designed a second opportunity for faculty development, a series of workshops related to elements of the CAC plan. For example, by October 1995 more than 150 faculty from the pilot colleges had participated in one of the workshops related to CAC.

Both the interest groups and the faculty workshops allowed faculty from different units to engage with one another about teaching and learning and have conversations about institutional goals and the processes for reaching those goals. In one report they wrote:

> For the CAC to be successful, faculty within each unit must talk with each other about curriculum; they must be willing to create a curriculum that is developmental and that stresses cumulative learning. To develop unit goals and expectations, faculty must also talk with each other. Some chairs and deans have used the implementation of ACE as a

mechanism for beginning to talk about unit goals. As implementation has progressed, more and more, the CAC is being seen as part of a broader university-wide transformational change to a more student-centered institution. This has been important. There are numerous initiatives underway at the university. To the extent that they are connected, the burden on faculty and administrators is less.

Senior leaders, in addition to creating the framework for implementation created an awards competition with the units receiving between $10,000 and $20,000 for their initiatives. And as was noted, "this [award] was large enough for most departments to be a valuable incentive." Winning units were chosen because of their demonstrated commitment to implementing CAC. Additionally, the president, provost and vice provost seized all possible opportunities to talk about CAC in on and off-campus forums. They stressed the importance of the efforts and the contributions of CAC to the institution's educational goals. They also brought in outside resources to facilitate implementation. At a time when the institution was operating under a tight budget the outside funds allowed the campus the needed flexibility. They secured a $250,000 implementation grant from FIPSE, a $200,000 institution-wide reform grant from NFS for developments in math, science, engineering and technology, and $150,000 from a private foundation to implement one of the pilot projects. In addition to outside money, they were able to get *Science* to highlight their efforts. They noted:

> All these funds and the publicity, while not large, provided external validation of our change initiative; this was especially important to the researchers on campus. These funds combined with internally available funds have provided the seeds to encourage change in the various units.

Institutional leaders also developed a series of faculty development activities to support the CAC. Some of the activities included department retreats, conference attendance, and faculty sub-committees engaged in specific aspects of curriculum development. Another set of on-campus development activities included a series of symposiums featuring nationally prominent speakers on topics such as the future of undergraduate education, critical thinking, and technology in the classroom. Additionally, faculty were encouraged to attend off-campus

conferences related to the goals of CAC.

The provost also hired an administrator to oversee the CAC implementation. Additionally, each of the colleges identified a CAC coordinator to lead implementation efforts for that college. College coordinators received a stipend and met periodically with each other and the campus CAC director to discuss common issues related to implementation.

Those responsible for steering the collective effort developed an "intentional on-campus publicity campaign". For example, they developed a CAC newsletter that included drafts of documents, requests for input, bibliographies of related publications (which were also put on reserve in the library), examples of courses adopted CAC goals, and announcements of workshops and funding opportunities related to CAC. Regarding the implementation plan they wrote:

> Introduction of CAC throughout the undergraduate programs has occurred slowly and unevenly. Some of that was deliberate; a widening group of faculty and administrators must buy into the process and the desired outcomes if we are to actually transform undergraduate education. To rush ahead would result in window-dressing rather than substantive curricular change. Some of the pace was dictated by leadership in various units and changes in leadership. Some units, particularly in the professional colleges saw the CAC as an opportunity to better meet the goals that they and their accreditors have for student education and they forged ahead. Other units hoped that the ACE would go away and they chose to play a waiting game. Ideally, units will "own" this change; it will not be foisted on them. Thus, the balance between top-down pressure and bottom-up enthusiasm (or lack thereof) continues to be a strategic issue.

Discussion/Analysis of the Cases

Core strategies: The core strategies were clearly exemplified in the story of Sunshine and Metro. At Sunshine senior administrative support from the president resulted in grants fund for the project, incentives for making the change, several new structures to support the effort, a philosophy of valuing what the campus currently does well (making people feel worthwhile), and changes in the governance processes to ensure better decision making. Through senior administrative support the macro changes that needed to occur structurally and culturally were

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accomplished.

Collaborative leadership was seen throughout their process. The president and other senior staff allowed leaders to emerge throughout the campus. The team responsible for spearheading the change was made up of individuals from across the campus. This group set up various vehicles to allow for the overall campus to be involved through workshops, symposiums and roundtables, inviting others to join in the effort at various points throughout the process. All plans and ideas were draft; people were encouraged to influence the outcomes and process. The impact of this collaborative emphasis is reflected in the individual commitment of each member of the campus to create a learning centered environment. Each member of the campus that you talk with from academic advisor to librarian to faculty member has ownership and truly understands what this means and enacts this principle.

The robust design emerged out of several prior years of campus-wide dialogue, which was fine-tuned by the change team and then shared with the entire campus. The robust design represented an orientation that the campus believed in and embraced____it truly emerged out of the culture of the campus. It was shaped by ideas from the outside, adding legitimacy, especially for explaining new plans to external constituents such as the state or grant funders. The team coordinated the agenda with existing efforts. The vision served the role of a compass over the long haul of change. The solid vision has been critical to keep them focused, moving forward, and maintaining the common language and dialogue.

Staff development was the most important strategy for change on the campus. It is very strongly related to collaborative leadership. It is through staff development that collaborative leadership is facilitated. The Leadership Academy helped provide people with the skills to more effectively communicate, make decision, and provide input on the change initiative. Staff development also provided the detailed information necessary for each individual to personalize the change initiative and modify their work approach.

Visible action is key for the campus to maintain momentum. The vision helps the campus to know the direction it should be headed and collaboration and staff development help provide people with the skills and investment. Yet, campuses often fail if there is not some type of progress in the issue they are addressing, not just in the ways people work. In other words, changing processes and internalizing a new way of working is extremely critical, but there must

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also be visible products along the way to provide hope. Visible action is what provides hope and maintains momentum in a long-term change process. The 20% change in retention rates provided the hope to continue to change and move forward on the difficult road of changing work habits and organizational culture.

The story of Metro's change effort illustrate the same set of core strategies. For example, the support of senior administrators was prevalent throughout the change effort. Senior administrators, mostly the provost and associate provost, were responsible for launching the initiative and shepherding the early discussions that allowed the campus community to identify common educational goals. They sought outside funds at a time the institution could not internally reallocate monies, and they created a competition for substantial resources ($10,000-$20,000). Senior administrators also were the ones who developed the intentional strategies to promote buy-in and acceptance to the principles of the CAC and crafted the processes used to implement the CAC, including the pilot college approach. They also hired a campus-wide coordinator who met with college-level directors (who were paid with a centrally provided stipend) and helped move the process along within the colleges.

Collaborative leadership is also observable. The most telling illustration is the freedom central administrators gave to each unit to design their own curricular changes around agreed upon goals. Rather than dictate a centralized implementation formula, they allowed each college to develop its own audit process to determine the extent to which it already met CAC objectives, determine its own implementation process, and craft its own system of assessment. The cross-functional interest groups is also a manifestation of collaborative leadership, in that they allowed interested faculty to meet with others sharing similar concerns to engage in collective problem solving and then took leadership across campus for that issue. Another example of collaborative leadership was the development of a campus-wide committee of students, faculty and administrators to develop the educational goals of the CAC.

The robust design for the implementation of the CAC arose from the insights of senior administrators. They articulated an initiative that people could connect to, that met a widely recognized need and that was flexible enough to fit with the autonomous nature of the campus. First, the CAC was built upon the values important to the institution's faculty, enhancing the educational impact of the curriculum. Faculty could not argue with the expressed purpose of the

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proposed initiative. They had a hand in articulating the goals and in shaping their implementation. Second, it tapped into a widely shared belief that the curriculum was not delivering everything it should, that the lack of common educational objectives was leading to a negative impact on the institution's ability to provide a top quality educational experience. Finally, the design was drafted in such a manner that it would be acceptable to the different autonomous colleges. Each could see that the CAC would allow them to further pursue their own educational goals, and the goals of their specialized accrediting boards.

Metro, much like Sunshine, provided numerous opportunities for faculty development. They designed the interest groups that explored specific topics related to implementing the CAC. These provided opportunities for faculty, those responsible for implementing the initiative, to explore questions through engagement with other colleagues and through a variety of readings. They also allowed those intensely interested an immediate way to become involved. Through the workshops that were results of the work of the interest groups other people were able to participate in a different way. Metro also provided faculty development opportunities through the nationally prominent speakers it brought to campus and held symposiums and workshops around. Finally, the academic leaders also provided encouragement and support for interested faculty to attend national conferences that were related to the CAC.

Much, if not all of the real work associated with implementing the CAC took place visibly. That action was seen over the course of many years, that faculty participated in recognized discussion groups and attended campus-wide forums, that newsletters detailed the work of various groups, and that three colleges participated in visible pilot projects all created an important sense of movement and action on campus.

Inter-relationship of strategies: Both of these cases highlight the inter-connected nature of the strategies which brought about institutional change. Rather than provide a long list of the various secondary strategies related to each core strategy, two examples should suffice. In the story of Sunshine, the cluster of strategies around a core strategy can be illustrated in the discussion of the robust design. Related strategies included obtaining and incorporating outside perspectives, working within the culture, creating synergy and connections, putting change into a broader context, taking a long-term orientation, and communicating effectively are readily seen. At Metro, around the core strategy of senior administrative support were other change strategies

such as developing support structures, providing financial resources and creating incentive structures, creating an environment of shared leadership, and using external factors constructively.

The illustration in appendix 2 displays more of the inter-connections among change strategies.

Sensemaking: Common to both Sunshine and Metro were opportunities for key participants to engage in sensemaking activities at many different levels. They both provided the same opportunities when they became involved in the larger network of the ACE project. By working with other institutions that are attempting to engage in change, they were better able to make sense of their own experience and put their experiences in a larger context. They both brought external consultants and speakers to campus and developed workshops and symposiums that provided opportunities to develop a collective understanding about the change agenda and process. The roundtables and symposiums provided another opportunity for people to make sense of the proposed change and to begin to understand their individual places in the newly emerging realities. Possibly most importantly, both institutions capitalized on faculty and staff development for helping individuals to personalize the change and think about it in relation to their own role, responsibility, and identity. Sunshine did this through Leadership Sunshine and Metro through its interest groups and their sponsored workshops.

The opportunities to discus relationships with other members of the campus at the workshops and roundtables also provided a way for people to make sense of their relationships with other people. Sensemaking was conducted at multiple levels; these campuses provided opportunities for individual, group, and campus-wide sensemaking. Part of sensemaking at Sunshine was also to engage the negative and critical aspects of the campus. Realizing that some people distrusted the change process and thought there was a hidden agenda, the leadership team reacted by carefully engaging those criticisms and airing them in the various public forums. They also engaged fear through the transformation workshops.

Specifically at Sunshine, the reports, videotapes, and on-going communication provided by the Vice President for Institutional Transformation also provided an additional layer of opportunities for people to wrestle with the change they were undergoing. The vision and organizational action team that administered the organizational character index also gathered important information from the campus that was used to better understand the collective

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experience of people. Communication about the results of the survey helped people to put their views in context and to think through the way they relate to the campus.

Balance: The concept of achieving balance can be found throughout these two case studies. Members of the Sunshine campus balanced a series of issues. They balanced inside and outside perspectives. They began by seeking outside perspectives, but then they realized the need to fit these ideas within the institutional context. This also relates to one of the key strategies which is "working within, but challenging the culture." Second, the leadership team at Sunshine mentioned how their plan was focused on rationalistic managerial processes such as evaluation, planning and goals (with some dialogue and opportunities to shape values). But, later they realized the need to incorporate many more processes for creating cultural change on the campus. They realized that without change in the values, key assumptions and philosophies of groups and individuals, their change initiative would be limited in its impact. Third, the campus also realized the importance of balancing the momentum of change. They had a long-term plan with various steps along the way to keep them moving toward their goal. But, they realized they needed to balance the long-term orientation with short term actions and progress. Short term action teams were develop to meet this goal. Yet moving toward visible action needs to be balanced with opportunities to influence the results. The campus had not moved forward for fear that it would be perceived that they were not waiting to obtain everyone's feedback. Fourth, they learned along the way that focusing only on the new agenda and not stressing the importance of existing missions, values, and goals was detrimental to the change process. The more that they validated current efforts, the better able people on campus were to embrace new ideas. Balance also needs to be achieved among on-going efforts and the new initiatives. Other changes were occurring on campus; energy still needs to be channeled to these efforts, as well as the new agenda. They also balanced senior administrative leadership with a collaborative process. Leaders need to provide support without being too directive and causing people to shy away from involvement. They had a careful balance between senior administrators assisting in the process without being perceived as controlling. Planning is critical to all change process, but any plan must be balanced and modified based on the new understanding the campus develops. Many campuses described this as a flexible plan. Lastly, they needed to balance old and new relationships. Some campuses can become mired in old relationships, power struggles, and

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reliving past problems. It is important to air these issues, but not to become mired in those discussions. It is important to provide vehicles, such as staff development and open dialogues that allow people to move forward.

The leaders at Metro did not strike as many balances as those at Sunshine; nevertheless, they did balance the requisite pace of change with the need for buy-in and involvement, the use of inside and outside ideas and language, central and decentral (or college-specific) processes, and new and old ways of relating. Administrators at Metro spoke about the need to moderate the pace of change. They believed that the pace could not get too far in front and that rather than push for change quickly, they needed to bring people along, spend time engaging in sensemaking activities and allow time to be their ally. They also balanced inside and outside perspectives. They both brought outside experts to campus, but at the same time tapped their own internal expertise. The change efforts at Metro also balanced centrally initiated tasks and activities with those of the autonomous colleges. Rather than let each college work completely independent, they created structures that were in alignment with the culture of autonomy while staying within an institutional framework. A good example of this is the use of cross-college interest groups to explore and design strategies to reach CAC objectives that were to be carried out individually in each college. Finally, the change efforts at Metro balanced new and old ways of relating. The premise of CAC was based upon a new relationship between each college and its responsibility for bringing about institution-wide goals. No longer was the task of general education someone else's.

Culture: The findings suggest that culture plays itself out in two ways in institutional change. First, culture effects the processes and strategies used to bring about change, and second, the processes and strategies are invoked to change the culture. One of the elements at Sunshine that effected the success of the change strategies is that its culture was a customer orientation and sense of accountability. Both characteristics made it open to external feedback and information for change. They also made assessment and evaluation easier to implement and more important in making the change. Since outside perspective, being receptive to the external environment, and assessment are all facilitators of change, their culture enabled the change process. Culture influenced Sunshine's choice to gather baseline data and to set up a team to evaluate the campus character. The culture of accountability carried over into their involvement

in collaborative leadership. Widespread collaboration and involvement were even more important in this culture and people felt a need to attend the meetings and provide feedback. Lastly, the history of interaction with consultants and active work with the community made Sunshine more open to outside perspectives.

The culture at Metro was defined first and foremost by a its high autonomy between colleges. For instance, the explanation for past failures at developing a common unifying curriculum was that the proposed ideas did not fit within some of the professional colleges. They did not want to make needed modifications to their curriculum. Second, decisions at the institution tended to be made decentrally with the locus of control at the college level. Rather than a centrally driven effort with a representative committee making recommendations, the broad goals of CAC were developed so that individual colleges could adapt them to fit their own goals and curricula. Third, catalytic results of the cross-unit interest groups might be accountable to the decentralized nature of Metro. Because of the separation inherent in the culture, simply bringing together people who shared common interests but were from different units brought tremendous energy and creativity to the effort. These interest groups helped spark important conversations.

A second important cultural characteristic at Metro that influenced the change process was the related to the number of colleges that housed professional disciplines (as compared to arts and sciences). Because of the significant proportion of professional schools the impact of outside agents was strong. At this institution professional colleges were strongly influenced by their outside specialized accreditation bodies, for without accreditation in many programs, their graduates at one extreme cannot become employed in that field or at a minimum face high barriers to access. Thus, outside accreditation is extremely influential. In this case, outside agents played important facilitating roles. All three colleges involved in the pilot effort were professional, and they believed participating in this effort would assist them with meeting the standards imposed by their specialized accrediting bodies. In addition, external forces lent resources, but, possibly more important, they gave credibility and legitimacy. For example, receiving grants to implement CAC from NSF and FIPSE provided instrumental support and symbolic momentum.

In addition to culture influencing change processes and strategies, institutional culture

also is a recipient of change. The case describing the change at Metro is illuminating because not only does it highlight culture as a framework to understand action, but it also shows how culture itself can be modified through intentional efforts. Culture in this case is visible as both an influential actor effecting the process and something that is acted upon. The notion of common educational goals and the use of cross-unit interest groups are artifacts of a cultural shift. In a highly autonomous culture, getting people from different units to simply acknowledge common concerns, let alone begin to address them together is substantial. The change initiative itself, developing a common set of educational outcomes across autonomous units is itself an attempt to change the institution's culture.

At Sunshine, part of the culture that was changed as a result of their initiative was the problem of poor communication, which frequently resulted in a climate of distrust. Sunshine noted the history of difficult communication and their struggle to develop effective vehicles. Realizing this problem, institutional leaders hired a Vice President for Institutional Transformation creating a position to facilitate communication. The institution created a series of mechanisms to alleviate this problem including the development sessions, roundtables, and symposiums. The size of the campus necessitated the years of dialogue to develop a common language, and through these efforts they were able to succeed.

A final point on culture: Some strategies are more likely to bring about cultural change because they directly focus on elements of culture. For example, Sunshine began the change process with a heavy emphasis on structural change processes: teams, plans, and goals were the main avenues. Quickly, they realized the need for other types of strategies that impacted the values and beliefs of the campus. Thus they, as well as Metro, developed sensemaking process that would focus attention on meaning, values and beliefs, important aspects of institutional culture.

Conclusions and Implications

The six institutions that are being successful with institutional transformation provided valuable insights to academic leaders who must undertake this task themselves. This study moved beyond general change strategies and principles and identified: 1) core strategies for change and what makes them the core strategies; 2) a greater set of sub-strategies; 3) the inter-

relationship among strategies; 4) the way cultures operate and relate to the change process; 5) the key role of sensemaking; and, 6) the need for balance among strategies. Many studies have offered strategies for change, however, few have been able to designate why these strategies are critical to the change process. The study provided much greater detail about how these strategies are enacted. Since this is one of the few studies in higher education to study large-scale or transformational change over five years, it was able to investigate strategies important to a specific type of change more and more institutions most likely will be undertaking. Future papers will provide more detailed information about these strategies.

Since most studies of change have focused on a particular strategy or condition, they have not explored the inter-relationship of strategies. This provides a new way of thinking about and understanding institutional change processes. Most of the 26 campuses involved in the overall study began by envisioning change as linear. New conceptualizations are important since the most successful campuses were those that learned that strategies were interrelated and began to intentionally connect them. Various scholars, including Senge (1992) and Weick (1994), have suggested the importance of sensemaking and learning within organizations but they have not explored this concept in relation to transformational change. Thus, readers have been left on their own to determine how these concepts become operationalized in the change process. Building on their work, we believe this study provides new detail for assisting campuses in leading change. The notion of balance is a new concept that required future exploration.

There are several recommendations that surface from this study. First, these stories illustrate the importance of institutions conducting internal analysis and reflection as they initiate the process of change rather than following generalized principles from decontextualized studies of change. Since institutional culture strongly influences the way the change process unfolds and the effectiveness of particular strategies, the change leaders need to be more reflective about the potential influence of the institution's history, values and beliefs, structures, and relationships.

Second, institutions that developed a framework to exploit and build upon inter-connections were successful in moving forward. An important turning point for institutions in this study was when they moved from viewing change as a linear process to one that was inter-connected. But within this inter-connected framework, the findings suggest that some strategies are more *critical* than others. These include: senior administrative support, collaborative

leadership, robust design, faculty development, and visible action. Like a mobile, we discovered that change is made up of various interdependent components, but that it must be balanced. Mobiles, much like the strategies we identified at these institutions, are supported by a principle of balance. Only as a whole is the mobile workable, and unbalancing can tip the whole enterprise. Thus we begin to lay the foundation for a mobile model of institutional change. The various elements, depicted in Appendix 3, identify the core strategies and the related strategies. Institutional culture are the ways that these elements are connected, in a mobile depicted by the strings connecting the elements. Finally, the whole is supported by concepts of balance. The hope is that campuses find the "mobile model" of change helpful for framing the change process.

Third, sensemaking is a critical process for institutional transformation. Transformational change is about organizational sensemaking. This was a major finding that emerged within the study. This study suggests that large-scale institutional change is about meaning construction, or more exactly in times of change, reconstruction, a concept known as organizational sensemaking (Gioia & Chittipeddi, 1991; Weick, 1995). One of the results of transformational change is a rethinking of the basic functions of teaching, research and service within the historical framework of the institution, which, in turn, leads to a new definition of institutional self. The concepts of *how we do what we do* and *the ways we do it* are altered, leading to new perspectives about what tasks and activities are important, what issues become bothersome problems, and how tasks are accomplished. Those institutions that made the most progress toward their change initiative had the significant processes that allowed campus members engage in sensemaking.

Finally, this study went outside our limited understanding of a handful of typical institutional conditions that might impact change, such as size or institutional type. It illustrates that these institutional conditions might have a minimal, negotiable impact on change and that other factors play a larger role, and that these factors exist across institutional type and change initiative. Institutions were not significantly hindered or facilitated because of external money, size, the type of state system they were in, pre-conditions, etc. Although these most likely have an impact by shaping the culture, no one factor or set of factors was related to successful change processes.

Since all institutions were engaged in a significant change that meant altering core processes, a formidable task. It is apparent that intentional, comprehensive change is much

different from tinkering or other types of change. Our intent was to explore this change phenomena and provide insight to campus leaders poised to lead this challenging type of effort.

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Appendix 1
Definition of Core and Sub Strategies

The following strategies were identified through a survey of the change literature as part of this study's literature review. Included in this review were earlier findings from the ACE Project of which includes the six institutions under study in this effort. Those noted with an asterisk were common trends in the literature. Those unmarked emerged as important when reviewing the data from the six institutions.

<u>Supportive Senior Administrators/Leaders</u>*
Individual in positional leadership provide support in terms of values statements, resources, or new administrative structures.

<u>Collaborative/Shared Leadership</u>*
The positional and non-positional individuals throughout the campus are involved in the change initiative from conception to implementation.

<u>Persuasive, Effective Communication</u> *
Positional and non-positional leaders provide written and oral reports or concept papers or newsletters outlining the initiative, implementation. Can be one way or two way communication.

<u>Supportive Structures</u>*
Activities and structures that support the change efforts and might include hiring a person to oversee the effort, supplying a center, or a program with money or personnel. Might also include developing policies or procedures to facilitate the change initiative

<u>Incentives</u>*
Change in the reward and promotion structure. Also, sometimes particular money or other types of rewards or recognitions for staff or faculty development or other activities where the individual or department using money specifically to support personnel change.

<u>Robust design</u>*
Taken from the work of Eccles and Nohria (1992). Leaders develop a "desirable" and flexible picture of the future that is clear and understandable and includes set of goals and objectives related to the implementation of that picture. The picture of the future and the means to get there are flexible and do not foreclose possible opportunities. This concept originally included vision, but was redefined based on the data from the study.

<u>Working within and challenging the culture</u>
Leaders understand the culture through some formal or inform assessment or evaluation and take this into account when they make decisions, develop the vision, and identify strategies. An understanding of the culture is also used to identify the current beliefs or activities to be

challenged.

Long-term orientation *
The strategies are designed to bring about change over a long period of time. They may be seen as building blocks of a larger strategy. The community understands that change will being taking place over 5-10 years or longer.

Connections and synergy
Different initiatives emerge at the grassroots and top down levels. Taking advantage of local and decentralized change efforts and bringing them together helps to keep and build momentum. Additionally building linkages with initiatives outside the institution. Using external events and forces to assist internal efforts.

Outside perspectives
Bringing in outside reading, consultants, speakers, etc. or going to conference or institutes and bringing the ideas back to the campus.

External Factors
Leaders are able to use constructively the factors outside the institution such as legislative action, economic opportunities or downturns, foundation involvement, etc. These factors may play a range of roles including: provide legitimacy, provide confirmation, and giving money and other resource support.

Sensemaking opportunities
Events, activities, programs that are aimed at allowing people to search for understanding and meaning within the comprehensive change initiative; usually through formal, semi-formal, or informal discussion opportunities. These activities allow people to discuss their assumptions and to get feedback as well as to check their sense about reality (or create new realities).

Staff and faculty development opportunities
A set programmatic effort to offer opportunities for individuals to learn certain skills or knowledge related to issues associated with the change effort.

Take visible actions
Steps in the change process that are noticeable. Activities must be visible and promoted so that individuals can see that the change is still important and is continuing. An important strategy for building momentum within the institution.

Opportunities to influence results
The vision or plan are fluid and allow for feedback from campus participants throughout the process, even after items are final and being enacted. Feedback loops are always open.

Invited participation
Formal processes are established for inviting participation including notices, invitations, requests

for input, focus groups, etc.

Moderated momentum
The fluid plan designates way to manage the flow of change initiatives, control the pace by which decisions get made, plans become unveiled and implemented,

"Setting" expectations - holding people accountable to new realities
Establishing expectations about the effect of the change for individuals related to the change initiative established. They can take the form of a code, guidelines, policies, or statement to the community or be informal spoken norms of behavior or thinking.

Changes in governance and administrative processes
The change initiative becomes part of the day to day business of departmental, school, and division meetings and functional processes such as business affairs, student affairs, and facilities. Each individual sees how the change impacts their day-to-day work.

Structural changes and values change
Change must occur within the core processes of the institutional structures and values. Hundreds of small changes can occur throughout the campus, but if the few key structures that control or maintain power do not change, then the change initiative may fail.

New ways old groups relate
The restructuring of the ways in which relationships among individuals and groups of individuals in light of the change. Avenues are set up for building trust and for expressing fears or feelings related to past relationships. Processes are also put in place for establishing new relationships.

Putting local change in a broad context of change in HE
An understanding of how the change initiate is part of larger changes in the higher education community; it assists in providing legitimacy, buy-in, and makes the issue less personal.

Appendix 2
Chart of interrelationships

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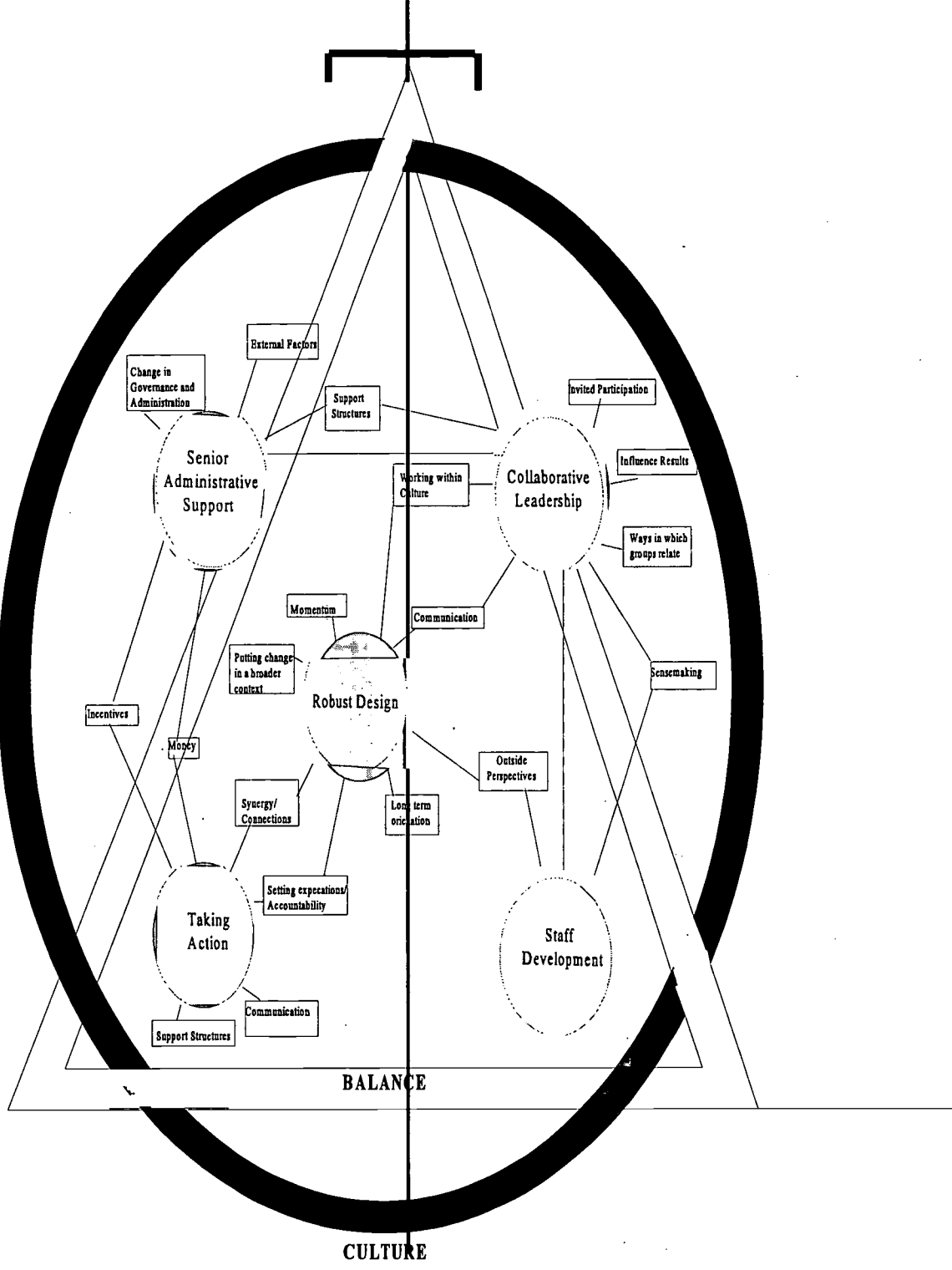
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